



UNIVERSITAT
JAUME•I

HUMANITIES AND SOCIAL SCIENCES FACULTY

English Studies Department
2006

**DISCOURSE MARKERS WITHIN THE
UNIVERSITY LECTURE GENRE:
A contrastive study between Spanish and North-
American lectures**

APPENDICES

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NORMATIVA ACADÉMICA DE
LA *UNIVERSITAT JAUME I*
PARA LAS TESIS ESCRITAS
EN UNA LENGUA DISTINTA A
LAS OFICIALES

*LOS MARCADORES
DISCURSIVOS EN EL GÉNERO
DE LA CLASE MAGISTRAL: Un
estudio comparativo entre el
español y el inglés americano.*

1. Justificación y objetivos del a investigación

La tesis doctoral que aquí se presenta se podría enmarcar dentro de tres campos lingüísticos: el análisis de género, la retórica contrastiva y el análisis de corpus.

El análisis de género (Swales 1981, 1990; Dudley-Evans & Henderson 1990a, 1990b; Henderson & Hewings 1990; Bathia 1993, 2002; Skulstad 1996, 2002; Flowerdew 1994, 2002) es un parte dentro del amplio campo de análisis del discurso (Barber 1962; Halliday, Strevens & McIntosh 1964).

En este estudio nos centramos en el estudio de la clase magistral dentro de los denominados géneros académicos en el aula (Fortanet 2005). La clase magistral es un género hablado y como tal posee ciertas peculiaridades de los géneros hablados en contraposición a los géneros académicos escritos.

Dentro de la clase magistral como género académico hablado se han realizado numerosos estudios centrados en el análisis de diferentes características y usos del lenguaje propios del género, como aspectos fonológicos o características léxico-gramáticas, así como las estrategias de aprendizaje. Entre algunos de ellos encontramos estudios que han analizado el uso de los marcadores discursivos en el género de la clase magistral, frecuentemente siguiéndola metodología del análisis de corpus (Cook 1975, Murphy & Candlin 1979, Kintsch & Yarbrough 1982, Chaudron & Richards, 1986 Dunkel & Davis 1994, Portolés 1993, Llorente 1996).

Por otra parte, nuestro estudio se centra en la comparación y contraste de dos lenguas, el español peninsular y el inglés americano, ya que como corpus se utilizan clases magistrales españolas y norte-americanas y en

consecuencia se toman como referencia estudios de retórica contrastiva. La retórica contrastiva fue introducida en el mundo de la lingüística por Kaplan (1966) creando una escuela que continua en la actualidad (Clyne 1987, Connor 1996, Hinds 1983, Mauranen 1993, Ventola 1992). La investigación realizada en retórica contrastiva se ocupa de la relación entre las diferencias culturales y los procesos de enseñanza y aprendizaje en diferentes lenguas.

Sin duda la variación cultural se debe tener en cuenta en la enseñanza de segundas lenguas. Sin embargo, según nuestra información, el análisis contrastivo sólo se ha limitado al estudio de la gramática, el vocabulario y la sintaxis en textos escritos, pocos o nulos son los estudios contrastivos basados en el discurso académico hablado como por ejemplo el que se utiliza en la clase magistral.

En este estudio nos centramos en un aspecto concreto del lenguaje, los marcadores discursivos, según Portolés los define como:

[...] unidades lingüísticas invariables, no ejercen una función sintáctica en el marco de la predicación oracional y poseen un cometido coincidente en el discurso: el de guiar, de acuerdo con sus distintas propiedades morfosintácticas, semánticas y pragmáticas, las inferencias que se realizan en la comunicación (1998: 25-26).

Con el análisis de los marcadores discursivos en el lenguaje académico hablado en español e inglés norte-americano pretendemos ver como se usan los marcadores discursivos para favorecer a hablantes nativos y no nativos de español e inglés en el espacio de educación superior. Nuestras pretensiones son:

- a) ayudar a **profesores universitarios españoles nativos** a mejorar sus clases magistrales tanto en español como en inglés.
- b) ayudar a **profesores universitarios ingleses (americanos o británicos) nativos** a mejorar sus clases magistrales tanto en español como en inglés.
- c) ayudar a **estudiantes universitarios de primer y segundo ciclo nativos en inglés** en su proceso de comprensión de los contenidos de una clase magistral en inglés.
- d) ayudar a **estudiantes universitarios de primer y segundo ciclo nativos en español** en su proceso de comprensión de los contenidos de una clase magistral en español.
- e) beneficiar y ayudar a **estudiantes de inglés como segunda lengua o lengua extranjera** en la comprensión de la clase magistral en inglés para un mejor aprovechamiento de su aprendizaje.
- f) beneficiar y ayudar a **estudiantes de español como segunda lengua o lengua extranjera** en la comprensión de la clase magistral en español para un mejor aprovechamiento de su aprendizaje.

Recapitulando, este estudio se basa y viene motivado por los tres campos lingüísticos arriba mencionados:

1. El estudio de lenguaje académico hablado y más concretamente el género de la clase magistral por ser la

forma de expresión y transmisión de conocimiento más extendida en el espacio de educación superior en el mundo.

2. La utilización de la lingüística del corpus para la realización del estudio partiendo de un corpus oral de clases magistrales.
3. La realización de un estudio basado en la retórica contrastiva que tiene en cuenta la influencia de las diferencias culturales y los diferentes estilos de clase magistral según lugares y países.

Partiendo de estos aspectos nos hemos formulado las siguientes preguntas de investigación:

- a) ¿Existe alguna diferencia en el uso de los marcadores discursivos entre las clases magistrales españolas y norte-americanas dentro del campo de las Ciencias Humanas y Sociales?
- b) ¿Cuál es la relación que existe entre los diferentes tipos de marcadores? ¿Hay marcadores discursivos que son más susceptibles a agruparse con otros marcadores? En ese caso, ¿cuáles suelen agruparse?

2. Planteamiento y metodología utilizada

Para poder realizar el estudio que aquí se presenta se utilizaron veinticuatro clases magistrales, doce de las cuales son españolas y doce norteamericanas. Las norteamericanas se obtuvieron del MICASE (Michigan Corpus of Academic Spoken English) (R.C. Simpson, S.L. Briggs, J. Ovens, and J.M. Swales, 2002) disponible en Internet gracias al English Language Institute (ELI) de la Universidad de Michigan (EEUU). MICASE es un buscador disponible on-line que contiene una base de datos con una amplia colección de transcripciones y grabaciones en audio de actos académicos, recopilados en la Universidad de Michigan en Ann Arbor (EEUU).

Las doce clases magistrales españolas fueron grabadas y recogidas en la Universitat Jaume I de Castellón (España) única y exclusivamente para la realización del estudio contrastivo. Más tarde, fueron almacenadas en formato audio y transcritas, para posteriormente poder ser utilizadas con programas como el WordSmith Tools, al igual que el corpus norteamericano.

Los dos sub-corpora, el español y el norteamericano comparten características comunes, es decir, son una colección de clases magistrales de tipo monológico y pertenecen a los campos de las Ciencias Humanas y Sociales. De este modo hemos tratado de homogeneizar el corpus para una óptima validez de los resultados obtenidos.

El análisis ha consistido en la aplicación de un nuevo modelo de clasificación de marcadores discursivos válido para ambas lenguas, el español y el inglés. Esta clasificación ha sido una aportación original en el

estudio. Las variables analizadas fueron la mayor frecuencia y número de apariciones de los marcadores discursivos pertenecientes a las categorías propuestas en la clasificación de marcadores discursivos. Tras esto, se realizó un análisis cualitativo exhaustivo de las diferencias y similitudes en el uso, la función y aplicación de los marcadores discursivos en el discurso de la clase magistral en ambas lenguas y contextos.

3. Aportaciones originales

La principal aportación original en este estudio ha sido la creación de una nueva clasificación de marcadores discursivos basada en categorías léxicas y semánticas. A continuación mostramos los tipos de relaciones en los que se basa nuestra clasificación de marcadores discursivos y también la distribución de los marcadores según relaciones y categorías tal y como se ha reflejado en la investigación.

MEANINGS	RELATIONAL FUNCTIONS
<ul style="list-style-type: none"> • Internal (ideational) 	<p><i>part of discourse-part of discourse</i></p>
<ul style="list-style-type: none"> • Structural meaning (global discourse structure relations) 	<p><i>part of discourse-part of discourse</i></p>
<ul style="list-style-type: none"> • Attitudinal (interpersonal) meaning 	<p><i>speaker-hearer and/or speaker-speech</i></p>

Tabla 1. Significados funcionales de los marcadores discursivos y sus respectivas funciones relacionales.

La Tabla 1 indica los tipos de funciones que realizan los marcadores dentro del discurso y sus correspondientes significados según la relación que expresan. Para las relaciones parte del discurso/ parte del discurso existen dos posibles significados, uno a nivel ideacional y el otro a nivel de estructura global del discurso. Para las relaciones discursivas entre el hablante y el oyente o entre el hablante y el discurso se produce un significado interpersonal.

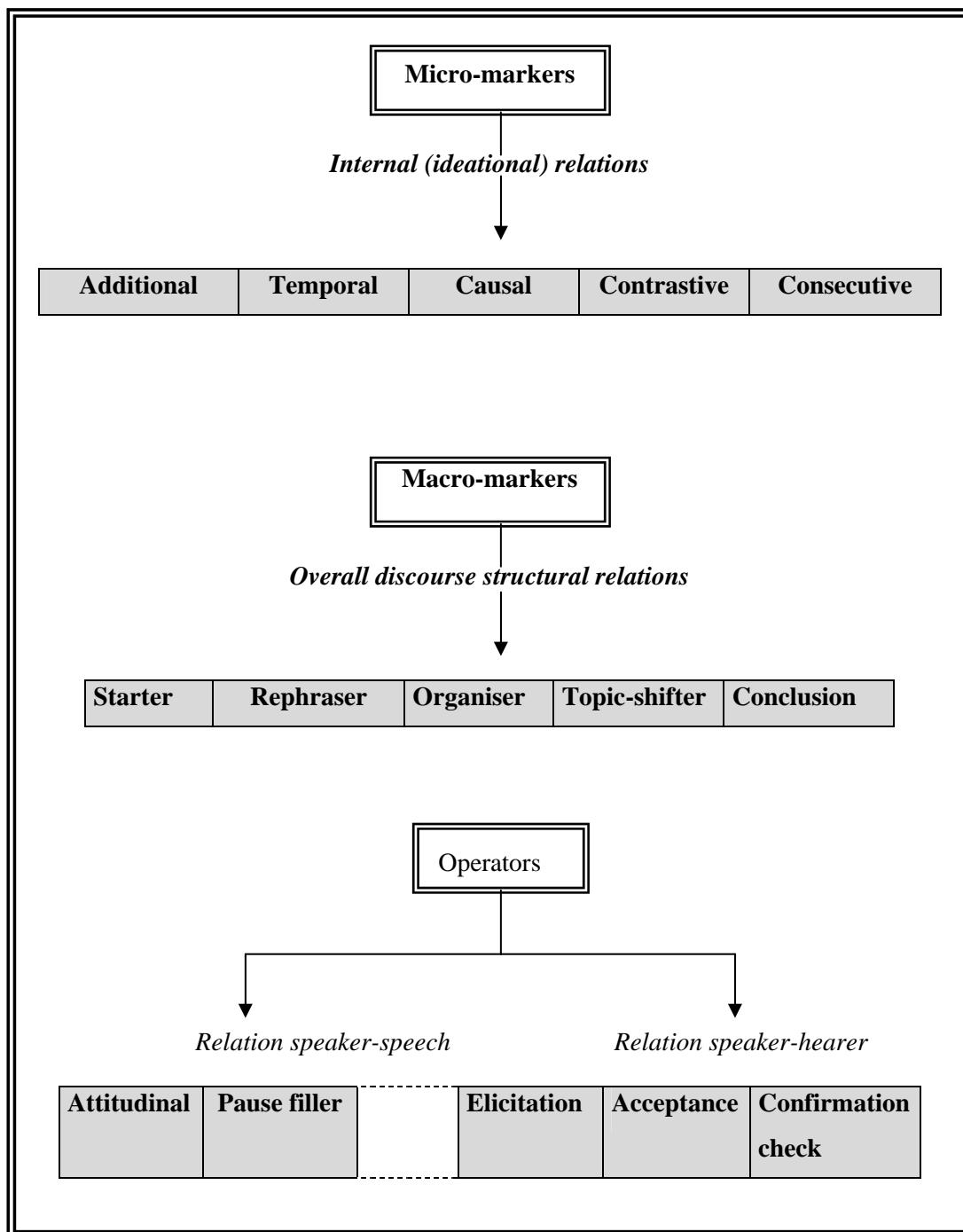


Figura 1. Modelo de clasificaci3n de marcadores discursivos para nuestro estudio.

La Figura 1 muestra el modelo de clasificaci3n de marcadores discursivos propuesto y expresamente creado para la realizaci3n de nuestro estudio. Est3 basado en las funciones relacionales de la Tabla 1 antes mostrada.

Distinguimos entre micro-marcadores, macro-marcadores y operadores. Estos tres niveles de marcadores a su vez presentan diferentes categorías según su uso y significado léxico-semántico.

Otra aportación original corresponde a la recopilación del corpus en español, este, como ya se ha dicho, tras ser grabado en audio fue transcrito para poder ser lingüísticamente analizable. Para ello se crearon unas normas de transcripción que permitieron homogeneizar las transcripciones y hacerlas compatibles con las obtenidas del MICASE. Además se consiguió información complementaria mediante la utilización de fichas de observación que facilitaron el análisis de los textos.

4. Conclusiones obtenidas y futuras líneas de investigación

Las conclusiones obtenidas tras el análisis de los marcadores discursivos en el género de la clase magistral en español y en inglés en el campo de las Ciencias Humanas y Sociales corresponden a los tres niveles de análisis y se pueden dividir en micro-marcadores, macro-marcadores y operadores. Primero se han analizado los marcadores discursivos propiamente dichos y a posteriori aquellas agrupaciones de marcadores más comunes, también según los tres niveles antes descritos.

En general el NAC o corpus norte-americano parece utilizar marcadores discursivos con más frecuencia que el SC o corpus español. Se podría decir que el NAC segmenta el discurso más que el SC y de ahí el mayor número

de marcadores discursivos. Pero lo cierto es que si tenemos en cuenta el número de palabras por clase magistral y la duración, el NAC contiene más palabras y la media de duración por clase magistral es mayor, lo que podría explicar la razón por la que el NAC usa en general un mayor número de marcadores discursivos.

También podemos concluir que de los tres niveles y funciones de los marcadores discursivos los más utilizados son los macro-marcadores, parece que hay una necesidad de organizar estructuralmente el discurso lo que nos da un mayor número de marcadores que segmentan y estructuran, como es el caso de los macro-marcadores, los cuales refuerzan las relaciones entre las distintas partes del discurso. Según algunos autores los macro-marcadores ayudan a la retención de la información de la clase magistral (Chaudron & Richards 1986, Jung 2003) a la vez que activan los esquemas mentales de contenido (DeCarrico and Nattinger 1988).

Los marcadores discursivos menos utilizados en el NAC y el SC son los micro-marcadores, es decir, los marcadores discursivos que expresan relaciones entre las distintas partes del discurso (al igual que los macro-marcadores), pero que están caracterizados por su significado lógico-semántico y que afectan las relaciones en el discurso entre segmentos oracionales. El que los marcadores discursivos menos utilizados sean los micro-marcadores tanto en el NAC como en el SC puede ser indicativo de su menor relevancia en el discurso académico hablado de las clases magistrales norte-americanas y españolas.

Ya en el primer nivel de análisis que estudia las diferencias y similitudes de los micro-marcadores entre el NAC y el SC podemos decir que hay

similitudes en el uso de estos marcadores que expresan relaciones ideacionales internas y entre diferentes partes del discurso, especialmente en el uso de algunas categorías como **Contrastive** y **Causal**. Sin embargo, también existen diferencias notables en otras categorías como la **Additional** y algunos marcadores en concreto como *and*. Otros casos especiales aparecen cuando se intenta encontrar y traducir marcadores similares del inglés al español o viceversa como sucede con micro-marcadores tales como *then/ entonces/ luego*.

Tras el análisis de los macro-marcadores observamos que, aunque tanto el NAC como el SC coinciden en las categorías más frecuentemente utilizadas (**Topic-shifter**, **Organiser** y **Rephraser**) así como en las menos frecuentes (**Starter** y **Conclusion**), también se observan diferencias por ejemplo en el macro-marcador más utilizado, en el NAC es *so* que funciona como **topic-shifter** y en el SC el **rephraser** *es decir*. También hemos observado algunas peculiaridades en el caso de algunos marcadores más específicos como es *insisto* en el SC, el cual no tiene una traducción literal en inglés.

En cuanto al tercer nivel de análisis correspondiente a los operadores podemos decir que el NAC y el SC son bastante homogéneos en las funciones y significados de los operadores. Sin embargo hemos discutido sobre qué sub-corpus puede implicar un tipo de clase magistral más participativa y con más interacción según el uso de categorías como **Elicitation** o **Acceptance**. Por otra parte hemos encontrado algunos operadores que tiene una traducción literal en inglés y en español y funcionan de la misma manera como es el caso de *okay/ vale*, mientras que otros operadores son poco usuales en inglés, no tienen traducción literal con

el mismo uso, función y significado siendo propios del SC como es el caso de *fijaros/fijaos*.

La segunda parte del análisis ha consistido en detectar aquellas agrupaciones de marcadores discursivos más frecuentes en el NAC y el SC, para después observar alguna similitud y/ o diferencia entre los dos sub-corpora.

En general los marcadores discursivos en español se agrupan con menos frecuencia que los marcadores discursivos en inglés norte-americano. Podría ser debido a que el SC utiliza menos micro-marcadores que el NAC y puesto que los micro-marcadores son recursos lingüísticos más invariables y fijos que los macro-marcadores o los operadores, tienen mayor facilidad y tendencia a agruparse. No obstante otra razón podría estar causada por la diferencia de estilos de clase magistral y/ o variedades discursivas entre el español y el inglés norte-americano. Si el NAC utiliza agrupaciones de marcadores más frecuentemente que el SC puede ser porque las agrupaciones de marcadores son ejemplos de un uso del lenguaje más improvisado, menos fijo y estable supuestamente más propio en un tipo de clase magistral menos formal, como las clases magistrales que forman el NAC.

Podemos concluir que las agrupaciones de marcadores discursivos en el género de la clase magistral son frecuentes. Los marcadores discursivos pueden agruparse, no sólo con otros marcadores de la misma categoría sino también con marcadores de otras categorías. Normalmente los marcadores agrupados mantienen individualmente sus significados y funciones; sin embargo en ciertas ocasiones algunos marcadores parecen tener y expresar

una mayor fuerza pragmática y su significado prevalece al del marcador que lo acompaña, prestando parte de su función y significando. Otros marcadores que forman agrupaciones pierden incluso su significado original y lo toman prestado del marcador que les acompaña.

Los resultados obtenidos en este análisis intentan favorecer el campo de estudio del discurso académico hablado y presentar nuevas aplicaciones pedagógicas para la enseñanza del lenguaje académico. Consideramos que una línea futura de investigación podría surgir de la observación de variaciones disciplinares en campos como la Ingeniería o el Derecho, por citar algunos. Otras diferencias entre el español y el inglés norte-americano y el uso y función de los marcadores discursivos a nivel de estudios de postgrado o de doctorado podrían ser estudiadas.

La incorporación al mundo académico de las Tecnologías de la Comunicación y la Información (TICs) han dado como resultado la aparición de nuevas y emergentes tipologías de clase magistral que han dado lugar al conocido *blended learning* (Thorne 2003, French et al. 2003) o aprendizaje mixto. La incorporación de visuales, el acceso y uso de aulas virtuales, la educación *on-line* propia de la o Universidad Abierta (*Open University*) donde la asistencia no es obligatoria y por lo tanto nuevas formas de participación e interacción convergen con las formas tradicionales. No nos podemos olvidar de la video conferencia y la tele conferencia, ésta última en directo y donde el entorno y la interacción entre profesor y audiencia es distinta a la clase magistral convencional. Indiscutiblemente, se podría hablar de nuevos estilos y formas de clase magistral sensibles a cambios en el uso, función, diferencias culturales,

grado de interacción y/ o participación, etc. que deberían ser tenidas en cuenta como líneas de investigación futura.

También pensamos que otras posibles líneas de investigación podrían estar dirigidas al estudio de los marcadores discursivos en otros géneros académicos hablados como los seminarios, las presentaciones en congresos, los talleres, etc. Cualquier estudio emprendido en alguna de las líneas mencionadas anteriormente sería de gran ayuda no sólo para los profesores sino también para los estudiantes dentro del espacio de la educación superior en todo el mundo.

APPENDIX A: North- American Corpus (NAC)

LE1

MICASE Full Transcript View

Title: Intro Anthropology Lecture

Academic: Social Sciences and Education

Division:

File ID: LEL115JU090

Publisher: Michigan Corpus of Academic Spoken English, English Language Institute, University of Michigan

Availability: The MICASE project is owned by the Regents of the University of Michigan, who hold the copyright. The database has been developed by the English Language Institute, and the web interface by Digital Library Production Services. The original DAT audiotapes are held in the English Language Institute and may be consulted by bona fide researchers under special arrangements. The database is freely available at this website for study, teaching and research purposes, and copies of the transcripts may be distributed, as long as either this statement of availability or the citation given below appears in the text. However, if any portion of this material is to be used for commercial purposes, such as for textbooks or tests, permission must be obtained in advance and a license fee may be required. Furthermore, some restrictions apply on the citation of specific portions of some of the transcripts in educational presentations and publications; all such restrictions are noted at the end of this statement. For further information about copyright permissions, please contact Dr. Sarah Briggs at slbriggs@umich.edu.

The recommended citation for MICASE is: R. C. Simpson, S. L. Briggs, J. Ovens, and J. M. Swales. (2002) The Michigan Corpus of Academic Spoken

English. Ann Arbor, MI: The Regents of the University of Michigan

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NONE

Recording 74 min.

Duration:

Recording March 14, 2000

Date:

Recording TASCAM Digital Audio Tape Recorder with two external
Equipment: microphones

Language: Primary Discourse Mode: MLG
Native Speaker

Participants: Number of Speakers: 2
Number of Students: 400

S1: Native-Speaker Status: Native speaker, American English; Academic Role: Junior Faculty; Gender: Female; Age: 31-50; Restriction: None

S2: Native-Speaker Status: Native speaker, American English; Academic Role: Unknown; Gender: Male; Age: Unknown; Restriction: None

SU-M: Native-Speaker Status: Native speaker, American English; Academic Role: Unknown; Gender: Male; Age: Unknown; Restriction: None

SS: Native-Speaker Status: Native speaker, American English; Academic Role: Unknown; Gender: Unknown; Age: Unknown; Restriction: None

Setting: Auditorium, Modern Language Building

S1: okay... let's get started. quiet please. <P :09> the topic of today's lecture is economics. um, and there's a whole subdiscipline of anthropology devoted to the study of economic systems, around the world, and that is called, not surprisingly, economic anthropology. so today's an ec- uh, an introduction to, some of the main issues. as they've been laid out in your text and there's a lot of information there, so i'm gonna, walk you through it. make sure that we get the main points. economic anthropology is defined, in the text, um as the part of the discipline that debates issues of human nature, that relate directly, to the decisions of daily life and making a living. this idea of making a

living will come up again and again today. and um, we'll think about what that means to make a living... when we say make a living we're generally talking about, what it requires for us, to, obt- you know, get our subsistence needs taken care of. subsistence being, your basic needs, clothing food shelter, and so, anthropologists use the phrase subsistence strategies for talking about the different ways, humans have come up with m- terms of how to, acquire those things that they need, that we need. so different subsistence strategies have already been introduced to you. we've seen a film and we've we've read a lot about foraging bands, bands being the tribe, the social organization form, foraging mean- being the actual economic activity going on. we've also had some introduction to agriculture, remember the slides that, Professor Kottak showed us, from Madagascar. and how rice agriculture uses, um a form of technology called terracing. so agriculture is another means of acquiring subsistence needs. another one would be pastoralism. we'll talk about that more today in depth. last, week we also heard about the Masai group in East Africa. and many of you have probably seen Masai in ads, in commercials. there was a famous Olympics ad that_ and some Nike commercials that showed Masai. um, and Masai are nomadic herders. pastoralism requires taking care of domesticated animals. and there can be different varieties of that. you can take care of camels, you can take care of cattle, you can take care of sheep goats any of a variety of things... so starting i- and then another mode that_ one that we live in, is industrialism, and i'll talk more about that on Thursday. so, those_ that's one of the ways in which we acquire our subsistence needs. so let's start briefly by going over the three that I mentioned, um three of the four. foraging, as we talked about already this is primarily hunting and gathering, acquiring your needs, pretty directly from nature. so going out, finding the food you need, hunting it, gathering it, and the people in Australia that we, we saw, they are an example of that, people in Southern Africa, people in in the rain forests of Congo, the Democratic Republic of Congo in Central Africa, these are, areas of the world where you find foraging still

in existence. however, due to, vast changes that have gone on in our world, it's very untenable these days, to pursue an exclusively foraging, subsistence strategy. so most foragers now in some way or another, are involved either in food production or trade, in order to acquire things that they need. and the reasons for that, oftentimes are that governments are instituting policies, that restrict the movement, of foragers. if you think about it from a government's perspective, it's very hard for you to have communities within your boundaries that, wanna move all the time and move, and have access to all sorts of land. and, when you have increasing population pressures and this and that, governments find this very problematic. and so they institute land policies that restrict, that create reservations, that restrict the movement, of indigenous groups that would like to use foraging as their main mode of subsistence. so, because of some of these pressures from government policy and, increasing encroachment on their land (by) other agriculturalists and people next to them, we find that foragers cannot, be exclusively reliant on foraging. very few, today. in the book, foragers are also mentioned by, by reference to a very famous anthropologist named Marshall Sahlins. Marshall Sahlins has written a lot about economic anthropology, and he sort of debunked the idea that foragers are the poorest of the poor, that no one would dare want to be a forager because, you're sc- constantly scrounging about, trying to get the basics that you need. and, drawing on the data that, um Richard Lee starts out with in that chapter for the reading for today, Richard Lee shows just how much, food is actually acquired in a very short period of time. and so that in fact, by their own standards, a lot of foraging communities, at the time that Richard Lee was doing this research mind you, in the nineteen sixties, that they were extremely affluent, because they had more than what they needed and more than what they wanted. therefore, Marshall Sahlins took this to understand, that they are the original affluent society because, they have everything they need in abundance. so that we should not look down on them as as being so wholly different and so wholly impoverished in relation to the capitalist,

very wealthy West... agriculture is a widespread subsistence strategy that we have in our society as well. um, you could, no one_ i should i should emphasize that, you can have multiple subsistence strategies, within a society. um, one might be more dominant than the others, and it's generally the case, but you can have more than one, in one community. so as i just said the foragers are now mixing foraging, hunting and gathering, with some, basic food production sometimes, and (to) trade. so, as so in our society, we can get, um a bunch of different strategies together. so agriculture is one. we can have very different approaches, to agriculture... one type of agriculture, sometimes called horticulture, is known as shifting cultivation, that means that, you have a community, that, will will um farm some land for a period of time. but after time, the soil becomes depleted, of whatever it is, of the resources needed, nutrients needed for that particular crop. so what will happen is that after a period of time, people will leave that plot alone, and move on, and start another, plot with the same crop. and then they, they're just shi- moving around shifting cultivation. these are called swiddens because, you burn the ground to create a clearing that is used temporarily for agricultural purposes. now that's different from intensive agriculture, wherein the same plot of land is used over and over and over again. so, we have large-scale agriculture here, where families have been living on the same farm for, for decades, and they are, and th- what you have to do in order to maintain the, the quality of the soil, is to use technologies of various kinds to make sure that you're continually rejuvenating the soil. so fertilizers would be one means. um, in Madagascar, the rice terraces are ways of creating, a continual rich soil with a mix of water and mud. and so there're different ways in which_ also um, intercropping, i think i put that up there, intercropping is a strategy used in parts of the world, and in parts of Africa where i've worked, where you will, you will plow, i mean sorry you will um plant different crops within the same field. so that you might have beans, and in between the beans you'll have y- yams, and the reason being is that they would draw different nutrients from the soil, when you've got

different things so, that is a way of maintaining the health of your soil. so there're different strategies that people have come up with, for dealing with, intensive permanent agriculture, which is different from, the shifting cultivation, that i described previously. <P :19> now the third form that i mentioned is pastoralism. and, this i- nu- the example i'm gonna draw on today is the Masai-speaking, Maa-speaking communities of East Africa. the Masai are not the only people who speak the Maa language, there are at least four other groups, the Samburu, the Ariaal, the Chamus, and the (Uparkulu,) who also speak Maa languages. and they're slight variants in the, dialects of the same language. but they're mutually intelligible so a Samburu can go to a Masai community and speak with people and be understood and similarly be understood by them. so, the Maa speakers_ i mean, first of all, pastoralism, as i said is is having nomadic peoples who move with their animals, and are free to follow their animals, to better grazing areas or water sources, and so they're very mobile like the foragers. and their whole life is oriented around, whatever animal it is that they_ or groups of animals that they take care of. so animal husbandry is what designates pastoralism as a as another subsistence strategy. so the Maa speakers <P :06> as you can see uh this is a map of Kenya, and then down below is Tanzania, and the Maa are the_ the Ariaal you see them in the middle, Samburu... the Ariaal the Samburu, Masai you see Masai come all the way down into Tanzania. um, and these are the communities that speak the Maa language. so it's spread over a wide area. now as i said, you've probably seen, pictures of Masai this being one, that appears oh, can you even see that? <P :04> in some local magazines this is current i- i just took it out about a month ago. and they an- the Masai are famous, they're sort of the iconic representative of noble savage. i'll talk about that in a little bit <P :05> so like foragers, pastoralists are under, considerable pressures, those from governments and from neighboring groups. because of the the need they have to continually move. and this is problematic if you're a farmer nearby and you don't necessarily want a a group of Masai coming through with their

cattle to trample your fields. you can see how that would create a conflict of interests in terms of how land is used and allocated. um... nation-states are also concerned with boundaries and who, are their citizens. so if you have as i showed you on the map, the Maa, the Maasa- Masai straddle, they are found both in Kenya and Tanzania. when the nation-state boundaries were determined, no one paid any mind to who lives where. and so the boundary cut through, Masai territory. as a result, you have Masai in Kenya, and in Tanzania who consider themselves part of the same group, and they feel that they ought to have the right to go back and forth as they always have, for, for years and years and years. and so the creation of this, essentially in their minds artificial boundary that they have to have a paper in order to cross, is another conflict of interest between state and, Masai groups. so, policing their boundaries, these are some of the pressures that they face, today. another pressure is the creation of national parks. i would venture to say that, there are two images that are dominant in our media, about Africa, and one is of starving malnourished, war-ridden human communities, very negative portrayals of humans. we're seeing a lot of that in terms of the Mozambique crisis. it's true, but it's just the dominance of it in the media. and secondly, beautiful positive images of animals, so that you wanna go on safari and this and that. so you have the two images that come out in Africa. um, so the creation of national parks to feed this Western desire to be able to go to beautiful places and see animals like giraffes and lions, in their natural habitat, is something else that is a relatively recent development. and that has also entailed another pressure placed on the Masai communities because that's exactly where they live. and so, when governments go in, they wanna cordon off an area and say this is only, for the use, exclusive use of tourists. then of course that eats away again, at traditional grazing areas that the Masai have always used. so that's yet another pressure. a third is the creation of commercial ranches. the government has decided that there is indeed profit to be had from, raising cattle. and so_ but the problem is

the Masai don't necessarily want to do all the things that, the government wants 'em to do. so all the, sort of the medicines, that the government would have you give to your cattle to ensure, whatever, you know, good growth and, quality of beef. these are not things that Masai are totally interested in, in terms of technological, um investment in their in their cattle. they have different ideas, that have worked for them for centuries, on how to raise cattle. so they don't necessarily want these in- these uh um sort of uh, problems from the government as they see them. so, commercial ranches so now the government has decided to, uh um create an environment where people are invited to invest and create big large-scale ranches for the keeping of cow- cattle, and that that will follow the government's guidelines in terms of, vaccinations and this and that and the other. um, so again now you have commercial ranches competing for the same land, that the Masai have always used. and then finally large-scale agriculture. there are new, um new developments in terms of the creation of large-scale wheat farms and coffee plantations and all sorts of things, that again are another, threat to Masai grazing areas. so between all of this, the Masai are having a difficult time, trying to be able to maintain their pastoral way of life, because there's always encroachment, on the land that they need, to follow their cattle around. and mind you, Africa is a very difficult environment to live in. i'm gonna show you some pictures of it. but it's very arid, this area of Kenya that was on the map. very arid and dry, and, there's a rainy season and a dry season. so you have to move, in accordance with the seasons. when it's the dry season you have to go to the few areas that you know of, where there's a constant supply of water. and, during the rainy season you have more opportunities to go elsewhere and take advantage of different grazing areas. so, because of the environment, they have to have that mobility, and that mobility is increasingly infringed upon, by these, different factors... now Masai have, also a problem dealing with the prob- the issue of land, because they, they don't conceive of, land as being owned individually. so when the government gives plots, tracts of land to commercial ranches, or to

large-scale agriculturalists, they_ i mean, for Masai, you can own cattle individually. a person can identify a cow that belongs to him or her. but the idea of land as being owned by a person, is is somewhat foreign. and so, that's another conflict because, they think that, how can you own this land? this is something we've been using for for decades. and who are you to say that we cannot have access to this water hole that we've always taken our cattle to since my grandfather and his grandfather, etcetera. so, the idea of land as being owned individually, is problematic because they don't have land, a conception of private ownership of land. they do have it for cattle. it's not that they don't know what private ownership is, but they just don't apply that principle to the ownership of land. so they therefore are not totally respectful of the idea of other people owning land. so that's another problem. now Professor Kottak told you that, Masai have these named age sets. and they, they occur for about a seven-year period. just as uh, the example of graduating class of whatever, you are, you are moving through a four-year span of time with your age set. uh, Masai groups, and Samburu, and Ariaal, and all the, neighboring communities that engage in this have seven-year span groups. so, any boy that is born within the same seven-year period of time, will be a member of that age set. and will go through circumcision together. so that it's not that they're all age thirteen, and they can range from, whatever, nine to sixteen. and they'll be in an age set and they'll undergo circumcision together. and these are very intense, intense groupings, sodalities, because they live together, they they they, more than sibling rela- or as close if not more so than sibling relationships in America. because this is the, this is a progression. male age-grades begin, you begin as a boy, and then, once you're circumcised you are initiated and you are called a *morán*. the plural form of that is, *morani*. okay? and so, once you become a warrior, you are sent out with the cattle. and you live away from your parents and away from the community. and you all live together out in the bush. and you're taking, you're following the cattle around, while people stay back at home. and, so because of that intense, isolation an-

an- and bonding that goes on, these people see themselves as creating for the rest of their lives. and they have a name attached to their group. after being a *morán*, they then graduate to being a junior elder. at which point they can marry. and then after a period of being a junior elder they then ultimately become a senior elder. so these are the four stages through which, the four age-grades that, a- any given age set will pass through. women, pass through a different set. they start as young girls, are then thought of as adolescent girls, where they are (a) marriageable age, at which point once they get married, then they are married woman, and then the, the giving of birth, catapults them into the, most honored esteemed status, which is that of mother. and that's the highest status for them. um, they also thought of as elders but it's not, a formalized, thing as it is for the men... um <P :05> with all these pressures from government policy etcetera, you h- the same communities in this area are all suffering under the same pressure. so *morán* are a foraging community. Rendille, Ariaal, Samburu, these are all, nomadic pastoralists, Gabra i think are another foraging community Turkana are, also nomads. so all these communities which traditionally have been unfettered in their movements, now are having to negotiate all these problems with ranches and government policies etcetera. so, because of all these increasing pressures on them from outside external forces, it has led to an increase of conflict from within, so that they are not competing with each other for the scarce_ access to land that's now available. so there's an increased amount of, also conflict between these communities. um, as i said that_ you often see the, Masai used in in advertisements and in Hollywood films, and that's because they represent for people the Africa that, people think of as lost. cuz when you're just getting this barrage of negative negative human misery coming out of Africa, you wanna look to something and cling to something as somehow noble and, above all that. um, somebody just wrote to me yesterday from South Africa, about the efforts going on in Mozambique. and, for every helicopter that has been sent over as aid, to pick up people, pluck people from the water, and i'm

sure you've seen some of the pictures of that. for every helicopter that's there plucking people out of the water, there are two helicopters of journalists. and how many people did any of those helicopters pluck? not a one. so, this this emphasis on past_ recapturing the misery and capturing_ and and spreading it around the world, is overwhelming. with regard to Africa. so the one sort of, refuge away from that misery, is to have a picture, something to look up to as noble and honorable. and so, but in the process, the image gets corrupted somewhat. and so we're gonna see that right now. excuse me? okay. just to give an example. <P :13> how many of you saw that movie? don't see it the rest of the you who haven't it's pretty bad. [SU-M: oh] <SS LAUGH> unfortunately, though i have to say that i worked on that film, so the few lines of Swahili that you heard, Michael Douglas attempt to say there, was uh a result of my my great effort, but what can i do? the man wouldn't learn it. um, <SS LAUGH> anyway, i have a lot of problems with this film for a variety of reasons, and it was not presented to me in the manner in which it eventually emerged, um else i would have not have gotten involved but that that scene, is very illuminating of how, Hollywood distorts images. and i will get back to economic anthropology. but just, but this this ties into our discussion on Thursday too, of world systems, and and how the rest of it is involved with quote unquote the rest. but that that scene was the first scene where the Samburu, and this is the Samburu, although the script called for Masai, and you heard them afterwards refer to them as Masai they are in fact Samburu. they would take umbrage at the idea that they were being presented as Masai. they weren't they didn't, i don't think they've seen the film. <SS LAUGH> but anyway, they are Samburu. <LAUGH> and, um, they were flown in because Hollywood had a contact with Samburu, it did not have a contact with Sam- with the Masai. there was another film called The Air Up There, some of you may have seen, which had a Samburu community in it, and so because they knew these people, they said hey. we'll take advantage of them again, close enough, almost like the Masai. so brought them in, and um, i was asked to talk to Michael

Douglas about this scene because he had this vision in his mind of how_ what he wanted this scene to d- to be when he arrives, it's his arrival scene and it's their arrival scene as well. and so he said to them, he said okay look. Carrie, i want this thing. i want, to say something, and then they all call some battle-cry response, and then they and they're jump out of the, out of the grass out of the grass. so i'm like well, you know, uh i, why don't i talk to them and see if they have such a thing as a quote unquote battle cry? i mean you could see the re- the the references to Westerns right? what was this, it's like pow <SS LAUGH> when, when they, when they come up, out of the out of the grass. i mean the, some of the cliched lines and stuff, i won't go into that. but, he wanted them to say, he wanted to scream something out and there would be this response, and so i talked to them and i said well, you guys what, what would you say, is there such a thing as a call and response thing that might go on here? and, they thought and they thought and they thought, well what about, we are *moran*? we are, *moran*, what if he just calls us warriors, you know this is what we are. and almost all of those young men were indeed from the *moran* age-grade. so, he s- so he does that. he says, *morani*. which is the plural form of the *moran*. and they said, okay that's good now we've got that covered. but what would sh- would we respond? and i th- and th- they thought and they thought, and finally one person said, well you know if someone calls you and you're startled by that, you would say <GRUNTS> <SS LAUGH> and so, what if we just did that, like we we're sort of surprised that he called us? and so i said well, i don't know, okay let's try that, so we go onto the set, and they had kept the Samburu away, like at a twenty-mile distance from anyone else, on the cast and crew, and, we were kept at like, i w- i was with them because i was the interpreter. and we were kept, segregated and i didn't realize really quite why that was, until we shot this scene which was the first scene and what struck me was that the cameras were not oriented_ the first setup of the cameras was not on the Masai, Samburu, but in fact on everybody else. and what i realized afterwards was what_ we were

being kept apart because they wanted to capture as true as possible a sense of shock and amazement at the exotic Samburu, on everyone else's faces so Val Kilmer and all the people in the crowd were supposed to be totally shocked by the sight of us. because it would be truly, indeed the very first time that they would see any of the Samburu. and so all th- all the the orientation of the cameras was a big clue. so anyway, so they shot the scene several times, he calls *morani*. they jump up out of the grass, they ran forward, they stood in a line and then they said <GRUNTS> in unison. and so then you could see, Michael Douglas wasn't quite satisfied with that, and he sat and talked with the director and they thought they thought like well, what if you sustained that? what if you kept going with it for a little bit? can we try that? so, everyone gets back in the grass, they crouch down, everyone c- the director calls action, whatever. and they come running up forward and they stand in the line and all start they start doing this again, <GRUNTS THREE TIMES> which would be like if we were to cough extendedly or hiccup extendedly, or something, <SS LAUGH> this is not, what they do. completely concocted. anyway. more on that later. but, what i wanna do, is show you, images of of what their life really truly, is like. and i wish that, i had these on slides because i think it would do better justice to them, but we'll just have to suffer with it. wait... come back here for a second, to show you what, the area that i'm talking about. Samburu area is here. and (Marawal) is the main center, where t- where S- Samburu come to trade and to buy the few things that they need from stores and stuff like that. so downtown (Marawal) looks, like this. you can see the brightly colored shops, there will be a mixture of people because it's a trading post, so not only Samburu but people from all over, who come and open up shops. you can see the, the imbrication, and the coming together of different subsistence strategies. so within (Marawal) you have this n- the pastoralist, Samburu, but you also have, shopkeepers, who are engaged in in market exchange... just a close-up. you can see some of the, the tins that are hanging from the the rooftop there... if ever you wanted_ wondered, yes there is a Hard

Rock Cafe <SS LAUGH> you can't see that very well, but it does indeed say Hard Rock Cafe. <P :07> these are some cloth vendors. now, w- in the pictures that you'll see of Samburu and Masai, they have very strict color combinations of what they will and will not wear. and men are wearing a lot of red, women wear a, wear a lot of, blue. so certain uh, as you see the_ that's not very clear. <P :04> here you can see a Samburu woman, who is now, because of the the problems with pastoralism, starting to engage in other activities. they, when these Samburu came down for the film, they were actually selling their beadworks because they realized a lot of Westerners were really into that. so you know, they they they know how to exploit the market, as well. <P :08> so coming out of (Marawal) now you see the arid environment in which they actually, do their herding and it's it's a very challenging environment. it's extremely extremely dry at times. this is called an acacia tree, which is, no movie about Africa can be without an acacia tree... and here we're going into an area that is a li- bit more lush. <P :07> now the Rendille who are an neighboring group, they herd camels. in addition to goats, in addition to cattle. they've decided, that it's better to diversify your your basket, not don't don't put all of your eggs in one basket. so they have camels and different things because they d- if if a certain disease were to hit one of their animals then they still have the other ones. Masai are pretty much, exclusively into cows. Samburu like, will mix cows and goats, but they don't deal with camels. so that's another one of the differences, between these groups. what exactly they, they domesticate. <P :06> so you can see here, a Rendille child, herding his camels... and here's a Samburu child herding some goats. <P :14> now we're gonna trace some house structures, this is a Borani hut. the Boran again are m- more foraging people, and so look, what you notice about this is that, their kraal is really, um that that sort of, very, sort of um, not terribly, involved, fencing because they're gonna pick up and move, not long afterwards. their grass_ their um their houses are made of grass. it's very um easy to take apart and very easy to construct. Samburu are more, settled than that. they move, but

generally what would happen is that, the elders (will) stay in a (Boran) homestead, and the young boys, the morans, the warriors, will take the cattle and and and move around with the cattle. but you do have the elderly people and the women and the children staying, primarily in a kraal. and kraal is their homestead, the the area in which they keep their goats. when the when the people come back, from having gone around grazing... another Samburu homestead. <P :07> you can see the construction, it's much more detailed, involved, than the Borani... there's a woman gathering, wood. <P :06> now you see, these are morans. and, they're identifiable because they always walk around with three weapons. they must have a spear, they must have a knife, that is s- s- is um, tied around their waist, and they have a walking stick, which they call a *wuru* which is generally under one arm. so, when they come to visit somebody, they'll put the spears in the ground, and they'll and they'll start socializing that way. <P :04> now this is the cattle market. um, i was with these guys after the film, and helped to accompany them back home and pay them, and so, first thing they did with their money was to go to a cattle auction, and buy more cows for their commun- for their families. cows is how they, they have their wealth. that's how they measure wealth. and whereas we, you know consider money our our staple form of wealth, and you accrue it in your bank account, cows are like their, bank account. the more cows you have, the more security you have against hardship down the line. so here's people sitting around looking at the cows that are for sale and trying to decide, which ones they wanna, bid on... and, the beadwork is another identifying factor that distinguishes one group, from another. um, the color combinations they use in their beads. there's a distinctly Samburu beadwork patterns, that's different from the Masai, it's different from Rendille. so they can tell by looking at that, which community you're from. <P :04> now just the fact that there's an auction, shows that again, there's some market exchange going on. and school has been introduced, and so Samburu youths are now going to school. just like most other children in Kenya. <P :04> and you can see the beadwork on on women. women aqui-

cumulate these beads all through their lives and they never take them off. the idea is that they'll never take 'em off. and so, it gets increasingly bigger at two points in your life, when you're older, after you've been around for quite awhile, and when you're about to get married, is when you'll be given a lot of beads by your older female relatives. so when you get to this age and then you start giving your beads away to the young girls who are about to get married... this was one of our actors, um, come back home. <P :10> and... if i don't wanna_ this one with Ruby it's just a nice, particularly nice picture. okay, so this is, this is the Samburu life that truly exists, not the one that you'd see depicted in any sort of film. and <P :05> i wanna get back to the idea of making a living because <P :06> some anthropologists have droted (*sic*) that_ one anthropologist, um, Brenda Williams, has talked about the difference between making a living and making life. and what does she mean by that? cuz she's doing her research in a in a community in Guyana, it's in Central, America. and, she talks about how different groups talk about each other in these terms. so for instance, Indian shopkeepers, who are the people who have started most of the shops in this community. they are talked about as being very very good at making a living, but not terribly good at making life. and what that is from the outside, it looks, for people who, are not as devoted to, shopkeeping and all the work that that entails, people say, they work all the time. they're just they're just working all the time. and so they don't have time to actually live life. they're too busy making a living. and so, she draws that distinction that, making a living is, defined as a person's industry skill or ambition, all of which result in material w- awards. the things that requires, whereas making life is, your interest in socioeconomic well-being of, others as well as your own. so that some people place, more emphasis on one, rather than the other. and the ideal, is that you should be able to balance them. we'll come back to that. so, in the book, they, let's see identified that there're, what's often talked about in the literature is three phases of economic activity, production, distribution and consumption. and i wish that i had a better computer i could actually it's kind of a

circle, because what people consume, feeds back into the production, and that gets more complicated than that, you could draw lines back and forth between the distribution. how things are distributed may, increase consumption or decrease consumption, as opposed to, you know, there's that's much more complicated than just a simple, production distribution consumption linear, progression. the production means the transformation of raw materials taken out of nature, and created into products that we find useful. distribution is the allocation of goods, and services. and the consumption is the use of goods and services. oftentimes, the definition ends there. but the book is making a point that you cannot just end it there. and so they continue the, definition as saying consumption is not only the use of goods and services for human survival, but as well as, to communicate human th-cultural values. because we have to start accounting for, the differences that come up. why in that same region of Kenya, are there pastoralists, and foragers, and agriculturalists, and shopkeepers? you can't say that, it's just for human survival, i mean if there was just one way of surviving, then we'd all be doing, pretty much the same thing. but there're, we've all found different ways. and we value those different ways and we, they have meaning for us. so what is it about consumption that also talks about culture, cultural values? <P :10> and mythological theories, have tended to focus one of these over the other. and, we're gonna look through those, but after you've had your break. so stand up and stretch for three minutes and we'll come back to the different types of data.

<END SHOWING PICTURES ON TRANSPARENCIES> <P :06>

S2: did you, make those slides (on the) transparencies (xx) how did you (manage to) do that?

S1: i did (xx) **[S2: they're nice.]** a little bit easier than flipping through the **[S2: yeah,]** carousel. **[S2: right.]** it's a bit problematic when you've got so many slides.

<P :08>

S2: you know i was planning to uh, (xx) under the new (xx) and one of the things that i noticed was that the transparencies were (xx) which was (xx) know how to do that, you have to send the form. do you know how_ did you turn in the form?

S1: (i mean) only on paper. i don't think that you can, i think you'd need a color LaserJet. because that probably (isn-)

S2: no, i've got a color DeskJet at home.

S1: (oh okay) can you make regular transparencies on that?

S2: well no, i apparently (xx) black ones (and there all) they did the transparencies. so i've got a LaserJet, so i've been using the LaserJet to produce the uh, the transparencies, but i don't have a color LaserJet.

S1: because the LaserJet sort of, puts, puts things on

S2: well what do you do? do you take uh? how do you make th- these from (slides?) do you take these to (Kinko's?)

S1: well, no these are a few pictures from Guyana, so these are some of the pics- (xx) (you drop off your pictures) (xx) but you can, like the one on the ad, [**S2: mhm**] i took that to Kolossus. you can make color

S2: you took that where?

S1: Kolossus?

S2: mhm. [**S1: (xx)**] (you just took the ad down there then. it seems like something) i mean you must, you must be able to scan slides so that they uh, but then how do you get 'em on, (xx)

S1: (xx) just use, P- PowerPoint now. she scans pictures in and then she has them in the computer, and and then projected them (xx) [**S2: no, i don't know**] i don't know how to do that yet.

S2: i know (xx)

<SHOWING OVERHEAD DURING TALK>

S1: okay we start with, we start with the middle of that line i introduced excuse me... so if you start looking at production distribution consumption, we're starting in the middle at distribution. and the theories that have arisen out of the examination of distribution, is called exchange theory. exchange being another way of thinking about, distributing things. so, for a period of time, exchange theory was what dominated, early anthropological-economic anthropology. because it was seen, it was theorized in response to what what then the dominant, economic model. which is neoclassical economic theory, as emblemized by, Adam Smith. and the book goes into that um, what what neoclassical economic theory is, that it's emphasis on the free market, as the motor of capitalism, that it's free because there are no traditional restrictions, determining, how things are distributed, in previous times, you know only nobles could get certain things, and some thing- there were there were restrictions on, how things could be distributed. now the free market is free because those restrictions, supposedly don't exist. that prices fluctuate in response to the laws of supply and demand, um, that the market determines levels of production, and consumption. all this should be familiar to you, and, capitalism is the only form of economic rationality. well, the logical extension of that, of course is that, noncapitalist societies are irrational and that is something that, we do not accept. so in trying to promote that the response to this dominant paradigm... anthropologists came up with the idea of exchange theory. and, they were called substantivists, substantivists excuse me. they were responding to people called formalists. formalists are there were some people within anthropology who did find that neoclassical economic theory was applicable, to noncapitalist societies, um, but substantivists rejected that claim, in saying that it's not applicable, you have to understand each society's economic system on its own basis. and so they say that, there's more

than one possible economic rationality. that contrary to capitalist thought everything, does not have a price and is not for sale. that the self-interested materialism of Western capitalism, is not universal. and that trying to force non-Western economies into these Western models, irrespective of fit, is doomed to failure. because you're just you're you're imposing this. moreover they point out that the capitalist market is a relatively recent invention in the history of, humanity, and that it is not the only mode of exchange. so that noncapitalist societies have alternate modes of exchange, and they di- distribute goods in accordance with their cultural values. so, the, what goes into some examples of what these kinds of exchange are, um, in broad sweeping_ to paint it_ sweeping terms, you can you can think about it this way. that, in the West, wealth is measured by how much we consume. the house you live in, the car you drive, the clothes you wear, the number of C-Ds you have in your collection, etcetera etcetera etcetera. we ch- that's how, that's the mark o- of how wealthy someone is. how much you consume, how much you can consume. but in other parts of the world, as in Africa, and in the Northwest Coast, wealth is seen by how much you give away. that the true mark of a wealthy man, is how m- is that he can give tons of money away, gifts, you know, he can constantly give things away. so it's not the consumption but the distribution, that is the marker of wealth. so Marshall Sahlins identified three modes of exchange. in saying that, there's an alternative to the West, he c- had to come up with some alternatives. so these are, reciprocity, redistribution, and market exchange being what the the West is famous for... so there are three kinds, of reciprocity, according to Marshall Sahlins. and these are, generalized reciprocity, which is where you give something with no expectation that it will be returned immediately, anytime soon... second thing is balanced reciprocity, and the example in the book was at, Christmas time, when you give gifts but you also expect to receive gifts. so, that's balance. when there's an equal exchange, when an exchange is made with the expectation that, there will be a a return to you within a prescribed period of time. so that's called balanced reciprocity. and the

third one is negative reciprocity, the attempt to get something for nothing. so haggling at the market, that's if you wanna go that far. that's called negative reciprocity... redistribution is the second mode of exchange. and that is where, a central organization or a central person and the example was, the IRS, as an organization. the example of a person in a chiefdom would be a chief, who, accepts contributions from everybody in a society and then redistributes it, according to the needs, of everyone in society. so redistribution, is another form, of exchange. so as you can see these two, reciprocity and redistribution, are not in keeping with the capitalist mode. i mean there's no prices involved, um, all- the things that go on with market exchange are, do not apply. so, potlatch is something that appears in the Northwest Coast, of North America. and, that's a very famous example that anthropologists have used, to talk about, redistribution as a mode of exchange. because that's where, some noble in in this_ these Native American communities will take a lot of wealth and just give it away, or burn it, you know just, get rid of it. but, a lot of it is giving it away. and so that's seen as, irrational, or like that like he's not getting any profit from this_ why would someone do that? why would they take all their wealth and just give it all away? but that's because, in part, people who, who are confused by that are seeing wealth, and profit in singularly material terms. so that, if if wealth is only the things that you have, then it's hard for you to understand how you can still be wealthy after you've given all that stuff away. but in other societies, wealth is measured by many different things, so you can get prestige, you can raise your status in society by having done that which is worth more than things, the dishes and the pots and everything else that you've just given away and redistributed to everybody. so, a potlatch is an example, a very famous example of redistribution. another example would be rotating credit associations. these are found all over, the world. and that's where an- i- particularly strong in women's groups. um and my experience again in Africa, has led me to see how these things work. a rotating credit association is where, a group of women will get together. and mind you, you know life

is hard. and so, your daily needs, your your daily income, whatever you do, generally just about covers what your daily needs are. and there's often not a lot of surplus there. so when a big expense comes along, like you need a new roof, or, your child needs the school fees to be paid, something big, or y- you have somebody who's getting married and you know that that's gonna be a major expenditure. when something big comes along, that often cripples the the little, person. i me- i don't mean b- but, someone who doesn't have access to a lot of wealth. so, what rotating s- credit associations do, is that they pu- you get together, with a group of your friends, people who you trust, and everyone puts in, a certain amount of money every month. and one person gets to walk away every month with the whole lump sum. and you'll plan it out, like as as you get together a woman will say, you know in October i'm gonna need to pay my scon- you know my son's school fees. and, another woman will say well, and then in November, my daughter's getting married. so, it will be planned so that somebody, everyone benefits from getting a big lump sum of money that they wouldn't be able to build themselves, on a daily basis. so that's another way of distributing, funds. in East Africa you have these things called dance societies as well, where purportedly the idea was people get together and enjoy life, and that this is a form of entertainment, getting together and dancing, and performing at weddings and stuff like that. but another thing, those societies served as self-help s- organizations too. people would come together and would help out, contribute their labor, and contribute money and gifts, for big events. so funerals and weddings being the primary two. so that if you had such an event in your family, you n- you could depend on your your dance society to come in, and show up on these required day, and be there to help cook, be there with all the extra plates you're gonna need to distribute the food, and be there to contribute money, for, all the other additional costs, that are entailed. so dance societies also serve this function, for redistributing wealth... and i put here secret societies with a question mark in America because, we have such things. and, and it's a way of

maybe not distributing money so much as distributing contacts, getting, getting knowledge out about different people and, leads in to jobs and stuff like that. that can be seen as a redistribution as well, redistribution of knowledge and services and contacts. <P :08> market exchange then is the final form, of exchange, that is discussed in the book. and Karl Pulanyi is most famous for being associated with that and defining capitalism, as an exchange of goods, so trade, calculated in terms of a multipurpose medium of exchange and standard value, I-E, money. and carried on by means of a supply-demand price mechanism, I-E, the market. so these are the, these are the defining features of capitalism. and then i said before, different modes of exchange can coexist in a single society, but one general (resource) is the primary mode of operation, so that when we say capitalist, West, or capitalist America, we know that these other things occur. there are gifts, we give gifts to each other, we have reciprocity too, we also redistribute, we have that too, but the dominant mode that drives our economy as a nation, is, the market. and so therefore we are considered a capitalist society. other societies will lend weight to, something else, so in, in the Samburu community i showed you, you see people involved in trade. um, there might be some, some agriculture there too, i i haven't seen it in the Samburu but, you know there's different ways of, you you combine strategies to, to get by. now the second_ so, if we've done distribution, the middle, the middle point in that, equation, we move backward now, the next thing that came, to be very popular in anthropology is production theory. and this was, generated as a result of interest of the writings of Karl Marx. who, should be familiar to you. now Marx is, is is ve- is very famous for having recognized, and placed importance and emphasized, in human labor. so that the piece of paper that i'm holding up, is composed of pulp from wood. but, if you just see it, if you just attach its value to the value of the wood, you'd be off because what made it into paper, is not the wood but_ so much as the labor involved in taking the wood, and mashing it up, and treating it with chemicals, etcetera and pressing it. all that labor involved that that resulted in these

pieces of paper. so the labor is what transforms, the natural resources, the raw materials, and takes them and creates products out of them. and the labor is often, ignored, when people are attaching prices to things. they look at, the components of something and so that's why um, he s- he seems very revolutionary for emphasizing that we need to take account, of the human labor involved, in production. he also focused on how labor links human groups. it's not a singular individual activity. it's something that we do together, and not only links us to each other but it links us to the material world. cuz that's what we're dealing with. we're taking these things from the world around us, and transforming them. so, that labor is this thing that can create, solidarities. <P :13> people sometimes get bogged down in the terminology associated with Marxist thought. so a way to think about it, is that he talks about the means of production. the means of production are the things you need, to do, the production, the act of production. so, in the case of paper you need your wood, you need your machinery to cut down wood, you need the chemicals involved in treating the wood, you need the pressers to press it into paper. all those things are means of production. and the knowledge, including the knowledge, that goes into, knowing how to transform wood into paper. so, it's this tools the skills the organization, and the knowledge, used to to extract an energy from nature. in a por- in addition to that, you have the relations of production. now, i said labor links, p- people together and creates social groupings, so what are the relationships between groups, um that link people either to the natural materials, or to each other, or to the tools in the means of production? what are the relationships between, all the people in this process? so if you take the means of the production in, conjunction with the mo- with the, relations of production, the sum total is what you will, see as the mode of production, for a given s- community. and that, as defined by Eric Wolf, is a specific, historically occurring, set of social relations through which, labor is deployed, to wrest energy from nature, by means of tools, skills, organizations and knowledge. so you see in his definition he says, the social relations,

combined with, the means of production. so, that's what Karl Marx's, um, having, been able to break down, economic relations into these different components. <P :09> now Marx theorized at least eight different forms of_ modes of production. we're not gonna deal with all eight here, just gonna talk about four. one of them is the kin-ordered mode of production. the kin-ordered mode of production is where labor is deployed on the basis of kinship relations. so for instance, foragers, we saw that in the bands they're generally bands composed of family members, so that that people have s- prescribed tasks within the band, as to what they're going to do, the economic activities they're going to do. so that's a, that's an example of a kin-ordered mode of production. another one would be, peasant farmers, if you think of the family farm, where everyone on the farm, again, is assigned specific tasks. so that would be another example, of a kin-ordered mode of production. uh, tributary mode of production, is where the producer is allowed access to the means of production, but required to give tribute in exchange. lemme give you an example of that. think of feudal times, um a feudal lord (he could) have peasants working on his land. those peasants could produce for themselves as well, they had access to the means of production, the means in that case being the land, the seed, whatever tools they needed, so they had access to the means of production, but they had to pay a certain amount of it back to, th- to um, to somebody else. so they had to give tribute. okay? another example would be chiefdoms, where you have that, where people give t- bring tribute, they'll harvest their own plots of land, they'll have their plots of land, but then the, at the end of the harvest they'll come and they'll give a certain portion of that over to the chief, who will store it for times of need for everybody else. so that's where the redistribution comes in. people bring in, they give tribute to the chief, the chief stores it in times of need, he pulls out the extra stores of food, and <NOISE DISTURBANCE> (xx) distribute that. so, the tributary mode of production is another, variety. the capitalist mode of production is where, you know, Marx has done a lot of work. and it has three defining features. first of all, the means of

production are owned by, the capitalists. so that, in a factory if you're given, as an example, the factory's owned by somebody who would then be called, in Marxist terms, the capitalist. workers do not own the means of production, and they must sell their labor to the capitalists in order to survive. so they are disenfranchised from the means of production, uh factory workers don't own any share of that and so that, they're just, they're selling their labor. the company's buying their labor. and finally, that worker's labor translates into profits, a surplus of wealth, for the capitalist. so Marx analyzed this whole set of relationships, and these are, and this evolves to- people get the social relationships between the capitalists and the workers, and the means of production owned by the capitalists and not the workers, that together, those sets of constraints, means that you have a capitalist mode, of production. and then Marx theorized, the creation of, uh an ideal form, in his mind a mode of production would be the socialist mode, wherein everybody in society would own all the means of production, and that would be the ideal. we know, we know from history that some communities and nations have tried to do that and not fail- and not, succeeded, but in in his theory that would be ideal, if everyone could own the means of production, that would be a truly egalitarian system. so what we see is that there's a shift now from, focus on exchange, to focus on production. and this ge- this shift in focus generated another sort of, amp- um antecedent shifts, uh in terms of anthropological, economic thought. and that is that, whereas before in in the use o- looking at exchange theory, there was more of an emphasis on exchange, um and and equality, and social equilibrium, how the system maintains itself, that you know there's there's one person and they generate, they accrue, an enormous amount of wealth, but then it reaches this level where it's just too much, and so then he has to give it all away, and so that brings everything back to zero again and it goes up again, and the and the system just keeps working over and over, to maintain this sense of equilibrium. well Marx, by talking about production, and the inequality inherent to certain types of mode of production, shifted the focus, and

so now is_ we think in terms of, not so much equilibrium, but social change. and the dynamics and conflict, how different communities because of their relationship their unequal relationship or their different positions in the mode of production therefore come into contact with each other. they have different interests. <P :18> so these different, interests, often are related to, or supported by, different ideologies, that come about. and, Marx defined ideology as the products of consciousness such as morality, religion, metaphysics, that explain to people who they are and justify to them the kind of lives they lead. and, Marx had a very crude take on the relationship between ideology and economics. for him, economics is the motor of everything, and that where you are in the economic, map, or in the economic ladder, will determine what you think about that. and, since then we've moved away from that, we've we've looked at how, there's much more complex relationship between, thought and action, between ideology and, material practice, what you're actually doing every day. that that it's hard to fi- figure out that one determines the other, there's a lot of going back and forth between them. and so it's not as, easy as that. as a result Marx is thought of as being very materialist. because he's grounded in economics in the making of living, um focus. so, from production theory, we'll spend the last few minutes talking about consumption theory, the last in our, tripartite equation. and this is more recent, although one way not because Bronislaw Malinowski is talked about in your book as having thought about this too, uh, Malinowski is one of these early anthropologists that we've already mentioned in the course, who worked in the Trobriand Islands, Melanesia, and he thought, that consumption occurred to fulfill certain, primarily biological needs. that, you know you consume foods because you need food, i mean, that you create houses simply because you need shelter and that's that's the main, emphasis on consumption. simply the fulfillment of needs. and, taken to its extreme form, that can be seen as a form of biological materialism that what our bodies need therefore determines what our culture will produce for us, or what we do. and so that's that's

that's it, the argument in its extreme form. it's flawed, because it reduces the complexity of human thought and action, to one single factor. that, if it was just biology, then people living in the same environment, or having access to the same kinds of foods, would all be doing the same thing because their biology sort of determines that. and we know that's not true. we know that in any given environment, a community may find one plant edible, meanwhile another community might find that plant, poisonous, as far as they're concerned, um we eat different things, we do different things, we construct different forms of shelter, um, all these things are_ there's too much diversity in how we go about fulfilling those needs, that you cannot anymore talk about simply consumption is, the fulfillment of biological needs. <P :12> the book then goes on to talk about cultural ecology, and says how, other people came and started, theorizing consumption in terms of, constraints given in the environment, that you create certain houses, you you pursue certain economic strategies, because you are limited, given your environment, on what those strategies are. so, cultural ecology is not necessarily (what we're) (xx) about, but it examines the relationship between people and their environment. and the most extreme form of it, assumes that consumption occurs only in direct relation to what the constraints are within the environment. but, as i showed you on the map of Kenya, you have a very similar environment and very different ways of approaching how to live within that same environment. so environment also, just like biology, cannot be, the only factor. there's gotta be other things contributing to it. so cultural diversity is not accounted for in either of these_ the extreme forms of these two, of these two interpretations. and there are less extreme forms, and so i i don't mean to throw out, the baby with the bath water but, um, so how do we, how to we take into (effect a) culture? culture defines the needs of its people, and shapes their strategies for responding to those needs. it gives meaning to life, and how one goes about making life, making life in the in the terminology of of Brenda Williams again. not just, it's not just about making a living. if it was just that, then we could talk about,

you know, materialist reductionism, or biological reductionism, or the environmental reductionism. but, it's more than that, making a living is just one part of what we do as humans. we are involved in this *edvdevor (sic)* to making lives for ourselves. and life is much more than simply the eating, and the sleeping, and the and the doing that we need for our basic needs. so how is it culture then, makes us, helps us to understand, what else goes into making a living that makes us live lives that we find meaningful? and with purpose, um, the book talked about food prohibitions as different ways that culture, intervenes in the consumption process that, for instance it talks about how pork is an abominable food, in terms of Islamic and and Jewish communities, and why is that so. you know people are living it's the same meat for everybody, it's edible by some standards but ter- not at all edible by others. how is that? that's an example of culture intervening and bringing a different meaning to food. food is not simply food. food means who you are, it's a marker of identity. if you don't eat pork, that identifies you as a particular type of person, if you do eat pork, that identifies you as a particular type of person. so, it's not simply food, but fulfillment of our bodily needs. another example would be money. money you think of as a standard value, reducible to, a single price and a single value all over the world, by whatever, type of money you're dealing in. but, anthropological studies of the uses of money, also show that, money takes on, different connotations, and different meanings, so that in East Africa, among the Luo community in Uganda, where David (Parten) has done research, there's money, there's bitter money, which is bad money, and good money. and it depends on which crop it came from. if you, if you grow corn and you derive a profit from that, well then that's good money and you can use that money to pay for your daughter's wedding, or to pay for your funerals. that's good money that can be generating more life, in terms of your kin obligations. but, if you're growing tobacco, or any of a variety of other, crops that are not thought of as, as highly desirable, and it brings in a profit, you cannot then channel that money into things related to the regeneration of your

family. it is seen as somehow it's gonna hurt your family. it's bad money, it's tainted. so the money's the same, and it's the same money. but it has different meanings according to where it came from. so again it's another example of culture, intervening and bringing meaning to things. and we don't ha- we're not so far off on that. we have the idea of, money laundering. right? that's taking money that came out of, bad, sources, and having to be washed somehow and made good again, so that it can be clean money, so it's not a totally foreign concept from us. <P :04> now i just have one more thing_ oh, to end with. and that's this question about making a living, versus making life in America. a few days ago, there was this article in the New York Times... about a new disease or syndrome that's that's particularly bad in the Silicon Valley area but it's also bad in other parts of the States. and it's called Sudden Wealth Syndrome. it's also called Affluenza. now what do you do when you suddenly are wildly (*sic*) beyond, your wildest imaginations, and all the problems that has, the the article had these families that are having to do these support groups and stuff. and, and they talk about how the kids are interviewed, and if, and if you are middle class, that's the lowest of the low, man if you only get one trip to Hawaii per year, oh you've gone to the absolute bottom of, of the social ladder. and they talk about these kids you know, it's just totally normal daddy has a helicopter plus his airplane, plus his this that and all the stresses that that comes with that. so if, making a living is what these people are are clearly excellent at, but what these articles seem to in- suggest is that they're not terribly good at making life, that they're having all these problems attached to the making of a living. so, i leave you with that, think about the (links) to be (made) (xx)

{END OF TRANSCRIPT}

LE2

MICASE Full Transcript View

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Academic Humanities and Arts

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S1: Native-Speaker Status: Native speaker, American English; Academic Role: Senior Faculty; Gender: Male; Age: 31-50; Restriction: None

SS: Native-Speaker Status: Native speaker, American English; Academic Role: Senior Undergraduate; Gender: Unknown; Age: Unknown; Restriction: None

Setting: Auditorium, Natural Sciences Building

S1: okay, uh while we (xx) um recover the technology, um, what i wanna do today, uh is to continue on obviously through our rapid tour, of Roman history from the foundation of the city, down to the reign of Augustus. um, again you will find a few of the names that i am mentioning and going on about, uh also figure on your list, for this Friday, uh for the quiz, again as j- just to repeat there will be ten short answer questions taken off of that list. uh we'll take say the last twenty-five or so minutes of lecture to do it maybe, uh a little bit longer, um, just to go through it quickly i mean the names and concepts, on that list are of course, fairly central to things that i have been talking about, uh here in lecture and it will, uh enable me to, uh see how, things are going. um, what i wanna do today, as well, uh is, technology permitting, uh to have a look at, this object which is called H-double-oh-two, uh and linked to the web page for today's, session. uh this document is, the political testament essentially, uh of the emperor Augustus. uh and it is really a

key statement, uh as to what made the Roman monarchy work. also as you browse this document uh which has a tendency to show up on hour exams on a regular basis, uh not to be completely unsubtle. um, the, you know you will see that it has a lot of notes attached to it. and, um get into the habit of clicking on notes on this web page, uh when you are doing assignments later on in the term which are based on, uh documents which are taken off this web page, the notes will really, i hope help you a very great deal, figure out what's going on. um, ancient documents uh as we have seen and as you've read indeed in the Literary Texts and the, Roman Historian are very tricky things. uh they are not simple stenographic records of anything. they are very carefully composed, with a point to them. um, and they will... be designed to tell a quite particular story. and there is perhaps no way, uh or no document that we have in the ancient world, uh which tells a story in a more complex way, uh than does, uh the tale of Augustus, um in this text which is H-double-oh-two, okay now let's see if we can find it. okay. so you can hear_ you can see hopefully this will now then m- miraculously materialize. um, we'll t- we'll be talking about how to read it today but as you see there, anywhere where there's, um a passage like that, uh you can, uh get some, discussion of what it means, because as we've seen again any statement that you take out, or find in antiquity, uh will very often need a very great deal of interpretation. and this will help hopefully help you to get it, uh, (okay that's) (xx) okay. uh and as we can see the theme of today is the emergence of the monarchy, uh or how empire uh, made the Roman democracy impossible. uh we ended last time uh with the beginnings of political unrest in the uh march of Sulla on Rome, very briefly. uh but we wanna go and t- take a f- a few steps back uh before we continue with that story. uh, the main points of this lecture will first of all be the process of alienation. no political society is gonna fall apart if people are happy with it. one of the keys to the collapse of the Roman democracy is quite plainly, that people were distinctly unhappy with it. um, this leads to the rise of individuals of enormous power. uh where an individual can command so much

support within the state that the apparatus of the state cannot take any action against that individual. this is a state which is in serious trouble indeed. uh and Augustus doesn't come from, just sort of nowhere. the Roman monarchy that's established by Augustus, comes at the end of a, series of, events, uh and Augustus is the last in a series of figures that really dominated Roman political society. we'll look at the reasons for his success, and then we'll look at how to read H-double-oh-two what it tells about Augustus, what it is as a piece of propaganda, and as a reflection of the main groups that have influence in Roman society. now why should you know this? first and foremost, the rest of what you will read in this course, presumes that you have an idea, fairly clear idea of when the emperor Augustus lived, and what he did. uh, without having a sense of Augustus, a lot of the rest of what we are gonna talk about, in this course, makes no sense. uh because the Roman, imperial system of entertainment is dominated by the office and person of the Roman emperor and the, establishment of imperial control, over public entertainment, is a feature of, primarily the time, of the emperor Augustus. now, as i say you will not be tested on the fall of the republic directly, uh but if you remember the process, again the general process because again in the readings, you'll see these constant references to repub- republic, empire, etcetera. remember the process, keep in the back of your mind that this is a process occurring in the first century B-C. okay? uh and coming to an end really in the second third of the, first century B-C, the bulk of the material we're gonna be talking about in this course, will either come very much earlier, uh or, much later in the first second and third centuries A-D. but this is the critical and pivotal period, in Roman history, where we see this, transformation from democracy to mo- to uh, to monarchy. and the first thing to remember again, when we think about this process, uh is it comes really, it begins with the process of conquest. and the conquest of the Mediterranean. you always have to keep in mind in this class, again, that, when we look at the Roman empire we're looking at an empire that consists of a lot of different states. and those states retain, their traditions and those traditions will

sometimes shape, the broader spectrum of Roman culture. there is perhaps no better example of this to keep in mind, than the fact that the single most influential, intellectual movement in Roman history, began with a man who did not speak Greek or Latin, but spoke Aramaic. it began with a man who did not live in Italy or Greece it began with a man who lived in Judea, uh and was not a man of great wealth. because Jesus Christ was of course a phenomenon and the rise of Christianity is a phenomenon of Roman imperial history, one that is a very important feature of the latter part of what we're gonna be talking about, and Jesus spoke in Aramaic. and his words only became known in the Roman empire because they were later written down in Greek in a form that they could be transmitted outwards. uh but the Roman empire, or the intellectual world of the Roman empire in the fourth century A-D, is transformed, in part by the interpretation of the thought of a man who lived in the first century A-D, whose only contact with Roman imperial government was being crucified by a Roman governor. so, this vast process of local tradition is critically important so you've gotta keep in mind how all these different pla- uh in the back of your mind how all these different places come together. when we start talking about Roman entertainments more broadly more generally, uh again, uh we'll look at theatrical traditions which grew up in Greece, athletic traditions which come from Greece, um, etcetera. and the reason why they are different from, Italian traditions, is that they have a whole different history behind them. uh, and very often non-Roman traditions and non-Roman ideas will supercede ideas that emerged in Italy, will become more powerful than ideas that, emerged in Italy. and this is again a critical fact about the Roman empire. that the Roman empire does not export Roman culture to the exclusion of everything else. there is a constant dialogue between Italian culture and the culture of conquered peoples. so, this process of conquest begins, with what we might call defensive imperialism, the creation of an empire in the western Mediterranean, to protect Italy from Carthage. it continues at the beginning of the second century, uh with the acquisition of empire in

the eastern Mediterranean, or what might almost be called, revenge imperialism, beginning with an attack on the king of Macedon who aided the Carthaginians in the second war. and if you look at the names of the wars again, first and second Punic war, that's in the western Mediterranean takes up the latter half of the third century B-C, is in the west. and then you have the Macedonian and Syrian wars, which is Rome moving east in the first part of the second century, uh A_ B-C, and the destruction of Carthage in one-four-six, just nice to remember. we go from conquest, to revolution. the second phase, of this development. and this is in the second half of the second century B-C. okay? um, and the f- key figures are first of all Tiberius and Gaius Gracchus who i mentioned at the end of last time, were the first people to seriously propose using the goods of empire, the profits of empire, to fund social programs in the city of Rome. prior to the latter part of the second century, B-C, Rome had not gotten used to the idea, or Romans had not gotten used to the idea that it was possible to turn a profit from empire. because the areas which they had acquired from Carthage to defend themselves against the Carthaginians, uh could on a good day, pay the support of the troops used to garrison them, and on the bad day were a financial drain on the Roman state. the Roman empire was not acquired for, economic reasons. this is very different, from European empires, uh in the eighteenth and nineteenth centuries. uh where both national pride and, uh notions of economic expansion go hand in hand. the second phase of the revolution, is an actual war, this so-called Social War which is the war between Rome and its allies, in the, eighties, B-C. uh it broke out because the Romans refused to share the goods of empire with the mass of Italians who had helped them gain that empire. and again as you recall, uh Rome is just one part of Italy. it's just one state within Italy, albeit the most important state within Italy, and there are a lot of other states in Italy, uh that had become allied with Rome over time, and now are fed up that they're not getting the rewards they think they should get. uh Rome wins this war effectively by agreeing to lose it, by giving in to the demands of the Italians saying,

you stop fighting we'll give you what you want, and, most of the time that is what happened. but, it was not enough, at that point, uh to put an end to a much more serious, problem. so we go from conquest to revolution to dictatorship. alright. um, we begin as we did last time with the figure of Gaius Marius. in some ways_ and you can see in these people's activities some ups and downs. Marius, was never, single yo- uh the single all-powerful legislative figure. he was a very good general at the end of the second century, B-C he had, enabled the Romans to drive back, invaders from the Germanic north and this made him a great hero. uh he was routinely returned as one of the two annual magistrates one of the two consuls. for five years in a row he was elected. this is unprecedented in Roman history. uh and again it reflects a feeling a sudden need for expertise. old, in the good old days, you know Roman armies could go out in the summer and they could beat somebody and then come back home etcetera. um, in the second century, at the end of the second century war had become a lot more complicated, uh and interestingly enough uh for one reason or another that we really can't tell, there weren't a whole lot of very well trained Roman generals, at that time. um in the war with Hannibal the generals were a dime a dozen they were trained in the course of the war. uh that, it w- helped in, helped the Romans beat Hannibal. though early on in the war with Hannibal Roman generalship was indescribably incompetent, leading to a series of disasters. uh in the late second century, again there was a feeling that, the standard of generalship was remarkably low, and if you could find anybody who could keep the army from being destroyed then you just make sure he stays (then) in charge. uh and that is what Marius did and he was a good general and he did succeed, in, uh beating back the Germanic invaders from the north, uh and also he was not a member of the traditional aristocracy. he was something of an outsider. blue blooded Roman aristocrats the, Rockefellers or the Fords of the Roman world, couldn't stand it. uh they looked at him as a guy who had risen to power but didn't have the kind of social background or education, that they did. there was always a tendency of Marius to favor

slightly left wing politicians. uh he supported for instance for a while a man named Saturninus, uh who m- moved bills for grain redistribution and what have you. Marius was always more sensitive to the desires of the Italians for equality, than members of the Roman aristocracy. but he wasn't a trained politician. he lacked, political skills. people could take advantage of him, and after a period of enormous influence at the end of the second century B-C, he dropped out of political life for a decade. he re-emerges, again as a symbol of opposition, to the aristocratic, um, controllers of aristocratic power in the Roman world in eighty-eight, uh, and part of the political confusion which led to Sulla's march on Rome. it was Marius who, who was given the command in the east, and it was Marius_ could i have the slides please? uh and it was Marius uh who would've led the army, and it was to prevent Marius from doing that and to acquire the goods of victory for himself, that Sulla who had once served under Marius, marched on Rome. but it's Sulla who changes the rules. a Roman army had never been used against the Roman people, in the history of the republic. this changes in eighty-eight when Sulla goes to his men and he says to them could i have the slides please? well he didn't actually say that, but um, <SS LAUGH> what he did say, was look here guys, uh i am your general, the booty in war that you will receive comes through me. you owe me more, than you owe the state. and you could look back at all these old s- guys who served with Marius and they've gotten their farms from serving with Marius etcetera, uh you're gonna get the same if you serve with me, but we've been deprived of the opportunity to make all of this money, by those crooked politicians back in Rome, so why don't we go kill them? and the army of Sulla said oh what a good idea. and they marched on Rome. again, this is a sign of the way that an individual politician, could take advantage of the (sort of) very serious alienation of large numbers of people. armies of twenty thousand, thirty thousand men involve a large number of guys, who are unhappy generally with life around them. they may be in the army but they feel that the world outside the army doesn't have much to give them. they are losing their land, they tend to be peasant

farmers, uh and they tend to feel that their lot as peasants is going downhill. they're willing to follow Sulla. now Sulla after, taking Rome in eighty-eight and eighty-seven, goes off and fights in the east against Mithradates, wins the war, and finds that his political enemies have seized power behind his back. Marius's last act was to attack Rome to the end of eighty-six- uh in the course of eighty-seven, and he died as consul for the seventh time uh in January of eighty-six. but when Sulla returns, uh Sulla again changes all the rules. uh he invades Italy at the head of a Roman army supported with the money of a defeated foe. he is using the resources of the provinces, to fund a battle against the Roman state. and he is very successful at it. again, generalship matters. and he is a very good general. uh and he is able to unify his own supporters in ways that his opponents were incapable of doing for their supporters. he becomes dictator for life. uh a position which he resigns after a couple of years, uh but he seizes the lands of those who opposed him in war and distributes them to his supporters. uh, he orders, what are known as the proscriptions. uh, he posts a list of people who he regards as enemies of himself and the state. if your name appeared on the list you were automatically sentenced to death. if anybody brought your head in and gave it to Sulla y- that person could receive a monetary reward, and all of your land was confiscated to the state it would be sold by Sulla at knockdown prices to his best friends. Sulla intended to recreate a new political class in Rome, entirely s-based on loyalists to himself. now, he also, unfortunately for Rome, liked to drink a lot. and he died of drink in seventy-eight. um, but historical accidents can also matter. Sulla was a relatively old man when he achieved supreme power, and of course as i say he was in very bad health very soon. uh in large measure it seems due to his own personal habits. uh if Sulla had lived another thirty years Roman history would've been completely different. because we would not have had an emperor Augustus. the Roman monarchy would've been established on different principles by Sulla himself. Sulla clearly had some designs in this way and he had a general behind him by the name of Pompey who

was a young man. and he wished Pompey in a sense to succeed to his position. but Pompey didn't have the kind of political experience that Sulla had, uh and was really quite a bad domestic politician, as bad a domestic politician as he was a very very good general again generalship counts. um, but he had no day to day political experience in fact when he was first the chief magistrate of Rome in seventy, B-C, uh he had to have a friend write a little handbook for him on how to run meetings of the senate, sort of Pompey's rules of order okay you will say good morning to the senators. you will stand up. you will sacrifice. you will do this. you will not be a boob. um, he had various unfortunate personal mannerisms, uh which affected the way that people would take him, uh how seriously people could take him when he was speaking. he had the tendency unfortunately to do this when he talked <GESTURE> <SS LAUGH> uh which if you are a Roman means, would you please penetrate me anally immediately. <SS LAUGH> not necessarily the message he wanted to send while he was speaking, uh, but nobody could get him to stop doing that. um, so i mean you can see why there were certain problems. uh, he managed to arrive in a position of great influence in the late sixties and early fifties, but his political inability, uh, left him wide open, uh to be unseated ultimately uh by Julius Caesar and then from Caesar (to s-) Antony and Cleopatra and the emperor Augustus, uh as leaders of Caesar's own party. but keep in pro- mind this process, conquest, revolution, dictatorship. um, from the third century to the second century, to the first century. now what were the consequences of conquest, which led to revolution and dictatorship? okay, the first and most important of these, is the uneven distribution of the spoils of war. when there's not a lot to go around, nobody cares a whole lot, (you know) okay the general took a large por- portion of the booty but there wasn't much booty anyway. uh i got my slave that's fine. um, by the, end of the second century however Roman wars were yielding enormous profits. uh and again, one could tell the difference. the standard of aristocratic life in Rome changed significantly. houses expanded in size, uh the size of estates became

greater, the size of incomes became much greater on the part of the upper classes, and the poor were still living at a basic subsistence level. the circumstances that are described in Frier's chapter on Roman demography, hold very much true. the poor in the Roman world had a life expectancy of around about twenty-five years. uh half of their children died in infancy. the wealthy had a much longer life-span, uh we in in surveys which have g- gone some way to correct some of what Frier has had to say, it would appear that Roman aristocrats, uh would tend to live or be expected to live, uh into their forties as opposed to into their thirties. um, they lived a healthier life. they ate different food. um, an impoverished Roman lived on grain and vegetables, occasionally a little bit of meat and wine. uh a wealthy Roman, would have, the foods of all the world put before him, and put and would uh dine in quite splendid and spectacular ways. people saw this, they noticed it, they felt that something was unfair. um, there is also the expansion of the citizen body, beyond the capacity of the political structure. remember all votings at Rome took place, on a measure on a single day. and an- you had to get to Rome to vote. and only about fifty thousand people could vote. that's all that you could fit in the biggest voting areas. now when the political society of the Romans r- didn't have, more than a couple of hundred thousand people in it, this didn't matter all that much, and getting fifty thousand people together to vote, and voter turnout wasn't all that high, uh but when you have a political society of a million people, and only fifty thousand can vote, and people are rigging votes in all kinds of exciting and interesting ways, this begins to matter. there is a feeling that, you never get to vote. your vote never counts. what ma- who cares if it counts? because the next day some guy's gonna get another, group of his friends in and they'll pass a law to invalidate the one that you just walked all the way to Rome to pass. um, there is a, um a a sense that going to Rome no longer matters, that this political structure is no longer responsive to you. uh even if you do show up, somehow it is going to be corrupted. uh, the next is the alienation of the central government, um from the Italians and the poor now the

alienation of the central government, from the poor is really a function of the first two features, on that slide, the uneven distribution of spoils and the fact, the feeling the political system no longer responds to your needs. uh the Italians, so we saw lying behind the Social War is a question, of whether or not they're g- receiving the goods of empire. and these people make up half the Roman army. so if you are ticking off the class which provi- provides, half of your soldiers, this is a problem. um, another aspect is the equilibrium of oligarchical government. now oligarchy means government by a few. it comes from the Greek word *oligos* which means a few, and *arche* which means power. the power of a few. now, in the second and third centuries, wealthy Romans were all about equally wealthy. they the the top, families that were able to, make sure that their members were elected to office on a regular basis, um all look about the same. when we move in to the end of the second century, this equilibrium of government begins to shift. it becomes very plainly an objective concern to Roman politicians, that some guy next to them, will acquire more power than they can ever hope to acquire. in the third century B-C this doesn't seem to have been an issue. in the second century, the early second century, this is something of an issue with one man in particular, the man who defeated Hannibal, whose political enemies set upon him ultimately like a pack of wild dogs, and he dies in exile having been sentenced for corruption. uh anybody could be sentenced for corruption at virtually any time, and he didn't have an ex-wife to buy him a pardon. the... end of the century however sees, much greater power, much greater wealth. um, and it's not so possible to control people and to control their ambitions. when Sulla dies he's the wealthiest man in the Mediterranean world. Pompey by the late sixties is the wealthiest man in the Mediterranean world in the history of the Mediterranean world. Caesar at his death is so much more wealthy th- so much wealthier than Pompey, that you c- can barely measure. uh there_ the opportunities_ the equilibrium of government is smashed, by a tendency for power to concentrate in the hands of the most powerful. if you want something done, you know you will go to, the man who

seems most important. you won't just go to anybody. uh people will seek out, people to be their patrons, because they think they are more powerful than other people. and finally, military demands and the failure of equilibrium. um, a state which campaigns only in Italy, does not have to maintain armies in the field for very long periods of time. a state which has one overseas province, Spain, uh whi- actually it's divided into two provinces but it has two overseas provinces uh, with an army in them, doesn't have to worry abo- this isn't significant i mean there are a few thousand guys in Spain, but it doesn't change much. a state which suddenly has got to wage war, three to four months march from its home base, on a regular basis, has got to worry. because you can't change commanders on a regular basis the way you used to. there is a tendency for people to hold commands, for much longer periods of time uh b- binding, the, soldiers, to them, uh much more closely. people who fought with Sulla, when Sulla invaded Italy, had been fighting with Sulla for six years. that's a very long time to form a relationship between general and soldiers. Cnaeus Pompey when he returned to Italy after campaigns, in the east in sixty-one B-C, was surrounded by soldiers who had again served with him for six years. Gaius Julius Caesar, when he crossed the Rubicon and began the civil war which would lead to his becoming the single most powerful man in Rome, was followed by soldiers who served with him for a decade. these are armies which are phenomenally loyal to their general. extended commands provide great opportunities for patronage. you want a job in the fifties that's gonna pay pretty well? you go to Caesar and ask him for a job up in Gaul. and he'll put you in charge of the grain supply or he'll put you in charge of, um, the slave supply or put you in charge of something if you're one of his friends. and victory of course opportuni- offers opportunities, for enormous acquisition of wealth. uh so these are the consequences, uh of conquest... now who is Julius Caesar who i've been talking about and is on your list of people for Friday? uh, Caesar was born in a hundred B-C. he was the nephew of Gaius Marius. very important factor. because Sulla after his victories, uh and his ef- and in the course of his

efforts to put people to death, at one point even had Caesar on his list. but friends of Caesar who was at that point, uh barely twenty years old managed to have him, uh to get him spared and he went off to study in Greece this was often the way of doing things. uh but throughout his life, he was able to exploit discontent with Sulla's settlement. Sulla died too early, to really solidify what he saw as his political accomplishments. the seventies or the politics of the seventies after the death of Sulla, were in large measure a referendum on what Sulla had done, and much of what Sulla had done was repealed by other politicians. Caesar took advantage of this. he had immediate name recognition, he was Marius's nephew, and he played it to the hilt. in sixty-five, B-C, when he was elected to his second office in the course of all al- on, in the course of his climb to, up the ladder of Roman politics, restored to the capital line, the monuments of Marius's victories over the Germans. these had been torn down by Sulla seventeen years earlier, and Sulla_ and Caesar's fixed them back up. on one occasion when he goes after a political opponent in sixty-three B-C, he has an actual military standard from the army of Marius waved around. people can see him standing up for not the status quo. he might be an extraordinarily blue blooded aristocrat, but he throws this aside and says i'm a friend of the people, and those who were impressed by Sulla. he is a remarkably able politician. we can see in his own writings that he had a sense of humor. i mean there are passages in Caesar's commentary, which are among the funniest bits of prose, written in Latin as he is, uh, uh sending up various of his political opponents. uh very subtly done. uh he was clearly and we were we are told by those who saw him, one of the best, speakers, in Rome. he could, command an audience he was a tremendously powerful presence. he was also very tall he was about six feet tall, uh so people would actually physically look up to him cuz most Romans aren't that big. you know your average Roman would be between about five and a half feet, five eight somewhere in there and Caesar is a big guy, um and he looks out as he looks out over the crowd. uh he has a capacity as a politician, to put his opponents in positions where there is no decent

solution for them. when he was consul in fifty-nine, when he was chief magistrate himself, with a colleague who hated his guts, uh he, arranged an event in the Roman forum, whereby he was giving a speech to the Roman people asking them to vote on legislation that he wanted them to vote on, as a way of paying off various political supporters in the previous year, knowing that this was wildly unpopular with his colleague. and that his colleague had two choices he could either sit home in his house and ignore it, uh or he could come down and try to obstruct what was going on. Caesar knowing his colleague very well, uh presumed that he would come to obstruct the business that Caesar was conducting, um and when his colleague arrived, he suddenly found that he had a bucket of shit poured over his head. not even Romans carried buckets of shit around with them on a regular basis. Caesar had obviously got the guy down there, (get him if_ and) when Bibulus comes, chuck. and there is his colleague, and it is very hard politically to recover from standing in front of a very large crowd of your fellow citizens covered in that. Bibulus doesn't come out in public for the rest of the year. uh but again you know Caesar had left him with a choice. and that was again fairly typical of what he did. um, you know and this would expand, um the instances of this expand throughout, um particularly the fifties. he is also a great general. and that he_ when, Caesar decided that he wanted to go north to fight uh, in France, many of his political rivals said thank god for that. uh they thought that he would have no military ability whatsoever. uh and he proved to be the most, able and brilliant general that Rome, uh ever produced the man who was able to command, the extraordinary loyalty of his own soldiers. who seemed to have been willing to put up with physical hardships for Caesar, that woulda led them to mutiny under any other general. um, and when it came right down to it, uh and he was fighting for control of the Roman world with Cnaeus Pompey between forty-nine and forty-eight, uh it is very clear that these two men, understood each other very well. uh the campaigns which they fought against each other uh are, almost textbook examples, of Roman strategy and tactics and

operation. uh it is very clear that Pompey understood what moves Caesar would make and Caesar what moves that Pompey would make, and Pompey understood how Caesar had backed him into a corner and fo- forced him to go to battle, uh in the decisive, encounter in eighty, in forty-eight B-C, he knew that he had one possible way of winning the battle and Caesar knew exactly the same thing and when Pompey saw that his trick had not worked, having tried the only thing he could've done, uh although the battle seemed barely to have begun we are told, that he, rode back to the camp, took off his general's cloak and sat in his tent, waiting for the sound of his troops to flee by him because he knew that would inevitably follow from what he had seen. and then he fled, to the Medit- across the Mediterranean to Egypt where Cnaeus Pompey who was once the greatest man and the most powerful man in the Roman world, got onto a little boat to visit the king of Egypt, and was stabbed in the back by a former officer and his headless body was left on the shore unburied, a scene that evoked, an enormous amount, of thought in the Roman world what is it_ what is fortune in the Roman world when even Cnaeus Pompey could end up alone and headless on a foreign shore? Caesar, um also had another characteristic which was unusual to Rom- among Roman politicians, which is he kept his promises to his supporters. he kept his promises to his veterans that he would give them land, he kept promises to the Roman people, uh that he would give them grain or that he would find them new places to live around the empire. he was wildly popular among the poor. he was equally unpopular among the governing classes. those who had served with Caesar felt that their rewards were often inadequate, and they could not understand why it was he allowed his opponents to live. why was it when Pompey's officers surrendered they weren't killed the way Sulla had killed them? why was it they were brought back into service? there was not enough of the pie to go around it seemed. uh and so, a conspiracy developed, in the course of forty-four B-C, uh consisting, drawing in a wide range of characters, uh albeit not as wide a range as many of them thought they would be. it would. consisting of former

supporters of Pompey and former supporters of Caesar, uh including one man who was arguably his illegitimate son. on March fifteenth of forty-four B-C this group of senators, stabbed Caesar at a meeting of the senate that was being held in a theater that Pompey had built at the height of his glory in the fifties. and that it was somewhat ironic, that Julius Caesar dropped dead stabbed, multiple times right at the feet of a statue of Pompey. but what happened next? those who had s-murdered Caesar, had felt, that it would be possible for them, to restore the old style of government. where there was no big boss. this was impossible, Caesar's supporters couldn't stand them, uh and Caesar's supporters were led by Mark Antony who you can see there uh at the top looking as if he'd been at one too many parties. <SS LAUGH> uh, he tried to take over after Caesar's um, take complete control of Caesar's party and Caesar's supporters, uh after Caesar's assassination. problem was that also after Caesar's assassination, he had a dinner party uh with the leaders of the conspirators. and nobody, in Caesar's side could really trust him after that. uh because nobody quite knew where where the chips would fall and, and he had tried to straddle both sides of the fence, uh and then there so later he'd gone down to give his fam- famous funeral oration, the one that sh- that s-Shakespeare so brilliantly rewrote to begin with friends Romans countrymen lend me your ears, the original was perhaps somewhat less... wordy, or at least Antony perhaps had a little less to say, because what he had done was arrange for choruses of singers, to sing hymns in Caesar's memory, it was sort of like a rock concert in the forum, uh while a spinning image of Caesar was erected above the funeral pyre displaying the wounds of Caesar. uh so you can imagine that, the spinning bleeding wax Caesar, circling around on a cart, while people sing songs about him, which ends with an invitation to go burn down the houses of his political rivals. the Romans loved display i mean if the Romans could go to Disneyland they'd be there all the time, uh led by Mark Antony. um, but Antony obtained control of the situation in Rome he was a decent enough general, uh better than most around

him. but again he lacked critical political skills. it didn't help, uh that he liked to drink, an extraordinary amount. uh Cicero provides a scene_ Cicero of course hated his guts, uh but he, produces a brilliant depiction of Antony, uh, coming out of the forum after uh w- uh after a uh wedding party the night before, uh and as he sat down to hold court promptly losing his breakfast. um and Cicero has various extended comments on it and it may even have happened. uh Cicero again of course you know is on your list of people, uh for Friday and you'll see him endlessly discussed in the Literary Texts and the Roman Empire, uh and the Rom- and the Roman Historian, he is the greatest single, Roman man of letters, uh in the first century B-C and was recognized as a model for all later writing of Latin. and again he was a man who was a brilliant political speaker, uh who published his speeches as a way of creating a political image for himself which you could see again in the Literary Texts, uh book_ uh stood somewhat to the right of Roman politics. uh but remained a very powerful figure because he was able to speak so well. uh public oratory matters a lot in the Roman world, uh and he would get up and he could sway a crowd in the forum he could sway the senate to do what he wanted to do. uh and he was, uh really really quite again a a brilliant man in his, in his own way, uh, and he, among others helped drive Antony from power in Rome in forty-four, uh and they would support a young man not yet nineteen years old, Gaius Octavius who Caesar had adopted in his will, uh and had um as his heir. um, it didn't help as well that Antony had a thing for Cleopatra, who was the other person that you can see there on your slide. Cleopatra was the queen of Egypt, and the Romans had a dislike for people with royal titles. um, it didn't help his relationship with, uh Gaius Octavius the future emperor Augustus, that he started having this affair with Cleopatra while he was married to Octavius's sister. uh not really the best most subtle thing that you could possibly do. didn't help his reputation in Rome that his affair also involved wild dinner parties in Alexandria, where it is alleged that various of his associates would paint themselves blue take off their clothes and roll around on the floor

wearing fish tails. <SS LAUGH> that may or may not be true. uh but it made a good story. um the tendency to drink, the tendency to um, take off with Cleopatra for months at a time, uh led to squandered opportunities. uh and he probably could've, done what he wanted to do to be the next Caesar. um, but he was lazy. and at the end he lost out to the emperor Augustus. <P :06> now who was Augustus? first of all, he begins, with the name of Caesar and we'll look at a slide, uh just after this one, um, to see just what it means, to use_ well actually let's see here... um and here he is th- what he means by the name of Caesar. he's born Gaius Octavius, he is the, son of a Roman by the name of Gaius Octavius, and Caesar's, and a sister of Caesar. um, he's adopted by Caesar in his will, and so when he's first coming to power, he tells everybody that, my name is Gaius Julius Caesar, the son of Julius, or Gaius Julius the son of Julius Caesar. i am the living embodiment of the political testament of my deceased adoptive father. uh and this is a very powerful message. Roman soldiers as his armies fight against those of Antony, actually f- mutinied and forced their generals to stop fighting. some would say we will not fight against the name of Caesar and others said if you bear the name of Caesar, then you must do something first about the assassins of Caesar and stop trying to kill Antony and Antony stop trying to kill him they forced an alliance between Antony and and the power of the name is important. then it turned out that Julius Caesar conveniently turned into a god, in forty-two, there was a um uh mete- a comet, spied above the city of Rome, it was interpreted as the soul of Caesar in heaven, uh and so he got to change his name to Gaius Julius Son of a God Caesar, and obviously it's better be son of a god than son of Julius. uh, but that is the beginning of a tr- of a subtle transformation forty-two is also an interesting year useful to become a son of a god in because that's the year, in which the assassins of Caesar were finally defeated at the battle of Philippi. um, then um after maintaining himself in this wonderful style, um in the next few years he engages in a war with a son of Pompey, who had a large fleet off the coast of Italy, uh and finally uh

manages to defeat the son of Pompey, uh and he takes a new name. i mean it's, again to defeat the son of Pompey is sort of, misnomer, he is, appoints the man who defeats the son of Pompey because when Augustus or Octavian as he then was, got on a ship, he tended to become violently seasick, and spent the major naval battles that occurred under his technical comp- command, hiding in his cabin, uh which by the way is also where he spent most of the major battles in which he was theoretically in command, the battle of Philippi he was allegedly so sick he couldn't appear in the, uh before his troops, uh who promp- who, uh were not highly successful, uh and had to flee and hide into the woods. he was well enough to go run and hide in the woods but he wasn't well enough to go and watch the battle. um, but he wasn't a coward at all. um, nonetheless he takes, a new name, as a result of his victories he's beginning to sort of strike out on his own, and he takes the name victorious general, that's what *imperator* means so you can now see when you meet him on the street you could say oh how are you? uh you are the Victorious General Son of a God Caesar, uh how very nice for you. um, and you can see how Roman names can be used to carry a message. um, and the way you can alter your name is partially a political message. and then when he becomes all-powerful in twenty-seven, he changes his name completely and you can see Julius Caesar, has receded very much into the background he uses the name of Caesar, to gain power initially, but as he becomes more and more powerful the memory of Caesar goes further and further in the background, and you wouldn't imagine w- really much there at all when he becomes the Victorious General Son of a God Caesar Extraordinary Human Being, which is what Augustus means. um, uh so there he is. um and the name of Caesar and the name of Augustus are very useful things to keep in mind as a way of, reflecting on the, uh... okay. so needless to say with the name, uh he also was supported very much by Caesar's veterans. um, and they feel that, his survival and their survival, are intimately linked and again notice, this important point that we've alluded to already in this hour, that Roman armies are loyal to generals

they're not loyal to the state, until the general becomes the state. as it will do in the case of Augustus. uh, these veterans matter, because when we talked about warfare last time you remember, uh we discussed what a physical process it is, how well conditioned you have to be and indeed ha- skillful hand-to-hand fighter you have to be. Caesar's veterans with ten years of experience behind them were unquestionably the finest soldiers in the Mediterranean world. and we're told in fact in forty-three when Antony and Octavian were, engaged in a civil war that two veteran legions encountered each other, one on either side, and everyone else stood back and watched, because there was no point in these legions raised of younger soldiers, trying to intervene with the old veterans, and they all knew whichever of these two, units won, that would be the victory in the battle. because nobody else could stand up to the people, who were involved. um, he is also utterly ruthless. uh Caesar, had a tendency, to spare his enemies. uh Caesar was a man, again of considerable political char- personal charm, uh and he was also, very much opposed to anything that Sulla stood for. and he wa- the last thing he was going to do, was to engage in a wholesale massacre of people who had opposed him. he felt he could beli- build a new world, without engaging in that kind of behavior. and of course he would prove to be wrong. Octavian slash Augustus was not going to make that mistake. and in forty-three he joined with Mark Antony, to issue an edict of proscription, which made anything that Sulla did look like a Christmas party. hundreds of people died, uh the first one was in fact Cicero, who was hunted down by Antony's soldiers, decapitated, his head and his hand were stuck up on the Roman, on the Rostra in in Rome, and Antony's wife stuck a pin through the tongue of Cicero um, reflecting on the things that sh- he'd had to say about her as well, uh, but again the this period of the of forty-three forty-two saw hundreds of deaths, confiscations of, hundreds of estates to support and to pay the army that Ocatvian and Antony were gonna use against the assassins of Caesar. um, he was able to conciliate factions, he may've been completely ruthless, but he knew how to talk to people and that's his

greatest, in many ways his greatest skill. uh he was able to talk to Cicero, he was able to talk to Caesar's supporters, uh in the long run he would even be able to s- talk to Antony's supporters. he was able to, bring people together. you knew that, if you opposed him you would die. but he had also made it very clear, that there would be room for you to join his his party, to join his faction. and this is what sets him apart from Sulla. in Sulla, you were either with me, at the beginning, or against me at the beginning, and if you were against me at the beginning, that's just too b- bad. uh, with Augustus, he says you know perfectly well that you're very lucky that i've spared your life, but now that i have, uh why don't you come along and join my, join my party? uh this is a an ability, um that really stands him in good stead and he is as i have said an absolutely appalling soldier. uh he is, you know we've seen that military ability has often been intimately connected with, success in Roman political society. Marius was a great soldier, Sulla was a successful soldier, Pompey was a great soldier, uh Caesar was a great soldier, um, Antony was a decent enough soldier and Augustus just stank he was a physical coward. um, he didn't like watching people um g- watching battles because, they made him scared. uh he didn't like being on the deck of a ship during the sea battles because he threw up, um, uh you name it i- he i mean he was virtually a caricature of a Roman when it came to a battle. but he knew how to hire, and he knew how to trust 'em. uh and he hired a series and employed a series of very good generals to do the fighting for him... now, um, the main events in his rise to power reflect and are connected with the name, um we have the war at Mutina and again look at how he changes his enemies all the time. in forty-three he's against Mark Antony, late in forty-three he joins with Antony and Lepidus, who is another supporter of Caesar's and in- had indeme- independent command of an army, but this (xx) conciliate factions, from a very young age this is what he's able to do. he's able to go from being Antony's enemy to Antony's ally. and they defeat Brutus, and the assassins of Caesar in forty-two, um he fights Sextus Pompey the son of of Pompey in thirty-s- from f- between forty-two and thirty-six.

uh he removes Lepidus in thirty-six, and then defeats Antony at the battle of Actium in thirty-one B-C. if there is one date, that you remember, aside from forty-four B-C and the death of Caesar, remember thirty-one B-C. this is the date at which the monarchy at Rome was firmly and finally established, by virtue of the fact as one great Roman historian, put it, writing in the second century A-D, there weren't nobody else left. because they had all been either killed or brought within the faction of Augustus. it is from this time onwards, that a success- that a monarchy will, come into being, where one man will succeed another, uh without any period um, by a legal process, that had never happened in Rome before there had been no legal process, there had been p- no position to hand on. uh but now it comes into being and it evolves in the long lifetime of Augustus, uh after, thirty-one B-C. the regime is based upon what he regards as the consensus, of all men. um, when you look through, H-double-oh-two the *Res Gestae* of Augustus you will see, the word consensus is used many times, it's used in Latin and then the translation is intended to catch that. perhaps the most significant of all of these, is when he describes the aftermath of his victory over Mark Antony at the battle of Actium. begins with that section begins with, *sexto et septimo, consulato meo, postquam bella civilia exstinxeram, consensu universonum potitus rerum omnium rem publicam, ex mea potestate in arbitrio senatus populusque Romani* in my sixth and seventh consulship, when i had extinguished civil w- after i had extinguished civil wars, when through the consensus of all living people, i was all-powerful, i transferred the Roman republic, from my power into that of the senate and people of Rome. a remarkable statement, uh for any single one man to issue. and the Latin, is remarkably sort of, redolent pompous tone struck any reader as it did another late Roman historian who when alluding to that would simply say, um the sixth and seventh consulships of Augustus would sum up immediately, uh memory of that one passage that Augustus wrote, but look what he's saying. i have extinguished civil wars. now the absolute opposite of consensus, is *bellum civile* or civil

war. and then in that phrase, *postquam bella civilia exstinxeram consensu universorum* after i had extinguished civil war, by the consensus of all men, by the agreement of all human beings, i was then powerful over all, the connection between extinguishing civil war, and the existence of the power of consensus, in that phrase is very significant because that is what the regime is about. the, demise of civil war and the consensus of all Romans who will agree that Augustus is the greatest thing um, since the beginning of time, uh which he also thought. is there any possibility of getting the slides please? okay. uh there we go um, thank you. now look at his, another image of Augustus here, um this image so-called Prima Porta <P :05> it's actually, well, the focus isn't great is it? right. okay because (you'll) see this sort of image of him he never changed his appearance by the way as we saw, even though he lived to be seventy-seven years old he always sort of looked like, a youthfully, youthful guy i wish i could say the same, <SS LAUGH> um but sort of staring off into sa- in into space, um with a breastplate on and on that breastplate, uh is an image of a barbarian handing, Roman standards over to him. um, and he's doing it peacefully. he wins fighting through negotiation, as well as through warfare, uh and in the latter part of H-double-oh-two he will tell you, how his armies have conquered the world, and that triumphal arch that you can see on this slide too, and a- Augustus and a four horse chariot, images of the people he defeated all round the place, uh the arch celebrating the battle of Actium, which he conveniently has pointed out, um had ceased to be a part of a civil war but was a foreign war. in H-double-oh-two, uh as well in this text, uh there are five sections. uh and as you look fo- through it keep it in mind, they they really explain the theory behind uh the rise of Augustus to a, uh to his position. the first three chapters are, the rise to power. how i went, from being a nineteen-year-old boy, and how i re- saved the republic public, um, from the, domination of a fan- *vindicavi rem publicam oppressum* um, uh *dominationus- dominatio factiones, i in libertatem* how i, restored the Roman republic's, which was oppressed by the domination of a faction,

into liberty, how i brought liberty out of domination and what he's saying is i thought Antony was a jerk. um, but he's he he uses this language and, he stands for *libertas* freedom what does freedom mean, uh to a Roman? um... it can mean a very great number of things. it has no single meaning. at one po- time it will mean, *libertas* can mean the, ordinary workings of the Roman constitution. and another time, it can mean, freedom from having to be told b- to be told what to do by somebody else. um, the meaning of the word *libertas* shifts, and Augustus shifts it what Augustus means by *libertas* is the freedom of the Roman state to be ruled by Augustus. um, and then the public honors. now this is in many ways the most, uh the first time you read it you might say this is you know, what is happening? you know there's this astonishingly boring list of things. uh but it's not boring. uh it is, what's missing, that counts. the position of Augustus, is the accumulation of all of these different individual honors. and Augustus keeps telling us, and the senate and the people voted th- this, and the senate and the people voted that, and they were so nice that they wanted me to do this and, on this occasion they asked me to be dictator but i decided i didn't want to do it and i restored the grain supply of the people of Rome in three days, because i'd been hoarding the grain so i could do it, didn't quite say that, um, and so on and so forth, the position of Augustus remember you're_ as he said, once i had, was powerful, over the entire world through the consensus of all men, um, of all human beings, uh i transferred the state from my power into that of the Roman senate and people, and how nice of the Roman senate and people they just gave it all back to me bit by bit. um, he created something which he referred to as my station. *statio mea* he wrote to his grandson in the year, two B-C, saying i hope desperately my dear little ass that's what he called his grandson, um, uh that you won't become sick. because uh, you know i so much want you to succeed *ad meum stationem* to my, to my position. uh he would write to his old (xx) Tiberius who he basically didn't like, uh saying you know i i do hope that you don't become sick lest your mother and i should die and the Roman

state should tremble. uh, others would speak of this position of Augustus, not a single office. it's a collection of many different offices. and that's what really appears in those sections he nowhere says_ there there isn't even a word for it. we call him the *princeps* or the emperor. but, that's a word that we've made up and we apply backwards. when he uses the word *princeps* of himself he uses it in two completely different ways. um, *princeps* means leading man, or nu- numero uno or whatever. um, it can be used to mean the most respected member of the Roman senate, and then he uses it to mean, a- the general leader of the Roman world against barbarians. it isn't until he dies, that somebody actually defines what it is that he was, uh and passes on all of his powers to his successor. um, and then you have the benefactions. uh and this is very much the world of the Roman aristocrat here. the benefactions of Augustus, uh aside from peace and you can see this great memorial here, uh the altar of peace, are in a way saying thank you to the Roman people for all the things they gave to him. this is a central aspect of the theory of ancient government. the wealthy and the powerful rule, but in return for that they are expected to give back to the poor and the downtrodden. so Augustus gives the people of Rome, free grain, or cheap grain. he gives them a lot of cash. he gives them money from the legacies of Caesar, Caesar had ordered that an, large amount of money be distributed to the Roman people, he gives them money on top of what Caesar had asked, uh that they be given, he settles them abroad in new cities which many of them seem to have wanted to do, um he provides them fantastic games, uh again uh, games and politics go hand in hand, uh and he sponsors 'em he puts 'em on he pays for them, and these two sections balance each other you see, and these three sections really support each other. there is the rise to saving Rome, and then the public honors to thank him for rising to power, and then the benefactions, to thank the Roman people, for recognizing the fact that he's risen to power. uh, but it's as if it's part of a continuing dialogue, between Augustus and the Roman people, oh Augustus you've saved us you're so great yes thank you very much

would you like some more money? yes that's very good. uh, would you like a new temple? yes i'll put the new temple over here. i'm sure you will all enjoy this enormously, um and then we have the conquests. and, you have the civil order of Rome, as you can see takes up the bulk of this do- document. uh from four to twenty-four twenty chapters. um how the people liked him what he gave to them, and then the conquest of the rest of the world. uh the second thing that he stood for was military success, uh and always against barbarian peoples. and you can see this on this, the so-called *gemma Augustae* the gem of Augustus. um, this sort of imagery of Augustus there he is at the top sitting there, um, being crowned with a crown of victory, uh talking to the goddess of wisdom Minerva, uh, and look at what's, at his feet. but northern barbarian peoples they always look sad they always do in Roman art they're so sad, we're so sad that we've been conquered and then we're being enslaved etcetera, with with soldiers, uh raising above them, uh an image of victory. uh and those are the conquests that he described the reasons, uh why Rome needs him, and then the conclusion, um it's like a good essay we've written our several paragraphs and now in conclusion i'll tell you why i'm still the most wonderful person that ever lived, uh and why you thank me for it. uh, so that's how to read it in those five sections. what does it tell us about Augustus? what are the major points of the public, um, of the public image? first of all, that he is a traditional politician. uh, Roman reformers are, inevitably going to portray themselves as, maintaining the status quo. cuz the Romans are greatly devout they have a term the *mos maiorum* the custom of the ancestors. uh and he will maintain that, he is a traditional politician. he is a great benefactor to the Roman people, as we've already seen. he seeks nothing in excess, okay? uh at one point he says i held no position, that didn't already exist and no- nothing new was created for me a- biggest lie in all of the *Res Gestae*. uh, but in a sense it isn't you know, no single new position was created for me i just happened to take every possible conceivable position th- th- that, um, you know there's something called the tribunician power which i acquired well the

tribunician power has always existed, th- never been separated from the office and given to me but,= you know that's alright. uh i have *imperium maius* he never says it he never uses the phrase, anywhere. he had what was called greater imparity. uh which enabled him to give orders to anybody in any province in the Roman empire never mentions that. uh it just is there by implication cuz it's not an office, it's just something that he gets. um, but it's he tries to show you he seeks nothing to excess. and then critically, the civil war is not his fault. the very opening lines of it, when i was not yet nineteen years old, i liberated the Roman republic, oppressed by the domination, of a faction that phrase which we'd looked at earlier. um, it isn't his fault. the Roman state had fallen apart, and he, was going to save it. he is not the cause for the demise of *libertas* in the Roman world. uh he is, its savior in his, in his version. you can believe that if you like. you can believe the people who for- who found monarchies are saviors of democratic systems you can believe that. uh, but that's what he wants to, wants you to see the civil war isn't his fault the situation had already fallen apart people had already murdered his father and he was right to take vengeance upon them for the murder of his father. and then that he is a great consular he justifies his position, and he always r- he refers throughout in tremendously interesting language in this case, he kept ref- he keeps referring to *exercitus meus*, to my army. now, and the terms are interchangeable cuz sometimes it'd be *exercitus populi romani* the army of the Roman people, and sometimes it's my army and he_ it's just an unconscious trading of these phrases back and forth, um it's his army with which he conquers all these people, but most important of all, is this notion that his pose- his position, descends, from the will of the Roman people. he doesn't take anything. they give it all to him. and then he, humbly decides to serve the Roman people, as he would have it. uh, and finally, um, i'm sorry that's doesn't show clearly, uh he's the example to everybody. uh and he is very conscious of the fact that he should be an example that his life should be an example, um we have_ the biography of uh of Augustus in antiquity, you know

showed that he was very conscious of the fact that everybody was looking at him, that what he would write would be an example to other people, that he was setting an example, uh of excellent Romans, uh to follow, uh in coming generations... it is also, of course, um an extraordinary piece of propaganda. uh, as you read through it you will see again that often, uh action is initiated by the senate and people. well, there're various ways in which actions can be initiated by the senate and people of Rome, such as, you send a letter to them telling them that you want them to initiate the action. um, the Roman people are always flowing out of Rome and offering to do various things for him. um, but these are often actions which are dictated by custom, uh and what have you. uh, we know, very much that, for instance there was a debate in the senate as to what title, um, the, Victorious General Son of a God Caesar should take after the end of the civil wars, uh and some people thought he should be this and some people thought he should be that, so they gave him a list and said what do you want? and he picked Augustus. um, and others, in in many other ways, uh he would have people sending him lists of powers many of which had been suggested already, uh, and he would pick what he wanted. um, the process of initiation, is formally correct by the senate and people, it's a problem of what put their i- or who put the ideas in their head that they wanted to do something that's, invaria- inevitably Augustus. there is of course in this text no mention whatsoever of the proscriptions. another commend- i mean, we'll just banish that from memory, and other Augustan propaganda is all blamed on Antony it's all Antony's fault, Antony killed Caes- Cicero, Antony's a bad guy, the death of Cicero, shall haunt the memory of Antony for the rest of time says one Augustan historian, uh etcetera. uh, no mention of that, and the civil wars, wherever possible are gonna become foreign wars. now he may have extinguished civil war but we really wanna forget the fact that he fought quite a few of 'em, uh and in later life he keeps trying to push back, this sort of rebellious image, because the one example he does not want to leave, to the rest of the Roman people, is this notion that if

you manage to take control of a large army and attack Rome you too can become a ruler. um, we'll leave that one out, as it were... um, but another f- section of this text, is the way that it is a reflection of the interests of the main groups in society. and you'll see this also as it's broken down. um, first and foremost it reflects, uh the interests of the senate. the way that Augustus negotiates his power, but what the senate wants above all else is stability. is order. is an end to war. the plebs, what do the Roman people want? what do they really want from the government? well they want money, they want games, uh they want somebody who will look after their welfare. uh that large section on the benefactions gives you a good idea of how you become a very successful Roman politician. spend a lot of your own money on th- uh on the p- inhabitants of the city of Rome. it also, brings back, brings us back to something that you've seen discussed in the introduction to Life Death and Entertainment in the Roman World, uh and that is this very great importance of the inhabitants of the city of Rome. uh they are their own political interest group. they have physical access to the Roman emperor in a way other people do not. at one point in the early thirties when Augustus was, arm- armies were losing against Sextus Pompey and the city was blockaded and grain was short, when Augustus tried to walk through the forum he was pelted with rocks. there is no secret service, in Rome, in the thirties and twenties B-C there becomes one a little bit later, uh as we shall see in response to this sort of thing. but public order is a very tenuous thing in Rome. when people are not happy they are gonna let you know about it. they are gonna let you know about it not only by throwing stones at you in the forum but by booing you in the theater, by hissing at you at the chariot races, by refusing to applaud your gladiatorial combats. um, the Roman people, the benefactions that the Roman people want, are a statement, from Augustus, that he cares. now, think back to what we were talking about earlier on in this hour, about the alienation, of the lower classes of the Roman world. about the fact that people, felt that the government of the Roman state was not taking an interest in their welfare. Augustus, and

benefactions of his friends around the world, are a clear statement that he recognizes that problem. uh the Roman state will now be responsive, to the Roman people. the goods of empire to some degree will be distributed to the Roman people. there is no better way to see the distribution of the goods of empire than the fact that in a gladiatorial combat, uh or in a surface r- race where they will be paraded before you, or at a beast hunt, where animals from around the world will be put on display so that you can watch them die, and you can feel for once that you're in control of something and be, awestruck by the power of the man who can bring, an elephant to Rome and put him out on stage for you and what have you. and what does the army want? the army wants two things. one of the greatest weaknesses in the Roman republic is there was no retirement plan for soldiers. they were dependent for their retirement pay entirely on their generals. successful general good package bad general bad package. uh Augustus regularizes the retirement sche- schedule for s- Roman soldiers. and it's enormously expensive. you get, sixteen times the annual income of a family of four when you retire, as a Roman soldier. uh we t- ten- uh you can go from, being a member of the peasant class, living at a subsistence level, if you survive your sixteen years of service in the Roman army, at the end of it you're a rich person. and the state has taken care of you, in the meantime. and aside from the settlement, uh and land, and a place to go, the army wants to be alive. soldiers on the whole don't want to be dead, uh and Augustus does manage to select on the whole good generals to lead them. the victories that you see at the end of the *Res Gestae*, reflect the importance of victory to the army, of they reflect the the importance of the fact that these people are going to live through to their retirement, uh in the very end. but these three groups, the senate the plebs and the army, uh that Augustus is writing for in the *Res Gestae* sum up for you, the three most important political classes, uh in Rome, in the time, of Augustus. <P :06> and there we will leave him, uh for today, uh for next time i wanna then move, on into

looking at the Roman family, and then as i say at the last part of of the time, uh we'll have that quick quiz. take care.

{END OF TRANSCRIPT}

LE3

MICASE Full Transcript View

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Academic Division: Social Sciences and Education

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Recording 76 min.

Duration:

Recording November 2, 1999

Date:

Recording TASCAM Digital Audio Tape Recorder with two external
Equipment: microphones

Language: Primary Discourse Mode: MLG
Native Speaker

Participants: Number of Speakers: 2

Number of Students: 360

S1: Native-Speaker Status: Native speaker, American English; Academic Role: Visitor/Other; Gender: Female; Age: 24-30; Restriction: None

S2: Native-Speaker Status: Native speaker, American English; Academic Role: Senior Faculty; Gender: Female; Age: 31-50; Restriction: Cite

SU-M: Native-Speaker Status: Native speaker, American English; Academic Role: Junior Undergraduate; Gender: Male; Age: 17-23; Restriction: None

SU-F: Native-Speaker Status: Native speaker, American English; Academic Role: Junior Undergraduate; Gender: Female; Age: 17-23; Restriction: None

SS: Native-Speaker Status: Native speaker, American English; Academic Role: Junior Undergraduate; Gender: Unknown; Age: 17-23; Restriction: None

Setting: Auditorium, Modern Language Building

S1: oh i don't have a microphone here. my name is Deborah and i'm a, uh researcher with the Communication Studies Department, and um, Professor Brody has, let me come into your class to recruit you for an experiment we're doing. um, what i'm gonna do is i'm gonna pass around these, these sheets, and they're eligibility forms, so if you could

if um, if you're interested in (getting paid,) we pay you for participating it only takes about an hour. um, i'm gonna go ahead and pass out the sheets, and if you could, pass 'em back over to Nikolas and then Nikolas will collect them for me and give them to me. if you're eligible, we'll call you, um, and we'll set up a time for you to come in and uh give you the (xx) so, it's it's a pretty simple process you come in and, we have you do a task and like i said it only takes an hour and we'd pay you for it. so, we'd appreciate you coming in, and, participating. any questions...? okay then i'm gonna pass these down and if you could just give them over to Nikolas. thank you.

S2: um its a (free) announcement day so uh we have one more announcement before we get started.

S2: okay i'll give you a minute or two to fill out these forms for Deborah, and uh, then we'll get started. um okay uh guys could you pass them uh this way? <P :29> okay, it that, can you hear me? is this on? no? <P :05> can you hear me? no? yeah? thank you. that's okay i'll (xx) how's that? now? okay. alright, let's get started. um, the two songs that you heard at the beginning of class, um were both by Randy Newman, uh, one is a a song from a very great album that came out in nineteen seventy called Good Old Boys, and it's called Mr President Have Pity on the Working Man, and the uh, second one also by Randy Newman on his latest album, C-D, i'm dating myself, um, is a song about Karl Marx uh, which is why i played it, and it's called uh Life's Not Fair. uh, i'm playing these because today we're going to talk about Marxist analyses of the, of the mass media. i don't know how much any of you have read Marx or studied Marx, um what has uh become clear to us in the Department is that some pe- uh- is- tha- as- as (people) have been coming out of one-oh-one is just kind of a basic understanding of why Karl Marx and Marxism matters hasn't been good. so for those of you have already read Marx, uh my apologies, um for those of you who haven't, um, the basic thing that we're gonna try to do here today is get you to understand why Karl Marx matters, uh in the area of media

studies. okay? now, so the first thing i wanna do, is we're going to_ I know that you all like my art work so much, so i thought i'd um put this nice triangle up here. now, this triangle, which is actually not even a very good triangle given what we're uh gonna be drawing, represents, kind of income distribution in the United States. okay? so, this is the bottom of the barrel, okay? and this is, right up here, see this person up there? that's Bill Gates, mokay? <SS LAUGH> alright, so that's Bill Gates up there okay, the richest person on the planet. alright, who else is up here...?

SU-M: (Abercrombie and Fitch)

S2: say it again?

SU-M: professional athletes

S2: okay, uh celebrities, right? especially, um the successful celebrities like professional athletes, very well-paid actors and actresses like Harrison Ford, Mel Gibson, uh Demi Moore. yeah.

SU-M: politicians, i would say

S2: not not really, they're not quite up there, but they might be, okay if we're calling this a hundred thousand dollars so a lot of politicians would be like here right? [**SU-M: yeah**] cuz a lotta politicians have made good, okay? alright, um, so, in_ up here we've got like, Oprah, Madonna, okay? Bill Gates. who else might be up here? yeah.

SS: (xx)

SU-M: (Ross Perot)

SU-F: (xx)

S2: Donald Trump, uh Ross Perot, okay, sort of famous millionaires, right? um, and then there are people you guys haven't heard of

probably much. i mean i know you guys have heard of Bill Knight. right? the the head of Nike. especially since a lot of you have been active in the anti-sweatshop movement on campus. so Bill Knight_ (if) Bill Knight's average, um, annual compensation, um, not counting stocks is, you know like one-and-a-half million, um, and that doesn't count other kinds of income, but, you know, there are other people like John Welsh, who you guys probably haven't heard of, the C-E-O of General Electric, whose, um compensation, in nineteen ninety-six was twenty million dollars. i think it's a good salary for running General Electric. um, Anthony Riley, the C-E-O of Heinz, okay, twenty-four million bucks a year. okay so, we have, C-E-Os certain C-E-Os up here as well, mkay? and they are like way above the hundred thousands. okay? now. this, we're gonna do this in nineteen ninety-five dollars because that's the most recent year that i have figures for, okay...? over a hundred thousand dollars, all the way up to Bill Gates, that's about seven, point-three percent of the population. okay? [SU-M: in America?] and this is the United States, yeah. the United States. alright, now <P :05> who's in here...? between seventy thousand, hundred thousand. who'd we have in here? oh, let's not forget, my dears, anchormen and -women... like, um Diane Sawyer who makes a million bucks a year, mkay? okay, um, alright, then, so we have this very rarefied area where the very rich are, okay? who_ what would be next down here...? we also will have some, obviously we have some lawyers up in here, we'd have some surgeons up in here, (mkay?) how 'bout in here? seventy to hundred thousand...? some journalists, some college professors, some business people some middle management folks, right? some salespeople. [SU-M: college professors] college professors, accountants some journalists okay. the group in here, this is about eleven percent. mkay? el- about eleven percent makes this (up.) mkay then, and, you know my drawing as you guys know is really bad so this pyramid does not really approximate any of the percentages but you get the idea, okay? alright now we go from forty-five thousand, to seventy thousand. okay who do we have in here? other college professors, other journalists, okay? um,

small business people, te- hi- t- high school teachers, other, um, nurses, store clerks, some administrators, okay maybe some carpenters, okay. this is, uh twenty-one-point-eight percent mokay? earns this. <P :05> below this, is sixty percent of the population. <P :05> now way at the bottom, less than, ten thousand bucks, ten thousand bucks this is nineteen ninety-five money ten thousand dollars is as you guys know, nothing. okay? nine-point-six percent of the population. so nearly ten percent of the population, is trying to get by on ten thousand bucks or less, mokay. alright... lemme ask you something. there are all these people down here, okay? and uh let me just_ to break this out a little bit, between ten thousand, and say twenty-two to five, is another nineteen-point-one percent so we got_ here we got thirty percent right here, okay? now, why is it, that all these people down here, say okay to this arrangement? they say, okay, there can just be a few, really rich people on the top, and all of the rest of us will stay on the bottom that's just fine with us. okay, why do people say that? and they do say that in this culture, in our society. well, this is the kind of question that Marxists ask. particularly Marxists who are looking at the role of the mass media in getting all of these people down here, to say, yes, to Bill Welsh making twenty million a year to Madonna making all the money she does to Oprah making all the money she does, to Michael Jordan making all the_ mokay Marxists wanna know what role do the media play, in getting all these people to say yes to what is clearly, clearly an unequal economic situation. and in this country it is profoundly unequal. mokay? lemme just give you a, um, a few more statistics... in nineteen ninety-two the number of poor people in the United Ste- in the United States, reached its highest level since nineteen sixty-four... okay? in the aftermath we've done these figures already <P :05> okay, in nineteen ninety-one, the richest, one-fifth, of households... got forty-six-point-five percent, of all, household income. <P :05> the poorest one-fifth, got, three-point-eight percent, of all income. household income <P :05> by nineteen ninety-five, the richest one percent, one percent, okay of the population, owned approximately

forty percent, of private wealth. <P :11> let me just give you some uh, um increases in average income between nineteen seventy and nineteen ninety-five. and one of the things that especially happened, during, under Reaganism, was a t- a real tightening of the s- of the pressure on the middle classes. the rich got richer, the poor got poorer, and the middle class got really squeezed financially, uh beginning in the nineteen eighties. mkay, so, in a twenty-five period (*sic*) between nineteen seventy and nineteen ninety-five, the richest five percent, of the population saw their income go up fifty-four percent. mkay? so the richest five percent sees their income go up fifty-four-point-one percent... mkay, the top twenty percent saw their income go up fifty-three-point-four percent. and we'll just move down to the bottom twenty percent saw their income go up one-point-five percent... so you can see the rich were getting richer, and the poor were getting poorer, during this period. the median income in the United States in nineteen ninety-five, for men, was twenty-seven thousand nine hundred dollars. <P :10> mkay. for women, this is median now, for women it was twenty-one... we could do other kinds of divisions as well, along the racial lines for example, as well as g- uh geographical area. okay, so, media scholars who are influenced by Marx look at this situation, and ask why so many people on the bottom who predominate, in terms of population say okay to this arrangement and they look to the mass media to get ideas about the role that the mass media can play in getting people to indeed say yes. okay? so that's why we are going to learn about, uh, Marxism. okay, those who analyze how the media, help excuse and encourage unequal economic and political power relations have been profoundly influenced by Karl Marx. and they refer to their work as Marxist or Neo-Marxist. um, now Marxism has made absolutely crucial contributions to analyses of popular culture. so, first i want to tell you who Karl Marx was and uh why those of us studying the media uh need to know about him and his work. so the first thing i wanna do is distinguish between political Marxism and intellectual Marxism. okay...? okay, most of you probably know the term Marxism, as a dirty word. alright? um, as

something that guided communism. communism has collapsed in the former Soviet Union, it's collapsed (*sic*) in East- collapsed in Eastern Europe. it's certainly been very powerfully contested in China, right? and most, when most Americans hear the words Marxism, they don't think of intellectual Marxism, they're thinking of political Marxism. mokay? uh, political Marxism drew from Marx's writings, Marx and Engels' writings <P :12> and, drawing from Marx and Engels' writings, became a political program, that you guys know primarily as communism and socialism. a political program for popular liberation designed to produce a classless society in which all goods were socially owned. in other words, a political program to get away, t- to do away with that triangle that we just saw, right? say it again, a political program, and again this is on the web, for a popular liberation designed to produce a classless society... in which all goods are socially owned... there were, as you know enormous failures in political Marxism. it quickly became clear, after the Russian Revolution, certainly by the early nineteen thirties, that what existed in, in the Soviet Union was not the kind of communism that Marx and Engels dreamed of, they dreamed of a very utopian uh kind of society. instead what emerged in the Soviet Union by the nineteen thirties was totalitarianism, okay? not communism... communism was an effort to apply Marxist theories into practice, um and communism sought to overthrow um, the capitalist regimes that that existed although there was not really a capitalist regime in Russia in the teens, it was very much still a feudal society, very much of a peasant, agrarian society. but the idea behind communism, was that you would overthrow the capitalist system by revolutionary means, if necessary, and then establish this classless society. now socialism, which has in fact been much more successful and exists in a variety of countries around the world, also very much influenced by Marxism, and advocates a system of collective government ownership, mokay. so what socialism, it does is_ socialism has not necessarily come about by violent revolutionary action. (it) has been more incremental and advocates a system, of collective, or government ownership... [SU-M: collective

socialism?] [SU-F: socialism?] yeah, socialism, advocates a system of collective or government ownership, and the management, of the means of production, and distribution of goods. and yes i was saying (xx) advocates a system of collective or government ownership and management of the means of production... and distribution of goods... now, what countries are socialist to some degree? some of you have been to them. Canada is socialist to some degree, Britain is socialist to some degree although the socialism of Britain, was severely undercut by Margaret Thatcher and continues to be by Tony Blair's government even though it is a later government, okay? Sweden is a socialist country. Denmark has elements of socialism, so do France and Italy. in other words, a variety of countries in Europe have varying degrees of socialism meaning that the government provides certain kinds of services to the population, that the government manages certain key industries like say the railroads or the airlines or the public utilities or the broadcasting systems. in the United States, we had uh, the beginnings of a social welfare state that really began during the Depression and has been under assault, heavy assault, um in the last fifteen years or so. we have a much less socialist country uh, and in fact most would regard our country as not socialist at all. it has a few, tiny, elements, of sort of socialist practice, right? like Medicare, Medicaid, food stamps, those sorts of things. but in this country, we believe in the sanctity of the market and private enterprise and private ownership. alright? now, intellectual Marxism is different, okay? and and it's very important that you understand this because uh in this country as i said before, since Marxism is such a dirty word precisely because Marxist political systems have come in- in a such disrepute there is a tendency to conflate that with trashing intellectual Marxism, okay intellectual Marxism is it's, is different. intellectual Marxism, has to do with an analysis of economic conditions, economic and political conditions. so it's, it is an intellectual activity. and let me be more specific about that. <WRITING THROUGHOUT UTTERANCE> intellectual Marxism is an historical and economic analysis <P :05> of how ownership <P :04> of

the modes of production <P :06> produce different relations, different relationships, okay between workers and nonworkers <P :11> and also, cultural institutions, that perpetuate and justify inequality. i'll say it again. intellectual Marxism is an historical and economic analysis, of how ownership, and the modes of production produce, produces, sorry different relationships, between workers and nonworkers. and this means particularly workers and owners, okay workers and owners and different social, and cultural institutions that perpetuate and justify inequality. <P :09> okay? it's it's also up on the web. okay, now i- you know some have taken the failures of communism and the former Soviet Union and Eastern Europe as a cle- a complete refutation of Marxist theories. others believe, of course that the central truth of Marx and Engels, the the central truths of the activities remain untouched, because of, the kind of communism that we saw for example in the Soviet Union was such a bastardization, of communism as envisioned by Marx and Engels. now, intellectual Marxists would also point out the following facts, that despite the resiliency of capitalism and capitalism has been an incredibly, resilient and productive economic system, right? but that despite the successes of capitalism, that the capitalist world, is still stalked by violence, it's still stalked by poverty. the capitalist world is stalked by injustice, and it's stalked by worker alienation. anybody who has ever read a Dilbert cartoon, knows the extent to which workers in this country, ma- millions of them are stalked by worker alienation. [SU-F: (can you repeat that?)] i'm sorry? [SU-F: can you repeat that please?] i sure can. intellectual Marxists would point to the fact that despite the fact that, uh, capitalism has been very resilient, robust and successful way to managing an economy, a very successful robust economic system, that nonetheless capitalist societies are stalked still by poverty, by violence, by injustice, and by alienation. <P :04> and if we go back to our triangle, that's a triangle of the the pre-eminent capitalist the United States, ours. and what do we see? that capitalism's biggest failure, is to distribute the blessings of capitalism fairly. the blessings of capitalism are not distributed fairly. so

we have a society here for example in which we have great wealth, and we also have absolute abject poverty. and this is a failure of this particular economic system. so i just wanna make sure that, um in our discussion, you know that what i'm talking about is intellectual Marxism, not political Marxism, okay? now, who was Karl Marx? Karl Marx was born in Germany in eighteen eighteen. he studied law, but he got_ earned his degree in philosophy, his PhD in philosophy in eighteen forty-one. Marx was from Prussia. uh for those of you who know old German maps, Prussia is the northern part of Germany that was the very large part of Ge- Germany that included Berlin, and during the time that Karl Marx was coming of age, it was run uh very autocratically, um it was run with an iron fist. freedom of speech, freedom of religion were not guaranteed. the government exerted strict censorship on publications in schools and um, Marx was also coming of age during the real explosion, in Europe of the Industrial Revolution, the real rise of industrialism, which was particularly taking hold in, uh uh Britain, and in Germany. now Marx supported himself by his writing, he was a newspaper editor in the eighteen forties, he also wrote, he was a stringer for the New York Herald Tribune, many Americans don't know this that Karl Marx actually wrote for American newspapers. he never made much money. Karl Marx lived in uh, very desperate poverty most of his life. um he uh married in eighteen forty-one. he and his wife had six children, three of them never made it to adulthood and um, and it was a very, hard uh life that he lived. one of the major ways that Marx survived was due to the generosity of his of his friend and lifelong collaborator, uh, Frederick Engels. now, Marx's writings and his political beliefs which became increasingly critical to Prussian authority and and increasingly radical made it impossible to stay in Germany. so Karl Marx emigrated to London in eighteen fifty. [SU-M: (emigrated where?)] London, he went to London in eighteen fifty. and those of you who have ever been to, um the British Museum, you can go to the room where Karl Marx used to go and and and write, um, Das Kapital, a very famous thesis. now, Marx and Engels met in eighteen forty-two. Engels

was able to support Marx through much of, uh well all of Marx's life, and he he came from a fairly well-to-do business family. and the reason this partnership worked so well was that Engels was the better writer, uh Marx was the deeper thinker. this was not to say that Engels did not influence Marx's thinking, he did. Engels wrote books on his own, but they collaborated, uh on a book that i uh i am especially gonna talk to you about today because it has had such an enormous influence in media studies... now, what they did is they began uh, studying and writing about the exploitation of factory workers, by factory owners. and what Marx and Engels did for example is they compiled, uh a lot of data, uh from um uh income uh information in England, in the nineteenth century to show that in fact as England had become more industrially wealthy, that the workers were actually more emiserated (*sic*) than ever. mokay, so the world that Marx was seeing, was one of increased worker exploitation, and Marx believed that as this worker exploitation became utterly unbearable, that the workers would unite, workers of the world unite, and they would stage a revolution <P :07> they also began their more theoretical analyses <COUGH> excuse me, of how capitalism, as an economic system worked. and uh, there's a word that some of you have already heard, some of you will hear, political economy <P :05> um, (xx) sorry... which is the analysis of how the state and the corporate sphere interact. political economy looks at the relationships between, corporate sector and the state, to see how that interaction, shapes business practices, shapes regulation, shapes cultural institutions <P :04> now, a part of their work was the claim that how a society produces its means of existence, its mode of production, okay? put this on here again. <P :05> ultimately determines- determines the political, social, and cultural shape of that society. okay? so at the heart of their work this uh is a claim that how a society produces its means of existence. its mode of production, ultimately determines, the political, social, and cultural shape of that society. <P :08> that, how a society produces its means of existence, its mode of production, determines the political social and cultural shape of that society. so, lemme give you

some examples. here are different, modes of production. feudalism is a mode of production, alright? you have, uh the big guy with the castles, okay the aristocrats, and you have peasants, that's one mode of production. there have been slave societies that have basically been slave-master uh societies. there are industrialists and workers, in an industrial, uh, capitalist mode of production. <P :04> in other words, what they're, um what they're really emphasizing, is that the economic arrangements, okay the economic arrangements of a society drive that society. it's the economic relations <P :04> that determine the nature of that society. <P :12> now, what we're gonna do, today, this is the <P :08> uh, lemme just get a sense of where folks are at here, how many of you have already done this stuff on Marx? okay, just you. okay... it's very um, w- we all struggle here not to do overlap, but sometimes it's unavoidable. alright... let me talk to you about the the the most sort of important, sets of notions here that shape people's (xx) ideology based in superstructure_ can everybody, can you guys in the back see this? [SU-F: is this one on the web?] i'm sorry? [SU-F: are you putting this on the web?] it's on the web. yup. okay. the base, these of- the the base refers to the forces of production, and the relations of production. these are two, th- th- it sort of encompasses two things okay...? the forces of productions are things like the raw materials the tools the technology, um the workers themselves and the workers' skills. okay these are all th- the uh, forces of production. but the base also includes relations of production that emerge from these forces of production and how they're set up. mokay, the class relations of those engaged in the production... so in other words, each mode of production, and we talked about this uh just a minute ago with agricultural industrial, produces particular relations of production, master-slave, lord-peasant, bourgeois, capitalist versus proletariat. one's class position then is determined by one's relation to the modes of production. okay? <P :05> the other major, uh, element of society then is referred to as the superstructure. these are the various institutions, political religious, educational cultural <P :07> and the forms of social consciousness that arise from the basic mode of

production in other words, these are institutions, that emerge as a result of the mode of production. so that certain kinds of cultural institutions Marx and Engels would argue, would arise from a feudal peasant society and different kinds of institutions would arise from an industrial society. but that the nature of those institutions is determined by the mode of production. <P :04> so the superstructure expresses and legitimizes the base... while the base, determines the content and form of the superstructure. okay, that's not up here so the base determines the content and form of the superstructure... so let me just elaborate a little bit and then we'll get to false consciousness. so the economic base, produces the kind of superstructural terrain. but the form of the activity that takes place there, is determined it's determined not just by the base but also by the interaction of those other institutions so as you guys, know, if you look at an educational system, the media, um religious institutions, there's often powerful interaction among these institutions that are part of the superstructure... but what matters here for y- for you guys in sort of classic Marxism, this is classic Marxism, is that culture, can never be the primary force (in) history. okay? <P :06> it can be an active agent in social change culture can be an agent of social change but it (can) never be the primary force of history.<P :07> okay, do you have any questions about base and superstructure? <P :07> alright, why does this matter why do you in Com one-oh-one need to know about (xx) superstructure? because the argument is, coming out of classical Marxism, that what you_ this is how this argument gets extended. that what you need to know most, when you turn on your television set or open a magazine, or go to a movie, what you need to know most, is who made that product and how they're benefiting from it. in other words Marxism asks you constantly to think about the base as a driving force you know the economic modes of th- uh, organizing a society, the particular forces of production, how those shape what you're seeing culturally. now one of the arguments that merged out of classic, Marxism was the notion of false consciousness... do mo- do most of you have this written down yet or are you still working on it?

[SU-M: (still working on it)] got it? okay. lemme give you a little background on this. i just wanna give you a few quotes. this all comes from, this is on the web, but that's not here. a very famous book <P :05> which some of you may have already read, The German Ideology. okay, The German Ideology was written by Marx and Engels, and has had enormous impact on certain sectors, um it was written in uh eighteen, forty-five, forty-six okay? now what they do in part in The German Ideology is really lay out, a a a kind of theoretical train about what kind of ideas come to be sort of the common sense of the times. alright? and here's what they said. and this is a very uh, famous claim, the ideas of the ruling class, are in every epoch, the ruling ideas. okay, i'll say that again. the ideas of the ruling class, are in every epoch, the ruling ideas. in other words, anybody can make it to the top. anybody can become a millionaire. anybody can become pregnant. people who are poor, they deserve to be poor. they're lazy. people who are rich, deserve to be rich. they earned it. okay? these kinds of uh, American platitudes, a Marxist would say, benefit elites, alright? because they don't interrogate unequal, uh monetary economic relations. they just accept them as the natural order of the world and then if people accept them as the natural order of the world, right? then nobody's going to challenge, the position of those people who inhabit the top one percent. everybody will just say, that's how it is. we're rich, they deserve to be rich, poor people deserve to be poor, if i just work harder, i can make it to the top. okay? that's what they mean by the ideas of the ruling classes being the ruling ideas. in other words ideas that benefit the ruling classes according to a Marxist, become so naturalized and are just so taken for granted that everybody buys into them even though they are ideas that do not benefit the vast majority, of the society. so even though in fact, it is not true that anybody can become a millionaire. it is not true that anybody can become president. it is not true that poor people deserve to be poor, or that all rich people deserve to be rich. many of them were lucky, many of them inherited it, okay? even though many of these things are not true, the belief system is very powerful and

works to help us see the way things are. that triangle that we saw, as uh taken for granted when you're looking at the world. okay? now let me just read you a- another, um a quote from, The German Ideology. what they argue is that the class that has_ that controls the means of material production, the classes who control the factories, alright? that build cars that build trains that build cities, that class, also has at the same time, control over the means of mental production. in other words according to this argument those who control, the industrial production of the country who are the wealthy people who basically build things and have money, also control the mental production of a country. those who lack, mokay, those who lack those kinds of financial resources, also lack the ability, right? to have their ideas come out and be s- be uh, considered on the same level. because they don't have the resources to get their ideas out in the same way they don't own the newspapers, they don't own museums, later on, long after Marx is dead they don't own radio stations they don't own television stations they don't have advertising agencies (xx) mokay? so in other words, the predominant ideas common to a capitalist society, are those of the ruling class, according to Marxist analysis. now these might not be the only ideas, but they are the ruling ideas that dominate the consciousness or actions of those outside the ruling class. <P :04> okay... now what the ruling classes are compelled to do under these circumstances, is represent their interests as the common interests of all society... and why is this so compelling? well, people do wanna think that, maybe i could become a millionaire. maybe i can make it to the top and then i'll have all those benefits that those other people do. there's something very attractive about this narrative about this story that is a story of possibility, alright? it's a story of possibility any of us can do it you know? we don't live in a caste system in this country. it can happen to anybody so there's something very compelling about this particular narrative. now, one of Marx's uh key metaphors for ideology is uh uh false consciousness. this is the irrational or illusory thinking produced by class (xx) and social formation i know this sounds really jargony. um, but basically it refers to the ideas

imposed on the majority are the (workers) of society. let me give you um, just something close to home i can give you lots of examples of false consciousness. a Marxist (xx) might, um look at my position for example and say the following, you think that what you are is an educator. you think that what you're doing is enriching, the minds of young people and, uh influencing their lives and you're doing this uh, uh very noble good thing, trying to change the world but really what you are is a worker in a knowledge factory. that's all you are, a worker in a knowledge factory. and that you have an illusion, that gets you, you know through the day, but it's merely an illusion. it's false consciousness... just one example of of a variety. okay <P :06> false consciousness tries to explain why workers, have frequently been in support, of the very system that exploits them, alright? or have stayed removed from labor unions, or class struggle. false consciousness tries to explain why it is that people on the bottom of that triangle go okay. and they go okay because they believe in the belief system that promises them, access to the top... now the_ Marx's uh uh very famous example of this which you_ i i'm sure you all know, is that religion is the opiate of the masses. you've all heard this. um, that religion was a kind of narcotic, uh that substituted dreams of happiness in the hereafter, for demands for social justice right now, alright? and there have been Marxist critiques for example, of the role of Christianity a- in slavery, in keeping uh s- African-American slaves in the United States, wedded to their position by using Christianity to promise them, a noble wonderful glorious life in the hereafter, mkay? now uh what people subsequent to Marx have looked at, especially as the power of religion has declined and the power of the mass media (had) increased is how the mass media have become the opiate of the masses. alright? that it's the mass media really that lull us into, a sort of distracted, happy, deluded state where we're not gonna go to (m-) um the socialist meetings, we're not gonna go to anti-sweat shop activist meetings, we're not gonna ch- really try to change the world. it's like you know tired i'm gonna go watch Party of Five. mkay? so what Marxist media critics do in part, is

look at the way in which media products, um divert people away from political, knowledge, divert people away from political historical knowledge, that would, for example connect you guys, to long enduring histories or youth movements in the twentieth century, many of which've been radical, to workers' movements in the twentieth century to anti-war activism, to civil rights movements and feminist movements etcetera. okay? Marxist arguments would look at how the media kind of obliterate that kind of history. and so in fact you don't know much history, you don't wanna know much history. what's in it for you, right? right? and a Marxist would say that that kind of eradication of history that would tie you to other young people like you and tie you to a history, that might resonate with you, is a very effective and potent use of the mass media to depoliticize you. okay? that the mass_ one of the f- the functions of the mass media is to depoliticize you, make you not care about politics at all <P :04> that in fact, what a Marxist would argue is that the main function of the mass media is to reaffirm the status quo. the status quo is great, oh there may be some problems. but basically the status quo is great. this is the best economic system in the world. we should all be happy and shut up, and go (xx) mkay? <P :04> now, uh, as you remember from the very beginning of class, when we talked about definitions of ideology, this is the other thing that Marx and Engels put on the table they didn't want us to think about ideology as some kind of programmatic set of beliefs or propaganda. right? th- they wanted us to think about ideology, as the commonsense values and attitudes, that sustain unequal power relations. so that's where a lot of this um thinking, new thinking about ideology came from. now, if um, there are debates about the extent to which Marx and Engels were economic determinists, we've use the word technological determinist before but the extent to which they were economic determinists meaning that always and only in the last instance, it's the economy that drives everything. you know wh- huge debates in the academy about this. but somebody who only looks at um, these kind of economic interests, let's say (xx) the mass media for example, argues only from economic

interests, could be called, a vulgar Marxist. okay? because, they're doing a kind of a very mechanistic reading, of Marx. it's always a good insult to hurl at somebody, you vulgar Marxist. um, alright. now if you wanted to make a case for Marx and Engels, uh of a- analysis as applied to the mass media you'd begin with the following. okay, you'd say, look at who owns the media, right now. look at who owns the media right now. who owns the media right now? owned by a few huge, uh, international, global media monopolies. okay? the very rich and the very powerful. Rupert Murdoch. Disney. Time Warner. okay? a few major corporations. very wealthy corporations own almost all of the media outlets in the United States. radio stations television stations the studios that produce programming advertising agencies magazines books, record companies they own it all. okay? so first of all you'd look at who owns the stuff and say, this is all concentrated in the hands, of a few capitalist very wealthy capitalist owners. okay? so that would be step one in your argument. therefore, you would argue, since they own the stuff, it's their ideas, that are gonna receive much greater prominence than the ideas of other people. and even though some of what they produce might seem like, it's you know geared to, uh, disaffected women, or people of color or seeks to show, uh poor people a little bit. that that's all kind of a mask. okay, it's all sort of a mask that really, what's getting out there over and over, because they own the stuff aren- are their ideas. and their ideas predominate, would the argument go. and therefore third part of the argument, because of that, then, this ideological domination, comes to sort of surround us all. that we're all (xx) this ideological domination they produce. and what that means then since we all buy into it, is that it maintains the existing system, of class inequality. which allows that triangle to exist. mokay? so, A they own it, B because they own it, it's their ideas that predominate, other kinds of ideas not consonant with those ideas don't get much air play C because their ideas predominate most of us that's, our imaginations are kind of stunted. if that's what we come to believe, we don't get much other alternative ways of looking at the world. and

therefore the status quo which benefits them, is maintained. mokay? that would be like a classic Marxist argument about the media <P :05> okay. um, lemme just give you a few examples of how Marxists might um, uh take on uh various aspects of the media, um, and i wanna talk about pseudo-individuation, too. it's up here, pseudo indonat- individuation, the standardization of media forms and audience tastes, through patterned predigested and endlessly recycled cultural entities, okay. i will unpack that for you... what's the difference between In Sync, Ninety-Eight Degrees, the Backstreet Boys, The New Edition, and New Kids on the Block? [SU-F: the New Kids are the best?] say it again? [SU-M: they're popular.] [SU-F: New Kids on the Block are the best] i can't hear you, sorry. [SU-F: i just said that New Kids on the Block are the best] New Kids on the Block were the best is one answer we have down here. what are the differences? look, they are all, these cute boys who can dance. most of them don't play instruments. mokay? what they play is the audience, okay? they are each socially differentiated, so that, the presumptive female fan can identify_ she can choose her New Kid or her Backstreet Boy whether it's Howie or i don't have all (their) names right okay? <SS LAUGH> sorry. you know. Howie's not bad i have a ten-year-old so i know that. um, but basically, here's what a Marxist pseudo-individuation argument would say. this is the same damn group. same group, from New Edition, New Kids on the Block basically rip off New Edition, and a lot of other types of black music and black culture, come out, they're androgynous, they're cute, they dance, they're not threatening, they showcase a kind of feminized masculinity, they're a huge hit, then, you know, you know they get dumped on and we get another one. now what's happened? a Marxist would say the following. there is a new (xx) of young girls in the United States just ripe for the picking. and there's plenty of room, for a couple of these bands, In Sync, Backstreet Boys, etcetera and throw in a few girls too, like Brittany Spears. okay...? they're the same band but it doesn't matter because what a capitalist culture industry does according to a Marxist argument, is it produces the same thing that it knows works, over and

over and over and over just recycles it over and over. you might have slightly different embellishments, um, for example i if my memory serves me correctly, uh well there were like certain kinds of hairdos, that the New Kids had that are probably different from the hairdos that the Backstreet Boys have, alright? (xx) some of them, one guy has, you know, this very clearly laid out sort of facial hair marker and another one doesn't. these are stylistic flourishes that seem to distinguish the Backstreet Boys from everybody else, but they're simply stylistic flourishes meant to mark difference where no difference exists... and what we get, hey the New Kids worked, the Backstreet Boys worked In Sync worked, so let's keep cranking this stuff out. and what happens_ this is just one kind of example so what do we get according to this argument? a very standardized kind of popular music with very sort of standardized, modes of address to the audience, and standardized ways for this particular kind of male band which is a very particular kind of defined male band right? to beha- to behave and perform, and that this is just one example of the endless standardization that confronts people in popular culture, and when you are uh, basically surrounded by, this this kind of pseudo-individuation in music, and then you turn on television and what's on? here are the shows that are on. there are a bunch of friends living in an apartment in New York City. about five of those kind of shows. there's a young woman working in publishing, with some sort of smart ass s- staff around. another kind of show Just Shoot Me Suddenly Susan right? they're all the same show all the same show mkay? um, back i- before you guys were born, there were there were these cop shows. i don't know if you've ever seen any of these in rerun. Starsky and Hutch, uh Kojak Simon and Simon um they were all the same show too. it was two guys, there was a slightly homoerotic charge there <SS LAUGH> they um, had cute different outfits maybe they'd have an odd pet but it was the same show. it was two guys solving crimes. alright so what is the argument here from a Marxist perspective about pseudo-individuation? here's what a Marxist could say. and again, i'm laying this out for you all i am not asking you, to necessarily

adopt this view cuz there are criticisms, there are important (inventions) that we'll talk about Thursday into Marxism. i want you to understand what it is, okay? so, what a Marxist would say is the, cumulative effect, of all of this like pseudo-individuation, the same stuff, over and over and over and over okay? is that your imagination becomes stunted. you can't even imagine, sort of other ways of thinking about the world, or engaging in storytelling. or engaging in music making, and already, your, your uh, you know, radar detector should be going up given what's happening, all of the various things that happen in music that are very much in opposition to say Brittany Spears. right. okay but the argument would be that your imaginations in this kind of culture industry in which it's very much in the owner's interest to keep giving us more more more of the same same same that is happy, your major goal in life should be to be happy. um, if you're happy, you'll go buy more stuff, you won't be thinking about much of anything else because you'll be on the sofa watching Caroline in the City, okay that your imaginations your political imagination as well as your intellectual interest and ability, in thinking differently about the world is suffocated by pseudo-individuation. okay? that's the argument. um, let me just give you um, a f- one or two other arguments, and then i wanted to set something up really quickly before we go away. okay um, it was, let's see you all were, how old were you guys when Desert Storm happened? [SS: eleven] eleven? ten? yeah? okay. alright. so you remember the butcher of Baghdad, right? the butcher of Baghdad. and, uh let me just give you again a Marxist reading of Desert Storm. this is child's play, by the way, since news management by the U-S government was so rigid and censorship so utterly and totally complete, that various publications filed a suit in f- in federal court, against pri- uh charging prior restraint by the government. that the government was only letting out you know certain kinds of images of uh Norman Schwartzkopf et al, other kinds of images didn't get out but it was a very very carefully orchestrated, quote unquote war. so what would a Marxist say about this? okay first of all, it was in the U-S government's interest, to present Desert Storm, as a quick and just

victory, in which the United States' clear military and moral superiority were demonstrated without question, right? that's what was in the U-S government's interest. so, we get Saddam Hussein now if you wanna mobilize public feeling around this war what do you need? you need a really bad enemy, right? a really bad guy. so Saddam Hussein becomes, Hitler. he's the butcher of Baghdad, and in fact on certain pu- on certain publications his mustache was altered by air brushing so it was_ looked more like Hitler's mustache. um, the news was carefully managed now he- and you know some of the stories we went in we kicked butt we got out. okay? now, what didn't get reported? the news that U-S forces had killed over one hundred thousand Iraqi soldiers, many of them still teenagers, was buried from government press releases and buried from much of the nightly news. also, not really covered, um were yo- you know that there's still the United States still has imposed an embargo on Iraq and by the way i am not holding up Saddam Hussein as any paragon of virtue okay? this is not about suggesting that S- Saddam Hussein, is anything but what he is. but it is about the use of government propaganda to, um, mobilize public will and to give the American public only some information and not others so that it will go along with what the government wants. this embargo, okay as of nineteen ninety-six this was three years ago, now you know what this embargo does. it doesn't allow water purification to go_ any kind of water purification systems to enter Iraq. it's an embargo on pure water. it's an embargo on insulin and other kinds of medicines. it's an embargo on pain relievers, and anesthesia. now, what is the effect of this? and what was the idea behind the embargo? oh if the United States has the embargo of course the Iraqis are gonna rise up and overthrow Saddam Hussein. well what's the real result of the embargo? that a half-a-million children by nineteen ninety-six a half-a-million kids under the age of five died, because of the embargo. okay? another kind of, piece of information that was not played up, in the national news. so a Marxist would look at this constellation of how Saddam Hussein was presented, what kind of news was foregrounded about military success,

what kind of news was repelled or played down or didn't get any play at all, and look at the way in which the state, powerfully controlled, people's, understanding of that war. and therefore contained, people's criticisms of that war. the other thing a Marxist would say, is would look at_ there were actually a lot of anti-war protests around this war, and they were not covered uh on national news. so a Marxist would look at how the anti-war movement, the anti-war response to Desert Storm, was simply brushed aside and not even covered so if your television is your only source of information, all you would know was that this was a whopping success, hardly anybody got hurt, there was no opposition in the United States, war over. mokay? now, i wanna just give you two different_ i want to now contrast Marxism with liberal pluralism because i wanna give you an alternative framework to think about. <P :13> and yes this is up on the web. <P :15> are we okay? oh we have time to do this okay. now, let's do the Marxist over here first, because this is what we've just done and then i wanna contrast it with liberal pluralists. these are two different categories, of media uh scholarship and media scholars. now for Marxists, society is characterized by class domination. okay? that the ultimate control in society is increasingly concentrated in monopoly of capital, that all uh, societies particularly industrial societies are class based societies... that the media organizations in those societies might have the illusion of autonomy in other words A-B-C or C-B-S, or N-B-C might think that they are autonomous news organizations but in reality, they are deeply dependent on, and bound by, i'm sorry bound to the state, you know by the state they mean government interests, and corporate interests, for their income and information. <P :11> mokay? we have society at least? <P :04> alright... when thinking about control of the media, okay, so, um... i'm sorry these are i- this is the wrong label it shouldn't say um, control it should be media um, uh worker, you know people who (are) media professionals. so whe- where it says um control of media it should say media professionals... so media professionals, they also have an illusion of autonomy too. uh, Sam Donaldson, uh Dan Rather, they think that they

are independent journalists but in reality according to a Marxist, they are socialized uh into and they internalize the norms of dominant culture. okay? so they think they're autonomous but they aren't really because there's just been such a powerful socialization <P :09> okay now audiences, in this schema, sometimes negotiate and contest media frameworks, but they really they lack ready access, to alternative meaning systems, that would, you know allow them to see the world differently, okay? that will allow them to reject the definitions offered by the media in favor of alt- oppositional uh definitions. so, aln- in other words according to a Marxist, some audiences at some time, you know might be able to talk back or say i don't believe this or contest what they're seeing, but that for the most part they really can't do an engaged sustained um, oppositional talk-back, because they don't have other meaning systems that would allow them to do that, mkay...? and finally the media themselves, according to a Marxist, relay interpretive frameworks, that are consonant with the interests of the ruling classes. so however Desert Storm is interpreted, however airlines' crashes are interpreted, however political campaigns are interpreted, or riots or demonstrations, their dominant interpretive frame is consonant with the interests of the ruling classes, a Marxist would argue. okay? now, the Marxist tradition just to um... emphasize this, i- it comes very much out of a European intellectual tradition. it's um it's a much more of a European intellectual tradition that has come to the United States, and the Marxist approach to thinking about the media, um, emerged i- in in, uh sort of disguised form a little bit in the nineteen fifties but really took hold in the nineteen seventies in the United States. now, by contrast we have liberal pluralists, and they have a different view of society and the media in that society, mkay? they see society not as constant class domination, with elites always on top, but they see a complex of of competing groups and interests, so that society, you know i- there's constant struggle and negotiation, and some groups are dominant sometimes and other groups are dominant other times. so they might look at a period when, labor unions were very a- uh very active, and

very powerful in the United States, gaining their power say in the nineteen thirties and forties, and say look this was a time when management was relatively weak given the power of labor unions, and then, things began to change again in the nineteen seventies. or they might look at, uh the difference between democrats and republicans, or other kinds of groups. media organizations, then according to a liberal pluralist do en- enjoy an important degree of autonomy, okay? they are autonomous institutions. they are, uh they talk back to the state they talk back to corporation. they keep them in check, a liberal pluralist would argue. again, i apologize for this control of the media this should say media professionals, right here. it should say media professionals. okay they constitute an autonomous managerial class, okay? and they have flexibility, they have control, they have a lot of power to shape what comes out of the media according to liberal pluralists <P :04> audiences, then, are not um, you know either dupes, or passive, but audiences engage into a voluntary relationship, with the media, on relatively equal terms let me move this up... and they can challenge the media in all kinds of ways right? you can turn off your radio turn off your T-V set not buy the magazine, not go to the particular film, you can reject what you see so in this view audiences have s- some power to negotiate. and the media, themselves, constitute a place where various class views are fought out but none predominate all of the time. okay there's much more of an image here of contestation, but there isn't a dominant class that always wins whose world view, constantly prevails... so these are, as you can see, uh somewhat different ways of thinking about the power of the media and the media's relationship to society, alright? and what you will find, what i want you all to think about, as, you are looking at advertising or watching television, um or engaging in whatever kind of media consumption you engage in, start thinking about, what your, view is of how the media operate how much power you think it has, and which framework, makes more sense to you. see you Thursday. {END OF TRANSCRIPT}

LE4

MICASE Full Transcript View

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Academic Social Sciences and Education

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Recording 72 min.

Duration:

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Equipment: external microphones

Language: Primary Discourse Mode: MLG

Native Speaker

Participants: Number of Speakers: 13

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S1: Native-Speaker Status: Native speaker,
American English; Academic Role: Junior Faculty;
Gender: Female; Age: 24-30; Restriction: None

S2: Native-Speaker Status: Native speaker,
American English; Academic Role: Senior
Undergraduate; Gender: Female; Age: 17-23;
Restriction: None

S3: Native-Speaker Status: Native speaker,
American English; Academic Role: Senior
Undergraduate; Gender: Female; Age: 17-23;
Restriction: None

S4: Native-Speaker Status: Native speaker,
American English; Academic Role: Senior
Undergraduate; Gender: Male; Age: 17-23;
Restriction: None

S5: Native-Speaker Status: Native speaker,
American English; Academic Role: Senior
Undergraduate; Gender: Female; Age: 17-23;
Restriction: None

S6: Native-Speaker Status: Native speaker,
American English; Academic Role: Senior
Undergraduate; Gender: Female; Age: 17-23;
Restriction: None

S7: Native-Speaker Status: Native speaker,
American English; Academic Role: Senior
Undergraduate; Gender: Female; Age: 17-23;
Restriction: None

S8: Native-Speaker Status: Native speaker,
American English; Academic Role: Senior
Undergraduate; Gender: Female; Age: 17-23;
Restriction: None

S9: Native-Speaker Status: Native speaker,
American English; Academic Role: Senior
Undergraduate; Gender: Male; Age: 17-23;
Restriction: None

S10: Native-Speaker Status: Native speaker,
American English; Academic Role: Senior
Undergraduate; Gender: Male; Age: 17-23;
Restriction: None

S11: Native-Speaker Status: Native speaker,
American English; Academic Role: Senior
Undergraduate; Gender: Female; Age: 17-23;
Restriction: None

S12: Native-Speaker Status: Native speaker,
American English; Academic Role: Senior
Undergraduate; Gender: Male; Age: 17-23;
Restriction: None

S13: Native-Speaker Status: Native speaker,

American English; Academic Role: Senior Undergraduate; Gender: Male; Age: 17-23; Restriction: None

SS: Native-Speaker Status: Native speaker, American English; Academic Role: Senior Undergraduate; Gender: Unknown; Age: 17-23; Restriction: None

SU-F: Native-Speaker Status: Native speaker, American English; Academic Role: Senior Undergraduate; Gender: Female; Age: 17-23; Restriction: None

SU-M: Native-Speaker Status: Native speaker, American English; Academic Role: Senior Undergraduate; Gender: Male; Age: 17-23; Restriction: None

Setting: Lecture Hall, School of Education

<OVERHEAD USED THROUGHOUT>

S1: i just wanted to revisit this issue of when a positive portrayal, is negative. <P :07> and the case here is uh, the study that you had to read by Innocent Fagan, on the Cosby Show. <P :26> okay, so when positive portrayals are negative Innocent Fagan the Cosby Show talking about different views, whether the Cosby Show was a good thing, for, portraying a counter stereotypical view of African-Americans or whether it was a bad thing. so does somebody wanna summarize for me, twenty-five words or less, what the positive view is here? the positive view of the Cosby Show in this article? <P :06> remember you will be anonymous... yeah?

S2: show a professional black family in a way that, um, a very white-collar family had been shown before.

S1: why is that positive?

S2: um well [S1: wha-] counter stereotypical um this's the kind of family that'd been mostly limited to white people, um

S1: so what should that do? you know wha- what should that do for African-Americans as a group?

S2: well it should change, or contribute to the change of stereotypes by uh, you know letting, letting other, letting out-groups know that there's another side to, (the story)

S1: right excellent. the the first argument is that, you know out-groups that is non-African-Americans, watching the Cosby Show, should get the idea that, African-Americans are not all, you know name your portrayal criminals, um i'm thinking of Sanford and Son junkmen, um blue-collar workers and so on. it's a counter stereotypical portrayal and should be teaching, white Americans that African-Americans can make it, you know up high as well. so, positive view, counter stereotypical <P :08> challenge existing views, you know the idea that, if you come to the screen thinking, that all African-Americans are poor or criminals when you watch the Cosby Show, that should tell you, that that's not the case. <P :04> also, you know the positive view... includes the idea that, um, that this was th- this wasn't a typical portrayal. this was a kind of groundbreaking portrayal. it stood out. um it was kind of a it's-about-time argument. it's about time, African-Americans are portrayed positively. okay so there's sort of a relief with it, well thank goodness finally there's a good there's a good por- portrayal. what about the negative view? does anybody wanna, bravely, summarize, what the argument was against, the Cosby Show? <P :12> why could this be bad? yes?

S3: it ignores like, the problems of discrimination (and stuff)

S1: why_ what would it do that was bad? what was the argument that the Cosby Show would be doing, to white American's views of African-Americans?

S3: it'd make it seem that, African-Americans who didn't succeed to that level, are just lazy

S1: okay, great. um, the negative view is that it, supports stereotype because <P :05> if African-Americans, can reach, that level <P :05> those who don't must be lazy. <P :06> okay? the argument against the Cosby Show was, it's not necessarily realistic, it may lead white viewers to think that if African-Americans can all reach the level that the Cosbys have reached, then those who aren't, doctors and lawyers, must just be lazy. <P :07> so you have these two, you know counter- countervailing uh, views of this show. does anybody have any thoughts on this? i mean do you think that one of these, prevails over the other? do you, agree with one of these more than the other? <P :09> you know these microphones can pick up your whispering too. just kidding, um <P :05> do you buy one of these arguments more than the other? yeah?

S4: i guess i would say, that i, i believe them, but i think that it's kind of unfair to criticize the show, on those terms because, it is, a sitcom and i think that, it has the positive characteristics so, why should one show have to embody all of these characteristics? why not say, you know this show is good because this shows that black people can reach this, this height in society, but then we should have other shows that also, portray other things.

S1: okay i'm gonna i'm gonna carry that comment on because i think it's a very valuable comment here. um, the the question is is it fair, to jump on one show and to say that this show should embody everything, that's needed for, a positive portrayal of a group? um and i'm gonna recall, your article that you had to read by Graves, just some thoughts from the Graves article, to try to frame your thoughts about the Cosby Show... the first thought, is... Graves makes a distinction between fiction and fact. <P :07> one thing we should think about, when we're thinking about, all the portrayals not just one

show, but the aggregate of portrayals of a given group is, how are the fictional portrayals constructed and how are the factual ones constructed? um i went over that Armstrong Neuendorf and Brentar article in class where they looked at entertainment versus news. entertainment television had this positive portrayal of African-Americans whereas news had this negative portrayal. so one thing Graves brings up in kind of a roundabout way is, um, fact may carry more weight. <P :04> first of all. so, if i see fictional portrayals of African-Americans as, ambitious, high achieving and so on, but all of the factual ones, the news ones, are negative, well what does that say? you know it basically says in the real world, blacks are this, in the fake world they could be like this. um so overall it may cast a negative light on the group. so it's just one thing to keep in mind, fiction versus fact. but the other thing, um, that Graves brings up is the importance of considering the aggregate, and this is, i'm not gonna say any names but this is, related to the comment that came over here... um, can we even win, if we try to make every portrayal perfect? think back to, Clark's notions of recognition and respect. recognition is our, is the group present at all respect is, is the group, are portrayals of the group um, do they span as wide a range of roles as the group occupies in real life? well, we could probably argue that it's impossible to do that within a given show. you know we don't have that many characters in a given show. we can't span as a wide a range of roles as a group occupies in real life in one show. so maybe we should looking be looking at, the collection of shows, collection of programs <P :05> does it approach... respect? <P :07> so let me ask you a question then... as somebody who worked in the creative end, as somebody who has a writing background and who's talked to people who've had_ who who write for a living, one thing that writers are told, again and again is to write well, write what you know. write what you know, cuz you'll you'll be true to it. so, if writers, are writing what they know, and what they know turns out to be, uh a very strongly white, world, then what might be a solution, to uh, to

these sort of s- you know sporadic portrayals of African-Americans or any other group. what might be a solution? what might be a way to get these groups portrayed, with more respect? yeah?

S5: African-American wr- writers? ([African-American](#))

S1: [writers](#), [okay](#). the answer was, and there's only one possible answer but i just want you to, think about the possibility of it, creators are taught to write what they know. um, one way to combat this is to get more, African-American writers out there. more, women writers out there, more Hispanic writers out there, more you know and you can go on and on and on especially dealing with the groups who're underrepresented. you know it's the same reason that, i don't have a content analysis on this so my number could be wrong but it seems to me that about eight out of ten movies that come out are centered in Los Angeles. now you could say oh that's because it's easier to film there and they don't have to travel and it's cheaper. but part of it as well is that, that's the city where most of the people, who write this stuff live, and they're writing what they know. now do we fault them for writing what they know? you know do we say, you should, step out of your comfort zone, and try to write about other people? yeah, we do that. um, but it goes against a lot of what they've been taught. so, the question the issue that i wanna bring up, um is simply, what do producers do? you know usually i don't address this, but then i always have a student a a an astute student come up and say, well basically it's kind of a damned if you do damned if you don't thing. how could anybody write a show, and not be seen as racist or sexist? <P :04> so the question is what do producers do? you know one option is, to write, what they don't know, that is to go against, the advice of their craft. but, possibly a more viable option, is to... get women and people of color... into industry. and that is happening more and more. it's a slow thing... you will see these changes over your lifetime, you'll see major changes over your lifetime that's not gonna happen, anytime soon... okay. any last comments or

questions on portrayals of ethnicity before i move into gender? <P :07> okay... i'm gonna kick this off with a quote... by Minna Antrim <READING> when a woman is very very bad she is awful but when a man is correspondingly good he is weird. </READING> i like the quote because not only does it bring up the idea of women having to be, nice and and kind and amicable all the time but it also brings up, what men are expected to be, the male gender role. um, men it s- seems that men in the media always have to be, have s- s- a certain measure of ruggedness. because if they're too good, they're not good they're weird. that's that doesn't fit in with what men are supposed to be. <P :06> okay. so like, gender portrayals, i'm sorry like ethnicity portrayals, most of the research on gender portrayals is on one group. as with ethnicity most of the research i covered was on African-Americans, most of the research on gender is on women. but i will cover work on men. <P :08> okay, um, start with content analysis. lemme give you a little background you don't have to write this down yet. um, first of all, it's a general, generally known thing in the research that are a lot- a lot more men, than there are women, in the mass media. typically three times as many men as women, and on Saturday morning cartoons, four times as many male as female characters. uh, stats for the Screen Actors Guild for the early nineties show that almost three quarters of all acting roles went to men. but keep this in mind when i talk later, about mass media and eating disorders and the thin ideal. if, women make up more than half the population but they're onl- they're competing for twenty-five percent of the roles, what does this say about the extremes they have to go to, to you know fit the ideal? um, okay, women are most often found in comedies soap operas family dramas, um but what about other, other types of media? a study by, Matelski in nineteen eighty-five, looked at, P-B-S <P :07> now you'd think, if you're gonna see women, given equal coverage and people of color and so on you'd see it on P-B-S right? this is what you'd think. um, well on P-B-S Matelski found that, males outnumbered women two to one <P :09>

he split up- er, he split up category of programming, males outnumbered women, two to one in each category <P :04> overall the characters were seventy-two percent male. so even P-B-S is giving more time to male characters. <P :10> and then this other study by Ziegler and White, looked at news. and not women in the news not the way um, like Enman looked at, African-Americans as, um, criminals or as suspects, Ziegler and White were looking at, correspondents. who were the news correspondents? who were the journalists? <P :05> eighty-eight percent of the correspondents, were male. <P :05> so the news story, or the i'm sorry the news study, was really looking at, who holds what jobs. so we have almost ninety percent of all correspondents being male. <P :04> so we have something on P-B-S we have something on news, now you might ask what about advertisements? well there's a classic uh book on, on advertisements. an extensive content analysis by Goffman, in seventy-nine and i'll update this for you in a minute. but i wanna give you Goffman's categories. <P :12> Goffman did this extensive, um, content analysis of women in advertising, he was looking at print advertising. and, he came up with, what he saw as recurrent themes in the way women are portrayed in ads. and i'll show you examples of these themes as i go through. the first one is, he said women are very frequently shown lying down or looking up. <P :06> what does that indicate? what's that supposed to indicate when a, character is lying down or looking up? yeah?

S6: submission or passivity

S1: right submission, submission, passivity, that's what Goffman argued too. so let me show you examples of this. this is from Goffman's book okay this is a little bit old and i, pho- photocopied it right from the book so it's a little fuzzy, but it's for a suit a man's suit. <SS LAUGH> you know there's some, sex going on here obviously her skirt's all the way up by her leg but, she's lying down with her hand out to him he's standing up looking at her it's kinda hard to

figure out what, what this corresponds to in real life but, anyway uh Goffman uses it. it says <READING> some men are suited for games and some men are just better suited. </READING> so it's for a suit. example lying down or looking up from Goffman's um, Goffman's collection. i found a more modern one by opening up about two or three, women's magazines, this is for, cigarettes obviously, same basic idea lying down looking up. <P :05> okay the next one, smiling. women are disproportionately shown smiling.... according to Goffman. they can be shown smiling at men or just smiling in general, or smiling, for ads where you you wouldn't think somebody would necessarily smile. here's um, Goffman's example. this is for a man's cologne. the woman is sort of looking approvingly at him smiling. <P 05> that was Goffman's. here's a more recent one that i found. um this is an ad for, breast augmentation. and, she's talking about how it's her choice and all this kinda stuff well it's really about surgery, which you might think would, be associated with a picture of somebody serious, um but she's even smiling in this one. <P :05> okay, my favorite part here is pet peeve people who pressure you into doing things. so anyway. okay what's next? Goffman said the next characteristic that comes up a lot is that women tend to be portrayed in childlike or whimsical poses. <P :08> and really most of this comes out in, nonverbal, body language. what is childlike or whimsical? here's Goffman's example. it's obviously a-an ad for socks, women's socks. but it's the way the feet are crossed in sort of a shy childlike pose. and here's my more recent example of this. it's for Hanes underwear. but it's the pose again that's meant to be sort of childlike.... the next one is a little bit more, complex. Goffman called it licensed withdrawal. <P :13> this is, wha- what you might look at as expressions of shyness. um Goffman also called it, women sort of getting um, permission from the camera end to withdraw themselves emotionally, from the action. they're showing expressions of emotion <P :07> it may be better understood when i show you, images of it. um the woman is shown kind of withdrawing

from the action but res- she's, responding to the action but she's not carrying it forth. and often it comes out in, this sort of sh- of what appears to be shyness but it's like withdrawal from the situation. here's Goffman's example. it's for a hand cream <READING> who's thirty and who's twenty-two? </READING> so, supposedly their hands are supposed to_ the thirty-year-old's hand isn't all wrinkled yet thanks to the hand cream. but, even though it's for hands, you know they're sort of, they're putting their hands up over their face and they're, giggling at something. um, and they're not actually talking to the viewer they're not, uh pushing forth the action themselves. a more recent version of this, is this ad for nail polish. where again she's sort of responding to something she's not, looking at the camera, she's withdrawing from the situation by kind of covering up her face. <P :10> uh the next one is, Goffman said gleeful. women are often shown not just happy or approving but absolutely gleeful. in situations that, wouldn't normally provoke glee. for example, buying a new toaster. <SS LAUGH> i think that one's kind of funny too. it's kinda hard to see but here's the new pop-up toaster. and she's you know delighted, that she's got the pop-up toaster. so this is what, Goffman was saying was you know glee not just happiness but utter glee. and, a more, recent, example, is this cigarette ad, where yeah it looks like everybody's happy the woman is especially, kind of out of her mind happy. um you know popping a Christmas tree in the car. so it's just this expression of glee. <P :06> okay. number six, women often shown hiding behind objects. <P :10> and some of these have kind of a veil-like quality to them, the object she's hiding behind goes right up above her nose and she peeks out from the top of it. Goffman's example, is also a cigarette ad. i think this woman looks like um... is it Malcolm McDowell who's in uh, A Clockwork Orange? you ever see this movie? he's got these false eyelashes that go like that. he's kinda strange looking. but anyway, you know this is from the mid-seventies and she's peeking out over, the cigarettes. (you know that's an) example of hiding behind something. here's a more

recent one. it's J-C Penny. this is really veil looking. it's like she's holding it up as a veil hiding behind it... okay and finally, Goffman says, when women and men are shown together, very frequently the men are in charge. now what does that mean? it can mean leading, the woman... doing something to her, or leading the action.... so either he's leading her bringing her some place, pointing something out to her teaching her, he's doing something to her and she's, receiving that, you know or he's leading the action and she's kind of, watching. um, his example, is, i don't remember what this ad is for he's got it in the, text of his book, but not right under the ad. but it's just the man is, telling her he's informing the woman. and then a more recent version... is for, you know it's meant to be playful but still he's doing, the action, she's the recipient of the action. okay, so these are, what Goffman came up with as, characteristics of advertising with women, print ads. so your question would logically be, okay so what's gone on since nineteen seventy-nine? well, Mian Kang who used to be a grad student here at the Universi- here in the Comm Studies Department, did a replication. um, it was Goffman's Gender Analysis Updated. whoops sorry. <P :07> from nineteen seventy-nine through ninety-six i think ninety-five ninety-six. <P :05> basically what she found was, no significant change. so she used the same categories she did the a content analysis, of print ads, and really over the o- generally no significant change. one thing just, if you're interested uh that she found was more women shown in licensed withdrawal positions. so more likely to be sort of, responding emotionally but not to the camera. and then she also had, looked she added a an additional... additional coding um, category. which she called body display... where she's looking at how much skin is shown basically. Goffman didn't look at this. and, Kang showed that yeah, there's a lotta body display. <LAUGH> okay, so that's just, she updated it no real significant change so even up until the early to mid-nineties, women are still being portrayed with these same sorts of um, characteristics. and there's, a lotta body, a lotta skin shown as

well. <P :04> okay so that's something on advertisement, advertising but what about portrayals in entertainment? <P :09> i'm gonna summarize, the research for you by, domain. one is age. what do content analyses say about, women and men's age, in portrayals? in uh entertainment, T-V entertainment. <P :04> now keep in mind with age when you're coding it, you don't actually necessarily have the age of the character you just have to make a judgment, when you look at them. so these are coded by, you know coder's judgments. you look at somebody they've got wrinkles all over they've got, wiry gray hair, you probably put them, maybe above sixty seventy eighty. there's gonna be some leeway. so, on average how are females' ages coded compared to males? on average, females, ten years younger, than males. females on average, appear to be ten years younger than males. <P :07> you could probably chalk this up to, the overabundance of young, you know sort of s- uh sex object roles... so on average females younger than males. what about relationship status? you know you get background of characters when you're learning about a character, in an entertainment portrayal. how are they defined? what's their relationship status? females, more likely, to be identified... as involved. that could mean, in a relationship or married. so you could look at this the other way. men are less likely to be identified by their relationship status. in some way this makes sense cuz we still live in a culture where women's titles, reflect their relationship status but men's don't. Miss versus Mrs a man is Mr for his entire life. so even in, media portrayals, we get, this definition of a woman by her relationship status more so than we get for men. we find out that she's married she's involved or she's single, for the man we may just know his job, and they may not give us information about his, relationship status. okay, attire. what are they wearing? <P :09> Davis nineteen eighty-six. a slightly older study. what Davis wanted to look at was whether women and men were dressed to a different degree, provocatively. so how did Davis define provocatively? either showing the body shape or showing, skin. um,

for example swimwear, shorts, tight clothing these are all things that were s- meant to be provocative. and Davis found that women, four times, more likely, to be dressed provocatively. <P :08> now you may expect this to be, similar or even, stronger now, with the way, women on, prime time programming are dressed, even in a professional realm, like the Ally McBeal type portrayal, or the Melrose P- Place portrayal where the jacket's there, but the skirt cuts off, just at th- at the, highest possible point it can cut off, you could call that provocative as well. even though it's professional. so women more likely to be dressed provocatively, and finally what about occupations? <P :13> women are identified as being employed, much less often, than men. <P :06> now again you can look at this as, you know, we live in a world where producers are, conceptualizing women as, dependent on men, not likely to be employed, and so on. remember though you can also look at it as, men's characters, may be disproportionately shown as being employed that is, we don't know how to categorize a man unless we know his job, in this country. so you have to find out what he does for a living. that is his identity. so men reading this could look at it and go well you may think that's, negative a negative portrayal of women but maybe it's a negative portrayal of men too. you gotta know your job or else you're not, you know you're not a real man unless we know exactly what your job is and we can put you in some, mental category. okay, so these are some general trends in portrayals of women, relative to men. <P :06> now what about effects of exposure? and i'm gonna talk about a couple studies in more depth here. <P :16> okay, the first one is a study by Morgan. and the study's on television and adolescent sex role stereotypes. <P :11> sixth through tenth grade. and the study's longitudinal. let's see two years i believe. so Morgan followed, sixth through tenth graders for two years until they were eighth through twelfth grade. w- females and males. and what Morgan wanted to see was, Morgan was one of these cultivation researchers by the way, Michael Morgan, what he

wanted to see, was whether, exposure, early on, you know when they were in sixth seventh eighth ninth and tenth grade, predicted, their sex role stereotyping, two years later. so does earlier viewing predict later, stereotyping? <P :05> let me give you a little more detail here. what they wanted to know, was does earlier, what he wanted to know was does earlier T-V viewing predict later sex role stereotypes? um, but also does earlier, se- sex role stereotyping predict later viewing? this is kinda like these Huesman studies i mentioned to you where, if you're gonna follow something longitudinally, you can make a stronger causal argument than if you're just doing cross-sectional, one time only research, if you can show that, something that happened earlier is related to something that happened later. this is one of our, conditions of causality it's a necessary but insufficient condition but it's necessary. so, you know does early, violence viewing, is it related to later, aggression? but one of the things you gotta show, is that, early aggression is not related to later violence viewing because tha- what that indicates is, that, in this case with sex role stereotyping that people with, who already had sex role stereotypes just happened to seek out more T-V to begin with. and it's not that T-V is causing sex role stereotypes. so this is what they gotta look at here. uh, for stereotyping, just to give you an indication of what kind of questions these kids were asked, um five questions, and a sp- just to give you an example, of how explicit these are. they give them true or false, questions, and one is true or false, by nature women are happiest when they are making a home and caring for children. so they're, pretty explicit, you know traditional gender stereotype questions. so what are the findings? <P :06> now we're looking at correlations between earlier viewing and later sexism. and this is controlling for, earlier sexism... the first is for girls, earlier viewing predicted later sexism, what they would expect. <P :15> just so you know the size of this correlation's R equals point-one-four. significant? it was but, not super huge. <P :05> i- in contrast, for boys, earlier sexism predicted later viewing. <P :06> and here the

correlation's point-one-five. <P :11> so in other words for girls, those who watched more T-V earlier in the study, had higher sexism scores later. but we didn't have the same thing, for boys. early viewing didn't predict later sexism for boys and for boys in fact, earlier sexism predicted later viewing. so any ideas on how to explain this, this difference? <P :15> finding with the girls is what Morgan expected. how might you explain the finding with the boys? <P :14> just to let you know i don't have a right answer floating around in my mind, Morgan didn't really know how to explain it. yeah?

S7: he uses gratifications?

S1: how? what would you

S7: um, if you're see- if they already have these attitudes, they'll seek out things that further them?

S1: so earlier sexism pu- sexism predicts later viewing, that's basically, what Morgan, would say. you know, well, if there's a causal link between early sexism and later viewing, since T-V tends to be, gender traditional, that for boys, already seeing the world in a somewhat sexist way predicts seeking out, more T-V. alright but you know why wouldn't it work that way for girls too? you know why wouldn't earlier sexism predict later viewing? if they're already more sexist they should be more, willing, to see, to be exposed to this content. they did use Morgan used a bunch of different controls, like, you know socioeconomic status, things like that that that also influence how much you view. but you know you always wanna keep in your mind, earlier sexism predicts later viewing for boys you know are, are sexist boys, less likely to have friends? and so they end up watching more T-V cuz they're not hanging out with their friends? you know there're all sorts of, possible explanations we don't know. whereas sexist girls may have a lotta friends because they're fitting in with this, you know a a desired stereotype for them. you know the

way they define sexism was sort of anti-female it wasn't anti-male. it was, you know women don't have ambition, women, can't do certain things. so for a girl, to believe in that she may be, agreeable to others. for a boy to believe in that you know he maybe mean to girls. we don't know. i i actually don't know the answer to this and Morgan doesn't really either. um, Morgan's ex- saying, if there is a relationship, a causal relationship between early sexism and later viewing, i- it's probably a uses and gratifications kind of explanation. but there could be other ones that we, we can't, tell for certain from this study. okay. so there's one <P :07> and that one's on beliefs. there's another one, the second one i wanna mention is Jennings Geis and Brown, and this is on behaviors. <P :15> don't write this down but just so you know the title is The Influence of Television Commercials on Women's Self-Confidence and Independent Judgment. so, how do you measure self-confidence behaviorally? and how do you measure independent judgment, that is not going with the crowd? well this is uh, what Jen- this is the challenge that Jennings et al had um, had... i'm gonna give you the independent variables and the dependent variables. the independent variables <P :07> was you could look at it as, sex role, portrayals, traditional, versus nontraditional. <P :05> that's role portrayals in commercials traditional versus nontraditional. well wha- what did they do? they took four commercials, that were current at the time, with traditional sex roles. and they remade them, with the sex roles reversed. so the first one was, uh, how to handle a hungry man. it was like a T-V dinner. they reversed it so then it was about how to handle a hungry woman, and the man's trying to give her enough food. uh, wine at a bar she orders his brand, cuz he knows wine the sex role, reversal was she's the one who, knows the wine and so he orders her brand. uh third was Stove Top stuffing she didn't realize that he preferred it over potatoes. the reversal is, he didn't realize she preferred it. and then, another package dinner, the idea is <READING> now an exotic meal can be made from a package. </READING> so the woman's

usually making it for the man traditionally this reversed the roles. so in one condition they watched the four commercials, in their traditional form, in the other condition they watched the four commercials with the sex roles reversed... then... here's the, the interesting part. what were the dependent measures? <P :05> dependent variables were two tasks. two tasks that, subjects had to perform. the subjects here are women by the way. <P :10> one is rating cartoons, for funniness. this is the independent, judgment. and i'll explain to you how they did this. <P :12> first they had a complete, completely separate group of people rate, a bunch of cartoons on how funny they were. and let's say there's a score of one to six. one meaning not funny at all, six meaning very very funny. and then they picked out, the cartoons, that were really seen by this previous group of women as very very funny and they picked the ones out that were really seen as not funny at all. so they had some pretty, um, pretty extreme ratings. pretty extreme cartoons. some that were pre- previously rated as very funny, some not funny at all. then with the subjects in this study, what they did was, had them rate the same cartoons. and then they put up, what they call bogus feedback, on the chalkboard in the room. and all that meant was, they showed the women, what the previous subjects had rated. um, what their ratings their mean ratings were. but they lied, with uh, with the cartoons that were rated you know five-point-five, that were really funny, they gave that, they lied and said that was maybe a one-point-five. so it's bogus feedback. the- the- these women in the study, are s- thinking they're reading it and odds are they're gonna think it's funny as well, if this previous group thought it was funny, but they look up at the board, and they see that this previous, this previous group rated it only a one-point-five. so Jennings et al thought that independent judgment, should make it more likely, independence of judgment means, you're more likely to not pay attention to these previous reading- ratings and rate it as funny as you think it is. so they gave it a one-point-five that's stupid i think it's really funny. lack

of this independence, should lead the women to go boy i think it's funny but, but they only gave it a one-point-five i'll rate it lower. okay so it's going with the crowd. so that's the first task. the second task... is this public speaking task <P :04> and by the way the order of these two is rotated so half the women did, public speaking first and then the cartoons, the other d- half did the cartoons and then the public speaking. with the public speaking task... the women came into a room and they were told, now we want you to give a two minute speech on yourself. which usually strikes fear into the heart, hearts of most people. um, and they had a couple minutes to prepare and then they had to go out in front of a group of people and give a two minute speech on themselves. now the group of people in the audience, were instructed to rate, each woman, on how self-confident she seemed. so if she was shaking all over the place if she was saying um ah if she looked like she was about to cry because she was so nervous, they would rate her low on self-confidence. so they were really rating her nonverbal, her nonverbals you know how confident she seems. and they're blind to condition, that is, they don't know whether the woman speaking, saw the traditional ads or the nontraditional ads they're just rating, her perci- the- their perceived self-confidence so how self-confident she looks. so, what do we find? <P :14> first thing was well okay let me just stick it right, here. women who viewed the nontraditional ads first of all were more independent in their judgment. <P :21> they were significantly more independent in their judgment, that is, their ratings, were closer to the true ratings that the other group had given, which they didn't receive remember? it's just that these these cartoons were generally perceived as funny. so the women in the study, reported, that they thought that they were generally funny. um when they saw the nontraditional ads when they saw the traditional, they rated them, more like, the ratings that they saw written up on the board. so there's some evidence that they were a little more independent in their judgment, they rated the cartoons, more along the lines of what

they really thought and less along the lines of what the other people had, had supposedly rated them as being. moreover, they were also, perceived, as being more self-confident. <P :07> now again keep in mind <P :05> that, lemme give you a a scale here for self-confidence. one to five, and, the means are three-point-three-eight versus, two-point-seven-three. so it's not a huge difference but it's significantly different. the ones who saw the, nontraditional ads, more self-confident, exuded more self-confidence, than the ones who saw the traditional ads. so, my point here is, that, it's a subtle effect but it's a powerful effect. they're not reporting feeling more self-confident they're actually judged by a group of raters as more self-confident.... so think about, you know where these kinds of things could be operating in the real world. you go to a job interview, you're sitting in the waiting room, and there're a bunch of magazines out there, and you're pouring through them, does it mean, that if you're seeing traditional ads yo- you're gonna be less self-confident in your interview? than you would be if you saw nontraditional ads? i don't know. but it's something to think about. i mean this, particular, study, we can think about ways that it would be externally valid even though it's, an experiment, and it's not necessarily going to be as externally valid as a survey, um, well as a survey. but there really are situations, where, exposure to media, could affect, your behavior in a situation where you're expected to exude self-confidence. yeah?

S8: as far as this um, like slide is concerned would this have anything to do with like, like the way they do it is like they show you something and then like obviously like they prime it to you, and you're kind of thinking about it, and isn't that maybe the reason for the results? is that like, in general maybe like, it doesn't have as great of effect as like right after it's shown to you? it doesn't necessarily affect your life constantly but like you know for ten of fifteen minutes after you see it it will?

S1: yeah, i think, i think that's probably the best explanation for the process underlying this is a priming one. um, they may forget it. and it's short-term, you know the authors themselves say this is a short-term effect. you know o- o- odds are women, it's, you know when you've got_ and i'll talk about schemes in a moment, when you've got, your world view built up, four ads, may prime, you know more self-confident or more independent behaviors for a while. but four ads are not likely to change your world view. so it's not really, that these women suddenly went, i am powerful. it's that, somehow that was primed in_ it's not like they went i am powerful and i have learned this and now i will always have this with me. um, it probably lasted a short time, and then it went away. is that what you're asking?

S8: yeah kinda just that um, that they're basing like the results on like how this affects women, you know, in general i would think, **[S1: yeah]** on like something that's probably having to do with like priming rather than, like a long-term anything. **[S1: yeah]** like whether or not this affects like women, on the whole like, women see themselves as this this and that **[S1: right]** because of ads

S1: yeah i think that's a good point w- we do have to look at this as short-term. and it's probably priming that's responsible for it. now the question is, you know are there situations where even this, kind of short-term effect would actually affect, some major event in your life like how you behaved, at um you know a job interview. it may. then again if you're home, and you're not gonna do anything after this, once those thoughts are gone it may not have any effect. um they're really not, Jennings et al, really didn't, make conclusions like, you know this has a profound effect on women for a long time. they said, let's be honest here this is a short-term effect. but if you're exposed to these images, regularly throughout the day, maybe they do affect, you know your behavior mayb- maybe they affect how other people see you. just so you know in this same story_ or the same study, um they later found that exposing women to nontraditional portrayals

versus traditional portrayals, made them write different essays concerning where they wanted to be in ten years. and again you can call this a priming effect. um those who were exposed to the, traditional ads, i'm sorry the traditional portrayals in the second part of the study, were less ambitious about whe- where they were gonna be in ten years. those exposed to the nontraditional ones, wrote things like, you know i'm gonna be the president of a company, you know they wrote more ambitious things. now again, does that mean, that these portrayals you know four minutes of portrayals, changed, these women's, aspirations for what they wanted to do in life? probably not. it probably was a priming effect that probably went away. but again the question is, when you're exposed day in and day out through magazines through television um, you know you're catching a portrayal at the airport while you're waiting for a plane. that counts too. so, how does this impact on, people's daily lives? that's something that Jennings et al aren't able to look at because they just did one, study, at one point in time. okay um, i don't wanna leave men out, so, what about men? <P :11> well lemme tell you something. there's not a whole lotta research on men, more and more people are getting interested in studying men, but it's just one of these sort of, truisms of the research world, people like to study, the groups who aren't portrayed so much. so if there're a lot of men oh they're fine, we don't need to study them. but now researchers are starting to study men, and asking this question that i brought up before, we may think that men are portrayed in, respect, that is, representing all the roles that they occupy in real life. but it's also possible that they're not. you know you're probably more likely to see a male doctor or lawyer as a character than you are, a male postal worker, as a character. so what does research say about men? well when a when a, group is beginning to be studied, very often the first people, who start to describe portrayals of that group aren't social scientists. wha- what often happens is that, feminist theorists, cultural theorists, critical studies American culture studies people, will look at,

portrayals and describe what they think is going on. and then social scientists will come by and say, let's test if this is really happening. so with men, we're really at the stage now where most of the writing about this, is done by feminist theorists and and cultural theorists. and, this guy Strate, has written about the myth of masculinity <P :05> in beer commercials. <P :10> Strate argues that, the myth of masculinity that is what masculinity is supposed to be is embodied in the beer commercial. so tell me what do you see in beer commercials? how are men portrayed? <SU-F LAUGH><P :04> what are they usually doing? how are they interacting? just tell me, how are men portrayed in beer commercials? <P :08> [S9: working] you've never seen a beer commercial?

S9: working or watching sports.

S1: working or watching sports. right it's Miller time was the whole idea that once you're off work now, it's time for beer. so working hard watching sports. yeah?

S10: male bonding like just a bunch of guys sitting together like screaming (xx)

S1: okay male bonding it's like, mostly all men. when there are women, what's the relationship between the men and the women? <P :04> do they show a bunch of gay guys sitting around with their female friends?

<SS LAUGH>

S11: women are serving the (beer)

S1: right you're laughing because it's so not the the typical beer commercial right? the women are usually maybe scantily clad, it's a very heterosexual kind of image, this is what Strate is arguing. in fact Strate says, that in beer commercials, the whole idea of masculinity

revolves around the theme of challenge. <P :06> alright? sports challenge. they're playing a game or they're watching a game or they're betting against each other somehow. women challenge. you know vying for the attention of women although when you've got the right beer it's usually not hard. <SS LAUGH> um, climbing the corporate ladder, you brought this up as well. and Strate goes so far as to argue that this supports the stereotype of man as hunter. man as hunter woman as gatherer. okay now Strate's not doing, social scientific research to try to, quantify this. so this is a different way of looking at it. but he's arguing that, beer commercials show this myth of masculinity man as hunter, man as you know uh meeting some kind of challenge. and if you think about it it's kind of ironic that that would go along with beer. because how is beer supposed to help you meet a challenge? you know if anything in the real world it holds you back. um, okay. so, oh i d- this brings up one other thing i just wanted to mention, i'm seeing these new Virginia Slims ads for, for women you know they they aim the cigarette at women. and they're all about finding your voice, and it's about the eyes are are the, window to the soul but the voice shows the spirit, find your voice. um, and it's about, you know sort of, stating who you are, through this cigarette. but i just think it's funny because people who smoke a lot, as they get older can get a really, raggedy sounding voice, <LAUGH> so again it's like, what's really the connection between finding your voice and smoking cigarettes? what's the connection between, making meeting a challenge and drinking beer? um, if anything these products would, would hold you back from that. so this is one view of men. another view, is Garst and Bodenhausen... looking at effects of advertising on men's gender role attitudes. <P :21> in this study they had male subjects they're all males, view either traditional masculine, ads or androgynous ads. so in the traditional masculine, the man is either forceful, or he's the leader, um, he's the less emotional one, you know they were trying to embody the different aspects of stereotypes of men. so traditional masculine versus androgynous. and then they

measured these men's sex role attitudes afterward... now here's something interesting. if you think about, that Archie Bunker study. Archie Bunker's bigotry. you might expect, that those who already had the most traditional, sex roles, that they would, come away from seeing the traditional sex role ads, feeling especially strongly about traditional sex roles. especially likely to espouse them. whereas those who were the least traditional, initially, would come away from the androgynous ads, feeling, most like, you know, they see the world in androgynous terms. and and that they shouldn't come away from the uh, androgynous men should also come away from the traditional sexual ads r- you know rejecting those messages. but what the authors found here, was instead that, men who were least traditional to begin with, they pretested them <P :07> changed the most, toward traditionalism, <P :08> after viewing traditional ads. men who ha- initially had been least traditional espoused, more traditional attitudes than any other group after exposure to the traditional ads. although they continued to endorse relatively nontraditional views after exposu- after exposure to the androgynous ads. so the nontraditional men, the ones who were initially nontraditional, exposure to the androgynous ads, you know resulted in basically the same views they had to begin with. but exposure to the traditional ads made them actually the most traditional group afterward. so they changed the most. whereas the men who were, initially had been traditional were still relatively traditional but not as much as the men who had initially been nontraditional. so there's some evidence that, the least traditional men, were the most sort of changed over by these ads. now how how might you explain this kind of finding...? the authors, incidentally explained it as, gender role advertising teaches, nontraditional men, to be traditional. it's damaging. you know it's not_ it's damaging because, these men who were already, you know less likely to be gender bigoted, now were, you know especially gender bigoted. uh, can you think of any other reason why they would find what they found in this study? <P :15>

what do you think the mechanism is underlying this? social learning? <P :04> cultivation? priming? <P :05> what kind of study does this sound like? a social learning study a priming study, a cultivation study? <P :08> yes?

S12: i'd say social learning or cultivation

S1: why not priming? <P :04>

S12: well i guess i mean it depends on how long, your effects are lasting if they're only feeling this way for, thirty minutes then you could say priming but (if the effects) last (xx) expecting to be something more like cultivation and (xx) or something.

S1: yeah? you (go ahead)

S13: if it was priming wouldn't the, men who had the most traditional roles be, i mean because they have the most networks already be, whereas the more traditional **[S1: yeah]** (xx)

S1: this is this is certainly what you'd expect from a priming perspective. that's right that's what you'd expect. this doesn't seem to fit in with priming. but you know what? these authors didn't follow up the findings, they only looked at immediate, findings, right afterward. so we don't actually know. we can't really distinguish if it's social learning or priming if it's priming, it's going in a different direction than we would expect. if it's social learning as they argue, it would help if they had had, some kind of follow-up measures to see if there was some difference later on. because when you measure it right afterward, you know how do i know the difference in priming or social learning? priming is not going in the direction i'd expect it to but you can't go ooh it's not going in that direction let's just scrap our theory and switch to another one. you know you're not supposed to do that anyway although sometimes people do. um, so anyway kinda hard to explain. don't really know exactly why this happened. not consistent

with other, kinds of priming findings. um, Garst and Bodenhausen's argument about n- you know these nontraditional men learning to be traditional, is just something, we're not gonna under- we're not gonna know, whether or not that's really happening without some follow-up. okay. uh so... combating negative effects? what are some considerations in this? <P :10> well, we're thinking again about this issue that i brought up with, ethnic portrayals. what do you do to counteract any possible negative effects? and again negativity here is a value-laden term. you know i may be defining, gender traditionalism as a negative effect you may not. so how do we combat, effects, um, that enforce, gender stereotypes? well, one issue, one consideration that's very important <P :04> is schemas. what are schemas? <P :10> we can describe schemas as ways of looking at the world <P :06> prototypes <P :04> schemas have been defined all sorts of different ways. ways of looking at the world prototypes models, you know, what we define as, typical. what's typical? so a very common schema exercise, is if i say to you describe a chair. tell me what a chair has. how do you describe a chair? what has it got? what features does it have? just shout 'em out.

SS: four legs

S1: four legs. what else?

SU-F: a seat

S1: a seat. what else?

SS: a back

S1: a back. what's it made of?

SS: wood.

S1: okay wood. you know this is your schema of a chair. now you know that a throne is also a chair, a stool is also a chair, a La-Z-Boy recliner is also a chair, even though these things don't have four legs, stool doesn't have a back, they can be made of metal not wood, but the point is that this four, four-legged, seat with the back made of wood is your schema of a chair. stereotypes, are defined as schemas. stereotypes are just schemas, of people... there's types of schemas.... so, we develop schemas, very very young. and the fact that we bring schemas to what we're viewing... is going to influence what we take away from what we're viewing. <P :04> and i'll just get through this quickly but, um the importance here is that schemas, have an impact on memory, such that <P :04> when memory fades <P :05> people fill in, schema, consistent, info. when memory fades people fill in schema consistent info. <P :10> for the last thing and i i promise i'll make this quick, you can just write Cordua et al. um, there's one study that demonstrates this with kids <P :04> Cordua McGraw and Drabman, wanted to know, how they could kind of reverse, very young children, three to five... how they could reverse their stereotypes of men and women. so they showed them a portrayal, with a female doctor, and a male nurse. right after the portrayal... when asked what kind of people, can be doctors and nurses, right after they watched it, there was this tendency for kids to think, that females could be doctors and males could be nurses. now Cordua et al could've said wow look at this you know b- by just showing one counter stereotypical portrayal we can take these very young children's views of, sex role occu- you know occupational stereotypes and reverse them. but guess what? later on, the children misremembered, what they had seen, so that the male was the doctor, and the female was the nurse. that is, when their memory of the the video, faded, they filled in, their memory gaps with schema-consistent information. so they're shown a counter stereotypical portrayal but they just remembered it later on, as being stereotypical. so this is a main challenge, in using media to counteract stereotypes.

we've got one, portrayal that's counter stereotypical, one portrayal isn't necessarily gonna be able to fight, the schema, which comes in and takes over afterward. okay remember it's a coffee day. and come down to the front, um, if you need to inform the researchers about, what you said.

<UNINTELLIGIBLE SPEECH UNTIL END>

{END OF TRANSCRIPT}

LE5

MICASE Full Transcript View

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Academic Social Sciences and Education

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NONE

Recording 47 min.

Duration:

Recording September 22, 1998

Date:

Recording TASCAM Digital Audio Tape Recorder with two

Equipment: external microphones

Language: Primary Discourse Mode: MLG

Native Speaker

Participants: Number of Speakers: 1

Number of Students: 250

S1: Native-Speaker Status: Native speaker,
American English; Academic Role: Senior Faculty;
Gender: Male; Age: 31-50; Restriction: None

SU-M: Native-Speaker Status: Native speaker,
American English; Academic Role: Unknown;
Gender: Male; Age: Unknown; Restriction: None

SS: Native-Speaker Status: Native speaker,
American English; Academic Role: Unknown;
Gender: Unknown; Age: Unknown; Restriction: None

Setting: Lecture Hall, Modern Language Building

S1: good afternoon.

SS: good afternoon.

S1: uh, it's not always the case but today's music actually was related to the lecture the first song was called Do the Evolution, and the second was Strong Enough to be My Man which, will really be more, as far as we're gonna get more like um, Thursday's lecture, but i hope to be able to find another content related theme, music by Thursday too. i actually have no announcements today, although someone else has an announcement about recording the lecture. before i, do that do you have any questions? okay, so here's an announcement about recording. <P :04>

<MICASE RECORDING ANNOUNCEMENT>

S1: i always wanted to be part of a corpus. um, okay. what we're gonna do, in, today's lecture, is we're basically done with history, we're done with methods, and we're going on to biopsychology. so we're gonna talk about, biopsychology from a couple of different perspectives, and before i talk about_ we're gonna talk about sorta, biopsychology as it relates to sort of our evolutionary heritage, (but) we're also gonna talk about biopsychology as it relates to the immediate, moment, um, i- i've got names for those kind of causes here in a minute but, uh before i do that i just wanna, sorta make a plea, one of the things that, that i find sort of frustrating or mystifying or, i don't know exactly how to put it but, at the end of the course lots of times students come up to me and they say you know that psychology stuff i really liked it, but i didn't understand why there was all that biology in there. i don't understand what the biology has to do with the psychology and so, i'm gonna make this point a couple of times in the biopsych lectures but i just wanna try to make it, here one time, uh with feelings, which is that, i mean at some level the reason why i find it a frustrating thing is i sorta don't know how to respond to it because while, biology is not what people often think of in psychology when they think about clinical psychology for example, it is the case, that every single thought, emotion, memory, any psychological experience you've had, conscious, unconscious, it

doesn't matter what it is, it has a biological component to it. you do not think without biology. you do not experience an emotion, without changes in your biological make-up. those things are mediated at some level by biology. so it's sort of like, i mean in some ways it's sorta like, i_ i- i- it would be sorta like saying, you know, i took a course on driving and i didn't understand they kept talking about the car all the time. that didn't make any sense to me. in some ways that's it i think sometimes it's hard to see as we get into how neurons act, and what evolutionary theory says and what does it have to do with biology_ with psychology, it's easy to lose the connection. but the connection is, the proposition is simply that, our biology, whether we're talking about our evolutionary heritage, or whether we're talking about immediate changes, in uh our biological make-up, influence our behavior and psychological experience. you cannot have a psychological experience, without having the biol- biological component going along with it. again, you know, at the at the extreme, no brain no central nervous system no thought no psychological experience nothing, right? so, what we're gonna do over the next couple weeks, is try to look at, different biological takes, on uh, on uh, behavior. and we're gonna begin by talking about evolution, and behavior, uh and that's what today's lecture is gonna be about entirely, and much of Thursday will be about evolution and behavior too. before_ in_ and in evolution and behavior, essentially what we're asking is, does our evolutionary heritage, does the generations and generations and generations that we've been in an environment, influence, our uh our current behavior. and, one of the things i'm gonna try to do in the lecture, is to try to mark out for you, what is and isn't controversial, among psychologists about the proposition that evolution shapes behavior. so we're gonna spend much of today talking about Darwin, and Darwin's Theory of Evolution so that, uh, w- i make sure that we all, sort of understand what Darwin's Theory of Evolution was about, and then try to apply it to, human behavior. parts of that account are extremely controversial

in psychology, and parts of it aren't. and i'm gonna try to help you, see, which is and isn't controversial. and uh, and we'll see that as we go on. uh... the other thing to make as sort of a, a preamble to this also is, is that evolutionary theory, is really, i mean we're gonna be, there's sorta two things that i wanna talk about there're two questions as i talk about in evolutionary theory, that i think you wanna think about as we go through the lecture. the first is is it in fact possible to identify, behavioral candidates for making an evolutionary account? can you find some behaviors that look like maybe evolution shaped them? do you have to make the argument that all behaviors are shaped by evolution? so the first most of what today is going to be about is, can you find some behaviors that it looks like we can make an evolutionary argument about? what would you want to look for in a behavior that would be consistent with an evolutionary argument? the second thing is, if you make an evolutionary argument, or any biological argument, how should you interpret the meaning of that? so evolution for example is really a theory, about how environments shape behaviors over millennia. so at some level you can talk about it as being a biological cause, it's our genetics, it's our evolutionary heritage. it's also possible to talk about it as being an environmental cause, one of the things that you're gonna see is evolution is very much a theory about the environment. but, i- no matter what if you accept the biological explanation whether it's evolutionary or whether it has something to do with current brain structure and function, how should you interpret it to say that some thi- some behavior is caused by our biology? so for example if i made this argument that said that, there's lots of good evidence that says you know most of us like sweets, most of us like fats now we don't like to say boy i love to eat a big tub of fat but we all like butter on our bread, right? and the reason why we like butter on our bread is cuz it got high fat content. one of the argument_ the reason why we like really good, premium ice creams, is because they have high fat content, that's the main thing that separates a premium ice cream from your run of the mill

ice cream. so, um you could make this evolutionary account that said, gee, maybe the reason why we like we tend to universally like sweets and fats, is because of our evolutionary heritage. maybe an_ a taste for those substances, was adapted in our past. maybe we've evolved a preference. for sweet and fat. now does that mean that when you're walking down the street and you walk by the donut place, and you smell the cinnamon rolls, wafting out, which are high both in sugar and fat, you say, i gotta have one. it's not my fault it's my evolutionary heritage i have no choice in this, i'm a highly evolved human being and that's what i've evolved to do is gonna be eat the donut right? so, we wanna sorta try to talk about what the me- what it means to make a biological evolutionary argument. now in talking about biological approaches to behavior, i really do want to make a distinction and the lectures are organized around the basic distinction between two kinds of causes. one kind of cause the cause that people typically think about, when they're talking about biological causes is what we could call the proximal cause. the proximal cause just means the close cause. the immediate cause, same_ it shares the same root as w- words like approximate. it's close, nearby. so in terms of biopsychology when you're looking at proximal causes, you're looking at how current changes in physiology or structure, change behavior. how they're associated with it. so, if you wanna know what happens when people experience love, at the neurochemical level, you're looking for a proximal cause of behavior. um and it is clearly the case that, things like, brain structure and neural functioning, affect psychological experience. if you're in an automobile accident, and have damage to the frontal lobes, it's absolutely gonna change your behavior. if you have, uh damage to the hypothalamus, your ability to regulate hunger and thirst is gonna go out the door. those brain structures, neurotransmitters how neurons fire if you lose for example a neuron, if you lose the myelin sheathing that uh, insulates the neurons s- insulates some of the neurons, which is what happens in n- multiple sclerosis, you will

absolutely see behavioral changes. there is a dynamic relationship between the current biological state of the organism, and its behavior. and that's what most of biopsychology looks at. but you can look at the biological influence on behavior in another way, you can look for distal causes, same root as the word distant far away causes. so is there anything not in the immediate moment that shape_ about our immediate biology that shapes behavior, but is there something about our biological heritage that shapes behavior? um is the be- and one way to think about it is is the behavior of our ancestors, currently_ or the behavioral choices that they made, continued to influence our current behavioral choices. uh, in a biopsych- in biopsychology if you're looking for, distal causes, you're essentially looking for evolutionary-based explanations. okay? and again that's what we're gonna try to do today, is to look, at evolutionary explanations of behavior. uh, as we look at them, uh, again, keep in mind that what you wanna know_ what you wanna try to ask yourself are these two questions, are there some kinds of behaviors that are maybe more amenable, more obviously open to an evolutionary account than other behaviors. and two, even if you find an evolutionary explanation for a behavior, what should you make of it? to what extent_ how_ what kind of explanation has that provided for the behavior that you observe? questions?

SU-M: (xx)

S1: okay well what i want to do then is to start talking about evolutionary theory, and then we're gonna move into psychology. so if you wanna talk about evolutionary theory you have to start with Charles Darwin. not because Darwin was the first evolutionary theorist. he was not. um there were lots of evolutionary theorists, clanking around at the time of Darwin. what Darwin did was got it right, um and i'll try to tell you where he differed from other other evolutionary theorists, as we go along. a few, trivial sort of facts about Darwin, he was born in eighteen-oh-nine, you don't really need

to know that, it's just a trivial fact he was born in eighteen-oh-nine in England, um to a wealthy family, uh his mother who died when he was eight, was actually the daughter of the founder of Wedgewood China Company, so, just a little trivia. um, incredibly affluent family, uh Darwin set off to college, and uh wanted_ initially his plan was to become a a medical physician. uh but he didn't stick with that very long. it's not clear whether his decision not to go into medicine was because the lectures were just deadly dull, uh and he just couldn't find any intellectual interest in it in the time, or if it was really an aversion to seeing and performing surgeries surgeries at that time were done without anesthesia. that's a pretty gruesome thing to be involved with, um and so he bailed, uh early on, from his plan to be a physician. he, got his B-A, and uh set out on a journey, uh his first job was an unpaid job. he spent five years as a ship's naturalist, on the H-M-S Beagle. uh again it was an unpaid job what a ship's naturalist was_ did was, uh on ships of the Crown on British ships, the ship's naturalist, would travel around, and and their jobs, were to ex- to examine and write about, the animals and plant life the flora and fauna that they encountered, on the travel, and the H-M-S Beagle was on a round-the-world journey (again it) it took five years. and uh, what Darwin did was he would go do_ collect samples, he would write about his observations, when Darwin came back after five years, he basically never left England again. in fact he basically never really left, um d- his immediate town he suffered for most of his life, from sort of a chronic illness probably contracted, while he was travelling in the tropics on the H-M-S Beagle, but he he didn't, venture forward very much and he had this enormous impact, and he never left England. uh he did continue to collect data for the rest of his life but the way would collect data was, uh he would, write to colleagues, scientists around the world and so for example when we get to the emotion part, he'd ask them, what do people look like when they express happiness in your culture? you know, or here's a drawing show it to some people and tell me, what they think this

emotion is. so he would do it all by correspondence. uh he lived to be, uh quite old for the day he lived i think until he was seventy-two. he died in eighteen eighty-two, and and he his uh, another piece of trivia, his uh grave, is uh next to the grave of Sir Isaac Newton, which in some ways is highly appropriate, because, now, Isaac Newton's impact on physical science, is of the same magnitude as Darwin_ i guess you'd normally say it the other way, cuz people always assume Newton's the big guy. Darwin's impact, on biological sciences, is easily as big, as Newton's impact on the physical sciences. um, Darwin's theory of evolution as we're gonna, um, as we're gonna see, in a, in a minute, uh really found_ forms the foundation, of biological sciences today, and uh one of the things that i just wanna say right off the bat is, um bi- evolution is one of those things that, outside of, scientific circles there's still lots of discussion about whether evolution is true or not. now n- i wanna tell you that within scientific circles which is not to say that it's not possible that scientists are wrong, but, within scientific circles Darwin's theory of evolution is not controversial. there are controversies about specific parts, of evolutionary theory, but the idea that organisms evolve, that they adapt to their environments and that it leads to some of these adaptations, are passed on to future generations, is not a_ is not controversial in science you can only find a handful of scientists, in the world right now who would, who uh uh, who would disagree with that i think. um, uh so although evolution is controversial sometimes in, our culture, it's pretty much an assumed truth, within within science. and it's an assumed truth within psychology, all_ what what_ where psychologists start to break down, is in whether or not you can account for, um not just physical changes evolving, but whether or not you can see behavioral changes and i'll try to make that clear as we go along. but, his impact on the biological sciences was enormous. uh and so let me tell you a little bit about the story of what happened so he's travelling around on the Beagle which is when hi- the, origins of his theory of evolution really started happening. he

spends five years travelling around and one of the things that he notices over and over again, is that he sees variations, of species in different environments. in particular if you think about the gal- if you go to the Galapagos Islands, one of the things that he was struck by was that there were at least eighteen different versions, of the same species of finch. finch is a little bird right? and, all of these different versions were clearly members of the same mainland's finch, that he observed, but as he travelled around the Galapagos he noticed that, on different environments in different islands, the finches were subtly different. so for example on one island he would find that the finches look just like all the other finches except that their beak, is really short and really thick, really tough. he'd go to another island and discover that the finches looked just alike except that their beaks, are long fragile slender things. and he notices, that as he looks at, their diets what they eat in the different uh environments he notices that on the island where the finches have the short tough beaks, their diet consists primarily of hard, nuts. and on the r- island where they have the long thin beaks their diet consists primarily of insects that bore into, the bark of trees. so what Darwin says is ah, these organisms are adapting to their environments. okay? they're changing anatomically, in ways that fit the environment. i mean think about it how nice it is if you're on an island where your main diet is gonna be these, hard to crack nuts, it's gonna be great to have a beak that's really tough. on the other hand if you're on an island where your primary diet is gonna be these little insects that bore in isn't it great, that you have this long thin beak, um, to uh get in to those insects. so what he noticed was that, organisms adapt to their environments. and that's evolution. Darwin's not the only one who, notices that. lots of competing theorists are noticing the same thing, that in_ that organisms seem to, match with, adapt to their environments. what Darwin does that's different, from the other theories of evolution, is propose that the mechanism by which that adaptation occurs, and the mechanism that he proposes is natural selection.<P :05> now i

wanna spend a little bit of time talking about natural selection because, but f- first i'll just read this definition which is <READING> any inherited characteristics, that increase the likelihood of survival in reproduction are selected for, </READING> if it helps you it's gonna be selected for, <READING> and any that decrease the likelihood of survival, are selected against. </READING> now, uh, one of the things that's, hard to get about natural selection is often, people think about natural selection as being this sentient knowledgeable all-knowing guided planful, thing out there, as though, nature natural selection has a grand plan for each of us, and it's gonna determine what things are good and what things are bad. um in fact last night i was watching with Michael we were flipping through the Discovery Channel and they had a program on, about, these guys who were diving down to three hundred feet underneath the water trying to find a species of fish, and they found this one incredibly ugly fish, it was um, it looked like a bowling ball, only, it was a really ugly bowling ball, and it had lost its ability to swim, what it did was walked across the bottom, on its little fins so its fins were useless now it's just this big beach-bally kind of thing. useless for swimming but good for walking right? and the narrator on this, made this statement, which just almost sent me over the edge. the narrator said, evolution has taken care of two problems at once. while taking away the ability to swim it has given the fish the ability to walk on the bottom as though evolution knew what the hell it was doing, right <SS LAUGH> evolution doesn't, know what it's doing. that's not what evolution is about. evolution, is a probabilistic occurrence. basically what evolution boils down to is it says that things that work, are gonna be more common, and things that don't work, in a particular environment, are gonna become less common. if the environment changes, evolution didn't know that, right? so if the environment changes something that at one point worked really well, doesn't work anymore if it doesn't work anymore it's gonna be selected against, so, there's always this temptation to think that evolution is moving us,

in a direction towards always higher performance that's not what evolution is doing at all. evolution is a pressure to match your characteristics with your enviro- with your environment, and really not your characteristics, your offspring's characteristics. evolution is a theory about how environments shape, organisms over time. okay? it's not, it's not a knowledge-guided there's nothing sentient about it, it just says if there's something that works in an environment, that thing is gonna become more prolific, and if something doesn't work in an environment, that thing is gonna become less prolific. again notice that although evolutionary theory is always thought of as a biological account, in many ways you can argue that evolutionary theory is the ultimate environmental explanation of behavior, cuz it says it's the environment, that determines selection criteria that determines how things happen. um, so i think this is a kind of complicated uh uh statement it's it's a little easier to be breaking, natural selection down into sort of what are the assumptions that are embedded in here and look at, uh a couple cases. so there are really four assumptions that are in that definition, of natural selection. <P :09> the first, is that <READING> members of a spec- members of a species, have characteristics that vary. </READING> what do i mean by that? all that statement really means is, members of a species are not identical to each other there is some variation some of us are tall some of us are short. some of us have brown eyes some of us have blue eyes, some birds in the Galapagos have relatively tough beaks, some have relatively fragile beaks, right? there's just variation. uh one of the concerns that people have right now about modern agricultural, practices by the way, is that what we've done in modern agricultural, practices which work well in our industrialized environment right now, but one of the things that we've done is we cut down, the variability, so for example there are very few, species of corn, all those vra- vra- i mean veri- veri- d- varieties of corn, all of those varieties of corn are genetically pretty identical to each other, which makes them very vulnerable if the environment suddenly

switches, because there is no variability. natural selection first you have to assume that there's variability, in uh, in the, species. the second thing is is that at least some of these characteristics are passed on genetically. now Darwin, didn't know about genetics, what Darwin argued was that there had to be some mechanism he didn't know what it was but that there had to be some mechanism, of passing on characteristics from one generation to another, uh one of the ironies, is that Mendel who was working, around the same time as uh, as uh Darwin a- apparently sent Darwin a copy of his uh manuscript where he laid out the basics of genetics, uh and in those days when you got a manuscript, a book you still had to cut the pages, so people have found this book and_ Darwin's library is still preserved if you're, if you, you're a very special person you can go in and, go in and sit in Darwin's chair and be in Darwin's library, and people have done research in there and found the books that were on his library at the time of his death, and there was a copy, of Mendel's book, which was onl- which had only been opened to about the, twentyfifth page and then, Darwin got bored with it apparently and put it up, so sort of ironic that the mechanism that he needed for his theory really to sort of flush it out, was there he just didn't know about it didn't read it, but um the- you have to assume that characteristics have to be passed on. evolution happens across generations. it does not happen in a lifetime. it does not happen in two lifetimes. it happens across many many many generations it is a relatively slow process... third, some of those characteristics will aid survival, and reproduction it's really what should go on it's really, evolution is really about reproductive success, so, some of these things will aid survival so, if you're, a bird, in the Galapagos Islands, and you have developed with the tough beak, relative to your neighbor, fragile Fred right? then if your d- if the diet on that island is in fact these tough nuts, your strong beak's gonna be an advantage to you. you're gonna have more access to food which means you're gonna be healthier, which means you're gonna be more resistant to

disease which means you're gonna be more fertile which means you're gonna have more offspring, to the extent that your beak, is passed on genetically, your offspring are gonna have the same advantages that you had over your rivals, at that time, they're gonna have the same advantages. so that over time, over generations, what you oughta see is the number of tough-beaked birds, goes up in this environment, in contrast if you were in the environment where it's the thi- it's the insects boring in, if you have a thin delicate beak, you're gonna have an advantage over the tough-beaked ones who can't get to 'em, right, can't get to the bugs. so, it basically says that some of these characteristics are gonna aid survival, right, and reproductive success. okay? the last point, is simply to say, that, it really has to translate to, reproductive success, it's not just that it helps you, uh, uh do well, but it helps it increases the chances of your offspring surviving, and, and your offspring in turn reproducing. well the last assumption just says <READING> species produce more offspring than survive to be adults </READING> really, that some organisms die before procreating themselves. if every member of every species, survives and reproduces at the same rate, you will not have evolution you will not have natural selection, cuz, evolution natural selection really is about differential success, in reproducing. okay? with me? now there are a couple of things that i wanna point out about these, uh, uh about these assumptions. and again, it's this that sets Darwin off, from other people. why is evolutionary theory basically widely accepted in the biological sciences? and at least in most respects in psychology well, lots of reasons. one reason why evolutionary theory in general is accepted is because uh we have, uh a fossil record, that shows a fairly steady progression, of changes. you can see where environments change and organism change organisms over generations change in response to that environment. the fossil record provides pretty good continuous evidence, of this progression from presumably single-celled organisms, um up through complex multicelled organisms, by the way, and up is even a bad word to use

there i mean you could make the argument that the most successful, evolutionary organism right now is a viru- are viruses, or bacteria i mean there are far more of them than there are of us. there are more of them in this room than there are of us, but we often talk about when we talk about up we're really talking about going up in complexity of the organism. so as you move up in the complexity of the organisms up to humans, you you see a fairly clear progression. similarly a second reason if you look in different species, you find similar anatomical structures, serving very different functions. so our hand, and a bat's wing, are anatomically very similar, they serve very different functions, but they look very similar, suggesting that at some point way back in the evolutionary history, we were_ we had a commonality. right? but then the environment changes for bats they evolve certain things that that facilitate them flying, we evolve things that in- facilitate our grasping, right? but it looks like there's some commonality across species, commonality in structure. the third and probably most compelling reason is because we can in fact see evolution in action. how can we see evolution in action given that i told you that evolution is a very slow process? well it's a slow process generationally, but if you find an organism that has a quick generational half-life, you can actually see things happening you can see evolution happen. there are lots of organisms that have very very quick generational lives, insects, tend to have quick genera- you can run through a bunch of insects in two months, bunch of generations, bacteria even better, you can run through generations of bacteria in twenty-four hours, and we see evolution in action. one of the persistent problems today in medicine, is the evolution, of uh antibiotic resistant, bacteria, and it's a clear case of evolution. so, think about it. you have bacteria, that vary in some of their characteristics. one of the characteristics that they vary in, is how much peni- let's just take penicillin as an example, how much penicillin does it take to nuke the bacteria. some bacteria, (if) some members of this of the same strain of bacteria it turns out, maybe go

<SOUND EFFECT> with a little penicillin, they fall over and, kick their little legs so to speak and they're dead. other bacteria you have to just bomb 'em with lots of penicillin, before you're gonna nuke 'em, so, they vary in their susceptibility, to penicillin, right? that's the first thing. second, those characteristics are passed on genetically, and remember that bacteria just divide and then you've got two replicas, of the original and so they're passed on genetically. three, some of those characteristics aid survival. in a pre-penicillin environment it doesn't matter but if suddenly you're in an environment where there's penicillin, having a resistance to penicillin is gonna aid survival. so when you start introducing penicillin, that is a selection pressure, you start putting penicillin in, it suddenly makes disease resistance, i mean penicillin resistance, a survival characteristic. notice again nobody thought this out nobody said gee we're gonna design a bacteria that's gonna be resistant to penicillin so that when penicillin, comes along it's gonna be resistant to it. it's just, there's variation, suddenly an environmental press comes on, species produce more offspring than survive to uh reproduce themselves, once you introduce penicillin into the environment most members of the species die off. the only ones that don't die off are the ones that are highly resistant to penicillin. they go on, to reproduce, and you have now a higher proportion just like with the birds in the Galapagos, you now have a higher proportion of, penicillin-resistant bacteria. so we believe it because we've seen it, in action, i mean you can see evolution happening. i noticed that natural selection began at first with environmental change. somebody asked me well are we_ a- after the last class somebody asked me, well are we affecting our evolution, are we taking over for natural selection well, w- we are nature. i mean we're all part of nature, natural selection just says when the environment changes, or the environment puts a press on it so if we introduce penicillin or another problem is pesticides, we introduce pesticides into the environment, some of the pests, are gonna be resistant to those. we are exerting selection pressure, uh

on the environment through the environment on those organisms, if you start using pesticides you can guarantee that you're gonna start seeing, pesticide-resistant, insects, if you use antibiotics you're gonna guarantee that you're gonna see, antibiotic-resistant strains of penicillin, i think there's one version of staph infection right now that's in Japan where, there is one known antibiotic that works and and sure as the sun rises, that go- the the bacteria will evolve a resistance to that version of penicillin too so it's a constant race of whether you can come up with a new, sort of version of penicillin, or antibiotics. okay? now psychologists don't question, psychologists are happy with this, psychologists think when it comes to okay so what about evolution in psychology? well psychologists are also very comfortable with the notion that brain physiology, physical anatomy, has evolved over time, and the argument if you were gonna make an evolutionary argument about this goes basically well if you look across species what you see is sorta this progression toward complexity, that there's something about centrally organizing information processing, which is what the nervous system is really about, it's about processing information, taking input from the world, doing something with it, and putting out a behavior, right? that if you look at what happens to sort of that central processor in your lowly striped bass, you got a bunch of nerves together that just sorta_ we call 'em ganglions just sort of very primitive, um uh meaning simplistic, uh information processing, controls things like breathing and reflexes and stuff like that not a lot of higher order computational power in your basic, striped bass, um nor a lot of sensory processing processing and stuff it's a fairly simple sensory world if you're a striped bass. as you go up, across species, again up in terms of complexity, as you go up you see sort of regular organization so, this part of our brain the hindbrain we'll talk about that when we get to brain physiology, but the hindbrain and the bass, are really pretty similar, and they control similar functions it's breathing and all those kinds of basic survivals. when you get up a little bit more complex

more sensory, uh processing is involved, you get the evolution of things called a midbrain just a little bit of bulging around, what was just the ganglion, well in humans that, part is right here. it's called the midbrain, it's the second, structure to evolve sort of, evolutionarily, and it processes sensory information. and then as you get up in cats and primates and humans what you get is the forebrain this last part, which is, um where the cortex is where most of what we think of thought and if consciousness resides anywhere, and it most surely does, it resides somewhere in the cortex, language resides there all kinds of higher functioning more complicated functioning reside there. so, psychology'd be perfectly happy saying well what you get is this evolution of physiology. there was something about information processing, that's adaptive, that aids in the survival and reproduction of the species, and so that's what's happened, we've filled the niche, right, um, by going down this trail. where psychologists start to depart, is when you start talking about, evolutionary influences on current behavior. so we're not looking about the structure of the species, we wanna know, can i explain something in the moment? so can i explain for example the fact that if i go, <SMILES> how's everybody doing? you all assume i'm, more likely happy, than unhappy. or if i went, <SCOWLS> so what do you wanna know? <SS LAUGH> you're gonna be, more likely to assume that i'm, angry than not angry and in fact i need to cut the language out, i don't say so what do you know i just go <ANGRY FACIAL EXPRESSION> you're not gonna say boy he's a happy camper. right? you're unlikely to do that. can we explain that behavior, evolutionarily. notice now we're not talking about, physiology so much, as we're talkin' about a behavior in the moment. and notice that unlike physiology there's no fossil record you can appeal to, you can't say gee, four million years well that's a t- four hundred thousand years ago, how did people signal happiness? there's no record. you can't tell. so evolutionary theorists, who are trying to explain current behaviors, are always in the position of having to look at something

that they see now, and see if they can tell, a story, an evolutionary account, and then the trick, that separates evolutionary psychology from other approaches, that have been taken to this is, can you make a novel prediction? can you go out and test it, find evidence now so again what separates from just an as so story is, can you s- tell your story your theory and then say and if this is true, i oughta be able to see why, and then go out and see if you see why. so, the first candidate for that kind of behavior, is gonna be, emotions. can you explain can you offer an evolutionary account, for emotions? now the first person, to make the argument, that, maybe our emotions evolved again notice, it's a different game here. we're talking about explaining behavior, not physiology now. can we understand emotional expression, things like smiling crying disgust anger, can we explain that by appealing to our evolutionary heritage? the first person to make that argument was Charles Darwin. not surprisingly. uh Darwin in eighteen seventy-two, believed that facial expressions, um, did in fact evolve i'll give you his language and then try to explain what it is. he believed that they evolved from quote serviceable associated habits, of behaviors what the hell is that right? so here's what a serviceable associated habit is, what Darwin argued was well lots of behaviors have lots of things that sort of consistently go along with them. so for example if i'm gonna attack this_ i won't but if i were gonna attack this person right here, right? any way you look at it if i'm gonna attack you, i gotta_ i'm gonna go something like this, why am i gonna go something like this <ANGRY FACIAL EXPRESSION> well, i need to be in a position where i can lunge forward, remember we're a preverbal society, i need some way that i can lunge forward, and i'm gonna be tense, cuz my emotions_ i mean my_ i want to be ready, right? i need to be able to punch i'm a whole lot easier i- to punch if i'm like this <ANGRY FACIAL EXPRESSION> than if i'm like this.<RELAXED FACIAL EXPRESSION> right? so what Darwin argues is well maybe, this behavior, that really has nothing to do with the attack it's the preparation for the attack, but it has nothing to do

with the attack directly, maybe this behavior is the serviceable associated habit meaning, maybe, organisms, that were able to pick up, on the intent, from just the expression, would have some advantage. i mean if i go like this, <ANGRY FACIAL EXPRESSION> he can either decide, to prepare himself and fight back, or he can decide to run, either way, he's at a better advantage, than if he's standing there clueless while i'm getting over here ready to attack him, right? so what Darwin argues is, that essentially maybe emotional expressions evolved as a mechanism of communication. it's an extremely profound point <S1 LAUGH> i argue cuz, you're in a preverbal society, and what emotions allow you to do is to make internal intentions, public. it allows you to say i'm gonna beat you up, but you don't have a language that says i'm gonna like beat you up. or oh i sure am happy you're here friend, when you can't say, gee, i'm so happy you're here friend. it allows you to communicate internal hidden states to make them visible and Darwin's argument was, that organisms that that picked up on that, that detected that, would have a survival advantage a reproduction advantage, that if you're the type of person, there's variability sensitivity, of these expressions, if you're the type of person who displays and decodes the expressions, you're gonna be more likely to survive in the wilderness in the desert, okay? now consistent with that, argument, are just a few things, first is that, if you look at the facial neuro-muscular mechanisms, fun to say that three times they show continuity from higher primates to man. all that means is that again just like you wanna see continuity, in the, in the uh the b- evolution of the brain, you'd like to see continuity in the f- in the physiology that would support emotional expressions you wouldn't want to find that only humans are able to go rrrr. <THREATENING FACIAL EXPRESSION> if we're the only species that can go rrrr, <THREATENING FACIAL EXPRESSION> then, the- it's hard to imagine that evolution coulda done that, cuz it shoulda happened over time, and shaping it. the second thing is that facial expressions in humans really do (carry) close similarity to animal

responses, that have presumably again originally serves some, function relating to defense. again if uh if you're watching in a horror movie, and you are genuinely frightened in the middle of a horror movie, you're not likely to go wow, <SURPRISED, PLEASED FACIAL EXPRESSION> right? you just, you don't do that (approach) thing right? when you're frightened you go aaahh <SURPRISED, SCARED FACIAL EXPRESSION><SS LAUGH> like that, right? just like a horse shying away. again when you're angry you don't very often see people who are really really ticked off go, except Clint Eastwood, <NONCHALANT FACIAL EXPRESSION> go ahead, make my day you know it just doesn't happen when you're angry you're in someone's face, you're just like this little critter right here, <POINTS TO POWERPOINT SLIDE> right? so it looks like there's a_ and then my favorite is that some emotional expressions, seem to resemble reflex and reactions to nonsocial stimulus so take something stinky, and put it in front of a person and they'll go ugh. <DISGUSTED FACIAL EXPRESSION> just like this, just that's disgusting, right? so, try turning in a paper that you started writing at three A-M and finished at four A-M to your G-S-Is ask them to read it and watch them while they read it, and you'll see the exact same facial expression, of disgust at this stinky piece of work, um the same way you know when you se- don't like something i mean think about it when you don't like something, the expressions that you make are really <DISGUSTED FACIAL EXPRESSION> oh, that's terrible. how could he do that? how could he say that right? so again it seems to be related. now so far we got an as if story. seems like there's this communication. what's the evidence for it? well now we need a new hypothesis. the new hypothesis is that, these emotional expressions, oughta hold true cross-culturally. people from different cultures, oughta be able to identify similar emotional expressions, and in fact Eckman does that. Eckman goes out and finds the last civilization where television hasn't been introduced yet, and shows them pictures, of people doing different displays of emotion. and asks them

in their own language to describe it, and when people see this, <POINTS TO POWERPOINT SLIDE> they basically say oh that's disgust. and when they say this <POINTS TO POWERPOINT SLIDE> they say that's, [SS: sadness.] sadness. when they see this, fear. right? when they see this, <POINTS TO POWERPOINT SLIDE> happiness. did i get those right? oop, i got surprise and fear wrong ugh, good thing i wasn't on the subjects list so um, surprise and fear it turns out that if you go cross-cultural, you do this study over and over again not only are people who've never seen T-V when shown these photos, identify them correctly, but cross-culturally, you find incredibly high levels of agreement, about these six emotional expressions, joy disgust surprise sadness anger fear there's some evidence that contempt, may also be a relatively universal emotional expression. so the argument goes there's evidence that these expressions, there have been some evolutionary advantage to, being able to detect them if they're universal, but other emotional expressions, vary widely by culture. we'll pick up there, on Thursday. thanks a lot.

{END OF TRANSCRIPT}

LE6

MICASE Full Transcript View

Title: Graduate Macroeconomics Lecture

Academic Social Sciences and Education

Division:

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NONE

Recording 76 min.

Duration:

Recording January 19, 1999

Date:

Recording TASCAM Digital Audio Tape Recorder with two external
Equipment: microphones, video by BMC

Language: Primary Discourse Mode: MLG
Native Speaker Non-native Speaker

Participants: Number of Speakers: 7

Number of Students: 55

S1: Native-Speaker Status: Native speaker, American English; Academic Role: Senior Faculty; Gender: Male; Age: 31-50; Restriction: None

S2: Native-Speaker Status: Non-native speaker; Academic Role: Junior Graduate Student; Gender: Male; Age: 24-30; Restriction: None; First Language: Slovak

S3: Native-Speaker Status: Native speaker, American English; Academic Role: Junior Graduate Student; Gender: Female; Age: 24-30; Restriction: None

S4: Native-Speaker Status: Native speaker, American English; Academic Role: Junior Graduate Student; Gender: Male; Age: 24-30; Restriction: None

S5: Native-Speaker Status: Native speaker, American English; Academic Role: Junior Graduate Student; Gender: Female; Age: 17-23; Restriction: None

S6: Native-Speaker Status: Native speaker, American English; Academic Role: Junior Graduate Student; Gender: Male; Age: 24-30; Restriction: None

S7: Native-Speaker Status: Non-native speaker; Academic Role: Senior Graduate Student; Gender: Male; Age: 24-30; Restriction: None; First Language: Mandarin

SU-M: Native-Speaker Status: Non-native speaker; Academic Role: Junior Graduate Student; Gender: Male; Age: 24-30; Restriction: None

SS: Native-Speaker Status: Native speaker, American English; Academic Role: Unknown; Gender: Unknown; Age: Unknown; Restriction: None

Setting: Classroom, East Hall

S1: model, which uh, we started talking about last time <P :05> so the idea is to uh, to bring in uh, the world economy... after i finish this, uh i wanna start talking about what's called the Static Neoclassical Model. and, then next time i wanna, begin working on the second page of roman numeral one. so on the second page there's an article on the m- on the uh Multiplier Accelerator Model that's really what the first problem in the problem set is about. uh on Thursday, i want to uh, talk about the Lucas Model, which has a paper and a little bit of reading in the textbook. and then uh next week on Tuesday i wanna spend one lecture on the Phillip's Curve, there's a handout on that there's a little bit of reading in the textbook, uh, that introduces some ideas about differential equations, and then uh next Thursday i wanna finish up, talking about the Dornbusch Model which is an elaboration on the Mundell-Flemming Model... alright. so, we had new behavioral functions <P :05> uh, last time <WRITING ON BOARD> we used these stars for desired, we had uh desired net exports... and they were gonna depend on the home real G-D-P on the foreign G-D-P, and on the real interest rate... let me just, signify the signs of the partial derivatives by putting a sign here. partial derivative with respect to the first argument was gonna be negative, positive, positive by as- these were assumptions. second, new behavioral functions, behavioral function, i want, C-F star to be real, uh desired, net foreign financial investment in the U-S. so we'd started talking about this last time <P :05> let me write it like that with two arguments, depends on the home nominal interest rate, depends on the sum of the foreign nominal interest rate, and the uh, i did this wrong, it should depend on, the sum of the foreign nominal interest rate, and the uh anticipated, uh, rate of change in E. the nominal exchange rate. so dot means time derivative. $E \dot{\text{ over E}}$, is like the, percentage, rate of change, in E, in the nominal exchange rate. use the A for, anticipator. alright. the as- the assumptions i wanna make here, are that the uh... that the sign here is negative, and here is positive... let me talk for a minute though, about this. so we're talking about financial investment. so you can uh, take your uh dollar saving put it, in a savings

bank in the U-S or you could, send it over to England. if y- if you took your dollar... and... invested it, put it in the bank at home, after a brief amount of time, say Δ , it would grow, to one dollar, plus the interest rate which is yearly_ which is, given in terms of, of uh, percentage change per year it's an annual rate, times, the amount of time, that you've had, so, maybe you've uh put it in the bank for one day, you've got, one three hundred and sixty-fifth, of the yearly interest. so you'd have this plus interest after this amount of time, Δ . another possibility is you could take your dollar, and uh send it abroad... now... remember the units on E , are uh, dollars per pound the, foreign currency is a pound. if i send it abroad, i've got my dollar, i'll get this many pounds for it. if there's two dollars to a pound, E 'll be two, and my dollar'll buy, half a pound. that'll be the number of pounds. those pounds, will grow with interest, now, it's abroad the money's abroad so you get the foreign rate of interest, and then, when i bring 'em home, i'll get this many dollars. [question?](#)

S2: [i thought](#) this foreign investment is it, investment, that investment into, the domestic economy or [out of](#)

S1: [it's into](#) the U-S.

S2: so shouldn't partials be_ have, opposite signs?

S1: ah, you're right. i got 'em backwards. so when the interest rate at home is high it's attractive so it comes in. good... thanks... so i i took my dollar, it bought this many pounds, grew with interest to this many pounds, multiply it by this, i'll get, dollars. the time is different by then, if i started at time T , it's now time T plus Δ . i can put a T on this one... alright. well let's think about this for a minute. if uh, E , changes smoothly, as a function of time, i could make a first-order approximation a first-order Taylor series approximation, of $E-T$ plus Δ . it would be, E at time T , uh, plus the derivative with respect to time, times that. so it's like, uh, i've got a function of time... and i'm approximating it... like

that with a first-order Taylor series approximation. so this is a function of time, through its, subscript there, and i made a first-order approximation. if the thing is smooth, and i'm talking about a small delta, this would be a good approximation, very good approximation... well then we could multiply this out, so it's... we've got one times E, we've got uh, one times this thing, $E \cdot$, time derivative times, delta. we've got this times, delta times E, and we've got this times this. now if delta's very small, when i square it, uh it's, it's an order of magnitude smaller still, and i can i can afford to ignore it, if i'm letting the delta get very small... let's do that, let's drop it, now i've got one over E times each of these terms, one over E times E is just one, this thing is, $E \cdot$ over E times delta, this thing is, uh, again the Es cancel, so it's just $R-F$ times delta. so when i wanna, compare, investing at home to investing abroad, both terms have got this one, the results of both got this one in them. investing at home has R times delta, this one has $R-F$ plus $E \cdot$ over E times delta. so the comparison that i wanna make is between R , and $R-F$ plus, $E \cdot$ over E . and those are the two arguments here. and as was pointed out, we're talking about n- net, foreign financial investment in the U-S, when the interest rate in the U-S is is higher that's gonna be attractive, that's gonna pull money in, financing in, when uh $R-F$ plus uh, $E \cdot$ over E is high, that'll take it out. remember, the way i've defined this exchange rate, when this goes up, the dollar is devalued. if this is positive, it's_ it means i'm expecting the dollar to lose value. so if the, if the, interest rate in England is uh four percent, but i'm expecting the dollar to be devalued by six percent, i could have a ten percent return if i invested my money over there. cuz if the dollar is gonna lose value, i wanna be in town so bring it back, uh bring my funds back later, after the dollar's lost value... alright. and in fact, in the Mundell-Flemming Model, we make, the, assumption, that, foreign financial investments and American financial investments are perfect substitutes, so that all the funding goes, where the interest, return is highest. so the Mundell-Flemming Model, uh assumes that financial investments are perfect substitutes... and so we have the extreme,

case, that if the home interest rate is higher... uh, including the, anticipated, uh currency changes then, there's a huge flow in, if both, interest rates are the same then, people don't care where they invest their money, it's a matter of indifference, and if... the home interest rate is lower $<P :05>$ then all the money goes abroad. so C-F is inflow so it'd be, negative infinity. so this is like the, purchasing power parity case now applied not to goods, but to uh financial investments. and that's that's the idea of the Mundell-Flemming Model. okay, questions about that? yeah.

S2: what happens when the expectations are heterogeneous?

S1: if uh, this announces that i'm going to at this point, is uh simpler than that it's as if everybody has common, expectations if they're different, it'll be more complicated. if you think the return abroad is better, you'll be investing there if i think the return at home is better i'll be investing here, then uh, uh the model becomes more complicated and we hafta worry about, how much heterogeneity there is and, who's thinking what. but it's simpler than that i'm assuming everybody has a point estimate the same one, of uh $E \dot{}$ over E .

S3: so that would be $A \dot{}$ over E

S1: yeah i made it $A \dot{}$ i used to use E . so i meant A for anticipated. because this, to know how the uh, exchange rate is gonna change i have to think ahead. remember the derivative... $<WRITING ON BOARD>$ remember it's a limit, like this. i gotta be able to think ahead a little bit. and i, so i'm i'm putting an anticipation on that. we'll come to expectations uh, pretty soon next week... how we might wanna model those. $<P :05>$ okay? so the, superscript there is for, anticipated. other questions...? alright. well let me put the Mundell-Flemming Model together then. we've got, it's basically h- has the pieces, of the model i've been talking about the I-S-L-M Model plus these two new, behavioral functions... so the, uh so the Mundell-Flemming Model, has

uh, endogenous variables it has uh, Y , R , capital- R capital- R is the real exchange rate, R is the home, nominal interest rate, Y is the home, real G-D-P, and... exogenous got the, whole list that we're used to plus, international ones now as well, so it's got, real transfers from government, taxes, government spending, stock of money at home, government bonds, private bonds, in other words corporate bonds, uh, inflation, anticipated home inflation rate, price deflator for the home, G-D-P, for the foreign one, foreign real, G-D-P, foreign interest rate... real, net factor, uh payments, uh from abroad to the U-S, and then this, anticipated... guess i won't put subscripts on it, anticipated uh, uh rate at which E is rising, lemme just call that θ we wanna, treat it as a constant, let me just write it as a , a single thing θ . and the model, is, very similar to the one we've been working with, has the following elements... question? okay. it has, behavioral function, same as before. desired saving, oops now we gotta be a little careful. so we gotta take Y , which is factor payments, add to it transfer payments plus, from government... add to it net factor payments from abroad. so if we're thinking about, saving of U-S citizens, they have also these, profits and uh wages from abroad, perhaps... there's accounting, I equals S plus T minus $T-R$ minus G , plus $C-F$ now, remember when we did, the last the derived accounting identity, looked like that there were three sources of financing deve- domestic invest- physical investment, private, U-S saving, government saving, net foreign financial, investment? there's gonna be an assumption, as before that people can control their savings so that, desired and actual saving are the same. there's gonna be a behavioral function that desired, physical investment, depends on the, real interest rate in other words the nominal rate minus the rate of inflation, that is the same as before... uh we've got, lemme erase this big list of <SIGH> variables there. we've got a behavioral function this new one, uh number two over there, the desired, net foreign financial investment, depends on, that, but i'm gonna make the Mundell-Flemming assumption... and it looks like this. just what i wrote down at the bottom of the other board so we just talked about that. i'm gonna

assume that, people can control the amount of, net foreign financial investment that they make so that the actual and desired always coincide. i'm gonna, have another behavioral function, that, desired, real, holdings of domestic currency... are this, and these have the usual, assumptions so the partial derivative here of this argument is negative, here it's positive, this one is positive and negative, this one is positive and negative just as it was before... U-S citizens don't hold foreign currencies here, they just hold, domestic. another behavioral, assumption number one the new behavioral one, $N-X^*$ star desired net f-exports, in real terms, we talked about this last time. those, partial derivative signs, and finally, accounting. as we talked about the first day, there's the there's a balance of payments, accounting, equation that looks like this. so if i take exports minus imports, plus, factor payments in from abroad, plus, uh, foreign financial in- net foreign financial_ investment, those things have gotta sum to zero... so that was, again something we talked about the first day. and the notion of equilibrium. <P :06> we'll say we have an equilibrium. <P :07> if, the endogenous variables are such that, we're getting the amount, the fiscal investment, actual, is equal to the amount people desired, that $N-X$, net exports, in real terms are equal to the amount people desired, and, the amount of, money people hold, is equal to the amount they desire. so if, those three things hold... we already have some other ones by assumption... but if the endogenous variables are such that these, are all satisfied, i must say we have an equilibrium.

S2: do you, sort of assume that there are flexible exchange rates abroad. i mean because you have nine the balance of payments, items?

S1: i'm assuming that this, R , adjusts, and uh P and $P-F$ are exogenous so i'm assuming that the E implicitly adjusts, to make that foreign exchange rate, uh, or to make the foreign exchange market, in my picture from the first day, balance. so that the inflow and outflow of dollars inflow and outflow of pounds from that, foreign exchange

market, balance. yes... so there's the model. nine elements, three endogenous variables, three conditions here for equilibrium. <P :06> alright, let me, talk about the equilibrium. quickly... well, for equilibrium, one thing that's gonna hafta hold, is that R is gonna hafta, adjust, so that that, that's true. otherwise, this and this are finite, if this is plus or minus infinity this is never gonna hold. so th- because the, financial investments, are perfect substitutes at home and abroad, for equilibrium, we're gonna need, the interest rate at home to obey this. notice that, $R-F$ and the θ are exogenous. second thing. part of the definition of equilibrium is that this be true. once i've got number one. <P :06> for this to hold... there's only one Y , that's gonna work. because i had the assumption, that the partial derivative with respect to Y is, non-zero, M and P are exogenous, expression number one fixes R from exogenous things, the only variable left the only endogenous variable left in, in this equation, is Y , it's gonna hafta, be set by that equation it's gonna hafta adjust to make that equation hold. finally... these other two are gonna pin down R now, capital R ... from this thing, plus the definition of equilibrium <P :05> in the definition of equilibrium I star has to equal I , in this thing, I has to equal S but from, from number three S has to be S star. <P :07> and then that plus, government saving... plus $C-F$... now, from number nine, $C-F$ has gotta equal, negative, uh, $N-X$, but in equilibrium $N-X$ equals $N-X$ star and then, negative $N-F-P$. so i'm gonna need this... in one, i already see for equilibrium that R 's, gotta be equal to $R-F$ plus θ . from two, i can solve for what Y has gotta be, for equilibrium, so Y is set there. the only thing, the only endogenous variable left in equation three is capital R . it'll have to adjust, to make three hold. <P :04> three holds from this, from the definition of equilibrium, from this, from nine, and again using the definition of equilibrium. so three, will determine capital R the real exchange rate. so the model has, got all these elements to it... but, it's actually, quite simple to solve. yeah.

S4: i think i think i think you're missing a star in, element four

<P :05>

S1: yep. good. thanks. <P :07> okay? other, questions...? let me draw the picture that's in the book... before we could characterize equilibrium with an I-S and L-N curve (to,) find our intersection, the book, suggests an analogous picture, for this model, again we're talking about, equilibrium here characterizing equilibrium. we've got three endogenous variables, it's hard to draw three-dimensional pictures... given the Mundell-Flemming assumption... for equilibrium the interest rate at home is pinned down. so, the book suggests, using a picture to, characterize the, values of the other two variables. realizing that R has to equal $R-F$ plus θ ... so, this equation, characterizes Y , and they call that the L-M curve. <P :05> so it's the values of u , Y and R such that, M over P equals K star of, Y and I - and, little R , but little R is set exogenously now, by conditions in the rest of the world and, anticipations about the exchange rate... so, we find the Y that makes this work, the equation doesn't depend on capital R , therefore once you find that Y it works whatever, capital R is, so that, the locus is just u vertical... now in this one, if we set, R from here, R is fixed so the left-hand side is fixed, the partial derivative of S , star was gonna be positive, then your ray of partial derivatives, on $N-X$, star was gonna be that, so if R little R is fixed this is fixed, if we have a Y and a capital R , that satisfies equation three, then if we raise Y , this'll go up, this'll go down but it's subtracted, so the chan- if Y goes up, it'll make the u right-hand side go up, to counterbalance and and keep equality here i'll have to make R go up, so if Y goes up R 'll have to go up, so he calls this the I-S his I-S curve, and it's the locus, $Y-R$, such that three holds. <P :12> so such that this works. where R is set at the, what's internationally required here so that's an upward sloping curve, and then the equilibrium for the model, we gotta have both two and three hold, is there. <P :09> so whether you use the equations or the picture, you're talking about the same thing. we could use our total derivatives, to find the slope of the I-S curve <P :05> uh, lemme not take time to do that i'll just write it here... for a derivative in this picture i want $D-R$ over

D-Y... so i totally differentiate this, noting that little R is now constant, because of equation one, collecting my terms, that's the, partial of S with respect to its argument, minus the, partial of N-X with respect to its Y argument, over the partial of N-X with respect to its capital R, argument. and, by assumption this is positive, this is negative but it's got a negative here so the top is positive, the bottom is positive, and slope is positive, which is the way it worked out, uh, a minute ago. <P :06> so there's the Mundell-Flemming Model it's a s- it's a way to take that familiar, Keynesian Model, and, uh, make it into a, open economy model, it's implicitly assuming, that the rest of the world is big, relative to the home country, because, uh it's treating, R-F and Y-F as being fixed. so if we do policy changes or something, in the U-S, uh you might think they would affect, uh England if, if the world was just the U-S and England and, you might think that R-F would change and uh we'd have to take account of that. but, if it's the U-S trading with all the rest of the world and England is just a stand in for all the rest of the world, uh maybe you'd think the rest of the world is so big that, if we change around our government policy or something, the world interest rate isn't gonna change, so that R-F being fixed exogenous is a, legitimate assumption. so it's uh, it's just implicitly assuming that that the U-S is a small country, in the world, the small country assumption... alright. well lemme, quickly run through, some uh comparative statics with this. let's uh... first do the case that we have a, open market, operations, let's expand the money supply at home... by buying_ having the uh, federal reserve take currency out of its vaults and buy, U-S bonds, takes, U-S government bonds so it takes the bonds out of circulation and puts, more dollars into circulation... what's gonna happen? well let's think for a minute about a story... so if we start in equilibrium... uh, U-S citizens are the ones that hold dollars, uh they they have the amount they wanted in their portfolio relative to bonds, uh now the government wants to induce them to take more, so it wants to, buy some of their bonds, uh... that will tend to, uh, bid up the price of bonds. if the bonds uh, were originally sold with their face value their expiration date and their

coupon printed on them, if they become more expensive, the uh implicit interest rate on those bonds has gone down... we talked about this before. in the I-S-L-M model when the interest rate goes down it stimulates, domestic physical investment spending, the little I. here, it would do that but far more important it will change, uh C-F... that's more important because the C-F by assumption here is, uh, perfectly interest-elastic. if you lower the U-S interest rate a little bit, we were at equilibrium before we were at the world interest rate, you lower it a little bit, all the financial investment turns around, goes the other way, and that, overwhelms any effects you'd get out of physical investment... well if the, financial investment is uh surging overseas, uh, what is that doing? it's it's, uh, flooding the foreign exchange markets with dollars as, citizens move their uh accounts overseas they'll want to change 'em for pounds. and and, by the same token it's gonna create a scarcity in them, of of pounds, and, to try and cope with this, uh the foreign exchange market's gonna change the exchange rate it's gonna make uh, uh dollars cheaper and pounds more expensive. everybody wants pounds now. but, when that happens, uh by assumption that stimulates net exports. $Y = C + I + G + N - X$ here, and if you can stimulate N-X, uh you raise Y. and in fact, this thing, is so interest-sensitive, that this story works, with, an infinitesimal an invisible, reduction in R, it's just an infinitesimal drop, is enough to make this whole thing work. and the stimulus now, comes, not from physical investment, C plus I plus G, with I changing but, from net exports, changing. in terms of the picture $Y = C + I + G + N - X$ well, first, we hafta realize that, there's there's no change in the domestic interest rate, for equilibrium we've gotta have that, and R-F and theta haven't changed, other than that, from the picture, we started like this what changes? the I-S curve's position doesn't change, there's no M in that, nothing exogenous has changed that's in equation three, the L-M, curve does change though. for the same R, M went up, we need a bigger Y, to have uh equality in two. so the L-M curve shifts... so the equilibrium shifts like that, what happens, Y gets bigger, this i just, tried to say

verbally. R , the exchange rate, the dollar devalues, and we have, expansionary monetary policy that happens, the interest rate doesn't change. the reason Y can get bigger, is because when the dollar devalues uh it stimulates exports. net exports. $\langle P :05 \rangle$ we could do that algebraically $\langle P :09 \rangle$ we have equation one... so we can differentiate R with respect to M directly, R is just equal to a constant so, $D-R$ is just zero. so $D-R$ $D-M$... open market, is zero... equation two over there... we, take total derivatives, the P isn't changing, the M is, and we take the partial derivative of M over P with respect to M that's just one over P , on the left-hand side, and then on the right-hand side, we take the partial derivative, of K , with respect to Y , times $D-Y$, and we could do the same, partial of K with respect to R $D-R$, but we just saw that $D-R$ doesn't change here, from equation one. so we've got this... so we can collect terms here we've got $D-Y$ $D-M$, we can flag it... as you recall what we're, talking about here, is it's one over P , and then over $K-Y$ star. this partial is positive by assumption this is positive, there's a comparative static result... when we did the closed economy model, uh last time $\langle P :07 \rangle$ this thing was one over_ this comparative static result was one over P , and then it had a $K-Y$, but then it had another term, $K-R$... times, so partial of K with respect to R , times partial of S with respect to Y over partial of I , with respect to R , so it was positive, but everything else being the same, it was it was smaller. cuz it had the same numerator, and the denominator had the same first term but then it had another positive term. so in this Mundell-Flemming Model, monetary policy, everything else the same becomes more powerful. the the magnitude of the comparative static, derivative is bigger. $\langle P :05 \rangle$ and then we could, differentiate three, lemme just write it, let you get_ you could figure that, D capital R , $D-M$ $\langle P :05 \rangle$ is uh, where is it? one over P , over $K-Y$, now th- over the, partial of K with respect to Y , times, partial of S with respect to Y , minus, partial of, $N-X$ with respect to Y over, partial of $N-X$ with respect to R , capital R ... then if you look at that it's positive too. so you can do it algebraically or, geometrically.

question?

S5: well um, i'm looking at the, yeah number one and it says R equals $R-F$ plus θ [S1: yeah] now i understand that like that has to hold at equilibrium and that we're dealing with infinitesimal changes but, how do you elicit like the, the $C-F$ changing so greatly if there's no relative change between R and $R-F$?

S1: it's because that $C-F$ because, the foreign and do- and domestic, financial assets are perfect substitutes, that, if i , if i changed R by any, uh finite amount nonfinitess- noninfinitesimal amount, uh, i'd hafta get an infinite change, in $C-F$. and that could, if i was at equilibrium before i could never be, at equilibrium thereafter. but the thing is, it's perfectly elastic, so it was it had become a correspondence that $C-F$ could be anything, as long as, number one holds. so, this is where the story uh, sorta breaks down. i don't actually need to get any, noninfinitesimal change in R just, uh you could think of it as just going down infinitesimally. but it actually, $C-F$ is so, elastic it actually doesn't even need to change at all...

S6: would the uh model also assume that domestic saving is not sensitive to, domestic interest rates?

S1: yep. so that you mean uh, uh private savings saving by Americans that, S -star thing, depended only on current, income flow in this model. so it's only on Y which is, interpreted as factor payments in that case, plus factor payments from abroad plus transfers from government minus taxes. so it's a very simple model savings behavior only your current flow, of uh resources, uh, and the interest rates are, your interest income is in that it's in the Y , but only that, determines how much you're saving. so in a more realistic model you might think, if the interest rate is higher i'll save more... but in this model it's it's too simple for that. but we'll come to more elaborate dynamic models later when, things like that will matter.

S7: so what's the motivation for Y increase in the star (xx) when actually there's no increase in R?

S1: because, to maintain equilibrium after i've increased M, the C-F has gotta go down... and that means there's less, uh money coming in, uh and from the, uh, balanced payments accounting identity, N-X has gotta, has gotta get bigger and counterbalance that. the N-F-P is exogenous. so, from the balanced payments accounting identity, <WRITING ON BOARD> C-F plus N-F-P which isn't changing plus N-X, has gotta be zero, if when M went up, uh this thing went down, to hold equality this thing has gotta go up, but that's a part of demand. **[S7: yeah-]** cuz Y is C plus I plus G plus N-X.

S7: but how can you have a finite decrease of C-F?

S1: C-F is a correspondence. it's, C-F-star... <WRITING ON BOARD> it'd be infinite... if that was true, but it can be anything... people don't care where their money is as long as the interest rate, h- home and abroad are the same. so i can have a change within this interval, following monetary policy, and the new equilibrium compels that. and once i've changed that, in the balanced payments economy identity N-X has gotta go up. and the way that that happens is the, exchange rate changes, to to cause that to happen... so it'd be a little easier to_ it would be easier to talk about if i didn't have the Mundell-Flemming's strict, uh perfect substitutes assumption. so if uh, uh if the if the C-F thing was not perfectly flat, then then we could get small changes here, leading through here. but the Mundell-Flemming assumption is it's perfect substitutes, that's what makes it a little hard to think about. but that's the idea. are there other questions...? alright well let's do uh, fiscal policy. it's the second comparative static result. let's increase domestic, government spending, uh finance it with uh government bonds <P :07> so again we could think about a story it's a little, as you can see it's a little dangerous to think about these stories <SS LAUGH> um, sometimes they help, to have int- to establish intuition. uh

increased government spending... Y is equal to C plus I plus G plus $N-X$ so if G goes up, that will tend to make Y go up. if Y goes up, people are making more transactions domestic transactions so, K -star should go up... <WRITING ON BOARD> if, K -star goes up, uh, people want more real money balances, uh... but the real money supply hasn't changed so we all try to get money from each other that means we're trying to sell bonds to each other. uh, the price of bonds should drop, we're trying to s- we're all trying to sell bonds to each other... that means uh, if the price of bonds drops the interest rate is going up <P :04> but if the domestic interest rate goes up, and the return abroad is exogenous, uh, you get a tremendous inflow, of foreign f- financial investment... when that happens, uh, all these foreign financial investors are stopping in the currency market to get dollars it's gonna create a shortage of dollars there. the foreign exchange market'll, make the dollar more expensive. it'll give you fewer dollars per pound. uh... as the dollar revalues gains in value it should hurt net exports... in fact what happens is, these two things end up counterbalancing and Y doesn't change. and the reason is, it can't change the $C-F$ is too elastic to have_ to tolerate any, noninfinitesimal change in R , and so, if Y was actually going up, there'd a- had to have been a change in R , so the drop in $N-X$ has gotta be, has gotta be big enough to offset the G . in terms of the picture, you can see it... first, we can see that R doesn't change... but then from the picture itself. here we are originally. <P :05> if you change government spending bond finance, you haven't changed anything in the $L-M$, equation, anything exogenous, so the $L-M$ curve doesn't shift. you have changed, G , in equation three, and in fact you can, reason that the, $I-S$ curve shifts out, but since the $L-M$ curve didn't shift... what you end up with is uh, the dollar gaining in value, but no change in Y . so from the story you can see that what's happening is uh government, increases in spending, it ends up, just being counterbalanced by a drop in net exports, in this model. so fiscal policy, moves the real exchange rate, but it doesn't change Y anymore. so it loses its uh, effectiveness for, combatting a recession. monetary policy on the other hand works better

than it did before. so if you believe this model, uh last time we thought, we can spend our way out of a recession with more government spending or, lower taxes, or we can, rely on the federal reserve to increase the money supply to get us out. this time, uh all we have is to rely on the federal reserve, because uh... changes in net exports will neutralize, the effects of fiscal policy. it'll just build up the uh trade deficit, if you have the government spend more money... alright so it's kind of an interesting model. are there any more questions? i'm gonna leave it for now and come back to it, a final time, either at the end of next week or... uh well i think at the end of next week, for sure, when i do the Dornbusch paper. <P :08> a couple more uh remarks before i leave it now. you can see that, opening up the economy in this way <P :04> uh makes a big difference for policy implications, for this model. so in general, you might wanna keep that in mind, that, we think of the economy as becoming, more and more open, uh, here is one example of where it can make a big difference for, uh government policy. if you're using a different model you might want to uh, be sensitive to that, worry about that. another comment is, we can see the need for uh, dynamic a-analysis. for example we can see we need to <P :04> to model where this, anticipation, about exchange rate changes come from. comes from. i mean the model tells us how the exchange rate changes, uh <P :05> uh, if we had it, it it seems like we should be able to, to deduce, uh this $E \cdot \overline{E}$, term, uh in a more complete analysis. it makes a difference, makes a difference to these financial investors. uh they should be interested in predicting it. it seems like that should, somehow be endogenous in the model... another example, uh we should... track, the effect, of C-F, net foreign financial investment, on, N-F-P over time... so if we have net foreign financial investment, in the U-S, it means foreigners are buying up assets in this country. over time that surely will affect, N-F-P these net, factor payments that are, crossing borders. if the foreigners are buying up a lot of assets here, it's gonna make the uh, N-F-P in the future go negative. cuz, profits'll be leaving. so anyway we_ you can see a lot of instances where you would like to

track, the, the implications for what we're doing now, over time and how they're affecting, the same variables uh, in the future. <P :05> okay. any other questions? if not let me leave this model, and i wanna start talking about the Static Neoclassical Model. but before i do that i wanna digress for a second and talk about aggregate production functions, which will be a piece of the Static Neoclassical Model. so there's a handout in the coursepacket, let me give you a little, uh, quicker, story about, aggregate production functions. suppose i think of an economy where there's one output good, and_ but there's many firms that produce it. <P :14> uh... but many firms produce it. suppose that, now y- you talk about individual firms in uh six-oh-one. so let's let's think about, uh, an individual firm, that's having a conventional production function. <P :05> so an individual firm's output... suppose it has production function F_I it's firm I , index I , and suppose it uses capital, and labor, and produces output. <P :06> so if it's firm I it uses capital, K_I and labor, L_I , produces output, uh let's suppose that, it has constant returns to scale. it's the simplest case. and the, firm production function is conventional so it's increasing each argument, concaving each argument, i wanna assume it has constant returns to scale. then... if we have a free market system you also learn in uh six-oh-one, that uh, uh if it's unimpeded it should, should give Pareto efficiency. so if there's uh, that's the First Welfare Theorem. so if there's a s- if there's a stock of capital, say K_T and a stock of labor that, L_T , and the labor and capital are going to be employed, uh free market system, will will see that they're allocated among the firms in such a way that, that we get, an efficient out- outcome. in this simple context, that means that <P :04> a free market will, succeed in, in maximizing, the sum of outputs given the, constraint on inputs. <P :06> so if we, if we got all these firms indexed I ... we're only producing one output and then we can, add up the outputs of all the firms there it's all the same stuff. so, a free market should maximize the sum, of this thing, subject to <P :05> the fact that we can't, be using more capital, than we've got so let's let the aggregate be K_T without, an I . <P :14> and subject to also that we're not using

more labor than we've got, in total... so let's let $L-T$ be the amount of, aggregate employment. so if, if the f - free market wasn't allocating the capital and labor in such a way that that sum was maximized, a dictator could come along and, and reallocate it, and get more output, that would mean that we were, Pareto inefficient before, and the, the First Welfare Theorem shows that doesn't happen. so if there're no distortions externalities taxes, uh we should be getting this, maximized, subject to the constraints... well, the aggregate production function $\langle P :07 \rangle$ is just the, mapping... that takes the total amount of capital and labor... into this total amount of output. which we called little $Y-T$ it's the total quantity of output. and i'm, assuming that that, mapping, encompasses this idea that the, total stocks of capital and labor are being used efficiently. we've got a system that can use 'em efficiently. so given whatever aggregate employment there is and whatever, amount of capital that's being used... we can go through this allocation problem or we can let the, market do it for us, and then we can look at the total output which is what we call little $Y-T$, quantity of output, and the mapping between the K and the L and that, little Y , is the aggregate production function... well $\langle P :04 \rangle$ let's assume that that, mapping is a f - gives us a function, that it's smooth, so we can, even differentiate it. $\langle P :09 \rangle$ let's go back and look at a firm's behavior for a second. $\langle P :06 \rangle$ u- the firms in the economy, uh are trying to maximize profits. so the individual firms, so let's look at firm i , it cares about $K-i-T$ and $L-i-T$, the price, is $P-T$ for output, here's its revenues. $\langle P :04 \rangle$ if it's competitive it just takes the price it's given, takes the w - overall wage that's given... takes the rental fee on capital as given $\langle P :10 \rangle$ that would be its profits, try to maximize that. if it's doing that, it has first-order conditions $\langle P :07 \rangle$ you take the partial of this with respect to K it oughta be zero so we could, divide each side of that by P_i i could rewrite that then as this. $\langle P :04 \rangle$ so there's one, that's, picking the, profit maximizing amount of labor... i don't_ this doesn't equal zero, oops, it does if i subtract it so, let's just write it that way, let's write it equal... so when it was subtracted to equal zero i just rearranged it. let's write 'em that way. so if the firms

are doing that, that's the way we get the, efficiency out of the f- out of the complete, economy... it turns out, if we take note of the fact that all the firms are doing that we can find, the, a characterization of the partial derivatives of the aggregate production function. so let's think about that. let's go back to the aggregate production function. <P :06> so the aggregate production function, is F without a subscript, without a superscript... it tells us for the overall amount of capital, and overall amount of employment, how much overall, output can we get suppose that i care about the uh partial derivative of that, mapping with respect to, to K . let's use our total derivatives... the total derivatives would say, if i have a mapping like that, induced by the allocation from the, competitive market there should be the total derivative. <P :05> Y should also, i could write it as a summation of all the firm outputs, so when i take $D \cdot Y$, i'm- i'm taking the total derivative... <WRITING ON BOARD> of that <P :05> and i know how to take a derivative of a sum, i just take the derivative of each piece, and add 'em together. it's the addition rule for derivatives. if i'm, differentiating F plus G i take the derivative of F , and add it to the derivative of G . <P :05> so it'd be that... so that's K-I-T there... now i know how to take the derivative of each of these functions, the total derivative, we just use our rule... <WRITING THROUGHOUT UTTERANCE> you go partial of F with respect to its first argument, times D of that, plus the partial of F with respect to its second argument, times D of that <P :08> but now, think about the individual firm behavior. these firms, are going about their business, in the, free enterprise economy, they should've set, their partial derivatives equal to the uh real rental rate and the real wage. so every place i've got, a partial of F with respect to K no matter which I it is, tha- i can put in, the overall rental rate over P , for that. and since that doesn't depend on I i can, take it out of the summation. so i can rewrite this, as rent T over P - T , times summation D - K - I - T , and i can do the same thing with the second piece, wage T over P - T , times D - L - I - T <P :11> but overall, if the economy is, allocating factors, efficiently it must be using all the available capital it shouldn't be leaving any, sitting around idle if the,

partial derivatives of those F s are positive. so overall... this must be true. so if i'm making it... a change in Y i could get that from a change in K or a change in L . but this must be true and the same must be true of L it should hold- the constraint for that should hold with equality if i'm, getting efficiency. <P :06> so when i look down here, and here <P :06> first one here should be $D-K-T$ should be th- if i sum up all the changes in the capital for the individual firms, it should be the, change in the aggregate capital. <P :06> so the point i'm trying to make is... if we think of free market behavior, as giving us <P :10> this aggregate production function <P :05> then... if i change Y by only changing K holding $N-L$ fixed that would correspond to taking the uh... the first term here, and setting $D-L$ equal to zero so that that disappears <P :04> by all of this, that should correspond to, this one'll be zero if $D-L$ is zero, that should correspond to the, rental fee plus zero... there i i keep putting T s in here lemme, lemme just drop 'em out all the way across. <P :04> from this now, you can then see what the partial derivative of the <P :04> so rental fee on capital, over P . if you have this aggregate production function, if it summarizes, uh what's happening in the free market economy in the simple case... uh if i have this mapping... i i know, what its partial derivative is. it's it_ what it's equal to it's equal to, the rental fee in capital, in real terms. and i could do the same thing holding $D-K$ equal to zero and just changing $D-L$. and get that. so what does that say? it tells me, that, uh, those partial derivatives in the aggregate production function are constant... they also give me, the aggregate demand for capital and labor. usually a demand function is a quantity as a function of prices these are giving me prices, as a function of the input quantities, they're in inverse, demand function form. that gives me the inverse, demand function, in aggregate for capital, and the partial with respect to labor gives me the, inverse, aggregate demand function for labor, in the economy. so if i think of, an aggregate production function, i have amounts of capital amounts of employment, i'm gonna let the free market, allocate 'em, and look at total output, and i call that, mapping F . the partial derivatives of it turn out to give me, the factor prices. they

ten(*sic*) out turn out to therefore, define, the aggregate demand functions for capital and labor in inverse demand function form... i wanna keep that in mind it's not surprising, when you think it_ think of it if the, total amount of capital and labor being allocated efficiently, if i bring in one more unit of labor, if all the other units are used efficiently it really doesn't matter where i allocate that last unit, it's called the envelope theorem. as long as all the previous units are being used efficiently if i bring in one little additional unit, i can allocate it to any firm. how much is it worth to a firm? well it's worth a wage, uh that's how much a unit of labor is worth. that's uh, they were setting their marginal, product equal to, W over P . and, that's what this is showing, same thing for capital... alright well so much for getting to the Static Neoclassical Model i'll, i'll do that next time, using this aggregate production function. uh, and i'll also talk about the Lucas Model there's the Lucas paper is in your, xerox coursepacket there's a little bit of reading on it, in the textbook also. but i'd like to do both those things next time... okay if you didn't get a problem set, for Thursday, i've got some extra copies. remember those will not be graded, but i hope you'll work on 'em, ahead of time...

{END OF TRANSCRIPT}

LE7

MICASE Full Transcript View

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Academic Social Sciences and Education

Division:

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NONE

Recording 77 min.

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Language: Primary Discourse Mode: MLG
Native Speaker Non-native Speaker

Participants: Number of Speakers: 6

Number of Students: 8

S1: Native-Speaker Status: Native speaker, American English; Academic Role: Senior Faculty; Gender: Male; Age: 51 & over; Restriction: None

S2: Native-Speaker Status: Non-native speaker; Academic Role: Junior Graduate Student; Gender: Female; Age: 24-30; Restriction: None; First Language: Korean

S3: Native-Speaker Status: Non-native speaker; Academic Role: Junior Graduate Student; Gender: Male; Age: 24-30; Restriction: None; First Language: Slovak

S4: Native-Speaker Status: Native speaker, American English; Academic Role: Junior Graduate Student; Gender: Male; Age: 24-30; Restriction: None

S5: Native-Speaker Status: Native speaker, American English; Academic Role: Junior Graduate Student; Gender: Female; Age: 24-30; Restriction: None

S6: Native-Speaker Status: Native speaker, American English; Academic Role: Junior Graduate Student; Gender: Male; Age: 24-30; Restriction: None

SS: Native-Speaker Status: Native speaker, American English; Academic Role: Junior Graduate Student; Gender: Unknown; Age: 24-30; Restriction: None

SU-F: Native-Speaker Status: Native speaker, American English; Academic Role: Junior Graduate Student; Gender: Female; Age: 24-30; Restriction: None

SU-M: Native-Speaker Status: Native speaker, American English; Academic Role: Junior Graduate Student; Gender: Male; Age: 24-30; Restriction: None

Setting: Seminar Room, Lorch Hall

S1: okay on focus? alright? i've discovered you guys are all much more sensitive to that than i am so, uh okay, we've been talking about uh formal structural models of the retirement process. uh, we did the Gustman and Steinmeier, model last class and today, um, guess we'll spend all the time on so-called option value models Lumsdaine, Stock and Wise, although we'll get a small head start in thinking about uh, dynamic programming models as well because part of what they do is compare their preferred model, to one that is still the more elaborate. uh... basically the the, theme of the paper, um is to compare, three models of increasing complexity, using exactly the same data. and, just as a general... point about doing research, bu- on the same data, is a really nice feature of this paper. because normally what happens when you try to teach a course like this, is that you have, researchers and models, and data, and you hope that the differences and conclusions are <LAUGH> not due to the researchers, but you're never really sure how much they're due to the models and how much they're due to the data. okay so if you have model one, estimated on data set A and model, two estimated on data set B and they get different results, um you're never really sure whether the results are due to differences in the model or due to differences in the data. and so **[S2: (excuse me)]** it's a it's a good idea, and it's a remarkably_ yeah?

S2: today we we have no... handout?

S1: oh i'm sorry, (xx) handouts. **[SU-M: thanks]** <P :04> so i- it's you know, you wouldn't think this would be an issue. i mean you stop and think about it for a minute. um when you're in the second paper in a field, not only, presenting you're pr- pr- preferred model. uh but also kind of... estimating or re-estimating earlier models on your data, it would seem to be an obvious thing to do. and it helps people like me trying to teach the stuff because now we can compare model against model, holding data constant, uh which is in some sense the right way to evaluate the model. um as you probably discovered from just, earlier rendi- you know earlier topics in the course, it's remarkably rare, that

one actually sees that. um oftentimes people just go off and estimate their model on their data, and don't think about the poor, uh six-twenty-two teacher who's trying to make sense of the literature. uh so having all three models estimated on the same data, uh gives, you know, it seems like something you wouldn't need to praise or you shouldn't need to praise um <LAUGH> but it's actually unusual enough um that it that it's worth emphasizing and and saying you know yes do like they did. okay? um a lotta the paper is driven by the data so i'm actually going to start by the data, um and then talk about the models. okay the data that they have are from the personnel files of a, large firm, which they don't name that's part of their agreement with the firm, and the workers are nonmanagerial workers. okay? uh they have company payroll records which means they have excellent data on earnings, and they have the cooperation of the firm so they know the details of the pension plan, probably better than the workers do. okay? um, the details of this potenti- particular pension plan, um is that it discourages leaving before early retirement age, okay so if you leave before early retir- retirement, the vested deferred benefit that you're eligible for is pretty unattractive, okay? and then if you stay after sixty-five, the increment to your pension benefits doesn't, repay the fact that you're going to be drawing those benefits over one less year. okay? and so basically there's a big incentive to stay till fifty-five so you qualify for early retirement, and a fairly strong incentive to leave beginning at sixty-five because, the pension system just does not reward work beyond sixty-five in this particular firm. okay? uh then when we talked earlier about there being def- different definitions of retirement and here when they talk about retired they mean leave the firm. okay? the good news is they have very good data about what happens to you as long as you work for this firm, the bad news is they know nothing about you after you leave. okay? so uh_ yeah Mato

S3: but that's a problem because it's like, when they will model_ i don't know the model but when they will model their choice of going into

retirement, people who retire don't think of_ just about that but about missing opportunities.

S1: th- that's particularly important for the application that they're going to have. so the_ yeah the i mean um, well lemme, yes th- part of what the paper is about, is about retirement in normal times. okay? um and once you make a kind of_ one can have a discussion within oneself about whether, partial retirement jobs or omitting partial retirement jobs or not modeling partial retirement jobs is an important flaw in that context. um they're going to apply it to an early-out window. okay? which is, a deliberate attempt to get people who are not really ready to retire, to retire to leave... okay? and so the early retirement window is going to induce people who otherwise wouldn't be retiring, to leave early, and the question of what they do after they leave is is kind of doubly important. okay? so for the the group of workers that that that they would be studying um, normally uh the issue of what happens to them after leaving the firm is potentially important. for the group of workers who are be- whose departure is being accelerated by the early-out window, uh the issue of what they do afterwards is doubly important. and and you know what this reflects is just the fact that, uh you know we started out saying here's a model, here're all the things we would like to fix about that model, and now we're gonna watch the papers try to fix them one or two at a time. okay, so this is one that as you'll see is going to not do a very good job, uh with_ is not going to do anything really about modeling what happens after you leave the firm, um but it does a very good job with other things and, so it's a it's a, **[SU-M: uh] you know** it's a step toward a larger understanding of of what an ideal model would be. okay so as i said that this particular firm offered an early-out window in nineteen eighty-two so an early-out window is not, early retirement. okay so a typical pension plan has early retirement provision. and that retir- early retirement provision is a constant feature of the pension plan. okay? so whatever age you re- at whatever year you reach age fifty-five you could pretty well count on,

you being eligible for early retirement and, you know if you have the time and tenacity to work through the plan you can figure out what benefits you'd be eligible for. okay? the early-out window is a special, incentive that says we're particularly eager to get rid of workers, this year. okay? um and if you agree to retire right away we'll give you whatever the pension plan says you're entitled to, plus we'll give you a bonus. okay now sometimes that bonus will take the form of extra pension benefits, sometimes it'll take the form of just, money up front, and for this firm it took the form of money up front. okay so three to twelve months of salary if you agree to retire right away, and uh sort of high end of the bonus applying to people fifty-eight to sixty-two. okay so people who have reached early retirement, but haven't decided to retire, um despite being eligible to do so. um and so here's the strategy they're gonna fit the data each of the models to nineteen eighty data. and they're going to use these estimates for out-of-sample prediction. okay? so they're going to_ (you) estimate the parameters off of the data from nineteen eighty. and the- they're going to use that to predict response, to the window. okay? and so that's a bit like um, what one often sees in other fields where one has, a data set there where where you estimate the the parameters and then by the time the paper is ready to get published there're two more years of data, and so you ask well how well would my data_ would my model fit um these out-years of data? Mato

S3: so so what, what this, what these uh, nineteen eighty-two
(perspective) (xx)

S1: no, no when when uh, ear- this is one of the very first early retirement windows offered. okay so wh- when this was offered, um the authors are reasonably confident and i'm reasonably confident, that it was not anticipated by the workers. okay? uh what's happened since is that at least in some firms there have been, serial o- early-out windows. so they'll announce that we're trying to get rid of workers uh, you know here's the deal are you interested, and people can sign up or not, and then six months later they come back and say well if, three months'

salary wasn't enough how about four months salary. okay and in that context once they come to be expected, when somebody, rejects the offer you're not, really sure whether they're rejecting the offer as not good enough, or they're rejecting the offer because they expect something better to come down the road in a couple of weeks, or a couple of months anyway. uh but for this firm i think that this was a sufficiently unusual departure from what firms as of that date had done. um and i think it's reasonable to think of it as A unanticipated and B reasonable to think of it as likely not recurring. so a worker probably wouldn't have resisted re- rejected this offer, uh because, he or she expected a better offer to be coming next year. okay? but for, more recent data that would be a real concern. okay any questions about, that? <P :11> okay so normally we start with the model and then go into data this morning we started with the data and went to the model and the reason for that is because, the details of what's in these models uh is really driven by the strengths and weaknesses of the data. okay so for example there's a rather careful attempt at projecting future wages future pensions future social security benefits and that becau- that's because these folks really have the data to do it. okay the Gustman and Steinmeier paper that we looked at, um on Thursday for example has really primitive information, about pension entitlements and they spent a lot of effort, making rough approximations to what people are entitled to. um here these folks can just gracefully look it up. and so they <LAUGH> spent less effort and have i think much more reliable, um information. um, the different models reflect differing handle handling of uncertainty that's part of what they're trying to emphasize. um as (xx) mentioned there's a lack of data and so a lack of model uh for partial retirement. okay and so there will be a state which is, retirement that is having retired from this firm, and there's no explicit attempt to ask does that reflect, retiring from the labor force altogether or does it reflect, going across the street to this firm's rival and doing exactly what you'd done before, uh or does it reflect something, you know undetermined? um unlike much of the literature um the health problems that people

often have as they get older and often lead people to retire, are not explicitly modeled. okay so there's a, sort of random term um about which one is uncertain and you can think of the health problems as being embedded there. um but unlike virtually all the other papers in this literature um there's no discus- there's no, explicit discussion of health. why is that? because all of the other papers are run off of survey data where asking people about their health is an important part of the research project. here they're basically exploiting company personnel records, where they don't really know if you're sick unless you take sick leave. okay if you have some chronic problem that motivates your retirement, uh unless you're eligible for some sort of disability benefit the firm typically wouldn't record it. okay so there's nothing in the personnel files and therefore nothing in the data set that they're using, uh which tell them about the fine details of the health status of the workers. and so you know as is always true when something isn't measured, its effect such as it is is in the random term in the error term. and so part of the, um error term part of the uncertainty in the model, deals with health problems that in other data sets might actually be measured at least in some rudimentary way, and in this one they're not. um finally, uh <LAUGH> i've never really had a chance to sit down with the authors and ask them whether the the last assumption is because it's what they really believe is the right way to go, or because it's the way they can implement but it's different. um the Gustman-Steinmeier model remember assumed perfect capital markets. indeed overly perfect capital markets if you read the model literally they let you borrow against your social security benefits. okay which you know would, get you in line for a pardon from President Clinton if you'd actually done it, okay? um, this model assumes exactly the reverse. okay, that your utility in period T depends only on your inflow of income in period T. and so one way of imagining thinking about that is i consume my income. which isn't terribly, attractive. uh another way to think about it my utility depends on my income rather than my consumption, which is certainly not what you're taught in six-oh-one or six-oh-two. uh, but it's a,

basically a way of saying, um the idea that people can borrow and lend in perfect capital markets i- is really an exaggeration. um and worse here it would complicate the estimation so it would be, an assumption that probably isn't right, and makes the analysis harder. um let's focus on something which has a little, bit of i would think a a folksy element to it, uh but makes the computations a lot uh, a lot easier. uh so what are sort of the authors actually, you know, if they had infinite computing power and a and a vast army of research assistants to implement their every whim, would they be making this assumption or the perfect capital markets assumption? i'm not quite sure. um but they're making this assumption for some combination of the tractability it provides and perhaps disbelief in perfect capital markets which is the other, kind of reigning alternative, uh would be an appropriate assumption for this situation. alright now the title says three models and you've been remarkably patient in not asking me <LAUGH> so what are the three models Charlie? um, the three models are listed at the bottom of the slide there. uh one is a simple probit model. okay? so the probability that individual I retires in year T um, is a function of their X s and an error term if X and beta plus that error term is greater than zero then i retire. um the X s are kind of the usual suspects, uh meaning uh the wage social security wealth that is the present value of the benefits that i could claim if i retired today, the amount by which that present value changes if i delay my retirement by one year. my pension wealth that is the present value of the pension benefits that i would be entitled to if i retired today, and then the change in pension wealth. okay so the amount by which that present value would go up, if i retired one year later. um so, and you can really think of this as both a simplified and a reduced form version of the Gustman-Steinmeier model. okay so remember when we talked about the Gustman-Steinmeier model, um people were thinking about, you know the increment to their compensation from working one more year, and asking whethe- how that compared to the marginal utility of their lesion. okay so the Gustman-Steinmeier model is a much more complicated model but it's

fundamentally in this spirit of basically looking one year ahead. okay? uh the option value model which is the model that the authors are selling, okay uh the- there was a joke that in the Carter administration that if you were an advisor, um and you knew which option you wanted the president to select um you would, always make that the option B, because (it's really) when he wasn't sure what he would do he would sort of pick option B. okay? well option B here is the one that they're trying to sell you. okay it's the option value model. it's kind of mid-range in complexity between the probit which is relatively simple, and the dynamic program and prop model which is actually, quite difficult. and the idea behind the option value model is that i retire now, if the expected utility from retiring now is greater, than the utility i can expect at any later retirement date. okay? so while the probit you can think of as comparing the utility from retiring now versus the retire- utility from, working at least one more year, or working one more year. uh the option value model, uh compares the util- expected utility from retiring now, and compares that to the maximum of the expected utilities at later retirement dates. okay so if i retire in one year what utility can i expect? if i retire in two years what utility can i expect? if i retire in three years what utility can i expect? pick the maximum of those, compare that to what i would get if i retired now, and if retiring now is at least as good as any of those other options, then i should retire now... the stochastic dynamic programming model, is, to a first blush at first blush, subtly different but actually, in terms of the complexity of the models substantially different. okay, what it says is i retire now if the expected utility from retiring now is greater than the expected value of the maximum utility, of future retirement dates. [S4: so what does that (mean)] okay? so the difference is here we are talking about the maximum of the expected value, and here we're talking about the expected value of maximum.

S3: but they are the same [S1: mhm] if you have if you impose the probability function changing dates if you have erratic utility functions it means you're changing them correct? [S1: um] or no or not?

S4: do you mean like certainty equivalence or

S3: yeah

S1: it depends also on the learning process. so let let me come back to that and you'll_ i'll give you sort of a simple example of where they would be striking error. but one of the things it's going to depend on is, um, sort of how, uh h- how the error terms line up over time. whether you can learn_ whether observing today's error term tells you something important about tomorrow's error term. because then there's some gain from waiting until you can observe today's error term. w- w- we'll come back to that. and we'll actually t- talk i think more about it on Thursday as well. okay? um <P :10> alright, now this is getting to be the point where we roll up the sleeves here. uh <LAUGH> so for that the, probit model really i'm not gonna say much more about it it's it's kind of, what we've been talking about and it's really not what the authors were fundamentally, emphasizing. the option value model is their preferred model. in terms of notation, um T is my ret- is my current age, R is some potential retirement age, S is just going to be an index for age so when i'm talking about my age in general i'll index that by S . uh, <LAUGH> there are a number of interesting notational choices in this paper. uh why for example the notation A is so scrupulously avoided for age, is a bit of a puzzle but tha- that's okay. um, Y_{-S} is my earnings at age S if i'm still working for this firm. okay? and B_{-S} is my pension plus social security benefit, edge at age S , if i retire at age R . okay? so the idea that my benefit would vary with how long i work is an idea that we've talked about before, right? that if you retire before early retirement the, B_{-R} is a very small number, if i work past sixty-five, B_{-R} may actually decline because i'm not compensated for the loss in the number of years that i'll be able to collect benefits. it's less obvious

why B would vary with S. okay? because most pension plans once you retire, um you get that benefit. okay? uh the easiest way to see why it would vary is suppose i retire before age sixty-two, i may be able to draw pension benefits from this firm immediately, but i won't be able to draw social security until s- i started sixty_ until i reach sixty-two. okay so suppose i retire suppose my current age is is fifty-two, i retire at fifty-five, uh my benefits would be just my pension benefits fifty-five until sixty-one, and then my pension benefits plus my social security benefits beginning at sixty-two. okay so, benefits would vary with my age, for a given retirement date, as well as the thing that we've been emphasizing more that my benefits will vary with my retirement age. <P :04> okay and $cap-V-of-T$ reflects my rest-of-life utility at age T if i retire at age R. okay? so i'm say fifty-two, and i'm thinking about retiring at fifty-five this would be my, utility if i retire at fifty-five. i'm thinking about retiring at fifty-six this would be my retirement at age fifty-six. $V-little-T-of-T$ would be my utility if i quit right now... okay? so that's just the definition how is that actually defined, uh well, here's where things get interesting, okay? my utility as of age T if i were to retire at some future date R, is, composed of two pieces. one piece is, the utility i had experience while i'm working. okay so between, my current age T and the last year that i work, i get some utility associated with working, and that's discounted by this discount factor $D-S-comma-T$ which is actually my notation not theirs. it's a combination of, some discount factor to the, you know raised to the appropriate exponent, and the conditional survival probability. okay so the assumption is if you're not there you get no utility. and so your utility is discounted not only for, t- time preference, but also for survival probabilities. uh combining those things is kind of a pain in the neck from a computational point of view but for your understanding of what's in the paper there's not much point to distinguishing between them. okay? so a one percent higher mortality risk and a one percent higher discount rate, basically work the same, in the model. (xx) okay, so here's my utility in each year that i work. that's the discounted, present value of the utility that i get in the years

between my current age, and the last year that i work. okay once i retire instead of getting Y i get B. okay so this second term reflects the discounted value of my utility, from the year_ age at which i retire, to cap-S which is, sort of, the oldest age i can imagine living to. um, which i know for you guys is about forty-six but uh <SU-F LAUGH> you know for some of the rest of us it gets to be a, high double digit number let's just stop there. <SU-M LAUGH> um... and, what's assumed is that my utility in those years depends on the retirement benefits that i get in each of those years... okay so notice that there's no Cs here there's not_ we're not asking how much do you consume, at each of those ages, it's just sort of what is your income flow, in each of those ages and that reflects as i say the kind of polar opposite assumption, the nonperfect capital markets alternative. okay? uh, the the you know just for, you know your own personal reference and how to make_ when you write articles how to make the people who teach them happier, um using cap-S as the upper limit of lower-S works fine for those of us who are crazy enough to be kind of typing out slides at, one o'clock in the morning. it's a real nasty notational choice if somebody's gonna use_ try to teach the paper on the blackboard, alright <LAUGH> because little-S and big-S look very similar if you write them on the blackboard. <LAUGH> um so you know when when you do this stuff, have the the poor teacher in mind, uh have in mind that you may be teaching this paper someday and uh you know, using this and this to mean separate things is is really, you know it's a cute notational choice but it really actually makes the paper much harder to teach. okay uh, so we need now some explicit assumptions about what these two utility functions look like, and they make the simple assumption that there is um, kind of constant sort of utility, of income-while-working is income-while-working to the gamma plus an error term. okay so the error term might reflect things like how much you like your job, um how healthy you are, all that good stuff. and then your utility um, while retired is just your benefits raised to some exponent, and the factor K is meant to reflect the intuition that, if you offer me a dollar's worth of wages or a dollar's worth

of retirement benefits, i would prefer the dollar's worth of retirement benefits cuz i don't have to work for those. okay? so we expect K is greater than one. okay that the utility that comes from ten thousand dollars' worth of retirement benefits, is probably greater than the utility that comes from ten thousand dollars' worth of earnings, cuz i have to work for the latter, i don't have to work for the former. okay?

S3: so, so what, why you don- you don't use that in the discount you you could use that y- through the discount factor.

S1: well no it's not through the discount factor so much right because this cou- this is sort of present versus future and this is just a matter of do i have to work for the money or not?

S3: yeah but, that will be the same thing it's like because that would mean that you would more heavily discount the, that's actually very similar to saying that you, more heavily discount the future after you start you start retirement... **[S1: ah]** or less heavily compared to

S1: it's, if i put in the discount factor though um, it's going to differ not only between this segment and this segment but it's going to get heavier and heavier the older i get. right so within this segment it's going to accumulate the way discount factors do, and writing it this way it doesn't. it sort of, it's different in retirement and nonretirement but it's not different within the retirement period. that's probably the only, reason. um if you wanted this to have some micro foundations and i <LAUGH> don't want to stretch the point <SU-F LAUGH> cuz these are kind of lower-case M micro foundations. you can imagine sort of a Cobb-Douglas, function where there's leisure and income, and we let, working correspond to leisure-equal-to-one, and we let not working correspond to leisure-greater-than-one, and so K then_ so leisure to that exponent would be what we would call K . okay i'm sorry th- this is definitely lower-case M micro foundations um... i'm sort of trying to, relate something that has a kind of, folksy feel to it, um to the broader

literature when i say that. okay they experiment with various forms for um these error terms, um but what they basically assume is that, first of all what'll matter is only the difference. so it doesn't bear, a whole lot of thinking about each of the components. and they make the assumption that this is a random walk. okay so th- so that the piece of my utility which i can see, and you the analyst can't, this year, is equal to last year's value plus some, fresh disturbance. okay and we'll we'll we'll talk about that a little bit at the wrap-up. um and that just, simplifies things just, whole great deals, a whole great deal and given how complicated everything else is, that simplification is is certainly welcome. okay so now we get to the heavy lifting, um G , at age T -of- R is the gain at age T for postponing retirement, to age R . and so it's the utility that i can expect if i retire at age R , the expectation is conducted at period T . okay i'm making the decision at age T . okay so that's the expectation conditional on the information that i have at age T . okay i asked how happy do i expect to be if i retire, at age_ over the whole rest of my life if i retire at age R ? how happy do i expect to be if i retire now? okay?

S4: he notes though, you have a (sine N) there so do you really need an expectation T there? i mean you know that, right?

S1: no i don't know how happy i'm gonna be right cuz i don't know what the (xx)

S4: yeah but i'm talking about in time T , the for the second part of that.

S1: um, [S4: wouldn't you] well it includes my error term at time T so [S4: okay] yes at times, it it's a little odd. [S4: okay, alright thanks] um... R -star is the value of R that maximizes this, and, G is both at evaluated at R -star is called the option value. and basically i will postpone retiring as long as the option value is positive, i'll retire if the option value is zero or negative. <P :09> okay, notice the last line of this where d- where were we you're on your honor this time you guys failed me miserably <LAUGH> last time we tried doing this. um, so don't turn

beyond this page. (xx) <SS LAUGH> alright, so the decision rule is keep working if the option value's positive retire when it's not. uh... figuring out what that thing looks like involves a lot of ugly algebra. uh which actually has if you make enough assumptions along the way, a relatively pleasant resolution. okay? so while i am, often inclined to say well it's in the paper look it up, uh here i've actually sort of, tried to show you how it, plays out and simplifies. so here's the expected value, of my lifetime utility if i retire at age R, and that's just borrowed from the, previous slide. okay? here's my expected utility if i retire today, it's just i get a stream of retirement benefits for the whole rest of my life. okay, um i'm gonna re-write that as one piece that reflects, the current age up to R... and then another piece which reflects from R to cap-S. <P :06> okay now i'm gonna subtract this second expected value from the first because that's how i defined the option value function. and the reason that i broke this up into two pieces is so i can tr- subtract the, first piece of this second term, from the first piece of the first equation. and subtract the second piece of the second equation, from the second piece of the first equation. okay? <P :05> so when i do that i get the discount factor multiplied by here, this first term is the years between, now and when i'm thinking about retiring. okay it's the years between age T and years R-minus-one. and the difference between retiring then and retiring now, is that if i retire then i have earnings in each of those years. whereas if i retire now i get retirement benefits, in each of those years. okay so this term reflects the, difference, between now and when i'm thinking of retiring. between the earnings i will get if i keep working, and the retirement benefits that i will get if i retire now instead... okay? <P :04> here's the error term which is just the difference between, this guy and this guy, more on that in a minute, and then this last_ so the difference in first terms in the two equations, are given on the first line, down here. and the difference between the second terms in the two equations, is given down here... and what that says in words or as close to words as <LAUGH> i'm gonna be able to come up with, is, from R until, i would eventually die. okay if i retire now i get a benefit based on

retiring at age T , if i wait to retire at a- uh age R i get a benefit, based on that later retirement age. okay? so typically this is going to be positive if i postpone my my retirement, i get a higher value of retirement benefits, in each of those years. <P :04> okay? and again where we're headed is we wanna ask, whether this is positive or negative. remember if this is positive i don't retire, if it's_ once it becomes zero i do retire. <P :06> so now we're going to do a little notational thing we're gonna take the first summation. here and the third summation notice those are all nonstochastic. okay they're just things that, either one can observe we're going to pretend that they can observe because they can pretty well project. okay so the nonstochastic terms we're going to call little- G , this this expectation of the stochastic terms, um turns out to have a nice simple form and that comes because we've assumed, that V follows a random walk. okay? and so the statement i retire at age T , if my option value is, nonpositive <P :08> i think we had a sign error here um... yeah this should be i don't retire at age T , okay <P :13> so i keep on working if this option value is positive <P :08> okay? and that's gonna reduce to this relatively simple thing. now, given how, kinda hard we've worked to get here <P :05> it may not be quite obvious, how big a simplification this is. okay, so suppose you know survival probabilities you can look that up in a, actuarial table, and suppose you picked values of β _ okay it's the survival probabilities and the discount rate that determine this thing that we've been calling D , γ K and the variance of the error. okay so suppose i knew those four things, okay. then i could calculate this probability. okay? the computer i- would, grunt and groan, the lights in the building would probably dim, okay but there'd be a lot of, computing that goes beyond y- you know (that) right because we're calculating present values of, appropriately discounted differences between two earning streams, okay and and getting those right requires a fair amount of effort. okay but conceptually, this right-hand side, is a computable function of four simple parameters. okay? Mato

S3: what's $K-T$ of (xx) [S1: yeah?] i get it now

S1: okay <P :07> okay s- so so this, nasty thing is a computable function of, three parameters... okay, and then when i ask what's the probability that it exceeds the random term that is going to involve, how big the variance of the error term is. okay you have if V were normal that's just a, kind of you read that off a standard normal table.

<LAUGH> once you've done everything else. okay? and so if i knew the four key parameters i could calculate the probability that each individual would retire, at age T . okay? well of course i don't know the parameters <LAUGH> that's why i'm in the business. right? if i knew the parameters they wouldn't, pay me to tell them the parameters. okay so our job is to try to estimate the parameters, but basically, that just runs this process in reverse. it says, calculate the probability for each individual and therefore the likelihood for the sample, for several parameters, see how that likelihood changes as i change the parameters, and use some, maximization routine, to find the values of those parameters that will maximize this likelihood. okay so there's kind of two steps in any of these problems one is just seeing, where does the likelihood come from, and being able to at least imagine writing it down if one doesn't actually write it down. and then there's the question of, how do you numerically maximize the thing? and the answer is you, go to somebody in the computer lab who's good at that stuff and, there's some routine that will do it. okay, so i mean the computational issues of how to maximize this thing are are are not trivial but they're not labor economics. um... now a warning, this is the probability that i retire at age T if i have a whole panel of data, then i've got to combine statements like this for different T s. and that's actually you know going to be, again heavier lifting still. okay but the point is they can estimate and in fact they do estimate the parameters off of a single cross-section. okay they ask, in nineteen eighty at whatever age each individual is, do they choose to retire in that year? okay so they basically have one observation per person and they ask what happens if they include more, and find out it doesn't much matter. okay that's in a separate (paper.) basically they can estimate the things that drive their

retirement model off of one cross-section. and, as these things go, this is computationally not mathematic. i mean, you know... if you f- i mean if you guys are motivated, this would be you know, well within the range of what you guys can do. whether you <LAUGH> want to or not you know is sort of would rather see the sun occasionally, um is a different matter but but, as computational problems go this is actually not that bad. okay in fact i'll predict that some of you will do things that are at least this complicated and probably more so by the time you're out of here. if you're taking Willis's course you probably are, <LAUGH> doing things that are more complicated. okay...? let's see why did i say don't turn the page? <P :05> ah okay up up up_ [S5: (i'm) sorry] don't turn the page don't turn the page. now <P :04> we said that... the comparison between this model and the kind of the Gustman-Steinmeier approach or or the, simple probits more generally, is that, those models look one year ahead... okay so they say what happens if i retire now, what happens if i retire next year? and if retiring, if i'm not gonna be any better off by working one more year, i retire now. okay, so it's a comparison of T versus T-plus-one. my current age versus next year. the option value as we saw looks at T versus T-plus-one, T-plus-two, and so on... and so the question is when would those decisions differ?

S3: like if you have like (a rash) uh, adaptive expectation they should be the same.

S1: uhh no.

S3: or very similar, *wasn't it just*

S1: *no* not n- well i'll i'll give you at least two examples where they're different... okay can you guys think of any? without turning the page

<P :04>

S5: wait where they would be the same? *to*

S1: where they'd be different. so wh- why would i... if i look at just this year versus next year, okay, decide, say to retire, but if i look at this year versus a bunch of future years, decide not to retire.

S4: well maybe there's some information that like you know like you know is coming some, renegotiation or

S1: well okay gimme a_ well there's a particular **[S4: with]** not even a renegotiation but a particular, fo-

S6: the normal retirement age and the early retirement age, **[S1:]**

S1: yeah **[S6: can be the same]** so suppose your, suppose the early retirement age is fifty-five. okay? and you're fifty-two. okay? the probit model says well what happens if i retire at fifty-two, versus what happens if i retire at fifty-three? okay in terms of the financial incentives the answer is gonna be not much. in either case i'll have to take a vested deferred pension. in either case they're gonna be stealing from me. <LAUGH> and so the reward for working, to fifty-three rather than fifty-two is just not very large. okay so if my health isn't good or or you know, my spouse is nagging me to start taking vacations or or i don't like my boss um, or it's just too cold to get up and go into work on days like this, um i might decide to retire at fifty-two. okay? suppose i took the option value model and said well, okay i could retire now, i can retire, next year, that wouldn't be any better, i can retire when i'm fifty-four... that wouldn't be any better. but if i wait till i'm fifty-five now i get the early retirement, provision, and i'm a lot better off. okay so the gain for postponing retirement from fifty-two to fifty-three might be negative, from fifty-two to fifty-four might be negative, but retiring the g- the gain from going fr- from fifty-two to fifty-five might be strongly positive. okay so so the the, easiest example e- e- the easiest in quotes example i can think of, um is the decision before early retirement, to keep on slugging through to early retirement, will in many cases be a multi-year horizon, decision. a decision that you wouldn't get right if you just looked one

year ahead. okay? <P :04> not unlike graduate school i might add right? you think well okay i finished my second year what's the reward for completing my third year. okay, but if i complete my third year i have the option of actually finishing, and going on to get a fun job. if i like getting up at eight-thirty in the morning and, <SS LAUGH> teaching your graduate students. okay? so you guys are pretty well you know if you're still here you've probably got the option value idea at least intuitively right in the back of your heads. right the uh you know, the reward from staying this extra year, probably doesn't repay <LAUGH> the rather extreme cost not only in effort but in terms of foregone earnings, that you're suffering as a result. the me- the reason you're around is because you realize that if you hang around <LAUGH> a couple more years, and wear down the faculty member of your choice he or she will sign your dissertation, and then you know you can go out into the the wider world and have a higher earnings and a much more fun job than you could get, either this year or next year. okay? so that's the guts of the option value intuition. okay there are decisions that, why where postponing one year doesn't make me a whole lot better off, but postponing, two three four five six years might make me a lot better off. **[SU-M: mm]** i said two three <LAUGH>

SU-M: you kept going though you didn't stop. <SS LAUGH>

S1: well i meant it to include things not just graduate school alright?

[SU-M: ah no] <SS LAUGH> we could be talking about a PhD in other fields would that make you feel better?

SU-M: no, no no

S1: like like history <SS LAUGH> okay, alright the second thing that i had in mind um, is specific to this particular, application, which is the early-out window. okay so suppose i'm, fifty-five now i'm eligible for early retirement, and they offer me, nine months' salary to leave. well if i think about retiring this year versus next year, <LAUGH> it's pretty clear

that i wanna retire this year, right? the gain from me turning that down would to be work one more year and, if they were offering me nine months' pay to leave then i'm working for three months' pay if i stay. so a one-year-ahead horizon would say, if they're giving you six or nine months' salary you're out the door. okay, but if you were fifty-five and you were thinking about working to sixty-five, now you've gotta say well retire now versus retire next year that's a no-brainer i should retire now. but retire now versus retire at sixty-five well now they're giving me nine months' of pay and i'm giving up ten years that i otherwise would have wanted to work for this firm. not so clear i should take the cake. mkay? so i'm thinking about early retirement window if you had a one-year horizon you would almost surely take it. okay? but if you had a longer run horizon, and you were thinking of retiring soon anyway, you would take it. but if the kind of optimum retirement date after this year was something ten years in the future, giving you six months' pay might well not be enough to tip the decision. okay? so a probit person, will almost always take an early retirement window. an option value person, might or might not depending on what otherwise their optimal retirement age is gonna be. <P :07> okay

S6: so from the firm's perspective why would they offer higher bonuses to people who are closer to sixty-five?

S1: uh probably because they desperately wanna get those people out. i mean i- in the optimal design of these things is actually quite complicated um, it depends <P :06> well it depends on a lot of things right? it depe- the the, i mean in general to induce somebody to retire, you would think the, younger they are the more you have to offer them. so if you were indifferent about getting people out at different ages you'd have higher bonuses for younger people. mkay but then there's a question about should you be indifferent about getting rid of people at different ages? and then there's the question of how will the age discrimination law look at what you do, if you offer different bonuses. and and here it's really kind of bizarre right because it's not entirely

clear whether we're offering a big bonus to old workers, is treating them nicely, or nudging them out the door. there will be attorneys that will argue either position, no matter what you do. okay, um, so it's a combination of at what age would you like people to be gone um, what are the legal constraints and how do they, restrict you what you might otherwise be d- doing. um just as an aside, um, it turns out that in the real world when these early-out windows are offered, um only about a third of the workers take them. okay (xx) before and so the firm, is really offering the window to a whole bunch of people, and then taking its chances about who actually takes them up. and it's not uncommon to find that some of the people who take up the windows are people who are <LAUGH> extraordinarily employable also, and who you really would not like to lose. and they say thank you for the window and then, you know if there is nothing in their contract preventing it they go to work across the street for your competitor. you know which is all_ the worst of all worlds is to stimulate some of your, best workers, to consider their options, and their options end up including working for your competitor. um, but on the other hand you know if you really need to get rid of workers if you're a firm, which has, lived off the notion that we provide a career not a one-year-at-a-time employment contract and now you find it's really optimal to wanna get rid of some of the people that you induced to believe they could stay as long as they wanted to, but then you've gotta change, their wanting to. and the way to do that or at least one way to do that is with the early-out window. okay <P :10> okay uh the next_ now you can turn the page and we just basically said what, is on page there. <P :05> okay stochas- stochastic dynamic programming models, um we're gonna do this once over lightly, um in part because it's really, not the preferred model um unless you're gonna be stocking while you're selling and in part because you'll get another look at this in in John Russ's paper on Thursday. so, the option value compares, the expected value of retiring now, against the maximum of the expected values of retiring later. okay? and then dynamic programming compares the expected value of retiring now against, the

expected maximum... of retiring later... but in general this second, the one that, dynamic programming focuses on, is going to be bigger, than the one that the option value, focuses on. um, lemme give you a simple example. suppose that uh the gain from retiring is zero at all ages. okay? so i'm just, as indifferent i'm just totally, you know, nudge me either way and i'll retire or not at any of these ages. okay so basically it's a, total coin flip for me at any age. okay? it's the option value model then would say i'm indifferent about retiring. okay i have a certain level of utility now, i'll have that, same level of utility if i p- average if i postpone a year, i'll have that same level of utility on average if i postpone it two years. uh, it really doesn't matter. (xx) programming model on the other hand would sort of put its arm around you and say well now think about this a little bit more carefully. okay? and the bottom line is gonna be in this situation you should keep working. okay and th- uh why is that? well, suppose you get a bad, omega T-plus-one. okay so suppose you you keep working for a year, uh either good things or bad things might happen, right? and on average they should be, work out to zero. if it works out bad, well then you lose, then you leave so, you suffer a loss, okay okay so suppose your health turns out not to be very good that year, and you kind of slug your way through it. um or suppose your boss turn- you know you get a new boss and that boss turns out to be a, raging imbecile. um well then you kind of you know suffer the year, and then you leave. okay? but suppose you get a good shock, from working another year. well you not only get, that exp- that, good shock, but on average, you can expect good things to happen for the next several years as well. remember the random-walk process. okay...? and so, what that cl- stochastic dynamic programming model basically emphasizes is, that by not retiring, you have the option of sticking around, if you earn something good in the meantime. okay that you'll know more about the future years, next year, than you do at this time. and there's some value to that additional information that you'll gain... the option value model basically ignores that. okay and the stochastic dynamic programming model says in a year you'll know more

about the situation than you do, and so if you were just indifferent about leaving or not, stick around, because if the information is bad you can still leave, but if the information is good you will definitely wanna stick with it you'll wish you had stuck with it, stuck with it. okay but we'll talk more about that classic model Th- um, on Thursday. i'm sort of, working up my energy level to, take this on th- that's gonna be a hard topic. okay so, when you actually estimate the option value model um what sort of things do you get? um, you get gamma, less than one which i guess is what you'd probably guess. um you get K greater than one, although not estimated very precisely. (xx) you get kind of remarkably sensible discount factor alright that says basically an interest rate of ten percent. um and one one of the um, underappreciated, crises uh of people who try to estimate structural models is that oftentimes the discount factors that you get when you estimate them freely are just awful. uh and you get discount rates of eighty-six percent. <LAUGH> boy can i write you a loan um you know or or zero uh which doesn't make a whole lot of sense and so, papers which actually estimate a discount factor freely and come out with sensible results, are surprisingly, uncommon and i think at least i don't have a sense of why, papers in general, often seem to have that problem um, and, you know this one kind of lands on its feet. um and finally there's the, variance of the error term okay which in some sense reflects the relative importance of the unmeasured nonfinancial factors in people's retirement decision. and there's an estimate there and it's kind of, you know is that big or small i don't know it's kinda hard to tell. hard to evaluate. but it's estimated reasonably precisely. okay so one question you can ask is okay i've got nineteen eighty data, i know as of nineteen eighty, how much people have earned, i know what they can expect to earn if they continue to work for this firm more or less, i know what their retirement benefits will be, um if they retire now or if they retire at some point in the future, um, armed with all of that information, how well can i predict who retires in the next year? okay and i have three models for doing that, and the bottom line turns out to be that all three models do about equally well.

S3: so, how does this, comply with the critical focus because it said that when you this i don't know this seems like very, problematic for me from the Lucas point of view, in which he said that when you change the the policy like when you change the policy so people change their, expectations so we should not expect the uh rationally not expect that, anything would happen.

S1: okay well well so far we're still talking about the, kind of normal policy. okay so nineteen eighty, was a normal year not the year of the early retirement window. okay so i think that's, where you more have the Lucas is um what happens once they offer the window and how does that change people's expectations. okay? the story line that they're going to want you to accept i believe, um which i think is probably okay in this application and maybe not as okay in other applications, is that this was really seen where the window was really seen as a once and for all, experience. and so, it really didn't, change people's expectations a- although i'll talk about a subtle way in which it might have even if it were a one off. I- let me come back to that i- i'll i won't answer it fully but i i'll at least, touch on that issue, um the way in which that would where you_ i wouldn't have called it the Lucas critique but actually you'll you'll see it in in the next slide. okay? so for predicting who retires in nineteen eighty which is normal times all of the models do about equally well. um but for predicting the response to the window, um the two more sophisticated models do much better. okay? and why is that? well we kind of, let the cat out of the bag a couple slides ago right? we said that, if you're a probit person and they offer you six months' pay to leave now, and you think about do i wanna leave now or work another year, then you wanna leave now. right? but if you're a, option value or a stochastic dynamic programming person you say well if i leave now i won't be able to work till sixty-five like i was planning to do. so i'll compare that six months' of pay, against, not just working one more year where it clearly wouldn't make sense to do so but, whole bunches of future years. and if i think about it that way it's a much less

attractive option. okay so basically the option value and the stochastic dynamic programming models get right the idea that the window is not very attractive to people who were planning on staying a good while longer. and the probit model doesn't get that and so the probit model basically predicts that everybody will wanna leave. okay? and i'm slightly exaggerating. but basically it will overpredict how many people'll want to leave. and so what i think that the the paper clearly does, is it shows that the kinds of sophistication that are in the option value or the stochastic dynamic program models, are really quite important uh for problems where the incentives become, sharply nonlinear at one point in time as they do, obviously with an early-out window. i mean to be honest i'm surprised given the early retirement, accrual spike um that the probit does as well as it does. okay that is i would have thought that the probit would have had problems uh predicting that people would retire the year before_ two years before early retirement. uh whereas the option value and the S-D-P would tend to get that right too. um so i'm actually surprised the probit does as well as it does. um, but but that's what they find. <P :06> okay now let's kind of look back on on what we've done here... um, first of all uh to come back to the point that we made earlier, um utility is depending only on current income. okay, and, the more i think about this the, the more it bothers me. um, i mean, for most problems the idea that, people consume more or less their income, is kind of depressingly true. for an ama- i mean you know an awful lot of people arrive at retirement with no assets other than their house. okay? so the idea that that people more or less consume their income so that their consumption is equal to their income so their utility of consumption is equal to the utility of their income, doesn't seem like that bad an assumption. but it's a little, sort of the the rhetoric is not just right when you're embedding that assumption in a model where people are thinking eight years in the future about their retirement, but they don't think one year in the future about, planning their consumption and asset accumulation. um, that sounds really weird. okay that so if you tell me that people are grasshoppers they, you know, eat their income each

year, that actually doesn't bother me. but to say well people are that way but, they look eight years in the future about deciding, how much they're going to consume. or when they're going in to retire i mean. that seems a little inconsistent. okay so the people who i know who... consume their income are not people who i imagine look ten years in the future to decide their, labor force, plans. and so there's a little tension between um this assumption which would be i think appropriate for people who are not very forward-looking, and the guts of the model which actually relies on forward-looking behavior to give it its distinctive character... um i mentioned before that little-K makes sense if one thinks of utility as a Cobb-Douglas function of leisure and consumption, um, but only if you assume that those who will retire don't work elsewhere. okay and so this gets to the point where, um i mean if you read the paper quickly, you might not notice that the issue of partial retirement was totally dodged. okay there's the utility if i work here there's the utility if i retire the utility if i retire depends on my benefits that all seems sensible. okay but it's only when you sort of, put this paper next to the papers like Gustman and Steinmeier, where partial retirement is front and center, that you realize the partial retirement issue, is really missing. okay and so in thinking about whether i should leave this firm, i should be thinking not only about my current pay with this firm versus my retirement benefits from this firm, but my current pay from this firm versus my retirement benefits from this firm and what i ever i could earn if i go across the street. okay and it it's kind of that [S3: so what] which is just not modeled.

S3: but would that would mean would actually, retire from that firm even earlier... or not?

S1: holding constant the values of the parameters that's exactly right. [S3: okay] okay so if if we sort of have all of the parameters taking their true value, and then we said, how would someone who has the option of working elsewhere, behave differently? the answer is yes they would be likely to retire earlier. but of course if we've got the model wrong we

get the parameter estimates wrong. [S3: so] so something else in the model is going to want to capture the fact that these people are actually retiring.

S3: so but can you something is like when they_ to what extent like i could expect that K should be, less not not more?

S1: um i'm not sure which parameter it would bias. i mean o- one of the, problems with these nonlinear models is that as soon as you notice something wrong, you're kind of, you don't have the intuition that you have in a linear model, about which parameter it would likely bias. um, mkay just to wrap up cuz we're running out of time, uh, the zero mean innovations to the error term. okay? um this is the idea that the marginal utility of leisure increases with age. what's kind of strikingly missing from the paper is, age or time as an independent determiner of retirement. okay so we don't have health in there we let health be in the error term. but the error term's a zero mean. taken literally that means that if the error term reflects health i'm not getting sicker as i get older. and while we would like that to be true we kinda suspect it's not. okay so there's nothing in the model that's capturing the intuition that as people get older, on average it gets harder for them to show up for work... um this gets now to Mato's point. even if i think that the window offer is a once-in-a-lifetime opportunity, okay which is actually probably how these workers saw it, there's still the issue of how does that policy change by the firm change the expectation of the workers. and i think you could reasonably expect that the window offers would even if it did nothing else even if it didn't lead workers to expect another window offer in a year, it probably should revise their forecasts about their earnings. i mean a booming vibrant firm does not say hey guys, wouldn't you like to retire? alright a firm that says, hey guys wouldn't you like to retire is probably a firm that's having trouble. if the firm is in some sense that desperate is it likely to be giving ten percent wage increases to the people that stay next year? right after having, asked me politely would i like to leave in exchange for a small, subsidy, this year, are they likely

to offer me the big bucks as a raise next year if i stay? well probably not. okay so the model assumes that this firm is a stable and stodgy enough large employer that if you know your earnings at fifty-five you can pretty well guess your earnings at sixty-five. and whatever the reliability of that assumption in normal times, you would think that, people might change their expectations about, future retirement. in some sense what would get you to retire in response to the window, is a combination of the direct financial incentive which is modeled, and the implicit bad news about your career prospects at this firm, which are not modeled, okay? so suppose somebody didn't respond to the financial incentive of the window offer at all, but said hey, this likely means that, my remaining years at this firm are not going to be as <LAUGH> golden as i imagine they would be. okay they might decide to retire as much for that reason, as for the naked financial incentive given by the window, but the model sort of puts all the weight on the financial aspects of the window and none on the, there's an implication here about what, wages and life at the firm are likely to be like if i stay. Ben?

S6: but if you're comparing_ if you're just trying to compare the option value to the probit, and the probit said that too many people left- this would, this would mean that more people would leave than would otherwise here, (xx) my so

S1: right so should so you right i you're saying wo- does this bias the comparison between the probit and the option value the answer's probably not. and so i guess my claim is more, you know, how would you like to, crank a little more on the option value model and my my my sense is that, this is a dimension at least that you wanna think about. um but you know look i gotta say every sort of complained about various aspects of the paper. the idea of using the window as basically external validation, is an idea that that happens way too infrequently. okay i mean actually Thursday's econometrics seminar if you have time is about, this set of issues broadly. all of our, you know statistical tests are based on the presumption that i specify the model, have my

research assistant, estimate the model once on a short-term contract, and here are the results. okay? what people in fact do is they sort of run the model, they notice something isn't working they sort of think why is it not working they change the model they change the you know what variables are included or, you know so so basically there's interaction between the model and the data. which you know i- in some sense is not entirely unwholesome, but it certainly means that when somebody after sixteen tries, ends up with T-ratio of two um, you've gotta think that the possibility of this happening if the true parameter is zero is really more than point-oh-five. okay if they get a T-ratio of two after sixteen tries, it's not the same as the T-ratio in a textbook, uh and what people in other social sciences often do is they reserve part of the data, and then having sort of fiddled with the model the way we all do, estimate the quote final model on fresh data. okay and see at least does it predict outside the sample or is it ability its ability to predict inside the sample just because i've, sort of fiddled with it to line up with every quirk in the data that i happen to have? so the idea of using a completely different experience as external validation for the parameter estimates um, you know is a neat idea you see it more in other social sciences than you do in economics and it would be nice to see applications where it's possible to do it here. okay? <P :05> i'm still trying to figure out when we're going to meet on Tuesday i need to do that i need to find a time to talk to you about your paper, um i need to give you guys a problem set. uh the Royal Shakespeare Company is here Tuesday twice on Wednesday and Thursday night i'm, <LAUGH> it's gonna be a coup- funny couple of days. um, but starting on Friday i come back up for air, uh so, you know you'll be back in (Monday) so w- we'll do the Russ optio- the Russ c- econometrical paper, in class on Thursday.

S3: (xx) (you know) next week we we don't have (time)

S1: let's try for Friday and then with the option to cancel how's that? i i would feel [better if i](#)

S3: (xx) Friday like i don't have class (xx) so

S1: oh Friday doesn't work okay

S3: (xx) so it's like the best, time (to meet)

S1: fine um

S3: because i the trouble is i ca- i can't, now (xx) come to the point uh
be on uh s- be stuck with the empirical question.

S1: okay well uh, let's see what would would work Monday <P :10> (xx)
oh okay well well w- w- what works for you on Monday?

S3: on Monday it's from one to two thirty or, or <P :04> or after four.

S1: how about two o'clock, would that two two-thirty does that work for
you?

S3: yeah that's fine.

S6: did you leave entire bag (xx)

SU-F: it was i- it was on purpose, i had to go to the_ see (xx) (i keep
forgetting to) (xx)

S1: okay i'm sorry to (xx)

S3: that's not the problem because, i have done at least some
examples (xx.)

<RECORDING-RELATED CONVERSATION>

{END OF TRANSCRIPT}

LE8

MICASE Full Transcript View

Title: Twentieth Century Arts

Academic Humanities and Arts

Division:

File ID: LEL320JU147

Publisher: Michigan Corpus of Academic Spoken English, English Language Institute, University of Michigan

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Michigan

RESTRICTIONS ON CITATION OF EXAMPLES:

NONE

Recording 41 min.

Duration:

Recording April 6, 2001

Date:

Recording Equipment: TASCAM Digital Audio Tape Recorder with two external microphones

Language: Primary Discourse Mode: MLG
Native Speaker

Participants: Number of Speakers: 4

Number of Students: 100

S1: Native-Speaker Status: Native speaker, American English; Academic Role: Junior Faculty; Gender: Female; Age: 31-50; Restriction: None

S2: Native-Speaker Status: Native speaker, American English; Academic Role: Junior Undergraduate; Gender: Male; Age: 17-23; Restriction: None

S3: Native-Speaker Status: Native speaker, American English; Academic Role: Junior Undergraduate; Gender: Female; Age: 17-23; Restriction: None

S4: Native-Speaker Status: Native speaker, American English; Academic Role: Senior Graduate Student; Gender: Female; Age: 24-30; Restriction: None

SU: Native-Speaker Status: Native speaker, American English; Academic Role: Junior Undergraduate; Gender: Unknown; Age: Unknown; Restriction: None

SS: Native-Speaker Status: Native speaker, American English; Academic Role: Junior Undergraduate; Gender: Unknown; Age: Unknown; Restriction: None

Setting: Auditorium, Angell Hall

S1: okay i think we can cut here... so this is part of a sort of thirty-two minute, video uh, film, recording the process of the the making of Spiral Jetty, but you get a kind of idea that you maybe didn't get it so well, during lecture of... of how significant the process is to, the actual meaning behind the piece, and how, you know you look at it and say like how the heck was that made? well literally with a bull dozer right, scooping up huge uh, loads full of, stones rocks, earth basalt salt, and,

creating the sort of uh, the the spiral itself, you know foot by foot going back, loading up going back, and you also saw on the clip, uh Smithsonian the artist himself right walking out into uh the water to set up the sort of stakes, so it becomes if you remember when we were talking about minimalism and the idea of phenomenology, he becomes very physically implicated and present, right in the making of the work, (cause) he connects sort of bodily with the environment, as he stakes out, the perimeter, the sort of path uh, that the spiral jetty will take. so we see, ooh, you know this is the coolest thing to watch in reverse, i don't know if you have reverse, but uh, it's a cool video to watch in reverse... <SS LAUGH> i don't know what it is about, <LAUGH> stones going back up into and having, backward splash. isn't it bizarre? <STUDENT CLAPS> yeah. cool. so we have with earthworks as we talked about before this expanding, you know definition of art, what it's made of, where it is, uh wer- the relationship between the viewer, it's certainly far removed from the gallery and the museum space, and it seems to be really, about process, about flux, about time, and you can see in this video how he's making reference to, uh, not only sort of, the idea of now and the process of now while it's being created but yo- you saw the little cut to dinosaurs so, this also reference back to prehistoric time, to geologic time, uh to a much sort of older slower time at the same time, he also this piece is also, purposefully trying to play with, present, and potentially future as it becomes, okay well now it becomes less cool backwards, <LAUGH> uh as it becomes implicated in, the daily sort of environment and activities of, this, lake, and of course disappears and ends up, sort of, being uncreated by the very environment in which it was made. so you can also get an idea from this video, and from the slides that we looked at when we saw this piece as well as the other earthworks, that we looked at, how important photography, and video, are, in the recording, of these works how important photographic process, is, to our being able to get access to these works right because i don't_ i actually haven't ever, taken a trip to Spiral Jetty when it was still around, i don't know if you have, nor have i

been to The Lightning Field and so what makes it possible for us to experience these works, is photography and video. so today what we wanna do, with the time that we have, uh we wanna deal with two, things. one thing we wanna do is deal with, the concept of, postmodernism. the P word. A-K-A, pomo. postmodernism, often used to describe visual arts made, between, the nineteen-sixties and the present, and what we're gonna do is look specifically at the case of, photography. so the implication of photography, uh in postmodern practice. but where we're gonna begin, is, with a little jaunt a little foray, into architecture. so on the left you have, does anyone recognize that building? any of you New York City, folks?

S2: Seagram

S1: very good, whoever that was. Seagram building. this is by Mies Van der Rohe. Mies Van der Rohe the Seagram building, built in the late nineteen-fifties, and on the right, any gamblers in the audience?

S3: it's Las Vegas

SS: New York New York

S1: oh sure everyone can recognize New York New York in Vegas, <LAUGH> and we got one person who can do Seagram. hm what does that mean? what does that say? yes New York New York, Las Vegas. have you been there, Rhonda?

S3: yes.

S1: was it fun?

S3: they have a really nice roller coaster.

S1: they have a really nice roller coaster. just like th- just like Manhattan. yeah, no. uh, so we've got New York New York on the right a simulation of New York city, right, in Las Vegas. a simulation, um, but

not as, big right it's sort of, do you know how big it is in relationship to the real thing, in terms of scale?

SU: (it's pretty small)

S1: relatively speaking small but from a distance it gives you this idea of, the high-rise, so New York becomes a kind of icon, uh symbolized by what, i'm trying not to walk away from mics, from, with the high-rise can you recognize any of the buildings? Chrysler, i think, Empire State, and of course on the left-hand side, the Statue of Liberty, located... in the middle of water, near Ellis Island? no, in the middle of Las Vegas, lend me your weary. uh, i was gonna make some joke about you know, desperate gambling but, but i won't cuz Las Vegas is about so much more. albino tigers, magic, the Rat Pack, glamour, and uh, fakeness right? the idea of, a kind of fake substitution for the real thing. so Mies Van der Rohe on the left this is not an example of postmodern architecture but instead, high modernism. modernism with a capital M something that we are_ we've become increasingly familiar with. and how do we know? what do we_ how do we characterize it stylistically when we look at it? is there a lot of ornamentation going on? no. no, so very sort of streamlined, sparse_ actually if you look at it close up, Mies Van der Rohe the architect who coined, the cliché, what's become the cliché form follows function, alright so very sort of streamlined aesthetic, uh, a- literally where you ca- you can sort of see the construction, on the exterior of the building. and in fact if you had a detailed slide of this building we would see, just this teensiest tiniest little bit of applied ornament he's taken, um, steel I-beams and actually placed them on the exterior of the building going vertically, so real vertical emphasis here right. and those I-beams don't actually serve as support, they in a sense mirror the internal, skeletal framework of the building, but they in a sense become, a kind of, uh, ornament if you will, although extremely subtle, extremely refined, extremely spare. so in contrast with this idea of, high modernism something changes, in the sixties seventies eighties and nineties. and i'll say from the outset that, the term, that P word,

postmodernism, is extremely contested, amongst scholars and critics, art historians, for example, and other theorists. not agreed upon. you know, don't you wish one time i could come in here and just say you know this equals that? wouldn't that be n- what a what a happy world we'd all live in. but no, here i am again. you know, it's a can of worms just like, that big modernism word was a can of worms and so is the avant garde. some theorists have thought about postmodernism, as a kind of radical break from modernism. so a radical shift from, the kind of, sort of stylistic, and theoretical example set by somebody like Mies van der Rohe. others however argue that it's merely a continuation, of modernism. others still a parody, of modernism. but generally speaking there is a kind of recognition that, in the art produced sort of post-sixties, in the visual culture produced post-sixties, a lot of, that work is concerned with articulating, a crisis, a crisis um, that speaks to, sort of questioning the cultural authority, of, the so-called west. of western European culture, and institutions. so a questioning of that kind of authority that we have seen established, uh sort of throughout the twentieth century really. so one critic, wrote in the late seventies, quote <READING> the nineteen seventies has not been just another decade. something did happen. </READING> i'm thinking, disco? <LAUGH> but wait that can't be it, <READING> something so momentous, that it was ignored in disbelief. modernity had gone out of style </READING> end quote. so that sort of gives us, hm, does that mean this is a sort of stylistic shift? a story about changing style, so that we go from, uh a modernism that values, again and go back to your Greenberg right, uh painting about painting let's say the separation of, different kinds of art, and a very sort of narrow definition of what, um, modernist painting modernist architecture should be, and i- is the shift then to something like, the strip, uh a kind of, amalgamation, of, which really in the end, becomes, uh an amalgamation a sort of simulation of, something that didn't really exist an a- a re-created New York City, when in fact that just represents sort of, uh in a very kind of superficial, way the idea of, uh the metropolis, of Manhattan. so let's look at one artist associated uh or

excuse me architect... associated with, uh postmodern architecture. this is Robert Venturi. V-E-N-T-U-R-I, Venturi. on the left is his Guild House from Philadelphia early nineteen-sixties, and on the right is a photograph he made with one of his partners, of, the kindler (*sic*) gentler strip, of Las Vegas, late nineteen-seventies. the strip um, still, all about signs, all about signs and literally, through a sign, through a kind of visual icon in this case textual, instead of the actual shape in terms of you know like a New York New York building, the textual sign of getting your attention right trying to say like come here come here. Star Dust. Gold Key Motel. Shopping Center. loose slots. i mean, what more do you need, to get you to go inside the front doors? so Venturi, along with other architects in the sixties and seventies, instead sorta turns against this very limited vocabulary, of high modernist art architecture, and embraces, the much more pluralistic, and in a sense, pop culture values associated with, a place like Las Vegas. and he publishes along with Denise Scott Brown, a book, called Learning from Las Vegas in the nineteen seventies, in which you know he_ they talk about embracing these lessons of pop ar- architecture. so no longer minding the split, in a sense between, mass culture everyday pop kitsch right, this is how we've thought about it in this class. um, but saying these are all sort of valid vocabularies for architectural practice. it doesn't have to be the all streamlined, form follows function, business of Mies Van der Rohe. that you can incorporate a whole range of styles, uh and not be limited, in that kind of sense. so another example, of this, is this is uh Charles Moore, his Piazza d'Italia f- in New Orleans anyone been here...? the late nineteen seventies as well. and again oftentimes, uh, postmodernism, as it's thought of in terms of a stylistic shift, stylistically it's often characterized as, contradictory. as embracing, parts, from, various different styles historical styles, and so therefore it's often thought of as being kind of schizophrenic right, it's doesn't, present necessarily one point of view, one_ doesn't back one sort of, you know this is my style and i'm gonna go with it i'm gonna t- borrow and take from a whole bunch of different, um, historical, times... so it's very

eclectic, uh you get the sense of a pastiche, and certainly of, what we'll see with photography too appropriation. and perhaps for us, in terms of a a pulp- popular culture technique, uh artistic strategy, the idea of appropriation, is, most familiar to us through music, i would think. right how many songs today, uh and really for the last two decades, are actually samples, right, samples from other songs that are then, put together and then sort of given a maybe slightly different vocal, or new beat right sampling very popular you're all familiar with that right? mhm yeah. so we'll see the same kind of strategy architecturally we'll see the same kind of strategy visually, with photography. poor Piazza d'Italia when i was there in um, oh man, it was like early nineties, like a decade ago, uh, it was full of trash, it was so sad there were just huge heaps of literal garbage, all through it and yet, oftentimes it becomes this example of, postmodern architecture i'm i'm pretty sure it's reproduced in the Arnasan Prather book, and here we have Charles Moore who, i think you can get the idea is very playfully engaging with a whole range of architectural styles. right he's got the sort of Vegas neon along the same lines_ well in the same project he's got um, different all sorts of different types of columns, making reference to, ancient architecture to Greek architecture Roman arches, uh etcetera etcetera and even being so self-reflexive and self-referential, that in the little, in the corners of these little arches here, uh are little heads which maybe you can sort of little faces you can perhaps just begin to make out, and those are actual uh based on his own face. ego? so, a very sort of, self-referential practice too where you're constantly sort of calling into question, uh your own ability to, sort of represent, uh in this case, yourself as well as sort of past architectural styles just, globbing them all together... hm. so, in addition i think that we have to think about, the idea of postmodernism, certainly we can see stylistic shifts, but we should also consider, how the world had been changing economically and also politically. so that, beginning in the nineteen-sixties... oftentimes marked as a new, economic era, the sort of era of late capitalism, where really we see uh interpenetration of government and big business to an extent

that we hadn't seen before, and i think you can remember back to, Lisa's lecture, uh on Wednesday on the work of Hans Hocka an artist who was i- is explicitly commenting on the interrelationship between, uh government big business and the arts. and politically of course, this is almost in your, within your own memories, uh although not quite, we have, beginning in the sixties uh the, increase of a really radical political landscape, right that sort of starts with student uprisings in Europe and certainly infiltrates, university campuses, uh in the United States, particularly this campus, for example, uh and in nineteen-seventy with the bombings of Cambodia and the killings of students at Kent State University, uh shortly after those, there was the founding i think that you mentioned this, Lisa, the founding of the New York art strike. you didn't mention that? what was the group that uh Hocka was part of?

S4: WAC. [S1: oh.] worker's arts, worker's artists (coalition)

S1: that other group. so also, artists mobilizing with sp- sp- specific political, uh intentions and goals, so for example with New York art strike, uh made up of a large group of New York artists and writers and also art dealers, um, some of their actions included sit-ins at the steps of the Metropolitan Museum, and also inside the Whitney and the Guggenheim, uh, the mounting of exhibitions for peace and of course as the seventies, progress our involvement in Vietnam, uh is stepped up and pe- uh, other groups also are fighting for political, social, and artistic enfranchisement. and that increases, and so art also takes on a real, um, serious, uh political edge. <P :04> but first, back to, our old favorites. so, on the left we have the artist, gee i don't know, <LAUGH> Pollock, an- do you remember the title?

SS: Lavender Mist.

S1: Lavender Mist. do you remember the date? nineteen-fifty right that's sort of the date that we have for him. and on the right the artist?

SS: Andy Warhol.

S1: Andy Warhol and, the title?

SS: The Marilyn Diptych

S1: The Marilyn Diptych, sixty-two, and the process?

SS: photo silk-screen

S1: photo silk-screen. so what we have beginning in the sixties, right with an artist like Warhol that we've seen or perhaps, somebody like Rauschenberg, and we've talked about this before, a real revolt, against, the version of modernism that critics like Clement Greenberg had been proponents of. so rather than, a history of modernism as the logical unfolding toward, uh, Jackson Pollock, and abstract expressionism, a group of artists, who were working in very different ways, and continue, uh sort of passed down to other artists in the seventies and eighties, instead wanting to explore the kinds of contradictions and contingencies involved, in art-making in the social world and the political world at the time. so really against this kind of de-politicized version of modernist high art, against the idea of high art, uh as being formally pure, against this idea of purity, against the idea of autonomy, and the desire instead to re-merge art, with life. <P :05> so artists and we've seen this, again we see this with Warhol, taking issue with ideas of originality, with authenticity with autonomy by attacking, the notion_ what's that other A word that we used in relationship to Benjamin, in The Work of Art in the Age of Mechanical Reproduction?

SS: aura.

S1: attacking aura right? we see that pretty clearly with Warhol, in the sense you know i talked about this a little bit with, the Marilyn Monroe and the repetition of her face, both in color and then black and white as it sort of fades out, this idea that there is, uh a kind of unbridgeable distance, from the original. there's no way to get back to the original in the Warhol in a sense because, what are we getting back to but a film-

still icon, of, Marilyn Monroe. a kind of self-created, uh studio-created image of the star. so there's this idea of how do you even g- where is the original here? how do you even get back to an original? is there even a possibility of an original in this work? and without the presence of th- of an original, how can there be aura? how does this complicate, uh through photographic reproduction, that idea of Benjamin's of the existence of aura, and how crucial the idea of aura is, uh to understand the kind of value attributed to, the gestural abstract expressionism of a painter like Jackson Pollock? so we- we're seeing this contestation of the uniqueness of the work of art, really intensifying in the past three decades sort of taking off, with artists, in the sixties and continuing to be questioned through different kinds of, uh pictorial strategies, in the seventies eighties and nineties and really, again what better medium to exploit, and explore, uh this idea of, aura and authenticity than, with the photograph? <P :06> so on the left here we have, Sherrie Levine <P :04> After Rodchenko. nineteen-eighty-three. Levine Sherrie Levine After Rodchenko in nineteen eighty-three. Sherrie Levine an artist and this is an example of her work, an artist who, becomes, relatively prominent uh in the nineteen-eighties. and she works... for the most part, with, the pirated print. she's stealing photographs basically, that have already been made by, uh relatively usually canonical artists. Alexander Rodchenko someone you're familiar with for example, or people from, uh artists from the canon of modern photography, Edward Weston would be another example. or Walker Evans who you saw briefly when we talked about F-S-A photographs. After Rodchenko. so she actually takes the print, and, displays it as her own work. she takes them in different ways sometimes she re-photographs sometimes she takes posters... according to, Douglas Crimp who writes about postmodern photography quote <READING> a group of young artists </READING> and he's referring to Levine, <READING> working with photography have addressed photography's claims to originality, showing those claims for the fiction they are. showing photography to be always a re-presentation. always already seen. their images are

purloined, confiscated, appropriated, stolen, in their work, the original cannot be located. </READING> so again and you see an artist here, Levine, deconstructing the modernist notion of the original. and you should think about this, and this, a- as being part of a lineage, of art production in the twentieth century, a lineage, starting really with what artist? <P :04> the big D, right? right with Duchamp. so again we shouldn't_ and this can influence how you yourself wanna think about postmodernism h- and how you define it, but here we're picking up, of course practices from, uh much earlier in the twentieth century. but you also wanna think about how they're different right, how, these kinds, how how pirating a a photograph let's say, and showing it sort of as your work, how, that kind of gesture is different what are the different kinds of implications between that, and say, uh taking a urinal and displaying it, under the name uh R Mutt. so appropriation here, uh we can see as being a r- a very key strategy, in postmodern photography. and here again she's questioning as Warhol is, the idea of autonomy she's refusing authorship, and, in that sense dismantling that notion of the unique original, work of art with aura. right how does this have aura anymore? and then what does it mean for it not to? how does this become part of, uh a gallery system for example? how does this become part of the commodity system, part of the art market? so appropriation, as a very key strategy, in, postmodern photographic practice. two other artists we have here on the right, uh is Richter, R-I-C-H-T-E-R... a photo-painting called Betty, it's a it's a painting based on a photograph, and on the right Boltanski B-O i'm just giving you last names B-O-L-T-A-N-S-K-I and again these are taken straight from your, final exam slide list. this is the drawer from nineteen-eighty-eight. so it's a installation right multimedia he's using a photograph, a light and, of course a drawer. <P :04> according to Richter, <READING> i pursue no objectives no system no tendency. i have no program no style no direction. </READING> seems like a bit of a nihilist no? <READING> i have no time for specialized concerns, working themes or variations that lead to mastery. </READING> again mastery is a kind of notion tied

up with, high modernism. right with Pollock right that there can be this idea of this uh, well on the one hand this sort of master creator this master genius, and then, with Greenberg in terms of a critical point of view a master reading like one way to read the k- this kind of work. i st- back to Richter, <READING> i steer clear of definitions, i don't know what i want. </READING> oh isn't that so true for most of us. <READING> i am inconsistent noncommittal passive. i like the indefinite the boundless, i like continual uncertainty. </READING> so certainly voicing a lot of, uh, the kinds of concerns in a sense of, some artists associated with postmodernism right instead of, being like sort of heroic, um, you know modernist, uh artist, here is a trace of my genius, uh taking a much different approach, uh philosophically towards his own artistic production. i steer clear of definitions i don't even know what i want i'm inconsistent, you know i take from a lot of different sources i create a lot of different kinds of work, and in fact he's an artist that ranges from, a kind of photo-realism, in this painting based on a photograph, to complete sort of abstract paintings. this portrait in particular, on the left is made of his teenage daughter, Betty again based on a photograph, and, we can make comparisons between, this work and the Boltanski on the right and how they're using the photograph, uh in a sense, on the one hand to recall, uh, how oftentimes we think of the photograph, particularly the photograph of a person functioning, right to record individual characteristics to give us a document of that person a kind of map, of that person's individual face, and and, the features that describe that individual person but they're subverting that right, th- that practice, Richter is, because her head's turned, so we don't get her face, we get the back of her head instead, and furthermore he's blurred, the edges slightly so the painting, has this strange quality, of being on the one hand, uh sort of based in, a kind of photo-realism on the other hand, we're denied access to her face and we're also given, a_ th- the really sort of blurred, edge, so that you get the question of you can't really necessarily define, with any specificity, the subject through image-making, through photography, nor through

the painting, based on the photograph. Boltanski, and what i'll do is i'll forward to another one of his works on the left. this is another work by Boltanski, Monu- uh, called Monuments, also referred to, as the t- Children of Dijon, made from the mid-eighties, Boltanski often in his multi-media installations uses, uh anonymous photographs and, places them, in a really kind of poignant, way with light directed, onto their surfaces, but with the example of drawer on the right, we get this idea again of this, portrait, right this close-up of a face, uh that maybe reminds you of, i don't know a high school yearbook photograph maybe a yearbook, college yearbook photograph, on the other hand it's so, blurred that the actual identity of the person is obscured. so again y- he's playing around with this idea of photographic truthfulness. and then it's furthermore ob- obscured at the same time, it's highlighted, by, the placement of this light fixture which on the one hand literally like bars your vision, right you can't see the center of the image because it's being blocked by this light. at the same time it's actually illuminating the rest of the image, so this constant sort of tension between revealing, using the photograph to sort of reveal the speci- uh the specificity of identity, at the same time sort of denying you access, to that actual individual. so it becomes this just sort of implied presence, instead, also in the Monuments on the left, uh, as you can see very small, individual, portraits, some smiling, some sort of more passive, and strewn in between them, uh these lights, and some of his work including the Monuments on the left, is making reference to, uh, pre-war Jewish children, uh school photographs that had been taken of children who of course never returned to their schools after the Second World War. so you get this again this idea of photography on the one hand of, evoking a kind of anonymity, but one that speaks potentially for, you know millions of millions of of specific, lives extinguished, lost, uh extinguished but as he's sort of recalling them, uh, through the individual sort of lights placed around, the photograph so they become and you can see this is sort of in a kind of church setting, uh ironically, they become, really evocative of, again lost presence. <P :05> i wanna

show you one other artist, two other artists on the left is Patrick Nagatani. N-A-G-A-T-A-N-I. Nagatani and this is his National Atomic Museum, Kirtland Air Force Base nineteen-eighty-nine color photograph. on the right, uh an image by Jeff Wall, W-A-L-L, called stumbling block from nineteen-ninety-one. color transparency, light and display case. now, we've seen artists who are using a- the appropriated image right, who are taking already made images and incorporating them into their work. here are two examples of artists who instead... instead create a very self-consciously composed, manipulated and fictionalized image. so use photography, as a kind of basis to create a whole, tableau kind of almost stage set, and again this too calls into question the truthfulness of the photographic image, and the kind of fiction, that uh photographs often, construct. so they're using the apparent truthfulness of photography sort of against itself. an artist like Jeff Wall is gonna create, uh these tableaux these sort of scenes of drama this sort of slice of narrative, uh blow them up alter them computerly_ uh with a computer, blow them up, backlight them, they're transparencies that are then backlit, um, and according to Wall they exist in quote unquote the grey area between the theatrical and the real. so that's the image on the right. Nagatani on the left, he uses photographs generally speaking as backdrops in a sense, so this, Kirtland Air Force Base, is, a black-and-white photograph that he's taken, then he goes back to his studio, uh he blows the image up, usually it's a sort of over life-size put its in th- pu- puts it in the back of a studio, and then starts to layer, other images, and painting over that original photograph. um so here's he's obviously painted a lot of the backdrop red, he's taken photographs these are actually family members though that's not necessarily relevant, uh made photographs of them, uh enlarged them, made them into sort of cudb- cardboard cutouts cut them out, and then hung them in the space of his studio so can you, you maybe can start to make out, can you see these thin lines going down? these are holding up the sort of cardboard cutouts of his, family, that have been, you know costume dressed in kimonos, eating

sushi, and then he himself, sort of at a last second, this is the artist Nagatani inserts himself physically into the image, and then the work of art is a photograph then taken, of the entire tableau. so it becomes reinterpreted it sort of starts with a photograph, and it ends with a photograph but in between, there are multiple layers of different kinds of artistic gesture, including painting other photography he'll build models and hang them from the, the top of the studio. uh, and as you can see here, this is part of a larger body of work, called nuclear enchantment in which he's dealing with, in particular the nuclear history, of the state of New Mexico where he lives. and, i think maybe you can make out, in the reflection, this is actually his mother, Diane in the reflection of her sunglasses, Aaron, who's in the front? can you see what's in the reflection of her sunglasses? can you see in the front? a mushroom cloud. right so the idea is she's looking off into the distance, and seeing the effects of i- of an explosion of a nuclear, bomb. <P :05> so again this idea of, uh using photography as a piece, in a sense, uh to create this kind of fictional, tableau. i wanna show you one other work, by Nagatani, uh... this is called Japanese American Concentration Camps, Manzanar, nineteen-ninety four, a color photograph. and, so this is late eighties this is sort of mid-nineties on the right-hand side. so in this work on the left with i- with his nuclear enchantment series he's working, very much in the kind of, of vocabulary that is often associated with postmodernism. um, this idea of, on the one hand, uh appropriation but the different layering of different kinds of artistic, gesture, a- and technique building models and creating this whole sort of fictionalized tableau. but on the right-hand side in this work, he instead is using, unmanipulated color landscape, images and this becomes part of another series another portfolio, called uh Japanese American Concentration Camps and, just briefly, to mention, uh the sort of background behind this piece, his um parents who you see here, and there, during World War Two had been incarcerated in internment camps, uh, his father in Arkansas and his mother in Manzanar in California. and, along with, basically the rest of the population of

Japanese descent along the west coast of the United States. this is after the bombing of Pearl Harbor. and Nagatani (who) grew up not knowing or hearing very much about, this experience of incarceration, he was born just after the war, decided in the nineties to s- go back to these sites, and photograph the remains of these camps decided to make a kind of connection to, this experience of i- of not only his parents but of, uh Japanese Americans in this country a really sort of, uh, incredibly important, experience and so he goes back to those sites and you can see, in the image on the right, Manzanar's located in southern California, maybe some of you have been there it's it_ you can go visit it now. it's about two hundred and fifty miles northeast of Los Angeles. and in the background you can see really dramatic mountains in the foreground, these stone steps um and if you go there you see a lot of, sort of ruins of remains of, the incarcerated population who was held there in the nineteen forties, uh including his mother. so, these idea this these ruined steps that i- that lead really to nowhere, right, so you get this kind of eerie um, idea of of this past crime this sort of past, purpose that this land was put to. and again, it's a ver- stylistically very different practice than what's going on, in his earlier work on, the left but, i don't think we need to think about postmodernism again the trap is to think about i- about it purely in sort of stylistic terms, and instead i think we need to open it up and think a little bit, about more, uh in terms of meaning and in terms of content in terms of purpose. so with the image on the right and with that body of work he seems to be coming, trying to come to terms, with this certain, uh traumatic event of the past. um as in a sense he's doing with the nuclear history of New Mexico as Boltanski is doing, in, the work that we saw, just a couple slides before. and at the same time he's also, Nagatani on the right in particular, is focusing, uh although it seems, maybe not so overtly because he's using landscape but really focusing on the politics, of identity. right of looking back into his past, uh and into the past of all, uh Japanese Americans in this country, and this kind of shared, uh traumatic experience that they endured during the Second World War. djuum. i'm

sure you all know her. i'm sure you all know her well here we have Cindy Sherman. Cindy Sherman one of the most uh, well-known artists, who really comes to prominence in the nineteen-eighties, these are two of her un- titled film stills, from the late seventies. two untitled film stills from the late seventies. and we see here, and as we'll continue, um, next week, we'll look a little bit, at Sherman at, uh, other, women artists in the eighties Barbara Kruger Lorna Simpson, and the Gorilla Girls and we'll think about how, these strategies of, photographic appropriation, and the construction of, the tableau the sort of fictionalized photograph, how those these artists in particular are using these strategies to on the one hand, again comment on the politics of identity, but also do so particularly on, the role and the representation of women. so have an excellent weekend and i'll see you on Monday.

{END OF TRANSCRIPT}

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NONE

Recording Duration: 100 min.

Recording Date:

June 7, 2000

Recording Equipment:

TASCAM Digital Audio Tape Recorder with two external microphones

Language: Primary Discourse Mode: MLG
Native Speaker Near-native Speaker

Participants: Number of Speakers: 9

Number of Students: 40

S1: Native-Speaker Status: Near-native speaker; Academic Role: Junior Faculty; Gender: Female; Age: 31-50; Restriction: None; First Language: French

S2: Native-Speaker Status: Native speaker, American English; Academic Role: Junior Undergraduate; Gender: Male; Age: 17-23; Restriction: None

S3: Native-Speaker Status: Native speaker, American English; Academic Role: Junior Graduate Student; Gender: Female; Age: 24-30; Restriction: None

S4: Native-Speaker Status: Native speaker, American English; Academic Role: Senior Undergraduate; Gender: Female; Age: 17-23; Restriction: None

S5: Native-Speaker Status: Native speaker, American English; Academic Role: Senior Undergraduate; Gender: Male; Age: 17-23; Restriction: None

S6: Native-Speaker Status: Native speaker, American English; Academic Role: Senior Undergraduate; Gender: Female; Age: 17-23; Restriction: None

S7: Native-Speaker Status: Native speaker, American English; Academic Role: Senior Undergraduate; Gender: Female; Age: 17-23; Restriction: None

S8: Native-Speaker Status: Native speaker, American English; Academic Role: Senior Undergraduate; Gender: Female; Age: 17-23; Restriction: None

S9: Native-Speaker Status: Native speaker, American English; Academic Role: Senior Undergraduate; Gender: Male; Age: 17-23; Restriction: None

R1: Native-Speaker Status: Native speaker, American English; Academic Role: Staff; Gender: Female; Age: 17-23; Restriction: None

SS: Native-Speaker Status: Native speaker, American English; Academic Role: Unknown; Gender: Unknown; Age: Unknown; Restriction: None

SU-F: Native-Speaker Status: Native speaker, American English; Academic Role: Unknown; Gender: Female; Age:

Unknown; Restriction: None

SU-M: Native-Speaker Status: Native speaker, American English; Academic Role: Senior Undergraduate; Gender: Male; Age: Unknown; Restriction: None

Setting: Classroom, Chemistry Building

S1: um the class today is um, recorded, for um a database, for the, Program in Linguistics is that [R1: mhm] um a database of um, academic discourse. um, so, um this is completely independent from the course and it should, in no way inhibit your, participation. just, ignore it basically. um, what i wanna do today, with you is use, um Roth's novel The Ghost Writer, to um to discuss two issues that have to do with collective, memory, after the Holocaust. um, the first, question, has to do with the centrality of the Holocaust for, um Jewish collective memory, and and Jewish collective identity. and um the second question which we'll examine in the in the second hour, um, asks um what are the implications of remembering, the Holocaust through a symbol like Anne Frank. and um, i want to start with, um, with the essay that i recommended you read that i included in, in the course pack and and uh which you can, refer to, after the class if you, um if your interest, has been, um peaked. um, the essay, from the, the uh the book The Imaginary Jew, in which he examines his, the development of his own, Jewish identity it's a it's an essay that um, i find particularly resonates with my, my own experience and i i find it um, really um, thoughtful and um, and um, and thought provoking. um... i i must say that i share himself w- i share myself um his own development from a, um an unexamined, uh pride of um, of being, um, of descending from (xx) one from a family that was affected by the Holocaust, to a more, reflexive stance and and um, a more self-conscious, stance on, on uh the place of the Holocaust in my own identity and that's one of the reasons why, um, i told you, that it was with mixed feelings that i, that i had um, revealed to you where, where i come from. but um, Alain Finkielkraut, he's a French philosopher, writes about this, um, this identity. and uh i just wanna quote to you, from page seven in the, in the essay. um he's

talking about this this um, new Jewish identity that's uh that's a privileged, identity a privileged identity as, as a victim. um and he says <READING> i inherited a suffering to which i had not been subjected. for without having to endure oppression the identity of the victim was mine. i could savor an exceptional destiny, while remaining completely at ease. without exposure to real danger i had heroic stature. to be Jewish was enough to escape, the anonymity of an identity indistinguishable from others, and the dullness of an unevent- uneventful life. </READING> and i think he's um, the observation is um is is uh accurate um, i think it's, it's um, not unusual, for um, Jews who, were affected more or less directly or even, not at all directly for um, taking on this um, this identity of um, c- coming after the Holocaust and somehow, this is uh, this is a privileged, um, identity of of um, of a victim. and um, this imaginary Jew that Finkelkraut is um, the off- offspring, of survivors who, um confers, himself this undeserved, um, moral superiority. um and, his criticism, um, also, um, targets the the fact that um, those who who, do take on this undeserved identity um do so without knowing much, of uh Jewish history or, or, Judaism and um, and this iden- this romantic identity is uh is uh is sort of ideal, um, ideal identity as a sufferer. um but it's it's a pose more than, more than in reality. um, and let me, quote another um, another passage that's telling, on page eleven, <P :06> he i- he talks about this, um, this status that um, that is conferred to him, simply by, by mentioning the fact that he, had um, that he has personal connections, to the Holocaust he says <READING> i too will recount stories of the final solution. and my interlocutors seized by a mixture, of stupefaction shame and respect, would see in me something other than myself, the faces of those tortured to death. </READING> um... so this is um, the... the concept of the, the imaginary Jew that um, that Finkelkraut discusses and it's, it um, raises the question of how, how central, the Holocaust should be for, for today's um, for today's Jews and for defining Jewish identity and um, for Jewish collective memory. um, the Holocaust tends to be, n- nowadays, a a central, um, a central tenant of um Jewish i- identity

especially in, for American Jews for Western European Jews, um, and i want to focus on, the American Jewish experience um, because this is what, Roth focuses on and um, it's it's been much, discussed. um, the fact that the, the Holocaust has often become the centerpiece of um, the American Jewish experience. um, many, American Jews go on pilgrimages to, to Auschwitz for example. and um, while the Holocaust has remained um, f- fairly um, tangential to to uh the experience of the general population, um while it's only a marginal event for, the rest of the population for, American Jews it tends to, um to be used as a confirmation of um Jewish uniqueness. and um, i think it's particularly um, acute in, in this society because of um, the emphasis placed on multiculturalism. and with multiculturalism, um ethnic groups tend to, to be conferred a special status um, through suffering... it ten- tends to be, tends to be the case. um <P :05> i just, wanted to give you um, an example. when i was um, a graduate student in Madison Wisconsin the public schools organized a multicultural fest, and um each ethnic group in the schools had their little booth and, um, i don't know pizza was served in the Italian booth or, you can just imagine. and then the Jewish booth was, was centered around the Holocaust and um, it's, it's problematic to um, to represent Jewish identity, through, an event that um, that is primarily, an event, of um, of destruction and, and of suffering it's, it's not a positive event. it's not, um... i- it's um, it's not the, the rich, culture that um, that came before the Holocaust and that that even, continues um, today and uh this, this use of um, of the Holocaust as a central, tenant of um, of today's Jewishness has been criticized i'm not, um i'm not making it up it's um, it's been criticized, um by, Jewish historians by, by Jewish cultural critics um, because it's seen to be detrimental to, to um, Jewish, t- to, furthering the knowledge of um, of Jewish culture of Jewish history. um, the, the writer Phillip Lopate, whose, article i had included at the beginning of the coursepack, um expresses his discomfort with what he calls this extermination pride. um, and he, he um, says that the Holocaust becomes another opportunity for Jewish s- chauvinism. <P :04> and um, others have,

have um, criticized this this phenomenon, um that the, the Holocaust replaces, as a text almost replaces the, the Bible. it it becomes the, the central text, um for, Judaism. and uh, even Speigleman, in an interview said <READING> although i find myself probably connected to my Jewishness primarily through the Holocaust, i am concerned about the idea, that someday Christians will walk around with crucifixes, and Jews will walk around with little gas chambers around their necks.

</READING> um, scathing critique. but uh, it's a, it's it's satirical but it, it's it rings true to a certain extent. um a, religious scholar Jacob Neusner... has um has written, a book about how um, a new Judaism is now centered around um, around two, two central myths that are related. the theme of um destruction and the theme of rebirth. and these two themes are embodied in the Holocaust and then the creation, of the the state, of Israel. um, and he, argues that, Jews have now substituted, um Auschwitz for, Mount Sinai. that the, the central the pivotal, historical, event of Jewish experience is no longer the giving, of the Torah at Mount Sinai but it is, the destruction of, European Jewry, in Auschwitz. and he, actually backs, backs this up. this is not just a theory. um, he cites a nineteen eighty-eight survey that revealed five times, as m- as many American Jews believed, that the Holocaust and Israel were more important to them, as Jews than, um, the Exodus and the, the receiving of the Torah at Mount Sinai. <P :04> so he talks about this Judaism of destruction and redemption as a new Jewish civil religion. and he talks of it critically of course. um, so it's deplored by, by religious scholars it's deplored by Jewish historians and i gave you, um a- again as recommended an article by, the Jewish historian Pola, Heiman, who um, criticizes this, this focus, on the Holocaust to the exclusion of other aspects, of um, Jewish history. and she, she talks of this um, this focus as the lachrymose theory, of Jewish history. lachrymose, meaning, it's the basis for crying for, for lamentation. and um, she would, she would rather, um emphasize the positive, sides of uh Jewish culture and Jewish history. um, sh- she would want to um, to retain a more, affirmative, image of a, of a tradition that, that values life

and that was not, wallowing in death. <P :09> um... it's, this attitude has also been, um, criticized, for um, for political reasons because uh some people, argue that um, today's Jews, use the Holocaust as a political weapon that, and and this is, what i refer to as the instrumentalization of the Holocaust. that it is used to, um, to, garner sympathy, for Jewish causes. either, within Jewish communities for, fund-raising purposes or, um on the international scene um, for um, um securing support for, for them for Israel or, other, uh Jewish political causes. <P :06> um, this this focus on, on, on the Holocaust and the, this um, the centrality of the Holocaust has not been seen as negative by, by all people. some, um, some scholars, have um, have seen it as uh, as only one stage, in um in the learning process about, about Judaism about Jewish history Jewish culture and um, some, some argue that um people who come, to learn more about, um Jewish culture through the Holocaust will eventually, um, learn, um a- and discover, more um about the other aspects of of uh Jewish history and culture so it's a, full it's a, it's like a gateway into, uh more knowledge. so just um, there's not a consensus on this um, question. but um, i i gave this to you as a, as an introduction to um, to our discussion of um, Roth's novel because Roth is, is struggling with with this question of, what is the place of the Holocaust for, for um the identity of, of an American Jewish writer in this case um, his, protagonist. um, Roth, was um, was born an American Jew he was born in Newark, in thirty-three. and um, you probably know that he's most famous for his, for his novel Portnoy's Complaint that was, published in, in sixty-nine. um, that was a, controversial, um, novel, and um at at the time he encountered um, critical reactions of the fact that, Nathan, Zuckerman in the novel he was encountering he was, accused of um, portraying his Jewish characters in a negative light and contributing to, or fueling anti-semitism. <P :04> um <P :06> he- throughout his um, his writing career his, he's been, coming back to the theme of the Holocaust. and um, he, he refutes, the accusation that he's been exploiting the Holocaust. um he says <READING> for most reflective American Jews, the Holocaust is simply there, hidden

submerged emerging disappearing and forgotten. you don't make use of it it makes use, of you. </READING> um and this is probably what he's trying to, to examine, through, through um, the, the adventure of the um, of his, character of his alter ego, Nathan Zuckerman. <P :06> so the, the novel takes place in nineteen fifty-six which is, uh a year after, the um, dramatization of The Diary of Anne Frank was produced on Broadway, and um, the, the protagonist Nathan Zuckerman is uh, spending um, the night at uh, at the house of his, his um, mentor. and encounters a, a mysterious, woman that he, he mentions um is Anne Frank (who survived the camps) and uh, it leads to um, to um, s- self-exploration the the reason why, he's um por- projecting um, his, this fantasy, of Anne Frank onto this woman is because, he was accused um, by um, by a friend of his, father Judge Wapter of uh, writing, of contributing to anti-semitism through his um, short stories and uh, Judge Wapter, urges him to, to go see the, the play The Diary of Anne Frank. um... and Nathan um fantasizes, bringing, this woman home, as as his bride. um, so Roth struggles with this, this tendency um of today's Jews to, to um, use the Holocaust as a, as a defining, uh moment in uh, in in the history the identity. and this conflict is embodied in the, in the conflict between uh, Judge Wapter and Nathan... um, how how do these two, how do these two characters, um relate to the Holocaust? and and what is, what is Roth trying to, to suggest with this um, this conflict between, Judge Wapter who, accuses uh, Nathan of basically being a Nazi and uh, and Nathan who's, simply writing, short stories about, about his, family and the eccentric characters in his family. what is, what is Roth, suggesting here? with his, with his plot?

<P :11>

S2: well that, that the Holocaust is seen as a reason for self-censorship or, something it's uh, yeah to be prevented so, y- you have to look at everything as, you know whether or not it's it's, good for the Jews or not. you know what kind of, position it will, place them in i think i mean this is supposed to take place in nineteen fifty-six something **[S1: okay]**

i don't think i mean, i think that's a pretty, um, i don't think a lot of people really, view it that way anymore but i think, maybe at that time some were,

S1: that they don't view it, which way?

S2: well i mean the people don't uh, you know like at t- at the time it seems like, the Holocaust was mostly, really only thought of among, in the, within the Jewish community and it really wasn't something that was, you know discussed outside of the Jewish community it was more, internalized and uh, it was more of a, of a w- something that, Jews felt, um that they had to, prevent from happening by, you know conforming to, you know what any kind of expectations they thought, that there, that there should be for them. but i think that since then i mean i think it's, um, you know left this real kind of, parochial, kinda **[S1: mhm]** (confine.)

<P :04>

S1: but, yo- you're right i think i think you're right that um, that it's changed somewhat although i i th- i do think that the reas- um, like Roth is coming to this, is reviving this um, this issue, because it's not completely, it's not completely um, an- an- something of the past. and i think that um, it's still, the Holocaust is still, is still used to, to censor um, people to to, give um, it is used for um, for um, providing oneself that the um, self- self-righteousness for, for um, giving, oneself moral superiority.

S2: exce- except it doesn't seem like, the instrumentalization is necessarily for some kind of like, outside, pity or sympathy it's more an internal form of, just kind of censorship or,

S1: mhm, it's in general that the, the judge is also concerned about the image that this writer is projecting **[S2: right]** of the Jews, o- on the, outside of the, Jewish community. so, um... a- and um, and i think that

it's still, relevant. even if it's, even if it's expressed in in different uh experience. it's still relevant <P :04> how does, how does Nathan um, react to this, this form of censorship? what is, what is he, arguing...? is he, is he completely ignoring the the, the fact that the, the Holocaust um, is um, should influence what, what he is writing? what is... what is he, what is he feel? yeah Deborah?

S3: i think he's arguing for more of an artistic truth that says, um this is the effect it had, on my, family. and [S1: mhm] these are who these people are now and, so, i need to talk about that.

S1: mhm... um, he's, he does, argue for artistic, license he also, argues that um, that the Holocaust is not, is not, always relevant to to what's happening, in the American Jewish community that it doesn't always have to be, to be brought up and, and there's a, there's that um comic passage on, on page one-oh-six in which he's, arguing, with his mother over this, over this letter that Judge Wapter, sent him. um, would someone who has the book, please read the, the pa- the dialogue...? maybe someone in the back so that, the people in the back can hear. Susan would you want t- to (use?)

S4: where is it? where do you want me to start?

S1: um, can you start <READING> too late mother. </READING> page one-oh-six? and, read loud enough so that everybody can, hear you.

S4: <READING> too late mother, didn't you read the ten questions from, Nathan Zuckerman? dear, i did possess a copy, and the letter too the big three mama um, </READING> strikers?

S1: mm, they're those these are two Nazi um, officials. (actually) [S4: and i,] they were both, they both were involved in Nazi propaganda.

S4: <READING> and your son what about um, the judge's um, humility? where is his modesty? uh he only e- he only meant what

happened, to the Jews in Europe not in Newark. we are, no- we are not the wretched of, Belsen </READING> who is Belsen?

S1: Belsen uh Bergen-Belsen is a concentration camp and this is the camp where Anne Frank died.

S4: <READING> we are not the wretched of Belsen and we are not the victims of that crime. but we could be in their place we would be. Nathan violence, is nothing new to the Jews and you know that. ma what, can- ma you want to see physical violence done to the Jews in Newark? go to the office of the plastic surgeon where girls get their noses fixed. that's where the Jewish blood flows in, Essex county, and, that's where um that's where the blow is delivered, with a mallet, to their bones and, to their pride. </READING> [pleasing](#)

S1: [that's enough](#) i think we can stop here. what is he what is he arguing here? what is Nathan saying here? <P :10> Susan?

S4: he's saying that they're different, than the Jews (at Belsen.) and that um, i i think he's sa- i see i don't think he, um, the writer, Nathan, i don't think that he, thinks about the Holocaust at all, to me it doesn't seem like he does. and he thinks that, well maybe a little bit but that he, doesn't mean it comes into play with what he writes and, his views. so i think he's completely separating, these people from, the people over there. [but i don't know](#)

S1: [he](#), he does insist on on, the fact that they have, completely different lives. and uh, and that there are, other um, subjects, worthy of writing besides um, besides the Holocaust. i do, i do think however that, he's, he cannot completely separate himself, from the Holocaust. that somehow, somewhere it's still part of his identity and he's trying to figure out, what to do with that, with that um, with that tension with that friction. um, and in this scene it it, it comes across as uh, a a very aggressive, um criticism of um, of American, Jewry. um, the, the fact that he's yelling i think seems to, to suggest that he's, ill at ease with

um, with the questions that the, judge has been asking him. and it it does raise, questions and, and um, Roth, leaves um, he's a writer. and uh, he leaves the tension unresolved. he doesn't, um, he's he's playing these um these two characters, um against each other, um to to um, to raise the question but he doesn't, he doesn't resolve, the question. um, he leaves it, open. um, but he does, he does use the situation, i think to um, to to criticize those who who, who end up using the, the Holocaust to give, to give meaning to, to their, um Jewishness or to, to give themselves um, to make themselves right. um <P :04> so that, the Holocaust becomes a, a symbol that's appropriated, to, to justify any opinion or action. and um, Nathan, um, appropriates the Holocaust, at least in fan- in fantasy um, by um, by imagining that he's, going to marry Anne Frank and this is the most, the most radical way to, to proclaim his, his loyalty to, to Jewishness by, by marrying, um (you know) the most famous um Holocaust victim. um, at least he's trying to, to counter the judge's, authority by um, by um dreaming of this, this um, icon. as a, almost as a trophy, um in this, in this battle. <P :06> um, so this brings us to, the second um, the second question that i wanted to, to um examine with you. what are the implications, of uh remembering the Holocaust through a symbol like Anne Frank. and um, i should preface, the um, our discussion with a disclaimer. um, i, i recognize that uh The Diary of Anne Frank is a, is a very, important and useful tool to introduce, the Holocaust um, especially to, to uh, teenagers to to younger, readers um, but, obviously some of you have read it in school or, hav- have any of you? yeah some people are nodding. so um, and i and um, it's a it's uh, a beautifully, written um, diary it's uh, it's an amazing, an amazing document. and um, th- through the diary Anne Anne Frank is um is a, an amazing individual. um, but, learning about the Holocaust through Anne Frank um, is also problematic because um, her um, story tends to obliterate, um, the, the the wider, story and um, this is what i, what i'd like to um to examine with you. let me give you, um, the um, the historical, background the, the publication, of the, of the book. um, her diary was first published in nineteen forty-seven, in

Holland and in Dutch. and it was translated to, first into French and German in nineteen fifty, but it's only in nineteen fifty-two, when the diary was published in the United States that um that it, reached a wide audience. and then in nineteen fifty-five, it was um dramatized and produced on Broadway. dramatized by, Frances Goodrich, and uh, Albert Hackett and with the dramatization, then the, the diary became a, became a best seller. um, and then the, story was turned into film, in nineteen fifty-nine. and um, and after time the, Anne Frank story became the most famous, um, Holocaust story. more people know about the Holocaust through Anne Frank than, through any other um, figure. except, except maybe Hitler. but if, if someone knows, one one person associated with the, with the Holocaust it, it will be Anne Frank. um, and, s- so um, Roth i, i would argue is um, is exposing this uh, this iconization of Anne Frank the, turning of Anne Frank into a fetish into an icon, in um, in popular culture in in collective memory. <P :06> here's a, a passage in which, um Nathan is arguing and he said <READING> everybody's read the book this is a, a story that's too often remembered, at the expense, of others... </READING> (and he goes on there) um, but i'd like to, examine with you what kind, what kind of um, memory, the story of Anne Frank fosters. whether, whether um it's, it's an accurate, uh memory of the Holocaust or whether it's, it's distorted. um, Roth i think, uh seems to suggests that it's, that this um, turning of Anne Frank into, into a symbol is um, is limiting and it's it's uh, it's bothersome... she's, she's become a saint. and, it's interesting that when he, he wrote The Ghost Writer um, he at first, was approaching Anne Frank through, through this lens. through this um, this lens lens of sanctifying this, this character. he said <READING> when i began i was somehow revering the material. it was the tone appropriate to her geography. instead of Anne Frank gaining meaning within the, context of my story, i was trying to draw from the megastore, of stock emotions that everybody's supposed to have about her. clinging to the cliché, while anxiously waiting for something to take hold. in retrospect, my difficulty is now somewhat bizarre. because just what Zuckerman was

fighting against, i was in fact succumbing to, the officially authorized and most consuming legend. </READING> um <P :04> i, i'm going to show you, we- we'll take a break then i'll show you, the end, of um, of the movie, of the nineteen fifty-nine movie, made after the play. um, and and then i'd like to, to discuss with you, why, why you think it's um, this story was so, so popular and and um, what's, what's problematic about it. so let's take a break now, and come back in, a few minutes.

<P :10>

S4: i didn't really understand the paper you know the pa- the paper project that was due (xx) we're supposed to do.

S1: um, pick one or two of the terms and, and answer the questions. it's really open-ended so

S4: like how could it be, (xx) do you want us to use our, texts that we recently read?

S1: uh, you can refer to them.

S4: but we don't have to?

S1: um... you can- it's really an open question. it's it's something that, you know that i want you to reflect about it so if you, if there are things that are relevant in in what we've discussed, **[S4: alright.]** that you can bring in to, **do that**

S4: **so just** (xx)

S1: yeah it's very open.

S4: okay alright, are they gonna be due tomorrow?

S1: no um i'll have them due again on Friday... alright.

SU-F: hi i was wondering if i could get my midterm.

S1: (xx) aren't you going to be here at the end of the second hour?

SU-F: tomorrow?

S1: no today. i'm turning in all the, i'm i'm handing in all the papers. so, can, can you wait?

SU-F: um, i've got a three forty-five that i have to make and then i'll be probably still be finishing up... i know (that um, you've read the papers) great thanks.

<P :08>

S2: did you uh, there are a couple newspaper articles about it a couple weeks ago about the uh female Holocaust survivor who just became a rabbi. did you hear about it? she's the first female Holocaust survivor (as a rabbi) (xx) **[S1: where?]** um, here in this country i i can't remember all the details but there's one thing i remembered was she was talking about how she knew Anne Frank. **[S1: mhm]** i think i think in the camps. but she said she didn't like her cuz she was bossy, and stuff like that (xx)

S1: (yeah, yeah well,) yeah. that's not surprising. <LAUGH>

S2: yeah.

<P :41>

S1: um, if you have your coursepacks here the last page of um, i think it's the last page of the coursepack, is a handout... um... that, juxtaposes an excerpt from the diary with, an excerpt from the, from the play and and part of the, the dialogue here will be, in the scene that i'm going to show you from the movie. um <P :05> so if you want, if you want to take it out, i have some extra ones if uh, if people need it. otherwise you can just look, look over, each other's. we'll discuss this after, after i um, after i i show you the, (piece) anybody else? <P :11> so what i'm going to show you, um, is the, the last fifteen minutes of the

movie. it's a, two and a half hour movie i i'll show the last fifteen minutes. has anybody ever seen the movie? The Diary of Anne Frank? [SU-M: yes.] you have? okay. um, i- i'm uh, i'm showing you the end because um, because i think it will, it will be um, a good, a good point of departure for, for our discussion of uh why, why this story's, it, has been so popular. so, let's um, let's turn off the lights and uh, and then when you, you watch it try to ask yourselves what, what has made this, such a popular story?

<P :23>

S1: so what are what are your, your reactions? sorry i can't, i can't help but snicker i shouldn't. <P :07> why do you think, this was um, this was such a powerful story? that it's, that it's obliterated, many other stories and that, that Anne Frank has um, has become this uh, this symbol? yeah?

S5: i think it's more positive than, other, other stories about the Holocaust at least, that's the way (it appears) i don't know if that's exactly, if it's just (straight from) her, diary.

S1: um, well, the um, the last line that they are, that they're quoting in spite of everything i still believe that people are good at heart um, was in the diary but it was in the, it was in the middle somewhere part of the entries and, and her diary, is um, is, much, much less homogeneous in its, in its optimism in its in its positive... positive thinking i mean she, she goes, since it's a diary and it's written, um, at the moment she goes from from uh, days where she feels good to days where she, where she she despairs. but the the play and the, movie have chosen to emphasize, the positive um, positive sides of the diary. yeah?

S2: they also seem to emphasize like um, like a universalism, attitude i mean just comparing the, text from, from her diary where it's all about you know Jewish suffering and [S1: mhm] you know what what everyone's done to the Jewish people whereas, the lines from the

movie it's i mean there's no mention of Jews or, [anything, it has a universal appeal.](#)

S1: [yeah, yeah let's, let's](#) look at this um, let's look at this handout. it's very striking, how, how the, the playwrights have completely distorted, the diary, um... would someone please read the, the passage from the diary have to start this, just lifted it from the diary. yeah. mhm

S6: <READING> who has inflicted this upon us? who has made us Jews different from all their people? who has allowed us to suffer so terribly until now? it is God that has made us as we are but it will be God too who will raise us up again. if we bear all this suffering and if there are still Jews left when it's over, then Jews, instead of being doomed, will be held up as an example. who knows? it might even be our religion from which the world and all people learn good, and for that reason only do we have to suffer now. </READING>

S1: and this is a, this is a, a passage in which she expresses uh feelings of nationalism even chauvinism and um, and then the, the playwrights have uh, completely turned this upside down <READING> we're not the only people that have had to suffer, there have, always been, people that have had to sometimes one race sometimes another. </READING> um, so so you're right that on the, this, universalization of um, of her condition as being, one of the ways in which the playwrights have uh, have, made it more, more accessible and and, easier to uh, to identify with.

S2: and Philip Roth talks about that too where he says how, you know y- if Anne Frank had come from some you know some Orthodox family you know Eastern European you know it wouldn't have had nearly the same impact as you know, pretty much, i mean sh- sh- could almost be like a typical American, girl at the time.

S1: right. um actually, i think i've, was i was planning to (communicate) this message of something similar and, let's see... right le- it's on page one-forty-five i'll just read it to you, um

SU-M: what page?

S1: page one-forty-four, one hundred forty-four. <READING> but that was the point. that was what gave her diary the power to make the (might very real) to expect a great callous and indifferent world to care about the child of a pious bearded father, living in the despair of the rabbis and rituals, that was pure folly. to the ordinary person with no great gift for tolerating even the smallest of differences the plight of that family wouldn't mean a thing. to ordinary people it would probably, seem that they had invited disaster by stubbornly repudiating everything modern and European not to say Christian. but that family of Otto Frank, that would be another matter and </READING> by the way um the Franks were originally German Jews and they had, moved to um, to Holland uh before the war and then, and then hid in, in Amsterdam but they were, uh virtually non observant. they they did um, exchange presents at Hanukkah and things like that but they were, they were not religious at all. um <READING> how could even the most obtuse of the ordinary ignore what had been done t- to the Jews just for being Jews. how could even the most beknighted of the Gentiles fail to get the idea, when they read in, Het Achterhuis </READING> the um the name of um, the, the place where they are hiding, the, um, uh how is how is it called, in English? the annex or um, they they were hiding in a, in a part that was um, s- um camouflaged by, by a moving, library thing um, <READING> how could even the most beknighted of the Gentiles fail to get the idea when they read, that once a year the Franks sang, the Haumus Hanukkah song said some Hebrew words lighted some candles exchanged some presents, a ceremony lasting about ten minutes. and that wa- and that was all it took to make them the enemy. it do- it did not even take that much. it took nothing. that was the horror. and that was the truth and that was the power of her book.

</READING> so, that fact that she is, um, that she is like, like everybody else that she's not, she's not an other. she's not different. um, makes her, a a easier, target to identify with. and easier victim, to identify with than, than if she had been, one of the, one of the the Polish Jews for example. (xx) um <P :15> w- what else, what else made made, her such a, such a popular um, icon...? we talked about the... the positive um, l- let me um, (pose this) <P :08> what kind of a, what kind of experience does her story, represent? what kind of, Holocaust experience does it represent...? wha- well what do we see in the film what what images do we see in the film? <P :06> yeah Tisha?

S7: they're all almost all positive ones that she'd been (part of) so, you don't see like, the really big stuff that's displayed in the books and stuff.

S1: you don't, yeah you don't see the horror right? you don't you don't see, yeah Susan?

S4: yeah i i think that's why it makes her so popular too just, p- that's why she's the one everyone knows about because she's not writing about the horror of the concentration camps. she's not, talking about how it was she's talking about hiding. and that, granted i'm not saying that was easy but that's completely different than, you know people who write about the actual camps.

S1: mhm mhm Santo

S5: yeah i think the Holocaust it is like removed but it's present in the fear of the characters, that she like talks about, sort of, people in the, attic.

S8: the thing is is that, there are so many authors that wrote about the camps that she present, she presents such a different perspective, that that has to appeal to all the i- like, it's probably the world like it would appeal to all the readers than those that would have been, reading like writing after writing after writing, the same thing. i mean it's_ everybody

had their own individual experience but, they were all in the same location, i mean some, type of location whereas like there's not like that many writings of children who were in hiding. and also she's a child, or she's a child she's a teenager so like, her diary goes through like, her interest in Peter and like her family and it lets you into her life and it's not just the concentration camp or just the Holocaust i think it gives you a whole perspective.

S1: um, Mike?

S9: yeah just like an, an example of like the way it's constructed the play it's just like an inspirational story like, like people love why people like, i mean maybe cuz it makes them feel better about themselves or even their own kind of, pretty good situation compared to hers it jus- it's just like, an example of someone somehow, you know raising their spirit and and, dealing with something so horrible so positive, **[S1: mhm]** you know, but at the same time it's probably not representative and it, it also is, accessible and like you were s- like you were you were saying it's like a, a a way that people can approach the Holocaust without having to approach, some of the like, specific and actual, graphic like, it's like a P-G rated version <SS LAUGH> almost kind of, compared to like you know an R rated version like the, it describes the camps and things like that you know.

S1: (xx)

S2: she's not just, lifting her spirits she kind of, redeeming her in in in the book they uh, they try to send Nathan Zuckerman off to see the play you know to like, cleanse his, soul of all these, you know bad ideas and then, in the last scene there she's simply ministering to the, to Peter up in the up in the attic like the light streaming in on her from the, from the window.

S1: yeah um she's, um there's, a lot of uh a lot of um really good things have been said but the idea that her, her story is obliterating, the horror

but it's also uh redeeming, our, our idea of um the human spirit. i- i want to um, read you, um a sentence from the preface, to the um American edition of the diary. and the preface was written by Eleanor Roosevelt. um the President's wife at the time. and she, wrote that Anne bo- Anne, Frank's book made her, i quote <READING> shockingly aware, of war's greatest evil, the degradation of the human spirit, but at the same time Anne's diary makes po- poignantly clear, the ultimate shining nobility, of that spirit. </READING> and um, it's um, i- it's again this idea that um, her story only gives us a, a limited awareness of um, of, of the history of the Holocaust and um, and makes avoiding the, the center of the, the tragedy possible. um, and and the, Roth even, even, questions whether reading Anne Frank's diary, really makes, makes its readers um, better person, better people, better individuals whether, the readers of the diary are improved um, morally. and i, i wanted to um, to look at a, passage in the novel, it's on page, one-forty-five, one-forty-six. <P :05> and this is um... written from the point of view of this, fantasized Anne Frank who would've survived, in uh Nathan's, imagination. um, <READING> this was the les- the lesson that on the journey home she came to believe she had the power to teach. </READING> um, th- the lesson, about, about um, about Holocaust. <READING> were Het, Het Achterhuis known to be, the work of a living writer, it will never be more, than it was a young teenager's diary, of her trying years in hiding, during the German occupation of Holland. something boys and girls could read in bed at night along with the adventures of the Swiss Family Robinson. but dead she had something more to offer than amusement for ages ten fifteen. dead, she had written without meaning to or trying to, a book, with the force of a masterpiece to make people finally see. and when people had finally seen, when they had learned, what she had the power to teach them, what then? would suffering to- come to mean something new to them? could she actually make them humane creatures, for any longer than the few hours it would take, to read her diary through? in her room at, um at the, </READING> in in the, in the plot of this novel, <READING> after hiding in her dresser the three

copies of Het Achterhuis she thought more calmly, about her readers to be than she had, while pretending to be one of them um, of the story, bust right through the lightning storm. she was not after all the fifteen-year-old who could, while hiding from the Holocaust, tell Kitty, </READING> Kitty's her um imaginary, friend in the diary, that she writes to <READING> i still believe that people are really good at heart. her youthful ideas had suffered no less, than she had in the windowless freight car from Westerboll. and, in the the barracks in Auschwitz and then on the Belsen heath. she had not come to hate the human race for what it was. what could it be but what it was? but she did not feel singing, anymore singing its praises. what would happen when people had finally seen? the only realistic answer was nothing. to believe anything else was only to give to longings, which even she the great, longer had a right to question by now. </READING> so, so Roth is really, questioning what the um, whether the diary, is, is teaching, people to um, to be, more moral, human beings. and one of the reasons why he's questioning that is precisely because, um, because she's a, a character that is so, easy to empathize with. if she were an other, then then the reader of the diary would, um, would be forced to, to make a moral leap and to identify with someone, um that is not easy to identify with. but because because she's so, sympathetic, uh, the reader doesn't really have to to uh, to make, much of a, a moral effort to to um, identify with her story. so this is what, what um Roth is implying here. um <P :05> i also wanted to, to comment on this um this idea, that um, that her story's um, is used to to redeem the idea of, of um, a, the... the sh- shining nobility of the, the human spirit as um Eleanor Roosevelt says. and um, especially the play and the film, by ending on this on this uh, uplifting, statement um, turn her story into a, a cathartic story. they give, they give the audience the illusion of having been purged, of um, of the horrible story and um... um... of um, of having, of having escaped um the horror, it's a it's a feel good play. it's it's um, in the end it's it's a play it's a movie that uh, that, makes you cry a little bit and then go home and and forget about it. i mean this is, um, again, expressed in

um, in *The Ghost Writer*. on page one twenty-three, would someone read that? <READING> it wasn't the play, </READING> and again this is the, this imagined Anne Frank this... (xx) Tisha?

S7: <READING> it wasn't the play, i could have watched that easily enough, if i had been alone. it was the people wa- with, watching with me. carloads of women kept running up to the tem- to the theatre, women wearing fur coats with expensive shoes and handbags. i thought this isn't for me. the billboards the boat rafts the marquee, i could, i could take all that. but it was the women who frightened me, and their families and their children and their homes. go to a movie i told myself go to a museum with them. but i showed my ticket i went in with them and of course it happened. it had to happen, it's what happens there. the women cried. everyone around me, was in tears. then at the end in the row, behind me a woman screamed oh no. that's why i came running home. </READING>

S1: okay, good. one second. **[S7: running home]** um... this is, just another, funny passage in in the novel in which, Roth is uh is mocking, the the effect of um, of this, of this play, and the, the women, are um, can afford to to uh, wallow in, in luxury because um, because they go to this play to purge themselves and then, um, they come out and it's, and life goes on. um, they exorcize their, their um... maybe they give for, for living, in luxury or um for, for having, not, had to experience the Holocaust. and uh, as i as i said the, the play and the film, emphasize, Anne Frank's uh positive side and even her moralizing side. in the diary she's much more, irreverent and um, um there's a, documentary that was made, a few years ago called *Anne Frank Remembered* which i, i recommend to you if you're interested in Anne Frank's story in which um, many of her contemporaries were, interviewed about her and um, and they revealed that she was actually, a a much more mischievous little, girl than um, than she's made out to be, in um, in the, film *The Diary of Anne Frank* where, she's um, she's turned into a, sentimental, saint. um, and it, i i'm just going to read you some reviews of, of the play

that were, that came out in, um in fifty-five. the play was uh, was incredibly successful and and won, uh prizes. um, and it was, reviewed as <READING> a lovely tender drama, </READING> uh one, reviewer t- wrote about <READING> the happy effect of animating everyone, into doing a little more than he's capable of doing. </READING> um someone wrote about it as a, as a <READING> not a war play or even a sad play. </READING> so, this is what her story, um became. the the diary itself is uh, is incredibly powerful because, sh- she develops into a, um, a a very um, fine human being in just the, course of, of two years. it's it's amazing, um to think that she was only fourteen when she was writing, what she was writing. but the, the play just um, completely softens her, her personality and her, and then the whole, whole reality around her. um, it turns the whole thing into a melodrama. um <P :05> sh- she was actually a much more, ambivalent, character and uh, with the influence of the play and of the movie, have been long-lasting and have, not only obliterated the, the horror of the Holocaust itself but the, the the true story, of Anne Frank and um, even, thirty years after the play in nineteen eighty-five, uh Congress passed, a joint resolution to designate um, June twelfth nineteen eighty-five as Anne Frank Day, and um, they explain, why, why they chose to do that. and i'm quoting here from the resolution, they wanted um, <READING> the people of the nation to reflect on the message of Anne Frank that in the face of evil it is possible to retain a belief in humanity. </READING> and they, they they um, they just lifted this from, from the play and from the movie. i don't think, they even bothered to to uh go and check, <LAUGH> the diary, um, so, so it it's interesting to to see how, how memory, this, collective memory's shaped and um, it's it's important to, to remain critical of that process. yeah?

S2: Philip Roth kind of puts it in, religious tones too when he has the idea of uh, you know, Anne Frank dying then sort of being resurrected. **[S1: yes]** you know there's this kind of like Christian idea, **[S1: yeah]** in the part when he talking about how why it is that she has to die, you

know why she has to be dead it's because, you know what would, you know something like Christianity be if you know Jesus hadn't died you know.

S1: right. right she can only be a saint if she, if she died. if she, if she had, survived she would be, um, her her experience, of um hiding for two years would would be of no consequence even though it would be, would've been the same experience and and um, also um, worthy of, of knowing. but uh, you're right. and and uh, Roth read by, by resurrecting her is also, um refusing to to uh, to preserve this sentiment-sentimentalized image and, he turns this, this imaginary Anne into um, into a cynical, um, a cynical survivor... um, at the ending of, Roth's novel is uh, acting the um um a direct response to to the ending of the film, um, he's um he's mocking this this kitchy, uh Hollywoodish <LAUGH> ending of um, Anne and Peter kissing fashionably when the, when the Nazis come up the stairs, um, he ends his novel with, with um, a scene in which, the wife of uh Lonov which is, Nathan's mentor is um, is leaving, in the snow is is stomping in the snow she's leaving this, marriage that's a trap for her, and um, ironically her name is Hope. <LAUGH> this is, you know i think a direct response to to the line in the movie w- we we um, have been two years in fear now, we will, we will live um, in hope. i think he's um... he's just playing with that and um, and um turning it upside down. and and basically he's saying, you know my my novel is not uplifting it's, it's made you laugh but um, but i won't, i won't let you off the hook here i'm i'm not going to write a cathartic novel, i won't let you, hope too much so, yeah.

S2: there's also kind of the part when he's in the study at night like listening you know like a lot of, you know Anne Frank had to do with you know these people listening you know, waiting to hear people come up the stairs and so he's listening and he hears these people who are, you know getting to bed or you know whatever like **[S1: yeah]** those kind of stuff uses a lot of the same kind of (xx)

S1: yes, yeah he's, he's rewriting the diary. um, but he's rewriting, for um, satirical purposes not, not uh for sentimental, purposes. so, um <P :06> so um, i- i wanted to, to raise a lot of um, questions regarding the, the, um the issue of um, Jewish collective memory and and also Amer- American, collective memory of the Holocaust. tomorrow, we'll um, we'll talk about the, difficult question of um, German collective memory. and um... i um, i'll show you an excerpt of a, a documentary being done, and we'll discuss, the readings that i assigned to you. will you hand in the, the um, papers... and um, again, i'm changing the due date, for the last set of papers, to Friday so that, um, so that you have, you have some time, to um, to come to (them) and you have time to do it (before) tomorrow. um, Friday there are only two papers. and, and tomorrow i'll give you the question for the final.

SU-F: is the final due next Thursday?

S1: yeah. the final will, because you'll have a week to do it so, **[SU-F: okay]** there's, there's no no mistaking on that uh (xx) um, the papers both Shoshana and i, found the papers um, much improved so, um, overall. <P :18> wha- if you have your papers you can le- you can just go.

{END OF TRANSCRIPT}

LE10

MICASE Full Transcript View

Title: Statistics in Social Sciences Lecture

Academic Division: Social Sciences and Education

Division:

File ID: LES565MX152

Publisher: Michigan Corpus of Academic Spoken English, English Language Institute, University of Michigan

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RESTRICTIONS ON CITATION OF EXAMPLES:

NONE

Recording Duration: 109 min.

Recording Date:

June 7, 2001

Recording Equipment:

TASCAM Digital Audio Tape Recorder with two external microphones

Language: Primary Discourse Mode: MLG
Native Speaker Non-native Speaker

Participants: Number of Speakers: 10

Number of Students: 16

S1: Native-Speaker Status: Native speaker, American English; Academic Role: Senior Faculty; Gender: Female; Age: 51 & over; Restriction: None

S2: Native-Speaker Status: Native speaker, American English; Academic Role: Senior Graduate Student; Gender: Male; Age: 31-50; Restriction: None

S3: Native-Speaker Status: Non-native speaker; Academic Role: Senior Graduate Student; Gender: Female; Age: 24-30; Restriction: None; First Language: German

S4: Native-Speaker Status: Non-native speaker; Academic Role: Senior Graduate Student; Gender: Female; Age: 24-30; Restriction: None; First Language: Spanish

S5: Native-Speaker Status: Non-native speaker; Academic Role: Senior Graduate Student; Gender: Male; Age: 31-50; Restriction: None; First Language: German

S6: Native-Speaker Status: Native speaker, American English; Academic Role: Researcher; Gender: Male; Age: 24-30; Restriction: None

S7: Native-Speaker Status: Native speaker, American English; Academic Role: Senior Graduate Student; Gender: Male; Age: 31-50; Restriction: None; First Language: Spanish

S8: Native-Speaker Status: Native speaker, American English; Academic Role: Senior Graduate Student; Gender: Female; Age: 31-50; Restriction: None

S9: Native-Speaker Status: Non-native speaker; Academic Role: Unknown; Gender: Female; Age: 24-30; Restriction: None; First Language: Unknown

S10: Native-Speaker Status: Non-native speaker; Academic Role: Junior Faculty; Gender: Male; Age: 31-50; Restriction: None; First Language: Korean

SS: Native-Speaker Status: Native speaker, American English; Academic Role: Unknown; Gender: Unknown; Age: Unknown; Restriction: None

SU-F: Native-Speaker Status: Native speaker, American

English; Academic Role: Unknown; Gender: Female; Age:
Unknown; Restriction: None

SU-M: Native-Speaker Status: Native speaker, American
English; Academic Role: Unknown; Gender: Male; Age:
Unknown; Restriction: None

Setting: Classroom, School of Education Building

S1: (appears) to be registered uh, and although, in this class every year between about the first and the third class we lose a few people um, that's, it's it's it actually turns out to be much better, to lose people early than late uh, because, as you probably know, uh o- over at I-S-R, if you wait a while you pay a lot more so um um, basically this is a s- class that requires, a fair amount of prior knowledge and skill and some, commitment and motivation to do work and so, people who don't have all that combination, sometimes drop away and, it's better for them. um, you might notice, and certainly is apparent to us that, during about the first, week maybe ten days of this class the, the d- the differences between you, in your, skills and familiarity with S-P-S-S and, how well you can use UNIX and um, for quite a lot of people finding the right building at the right time is a problem at first, those, those differences seem very diverse at the beginning, but i can guarantee by a week from now w- there won't be a dime's worth of difference between you, in that because we move so fast and so, i just if you're feeling uncertain about things, you'll get certain with them really quite quickly. um, i want to encourage you again to stop and ask whenever, you don't understand, or, need some clarification or whatever of anything i'm saying or, this goes for David and Katy also, uh because, it's very hard to know what you don't get, unless you ask us, so i really encourage you to do that. um, in terms of, uh talking about things that are in the book um, and i will start doing that today, i i w- i'm going to try as much as i can to stick with the sort of, the terminology and the, use of of uh notation, i'm gonna try and do it just almost, it's been useful for me to move closer to what's in the book because it's useful, for all of you who have that to fall back on. so in fact once in a while if i slip or the notation that i've used

in, either the handouts or something i write on the board is different than what you've seen in the book, please stop me and, th- we'll make sure because, some of it's a little... it's it's a little, it's it's quite precise. um, since the next time you come to the lecture, uh you will actually be bringing your first assignment, i thought maybe it would s- be worthwhile to spend a little bit of time, talking about, the assignment today because there're some, th- there're some sort of general things about the assignment so if you happen to have your, um, syllabus with you i'm, talking a- i'm looking at the paragraph that's on page eight that describes the assignment. here's what we'd like you to do. um, and, this, shows how much we're expecting, you to learn and do between now, and a few days from now, but i think, by the time you actually, get to writing this up, y- y- th- mostly people don't really have any trouble, once they get over the hump. you need to go into the codebook, for our E-C-L-S data and e- toward the end of today's class i'll talk a little bit more about, the data. um, and you need to select, a simple multi-level question. that can be addressed with these data. so that means you need to select, a dependent variable, uh, and you need to select a few child-level variables, and a few school-level variables. um... i would encourage you not to select a huge number of these uh basically, one of the, it will seem the first time or two, that you do this, creating a sufficient statistics matrix writing out the data etcetera getting ready to, run an H-L-M will seem so c- seem so complicated, that, in a sense what you'll be thinking of doing is, well why don't i just do this once? and then i can use this one, what we call, S-S-M sufficient statistics matrix, more than once and certainly that's, a possibility. however i'll just tell you right now you will be making hundreds of these. so, there's no reason to try and pack everything you ever thought of you might wanna ask in this first one so i would suggest, no more than maybe, three or four child-level variables and, three to four, uh school-level variables. and the reason_ i mean in fact to do your first assignment you don't really even need these, all you really need is a dependent variable_ i want you to get used to thinking about, variables at one level variables at another,

and a kind of a question that you could be addressing with that, with those so that that's the purpose of this. if you happen to create a sufficient statistics matrix, with variables, and everything's perfect then you can use it thereafter, chances are you'll be wanting to do it again. um, um so, that's the first step. you're a- well there's a lotta steps aren't there? choose a question. next step choose some variables to address that question. and you need variables at two levels the, child level the individual level, and the group level or the school level. so you need, you need variables from both of those s- systems files that are listed in the codebook. and on Friday you will learn how to, d- do this. um, the next thing you will be doing is computing the intraclass correlation for your outcome and we talked about that the other day. that's the proportion of variance, sys- that lies systematically between schools, on this outcome. uh, you'll also get an estimate, of the H-L-M, uh version of reliability on this outcome and we'll talk a little bit more about, how that type of, reliability varies from the kind that you may be familiar with, uh Cronbach's Alpha for the moment just think of them generally as the same they're an indicator of, how good a measure is the outcome variable for being able to do the kind of thing you want. um, so that's the task. now, how o- how will you present the task? well, when you write up your paper, you'll want to lay out your research question, and you may even want a few sentences in fact it would be a good idea to have a few sentences about why you think that's a good question and and the multi-level nature of the question i kinda wanna see your thinking and your writing. in fact i wanna see your thinking and your writing in every paper, not just your computing. alright then you're gonna do your analysis be sure that you include with your paper, um, all of your S-P-S-S output that you need to do this or, if you're using SAS SAS. the command file for writing out the data, the log file for the H-L-M run just so we have a record, of everything you've done. um, then you'll wanna write something, about what you've learned, uh from what you've done about the, the intraclass correlation, and the the degree of promise this has for, uh for future analyses. now, i don't have any problem with your

doing this six or seven times till you get a good one, but i also don't have any problem just choosing one doing it, and learning from what you've gotten. i mean the first st- dependent variable you choose, may be one that really doesn't have a lot of promise but you've learned a lot by doing that so, really the purpose of this explan- of of this, first exercise is the, the first step in any H-L-M is this step, but i wanna, make sure, that, y- that you all have some sense of conceptualizing the multi-level question and dealing with the data and writing it up. so, when you do this, um, you'll wanna have a cover page that has all the things that would go on a cover page, uh, i i don't care, quite, how you include the output uh a lot of people, actually, put it into a text file cut and paste and get it into their fi- that's fine, if you wanna just, literally cut and paste and stick it on a piece of paper, that's okay too. anything else David or Katy that i should say about this assignment? i don't wanna get people too hyped up before they even know what they're doing but i also wanna s- i i wanna say that i do have some expectations for the form, of your presentation and your ability to write about what you've done. some people who've come to this class say, oh well wait a minute when were we're taking statistics classes all we wanna do is show you that we know how to do things. not in any class that i ever teach. the writing it up is important. though this isn't really_ the write up here is much less, than we'll expect in future papers, however, i wanna see that you can wrap words around the ideas that you're doing. **stating [S2: the only]** the question.

S2: the only thing is, r- remind us if tomorrow we forget to show you how to edit output, so that it will save you pages. so that **you [S1: okay]** <SU-F LAUGH> don't use up your printing. we can, we can show you how to do that, using, Microsoft Word. **S1:** yeah. be sh- **be sure_ th- and it g- is that [S2: can save you, time and space]** this is a, this is a de-ver- different level of, skill, than learning how to do H-L-M and writing out raw data and S-P-S-S and that sort of stuff, but it is no less useful. and if the first time you have a little trouble with that, we would be, David

and Katy would be happy to show you how to do this again. uh, we, because we've done this before, we know that um, the first week of the class, the office hours of who- whichever T-A has them on Friday, that, they tend to be extremely, well-visited on that Friday. so i think for this week the y- both be there, right? now both, David and Katy have their office down on the third floor so they'll both be there together, but there are a couple of computers in there. and, that's the time for_ if you feel like, by the end of the lab that you're not kinda on top of this, since the assignment is on Monday and, David and Katy are not planning to spend the weekend, at your beck and call, uh, th- that would be a good time to come and visit and if you come in groups that's fine and, th- that then then that that's i- in some sense more efficient. um, if you don't need, if you feel like on t- you're on top of it which many of you will, then you_ don't feel obligated to come visit them they're not, hungry for company. uh, w- w- we're just, we're all hungry for, people getting, the levels_ feeling pretty comfortable with this first level uh uh of H-L-M. uh... [SU-F: (xx)] le- let me a- let me add something else, um, that's happened before. it's very hard, for any of us to answer, questions about, questions of the type, i made_ i tried this and it didn't work. over email. it's very hard. basically people, kinda need to look at your output to see what might have been the problem. so, i mean, i- feel free to, send email message all the time but also expect that, once in a while, um, you're gonna hafta come and b- bring a piece of paper in your hand to show, because it's hard to know what fouled up. and, things can foul up so don't, by by the time you're at this level, maybe i don't need to say this but i will say it anyway, sometimes, people take... output from the computer that says you have failed this is wrong etcetera, they take it too personally. it doesn't mean that you have failed, <SU-F LAUGH> it means that you and this computer program have not communicated correctly. <LAUGH> so, don't take these things seriously, <LAUGH> uh, as a matter of fact, there are people who do take it very seriously which means they don't really go very far into data analysis because, the f- the fact that you are all where you are now you've probably had hundreds

thousands of those error messages, already that's, i mean you don't learn to get it right unless you've gotten it wrong a few times. um, we have visitors today, and you wanna tell us what you're doing? <LAUGH> cuz i've_ i communicated with somebody ov- so many, weeks ago

S3: (xx) one other question to uh, to you uh because of this assignment. **[S1: mhm]** you said like, for the v- variable selection for the **[S1: right] research (portion)** i, uh i had a look at the codebook and it's all sorted into like uh, areas like here children teacher demographics principal characteristics, would you think it like a better step for the independent variables to choose uh within one of these domains? or, **choose like four across the domains? or**

S1: **uh, w- within or across i think** that's fine. it really doesn't make a bit of difference. in, fact the_ we sorted this_ i mean i can tell you, that, when you get, the electronic codebook for, E-C-L-S, the variables are not sorted in this way this was something to make it a little bit easier for you, **[SU-F: yeah]** when you're conceptualizing. oh something else i'd like to say, is that, um, all these data, from which you are using a subset, are available, on a C-D free of charge, and i have copies of this C-D, for all of you. now i'm happy to give it to you at any time if you would like to have, about five thousand variables in twenty thousand cases right now, or i'll pass them out later on in the semester, there'll be a time, when you might find you get_ some of you are gonna get very wrapped up in the, in the substance here. some of you are never gonna get wrapped up in the substance you're just gonna do what you need to do to learn the H-L-M but if you get wrapped up in the substance, you may find that this subset of variables that we've selected, for this class file, is wholly inadequate. but i can guarantee you, in every little subset in this codebook, there are, many many more variables. and, i- you just, go, to the electronic codebook and, kinda pull 'em off right? that's not the easiest thing in the world but, David definitely <LAUGH> knows how to do that too i mean where_ why_ where do you think this, data file

<LAUGH> came from? uh, so, i'm prepared to give one of these to all of you i_ it just seemed easier to ask, uh from the National Center for, Education Statistics, one time for a whole class than to have, twenty people sending independent emails sending me a b- and so, they at first were quite reluctant to send so many but, then when i said well okay that would be fine, you're gonna get a lot of different, emails from people requesting this, they said oh i see the point <LAUGH> uh, so i have 'em in my office right now you you're welcome to 'em, any time, i'll definitely pass them out sometime, t- toward the end but, my guess is, right this minute's not the right time. <LAUGH> Katy?

S4: i just wanted to say that those categories are arbitrary and, um, we just put them there after, we did the codebook so that it would be easier for you to find particular variables, that y- you're interested in demographics or another thing. so, they're totally arbitrary and, you don't have to, [choose \(xx\)](#)

S1: [and they may even be wrong i mean](#) in other words you may look at a particular variable think that it actually doesn't belong in [this \[S4: yeah \]](#) category it belongs in another one. uh, and i think, [\[S4: <LAUGH> \(xx\) \] it's because the headings](#) are, a little, uh they're they're kind of uh ambiguous as as well. it's always, a problem, when you're creating a codebook to be used in a class, between, trying to balance_ we wanna have enough variables that people can do reasonable analyses that're, pretty interesting to them and to us of course i mean we're interested in these data in these questions, uh, with, let's not overwhelm people with thousands of variables so, we may have uh we have may have have have erred on the side of trying to make it too simple in order to, be able to make it accessible but, uh i'm telling you, there is tons of information available. the the other thing that that's uh, something that you should know about E-C-L-S i was gonna talk about this the end of the semester of the the class but, i'll mention a little bit of it right now, they collected a huge amount of data, from the tea- from each child's teacher each child's kindergarten teacher, and it exists, on the electronic, o- on the on

the C-D it exists in a separate teacher-level file. because teachers are matched to students. and because of the design of this particular study, we don't have a separate teacher file here. but if you think for a minute of the structure, of, of, early elementary school in the United States and my guess is it's, probably pretty similar in other countries, you essentially really have children nested in classrooms which are nested in schools. so, really there's three levels of data, not two. and in theory, many of the questions that one would wanna ask, uh, using the Early Childhood Longitudinal Study would in fact take that three-level nesting into account. or might even ignore schools as the nesting and just think of children nested in classrooms. on the other hand, the sampling for these, this study, followed the same general design of other, uh, s-studies, conducted by the, National Center for Education Statistics, which is to sample, a fixed and rather small number of students, children, per school. and that number is, no more than about twenty-five. now we know on average, we know from these data, that, the average elementary school in the United States has three kindergarten classrooms now that doesn't mean that there are very many with three it just means that, there're some large ones with maybe six or seven, or, i mean there's a school down, not very far from here, that only includes uh uh uh pre-kindergarten and kindergarten, uh for the whole city of Ypsilanti so they have a whole lot of kindergarten classrooms. that's really very unusual, we've found from these data it's, quite unusual. the problem is if you have children nested in classrooms and n- classrooms nested in schools and you only have three classrooms on average in each school, that's a pretty small N. so there's a_ it's a b- it's it's a it's a it's a big problem with these data, uh, however they are the newest data from the, from the U-S Department of Education and it seems important, to get these out in front of people who might be interested in analyzing them so, that's why we have not included classroom as a separate anala- as a separate unit of analysis, b- because i have a big grant, to do this this is a this is an issue that has vexed us enormously uh Klaus?

S5: um, in that larger file are there, variables above the school level?

S1: uhuh. mhm.

S5: cuz i didn't find any (in the)

S1: well [S5: (there)] we didn't find any there because we th- we we completely_ we made a decision not to have too many, and also, if you think about the... you th- if you think about what affects small children, in American schools, the school, may not be where the action is but, be my guest. [S5: uh uh] take the C-D pull as many other variables as you want off, it's also completely possible, to create aggregates, [S5: (okay)] of child-level characteristics. one thing you do you have is, we sampled schools, we sampled down schools, and then we took every child in those schools, so, it's not like the larger file is gonna have fifty or a hundred s- kids, and here you only have, an average of, seventeen s- children per school, this i- was the sampling. so, any time you wanna do that_ i i would not suggest it right this minute, [S5: (sorry yeah)] because the, getting into the C-D can really it can can kind of confuse you but if you want to, i got a whole box full. okay any questions about the first assignment before i sort of, plunged on with our, what i what what i plan to do today is essentially finish, the, part of the course that i would call the background or introductory part of the class uh, by talking, about the Bidwell and Kasarda article uh, and then to start actually talking about, the, H-L-M. so i realize, that i'm merging over into chapter two in the book, but, so be it. alright. so i wanna talk about the Bidwell and Kasarda article. this was written in nineteen eighty or published in nineteen eighty i don't even know how much sooner a- b- before that it was actually written, called Conceptualizing and Measuring the Effects of Schools and Schooling. now, as i said the other day, this is one of the articles that i wanted you to read that were, written before there was any multi-level, uh, um software available, and this seems to me to be an unusually good example of why you need this. these are two very eminent sociologists uh, and Charles Bidwell is,

i don't know about Kasarda but i know that Charles Bidwell is, is is is still going strong, he's in the sociology department, at the University of Chicago. and he has, he's been a sociologist of education for a long long time, he's been head of the Department of Sociology he's been, head of the Department of Education, he_ nobody's the head of the Department of Education at the University of Chicago now because, they closed it down. but that doesn't mean that there aren't still people there doing sociology of education there are, Charles Bidwell is one of them. uh, they they differentiate well in the title and also in the article, between two different concepts that, may not seem too obviously different. one is called school and the other is called schooling. now schooling, is the process_ i mean they've kinda simplified it in this article to th- to talk about, the process of instruction in schools since, since teaching or instruction's kinda the main work of schools, uh, then, they talk about it as the process of instruction, but another sort of slightly broader way to think about schooling, is what happens to children in school? and not everything that happens to children in school has to do with instruction. and then school itself, uh, is, i- in this concept and i think more generally in the sociology of education which is my field, is, the organization of the place where this instruction occurs. so it is a diff- they are different things. uh, this is a very strongly sociological argument, uh um and you wouldn't see this kind of writing in a in a, paper written by psychologists i don't think. although, more you would than you would've d- twenty years ago. uh as they say, as they said in this article written twenty years and it's still true, much more research has been successful, at finding the effects of schooling, than the effects of schools. well, one, reason is because, at least in their conceptualization, <WRITING ON BOARD NEXT :45> you might have, schools, meaning the organization of them, influencing what goes on in them <:08 PAUSE WHILE WRITING ON BOARD> which in turn influences, some kind of <:16 PAUSE WHILE WRITING ON BOARD> so, clearly, in this conceptulatio- i- i- conceptualization, this is clearly a_ and i i'm kind of pushing, ideas for H-L-M here, this is clearly, a an

individual-level concept. learning or any other outcome, for students happens among individuals and there's quite a lot of variability between individuals in the same school. in the same class. whereas, schools themselves that's the_ these are concepts, that are related to, the organization of the place, and then this is somewhere in between.

S6: Maria, is there a way [S1: Heather?] to model, reciprocal, directional relationships, between those in H-L-M?

S1: no, this isn't a LISREL-type of program. i mean i suppose one could always, turn them around and_ well no you really couldn't. i mean as a matter of fact, actually, we recently did a study using these E-C-L-S data where we were extremely interested, to know, which kinds of kids go to which kinds of schools and, we conceptualized schools, along i think fifteen fourteen to fifteen different dimensions in terms of, school quality. in terms of teacher_ how well educated the teacher is exper- uh experience of the teacher the condition of the neighborhood i mean we wa- we had a long list. alright. that would essentially ass- assume that you've this, these school-level outcomes, and these individual-level predictors. th- i think that's what you're kind of asking. there's no H-L-M that could be done that way and in fact i would be happy to share that paper with you and how we did it, uh, nobody's ever seemed to have objected but, i've done about three papers of this type and it just gives me a lotta trouble each way um, but, i don't know, there isn't, no. it's a good question though. uh as i mentioned the other day and these people certainly support this, the f- research has generally shown, very modest school effects. particularly pre-H-L-M, research. and most of the one_ uh most of the research that has shown school effects, way back before H-L-M, really focused on, um... school composition the kinds of the_ the aggregate characteristics of students who go there. for instance the average S-E-S at the school, or, the racial composition of the school, or uh, the average ability level of st- of children as they come into school now, we're in a particularly good situation to look at, the average ability, of the kids in the school here because we have

measures of cognitive performance, as kids enter kindergarten. now at most public schools in the United States kindergarten is the first grade that we offer. and in fact, the structure, of education in the United States this is the first time that every p- child has access to free public education. we do offer some um um, publicly supported preschool programs, but in the United States those publicly supported preschool programs, are reserved for the poor children. and they're not universally available. Head Start's not available to everybody, it's only available to people with quite low income, and the, there are state, supported uh preschool programs as well, but these are restricted to poor kids as well. so this is the first place, that we have universal public education offered to everybody. um, in this article they've called, for more attention to what they call the social organization of schools and, this is a phrase that f- flows off my lips because it's the kind of thing i w- w- would_ w- i think about all the time. to to, kinda clarify that a little bit, this m- might be, a- looking at questions like which children get which services inside the school? who has access to what? uh, and something that might have to do with the distribution of resources in fact, the word distribution is extremely important here. and they call attention to the fact that school attributes are more than just central tendencies meaning aggregate characteristics of individuals, uh they they think it's important, that school variables, in_ when you're doing a school effects analysis are measured close to where, the instruction actually occurs. probably, what's driving Klaus's thinking for he wants more variables. and that's fine i think that's great. uh it's really quite wonderful to recognize that so <LAUGH> early, um. uh Bidwell and Kasarda argue that that this kind of, poor thinking about conceptualizing uh research looking for school effects is both a modeling problem and a measuring problem. the the question is_ and and the idea that i mentioned the other day is, um, and this came up all the time around the, original Coleman Report about, i- thinking that somehow resources that measure something like the number of books in the library are similar to, how many books are children reading? i mean books in the library are useless unless people

are reading 'em. uh, they obviously become a resource that people can draw on but the question is, then, who draws on them? nobody really seems to keep track of, which children are reading which books maybe their teacher does. um, these authors and they're not unusual among sociologists of education, are sharply critic- critical of the strain of research called status attainment studies which were very prominent in the sixties and seventies in the f- field of, of uh sociology of education and the Coleman Report is is a, is a great example of the, status attainment model. and, the problems that they list are, well included in the problems that they mention are the following, uh status attainment, research focuses almost entirely on individuals. and assumes that the behavior of individuals, is purely personal, or rational. uh coming from motivation coming from ability, and is somehow not influenced by, the context in which that behavior is actually uh uh f- manifested. uh there's an ignoring in this type of status attainment research, of the social context uh, which is is is seems pretty important. social context is really what they're really interested in. and they point out_ and the social context they call proximate school settings uh these might be the classroom workplaces um and little ability groups and a whole lot of different things. uh i'm trying to mostly push this towards little kids. if you assume that resources are equally available to all children in schools then you're making a big mistake they're not. so in the status attainment view schools would succeed by socializing students to their desired behaviors instead of making sure that access is equitable or even, as a matter of fact there are some people, who think that access really, access to resources shouldn't even be equitable. should actually be stacked in terms of more resources go to children who need them most. a kinda compensatory model. there're plenty of people who think that, but it doesn't really very often happen. as a matter of fact the small amount of money in the U-S, that finances education that comes from the federal government, mostly is organized around this compensatory model. we we put extra money into schools for uh bilingual education or for children with disabilities uh, or we have something called uh Title

One which, goes to schools with many low income or poor kids, i- in them. uh, so, the federal government, whatever money they put in schools and in the United States, uh people from other countries are kinda shocked to find that, less than ten percent of the total cost of financing education in the United States and i'm not talking about higher education i'm talking about uh elementary and secondary education actually comes from the federal government. i mean th- there're really no other countries where that's li- like that. uh, so where does the money come from? it comes from states and it comes from localities. so what we have in the United States is quite a lot of, d- differential equality of education because, so much of the money that pays for the schools actually comes from the tax base of where the schools are located. so i could tell you that Ann Arbor, among cities in Michigan, has a very high per pupil expenditure whereas there're some cities, between here and Detroit where the p- expenditures are extremely low. and, they're right next to each other. i mean, th- this is a state of great inequalities. **S2:** Ypsilanti

S1: Ypsilanti, just keep going, Taylor Romulus, uh etcetera. then you go north from Detroit, <SS LAUGH> and and those are the richest school districts in the state. so, there's great inequalities in actual, i mean in in the resources that children can draw on that are specifically school by school or school district by school district uh d- differences. uh, because in the, E-C-L-S, data set except for large cities, there is some, effort made to not draw two schools from the same school district, i mean the the it's it's i- i- th- you can assume that, some of the inequalities that're, in the schools in this i- i- datafile are are come from that. of course, that's only public schools i'm talking about private schools are different. i mean in the United States there's really no public money that goes to private schools at all. okay, they also talk in a section about the they that the the the about conceptualization and modeling and this is what's most relevant to the work we're talking about here is, that, their feeling is that school effects, which w- many, pieces of research have shown

are very low, primarily really tap, policies and practices that influence students's (*sic*) access to resources for schooling, and somehow, most of the studies don't really talk about the access. um <P :06> i wanna work through with you or talk through with you, um, in the handout, this, the page that looks like this. <HOLDS UP HANDOUT> <P :05> so if you could get that in front of you, that would be good. <P :05> these numbers describe what's called a Monte Carlo study. a Monte Carlo study, is essentially a study that is conducted with fake data made-up data. so they have created a data set from which this is, this s- s- study is drawn, uh and it includes, twenty-five hundred students, fifty s- students in each of fifty schools. oh that we had real data sets with that design. fifty students in each school, or what i would like is a hundred students in each school or two hundred students in each school. uh, but the p- Department of Education continues to have, a thousand schools and not very many students in each school because th- th- they keep the price at o- of (that are going to pay) for these studies which is really quite a problem. so, someday when all of you are, in charge of planning data collections please remember that fact. we want lots of people in each school and it will become very clear to you as you start doing your analysis and you start talking about the importance of the within-school sample size or within-group sample size, how important that is. okay so here's this Monte Carlo study, and the outcome variable is some measure of student achievement. when you're f- making up the data you can do what anything you want. so it's some test score. and there're two depe- there're two uh independent variables. X-one is a measure of student-level social class or family background. we'll just call it S-E-S. X-two is a measure of the student's cumulative receipt uh kind of school inputs of uh receipt of school resources. so X-two is some measure of school resources and X-one is a measure of individual family background or family resources. and in this study, they have set the correlation between X-one and the outcome variable and Y and X-two and the outcome variable, they've set it to be equivalent. at the start. and the difference here between column one and column two,

is that actually in column one, uh the school resources are allocated to schools randomly, meaning that then the school resources are quite equal across the s- fifty schools, and in column two the, school resources are allocated to schools, based on students' family background. so, from my point of view, column one is so pie-in-the-sky we never have it and column two is the only place where the action is because in fact in, the United States anyway school resources are very_ are quite differential based on family background for all the reasons i just told you. <P :05> okay, now, now i've sorta told what column one and column two are, let's look at the difference between model one model two model three and model four. okay? in model one, all of the the three variables X-one X-two and X-Y are both, measured at the individual level. in model two, uh Y and X are at the individual level and X-two Y_ and X-one, X-two is measured as a school aggregate. so notice in model two, uh X-two has a little bar over the top i mean like, the average. model three, has, X-two at the individual level and Y always is, and X-one is measured as an aggregate. and model four has both X-one and X-two as aggregates, and only Y is at the individual level. so you got these group and individual-level, variables. um, now, as far as i'm concerned, of these one two three four five six seven eight different models on this page, only one of them is actually really tapping what is the realistic situation. and that is model two in the right-hand column. now the point of this remember they've just_ this is th- the this is this is fake data, where they've been able to manipulate whether it's used as an aggregate variable or not an aggregate variable, whether it's the the the the X-two variables are allocated differentially, uh by family background or not so, n- notice_ let's just pu- pay attention to what happens as you move to different models and i'm mostly fi- focusing on the right-hand column partially grouped by X-one cuz i think that's realistic. alright, if you notice in model one, where X-one and X-two are both at the individual level and Y is also, that the correlati- that the the that the, the, it's not really a correlation they use this other re- regression coefficient. these are little regressions that_ the regression

coefficient b - between X-one and Y and X-two and Y, are relatively similar, and also X-one and X-two are correlated with each other at about the same level so everything's about point two okay? we're thinking of these as, beta coefficients, okay? but notice what happens, between model one and model two when X-two is an aggregate... the relationship between X-two and Y just about disappears. well, prior to H-L-M this is how every school effects study was done. and, they never found any school effects. but notice what happens when you go down here to model three, which is really something that you very seldom would have where you have aggregate measures of of of students' family background and an individual-level mo- v- uh a a an individual-level variable of school resources, notice then the X-two coefficient on Y gets big again and the X-one goes way down. $<P :05>$ and, if you look at model four which is probably the most unrealistic although people have been known to run analyses like this, but the coefficients for both X, the beta coefficients for both X-one and X-two, on Y are very small, but look what happens to the correlation between X-one and X-two, X-one uh average and X-two average it goes way up. now remember i said the oth- yesterday or whenever it was the last time we had class, that, the relationship between social class and achievement when it was aggregated was like point-seven and point-eight and when it was not aggregated it was like point-two or point-three that's what we're talking about here. all the correlation has gone into the correlation between X-one and X-two. so, basically, the realistic situation here of these eight models, is model two in the right-hand column. because school resources are measured at the school level. and individual-level background is hopefully measured at the individual level, and notice in fact if you use regression which is what they've used here the influence of X-two on Y is, nothing. i don't know_ i mean they didn't really test statistical significance but on fake data it's not really very important here, the size of the coefficient it's gone.

S3: um, just one question

S1: sure

S3: i got that so far there's only one more coefficient this this thing that's always point-nine-nine-something. i didn't quite get what [that meant](#).

S1: [oh oh you mean](#) this this the the round thing over here on the left? is that what you're talking about?

S5: no

S3: uh the uh, [\(xx\)](#)

S1: [oh that oh oh sorry okay i i didn't even](#), really talk about this. um... when you do an analysis, and you wanna, you want to, estimate how good is my model? then you would be looking at the R-square figure right? which would the b- w- they don't have it here on the paper but we could pretty much figure out what the R-square figure is, because, the square root of one minus R-square is how much error in my analysis is there? and that's what this point-nine-four-two is. it's the square root of one minus R-square. so R-square wasn't too big here. well you_ i mean like it doesn't look like it'd be too big either you only got two predictors, and in the best of_ i mean in the re- there just there's not much_ thi- but that's_ it's not really meaningful and in fact i would probably argue that most of the time this, R-square figure, is not really very important. um i i guess during the course of this class you're gonna hear a lot of my o- o- my other feelings about data analysis. mostly in, doing data analysis we're interested in posing particular questions that're interesting to us, and we're not interested in explaining the total variance in our outcome by throwing everything in but the kitchen sink. so, by looking only at R-square of how good is our model that would be the kind of what i would call the kitchen sink model, and in education data even the kitchen sink model is not gonna do you very well, the_ unless you have, unless your outcome is, test score at time two, which it very well might be, and one of your predictors is test score at time one which it very well might be in these data cuz we got time one and time two, because the correlation

between a test of reading, achievement, at time one and a test of reading achievement at time two and in theory we'd like to think well that's nine months later cuz school_ the school year is nine months long, in fact it's much less than nine months because they certainly didn't take these tests on the first day school started, nor did they take them on the last day school was over, so th- the actual difference between the time one and time two measures is more like six to seven months. in fact did we put that on the file that (thing called) test gap is it on here?

S2: (i don't think so)

S1: we might wanna do that sometime it's kinda interesting cuz we, we do have a measure they did indicate, in this school for this test for these kids what day did you do the testing? and then they had what day they did the testing and, because you only have this short time period between, that w- to_ that we can measure learning which is, gains on the test between time one and time two, it's actually pretty important, how much time there was in between. little children learn very fast. so, in fact we learned that kind of after we made this class file and we could put it on there sometime (xx,) somebody gets steamed up about it. alright. i hope this has convinced you, well... i don't know whether convinced is the word uh it slightly, has has has led you to maybe believe that in fact, the level at which you measure variables is extremely important number one, um, i mean look what happened to the coefficients of X-one and X-two as we had them aggregated or not aggregated, uh number one, and number two, uh that using regression, to look at a multi-level question because this model two i- uh the one i'm so fond of, is in fact a multi-level question if we're interested in school resources X-two and their influence on achievement after we've taken s- uh children's family background into account i mean that's a quite reasonable multi-level question, using regression, we get the answer to be nothing. so from here on, we're leaving regression behind, and now we're gonna talk about H-L-M for the rest of the semester, so here it

comes. w- w- introduction over, now we're ready to move. now the purpose here of this, overview of the logic of Hierarchical Linear Modeling, is to introduce you to, what's it all about? and... as i said i'm trying to use the notation that's, used in the book um and and uh, and i want you to be able to follow this. on the other hand, let me tell you that my own personal predilection is, that it's very important for you to understand these equations, to know what they're saying but, as you get on to, writing about, the work you do, i'm all in favor of moving away from the equations. because using equations and Greek letters has, a lot of negative, aspects to it. number one, anybody who doesn't know what you're talking about is immediately totally completely turned off. so, try writing, something about H-L-M with equations in it to somebody who doesn't know anything about H-L-M and they won't even want to read to page two of your paper. um, uh i i told you the other day that i you know i spent two weeks in Brazil not too long ago talking about H-L-M and, my host who was a member of this class last year um, was quite, distressed with me, because in my talks i was not using any equations you know he had learned these equations and he he, they'd been so useful to him that he wanted everybody to learn them so i said okay then you teach it to these people in the seminar but that's not what i'm about. but today i am about that. today, and the next time we're gonna kinda go through these things and i want you to understand them and if you feel they're very useful, between you and me and the T-As you can use these equations all you want but in the end, i mean you gotta be able to explain these things in real words. so here we go. i'm gonna stick with the example in the book because i want you to be able to understand this one really well, and it's also true, that the example that's in the book is something that's really very near and dear to me and i- i- and you might, i mean you probably don't wanna know but you're gonna find out anyway, that in fact many of these original analyses, i ran them. the data_ the data set Steve Drett and i_ Tress and i put together so like i you know some of these numbers that're in here are very familiar to me, because i made them myself. now, we're

now, on to, what page is that? cuz the page number. (in p-) i guess it's page four.

SU-F: four

S1: alright. now, i am gonna write this again on the board <:07 PAUSE WHILE WRITING ON BOARD> even though you got it right in front of you. <:22 PAUSE WHILE WRITING ON BOARD> okay. now we were just thinking of a little regression, this is_ i'm hoping that is a terminology that you've seen before. we got a little regression inside a single school where we have the achievement, that Y is achievement, for student I, as a function of that student's social class some regression coefficient that relates social class to achievement and an intercept. now what is the intercept?

S3: where the uh, regression line cuts the uh,

SU-M: one of the axes

S1: true.

S3: yeah

S1: cuts what?

SS: (the y-axis)

SU-M: the axis

S3: can s- someone expand on that? the intercept is the value of Y when X is zero. <LAUGH> and the regression coefficient for this is the, the, change in Y for every one unit change in X. isn't that familiar? i hope that's_ tha- if that's new news, you're in the wrong room. and the the error term there's an individual error term for every student I, for how much of this achievement is not explained by social class. so, in this case the error term is very large. and we assume, <:05 PAUSE

WHILE WRITING ON BOARD> it that, the error term is normally distributed, with a mean of zero and a variance of sigma squared. okay now, right here i want to introduce, a a concept, that actually, will keep popping up, but it's popping up in its first form here, and it will pop up again. and that's something called centering. <:07 PAUSE WHILE WRITING ON BOARD> now centering is, a simple concept and you don't really ever have to do it, but all we're doing by centering is we will subtract <:09 PAUSE WHILE WRITING ON BOARD> the school mean from the individual, student's social class. when we do that, this, intercept takes on more meaning. it's the average then it's the average achievement for students where social class is zero. because of course if you subtract the school mean from any individual students then that becomes zero if this person has zero as their, i- their social class, so that wipes that out. you don't have to do this but it sure is useful, and the main reason it's useful is because it makes the meaning of the intercept more meaningful. okay so that's for a single school. but even given these two we really only have two variables here we have s- student achievement and student social class. the schools can differ in two ways. they can differ in terms of the intercept and they can differ in terms of the relationship between social class and achievement cuz that's what that is. <POINTING TO BOARD> and if, the intercept is higher, in school one <:05 PAUSE WHILE WRITING ON BOARD> than in school two <:06 PAUSE WHILE WRITING ON BOARD> that means that average achievement is higher in school one and s- than school two and we might say that school one is more effective than school two... but we also can vary the schools in terms of the relationship between social class and achievement, in school one and, in school two. and, somehow, it is desirable, that, the relationship between social class and a- become_ in a perfect world, the relationship between social class and achievement would be zero. children's achievement would not be related to the social class of their family that's the perfect world. so we're thinking that maybe if school one had a lower, relationship between social class and achievement than school two, then in fact we

might call school one more equitable. <P :08> and then school one would really be better than school two in two ways. it both would be more effective it would have higher average achievement and it would be more equitable the relationship between social class and achievement would be lower. so everyone might not agree that those are good qualities of schools but, you better keep your <LAUGH> uh lack of agreement to yourselves because i think they're really important. okay. now, let's talk about, a lot of schools because, i mean, when you're talking about multi-level modeling you need a lotta schools. in this case, <P :13 PAUSE WHILE WRITING ON BOARD> and we're gonna fix this little guy, a little bit. we're gonna center him. <:16 PAUSE WHILE WRITING ON BOARD> so now we have, the achievement of student I in school J. we've got a lotta schools so we got, a lot of 'em, J is just what we use. is equal to the, intercept, the average achievement in school J, and the relationship between social class and achievement, this is B not I but B-one, J. because you wouldn't have B I (when) it doesn't_ this relationship wouldn't vary, for each student this is an average measure in each school, and we've just simply centered our, relationship_ i mean our our social class m- measure, in each school. so we've taken each child's, social class, and we have subtracted from that, the average social class in school J. and of course the average social class, could vary quite a lot across schools. <P :05> and then we still have an individual-level error term for, student I in school J. <P :06> and we still have... the error term is normally distributed and... with a mean of zero, and there_ cuz there's an error term for each student, but the but the variance of those error terms varies between schools, and essentially this is just the variance and we'll just say it in another way <:10 WHILE WRITING ON BOARD> now this little guy sigma-squared, is extremely important. i mean everything here is_ this is like, crucial. information. so now we have a lot of schools. and this is still what we call, our, within-school model. <:09 PAUSE WHILE WRITING ON BOARD> now why do i say that? because o- the only two variables we're considering here are, measured at the individual level. <P :06>

but notice now we will have, a beta-zero term and a beta-one term for each school. we'll have a different one for each school. remember i said, the other day, that one way to think about this is a lotta little regressions? i mean this looks pretty much like a regression. so if you have a lotta little regressions, you're gonna have J regressions one for each school, and you're gonna have uh, an intercept and a uh, re-regression coefficient between social class and achievement for each school. and we might call <:06 PAUSE WHILE WRITING ON BOARD> this one <:07 PAUSE WHILE WRITING ON BOARD> the effectiveness parameter... and this one we might call the equity parameter. now these terms are only relevant, to this particular situation where we're talking about achievement and social class.

S8: just, what was your measure of social class, in this?

S1: well uh the standard measure of social class it's the same one that you have on this file uh includes, three common things. i mean i d- i don't want this to, become too much of a sociology class but it's certainly is important in education to know these things. and you could probably do this better than me. um family income, parents' education, and parents' occupation. so they took fam- the parents report a family income, and they took the uh education of each parent, took it into account, but only took one if it was a single parent family and they took the p- the the the educational uh the occupational prestige of the work of each parent if they were two or only one and they created this social class measure. on the file that you have, social class i- the average is zero so it's already, not centered in each school but it's centered on the population the average is zero so zero is a middle class kid, and and, it's a it's what we call a Z-square variable. mean of zero, and a standard deviation of one. i didn't actually check to see if_ we didn't re-Z-score those did we?

S2: uh, (for these)

S4: not for the sample. no, they were Z-scored with the whole sample,

S1: just took from the whole sample yeah. so they're_ so they might
[S4: not for our (xx) sample.] not be, mean of zero. on the whole population.

S4: but it's really close.

S1: but it pret- it should be close. but we dropped a few crowded schools. so, anyway, it should be close. alright. let's talk some statistics here for a minute okay?

S2: (xx) it's not that close, so he might wanna re-Z em.

S1: w- let's not worry about that now but **[S2: yeah]** later on (i mean) there're_ i can tell there're some fanatics in the class that will immediately want to do that. very easy. okay, we got a lotta parameters here, alright? we've got, an expected value now i'm giving you a- most of the terminology i mean the main terminology in all of H-L-M is coming right here on this page right now there's not gonna be a whole lot more than this. the expected value for beta-zero, well i mean expected value is a term we use when we're talking statistics, when we wanna talk like everyday folks we might actually say the mean across all the schools. that's just the mean of these beta-zero terms across all the schools, and we call this gamma-zero. gamma is a, the a second-level term, level two term in H-L-M, and beta is a, is a level one term. okay, now, of course, think about this for a minute. we're now treating beta-zero, we never d- you've never done before i don't think. thought of it as a variable in itself. it has a mean and it has a standard deviation or a variance. okay so it has a mean and it has a variance and this th- th- th- this is where we get a little trickier because of course these things are not actually_ these are estimates. so it has a mean and an expected value and it has a variance. and the variance of the, of of of the intercept, we call tau-zero-zero. population variance across all these means. now, think back to what i said the other day. remember the

interclass correlation? it's what proportion of the overall variance in the outcome lies systematically between schools well we're certainly gonna need this tau term to be able to do that. okay we also have the expected value, of the relationship between social class and achievement, and we will call this gamma-one. this is the average of the_ well slope is an, easy word here, of the that relationship across all the schools. that parameter, beta-one also has a variance. and we call this tau-one-one. be- i- z- a- a- we'll get to why it's one-one in a minute but it's the population variance of the slopes. actually we don't care that much about tau-one-one we did_ care very much about tau-zero-zero. and it's also true that there is some relationship between the intercept and the slope. and that's just the population (to co-) variance. now typically, the, variance of the intercept, is much larger than the variance of the slope slopes are measured with a lotta error. so okay we've got, now, this is our level-one model where we have individual-level achievement, individual-level social class in this case we've centered it around the school mean, and out of our individual-level models we've got this across, lotsa schools, we have two parameters. beta-zero and beta-one. now we come to the second part of H-L-M, between-school model, that is essentially saying what are the characteristics of schools that influence those two things? i shouldn't've written that on a blackboard that was nailed to the wall. well it's alright you have it in front of you. <:30 CHANGING BLACKBOARD AND WRITING ON BOARD> so we're gonna use these things, as outcomes. <:13 PAUSE WHILE WRITING ON BOARD> and we're gonna model them as a function of something. and that something we're gonna measure, we're gonna call W. <:21 PAUSE WHILE WRITING ON BOARD> and here's what W is. W is a dummy variable. it's zero if the school is public, and it's one if the school is Catholic. <P :10> okay. now we have a lot of things here, that you've probably never seen before. unless you of course read them in the book. gamma-zero-zer- well that's the mean of means. but since we've introduced a level-two variable here, it's the mean of means for, schools cuz these are school-

level, for, those schools where W is coded zero. so that's the mean of means, the grand mean... for public schools... and, γ_1 , or zero-one here and it's β_1 γ_0 , because it's zero cuz we're looking at the intercept, and it's one because, we've got this variable here, is what the achievement, differential is, for Catholic schools. so it could be higher, than γ_0 it could be, β_1 mean it it β_0 - this could be a negative or a positive. in general it's a positive. so if we were interested in the average achievement here for, Catholic schools, once we've taken into account the social class of the kids who went to them cuz that was back in our_ that's back_ was in here, then in fact all we do is add γ_0 and γ_1 . β_0 correspondingly, this is the average, relationship between social class and achievement, for schools coded zero for public schools, and this is the, difference β_1 in the relationship between social class and achievement for, Catholic schools.

S3: Maria i think that it's γ_1 . under β_1 equals,

S1: oh yeah yeah yes cuz it's the intercept. it's_ yes y- otherwise the_ we got two of 'em thanks a lot David. now let's just go through that again okay? you can stare it on your paper you can stare at it o- at it, hm. γ_0 , is the average achievement, across all schools for public schools. now remember, that we've also taken into account the social class of the child. that's how we got these. β_0 γ_1 is the average difference between Catholic and public schools. and we can just say difference cuz of the way we coded it that's a_ th- that's a beauty of dummy variables. β_1 , is the average relationship between social class and achievement in public schools. and β_2 is the difference in that relationship between Catholic and public schools. and then we've got these error terms. the error term associated with the, with the intercept and then the er- error term associated with, the, slope. so, we can combine these, and i'll tell you right now in H-L-M you always run these two together. it's two analyses that are run simultaneously as a matter of fact to tell

you the truth, you run the whole thing together. we write these equations as though you're doing each one of them separately but in fact you're really not. <P :07> so we can put this, into one big whopping, combined model. <:10 PAUSE WHILE WRITING ON BOARD> and we do this just by substituting i- every term. okay we start with individual-level achievement for each child in each school is <:11 PAUSE WHILE WRITING ON BOARD> and this is our estimate of, for beta-zero, the intercept. then we have another set of terms about the slope. <:42 PAUSE WHILE WRITING ON BOARD> and this is, all the stuff about the slope. and then we have something very ugly. <:20 PAUSE WHILE WRITING ON BOARD> which is our, error term. now conceptually, it's not important that you memorize this at all but it is really important that you understand what we're doing. the error term is extremely ugly and unpleasant and complex, and the errors are not independent of, the predictor variable which we always want them to be, they're not necessarily normally distributed, and they're not constant either within or between schools so the error term is extremely complex... if i've left out (anything.) <P :08> so this is not a standard ordinary least-squares regression because of this complex error term uh and, as a result, we can't do this kind of analysis using regression in any sense, and so this program using maximum likelihood estimation and iterates until the error term is as small as it can be. and essentially you can't really do this with regression.

SU-M: so you really can't assume, if it's, you really can't assume hetero-hetera- (xx) that_ (xx)

S1: you can't assume any of the normal things you want to assume about an error term. [SU-M: okay] period. it's it varies with the variables, it's not normally distributed, you know all that stuff [SU-M: (xx)] that we like to write, normally distributed with a mean of zero and a standard de- uh uh variance of something, all gone. so you need iterative procedures to be enabled to do this. okay let's generalize a little bit. generally in H-L-M, we talk about level one and level two those

are the more general terms, we could talk about level three, but in the course of this course, we won't talk about level three. uh, sometime toward the end of the course during the last week we will have a day when a few people are invited to come in and talk about more complex uses of H-L-M, and there's certainly no reason to do that now, y- i mean but it's good to do it when you get to the point where you're gonna be very solid i guarantee you, in doing this y- by the end_ three weeks from now you are gonna be very very solid_ well three weeks from now you will actually be presenting your final project so i mean think about it it's_ this is speed. uh um, speed learning and hopefully, it's not speed learning and speed forgetting. um, but sometime in that last week we will brin- w- i'll i'll invite, a few people in in fact i've already invited them and they've already agreed to come and, one person will talk about a three-level substantive model, another person will talk about a a um, using H-L-M with a dichotomous outcome, um cuz that's all in the program that you know you you're_ but we're not doing it here. and another person will talk about, using H-L-M in an entirely different way so, n- you're gonna know it al- the- by then. right now, you don't. so we're talking generally about level one and level two, and in our work here we're talking_ it's both in the book and in our d- data set level one is going to be students or individuals and level two is gonna be schools or groups. or, level one we could call them children also. uh what's called random effects level-one error terms are ca- are are with R, and since they're level one they're for each individual in each school they vary uh so it's R-I, I-J and level-two error terms are these Us either zero that would be for the intercept or here U for the slope and they vary across schools so that's where J comes from. level-two variance... i mean i mean variance_ level-one variance, we call sigma-squared, and you get a little sigma-squared estimate, for each school and mostly here i'm talking about the, well it's the variance right. and there's also a level-two variance which we can call tau. now the coefficients that we're interested in or the word you might use instead of coefficients is parameters they're actually things we're interested in using as

outcomes. are... in level one_ well they are outcomes from level one they're beta terms. we'd stick with that all the time. and in level two they're gamma terms. so so far we've talked about beta-zero and beta-one, now i think you could probably see, that we could have a beta-one beta-two beta-three beta-four if you put in a lotta predictors right? well remember we've got seventeen kids per school so you don't wanna put in too many. <P :07> so right now we're just concentrating on the intercept and one slope but hopefully y- this can expand, quite a lot. and the level-two coefficients in H-L-M are gamma coefficients. and they're gamma-zero for the intercept and gamma-one's for the slopes or two or three, etcetera. we tend to use the same terminology over and over again where the level-one predictors are Xs, that's hopefully familiar to you, the level-two predictors we'll just call them Ws, and the the dependent variable we'll continue to call Y like we always did. <P :05> now...

S3: Maria?

S1: yes, Klaus?

S5: i have a question. it might be repeating what she asked before,

S1: oh no no i think [S3: but the (xx)] that's_ i mean repeat is fine here.

S5: is is the the dependent variable always at the lower level? or, could it be at the higher level? or_ it has to be at

S1: yes. always. yes. yes it is it's always measured on individuals. right.

S5: and it has to be otherwise the whole machinery wouldn't wouldn't work out (xx)

S1: otherwise, we're talking about multi-level where you have individuals nested in groups so that's right. so, i mean i- th- uh Heather asked a very good question but it's a question for which_ that it's completely irrelevant to this (program) and so it's nice to be able put a

few things outside what we're [S5: right] gonna learn in four weeks right? that's

S5: but does the program not work if you wanna, do bottom-up instead of top-down analysis.

S1: no. no.

S5: okay.

S6: but does the, lowest level al-

S1: i i'd be happy to talk to you privately [S5: yeah] about something [S5: sure] that's worried me for years and how we've actually done it which isn't successful necessarily but it does seem to be, it does seem to get <LAUGH> published in journals so i guess, <SU-M LAUGH> i don't know the field is is is as, h- uh is kinda as mystified as i am.

S6: the lowest level always has to be an individual?

S1: no

S6: okay

SU-M: in that (problem)

S6: you could have family, or family (xx)

S1: you could have classrooms nested in schools, families nested in communities definitely. [S6: okay] but then you don't want any measures on individual families you'd only have_ i mean on individual people in the families you'd have aggregates so that's fine yeah. there's a there's a s- an individual something and it's nested in some higher level grouping e- that's that's that's (great) Luis?

S7: that was gonna be my question in other words i could look at um, for my case what i'm interested in um say faculty salaries by department

and being the department aggregate of the department average salary of all the professors in all the departments,

S1: uhuh, uhuh, nested in universities.

S7: nested in universities. okay so it doesn't necessarily have to be in

S1: d- absolutely. absolutely. and the program will allow you to have individuals nested in departments nested in schools as a three-level model however, uh uh let's not talk about that (now) [S7: yeah] okay? [S7: okay] cuz it's really_ it just_ that gets really complex.

S7: so you can use an aggregate as, as the dependent variable?

S1: mhm, [S7: okay] mhm. [S7: alright] but you'd still want it to have some pr- some nice properties like being reliable and also having a reasonably, [S7: distribution] a reasonable, um yeah you want it to be normally distributed [S7: yeah] that's right. remember how the_ we have those assumptions about about dependent variables that're kind of a little bit more stringent d- they're still here. but the other thing you'd want it to have, is you want it to have an interclass correlation that is not really tiny. now right from the information on this page seven, there's all the information that you need for the interclass correlation so lemme just write it down, right now. <:21 PAUSE WHILE WRITING ON BOARD> now the only thing that's a little different than what you have in the page here is you have all these terms here is we've only listed here level-one variance do you see where it says variance in level-one variance and the variance of R-I-J is sigma-squared-sub-J? right? so i- you are you with me? well, we don't have any sub-J over here because this is the average of all the sigma-squared across all the different Js. now, by tomorrow at this time, you will have produced some output that will have all these numbers on it. think about what the definition of the interclass correlation is the proportion of variance, of the total variance in your outcome, that lies systematically between groups. okay. well, there's the variance between groups, and here's the total variance, both

the within-group variance pooled across schools and the between-group variance i suppose we can, just, continue down. <P :12> Lynne?

S8: is that gamma-squared or standard deviation?

SU-M: oh it's (xx) yeah

S1: oh this is not gamma i'm sorry. [SU-M: cuz it looks like gamma] sorry that's just me sloppy. that's sigma. <:07 PAUSE WHILE WRITING ON BOARD> if you look back on your page... look back on that page here page seven, under the variances cuz that's what we're talking about the interclass correlation is something about variances. the proportion of total variance that lies systematically between groups. okay. here's the variance that lies systematically between groups, and here's the total variance between and within. <P :07> so i think you do have to, actually compute that by hand right? you have to pull sigma-squared off your output and you have to pull tau off your output and you have to pull tau off your output and you have to sit and compute this by hand. s- so a calculator's always useful if you really feel like, you can't do these things by hand. okay now that i've laid that bomb, let's go back to talking about the data for a little bit... as i said the focus here is on kindergarten children most of these children as they enter school for the first time are about five years old and, they're_ we do have age on there somewhere i think don't we? that's the age at which they came into school and it's in months. you can see how old they are. um, in the U-S as i said this is the first year of formal public schooling available for everybody. but it's also true that many of these children did not see school for the first time when they came to kindergarten. it's increasingly common, that children have experienced, some kind of, educational something, before they come to kindergarten. and that educational something_ well if we were if we were talking about this fifteen years ago we would probably ask well did they go to preschool? that would be what we're interested in and probably a lot of you went to preschool i certainly sent my children to preschool every second i could possibly

find preschool i was, stuffing them into it. okay? um, and i of course i had to pay for it. cuz i wasn't poor <LAUGH> (you know) preschool you had to pay for. however increasingly, there's not a lot of difference between_ in the U-S anyway between preschool and what we used to call, or sometimes called day care. people, parents need some place to put their children so that mothers can go to work. and, something like, well, probably (we) can figure out what the proportion is but it's well over fifty percent, of, mothers of children of this age are actually working, and it's quite high actually for mothers even of one-year-old children. so children go into some kind of care, some of them, at a very early age. my little grandson who's eleven now, started his day care, at three months old. so he's been, i_ in some ways you could say he's been institutionalized since he was three months old. okay, now, <SU-M LAUGH> since he's b- he was in this day care, i mean i would be getting to look you know i mean i i, he lives in New York so i don't visit him very often but sometimes when i go visit him you've gotta wonder well, well what do they do all day? at a certain point you'd like to think that they're not just having a nap, or a graham cracker and a little Dixie cup of milk which is what i used to see 'em doing all the time, or just playing that somehow, it seemed to me that there should be something that looked like learning your letters learning your numbers etcetera. so those have merged into day care so now, we don't really talk about preschool anymore, we talk about child care. and child care comes in a lotta forms. so you do have a file, uh you do have a variable on this file is what form of child care did this child have the year before he or she came to kindergarten? it's in there somewhere, and it's um, stay home with mom, uh, and they even have different forms of child care, you can have it, with a relative or not at a relative but you can have it in the home or in some kind of center, um, but we don't have any information which just is really really difficult for me and it's not that i selected, that we selected the va- the variables for you, there's not a l- any information about the, what i would call the intellectual or cognitive content of the child care that that that that the child experienced, the year before he or

she came to preschool. now i can't even remember whether there's a lot of information about, child care and, and_ about child care before that year before they came. oh, they also could've gone to Head Start. and, the Head Start bureau actually puts money into this data collection so that, the measure of whether or not the child went to Head Start is very very accurate. any time a parent said my child went to Head Start they ask the parent well where was that? what's the a- address and telephone number and they call them up to find out that_ was it really Head Start because people_ Head Start's such a common term that people don't even really know whether you're in it, or not but, this is very accurate. and remember that Head Start is only available to families who are living below the poverty line so, quite poor families. so, there's all that information and you c- there it is for you to do whatever it is you want. uh, in the United States i mean actually over the last thirty years, thirty years ago, it was not that common, no more than about fifty percent of American kids actually, attended kindergarten. i mean kindergarten was seen as optional. now, virtually every five-year-old is in school. so kindergarten is now universal, and many states passed laws that it's universal uh so e- e- essentially this is th- th- this is a file o- th- this file includes a random sample of five-year-olds in the United States there aren't too many, that aren't in kindergarten. um, then you begin to think okay what does kindergarten itself look like? well it's the first year of formal public schooling but there's a tremendous debate, in, our society about what kindergarten should look like. i mean actually there's some debate about what other grades should look like but in kindergarten it's a little starker. and the questions might be to sort of oversimplify what the debate is about, it's should these kids be playing or should they be, should they be, doing school? learning to read, etcetera. and, that debate isn't i- is far from settled. and if you were to visit a kindergarten around here, you better hurry cuz i think school's gonna close before our class closes um, y- i think you would find a combination of both. they're not doing either play or they're not doing purely intellectual activities. um, it's also true that, different schools in

different locations have the right to decide how long school is in session. but mostly in American public schools school starts about eight-thirty and ends somewhere between two and three in the afternoon so it's a_ those are full-day, and mostly first grade is full-day. but kindergarten isn't, mostly full-day or mostly half-day this breaks down into about half these kids who are in kindergarten stay there all day and half of them don't. and that that variable i know you have on the file and actually i've done_ we_ our team has done a study of the, the efficacy of full-day versus half-day kindergarten. most of the schools, are either all half-day or all full-day in other words it's a school or a district decision about whether kindergarten is half or full-day. but in about ten percent of the schools, uh on this entire E-C-L-S file i'm not sure quite what it is in this file, uh, kids some are half-day and some are full-day. so that's kind of an odd little, quirk. and in fact this school i was telling you about down in Ypsilanti, Ypsilanti, has an a range an- a an organization where is all children... in preschool or kindergarten who go to public school, all go to this one school. and it just stops at the end of kindergarten so there are lots of kindergarten classes there. and Ypsilanti is a is a place that offers, full-day kindergarten to some children, uh and others don't get it. well it's kind of is- the it's it's sort of organized this way, where, if you're poor, you get a f- you get full-day kindergarten for nothing. if you're not, you gotta pay for it if you want your kid to stay the rest of the day. so there's a very odd arrangement. there's not too many schools like this in this file but i mean since one of 'em's right down the street here and, a very large school with, over ten kindergartens um um... all those variations exist. so, it's definitely true in the United State- there's a real f- difference of opinion about how important kindergarten is. i mean for instance in Ann Arbor in the last few months there's really been a lot of, public controversy about whether kindergarten should be full-day or half-day. i think, Da- Da- David's got a child coming into kindergarten.

S2: due to funding issues half-day. **[S1: right]** not due to philosophical issues.

S1: now, that's Ann Arbor thinking about what their priorities are. this is the s- school district one of the highest per-pupil expenditures in the state but they still say they don't have enough money, for full_ half_ for full-day kindergarten, and the reason is and this is not unusual at all, is they don't really think it's that important. if they did they'd have it. so, it's very_ it's been a big controversy across the country full-day and half-day. there're a few states where the whole state_ like Nebraska's one where the whole state is, full-day kindergarten. um, there're some that's school district by school district there's some where it's all half-day. and actually one of the things you have, on your file that you might be interested in is, you h- i hope we have this on the file, uh, uh, what region of the country the school is in. uh uh that_ yeah. that th- th- there's actually considerable regional differences in kindergarten which i had_ i've always ignored region as_ but this is really, sort of important. okay. now d- you're gonna hafta know something about this pretty soon, uh and th- this i'm talking about now is what about missing data? now this is not a course about missing data and don't i wish that everyone had already taken a course about how to deal with missing data but usually, nobody's even thought about it much. so, let's talk about it for a minute. um, well the first thing to say, and this is an important thing, to say cuz you're gonna confront it by the time you do your first analysis is that H-L-M allows no missing data at the school level. now what that means is if a variable that you choose to describe schools is missing on a school, that school and all the kids in it will be completely eliminated from your analysis. so, is that okay? generally H-L-M is the kind of program where you don't wanna lose any data at any time because you need all the data you can get. secondly, if you were to lose schools and, the students in them, i mean what we have here is a nice random sample of U-S schools and kids, and once some of them go away i can guarantee you, that when you lose schools, due to missing data, it

doesn't happen randomly. so, what we often do and Katy and David will be showing you this ever so soon, is we d- we plug in values on variables that we care about for schools that don't have data on those. we impute, values for that. and i- i'd prefer, that you don't just impute the grand mean because if it's a Catholic school the grand mean is not really relevant etcetera so sometimes y- you need to get a little bit of information and some time we'll learn to do this. but it really is, generally, not okay to lose schools. so we don't wanna do that. luckily, at the, within-school level, l- level one, you can select either pair-wise or list-wise deletion. so, we prefer pair-wise deletion, because y- then you don't lose everybody uh, that's missing on those data uh, so, that g- generally th- there there's kind of a like a rule here. the rule is don't lose data. do whatever you can to lose it so, i suggest pair-wise deletion of missing data within schools, you can't select pair-wise deletion of missing data between schools so you hafta do something different about that. now the very first time you do this i suppose it doesn't make a lotta difference if you lose a lotta schools, but you better pay attention, from the very first time you do your first run to, your overall sample sizes and what you've got and what your analysis is compared to what you started with. and what you started with are the Ns that are in that codebook. so N equals two hundred for schools and N equals three-three-oh-nine for students so, keep that in mind as you go through and when you lose a lotta schools, pay attention. cuz every time you lose a school you lose every kid in it. um, now there's a th- there's a case occasionally, when you might lose, some schools, and it's probably appropriate to do_ to to to lose them. and i'm i'm kind of leaping ahead a little bit but i i wanna make sure that, you at least begin to think about missing data and what happens here and y- you know that it isn't like, the program is not out to get you here it's really h- how you deal with the data, and the program that you're dealing with. uh if you are interested in, let's say, did i_ is this still (on here?) <ADJUSTS BLACKBOARDS> yeah. let's say instead of our X variable being social class if one thing that's quite lucky on this_ in most files is that, there's not a missing data

anywhere on social class. i- there_ everybody's got it. but let's say, that this X variable was, gender. okay? you c- certainly wouldn't be centering it mostly under those circumstances you'd have a dummy variable, and usually we'd code this one as female and zero as male i think that's c- it's clo- coded on the file. alright. now let's say you were interested in, looking at, characteristics of schools that equalized gender differences in math achievement. okay? it seems like a common question and we got the data to look at we got math tests, we've got_ oh you might even actually_ reading is s- something else for there's gender differences in reading for these little kids and girls are really, doing a lot better at, reading, literacy in d- in_ at five years old. that i can tell you. o- let's say you were interested in that, i've certainly been interested in that. alright then you would want to be having, this var- th- this, you'd want to model this as characteristics, a- m- m- as functions of characteristics of schools, cuz let's say you're interested in schools where, literacy or math achievement is more equitable. alright. if you were modeling that, for any school, where there're only boys or only girls you're not gonna i- th- it's gonna drop out of your analysis. because you can't estimate a slope inside a school where you don't have boys and girls. and we_ there are some single sex schools on this file. or if you were interested in race differences. <P :06> if you didn't have_ say you were interested in black white differences okay? if you didn't have a black student and a white student in the school you can't estimate that and those kids are gonna, and schools are gonna drop out of the analysis. well those that's a circumstance where in fact it seems to me reasonable, to have them go. i mean how can you_ i- e- i- there's no reason to be worried about, characteristics of schools that equalize achievement by gender if you've only got one gender you can't really estimate it. so that's a case when, i mean that's not gonna happen to you in your first assignment because you're not really gonna have a_ y- you're not_ i- th- you're just n- it's not gonna happen to you in your first assignment but by your second assignment it is going to happen to you. so i'm just telling you now that there's a_ that_ pay attention to the, the,

the actual operating sample size of your schools and kids pay good attention to them. i'm sorry, Rachelle?

S9: how would you filter the schools out if you want some of these schools out?

S1: well there's select-if, you know if_ S-P-S-S has select-if and you filter 'em out any time you want. y- you don't wanna do too much filtering here because, the S-P-S_ i mean because H-L-M is a data-hungry. and so it wants lotsa kids and it wants lotsa schools. so, i mean if you're only interested in public schools for example they've_ we got lotsa s- lots of public schools. if you were only interested in doing an analysis on Catholic schools i think you got a problem cuz we don't really have that many. so, that select-if, i mean, th- th- i i can guarantee you if some of you haven't been using S-P-S-S, or SAS for a while, uh, you're gonna get, you're gonna get limbered up real fast because, any time you wanna create a composite variable any time you wanna do any kinda data manipulation whatsoever, before you read the data into H-L-M, then you're gonna need to get S-P-S-S for that you're also gonna need S-P-S-S for the_ just reading 'em in. okay. i think you're, brain-weary here today.**S10:** Maria i, um could you explain, uh the differences between this H-L-M methodology and some others like uh mixed model (analysis?) are they conceptually same or (xx) **S1:** yes they're conceptually the same. uh, the mixed model (unique) in SAS th- that's a bit different that's not really a multi-level program. but there're other multi-level programs M-L-two etcetera is another one, these are conceptually and statistically almost identical and people have done, when early e- early on which wasn't really all that long ago people have done pretty complicated analysis to say if you make the same assumptions across the different programs you get exactly the same answer. now the the mixed model with with uh SAS, is is somewhat different and you don't get the same answer... okay, that's it.

{END OF TRANSCRIPT}

LE11

MICASE Full Transcript View

Title: Intro to Psychopathology Lecture

Academic Social Sciences and Education

Division:

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RESTRICTIONS ON CITATION OF EXAMPLES:

NONE

Recording 52 min.

Duration:

Recording June 29, 2000

Date:

Recording Equipment: TASCAM Digital Audio Tape Recorder with two external microphones

Language: Primary Discourse Mode: MLG
Native Speaker

Participants: Number of Speakers: 3
Number of Students: 14

S1: Native-Speaker Status: Native speaker, American English; Academic Role: Junior Faculty; Gender: Female; Age: 24-30; Restriction: None

S2: Native-Speaker Status: Native speaker, American English; Academic Role: Senior Undergraduate; Gender: Female; Age: 17-23; Restriction: None

SS: Native-Speaker Status: Native speaker, American English; Academic Role: Senior Undergraduate; Gender: Unknown; Age: Unknown; Restriction: None

SU-F: Native-Speaker Status: Native speaker, American English; Academic Role: Senior Undergraduate; Gender: Female; Age: 17-23; Restriction: None

SU-M: Native-Speaker Status: Native speaker, American English; Academic Role: Senior Undergraduate; Gender: Male; Age: 17-23; Restriction: None

Setting: Classroom, East Hall

S1: that too you need that. [SU-F: (this)] yeah okay. um, alright did, people try to go get the materials? [SU-F: yeah.] and did that go okay? yeah okay. [SU-F: mhm] really straightforward. um, SU-F: do you want us to bring both books like everyday?

S1: definitely you'll probably wanna bring your reader [SU-F: okay] since we're gonna be talking about that. uh, there's some useful stuff, um some of the images, that are in the textbook that i'll, talk about a little bit today just so we can all be looking at the same thing so if, if it's convenient, i mean i know that this is a particularly heavy book so you know if, it's not convenient don't bring it but, yeah um it may come in

handy at times. so. um, other questions about, just the logistics of the business of the class, where things stand? no. okay. um, today oh actually one other thing yesterday i said i would bring my D-S-M-Four this is the large, uh it's it's pretty incredible it's the large uh American Psychiatric Association's effort to take all psychological disorders and put them in a, a big book with diagnostic criteria, and so i'm just gonna send this around and, look through it as we talk today. um, you know when you first get one of these you just wanna look up everybody you know and, see if you can locate, uh friends and family <SU-F LAUGH> uh so, go right ahead. alright today we're gonna talk about assessment and diagnosis. and this is inevitably placed at the beginning of this course, which is sort of a weird place for it, because, we haven't talked about what we're assessing and what we're diagnosing. you know we don't have the disorders in hand, to be working with, um, but it, it comes to make sense in the end in sort of weird way, to go ahead and start with assessment and diagnosis. and basically the issue around assessment and diagnosis is how do we, uh when confronted with a new person or a new potential patient, how do we start to understand what's going on with them what their dynamics are, what the best kind of treatment is going to be, what's going to be most effective, in trying to help them. and there's lots and lots of different ways, to do this. most times it happens in the context of a clinical interview, that a patient comes to therapy they're looking for help, and the beginning of therapy is really about sitting down with the person and trying to get a sense of, what's going on in their lives and why they've chosen to come, for psychological help. uh, usually when i do this you know i start very open-ended i sort of say, so, you know you felt like it would be helpful to come and talk, what's going on, you know and try to open it up in that way. uh but there are several things that it's really helpful to always try to get a grip on in just an interview process. uh, usually you know my what's going on question is a question about what are your symptoms what's bringing you in what's, upsetting to you. and in that i always try to find out from people, is this something that just started, is this

something that's been going on for six years and you've decided now that you wanna come and start to talk to somebody about it or you wanna get some help with it. uh how bad is it? you know so if people say i've been really down. you know i say down what is down, you know what kinda down? and if they say, um you know so down that i'm not, going to my job, that's one thing, if they say so down that i often find when i'm home by myself i cry, that's another thing. we try to get sort of a, a grip on the severity of what they're talking about. um, one question that's always really critical in trying to make a diagnosis is why now? why is this person coming now, uh for help or is there something that recently happened? uh it can be very easy to sort of fall into, you know hearing all about the symptoms and never say, was there something that happened that you think is maybe th- you know causing you to feel more down? um, and often people don't even make the connection themselves and, inevitably it seems like you hear something like, oh well actually yes um, uh the woman i had been dating uh dumped me, very precipitously, three weeks ago. and i guess yeah that's sorta funny an- now that you mention it ever since then i've been feeling extremely down you know so it's, helpful to try to help, make a connection about why the person is coming for help at the time they're coming. um, usually you wanna ask about, you sort of start with really basic stuff about their physical functioning, that, uh it's easy to sort of get drawn into the psychological functioning cuz that you know it's it's very interesting and uh inherently complicated, but it's also really important when you're in the process of trying to make an assessment of, what kind of treatment is gonna be effective, to find out ho- you know are you sleeping are you eating, um, you know are you able to, uh do you have the energy that you usually have, and to find out those kinds of things. partially this can help you rule out another diagnostic possibility. um, people who have thyroid conditions the thy- you know thyroid is, uh, it's a gland that you know it's all sorts of really important hormones. uh, if your thyroid is severely out of whack it has all the exact same symptoms of depression. it's exa- it looks exactly like depression and so

what you also want to avoid, is you know going, this whole whole thing deciding this person is definitely depressed it makes all sorts of sense they got a B on a paper they thought they were gonna ge- get an A on, and then um miss something like a thyroid diagnosis. so it's really important to get a grip on the physical condition. one of the things that is very easy for- to forget to ask about, especially when you're confronted with a person who is clean-cut uh looks good very pulled together very articulate um is to ask about drug and alcohol abuse. and this is something that i always try to, you know make myself ask about and get out in the first session. because once, you don't ask about it it can be sometimes very hard to bring up later. and uh this is a really tricky issue when it comes to doing assessments because people are often if they are drinking a lot or doing drugs, it's usually not the thing they wanna tell you first, right people often feel quite, uncomfortable about even coming to talk to a psychologist about something going on, and so then to fess up to uh you know, drinking a fair bit or, taking drugs as a way to try manage what's going on in their lives, isn't something they're inclined to do. um, to some degree this means that psychologists have a rule of thumb that if a person says yes i drink. and you say you know how much do you drink and they say oh two or three beers a night you think okay that's six or seven beers a night you know you sort of do the, you know got a multiplier in your head. um, it's important to be specific. uh i remember when i was beginning my training i met with um, uh a young man who had who was very very depressed and who, um, was feeling suicidal and you know we're sort of having our interview and i asked you know about family history and things that had happened in his past and it turns out his dad had in fact committed suicide when this young man was in high school. um, and you know clean-cut on his way to law school very um articulate, guy and i said you know how about drinking you know, do you drink? and he said yeah a drink a little, you know and i said a little? you know cuz it's very important to be specific, and he said i usually have six to twelve beers a night and then on the weekends i really drink, and i said oh, okay and you know and then that

totally changes the scope of what we're talking about and totally changes the focus of what, needs to be addressed first. let me take actually a quick uh, um, move away from sort of the central thing of assessment. one of the things that psychologists have really found, about why it's so important to get a grip on the drug and alcohol, stuff early in trying to treat somebody is that you actually cannot be very helpful, psychologically to somebody who is using substances a lot. that it really um, using substances and trying to get help in a psychological manner, are completely at cross purposes. that you know psychological help, is about trying to understand hard feelings understand what's going on, get to the bottom of things. and drugs and alcohol when used to treat bad feelings are all about trying to numb bad feelings avoid bad feelings get away from those, and so the two really don't go together very well. and, for a long time psychologists would say to people, um, well it sounds like you've got you know a pretty serious drinking problem a pretty serious drug problem or, you know there's no question that you're an alcoholic but, why don't you and i start talking and, and that'll go away once we figure out what the problem is. and after doing this for about fifty or sixty years psychologists have finally, come to the conclusion that it doesn't work, and that people would be in therapy for six seven eight years and every once in a while the therapist would say so how's the drinking? and usually the patient would say oh, same as it ever was. and it really gets in the way of any progress. increasingly, um when psychologists find out that there's a real drug or alcohol problem the thing that i have come to say is, to the person you know look it sounds like, um, you're really you know using substances a fair bit. and my experience is that uh no matter how hard you try in here it's not gonna be so helpful to you to be in therapy while you're drinking or doing a lot of drugs. and then i'll say, let's do this. why don't you stop for a couple of weeks, and see how that feels, and we'll keep meeting. uh, and let me know how it goes with the stopping, you know, it may be something you can do comfortably may not be something you can do so comfortably, let's keep talking about that. and i sort of make a contract

with them, because i- for some people it turns out, that they can stop cold turkey that, you know it's something that's very contextual not a big deal, they've been you know drinking or doing a lot of drugs but they can just stop when they want. for other people they say yeah no problem absolutely i'll stop for a couple of weeks, and you check in with them a week later and you say you know so how's the stopping going, and they say oh you know it's actually not going so well i really, intended to stop, i'm not stopping. and that actually then gives the psychologist a nice opening to say you know maybe that's the first problem. you know if you're wanting to stop and you can't stop i think that's a good hint to us that, let's address that first and then we'll get back to this other stuff. so that's how, um, increasingly psychologists try to manage that. okay moving on to history of psychological disorders. uh, i always ask people you know is this the first time you've, been to a therapist? have you ever been in therapy before? have you ever sought psychological help before? and this is a good hint uh if there's sort of a pattern of, problems you know if a person says yeah actually every three years i drop into these massive depressions, you know i've tried this i've tried that um, that's a good hint that this person maybe has a biological depression that gets kicked up from time to time, or some sort of periodic disorder. uh, it's very important to ask about family history, and also family history of psychological disorders. especially if you're talking about some of the disorders that have a more medical genetic biological basis, like depression like anxiety, it can really be helpful to make a diagnosis on that. um, i have currently i have in therapy a very, interesting seventeen-year-old girl, who has some psychotic, functioning, uh which in a seventeen-year-old is extremely concerning because usually, psychotic functioning isn't something that starts until people are in their mid-twenties. and uh it's very sort of hard to know where this is gonna go with her and what you know her long-term prognosis is, um but one of the questions i was sure to ask her parents was you know, has anybody else in your family had, you know trouble with their thinking trouble with knowing what's real and not real.

and uh the mom said yeah we have a crazy aunt. you know she's always been crazy uh she does all of this really weird stuff and mom went on to describe a fairly extensive picture of very very paranoid behavior very very um, uh you know she would you know, come up with really crazy accusations and level them at people in the family and, you know she would decide one day that her kids could no longer play with any kids in the neighborhood and just had these very sort of, unusual behaviors, and that was helpful for me in trying to figure out what was going on with this adolescent to think, okay there's a good reason to think there's a genetic strain here of some sort of, psychotic functioning. um, in terms of that young woman she's we now have her on antipsychotics and she's doing a lot of therapy and she's, looking better but it's hard to know where it's gonna go with her. um, in addition to family history of psychological disorders i also, just like to ask about family history. um, and i usually sort of say you know, tell me about your family tell me wha- what it was like growing up. and this can obviously ve- be very helpful in terms of getting people to describe their situation, that if there are divorces or deaths or, uh intense interpersonal experiences in the family, um that may impact a current experience, it's really helpful to know. um finally, you kinda want to assess intellectual and cognitive functioning. usually you can do this as you're talking, you know i mean it's not that hard sometimes to tell, you know roughly, where a person stands in their sort of intellectual functioning just by how they talk how they interact, their memory their ability to stick with one topic and stay on it. this can begin to become an issue if you suspect that there may be something like, a slight retardation or, uh a learning disability um, so it's it's something that when you start talking about cognitive disorders then we'll spend a whole section on that, disorders like dementia or delirium that you'll you'll do a more thorough assessment of intellectual and cognitive functioning, for most psychological disorders it's really not that critical. uh, those are sort of the question parts of doing assessment. um, there's also a very much more subtle part of doing an assessment, that is harder to describe but

ends up i think in some ways being one of the most critical parts of assessment, which is what it feels like to be with the person. uh, that a lot of times you can get a sense of, somebody's experience by really tuning in to your own experience of being with them. so let me give you a couple of examples. uh sometimes if you are a- assessing somebody who is extremely depressed, it is one of the most depressing situations you've ever been in. that they are, really lethargic they talk really slow, they they communicate this you know in their body language they're slumping, uh they don't look good, um, if you ask them you know is there anything that you feel is going well in your life right now they say, no. you know <LAUGH> and by the end of about forty-five minutes of that you're ready to like walk out, you know go home for the day, go back to bed. and that that's actually a very powerful assessment tool that sort of, wow you know before i met with that person i was feeling fine i was you know, energetic and the experience of being with them. here this is clearly a very depressed person they, you know, there's no question that that is there. um i'm gonna show you an interview, in a little bit of a man who's quite depressed. and it's funny because there's a little bit of a split between he's he's pretty talkative, he's able to talk and yet i bet as you watch it if you tune in to yourself you will feel yourself sort of slipping into more and more of a funk as you listen to him and that that is actually a really, good way to get a grip on what's going on with somebody else. and <LAUGH> another person i assessed this was probably the, uh the highest, level i had ever had of really being, um, affected by a person, which was a woman who had borderline personality disorder which we will get to. and basically that is a personality disorder where boundaries are not well in place people are, can be at times extremely disorganized. um, and, uh, have a lot of trouble in relationships a lot of trouble maintaining boundaries in relationships, and and this woman on top of that um, was having an extremely hard time she was very disorganized in her life, um, didn't function particularly well, and so the very first time i met her i went out to the waiting room to get her and i brought her into my office, and she

had with her, um, a bunch of Saltines in you know how like a Saltine wrapper like you take out of a cardboard box, she had that and it was open and she had a big Coke without a lid on it and a straw, and so she comes into my office <LAUGH> you know and just there's stuff all over immediately there's crumbs all over and she says do you want some do you want so- want a cracker? an- and and i, said no no why don't you come on sit down and she's like okay, do you mind if i eat? and i said no no no that's fine. so i have a little table in my office and so she sets up her whole thing i mean and and i had just met this woman and she proceeds to eat those Saltines and i mean there's Saltine stuff like everywhere in my office in about five minutes. and so i'm trying to give my you know my t- what's going on you know how can i help you and she could not keep track of my questions at all. i mean she really, was all over the place, um, and you know i said is there anything in particular that's bringing you in now? and she said yeah yeah i've had this relationship and she goes on to describe this relationship but then suddenly it turns out she's not describing the relationship she started out describing she's now describing the relationship from three years ago, and they all kind of blended together in the way she was talking about it, um, and, so i you know i've got this set of questions i wanna ask her and it's really clear to me there's no way i'm gonna get through these questions, and even whatever i get i'm gonna have to really sort out later. uh, and <LAUGH> i- finally it was the end of our time together, and i could tell this was gonna be a problem too, that getting her out of the office was gonna be an issue. and so, about five minutes before it's time to stop i say, we have about five minutes until it's time for us to stop so let me just ask you a couple more questions and then we'll wrap up. you know so trying to prime her for this. uh, so then, you know that, was a disaster you know she, talks and talks and talks and talks, and i say, okay you know well it's time for us to stop you know would you like to come back? and she doesn't answer that question but goes back to something else she was talking about. it finally comes to the point where i actually had to stand up, right, in order for us to leave the office

i have to stand up, and say okay, you know let's find another time to meet. and um, so finally, uh that worked and she left, and in the next half hour i proceeded to lose my keys, left my bag somewhere, um started four projects that i did not finish uh, and i realized that i had completely absorbed, the experience of what this woman's life is like, i mean this extremely disjointed, confused, um having a hard time, you know keeping boundaries separate, starting and finishing something, and i thought, wow you know i, you know in a half an hour picked up, you know in the forty-five minutes together we- you know picked that up, um, and i think i just got a tiny glimpse into what her life feels like for her all the time, and much worse, than what this last half hour felt like me for me. so, those are the kinds of things that, are can be really helpful. there can also be um, mor- other interpersonal interaction stuff that happens like, uh sometimes you meet with somebody and they absolutely give you the worst creeps you've ever had in your whole life and you can't quite put your finger on it but you <LAUGH> lea- you leave thinking gosh i hope that person doesn't hav- find my number, you know that an- and that's something to respond to, you know that it doesn't happen that often and when it happens you have to listen to that and you have to think okay what was going on in that interaction, that i feel really creeped out now having met with that person. um, another thing that can sometimes happen, is that people can be very um, critical of, me. you know that they'll say, now, you have a PhD do you have a PhD? and i'll say mhm yeah and they'll say now where'd you get your PhD, <LAUGH> you know i'll say, uh you know i got it at, University of Michigan. and how about college where'd you go to college, and the- and they'll turn it into a, a grilling session of my credentials. and, um usually i'll say something like it sounds like you have a lot of questions about my, credentials. <LAUGH> you know and and try to get you know get it back to them and what that's about. but then, and that's a good hint. you know either this person's feeling anxious about my abilities to help them or they're feeling, you know or maybe it's somebody who's very narcissistic and they only wanna be with the best therapist in the

whole wide world you know and, and that those are things you can start to take in early. okay so that's sort of the fun part of doing diagnosis (sorta) all that kind of detective work, involved. let me show you an interview and this one is a more semistructured interview and it's um, a man being interviewed who is depressed and he's being interviewed with a, um, not quite as free form as what i'm describing here. but the interviewer sort of follows up questions. and so, i think i can do this all the way from over here. um, see what you think. <MOVIE STARTS 20:02> **S1:** Bernie if you wanna come over here so you can [SU-M: yeah] see.<MOVIE ENDS 30:09>

S1: okay, you wanna stop it here? <P :04> could you guys feel that? i mean di- i mean he he as he's talking and he he answers questions and he looks okay but could you feel, the sort of the monotone and the bleakness, you know that you can kind of get that, vibe from him. um, that video also raises an important issue around always checking about people's suicidality, and this is something that you also wanna be sure when assessing somebody, to touch base about. um, and it's usually it's something that you very are naturally drawn to when you work with somebody who's presenting with depressive symptoms that you always sort of say, have you had thoughts about hurting yourself or wanting not to be alive? um, but it's something that you actually have to ask everybody, and it can really be a surprise sometimes because people can present with a very chipper, you know oh yeah no things are mostly fine i'm just worried about this relationship, and then you know you- so in those situations i usually say i know this probably sounds like kind of a question out of the blue but, here's something that's important for me to ask, have you ever had thoughts about hurting yourself or wishing you weren't alive? and i've been surprised by often people will say yeah actually i do think about that sometimes and and that that really um, changes the whole nature of the assessment you're doing. uh in part because, uh obviously the safety is the major, thing you've gotta protect before you do anything else, and so, if somebody does indicate to you

that they're thinking about killing themselves or they've had that thought, it's then really important to assess how real that threat is. and often if you say you know oh that sounds like you know pretty serious, is that something you've thought that you really might do or is it something that just kind of goes through your mind and then you let it go? often people say oh it's you know it's just a thought it's like i would never do it usually and that's, the response and that's where they leave it. but sometimes they'll say oh no i it's something i think about sometimes it's an option, i consider, and then you sort of have to take it another step and you say, is it something that you've ever thought about having a plan for how you would do it, and sometimes people will get off, the track there and they'll say oh you know i mean i kinda think about but i don't you know I don't even know how i would ever do it it's you know something i wouldn't do. and of course as you're asking all these questions it's a it's a pretty, anxiety provoking situation and so you sorta hafta, say oh okay you know if it's something they say yeah yeah no i, mean no my husband has a gun and he keeps it in the garage you know an- and i know it's there you know so then you sort of have to proceed and say you know do you have bullets for the gun. and you know if the person says no no no we don't buy bullets you know that that's you know you sort of, relieving. and if she says yeah well actually i normally keep the bullets separate but i know where they are, and (then) so you can see how this really_ you proceed down this line, and if it becomes clear, through this line of questioning that there's a real risk that if this person leaves your office that they're, you know having talked about this a little bit, told somebody else that they're gonna think, you know, i can go through with that. um, you actually can't let them leave your office. you know you have to say this is really serious it sounds like your safety's in question, um, we need to make a plan, um, and this you know can be a very awkward and difficult way to meet somebody <LAUGH> and start a therapy, but obviously they've come for help so, you do all you can to help them. um on a slightly lighter note <LAUGH> i had a really incredible experience with this

when i was just starting out as a therapist and um, i, uh, i was meeting with a young woman who was very very upset about a break up and, so you know, but she seemed very you know fine. i i wasn't particularly worried about suicidality but i asked anyway. i said you know, sometimes when people are this upset they think about hurting themselves is this a thought you've ever had? uh and she says no, she said, well maybe a little bit. sometimes y- you know when i'm really mad at my boyfriend i feel like, you know, boy i could make him pay. and so i th- i say, you know have you ever thought about how you would do something like this? she said no no, except for i am allergic to peanut butter so if i took- if i ate peanut butter that would kill me. <SU-F LAUGH> and so then what's the question i had to ask next? do you have any peanut butter? <SS LAUGH> (you you feel like such an idiot) i had to ask her this cuz it's her plan. and she says oh no i don't buy peanut butter you know. and so that was the end of it. but i thought i never thought i would be asking somebody do you have any peanut butter? <SS LAUGH> so okay. lighten that up. um, let's talk about psychological tests. so there's interviewing, um, which is my personal favorite way, of trying to figure out what's going on. but there're also tests, and these can be used obviously in a much broader sense you can give the test to a lot of people at the same time, um sometimes they can be very helpful in trying to get a grip on, um specific issues that you're trying to assess, and when we talk about tests we always have to talk about validity and reliability, and this is stuff that is probably familiar to you from Introductory Psychology. uh, all these kinds of validity that you have here on your, um, in your notes, are fancy names for what is basically common sense. and since you've got the definitions right there i'm gonna go through this pretty fast, and just give you examples. face validity is that you're giving a test that measures what it appears to measure. um, basically if you're asking, if you're doing a test of anxiety you want your questions to look like they're anxiety questions. you want them to ha- say things like you know do you ever feel panicked or nervous, does your stomach ever feel upset, do you ever have a hard

time falling asleep right very sort of straightforward, tests should be_ look like tests of what they are. um, content validity, uh starts to get more interesting. basically, any phenomenon that we're trying to assess, usually has several aspects involved. so to return to, anxiety as an example. anxiety has cognitive components, you know if people are thinking about it they're thinking, oh my gosh i'm never gonna get all my work done this is terrible uh you know, uh i'm behind, it has physical components that people feel physically anxious they may feel nauseous they may feel sweaty they may have headaches, uh their heart may pound, it has emotional components right that they think, they feel dread, they feel scared, they feel nervous all the time. and so a good test of something like anxiety, is going to target all of those. and that's what content validity is is it asks about all of the content areas that are relevant to the thing you're trying to assess. so a bad test of anxiety would only say, do yo- does your heart pound sometimes? do you break out in a sweat? does your stomach feel bad? right? those are the those are the, at times the physiological effects of anxiety, but that's not a really good anxiety test. a good anxiety test is gonna ask about a lot more than that. okay concurrent validity. does the test you're working with yield the same results as other established tests in that area? okay. so say there is a fantastic anxiety test out there it's been around for fifty years, it's really well done, it's really well validated, everybody knows it's a good test, um, and we'll call it anxiety test number one. you give this anxiety test number one to an anxious person, and they score a ninety-five, right, which on that test means really anxious. say then i develop my own, fancy new anxiety test number two. and i develop this and i sit down and i come up with a bunch of questions i think are good anxiety questions, and i give it to the same person who just got a ninety-five on the anxiety test number one. if that person on my test scores a four, for anxiety on a scale of a hundred, i'm gonna p- start to doubt the test i've just developed. a really good solid test, anxiety test number one, this person's got a ninety-five, on my test, they don't even show up as anxious, probably a problem with my test. so part of how we develop

new tests is we make sure they match with the results of other good old tests. um, if there's a good old test you may be wondering why you <LAUGH> need a new test sometimes you wanna come up with a shorter form, maybe the good old test has a hundred and fifty questions and people don't like it or they start to blow off the questions at the end of the form, so you need to come up with a smaller more efficient one, but you wanna know that it's at least as sturdy as the test that you are trying to replace. uh, predictive validity, if you have a test that you're using that's trying to predict behavior, you wanna make sure that it actually predicts the behavior it says it's going to, I-Q tests are a great example of this, um, the do- idea behind an I-Q test is you've got somebody really smart they should be going out and doing smart things right, so if you continue to give I-Q tests and get really high scores but, uh people don't seem to be able to perform well academically they don't seem to be able to perform well in other areas, you start to wonder, uh if this is a measure of intelligence how come it's not predicting too intelligent behavior? are we actually measuring something other than intelligence here? uh, finally there's construct validity. and this is probably the most complex one, is the test measuring what it's supposed to measure, not something else? the absolute best example of this is probably the S-A-T. and a lot of people've had questions about the S-A-T, and whether it's actually measuring you know school ability intel- and intelligence or if it's measuring multiple choice test taking skill. right, because people sort of ar- you know have this idea that there is such a thing as skill at taking multiple choice tests there's some people who, you know don't perform very well on long written tests but if you give 'em a multiple choice test they're gonna absolutely ace it. um also as you, i'm sure remember it the S-A-T takes a fair a bit of endurance right, you have to be patient <LAUGH> you have to be willing to sit there you know a- for hours filling out little bubble forms, uh, and maybe that's a skill of its own. and so people have said you know a high S-A-T score may not be, you know that this person is somehow brilliant, it may be that they're really really patient, they're able to make good choices

on multiple choice exams, and a low S-A-T score may not reflect poor school ability it may reflect that this person is impatient or impulsive, or you know they choke when they get to a multiple choice test, uh and so that construct validity of the S-A-T has been called into question a lot. mokay, any question about those, so far? okay let me mo- move on to reliability then. um, and basically reliability, the best way to think about it is test consistency, meaning a test has to be able to give you consistent results across a variety of situations. uh, one example of this is test retest reliability. if you give somebody a test and you come back to them six months later and give them the same test, are they gonna get roughly the same score? you want them to do that. that would be good test retest reliability. what you don't want you know assuming your s- testing a stable trait, what you don't want is to give somebody an I-Q test one week and they get a hundred and forty and then you come back six months later and their I-Q has dropped down to a hundred. right that this is not something_ we don't think I-Q shifts around like that, so we think that test must not be so good, if that's what's happening. um, another thing is alternate form reliability, that there are times when people wanna use two different forms of the same test. uh for example, you know, when i teach a large class i'll usually generate a couple of different exams, uh obviously i want these exams to be consistent in terms of their difficulty of questions the things on them, you know to be fair to students. and so if i give one exam, and you know, ninety-five o- percent of the students who take that exam score in the ninety percent range and above and then the other <LAUGH> exam (in) ninety-five percent score in the sixty percent range or above, bad reliability right these are not reliable exams they're not consistent with each other. um, another version of that is that we have I-Q tests for different ages, there's an I-Q test for kids who are preschoolers and I-Q test for kids who are lo- you know lower schoolers, um and then there's one for middle schoolers and then there's one for high schoolers and adults. and even though these are completely different tests and they, you know use very different methods for assessing little kids than you

assess adults, they should all come up with roughly the same score if you test somebody across their lifetime. um, and i've been impressed actually the current I-Q tests that we use, uh actually do. they u- i've done testings with high schoolers with their um, lower school I-Q scores in front of me, and they usually come up with very similar results which is a good you know it means the I-Q tests are sturdy and well designed. um, internal liab- reliability. you want different parts of the same test to produce roughly the same result results. uh basically this means that your questions are sort of even in their level of difficulty, even in terms of assessing roughly the same things. uh another way of putting that if i um, uh give an exam with a hundred questions, i should be able to select, thirty questions out of there and the average of those should be very close to the average of the whole one hundred. that that really speaks to the stability, and reliability, of the test. finally there should be interrater or interjudge reliability. if it's the kind of test that's done by observation, and so say for an example, um i've got a test of, um how well decorated somebody's home is, right and i go in and i've got my little decorator home, thing. and i score that person's home, on that quality. somebody should be able to take the same form i have and get roughly the same results. you know that i- this the form should be designed well enough that, two different people who fill out the same form on the same topic are gonna come up with roughly the same results. does that make sense? okay. um... moving on, there are lots of different kinds of tests for assessing, psychopathology, and of course the issues of validity and reliability that i've talked about so far apply to all of these. um, first ones are biological tests. these are pretty incredible. um, and mostly we use these for looking at people where we think there is a brain disorder, that is causing psychopathology. uh obviously we wanna do this on a living subject um, you know, one of the problems with Alzheimer's is you actually cannot conclusively diagnose Alzheimer's until somebody has died. uh because you need to look at certain brain abnormalities, and right now we have no way of looking at those brain abnormalities while the person is still alive. there are

however, a couple of unbelievably cool tests that you can use to look at somebody's brain while they're still alive and awake. um one of them is an M-R-I, has anybody ever had an M-R-I? you get 'em for knee surgeries and all sorts of things. uh, the cool thing about M-R-Is is that they can actually take an X-ray of soft tissue. you know before the M-R-I, you could only X-ray things that were, hard like bones. and M-R-Is actually use technology that allows doctors to look at soft tissue through skin. it's a pretty incredible thing. uh, the same can be done to look at the structure of the brain, and look at how the brain is functioning and you can basically take an X-ray of the brain. um, you can find out things like the presence of cancer, right if somebody also has psychotic symptoms and you think maybe they have a tumor, that is causing these, that's a very effective way to try to check, um, you can also, look to see if the ventricles of their brain which are the open spaces of their brain, are growing which means their brain is shrinking, uh which is sometimes found in schizophrenia, the- these are all things you can do i'll show you some pretty cool tape on this. another a- and i think these are absolutely unbelievable are PET scans, i doubt anybody here has ever had a PET scan. a PET scan is a positron emission tomography and this is in your in your textbook. and basically what happens, is you go to the hospital, to get this done and you drink radioactive, juice. uh Kool-aid they put radioactive [S2: i had that.] you ha- you know about this? S2: yeah cuz i had, stress fractures in my feet [S1: oh okay] and they (xx) and it like shows up on the screen and it glows

S1: yeah it's this incredible thing you drink uh, d- what was your drink like that you had? S2: i don't_ it was it was kinda like Kool-aid and so- it was so weird but it tasted good.<SS LAUGH> S1: um, maybe you can get some for class. uh so they put radioactive isotopes in a liquid. and you drink them. the way it works on the brain, this is absolutely amazing. there is glucose in this radioactive i- isotope and glucose is something your body metabolizes when it's metabolizing actively. they then, um, give people mental tasks, while they have their head in a CAT

scan, something like a CAT scan, machine. and when your brain is working different parts of your brain work to do different tasks, but when your brain is working, it metabolizes glucose, and so in those areas that are metabolizing more glucose you get a concentration of radioactivity. and basically it looks like the weather charts when you're watching to see if a storm is coming through you know how they get the radar and they've got the, the thunderstorm is where there's the red and then it goes from there, that's exactly what it looks like in the brain and we'll, i'll show you that. and so you can really see if people's brains are working right, by seeing which parts are using the most glucose at the right time, and if the right parts are using glucose, at the right time. uh, and so this can be hugely helpful in, not only looking at the physical structure of the brain which is what the M-R-I can do, but in looking at the actual functioning of a- of a living brain as it's actually functioning. um, let me show you uh a couple of the segments, they have um, i think the second one shows, a schizophrenic person who is, um supposed to be doing a task and his brain does not light up in the right ways. which is a hint, um, as to what may happen in schizophrenia, with brain processes. <P :14> so PET scan so it's positron emission tomography and that's this is the radioactive isotope stuff.<P :07> <VIDEO CLIP STARTS 47:41> **S1:** this is the schizophrenic man.<VIDEO CLIP ENDS 50:25> <P :06> **S1:** so now this is just_ looks at soft structure it doesn't look at functioning, but this is the X-ray of, soft tissue. <P :06> <VIDEO CLIP STARTS 50:42> <VIDEO CLIP ENDS 51:40> **S1:** i'm gonna stop it there. isn't that amazing. i just, think that's unbelievable could somebody, turn the T-V off? (it just has a button.) thank you very much. we have an option right now. do people wanna take a five minute bathroom break? um, why don't we do that. uh just cuz it's, this is a long two hour stretch. so the bathrooms are right there, or just get up and take a stretch um, right next to the, water fountains and then we'll come back in five minutes and by my watch it's five minutes after ten right now. so, if people need to, do that please feel free. {END OF TRANSCRIPT}

LE12

MICASE Full Transcript View

Title: Historical Linguistics Lecture

Academic Humanities and Arts

Division:

File ID: LES355SU009

Publisher: Michigan Corpus of Academic Spoken English, English Language Institute, University of Michigan

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RESTRICTIONS ON CITATION OF EXAMPLES:

NONE

Recording 69 min.

Duration:

Recording March 31, 1998

Date:

Recording Equipment: TASCAM Digital Audio Tape Recorder with two external microphones

Language: Primary Discourse Mode: MLG
Native Speaker

Participants: Number of Speakers: 6

Number of Students: 12

S1: Native-Speaker Status: Native speaker, American English; Academic Role: Senior Faculty; Gender: Male; Age: 31-50; Restriction: None

S2: Native-Speaker Status: Native speaker, American English; Academic Role: Senior Undergraduate; Gender: Male; Age: 17-23; Restriction: None

S3: Native-Speaker Status: Native speaker, American English; Academic Role: Senior Undergraduate; Gender: Female; Age: 17-23; Restriction: None

S4: Native-Speaker Status: Native speaker, American English; Academic Role: Senior Undergraduate; Gender: Male; Age: 17-23; Restriction: None

S5: Native-Speaker Status: Native speaker, American English; Academic Role: Junior Undergraduate; Gender: Female; Age: 17-23; Restriction: None

S6: Native-Speaker Status: Native speaker, American English; Academic Role: Senior Undergraduate; Gender: Male; Age: 17-23; Restriction: None

SU-F: Native-Speaker Status: Native speaker, American English; Academic Role: Unknown; Gender: Female; Age: Unknown; Restriction: None

Setting: Small Classroom, Frieze Building

S1: okay let's begin. uh, any questions on the last class or anything on the readings or anything we've been doing? this will probably be one of the last sessions on the Romance languages i may need a bit of time Thursday, but after that we'll sorta look at the parallel case, dealing with English. so, the next thing that you should be reading in the coursepack

are the series of articles in the coursepack, that deal with the history of the English language again those form just general background. just some of the things i want to say i mean as i said the lectures themselves, will not be based you know specifically on those readings although i certainly will attempt to answer questions, or anything specific you may have, uh with regard to that okay? all right what i wanted t- yeah?

S2: do you want me to read this little thing?

S1: okay go ahead.

S2: okay. um just part of procedure, I'm supposed to do it. um, <RECORDING ANNOUNCEMENT> are there questions about any of this information...? shoot

S3: are you gonna, um this is gonna be, transcribed like written down? or **[S2: mhm]** or it's gonna be played?

S2: right. it's, play- well we hope to have it both available in the the form of a transcription, um, like somebody can read out on a piece of paper and also as a a digital, digitized, computer **[S3: so]** program yeah running things so people can listen to it we have programs, that can do that we're just picking them out...

S1: see for someone like me who does language history i wish that they'd done this a thousand years ago so i could have recordings, of what Spanish sounded like a thousand years ago. very nice.

S2: any questions? okay thanks.

S1: okay. all righty um what i want to do is continue with this discussion that we've been trying to show, between the interaction of history and, language change, and again as i state we're using the Romance languages as sort of our test case, because we have an abundant documentation of the situation both of the historical development of the

Romance languages the historical background of real world events which occurred from the start of the Roman Empire right up through the fall of the Roman Empire, and the ultimate uh fate of the various provinces of the Roman Empire, and we also have an abundant corpus of linguistic documentation. so to a large extent the Romance languages present an ideal case, uh for studying, the development of language against the background of history. or conversely how history affects language. one of the issues that i want to particularly concentrate on today is the issue of the linguistic, uh impact of language contact. one of the main historical themes that i've been stressing, throughout the last uh couple of classes has been that in the history of th- in the linguistic history of the Roman Empire, we've had movements of peoples. we first of all have the expansion of the Romans. as the Romans left Rome and over the course of several centuries expanded their territorial domain, to what was to become the Roman Empire which at its height, stretched from Ireland all the way in uh through west bo- well most of uh central western and eastern Europe and through the Mediterranean basin both the north and the south shore the Mediterranean, and beyond into Asia Minor. other pe- movements of peoples that are also relevant will be we'll see a little later when the Roman Empire falls apart. and when various outside groups outside uh ethnic groups, uh invade or enter perhaps that would be the better word there really wasn't an invasion, in the strict organized military sense but when uh outside groups entered the Roman Empire, this also led to the movements of peoples, and who came into contact with the Romans so in both cases with these with the (j-) territorial expansion, of the Romans as they moved i- and expanded their empire and then with the, uh entry into the Roman Empire of other peoples, the result of this is language contact in other words Latin, comes into contact, <WRITING ON BOARD> first with what we conveniently call the pre-Roman languages... in other words the Romance th- the R- the various languages, which were spoken in the territories, which became part of the Roman Empire. as i've mentioned to you in most cases, most

of these pre-Roman languages actually ended up, falling into disuse. speakers gave them up in favor of Latin, as they saw that Latin was a language of great ev- uh was a vehicle of a more prestigious culture, and also it was the linguistic vehicle which you had no choice but to use if you wanted to advance in society. now there's very little doubt from the linguistic point of view there's very little doubt um in the minds of most specialists (that when) languages come into contact, that there is a transfer of material between the languages. the degree and intensity of this will often depend on the relationships between the languages, whether they're languages that enjoy an equal degree of prestige, or whether one language enjoys more prestige over the other. the least controversial aspects of this as i've already mentioned to you and i'm not going to load you up with examples. one thing to keep in mind as we go along even when we get into some of the technical things we're gonna talk about today, i really want to get across to you the big picture the more general issues. don't worry about the nitty-gritty, of the actual linguistic details that i'm going to uh, present obviously, you have to be presented with linguistic facts. but i'm more interested in you getting just the broad picture the general principles that uh, that are issued here. okay. so, most scholars will agree that, le- there will be lexical borrowing that when languages come into contact with each other, the languages will uh transmit vocabulary especially to fill gaps, in the existing vocabulary. what is and the ro- the Romance languages are full of examples of words that both sch- that scholars will attribute, uh let's say to the pre-Roman languages if you read any of the standard histories of let's say the French language, there'll usually be a list of words in French that are believed to be of Celtic origin, that they're words that uh in other words words that entered the local varieties of Latin spoken in Gaul, um, uh due to a linguistic contact with the Celts if you read any of the standard histories of Spanish, you'll find lists of examples of words that are allegedly of pre-Roman origin that came into the spoken Latin of the uh Iberian Peninsula, from the uh, from the various uh, languages spoken, in the Iberian Peninsula at the time that

the Romans arrived. again th- one of the um more interesting differences between let's say France and Spain, and even between, let's say Spain France and Italy in this regard is i mean the territory that we today call Italy. and the territory that we today call France all the pre-Roman languages that were spoken were eliminated. although one might say hey isn't ther- isn't there a variety of Celtic spoken in France? that's true there is a variety of Celtic spoken in France, the dialect in Brittany (that) language called Breton. but that is not a vestige of the Celts who were there in the Iberian in France rather or in Gaul, at the time the Romans arrived but rather (represents) results of a later historical migration, of people from the British Isles to that part of France known as Brittany. alright? whereas in Spain we do have the interesting case that one of the pre-Roman languages survived and is still spoken today very much so. uh and uh and i'm referring of course to Basque, which uh, indeed has in certain regions of the country actually enjoys, official status in the Basque country, government and activities school activities get_ are conducted, in both the (spe-) both Spanish the official language of Spain, and also in, in Basque. what is much more controversial which i want to discuss today is this is_ and this uh uh is the general issue, of whether, non-lexical features can be transmitted from one language to another through language contact. in other words the issue of structural change. are there linguistic changes that are that we are there linguistic structural changes, uh, that can be attributed to the, to language contact? this is a fairly controversial uh area at least within the area of Romance linguistics... uh and this is all and to a certain extent the answer to this question has also, reflected, uh, almost what you'd call scholarly trends or fads. uh at an early period of in the history of Romance linguistics as a scholarly discipline, this type of approach, uh had a great appeal. um, back around the turn of the century when historical linguistics still was not yet you know very a fully s- full fledged sophisticated uh discipline. special- people who studied the history of the Romance languages, would look at let's say a given particular uh a given change in the history of French or Spanish or

Italian. and if this change were sort of unique in other words if it were a process that occurred only in one of the Romance languages and not in any of the others, they might wonder well gee this is kinda strange how would we explain it? and they often would try to attribute it to external sources. uh and external sources would be basically uh a situation of language contact. this is what's known in uh in the literature and uh you'll find reference to this in your reading of the coursepack, to the substratum hypothesis. again this metath- metaphor of substratum, is one of those geological metaphors which pervades historical linguistics. in other words the substratum is the levels of languages obviously a geological metaphor. if y- if ri- let us say the main stratum is Latin, the substratum languages according to this theory are those languages, that were there before, Latin, uh overlaid them okay so they formed a sort of linguistic substratum. and it was argued back then that even if these languages were falling into disuse, some of the speech habits, of these_ of the speakers of these languages, may have affected the way they spoke Latin... and this was a common way of trying to explain changes that were a bit out of the ordinary and now i think in this case, a picture is probably worth a thousand words. so i want to give you three concrete examples rather than talk about this abstractly, i want to_ i'm going to present from the history of the Romance languages three examples of structural changes. uh all of them deal with uh sound change by the way. uh that uh were attributed at one point, uh by major scholars, uh to the result of language contact. uh and in fact uh, one of them is a problem that's very specifically unique to Spanish. another is an issue that is usually associated with French although, a parallel phenomenon does occur in a couple of other Romance uh, varieties. and then there's a mor- a more broad based uh t- uh issue as well. uh wh- uh a phenomenon that is found in various Romance languages. so i want to look at the three of them as separate issues and then try and try to relate it, to this more general issue of how historical linguists discuss the important question as to whether external fa- forces, can play a role, in structural change. because, linguistics like any other intellectual

discipline has its fad. at one point, uh this type of explanation was very much in vogue and scholars loved it it was almost de rigueur, in fact, the uh uh most a- attempts at explanations were of this type. of this (sub-) (er) try to explain, uh changes through external uh external forces. whereas later and this is a trend that still dominates, a m- most structural change is looked upon as being due to internal structural factors. that language contact or real world has nothing to do with it, and that these changes can all be explained, internally that there are structural motivations, that you can try to (f-) analyze (in) structure, one can try to find the explanation for the change, within the inherent_ within the structure of language. and today even this interesting intellectual not only (was it_) was sort of (part of this) chronological difference, between the two approaches, but there's even almost a cultural difference. substratum explanations, still enjoy a certain degree of popularity although i will admit today, much less so than, let's say twenty or thirty years ago when i was a graduate student. but, the uh this type of explanation enjoyed a good degree of popularity, especially in European scholarship. whereas, American scholarship is much more skeptical to this sort of approach. me- whereas Europeans were_ had a more cultural approach to, language change, y- a- American scholarship especially that field that approach to linguistics known as structuralism... which by the way has its origins in Europe and not in not in America as such. American structuralism basically looked at language as a mechanism as a structure, and changes were to be explained within the framework of that structure, without taking into consideration, external features. so this is a a point is a is a is deb- is much debated. but anyway let's look at the specific changes now here i'll have to give you some linguistic data first of all, l- v- let's start with a the change that's quite difficult in Spanish. and look at the very technical approaches to it. there is a change in the history of Spanish, whereby, a number of there are a number of lexical items that in Latin, began with a sound that is represented in the Latin alphabet by what we call the letter F. and therefore it is assumed, and probably rightly so but i'm going to

make a slight modification to this as we go along. it's assumed that uh that uh that letter F, in ro- in Latin, on the basis of the Romance languages today, that the F represented, basically, the same sound as it does today in, the Romance languages and even in English that it is what is known if you've had some phonetics, uh as a voiceless labiodental fricative okay so it's a voiceless labiodental fricative again for those of you who haven't had any linguistics uh, don't worry about this if you've had linguistics, you know what i mean. uh labiodental refers to the point of articulation that is the sound is made by the (uh uh) teeth touching the lips in this case the upper teeth touching the lower lips. voiceless means the vocal cords do not vibrate so there's no, audible vibration and fricative de- de- describes th- the how the air actually passes through the point of contact that (it) actually rubs (there's) friction. and so the sound is a /f/ the /f/ sound okay? represented by the letter F. now, there are a number of words not every one of these words i'm not going to go into the issue here of the regularity of sound change, and (a- why) some a- wh- a- items of structure uh show this change and others don't all right that uh, is uh that will although it's an interesting question, and maybe one we could discuss within the framework of this class it probably is not relevant, to the you know the uh the relationship of let's say language and and history. anyway. there are a number of words i'm only going to give you three or four examples but take my word for it there are dozens more i could give but let's just use three or four as the you know representative sample of the entire thing so, you have this Latin word this is the verb to make or to do in Latin, *facere* if you can't read my writing and want me to spell any of these out for you just uh don't hesitate to ask. let's take this Latin word the Latin word *filius* this is the word for son, S-O-N, the male child alright the word for son. this, word here F-O-L-I-A *folia*, is a Latin word for a leaf, like a leaf on a tree. and this, word here *fabulari*, and i'll write it in its classical form, although this is not the immediate form that would underlie the Romance form that i want to talk about. uh this is the verb that meant to speak or to talk. alright originally you could

tell fables to tell tales, etcetera okay? we have these four. now in Spanish, and especially it's when i say in Spanish in only one of the varu- d- th- the varieties of Hispano-Romance, actually the variety that became the standard of what we call Spanish, but strictly speaking if i really want to be strict uh about the dilution say in Spanish then i should really say in Castilian, I-E in that particular variety of Hispano-Romance known as Castilian cuz there did exist other varieties. uh why Castilian became the norm as a national language is actually an issue perhaps worth mentioning within this broader framework but not today. maybe next class. let me write i'm going to write the modern forms instead of the medieval forms. this word the word *facere* gives you the la- in Spanish and again, many of you will know these words, gives you this verb *hacer* with an H spelled with an H, which today is not pronounced today the H is simply an orthographic uh a relic, but as you uh but for those who have studied Spanish, the h- the initial H in Spanish is completely silent. it has no phonetic value whatsoever, it's a holdover it's a relic it's now today just there to cause confusion and make your life miserable. alright? the word for son is this word, pronounced /ixo/ /ixo/... the word for leaf is this word H-O-J-A pronounced /oxa/ /oxa/. and the verb to speak or to talk, is um, this verb, spelled H-A-B-L-A-R *hablar*... now, this H as i said today is not pronounced but we do know here you just have to take my word for it i wouldn't lie to you, uh too often. um the H in medieval Spanish was pronounced i mean there is a historical reason for that H being there. uh in these particular cases alright? so we do know in medieval Spanish we do have evidence to prove it including, one of the first descriptions of the Spanish language that goes back to the Middle Ages. uh that this H was pronounced and so at one point these words, this H was sort of an aspirated /h/ type sound, okay it was an aspirated s- a voiceless aspirate, of like in English H uh in those words where you actually pronounce the H okay? so this would've been pronounced at some point in it's history something like, /hatser/, uh /hidjo/ in Old Spanish /ixo/ in modern Spanish, ho- /hodja/ in Old Spanish the letter J underwent a change in

Spanish at least uh its value. it's used to represent a /dj/ type sound and it's now a /x/ type sound. i mention that just for those who are interested in it it's totally irrelevant to what i'm talking about. uh yeah?

S4: is it still, in some parts of the world, a J sound?

S1: no. there is a J sound in some varieties of Spanish like the Argentine **[S4: yeah yeah] Spanish** but, what it represen- but that J sound is a modern development, uh relatively modern development which affects the pronunciation of what's written with these two letters the letter Y or that double L. which no longer is by the way a separate letter of the Spanish alphabet. the Spanish Royal Academy has demoted this from being a separate letter of the alphabet, to just an, no longer has its own separate entry in the dictionary but from here on in, words with double L will go in the appropriate place under the letter L instead of being a separate letter but that's alright but no what you are thinking of is a phenomenon, that you would hear very often in Argentinean Spanish especially, but it's spreading by the way (cuz when i) the year i lived in southern Spain a few years ago, i was noticing quite frequently in the local speech of of Seville and of the province of *Andalucia*, and when i commented on it to a colleague of mine who's a linguist, and interested in cur- dialectological changes said oh yes this is a phenomenon that's spreading quite rapidly. and actually it could be c- could spread throughout the whole Spanish world because from the point of view of natural phonetic processes, it's actually a very natural process. but uh (th-) what you're referring to is pronunciation of this word as *llamar* in other words someone saying *me llamo Juan*. okay? *me llamo Juan* or *vivo en la calle*, so and so. okay? alright. so (can- th-) the sound's coming back but the, this and this <REFERRING TO BOARD> have absolutely no relationship to each other whatsoever. alright? now if we take a look at this so what it seems we have in Spanish, what appears to be a sound change, by which, uh, to put in simple terms the way the old fashioned books used to present this would just simply be in terms of, they'd use the letters and they just

makes me say that there was this change. this little dash after the F and the H indicates that it's in word initial position only. which is true this sound is w- this change is limited, only to the /f/ sound we've found in word initial position. usually before another vowel though (again) you don't have to worry about the fine points of it. uh but basically what you have linguistically is you have the change in terms of features, you have a change, from a, from what was a voiceless labiodental fricative to a voiceless, perhaps pharyngeal... aspirate <P :05> and b- and basically what's even more imp- more striking of with regard to this change from the point of view of phonetics, is that the the labiodental fricative is pronounced in the front of the mouth, whereas the lab- whereas the pharyngeal aspirate, by being pharyngeal just by definition, is pronounced way at the back. in other words the point of articulation has changed_ has moved from the front to the back. and that's fairly that's a fairly large leap in in in physiological terms. alright? now what is interesting what caught the attention of ro- of early pioneer scholars was two things with regard to this change. one was the very nature of the change the change going from /f/ to /x/. and the second was that within the framework of the Romance languages, and at the time most scholars you know around the turn of the century when they studied the Romance languages, they were familiar mainly with uh literary varieties. people were just getting started into studying lesser regional varieties (so-called) we colloquially and popularly and inaccurately call dialects. but basically you ha- uh, wh- what struck everybody's attention was that this change seemed to be limited, to Castilian only. that in other varieties of Romance this change did not occur. and let me just give you two uh quick examples let's take, right next door to Spanish we have Portuguese. these four words also um, survived in Portuguese but the Portuguese forms have been, since the middle ages on the following the verb to do or to make, is F-A-Z-E-R *fazer*, the word for a son male child, (xx) for those of you sitting over there (xx) <MOVING FURNITURE> <P :05> in Portuguese forms, would be for the verb to do or to make is *fazer* F-A-Z-E-R *fazer*. the word for son, is spelled F-I-L-H-

O pronounced *filho*. uh the word for leaf, is *folha*, F-O-L-H-A. this L-H, is a Portuguese orthography for the /lj/ sound. and uh the verb to speak is *falar*... in French, the verb to do or to make is the verb *faire* the word for th- a son, that is a male child is *le fils*. the word for leaf is *feuille*. and as far as the verb to speak is concerned we can leave this out because we we don't have a cognate, as it happens in the Latin of Gaul uh a different verb, was used the verb *parabolare*, uh was the verb that meant to speak or the one that dominated was the one that evolved into the French word *parler* in other words this Latin *fabulari*, uh, uh it was typical of the Latin of the Iberian Peninsula because it survives in both Spanish and Portuguese, but it apparently was not the the ch- the lexical choice, in the Latin of the Roman province of Gaul, where the (w-) different verb *parabolare* dominated and became the verb *parler* so we'll leave that one out. and let's even just go with the Italian, uh the verb to do or to make is *facere* or *fare* depending upon how you want to do things. the word for son is *figlio* this is F-I-G-L-I-O the word for a leaf is uh *foglia*, and again this word to speak is a different is *parlare*, uh so uh we'll leave we don't need that, but the point is that uh just using, these rom- these particular varieties of Romance, is that the, this change /f/ to /x/ appears to occur only in Spanish. it doesn't occur in any of the other Romance languages. it seems to be limited to Spanish. and it's also, in linguistic terms it is a strange change now, that's not a very scientific way to s- (to) describe anything by the way to say that's strange. or to even use a worse description unnatural. uh, linguists have talked about changes that are more natural than others. uh that's a statistical term and has nothing to do with human physiology or natural or unnatural speech acts. if you can if any if a human can do it it's natural. so /f/ to /x/ since it is a- it is possible to open /f/ to /x/ it is an articulatory possibility, it is not an unnatural speech act. it may not be a statistically very common or frequent change, in the totality of changes that are observable in the world's languages, but that is irrelevant uh, uh i- i- uh in our considerations but statistically it's not all that common. and so within the framework of the Romance languages it really stood out.

uh why would Spanish go this route? and, the fate here i want to emphasize is not only was it just Spanish but it was that one specific variety, called Castilian which as happens is the, was one of the basic th- th- was basically the variety, i want to avoid the use of the word dialect it was the variety that for non-linguistic reasons, became the model for the standard language. if the political situation in medieval Spain had been different, than what it ended up being, it is conceivable that another variety, of Romance would have become the standar- the national standard, and we might not even be discussing this issue. because what is interesting is within the framework if we limit ourselves just to the varieties, of Romance uh spoken in what is today Spain, the neighboring varieties, they have let's say in the middle you have Castilian... to the west you have Leonese, and to the east you have Aragonese... in Aragonese and Leonese, this change of /f/ to /x/ did not occur either. uh Arago- Leonese and Aragonese behaved exactly as did Portuguese, or as did French or Italian. in other words the change did not occur. the /f/ stayed uh you know remained intact. so one gets the impression that we have here, a very strange change. so scholars went ahead well how do we explain Todd (t-)

S2: what are you saying? /p/ to /k/? or /f/ to /k/?

S1: /f/ to /x/.

S2: and so you're saying that F is changing into... (xx)

S1: yeah well what i'm trying well yeah (xx) th- what happened is that in Castilian and only in Castilian, what was the /f/ in Latin, or what is believed to have been a /f/ in Latin, cuz i'm gonna have to sort of uh, nuance a little later something i'm saying, but what traditionally is believed to be an F sound in Latin a /f/ sound, in other words a labiodental fricative, as Castilian evolved, that /f/ became a /x/. alright? whereas in all the other varieties of Romance that didn't occur.

S2: how do you know that that's the case or that maybe they were using, um a letter which we used for something else to represent, the labiodental, fricative?

S1: because we have the living evidence of all the other Romance languages. moreover the fact the other point is cuz here i'm giving you just limited data, uh there are lots of exceptions to this rule. okay there are a numb- there, are a fair number of exceptions. okay? i'm afraid to really answer your question thoroughly i would have to go off on such a tangent, it would lead us much too far afield your question is perfectly legitimate and i don't want to give you the impression i'm just trying to deke it or duck it rather, so if you want to discuss it with me further i'd be more than happy but i don't want to take up class time with that okay?

[S2: okay] so i'll ask you to make an act of faith and believe me, **[S2: okay]** alright? (xx) okay. so we have this situation scholars wondered well what could have caused this strange thing to happen? and they came up with an external explanation. because it had been noticed by (uh) some scholars that the Basque language <P :05> in Spanish there's reason to believe that an old stage of Basque (and) here again i won't be able to explain all the details. it was, the Basques th- appar- apparently recon- using the comparative method of reconstructing Basque, remember we (discussed the,) comparative method in the first half of this course we discussed general principles of it, we didn't go into a detailed (d-) introduction as to what it is that's, would be done in a course that was simply an introduction to historical linguistics and not language and history. but, when scholars had attempted to reconstruct the earlier stages of Basque based upon, what we know about the various varieties today that we subsume under that one label Basque, cuz remember Basque as a language is only attested from the sixteenth century onward we know it's got a very long history. but its written history is comparatively short. its, spoken history is very long. there is good reason to believe that Basque did not have originally in its phonemic inventory the /f/ sound. in other words Basque lacked in its

phonemic inventory, a voiceless labiodental fricative. let us assume that to be the case. it is a reasonable statement to make not every language in the world, has all the same sounds, and it is very possible to have languages in which you do not have, uh th- uh the voiceless labiodental fricative that we represent in this using the Roman alphabet, with this letter that we call F. so let us assume that Basque did not have this sound. according to the hypothesis that was, uttered at the time, and the proponent the leading proponent of this hypothesis was one of Spain's great scholars, and you also have to remember the history of scholarship there are lots of extraneous things that affect the way people think. and Spain in the nineteen twenties and nineteen thirties, this was a country and in the era in which authority ruled. (th-) first of all you did have a very authoritarian central government, and authority was not questioned whether it was the authority of a great teacher or (whether it was) the authority of the central government or whether it was the authority of the church. it was a k- it was a society, with very different attitudes and (xx) than what we're used to today. and, this uh hypothesis, gained a great deal of currency and really held and it was really accepted for quite a long time by Spanish scholars, despite some serious objections raised by non-Spanish scholars, simply because of the authority and the intellectual prestige, of the scholar who came up with this hypothesis. his hypothesis was the following. speakers of Basque did not have an F now let's assume that to be true that indeed, uh the time of the contact between Latin, and Basque. and he does take this uh problem back to the time, of the Roman Empire in other words this would be a very old phenomenon. and Latin came into contact with Basque which is true again that's historically verifiable. that uh ma- that and the Basques uh actually offered a rather serious degree of resistance to Romanization. uh that uh although the areas of the Iberian Peninsula had most successfully resisted the Romans the Basques held out the longest. and one could even argue as i said before that the Basques basically held out, even if when the Romans said finally we have triumphed we now control all the Iberian Peninsula the Basques

said well believe that if you want, uh but they really didn't submit to Roman rule it's actually interesting (that) the Basques were Latinized and Romanized not by the force of Roman arms, but as a result of Christianization. when Christianity caught on in Spain and began to spread in Spain in the third and fourth century, it was Christianity that uh played a major role in the linguistic Latinization of the Basques. but be that as it may (you know when) you have a language contact situation you have speakers of Latin, who are in let's say the socially prestigious situation, so we could call Latin let's say the upper language or the high language, and Basque is the lower language. you're going to have the situation of language contact you're going to have the situation of speakers of Basque trying to learn Latin. the hypothesis is the following. since speakers of Basque did not have a /f/. in their system. well what happens in fact let me ask you this cuz you all have this experience you've all tried all of you i'm sure has been in the position, of having to learn at least one foreign language. and in many of the languages that you study as a foreign language, the target language the language you're learning, will contain sounds, that are not part of the language, that you speak natively. for example two of the hardest sounds for students who are native speakers of English, who are trying to learn Spanish, are, evo- the sound represented by the letter J today the so-called *jota* the /x/ sound, of Spanish, as in the name Juan, and also and perhaps even harder, is the sound represented in the standard varieties of Spanish by the orthographic double R. the d- th- th- the alveolar trill. as in *perro* /r/, it's not /R/ or anything like that it's /r/ and students of English since you don't have trilled R's, in English, uh find this sound hard to learn. and what often happens? what did alright obviously the situation when many of you have tried to learn a foreign language you've learned it in a sort of the artificial classroom setting which is a sort of a controlled atmosphere. but what happens if uh for example, you are let us say a native speaker of English spirited off, at a young age to a Spanish speaking country, and you are just basically dropped in the middle of the village or whatever and told to learn you've

got to learn the language not in the classroom but on your own. when you start out what is the normal reaction? u- normally what do you do, with sounds that are foreign, to your language? what's you know what would be the most logical thing you would try to do? and you try to imitate the sounds of the foreign language, and you come across the sound, that your native system does not have...

S5: you use something else that, your native system does have that's similar.

S1: exactly you usually go until you a- until you actually start to master the language the the usual first reaction, is to use a s- a sound in your language that is somewhat similar in other words shares, some f- not all obviously but shares some of the phonetic features, associated with the sound that you're tr- uh you- associated with this strange sound. okay so of course obviously when, the Basques were learning Latin, in the days of the Roman Empire, the Romans did not have the goodness to organize schools and have Latin one-oh-one. followed by Latin one-oh-two etcetera. if in other words the Basques who were learning Latin who were learning it you know uh in the marketplace or on the streets or in the fields. uh, probably the best way to learn language. but probably not the best way to teach elegant grammar or elegant pronunciation. so according to the theory of Menendez Pidal the Basques didn't have a /f/ sound, but rather that the Basques, did have and this again can be documented on the basis of our reconstructions of Basque, uh that Basque certainly did have an H type sound... now, one might ask what in common is there between the phonetic features of a /f/, and the phonetic features of a /x/? what do they have in common? is this even a reasonable linguistic hypothesis? in other words we see according Menendez Pidal's hypothesis, by the way Menendez Pidal is the name of that great Spanish scholar don't worry who it is, uh, um his hypothesis was that uh a Basque trying to pronounce *facere* since in that since the Basques didn't a /f/, in his or her linguistic system, they take th- they would try to approximate, to the nearest sound, and

according to Menendez Pidal, that sound must have been a /x/. now he made that decision probably on the basis of what we do know. this is almost one of those cases, of perhaps your mind is you know your analysis is prejudiced by the known facts. in other words since we know that it ended up with a aspirated /x/ type sound in the scin- the Spanish, that Menendez Pidal would've argued well the /x/, must have been, the closest sound, that the Basques had in their system to a Spanish /f/. or to a Latin /f/. alright? actually you whether i tr- use the term Latin or Spanish it to a large extent this becomes almost irrelevant. because there's that's just a continuum of just a change of labels but really it's the same linguistic reality, and it's just after a certain chronological period we call it Latin, and after a certain chronological period we arbitrarily, uh from our twentieth century perspective say oh no this is no longer Latin this is now Spanish. but it's an uninterru- language developments like this are uninterrupted continua. sometime the labels change Latin become Spanish Latin becomes French sometime the labels never change. we use the word English to refer to the language of Beowulf, and the language of Chaucer, and the language of today yet clearly linguistically they are not the same. alright, so, according to Menendez Pidal, uh a Basque speaker trying to say *facere*, w- uh uh wouldn't have said *facere* but woulda said something like *facere* or whatever woulda pronounced his /f/ as a /x/. would have said something like *filius* instead of *filius*. and uh this affected the way Basques learned Latin, oh and then this ch- trait spread, into other speakers and thus became the local norm of pronunciation up there, and that's how it evolved, that's what the hypothesis says in a nutshell. in other words that's the there he is arguing that this particular strange sound change, the passage from /f/ to a /x/ is due, to a non-linguistic circumstance. the non-linguistic circumstance, the_ being the arrival of the Romans, and their and the attempt by the Basques, to uh atte- to uh, to adapt, to their language, this sound that didn't exist in their language. that_ now i've highly simplified this particular problem, but again i just want to try to get across the general issue that we're interested in is whether external

factors can play a role in motivating a structural change of this sort. now let's look at some of the criticisms of this particular change. Menendez Pidal, argued that the /x/ , uh, uh that the /x/ was replaced the /f/ replaced by /x/ because they're structurally similar. however he also was aware of one other factor which he didn't pass over he didn't cheat, and just ignored this because he came to a strange conclusion, Menendez Pidal noticed, that in the Basque language not in Spanish now we're talking about Basque, uh remember this change that we're dealing with here is (is a) attempt to uh understand how the Basques, attempted to speak uh Spanish or to speak Latin, which was to become Spanish okay? it's still remember this change deals with Spanish not with Basque we're not trying to say, that Basque, changed /f/'s to /x/'s cuz Basque didn't have a /f/ alright? it's when the Basques the speakers of Basque were trying to learn Latin, that they made this change and they pronounced their Latin, s- kind of funny that they had said, they ended up saying *facere* and *filius* and *folia* and *fabulari*, and that's led to the f- the uh Spanish forms at issue. alright? however Menendez Pidal noticed the fa- noted a fact which he didn't d- but he didn't make a connection he noted that in the Basque language, many Latin words entered because again uh nobody denies the presence of Basque words in the history of Spanish, and, conversely, despite the fact that the Basques spiritedly resisted, the Roman force of arms as i said the Basques did adapt Latin as a language especially for religious purposes, starting around the third and fourth centuries, and the Basques by the way have been some in the history of Spain if i may just uh, go off on a tangent the Basques have been, in Spanish history and Spanish religious history some of the most fervent Catholics. i mean one of the world's great religious orders, was founded by a Spanish Basque, in an effort to fight the Protestant hordes in the sixteenth century. and to which religious order am i referring and to which famous Spanish Basque? <P :05> the Jesuits. and the uh saint who cou- the famous Spanish Basque being Ignatius of Loyola. okay all those universities that are named Loyola in this country you ever wonder why

they're all Jesuit schools? <LAUGH> they're named after Saint Ignatius of Loyola who was a famous Basque priest, who uh founded the order, called the Society of Jesus, which uh j- more popularly known as the Jesuits, etcetera. anyway. um, w- when speakers w- uh m- lots of Latin words entered the Basque language in other words the ba- the lexicon of Basque is full of words whose historical origins are not, part of the native stock of Basque, but rather, represented words borrowed from Latin. and the one thing that was noticed is that m- the m- overwhelming majority of these Latin words, that had F in them when they were borrowed into Basque, they weren't borrowed into Basque with an initial /x/ type sound, but rather, they were borrowed into Basque either with a /p/ or a /b/. okay? so just to give you one example that comes to mind right off the top of my head, the Latin word *fasta...* became i forget the exact Basque word but it starts with a P it doesn't start with an H. so, although Menendez Pidal is claiming that when the Basques tried to learn s- Latin. or, you know the varieties of Latin that were going to be evolved into Castilian the Basques tried to learn Latin, they took the Latin F and, turned it into a /x/ type sound, when the Basques adopt- adapted Latin words with the /f/, they didn't have the /f/, they adapted it, not with a /x/, but with a /p/ or a /b/. now, linguistically, linguistically, uh which do you think which actually again and if you've had phonetics you should be able to answer this question through a bit of common sense does not require a a highly sophisticated knowledge of ling- of phonetics or phonology. in terms of, phonetic proximity, (in-with) terms of features, which is closer to a /f/? a /p/ /b/ or /x/? we take /p/ /b/ as a unit cuz after all they, except for the voicing and voicelessness /p/ and /b/ are identical. as far as phonetic features go. the only thing that distinguishes them is the voicelessness of the /p/ in other words vocal cords do not vibrate, versus the voiced nature, of the uh versus the voiced nature of the /b/. so leaving that aside, in terms of phonetics, which actually is closer to a /f/ a /x/ or a /p/ /b/? and justify your answer by the way.

S4: /p/ /b/

S1: /p/ /b/, how many agree with that? any disagreements with that? fine it's quite correct now why would you say it's closer? yeah.

S4: labial

S1: right, they all the /p/ the /b/ and the /f/ all share, uh, all share the feat- the feature of labial or l- labiality in other words all of them involve in some way, in their articulation, the lips. alright the lips are, uh the lips come into play. so, therefore it would almost seem more logical, that if you're a speaker of Basque trying to learn, Latin, that if you're going to (ada-) uh you can't pronounce the F cuz you don't have it, and you instead of making the effort to learn it, and of course, that's one of the alternatives is just to learn the new sound after all, for those of you who have learned Spanish, as native speakers of English, you have, learned to with varying degrees of success perhaps to pronounce the sounds of that are the *jota* and the trilled R today. or if you're learning or if you're a native speaker of English and you're learning to speak Arabic you've gotta learn to do all sorts of uvular, and uh pharyngeal sounds that don't exist in the English language, but you learn to do it. and the fact that you're young enough you learn this without any effort you just pick it up as you go along. so one would expect that if the Basques when learning the Latin were going to substitute the F with something they weren't going to substitute it with an H, they were gonna substitute it with a /p/ or a /b/. so that's one of the main objections or problems, with this structural with this uh with this explanation, is that uh why would they have done it with a /f/ shouldn't they have done it with a /p/ or a /b/? yes
Todd

S2: um, refresh my, my knowledge of, phonetics here, is it, is it always or most usually the case that, that, when you're talking about something being close to another one your your, emphasis is on, closeness or,

relatedness in terms of proximity or does it ever have to do with both of them, having the same, production feature (or) (xx)

S1: it's the features no (it- s-) not w- u- wu- you when you mean proximity are you talking about physical proximity?

S2: yes.

S1: no no it it's to do with features.

S2: yes... versus versus both like the H and the F being, um being fricatives or

S1: well the H and the F actually they're not i mean strictly speaking, the F and the H, uh the H is actually an aspirate it's really not a fricative. whereas the

S2: (xx) i i mean having more fricative like [S1: (qualities) yeah.] instead of instead of being, stop.

S1: y- (well) this presents a a general and much ki- and somewhat controversial issue of which are the most dominant features. okay? in other words the /p/ and the /b/, the /p/ shares the with /f/, th- uh the uh features the uh u- the features of voicelessness and of labiality. and also of physical proximity. alright? cuz again the physical proximity is not unimportant because the one thing that again the thing that stands out in this change and makes it sort of, strange in quotation marks, is the fact that you're going from a sound here that's labial I-E involving articulators that are in the front of the articulatory apparatus, to a /h/ which is articulated almost as far back as you can go, in the articulatory apparatus in other words you're you're traversing, the whole gamut. and even leads to the whole problem of, intermediate stages or whether it was just basically a leap, from the front to the back. alright? <P :05> okay so this is again, th- the one of the main objections that were was raised to the substratum hypothesis, is that if uh if that it indeed if it

were due to Basque influence and the Basques didn't pronounce (a) /f/, given the fact that Basques when they adapted Latin words into the Basque language, they adapted them fairly c- uh almost consistent with the /p/ and /b/, never with an H- with never with a- but never with an H this is important alright? whereas this change involves the /f/ to the /x/. so uh again that (xx) (to) that had been the main reason that uh, has been challenged. alright? uh in other words uh s- scholars have argued that they're quite unlikely. moreover and this presents another problem of language learning, is that you could argue that uh the first generation if you have a situation let's say a Basque Latin language contact, the first generation of speakers, uh obviously will make mistakes. it's generally been shown that the older you are the harder it is to learn a foreign language, and also, unless you're gifted and have a good ear, the thing that many people don't get down right or never master totally, is the pronunciation of the foreign language in other words one could maybe develop a tremendous vocabulary, have elegant grammar you know know all the even the stylistic tricks, and perhaps write as well if not better, have a wide vocabulary, but yet speak sort of with a foreign accent. like i will admit this in my own case. although (i'm) considered in Spain to be a fluent speaker of Spanish and many Spaniards have commented to me both on the breadth of my vocabulary, and my and my mastery of the syntax of Spanish both spoken and written, nevertheless whenever i open my mouth, i give myself away as a foreigner because i just have a tin ear, and there are certain features of pronunciation that i can- especially intonation patterns, that i just cannot imitate, and i've given up even trying to imitate them. uh and so i would never you know the C-I-A could never infiltrate me into Spain and try to give me a false I-D and pass me off as a native Spaniard because as soon as i open my mouth, the word Yank or foreigner or North American is written all over me. okay it's obvious i'm not a native speaker although i may have native fluency, i am not a native speaker there is a difference. okay? well the same, in language learning however the next generations, see although let us say for example if i

had gone off to Spain as a young man and despite my accent if I had let's say now lived in Spain married a Spanish woman and had children whose first and only language may have been Spanish, they would not make the native speaker mistakes that I make in other words these mistakes are not you know transmitted in the genes so to speak. the next generations would learn the language natively, and therefore would adapt the phonetics, of the language. so that's what some of the objections are made to this hypothesis as I said I'm not really interested in discussing here the merits or the intrinsic merits of the hypothesis but more or less to illustrate a type of linguistic problem that arises whether a similar thing like this can be explained in terms of external factors or in terms of internal factors. the external explanation that has been given for the sound change, has been the language contact between Basques and speakers of Latin. why did the linguists want to approach it this way? the main reason at the outset was because this change, uh seemed to be strange in other words it didn't occur in any other Romance languages, uh people seemed to speak uh, a linguist had the idea well this must be weird. what factor is there in the history of Spanish, that we cannot find in the history of French or Portuguese or Italian? and of course, the Basques are a wonderful answer. there are oh sure you can say there are Basques in France yeah but not up in Paris where standard French was formed, and as it happens cuz I've slightly cheated on giving you the data, the Romance dialect that's spoken on the French side of the Pyrenees, uh where the Basques hang out a great deal but you know in other words a French Basque country there's a Romance variety called Gascon... and Gascon also has this change of F to H in other words it actually occurs on both sides of the linguistic border. alright? so the change seemed to be limited, to varieties of language uh to at least on the Romance side, to varieties that were in contact with Basque it doesn't occur in standard French doesn't occur in standard Portuguese doesn't occur in standard Italian and, but it occurs in Spanish, and also the other historical fact

that we know is although today we say oh standard Spanish but that's the speech of Madrid or Toledo in the center that's true, but historically, and this is a point i may actually may come to uh in one of my other classes, uh in uh in dealing with this in dealing with Spanish, historically the dialect Castilian that became the basis for the national language, has its origins way up in the north. and then moved south with_ as a result of a historical f- of a non-linguistic fact movements of peoples involved in this process which i'll talk about maybe next class, called the Spanish Reconquest. but Ba- Castilian historical its historical origins are up in the far northern central part of Spain, in that area which we know where even today Basque is still spoken, and which we know from medieval history, in which Basque was a very live, you know and very much used language in the middle ages at the time that Castilian was evolving okay? so there is that eh the historical facts are there, the question is, does one lead to the other? so the external explanation is that it's due to Basques. uh linguists would've rejected that and tried to come up with various internal structural explanations, uh which i really don't think it's worthwhile going into in the framework of this class let me just mention one, uh that the actually the one that i think i happen to think is maybe right. and this goes back to something actually Todd brought up, uh the letter F actually may have actually represented two different sounds, in uh in Latin there may have been sort of an upper class and a lower class pronunciation. the upper class pronunciation, is the one that would be considered to be the standard F pronunciation today in other words the labiodental fricative the /f/ type sound. um which therefore and so you have the features of labiality. the_ another pronunciation of the F though uh a or another variety that is documented actually in ma- in certain languages of the world including some varieties of Spanish, is that what is written with the letter F in standard orthography, is actually not a /f/ sound but it actually it's a /pf/ /pf/ type sound it's a voi- it's a voiceless bilabial fricative. in other words there's no contact between the teeth and the lips, so it's not a labiodental, but rather it's a um, it's a bilabial, but the lips don't come

together, and so the air coming out rubs against the upper and lower lips and you get a uh fricative sound. some people have claimed that that was sort of a lower class pronunciation of Latin, that the upper class people who spoke elegantly, who spoke properly in quotation marks, pronounced the letter F as a /f/ sound. whereas uh, uh speakers who were of the less least less educated ilk, pronounced it as a more of a as a /pf/ /pf/ type sound. and we do know w- one thing historically, and this for which we do have historical evidence, the Romans who actually came to the northern part of the Iberian Peninsula were basically a less educated less cultured, Roman than the Romans who settled in the south of Spain there was this interesting sociological division in the Roman colonization of the Iberian Peninsula. the more educated upper class, types had the intelligence to go to the south where it's nice and warm in the winter, and settle along you know those nice resort areas along the what today is called the Suncoast the Costa del Sol in Spain, whereas uh we do know that the many of the Romans who settled the northern part of Spain, were actually fairly uneducated soldiers and miners, uh one of the reasons the Romans actually wanted northern Spain was for the silver mines, there'd been mining operation going on there ever since the time of the Romans the Romans discovered the silver mines, up in the North and exploited them, uh, heavily for the Roman economy, and so it's been argued that there was a let's say that the spoken Latin of the North, was of a less cultured variety than the spoken Latin of the south. this is hypothesis, because all we obviously with our written texts that we have preserved you can't tell the difference, because spelling is spelling in other words, a Roman would spell the word fac- this word F-A-C-E-R-E regardless of whether if you had it right, regardless of whether he pronounced it *facere* with a labiodental /f/ or whether he pronounced it something like perhaps *facere* with a bilabial F all right? an- (and) pardon?

S4: it looks painful

S1: (xx) <LAUGH> is it pain- it looks painful cuz i'm doing it unnatu- you know it's a, but uh, because again why although the language is like English does not have a bilabial fricative. but there are varieties of Spanish for example that have a bilabial fricative there it works just instead of the /f/ sound, where you say something like *la fiebre* instead of *la fiebre* for fever, or *el fuego* for fire *el fuego* rather than *fuego*, okay? and so some people have claimed that the starting point is a just an internal structural change, motivated by the uh fact that the F was bilabial, was a bilabial fricative not a labiodental fricative. again we need not go into the intrinsic linguistic arguments, the point i want to make is here there are two different explanations, one external and one internal. alright and that's the point that i actually want to try to get across. alright? any questions on that particular example?

S4: you said the internal was the upper lower class?

S1: ye- well that's uh int- the internal actually would be the /f/ the phonetic nature of the F yes. yeah. not the fact that the sl- ea- the class distinction is actually an external feature. but the fact that is that internally, then you would've the starting point would've been this uh labio- would've been this bilabial fricative. by the way that w- that solution also presents a number of problems as well, i'm not necessarily advocating it, cuz you still have the interesting phenomenon that hasn't been (that) neither uh hypothesis explains, is how you get from a front sound to a back sound. why does it go from a /p/ to a /x/? one thing and here this might even be more of interest for those of you interested in more general phenomena of linguistic change, it's interesting tha- that the history of Spanish there are a number of changes that are unrelated to each other probably, in all likelihood they're unrelated but they do have the one thing in common. they represent uh a switch from sounds that were pronounced in the front of the mouth, toward the back of the mouth. in other words that in the history of the Spanish language there are a number of_ some changes, unrelated to each other, okay this is important, but le- but when look at them separately and then try to put it

all together you might get the idea it does (xx) seem to indicate some sort of tendency. and the tendency is from going from let's say, you know put in linguistic terms from plus front, to either you want to state it as minus front or plus back, depending on how you want to handle you know binary features. for example you have today there's a change going on in the history of Spanish, probably the most noticeable change that's going on today, in the history of the Spanish language, uh to which uh probably is is an internal change without any doubt, but it's going on all over the Spanish speaking world and some of you may have even experienced this, especially after you you know cuz one of the first things first of all let me ask you this right how many of you have been to a Spanish speaking country? okay what wa- where were you?

S4: Spain

S1: what part of Spain?

S4: Madrid

S1: have you been south of Madrid?

S4: no

S1: now that doesn't help cuz this is uh Madrid doesn't do this at all but the South does how many of y- anybody here been to the south of Spain? or been in the Caribbean? or at least familiar even by listening to the radio or television, let's say with Cuban Spanish or Puerto Rican Spanish? w-

S4: well th- they don't use all the letters.

S1: (xx) that's a very unlinguistic way of putting it you're right but that's a [S4: (they leave things out)] very unlinguistic way of putting it they don't use le- they delete many sounds that happen to be still there in the standard spelling, but no let's not confuse letters and sounds please that's something i know it's just it's a uh habit that even traditional

historical linguists used to make. when historical linguistics, was beginning as a scholarly discipline, uh people used the word they didn't talk about change of sounds they talked about change of letters. and uh most of the writing which was in German, they actually used a German word *Buchstabe* which doesn't mean sound but which means letter of the alphabet. but though you know but uh goin- but one of the ongoing changes in Spanish is (the tendency) to aspirate, what is written as the letter S. so for example if you asked someone in Havana, or Seville... or in m- or in Puerto Rico, or anywhere among (xx) most of the coastal areas of Latin America, what is written, in any variety of Spanish, for us to say it is two o'clock, alright it is two o'clock, uh whereas in Madrid, you would it would be *son las dos* with a sort of apical alveolar S where the S is very clearly pronounced with a rather high degree of sibilancy, and on and in Mexico City these S's are pronounced quite strongly and very noticeable *son las dos* but if you asked this question at two o'clock of course, in Havana or in Seville, or in San Juan Puerto Rico, or even in cities like Santiago de Chile the odds are could be the answer you get will be *son las dos son las dos*. in other words as if i mean i'll transcribe it rather than spell orthography you have instead of these S's you have these aspirated sounds. that the /s/ is becoming a /h/. in mo- in many varieties of Spanish today. that the /s/ m- n- not all /s/'s by the way, it's conditioned. it's /s/'s at the it's /s/'s at the um, at the end of a syllable, alright syllable final /s/ is becoming a /h/ in many varieties of Spanish. and in some varieties in fact it's the educated culture norm. it's something you'll never be taught in Spanish one-O-one, etcetera and if you did it you'll be corrected. but in certain areas like in Havana or in Santo Domingo, uh for example it's a norm all the educated people do it all the time yes

S4: does that even show in verb endings like (*cuanta?*) [**S1: pardon?**]
(*cuanta*) as opposed to (*cuantas?*)

S1: yes well it affects verb ending it affects agree- it affects plural marking it affects agreements. (no) it's got very serious consequences in Spanish.

S4: so it changed all the verbs? [**S1: yes it does**] (xx) conjugation of the (you form)

S1: it certainly does. although it doesn't change the orthography you see uh but it does it s- it but orthography's secondary, so people speak they don't write, uh but i'll be with you in a minute okay? for example with the verb oh you're perfectly right although, many Spaniards today, obviously any educated Spaniard writes like this, <WRITING ON BOARD> and distinguishes between these two forms <P :05> *tu hablas* versus *usted habla*, uh nevertheless for many Spaniards, this_ these two are pronounced almost identically. in some cases you have the H type sound here so there is still a difference actually *hablas*, i'm gonna have to exaggerate it (alright cuz) i don't do it natively *hablas* alright versus *habla*. in other words an aspiration represented by that little superscript H, versus nothing, alright? but you're right no the consequences, both for the marking of pluralization, and the marking of the second person singular in the Spanish verb conjugation, uh this change, had ab- enormous structural consequences. and which again is a very interesting linguistic point from the point of view of language change although it has nothing to do with external history cuz this is probably all internal. but uh, uh this is an example of a phonetic process, a /s/ becoming a /h/, an aspiration process strictly phonetic, which has very important morphosyntactic consequences. because it affects both, marking of numbers singular versus plural, because /s/ is the plural morpheme par excellence in Spanish, and /s/ is also the, morpheme that indicates the second person singular in, the entire verb system of Spanish. okay? so you're right no it's a it's a_ but this change the /s/ to /h/, is typologically parallel i mean the keyword here is typologically. alright it's typologically parallel, to the /f/ to /h/, in other words /s/ is the sound that's pronounced in the front part of the

articulatory apparatus, and the /h/ is pronounced in the back part so you've got us going from the back to the front, i mean the other way around please the front to the back. the same as for /f/ to /x/. and the other one in the history of Spanish and this is something you wouldn't know unless you know the history of the Spanish language, is the *jota* sound. like for example this word i'll just take this common word D-E-J-A-R, which as you all know who studied Spanish, common verb that means to let to permit to allow, *dejar* with a /x/ sound. in medieval Spanish, and even early modern even up through the seventeenth century, this was spelt like this D-E-X-A-R, and that X we know very well was pronounced as a /sh/, and in fact there were varieties of Sephardic Spanish that are still spoken today, although Sephardic Spanish unfortunately is dying out rather rapidly, but Sephardic Spanish has retained certain features, of the time that the Jew- from the time that the Jews were kicked out of Spain in fourteen ninety-two. and (is- s- f-) in a varieties Sephardic Spanish this is pronounced, *dejar* with a /sh/ *dejar*. so again we have a /sh/ front of the mouth, to a /x/ /x/ type sound, back of the mouth. alright? any further questions on that? or on the whole bit or yeah i'm sorry you (can.)

S6: um well two questions now. the first one is, with the, deletion of the S, is there a increase in the use of subject pronouns?

S1: yes i think so. that's a problem that people have not studied, uh there are in pr- that's one of tho- one of those ongoing issues. i think there is, one notices in Caribbean Spanish where this loss of the S is very very predominant i mean it's almost, typical, in certain areas you know in certain countries the loss of S is considered to be lower class or regional. for example in Spain it's associated with *Andalucia*, and people in Madrid say well those Andalusians they don't know how to speak Spanish. you know in fact one of my colleagues now retired who i will not name, objected to our having our junior year abroad program in Seville, because, this colleague considered the Spanish of *Andalucia* where Seville is, to be inferior, to be you know, not worthy of being

studied by foreigners, whereas the speech of Madrid was the model of how you should pronounce it. and b- and so in certain countries like Mexico and Spain there is a regional, and social differentiation whereas in the Caribbean, the loss of S is almost the norm. the lower class uneducated do it but so do the highly educated upper class do it. in other words there is no social distinction. between the loss and sometimes by the way, it's gone all the way it's or an it's in many varieties it's an aspiration. in other words a /s/ has become a /h/. in other words there still is the sound there in other words that this form is not homonymous with or homophonous rather, with this form, cuz this has this aspiration, this does not. but in other varieties, this H has even gone to the next step to total elimination, and in which case then, this form, despite the orthographies, are perfectly homonymous and to distinguish them, yes there does seem to be a higher frequency of use, of the subject pronoun, in Caribbean varieties of Spanish. and that again could be a uh change, uh morphologica- uh again the consequences of this phonological change. this happened in the history of French. for those of you who know French as you know modern French, the use of the subject pronoun is obligatory you cannot drop the subject pronoun in sp- in French you must, you must use it. in fact some people argue that in French today the subject pronoun is really, not a subject pronoun, but is actually a prefixed person number marker, that is attached to the verb because the endings have basically disappeared although they're there in spelling, they're not there in actual pronunciation, remember French spelling is just as bad as English spelling it's so far out of date it's per- it's pathetic, but uh doesn't really reflect the realities of the modern language, okay? well the same with uh, the French, but you're right right right what was your other question you said you had two?

S6: oh um the first time you said *son las dos...* the the S in the *las* and the *dos*, was almost like a /sh/ sound like you (xx)

S1: *the first time (xx)* yeah when i did the Madrid pronunciation, yeah, but that's because the type of S and this is totally irrelevant to this whole issue but just for your own benefit, uh the S the phonetic nature of the S of Madrid is very different, than the phonetic nature of the S that you would hear in southern Spain and in Latin America.

S6: (uh) well i was just gonna say, that S didn't sound too far away from saying the, *dejar?* or instead of the <UNINTELLIGIBLE OVERLAP> *dejar*

S1: *okay i* that's uh but that's just an acoustic impression. you're quite right but th- th- but there's no relationship between the two. in common? no but the question your per- question's perfectly legitimate (but there's no) relationship. okay listen uh, i'm going to reward you for your patience if i start the next topic i'll never get it finished and i'd rather not interrupt myself, and uh it's warm anyway, and uh so let's give the tape recorder a break too, and so thank you very much and i'll see you on Thursday.

<MICASE-RELATED SPEECH>

SU-F: when is it, that you want these uh papers in?

S1: the term papers? last day of class. (even though) earlier will be accepted. but the last day of class which is *[SU-F: the last day?] Tuesday*, which is {END OF TRANSCRIPT}

APPENDIX B: Spanish Corpus (SC)

LE1

CAMPO: Humanidades

ASIGNATURA: Historia de las primeras civilizaciones

Nº ESTUDIANTES: 23 (12m/11f)

Fecha: 15/11/2004

Duración: 59 m.

Nº Palabras: 5.652

[eleva el tono]

[baja el tono]

[tono irónico]

[P. REVISA LOS APUNTES]

[E. TOSE]

[P. NO TOMA EN CUENTA LA INTERVENCIÓN DE E.]

[INTERVENCIÓN ESTUDIANTE] (alumno/alumna,
responde/pregunta)

[P. ESCRIBE EN LA PIZARRA]

[P. ACLARA LA VOZ]

[pausa]: cuando es larga

...: pausa corta, titubeos

[pausa, esperando respuesta]

[ralentiza el discurso]

[repetición, parafrasear]

[tono descendente]: tras una interrogación el profesor expresa
carencia de búsqueda de respuesta, es el profesor quien la da

cursiva para anglicismos

<incomprensible>

[P. ESCRIBE EN LA PIZARRA] Por favor, vamos a comenzar. Estos días en los [pausa] como consecuencia de estas dos eh... clases anteriores de las que no asistir por mis compromisos con lo... con los... congresos, vamos a tratar de adaptar, recuperar el tiempo...

perdido [pausa]. Esta ausencia también he querido [pausa] que quería que revisar la totalidad de los... trabajos que me entregasteis de manera que ya os daré el resultado la próxima... la próxima semana. Vamos a comenzar siguiendo con las explicaciones que veníamos dando a cerca del imperio egipcio, retomando por tanto la explicación eh... si no recuerdo mal a partir del imperio medio y estructurando la clase de hoy del siguiente modo: una primera parte en la que os daré unas eh... pautas teóricas acerca de los contenidos que mejor representan las características del imperio moro-egipcio, con un una breve alusión al segundo periodo intermedio, y posteriormente para mejor reflejar [eleva el tono] eh... esas características veremos dos proyecciones en vídeo, una de ellas completará la que ya... estuvimos viendo el último día, la referida a la... intervención moderna sobre le templo ecuestre de Abu Simbel. Con lo cual creo que didácticamente será [P. ACLARA LA VOZ] será conveniente aproximarnos a las realizaciones arquitectónicas de la época de Ramses II, y... la otra un mejor conocimiento de las características imperialistas del imperio nuevo dejadas a la batalla de <incomprensible> [pausa] la batalla llevada a cabo por el más expansionista de los faraones egipcios, **Tutmes** III Tutmosis. Bien pues sin más preámbulo pasemos ya a la explicación. La cronología que tenéis en la pizarra se corresponde con los dos momentos eh... históricos, los dos procesos a los que hoy vamos a referirnos. El primero [P. ACLARA LA VOZ] marca la la [P. ACLARA LA VOZ] perdón la cronología del segundo periodo intermedio, y la siguiente cronología abarca [eleva el tono] todo el periodo que... [pausa] sí creía que me ibas a preguntar algo [baja el tono], la segunda abarca todo el periodo que comprende todo el imperio nuevo [eleva el tono], concretamente las dinastías dieciocho, diecinueve y veinte, aunque... solo... la primera parte de esta cronología, la dinastías dieciocho y diecinueve puede considerarse como... el periodo álgido [eleva el tono] y más importante del imperialismo egipcio. Veamos primero unas breves eh...

características, unas características explicadas de forma muy breve [repetición, parafrasea] sobre el segundo periodo intermedio [pausa]. Se produce este nuevo descenso... de la... unidad y de la cohesión social egipcia como consecuencia de la penetración de los hicsos [pausa]. Si recordáis os estuve explicando que hacia el año 2000 en la zona del Próximo Oriente confluyen dos corrientes migratorias procedentes una de ellas del desierto sirio-arábigo, esto ya lo hablamos, y otra de procedencia indoeuropea, de la estepa indoeuropea. Ambas [eleva el tono] probablemente como consecuencia de... eh... extremados cambios climáticos que provocan el movimiento migratorio de estos de estos grupos. Recordareis que como como consecuencia de <incomprensible> ellas en la que me he referido [acelera el discurso] la... **reiteración** de... pueblos del desierto sirio-arábigo se producen cambios importantes en Mesopotamia ¿recordáis cuales? [pausa esperando respuesta] ¿recordáis cuales fueron estos cambios? [repetición, parafrasea] [pausa esperando respuesta] ¿quiénes fueron los pueblos que penetraron en Mesopotamia desde el desierto sirio-arábigo? [repetición, parafrasea] [pausa esperando respuesta] Acabo de decir que hay dos corrientes: una que procede del desierto sirio-arábigo y otra indoeuropea. [INTERVENCIÓN ESTUDIANTE] (alumna responde) ¿cuál? [INTERVENCIÓN ESTUDIANTE] (alumna responde) Los pueblos nómadas de montaña lo... normal es que procedan de la montaña no del desierto, sí eso ya la propia denominación lo... lo explica sí [tono irónico]. Estos pueblos del desierto sirio-arábigo se llamaban **aomitas** y ¿no recordáis que efecto provocan en Mesopotamia? [pausa esperando respuesta] vale, esa desestabiliza todas las dinastías reinantes y eh... establecen su propia... sus propias dinastías [pausa] y una de ellas la dinastía **paleobabilónica** tiene una importancia esencial [eleva el tono] en el transcurso histórico Mesopotamia ¿tampoco lo recordáis? ¿y por qué? [pausa esperando respuesta] ¿no recordáis ningún rey? [INTERVENCIÓN ESTUDIANTE] (alumna responde) ¿eh?

[INTERVENCIÓN ESTUDIANTE] (alumna responde) **Almudahi**, a lo largo de la historia ha sido recordado [baja el tono] [P. ACLARA LA VOZ]. Estamos a mediados de noviembre, tomáis apuntes como posesos y posesas, los cuales no sirven para nada si no lo tratáis de aprender y retener en la las explicaciones que yo os voy dando, esto es un pueblo de procesos lógicos, eh... y os insisto siempre en que recordéis lo que esta ocurriendo a cada momento en el... en todo la zona de Egipto y Próximo Oriente sino luego tendréis un desajuste cronológico enorme y no sabréis a que periodo pertenece cada hecho. Bien, la segunda **transcurrencia** os he dicho fue de características indoeuropeas [eleva el tono]. Fueron los pueblos indoeuropeos los que se establecieron desde Asia Menor hasta... la cabecera de los ríos Tigris y Éufrates, pero no fueron una... penetración con un objetivo finalista, es decir, no se establecieron en estas zonas en la **zona de conia** en... Asia Menor lo que debería recordar al establecimiento posterior del imperio **aitita**, o... a la aparición del reino **en Italia** en la gran ciudad de los río Tigris y Éufrates entorno al lago de Van, sino que fue una penetración sin fin aparente. Es decir, los pueblos nómadas que penetraron en el Próximo Oriente continuaron [eleva el tono] su recorrido y [eleva el tono] a su vez fueron empujando a otros pueblos que como consecuencia de esas penetraciones se veían [eleva el tono] obligados a movilizarse eh... de manera migratoria. Esta corriente [eleva el tono] de presión migratoria fue eh... encadenando toda una serie de movimientos que [eleva el tono] se prolongaron a través de la tierra de Caná, en la franja sirio-palestina, y que doscientos años después de haberse iniciado acabaron por llegar a Egipto, penetraron [eleva el tono] en el delta del Nilo y establecerse en esa zona. Este... movimiento migratorio es el que dará origen al segundo periodo intermedio en Egipto. Las fuentes egipcias llaman a estos emigrantes invasores hicsos, una palabra compuesta que significa jefes de pueblos de pastores [pausa]. Los estudios bíblicos, la exégesis bíblica, suele relacionar esta llegada de los hicsos con eh...

la llegada del pueblo de Israel [P. ACLARA LA VOZ] a Egipto. Es posible que en esa presión [eleva el tono] continua a la que os he hecho referencia en toda la zona de Caná, en la franja sirio-palestina, se uniesen a este movimiento migratorio los pueblos nómadas que habitaban esa zona entre ellos los israelíes. En cualquier caso, fuera como fuese lo cierto es que durante el periodo [eleva el tono] cuya cronología tenéis en la pizarra, cuya cronología, pueda producir toda una serie de... procesos en Egipto [pausa] que desestabilizan el poder central único y llegan incluso a establecer [eleva el tono] dos eh... distintos eh... territorios con capitalidades diferentes y con soberanos distintos también. En el delta de Nilo [pausa] unas dinastías [pausa] creadas por estos hicsos, por estos guerreros recién llegados al país, establecen su capital en **Abais**, en el delta, adoptan las formas monárquicas egipcias y gobiernan un amplio territorio, que incluye el delta y parte del valle, mientras que en el resto del amplio Egipto gobierna otra dinastía, por lo tanto se produce una coincidencia [eleva el tono] durante este periodo del del... llamado segundo intermedio se produce una coincidencia entre gobernantes genuinamente egipcios que dominan una pequeña parte del valle y los hicsos que insisto [eleva el tono] bajo... las mismas formas [eleva el tono] monárquicas egipcias gobernar el resto del **<incomprensible>** [baja el tono]. Esto va a ser así [eleva el tono] [pausa] produciendo además, como podéis imaginar los lógicos problemas de enfrentamientos entre estas dos dinastías toda una serie de procesos similares a los que vimos durante el primer periodo intermedio que [eleva el tono] naturalmente afectan des de una manera excepcional al pueblo [eleva el tono]. Esto va a ocurrir así hasta que en el año 1539 [ralentiza el discurso] de nuevo [eleva el tono] se produce la unificación [ralentiza el discurso] de las dos tierras bajo un solo soberano [pausa]. El fundador [P. ESCRIBE EN LA PIZARRA] de este nuevo periodo fue Amosis príncipe de Tebas que se constituye en primer faraón de la décimo [eleva el tono] octava dinastía [P.

REVISA LOS APUNTES]. El nuevo periodo que se inicia tiene una serie de características generales [ralentiza el discurso] [P. ACLARA LA VOZ] que voy a tratar de resumir [pausa] al máximo [pausa]. De nuevo Tebas se constituye en la única [eleva el tono] capital del imperio egipcio y solo de verás privada de esta capitalidad durante el reinado de Rameses II que trasladará el centro de la política egipcia a la ciudad de Rhi-damses [eleva el tono], muy cerca de... la antigua capital de los hicsos de Abais [pausa] y motivado por razones genuinamente estratégicas [ralentiza el discurso], la intencionalidad [ralentiza el discurso] [eleva el tono] que subyace en esta decisión del traslado de la capital es la de situar [eleva el tono] el centro del poder egipcio lo más cerca posible de la zona en la que eh... se da la mayor insistencia, la mayor presión y la mayor actividad de la política exterior egipcia que es la zona de Próximo Oriente, la zona sirio-palestina. Es decir, el traslado de la capital es una razón estratégica para poder disponer eh con una mayor prontitud de las órdenes, del traslado de tropas y de todas aquellas decisiones necesarias para actuar prontamente en la zona de Siria donde el conflicto entre los... egipcios y los hititas era tan malo [baja el tono] [P. ACLARA LA VOZ]. Por lo tanto [P. ACLARA LA VOZ] esa es la única razón. La existencia de Tebas como capital durante este periodo se verá favorecida por una serie de realizaciones arquitectónicas religiosas y funerarias que la convertirán en el mayor eh centro de atractivo religioso de Egipto de hecho en la actualidad Tebas que existe como ciudad sigue acumulando la mayor parte del eh... atractivo turístico egipcio especialmente por los dos complejos religiosos de Luxor y de Karnar construidos durante este periodo por los faraones egipcios. Otra característica del periodo [P. ACLARA LA VOZ] perdón otra característica del periodo es su eh... genuino carácter imperialista, es decir la... ejecución de una política exterior que tiene como objetivo alcanzar recursos ajenos [eleva el tono] para soportar dos tipos de actuaciones [P. ACLARA LA VOZ] políticas muy claras [P. ESCRIBE EN LA PIZARRA] veámoslo en este pequeño esquema.

Insisto como os he dicho en alguna ocasión ya que [eleva el tono] en todos los periodos históricos cuando analicéis [eleva el tono] procesos imperialistas debéis de aplicar siempre esta sencilla consecuencia porque en todos los casos se produce la misma situación. Los dos objetivos a alcanzar son: [P. ESCRIBE EN LA PIZARRA] el de financiar [pausa] [P. ESCRIBE EN LA PIZARRA] un programa interno [eleva el tono] de construcciones de obras públicas hablaríamos en general de cualquier imperio en este caso especialmente de construcciones religiosas [P. ACLARA LA VOZ] y funerarias, a mayor gloria del faraón, y de otro lado financiar [P. ESCRIBE EN LA PIZARRA] campañas militares [pausa]. Este sería [P. ESCRIBE EN LA PIZARRA] un objetivo de política interior, mientras este lo sería [P. ESCRIBE EN LA PIZARRA] de política exterior [pausa]. En este objetivo interior debemos considerar las consecuencias que esto tiene, porque el proceso se autoalimenta, se produce fenómeno que en historia económica llamamos *feedback* utilizar la expresión la expresión anglosajona que que significa retroalimentarse. ¿Cuál es eh... el efecto de retroalimentación que se produce aquí? [tono descendente] Pues nunca mejor dicho, conseguir la satisfacción no es el primer objetivo [eleva el tono] pero es una consecuencia, el objetivo del faraón es llevar acabo su programa [eleva el tono] de obras públicas de construcciones, entre los que se incluyen naturalmente el mantenimiento de los canales de riego por supuesto pero sobre todo la monumentalidad [eleva el tono] hay que [eleva el tono] dejar a la posteridad el signo [eleva el tono] característico del reinado de la grandeza del faraón. Por eso en la actualidad cuando se realizan obras aparentemente suntuarias y no es estrictamente necesarias se suele hablara de política faraónica [eleva el tono], lo habréis oído aplicar en algún... momento eh... ¿cuál es el la consecuencia que se produce aquí? [tono descendente] La un programa de construcciones requiere de la presencia permanente y la utilización de mano de obra eh... interna como ocurrió durante el imperio... antiguo, y con la salvedad de que

intervienen los esclavos ahora hablaremos de ello, pero [eleva el tono] eh... sobre todo mmm con la generación de toda una serie de recursos, reñidos con esa política imperialista, que no solamente favorecen la construcción por si misma sino que [eleva el tono] consiguen además alimentación de todos aquellos que están trabajando con lo cual [eleva el tono] los eh... almacenes del... faraón tienen que procurar una mayor redistribución de sus productos, consecuencia hay un mayor nivel de alimentación, el pueblo se encuentra más satisfecho porque mmm porque eh... los recursos se generan con mayor facilidad pero también [eleva el tono], pero también la utilización durante el imperio nuevo de una forma masiva por vez primera ahora sí de mano de obra esclava procedente de las guerras hace que se vea liberado [eleva el tono] el súbdito egipcio del gran parte del esfuerzo físico [eleva el tono] del esfuerzo... eh... digamos más desagradable de toda esta... política con lo cual el nivel de satisfacción es mucho mayor, está mejor alimentado mientras que el trabajo sucio, el trabajo más más pesado lo llevan a cabo los esclavos ¿habéis visto alguna vez la película Los diez mandamientos? [pausa esperando respuesta] [INTERVENCIÓN ESTUDIANTE] [alumnos responden] Al inicio de la película se está mmm eh... llevando a cabo una construcción [eleva el tono] y... en ella trabajan esclavos aparentemente pues son esclavos eh... esbirros que están trabajando allí, esa [eleva el tono] construcción real es la ciudad de Timrameses [eleva el tono] que fue ordenada construir por el padre de Rameses II y... y en ella trabajan esclavos eso es cierto, eso a veces digo <que hay una confusión de> las pirámides las construyen los esclavos ya sabéis que no, están construidas por correa, por trabajo... eh... obligatorio de los súbditos egipcios mientras que estas construcciones del imperio nuevo sí [eleva el tono] fueron llevada a cabo por mano de obra esclava [baja el tono] por tanto hay una consecuencia que una satisfacción [P. ACLARA LA VOZ] de el pueblo egipcio por este programa de construcciones en el que ellos no participan en la parte más

desagradable pero sí se benefician de un mayor bienestar [eleva el tono] general gracias a esta política imperialista. Por lo tanto una consecuencia no directa es una [eleva el tono] satisfacción y por lo tanto una tranquilidad [eleva el tono] en la situación social del pueblo y en esta política exterior [eleva el tono] la campañas militar ¿qué [eleva el tono] efecto van a producir? [tono descendente] pues dos uno lo diré yo y otro eh... esperaré a que lo digáis vosotros. Uno es el de dejar sentado, y eso durante el imperio nuevo egipcio queda muy claro, dejar sentado el papel [eleva el tono] predominante, el digamos el rol prestigioso por encima de cualquier otro estado [eleva el tono] del... eh... del imperio... egipcio. Egipto es debe ser [eleva el tono] es más poderoso que ningún otro estado y debe dejar constancia de ello [eleva el tono]. Esta es una actitud que una vez más os in os insisto la encontrareis [eleva el tono] abundantemente en muchos ejemplos a lo largo de eh... la historia en vuestros estudios la veréis repetida. Un estado se siente a si mismo el mas poderoso y debe dejar constancia de ello por lo tanto su política exterior [eleva el tono] debe estar dotada de una agresividad [eleva el tono] permanente para que nadie se atreva ni tan siquiera a sospechar que puede <incomprensible> ¿Esto lo entendéis? ¿sí? es fácil de entender ¿verdad? Lo veis habitualmente en vuestro alrededor lue no hay mas que levantar la vista mirando hacia el norte y luego girar al lado hacia el oeste, bueno. Eh... esa es una consecuencia buscada, directa [eleva el tono] eh... inmediata [eleva el tono] de la política exterior egipcia hay otra ¿cual es? [P. ACLARA LA VOZ] ¿qué ocurrirá si sale bien? [INTERVENCIÓN ESTUDIANTE] (alumno responde) Efectivamente, desde luego se produce una retroalimentación, si se consigue el éxito en esas campañas militares tendremos otros territorios de los que obtener recursos para seguir financiado nuevas campañas militares, por lo tanto, tenemos ya la pescadilla que se muerde la cola. Si todo esto funciona perfectamente como un mecanismo bien engrasado nunca debe fallar y teóricamente debería funcionar así durante siglos y

siglos y siglos no tiene porqué fallar, verdad, no no no tiene porqué desajustarse el sistema [INTERVENCIÓN ESTUDIANTE] y por qué creéis que se desajusta [INTERVENCIÓN ESTUDIANTE] (alumno responde) ¿las? [INTERVENCIÓN ESTUDIANTE] (alumno responde) Empiezan las derrotas pero teóricamente no deberían haber derrotas porque si eres el más poderoso tienes que ganar siempre [INTERVENCIÓN ESTUDIANTE] (alumno responde) es un problema de recursos, es un problema de recursos. Yo os puedo decir porque falla este sistema del imperio... y vosotros lo podéis aplicar a cualquier otro periodo. Si no fallasen los recursos teóricamente debería funcionar, bueno pueden influir otras cosas eh... lo explicaré después, os lo explicaré después, es el segundo proceso que puede darse para que esto falle. Primero veamos donde estuvieron estos recursos externos primarios para iniciar todo el proceso durante el imperio romano. Tuvieron de Nubia [pausa]. Amosis y sus descendientes especialmente Amosis I [pausa] pusieron sus objetivos imperialistas al sur de Egipto en Nubia y de ahí iban a obtener los recursos [pausa] eh necesarios para este proceso como el que estamos hablando pero más [eleva el tono] van a conseguir más y van a conseguir primero [pausa] fortificar todo el territorio del sur de Egipto para impedir cualquier posible penetración, porque claro un estado que va a basar su política externa en la zona de Próximo Oriente que es donde está eh... el progreso de la época, donde está la cultura, la civilización de la época no puede... en fin descuidar [eleva el tono] su flanco sur aparentemente más débil y que de ahí le venga cualquier eh penetración inesperada, de manera que [eleva el tono] la conquista de Nubia también supone generar una especie de triple tapón a cualquier posible invasión africana, de hecho [eleva el tono] sitúa al virrey con grandes eh... con grandes mmm eh... con grandes con una enorme capacidad de decisión para poder eh... en un momento determinado mmm por él mismo decidir cual es la acción a tomar en cada momento. [INTERVENCIÓN ESTUDIANTE] (alumno pregunta)

El imperio etíope no existía, no existía, no existía [baja el tono] aquí no existía más imperio que el egipcio y su el rival que era el imperio hitita lo de Etiopia vendrá posteriormente y además mmm Etiopia tampoco podemos considerarla como como un imperio pero no no es de esta época ¿eh? entonces eh... insito el virrey, que es el único virrey que tiene Egipto, tiene unas eh... [P. ACLARA LA VOZ] unas está dotado de una gran capacidad de decisión, es un personaje muy importante [eleva el tono] en la corte, en el estado y no debe fallar dadas las eh... características de ese territorio y su influencia al este de Egipto. De Nubia Egipto obtiene productos suntuarios [P. ACLARA LA VOZ] como el incienso necesario para todas las grandes manifestaciones religiosas, obtiene esclavos, pero sobre todo obtiene recursos materiales que le convierten en una potencia rica y poderosa: marfil y oro. Las principales minas [eleva el tono] de oro del periodo están en Nubia en la actual Sudán [pausa]. Pues bien, cuando Egipto se enfrenta a los hititas eh perdón se enfrenta a... primero a los mitanios con las 16 campañas de Tutmosis III contra mitanio, para más famoso de altar en Egipto, o cuando se enfrenta a la dinastía siguiente a la dinastía diecinueve a... Rameses II se enfrenta a a Mugatali en la batalla se Cadés, en ese periodo Egipto está sustentado [eleva el tono] por los nobles recursos de Nubia pero a finales de la dinastía diecinueve durante el reinado de Rameses III y so y sobre todo en la dinastía veinte, el oro de Nubia escasea [eleva el tono] y poco a poco tiende a desaparecer. Durante la dinastía veinte los recursos de Nubia han [eleva el tono] descendido prácticamente a cantidades insignificantes, las minas de oro prácticamente se han agotado y ese es [eleva el tono] el principal problema que desajusta [P. ACLARA LA VOZ] esta eh... aparente [eleva el tono] eh... solución política que debería haber funcionado durante mucho tiempo. Esa es la principal razón de que estos sistemas no funcionen eh... durante mucho tiempo <incomprensible> [baja el tono] la falta de recursos, pero también puede haber el caso contrario razones que las hay para que

cualquier proceso histórico esto falle no como consecuencia de la... falta de recursos internos tam sino también el eh aprovisionamiento [eleva el tono] interno de recursos parte de los teóricos o reales enemigos, de ahí [eleva el tono] que a lo largo de la historia los países más importantes se hallan dedicado permanentemente a la búsqueda de recursos externos mediante una política imperialista o colonizadora. La colonización, el fenómeno de la búsqueda [eleva el tono] de territorios productivos o el control [eleva el tono] de rutas comerciales no tiene otro objetivo más que el de conseguir [elévale tono], el de aprovisionarse de recursos extraordinarios con los que competir [eleva el tono] frente a otras potencias rivales. Tenerlo en cuenta cuando analicéis esos otros procesos históricos [pausa]. Acerca de... las principales acciones políticas y sociales de sobre todo de la dinastía dieciocho y diecinueve algunas cuestiones sí que... convendría comentar. Por ejemplo os he dicho el hecho que durante este la primera fase de este periodo el rival con el que se enfrenta Egipto por esa lucha [eleva el tono] para controlar el territorio sirio-palestino Próximo Oriente sea mitanio, reino creado como consecuencia de la penetración de esos pueblos indoeuropeo y al que nos referiremos en próximos días haciendo un esbozo general de... de estas eh potencias [P. ACLARA LA VOZ] indoeuropeas. Durante la segunda fase del imperio nuevo el rival va a ser el imperio hitita [pausa]. El faraón que llega a cabo una... mayor política agresiva y expansionista en esta zona fue Tutmosis o **Tumbes** III de la décimo octava dinastía [pausa]. Su... abuelo Tutmosis I había [pausa] consolidado las consistas de Amosis en en Sudán [eleva el tono] y durante el reinado de Tutmosis I y Tutmosis II se comienza a... comienza a dirigirse la política exterior egipcia eh cada vez más hacia unos eh... unas acciones expansionistas en... en la zona de siria-palestina pero consolidando tenemos una zonas fronterizas en las que de momento Egipto pues se siente cómodo y así se llega al reinado de uno de los personajes singulares de esta época la reina Hatshepsut, la única mujer faraón [eleva el tono] que

ha tenido Egipto a lo largo de toda su su historia. Hatshepsut fue hija de Tutmosis I y... se caso con su hermano Tutmosis II [pausa], un hombre..., un muchacho podríamos decir <incomprensible> [baja el tono], enfermo y... débil probablemente afectado por los problemas que... con mayor frecuencia se daban en el en las familias eh... dinásticas egipcias, problemas de consanguinidad [eleva el tono] el matrimonio entre hermanos [eleva el tono] necesario para preservar la pureza de la dinastía acababa ocasionando este tipo de problemas en algunos faraones. Esto es lo que ocurrió con Dose II que eh murió... murió muy joven. Entonces Hatshepsut [pausa] adoptó el papel de reina regente hasta la mayoría de edad de Tutmosis III sin embargo en un momento determinado, durante esta regencia, Hatshepsut que había mostrado siempre una... presencia reivindicativa... con respecto a su padre, ella nunca se acepto de bueno grado que solo los hombre pudiese gobernar, digo que en un momento determinado se revela con ese papel con ese rol apenas significativo de reina regente y se constituye ella misma en faraón. Dada la ausencia de tradición femenina en el gobierno egipcio Hatshepsut se convierte en faraón [eleva el tono], en rey faraón [eleva el tono] con lo cual adopta una actitud masculina en la representatividad y en el simbolismo de... eh... su figura como... reina de Egipto. Se atenúan sus rasgos femeninos, se la representa con la daga postiza, eh <incomprensible> viduveus, y llega a adoptar todos los títulos, los abundantes títulos de la... que le corresponden a la realeza a la realeza egipcia y solo desdeña el de todo potente. En todas las eh... descripciones [eleva el tono] de la realeza egipcia Hatshepsut aparece como faraón [eleva el tono] con toda la denominación oficial excepto insisto todo potente, creo por razones de estética seguramente [P. ACLARA LA VOZ] <incomprensible> yo diría que hasta ahí llegaba lo más importante [baja el tono]. El reinado de Hatshepsut fue un reinado brillante y pacífico [eleva el tono] en la historia del imperio egipcio. Las fronteras estaban consolidadas [eleva el tono], no se requería el de una... digamos una

actividad defensiva especial porque [E. TOSE] porque se había eh logrado un... un consenso con... con los principados sirios los cuales dominaba Egipto y por tanto fue un reino marcado por la paz y por una serie de actuaciones internas especialmente de tipo constructivo. La reina aconsejada por Setmur, su visir, consejero, arquitecto en fin tuvo <incomprensible> aparentemente amante también, se hizo construir uno de los más hermosos templo egipcios que eh... en la actualidad sigue eh atrayendo normalmente al turismo que llega hasta este país, el templo escalonado de Deir el Bahari que es el templo funerario de la reina Hatshepsut, insisto es uno de los más hermosos, creo que lo visteis el otro día en un reportaje que vimos ya [pausa]. Su... sucesor Tutmosis III, no sabemos si hijo o hijastro, en cualquier caso desde luego eh... familiar directo, si no era hijo era sobrino y en todo caso era yerno, porque se casó con una de sus hijas con una hermana o hermanastra, esto era normal en las dinastías egipcias eh... en cuanto alcanzó la mayoría de edad y el gobierno se dedicó a destruir... a borrar todo rasgo de existencia de su antecesora Hatshepsut <incomprensible> es decir la... los propios consejeros del faraón mantuvieron con Hatshepsut una pugna permanente por haberse arrogado esta facultad de gobernar sin sin tener derecho a ello y por tanto Tutmosis III quiso siempre renunciar al hecho de que durante su [eleva el tono] minoría de edad hubiese existido una mujer usurpadora del trono. Cualquier caso y al margen de... al margen de este periodo que suele resultar siempre muy atractivo, especialmente por la ese carácter reivindicativo de una mujer en una sociedad y en y en un proceso de gobierno tan exclusivamente masculino como fue el egipcio pues... ha llegado a reflejarse en la literatura y [eleva el tono] hay novelas históricas a cerca de ello pues muy recomendables como La dama del Nilo de Nicolas Cage, si alguno quiere leerla. Dijo que eh Tutmosis III se revela contra su madre o madrastra como usurpadora y [eleva el tono] además cambia la política digamos de sostenimiento de fronteras que hasta entonces estaba llevando a cabo Egipto y lo

sustituye por una política agresiva contra un enemigo que cada vez se ha hecho más grande el reino de mitanio. Tutmosis III llega a establecer 16 campañas militares contra mitanio. Se pasa toda su vida guerreando. Es la época en la que... los egipcios llegan por vez primera a Mesopotamia, llegan al Éufrates y observan horrorizados, entre comillas, que... en Oriente, que en este país los ríos fluyen al revés. ¿Qué significa esto? [pausa esperando respuesta] [INTERVENCIÓN ESTUDIANTE] (alumno responde) ¿eh? Sí que van de norte a sur pero ¿qué significa que un egipcio llegue y diga que los ríos van al revés? [repetición, parafrasea] [pausa esperando respuesta] <incomprensible> [baja el tono] [INTERVENCIÓN ESTUDIANTE] (alumna responde) [P. NO TOMA EN CUENTA LA INTERVENCIÓN DE E.]es muy importante en la historia de la humanidad este tipo de cosas, es como cuando los ingleses, los personajes que había de Blue Pigui ¿eh? que están charlando en un club londinense [P. ACLARA LA VOZ] eh... unos ingleses y hay un extranjero y no tienen en cuenta sus sus propuestas y pregunta el extranjero –pero ¿cual es mi problema? El ser extranjero ¿por eso no me tienen en cuenta? –y dicen– señor mío –contesta uno de los <incomprensible>– su problema no es que sea usted extranjero, su problema es que no es usted inglés. Pues bien eh, desde ese punto de vista hay que analizar esta expresión es dir los ríos fluyen al revés. A nadie se le ocurre imaginar eh... [P. ACLARA LA VOZ] cómo os lo diría de una manera un poco más bruta pero más comprensible ¿a ningún blanco se le ha ocurrido cuando ha visto un negro qué raro soy? La gente es negra y yo soy blanco ¿verdad que no? se suele decir un negro, qué diferente. A ningún egipcio se le había ocurrió decir que raros somos nosotros que tenemos un río que di que discurre de sur a norte [eleva el tono]. Cuando aquí vemos que los ríos deben ir de norte a sur no no los raros siempre son los demás. Desde el punto de vista antropológico, desde el punto de vista de la antropología [P. ACLARA LA VOZ] cultural esto es así, pero socialmente tiene una gran repercusión porque esto

acaba generando sentimientos nacionalistas y exclusivistas [eleva el tono] y excluyentes –qué raros son los demás [eleva el tono], pero qué raros [pausa] [P. ACLARA LA VOZ] –tenerlo en cuenta también [pausa]. Tutmosis III es sin ningún género de dudas [P. ACLARA LA VOZ] el faraón más expansivo [eleva el tono], más guerrero de la historia de Egipto. Pero sin duda el periodo más llamativo y más curioso de esta dinastía fue el reinado de Amenofis IV, Ajenatón. Amenofis cambia su nombre [P. ACLARA LA VOZ], el amado de Amón por el beneficio para Atón. Amenofis seguramente influido por una... tendencia... cada vez más extendida en las ciudades egipcias de una nueva divinidad, bueno en realidad existía durante mucho tiempo, Atón el disco solar, Amenofis llega a elaborar toda una filosofía religiosa que re que trata de reconvertir a la sociedad egipcia hacia un monoteísmo exclusivo en el que debe tener mucha importancia la... un tipo de actuación similar [eleva el tono] [P. ACLARA LA VOZ] aunque luego durante el imperio romano veremos que lleva Constantino a reconocer el cristianismo como única religión, un solo emperador un solo dios [eleva el tono]. Cuando Constantino quiere acabar con la tetralogía los cuatro emperadores, los... dos... dioses y un panteón múltiple llegar a <incomprensible> la simbiosis: a un solo dios le debe corresponder un solo rey, un solo emperador. Aquí parece [eleva el tono] que ocurra algo similar. Amenofis construye una nueva capital **Tetatón**, el horizonte de Atón, el imperio de **navarla**. Pero lo más atractivo del periodo es el cambio artístico que se produce, de repente ese arte tan severo [eleva el tono] y tan simplista [eleva el tono] que los egipcios representan en todas sus manifestaciones artísticas en el que sus cuerpos aparecen pintados de frente con la cabeza y las piernas de perfil [eleva el tono] se torna un arte muy expresivo, esquemático [eleva el tono], lo cual nos hace pensar que los artistas que hasta ese momento representan el otro tipo de arte no este, no se **parece** a lo mejor sino que la tradición egipcia es tan sumamente... eh... importante y agobiante que no les permite [eleva el tono] expresarlo

abiertamente. Los cánones artísticos son los que son y no puedes salirte de ello, de manera que... eh... en este periodo vemos como todo estalla la manifestación artística y se representan las personas de una forma más esquemática, llamada la atención la representación del rey. No sabemos hasta que punto esas representaciones que tenemos de... Ajena de... Ajenatón de Amenofis IV son reales o no porque es muy extraño. El tipo aparece representado con una... cabeza... ovalada afechinada, ojos almendrados, labios exageradamente carnosos, eh... torso pequeño, piernas con... muslos y... nalgas eh... femeninas, vientre abultado. No sabemos si el rey era una persona con defectos físicos o la permisividad de la época, o quizá él quería que se la representase de ese modo. En cualquier caso la cuestión es que los artistas han de representar cualquier tipo de arte, eso está claro, y luego que [eleva el tono] esa tendencia esquemática [eleva el tono], sobre todo en la representación del... de la cabeza, del busto, de esta tendencia [P. ACLARA LA VOZ] a a esquematizar y a estirar el cráneo, se hace representar también por todos los personajes de la corte de la época, todos quieren representarse de ese modo. La propia reina, muy [eleva el tono] influyente en la época, la reina Nefertiti, es representada del mismo modo. De Nefertiti se conservan dos bustos: uno está en Berlín en el museo de antigüedades egipcias, **Isalotropo**, y el otro está en el museo del Cairo. Ambos presentan a una mujer bellísima, muy hermosa, pero con esa tendencia, pues nada que hemos visto alguna vez el **gorro**, cabeza muy [P. ACLARA LA VOZ] esquematizada [P. ACLARA LA VOZ] y el cráneo muy abultado. La experiencia de Amenofis IV acaba [eleva el tono] como consecuencia de la presión [eleva el tono] de los distintos cleros [eleva el tono] de... de los dioses diversos dioses de Egipto que naturalmente habrían sufrido un duro golpe en el caso de que la reforma religiosa hubiese triunfado. Amenofis muere [eleva el tono], no sabemos si asesinado. Parece que incluso su propia mujer al final no acaba de... coincidir en los postulados eh... político-religiosos con

él [eleva el tono]. Sabemos que que... a... Ajenatón repudia a... Nefertiti, que se casa que a em se casa con su esposa y tomo como esposa principal a una de sus hijas y que con ella tiene otra hija, eso también es frecuente en la en la [P. ACLARA LA VOZ] política dinástica egipcia para preservar la pureza de la sucesión, y tras la desaparición de Amenofis aparece un... joven eh... faraón no sabemos si hijo [eleva el tono] o casado con una hija de... Amenofin, Tutankhamón, **Tutankhatón** [eleva el tono] que cambiará su nombre por el de Tutankhamón. Un muchacho que muere muy joven a los 18 años, precipitadamente es enterrado, su momia no es [eleva el tono] eh... [P. ACLARA LA VOZ] eh... no es conservada [eleva el tono] de manera... perfecta como suele ocurrir con otros... con otros... eh... faraones, el estado de la conservación de la momia de Tutankhamón es deplorable y como sabéis es el único cuya tumba [elévelo tono] fue encontrada completa en los años 20 [eleva el tono] del siglo pasado por... **Ower Carther** en una expedición en la que <incomprensible> pudo <incomprensible> [baja el tono], siendo la única a pesar de ser una de las más sencillas tumbas [ralentiza el discurso] de <incomprensible> que jamás haya existido. Bien, eh... el siguiente faraón es **Abunjel**, un general que retoma [eleva el discurso] la política expansionista... expansionista egipcia [eleva el tono] porque... eh... durante el... reinado de... Amenofis IV eh se había preocupado de todas esas actividades y se había concentrado solo en la política religiosa, y con el termina la decimotava dinastía, y comienza la decimonovena en la que como os he dicho quien [eleva el tono] eh... mejor representa el expansionismo es sin duda el más conocido, el más grande, pero el más populista de todos los faraones egipcios fue Rameses II que hizo mucho pero que se atribuyo mucho más porque se dedico a borrar los **cartuchos** de otros faraones para poner su nombre y añadir así, sumar, aumentar el número de sus **hazañas** [baja el tono]. Es especialmente destacable el hecho de que mientras durante la decimotava dinastía de <incompranisible>, durante la

decimonovena el el enemigo fue perdón sí fue **Aki** el imperio hitita Las rencillas entre los **hitianos** y los egipcios acabaron con la firma de un consejo que significó el tratado internacional de amistad y cooperación, pero lo hicieron como consecuencia del temor [eleva el tono] que a ambos les dio el eh... cada vez mayor y cada vez más progresivo aumento del poderío hitita. Es decir, ante el temor de un tercero dos enemigos irreconciliables se unen mitanio y **Aki**. Pues bien, después de la batalla de **Calés** entre Rameses y... y los hititas, Egipto y **Aki** [eleva el tono] firmaran un segundo tratado internacional, lo tenéis todo en <**incomprensible**> [baja el tono]. La consecuencia, el motivo perdón de la firma de ese tratado fue el temor de los hititas y de los egipcios a un nuevo enemigo el imperio sirio [eleva el tono] que incipientemente comenzaba a aparecer. De manera que fijaos, enemigos irreconciliables pueden llegar a firmar un tratado de amistad y cooperación, y además con matrimonios entre familias reales de algunos estados, por el temor [eleva el tono] que subyace ante [eleva el tono] el crecimiento desmesurado de una tercera potencia. Esto [eleva el tono] en relaciones internacionales, en política internacional... es muy frecuente. Y el derecho internacional se nutre [eleva el tono] de muchos tratados a lo largo de la historia, estos deben ser los primeros y los más importantes que conocemos, como consecuencia del temor a la intervención de una potencia externa. Es decir cómo cómo es posible que enemigos irreconciliable de repente firmen ese tratado, porque estamos hablando simplemente de intereses [eleva el tono] expansionistas y territoriales, no... estamos hablando de cuestiones eh... irreconciliables de cultura o de bueno. Bueno vamos a descansar unos minutos y luego continuamos **el periodo**.

LE2

CAMPO: Humanidades
ASIGNATURA: Arte del Renacimiento
Nº ESTUDIANTES: 38 (m:21/f:17)
Fecha: 16/2/2005
Duración: 43 m.
Nº Palabras: 6.404

[eleva el tono]
 [baja el tono]
 [tono irónico]
 [P. REVISAR LOS APUNTES]
 [E. TOSE]
 [P. NO TOMA EN CUENTA LA INTERVENCIÓN DE E.]
 [INTERVENCIÓN ESTUDIANTE] (alumno/alumna,
 responde/pregunta)
 [P. ESCRIBE EN LA PIZARRA]
 [P. ACLARA LA VOZ]
 [pausa]: cuando es larga
 ...: pausa corta, titubeos
 [pausa, esperando respuesta]
 [ralentiza el discurso]
 [repetición, parafrasear]
 [tono descendente]: tras una interrogación el profesor expresa
 carencia de búsqueda de respuesta, es el profesor quien la da
cursiva para anglicismos
 <incomprensible>

Bien [eleva el tono], como os comenté la la [repetición] clase de hoy
 la vamos a dedicar íntegramente a... conocer los **cuálites** esenciales
 de... la cultura artística del Renacimiento. Estos dos días anteriores
 en los que introduce la cultura artística de **la** del siglo quince y
 dieciséis os **expliqué** también un **punto** fundamental con el mundo

medieval y es que ahora encontramos fuentes en... teoría artística escrita, impresa, publicada en los elementos empleados básicos eh... la habréis estudiado <incomprensible> la conocéis como fuente clásica y los que estudiéis la asignatura de arte medieval lo mismo, sin embargo ahora encontramos un gran número de... de [repetición] libros publicados, libros que se atribuyen muchas veces a los propios artistas [eleva el tono], lo cual todavía es más interesante eh... esas fuentes. La hoja que os muestro aquí eh... recoge las fuentes esenciales son las que... las que... [repetición] debéis de conocer ¿qué quiero decir con esto? Bueno pues que por lo menos os tienen que sonar todas eh... no hace falta que os las leáis ni mucho menos aunque [eleva el tono] están prácticamente todas en la biblioteca y en ediciones españolas por lo tanto podéis acceder directamente a... a [repetición] esos textos, pero eh... no se trata de eso evidentemente m... pero sí por lo menos saber que existen porque hay libros aquí que son fundamentales no ya para la asignatura del Renacimiento, me gustaría insistir en esto, sino para todo el arte moderno desde el quince al diecinueve hay libros aquí que son capitales, por ejemplo en el ámbito de la arquitectura un libro como el de Palladio o por ejemplo es fundamental conocer la historia de la arquitectura europea incluso la norteamericana no se puede conocer la arquitectura de Estados Unidos sin conocer la obra de Palladio por centra por centrar un tema <incomprensible> psicología <incomprensible> eh... marca la cultura simbólica europea desde hace más de cuatrocientos años y así otros libros, por lo tanto, eh... debéis ya conocer que existen ¿Qué supone esto? Bueno, en el examen podría preguntaros por un aspecto como el Renacimiento, si os olvidáis alguna tampoco pasa nada, son veinte títulos evidentemente algunos están en en... [repetición] italiano, en holandés y es muy difícil re recordar [repetición ampliación] los títulos pero lo menos sí conocerlos por lo menos [repetición parcial] la mayoría o los más importantes. Yo lo que voy a hacer ahora en esta clase es decir unas pocas frases de cada uno de ellos para

introducirlos y para [repetición parcial] presentároslos. Sobre alguno de ellos volveremos repetidamente durante el curso por ejemplo el de Vitrubio que mencionaré continuamente y [eleva el tono] de algunos de ellos haré una clase específica [pausa]. Los tratados de arquitectura son fundamentales y hay que conocerlos muy bien y dedicaré una clase a presentar los cuatro tratados más importantes eh... no solo para el Renacimiento insisto sino hasta [ralentiza el discurso] incluso avanzado el siglo veinte. Otros en cambio pues no... no... [repetición] volveré sobre ellos, los mencionaré de pasada y ahora como os digo simplemente dedicaremos unas [eleva el tono] pocas líneas a cada uno de ellos y luego ya iniciaremos en los que sea adecuado pues más adelante. Y empiezo por el principio [pausa] eh... Vitrubio, este título es esencial veréis, Vitruvio es un arquitecto de la época de Augusto [eleva el tono], del siglo uno después de Cristo, de la época imperial romana. La importancia del libro de Vitrubio, de este arquitecto, estriba en que es el único [eleva el tono] tratado de la antigüedad que ha llegado hasta nuestros días, el único tratado [repetición] que fue conocido del Renacimiento, de toda esa inmensa [eleva el tono] cultura greco romana que en el siglo quince se recupera la única voz autorizada es el libro Vitrubio, un libro que [pausa] se conserva desde la Edad Media en los monasterios y que ahora en eh... los inicios del siglo... quince [eleva el tono] es redescubierto, creo recordar ya os lo diré exactamente pero creo recordar [repetición] en el monasterio de Montecasino, m... rápidamente empieza a circular entre los intelectuales, entre los humanistas, empieza a ser copiado [eleva el tono] eh... y finalmente es impreso [eleva el tono] primero... en latín, luego en italiano, luego vienen otras naciones, pronto es traducido a otros idiomas y m.. en ese mun en ese mundo [repetición ampliada] que guarda una similitud con el mundo clásico el libro de Vitruvio es fundamental porque está al <incomprensible> las tradiciones greco romanas en la época <incomprensible> por lo tanto es un libro de cabecera para cualquier arquitecto del Renacimiento que se precie, para cualquier

[repetición] intelectual humanista, habrán incluso m... círculos de estudiosos vitrubianos en en [repetición] pleno Renacimiento y su impacto eh... es inmenso hasta... el siglo diecinueve por lo tanto este es un libro que os ha de sonar, más allá de la del [repetición cambio] Renacimiento porque eh... m... como os decía su relevancia m... asciende los siglos quince y dieciséis **al sur** de Italia y se propaga en Europa y América, por lo tanto este es un libro [pausa] que sí ha de estar marcado como **<incomprensible>**, este es importante y lo mencionaré continuamente [pausa]. Bueno el de Ghiberti es eh... comparado con este menos relevante [eleva el tono] aunque... también estudiaremos en su momento a **Pa** Ghiberti, Ghiberti es eh... escultor, uno de los primero escultores del *quattrocento*, estudiaremos de él sus Fuerzas del paraíso del baptisterio de Arte de Florencia y bueno escribió una crítica bonita [pausa] en la que hace unos comentarios estéticos, alguna referencia a artistas contemporáneos y que no es una obra de mucho impacto en su época pero [eleva el tono] la escribió Ghiberti primer escultor moderno y por tanto tenéis que conocerla también [pausa]. Mucho más importante que Ghiberti es... Alberti [pausa]. Alberti es uno de los grandes humanistas del siglo quince, y junto con Brunelleschi era el arquitecto más importante del *quattrocento* [pausa]. A Alberti lo estudiaremos eh... con un cierto detalle ya la semana que viene cuando traiga imágenes [eleva el tono], la cultura del *quattrocento* la iniciamos con Brunelleschi pero seguiremos luego con... con [repetición] **el Regio** y veremos cosas fundamentales como es **el palacio de Rucellai** en Florencia, **Santa Andres en Mantua**, el templo de **Malatestiano** en Rímini, es un arquitecto que dejó mucha huella, porque además se movió mucho por Italia a diferencia de Brunelleschi que se centró más en Florencia. Bien pues [eleva el tono] Alberti que se **cataloga** también como jurista [eleva el tono] eh... una cultura humanista muy amplia..., escribió varios tratados de arte como veis, el más importante que tenéis que conocer es el tercero **<incomprensible>**

porque es el primer tratado de arquitectura del Renacimiento, el primero [eleva el tono] y en él se sitúa la base de la arquitectura moderna [eleva el tono], reflexiona sobre la ciudad moderna [eleva el tono], sobre el civismo moderno [eleva el tono], vamos a considerar la arquitectura aquí eh... abarca muchos ámbitos del conocimiento, lo tenéis en la biblioteca en castellano en un edición <incomprensible>, y es un libro m... en fin que hay que manejar si se quiere profundizar en el Renacimiento italiano [pausa]. Sí bueno delante eh... el siguiente es el libro de Piero della Francesca y su *De Prospectiva pingendi*, <incomprensible> conociendo esta esta [repetición] clasificación improvisada que estoy haciendo sería entre comillas un obra menor, Piero della Francesca es uno de los grandes pintores del *quattrocento* pertenece a la segunda generación de pintores de la escuela de Florencia y... lo estudiaremos con detalle porque es un pintor eh capital, bueno pues entre estas obras selectivas sobre el arte de la pintura que escribe teóricamente hacia el mil cuatrocientos ochenta y bueno pues también es una referencia interesante [pausa]. Sigo adelante Luca Pacioli, Luca Pacioli [repetición] no es un artista, ni un arquitecto, ni un humanista, es [eleva el tono] un matemático, uno de los matemáticos más... famosos de la época, amigo de Piero della Francesca precisamente [pausa], amigo de Leonardo da Vinci, precisamente en... su libro se publica en mil cuatrocientos noventa y siete, a finales del siglo quince y va ilustrado con dibujos de Leonardo, de su amigo. Bien es un libro eh... de matemáticas pero muy especial porque eh... todo él gira entorno [ralentiza el discurso] a la llamada sección áurea [eleva el tono] eh... esto es un aspecto un poco complicado y yo no hoy a profundizar en él porque no soy matemático eh pero brevemente os os os [repetición] plateo la cuestión, m... la sección áurea es eh... una fórmula matemática de la que ya se habla en la antigüedad Euclides, el gran matemático de la antigüedad que ya se refiere a ello, Vitrubio [eleva el tono] este arquitecto que os he mencionado también la recoge en su tratado, y

bueno [eleva el tono] la fórmula es compleja no vamos a **explicar** a explicarla ahora con detalle, pero eh se deriva de dividir una línea recta por la mitad [eleva el tono] o también un rectángulo por la mitad [eleva el tono] y a partir de ese momento establecer una serie de relaciones eh... matemáticas entre las partes y el conjunto [eleva el tono], entre esa mitad con el conjunto y eso no es una línea es un rectángulo. Esto es un eh... es un capítulo interesante de la cultura del Renacimiento y he dicho también de mística, de mística matemática [repetición, ampliación] eh... la la [repetición] idea es que esa misma proporción, esa ese [repetición, cambio] número matemático [repetición, parafrasea] eh... de alguna forma reflejaría las leyes del universo, reflejaría la armonía del universo [repetición, parafrasea], la armonía de los de los de los [repetición] astros es decir habría una una una [repetición] un [repetición, cambio] paralelismo entre una fórmula matemática y eh el cosmos y eso fascinó a intelectuales, artistas, pensadores del Renacimiento y toda esa teoría toda esa reflexión [repetición, parafrasea] queda acogida en la obra de de este matemático tan famoso que es Luca Pacioli. Es un libro que va a tener impacto durante décadas y... eh... serán muchos artistas que en sus obras, me estoy refiriendo sobre todo a la pintura, en la clásica, van a intentar eh reflejar [eleva el tono] m... esta esta [repetición] sección áurea [pausa]. Bien [eleva el tono], insisto si alguna cosa no queda clara por favor de cualquier autor eh me preguntáis y... intentaré explicarlo un poco mejor. El siguiente libro es de Giorgio Martini y como dice el título es muy elocuente [eleva el tono] *Trattato d'Arquitettura, ingegneria e Arte Militare* escrito a finales de siglo quince [pausa]. Bien, eh... [pausa] con el Renacimiento se inicia también ya explicaba el otro día que el Renacimiento es una... supone una transformación global de la sociedad, es una revolución de carácter centralizador que afecta a todos los ámbitos: la economía, la sociedad, etcétera, la figura del arte como estamos viendo, la arquitectura y también afecta al arte de la guerra. La guerra moderna se inicia precisamente en Italia [eleva

el tono] y en el siglo quince [eleva el tono], sobre todo a partir de las campañas eh... españolas, francesas en el suelo italiano, sobre todo a partir de... las campañas del llamado gran capitán Gonzalo de Córdoba, Gonzalo de Córdoba [repetición] eh... la la [repetición] guerra moderna surge sobre todo a partir del uso de las armas de fuego en el campo de batalla, eh... ya ya [repetición] en el siglo catorce se usaron armas de fuego pero no no [repetición] de una forma sistemática y organizada, en el quince sí [eleva el tono] y eh... ese fue unos logros del gran capitán, pronto las armas de fuego van a hacer estragos en el enemigo, eh... la caballería que va a dominar toda la Edad Media eh... permite ser frenada por el fuego de los mosquetes, de los altramuces, de los cañones y eso va a como os decía revolucionar a todo el arte de la guerra, cambia la táctica, cambia las formaciones [repetición, cambio], cambia la estrategia [repetición, cambio] y también cambia y esto es lo importante la guerra de los asedios, eh... hasta ese momento las ciudades medievales eran ciudades seguras, eran asaltadas, a veces eran tomadas pero eh... eh [repetición] se había desarrollado un sistema de fortificación de las ciudades m... que era capaz de resistir las catapultas, era capaz de resistir las torres de asalto [repetición, cambio], las escaleras, a veces las ciudades eran tomadas ahí inter intervienen [repetición, ampliación] otros factores eh... pero eh... hasta cierto punto las ciudades medievales eran seguras eh... y lo que definía a una ciudad en la Edad Media es la muralla esto si tiene muralla es un ciudad si no lo es **yo esta** muralla puede ser tomada con toda facilidad y por lo tanto no no [repetición] tendría **carácter <incomprensible>** Bueno pues eh... la... aparición de las armas de fuego evidentemente cambia todo esto, las armas de fuego arrasan [eleva el tono] las murallas medievales, las derriban [eleva el tono] y las ciudades han de ser de alguna manera reinventadas, han de ser imaginadas de nuevo eh... su sistema de fortificación. Surge entonces la ingeniería militar moderna, veremos como las ciudades se irán transformando, surgen eh muros, los muros [repetición,

ampliación] van a ser mucho más bajos [eleva el tono], pero mucho más anchos [eleva el tono] para resistir las balas de fuego, de ahí para poder trabajar en las en las [repetición] en los [repetición, cambio] pasos de guardia <incomprensible> defensivos, cambia evidentemente lo de de [repetición] la fortificación ya no son ciudades circulares cuadradas [E. ENTRA EN CLASE] sino son ciudades estriadas buscando eh... ángulos que permitan una mayor defensa eh... la la [repetición] ingeniería moderna se basaba fundamentalmente en que eh... había que diseñar las ciudades con unas sistemas defensivos muy complejos que permitieran que la que el [repetición, cambio] atacante siempre estuviera amenazado, ¿eh? [P. ESCRIBE EN LA PIZARRA] frente a la ciudad medieval cuadrada, circular, etcétera se diseña ahora ciudades por ejemplo pentagonales que se ven reforzadas por eh... gigantescos trabajos de ingeniería, bastiones, puntas de estrella que lo que buscan es eh... diseñar un un [repetición] sistema defensivo de forma que el atacante ataque por donde ataque siempre se vea contrarestado por dos lados [ralentiza el discurso] [pausa] y si cae [ralentiza el discurso] la muralla exterior siempre quedan varios perímetros amurallados todavía en el interior. Las torres cilíndricas desaparecen son muy... muy [repetición] frágiles aparecen torres eh... muy mucho más... m... eh... adecuadas para <incomprensible> para [repetición] los cañones y por lo tanto como veis lo que cambia es el perfil urbano exterior [eleva el tono], cambia [repetición parcial] el sentido de la ciudad, porque estos sistemas defensivos realmente impactan mucho en el trazado de las ciudades, el problema es que las ciudades van a tardar can a tener muchas más complicaciones en crecer porque estos sistemas de ingeniería militar [ralentiza el discurso] ¿m? tri triplican [repetición, ampliación] a veces el tamaño de lo que es la ciudad real [eleva el tono], es muy difícil ampliarlas en una ciudad medieval detrás de un muro construyes otro barrio es mucho más complejo, bueno pues toda esa todo ese [repetición, cambio] barrio, toda esa reflexión sobre el arte de la guerra y de la

ingeniería militar aparece recogido en este libro de [ralentiza el discurso] Giorgio Martini eh... que lógicamente se encuentra en italiano **que es el que** sugirió eh... [pausa] toda la teoría del arte de la guerra moderna. Después de esto van a haber otros muchos [pausa], yo estoy trabajando todo este tiempo y tengo recogidos todos los libros italianos que se publican ya en el siglo dieciséis sobre la ingeniería militar y son muchos pero este es el primero y por lo tanto es el que sirve un poco como referencia. Bien, sigo adelante [pausa] como veis son temas muy muy muy [repetición] diversos los que os planteo [pausa], bueno y... y esto además si que ya lo veréis. Francesco Colonna la *Hypnerotomachia Poliphili*, eh... esto es una novela, una novela [repetición] eh... que eh... [pausa] se publica en Venecia en mil cuatrocientos noventa y nueve, en la imprenta de **<incomprensible>** si no recuerdo mal, el título *Hypnerotomachia Poliphili* podríamos traducirlo como El sueño de Polifilo, El sueño de Polifilo [repetición]. Es una novela, es la novela [repetición, cambio] más famosa del Renacimiento eh... una novela... complicada [eleva el tono], es una novela arqueológica, iniciática [eleva el tono], cuenta la historia de... de [pausa] eh... Polifilo, cuyo nombre indica Polifilo en amante de Polia, es un enamorado [eleva el tono] que eh... quiere encontrar a su amada, la **avista** en sueños, un viaje iniciático [eleva el tono] en busca de su amada, en busca de su amor [repetición, cambio], pero es un viaje m... a través de toda la antigüedad clásica, un viaje a través de los mitos, de las creencias, del mundo clásico. Un viaje lleno de **<incomprensible>** a la arquitectura, al **<incomprensible>**, a las ciudades tanto clásicas como modernas, un viaje onírico <eleva el tono> m... pero eh... interesantísimo para los que amáis de la cultura [eleva el tono] porque además fue ilustrado con unos ciento cincuenta dibujos que son fantásticos [eleva el tono], fantas [repetición parcial] dibujos a veces apa aparece [repetición ampliación], a veces la palabra fantástica [repetición, cambio] eh... literal porque son irreales, porque son sueños [repetición, cambio], otras veces son de una gran

precisión arqueológica [eleva el tono] y ofrecen una mirada muy completa por el mundo de la antigüedad. Es un libro insisto complejo [eleva el tono] [pausa] que eh... fue traducido al castellano hace unos años por... eh... Pilar Terraza, una historiadora del arte de la Universidad de Valencia que fue *Consellera de cultura* durante el gobierno socialista, es una gran eh humanista, una gran conocida conoedora [repetición, cambio] del arte italiano del Renacimiento y tradujo esta obra al castellano, la tenemos en la biblioteca. Recientemente esta novela está de moda ahora <incomprensible> tiene una frivolidad porque eh... hay una novela ahora que es un gran éxito en Estados Unidos se ha escrito al castellano que se llama El himno del cuatro, que gira entorno precisamente a esta novela, cuenta la historia de <incomprensible> en Harvard, la <incomprensible> Harvard que m...investigan esta novela como trabajo de... licenciatura, como tesina y a partir de este momento empiezan a descubrir sus secretos. Entra dentro de este género literario que ahora está tan de moda a partir de las novelas de Dragó y de Asesni y demás de coger de <incomprensible> de y eh... eh... buscar sus secretos, descifrarlas, y eh... si me permitís una reflexión, son novelas interesantes con <incomprensible> pero nunca olvidemos que son *bestsellers* y no son otra cosa eh... podemos disfrutar mucho leyendo El Código Da Vinci o Ángeles y demonios o concretamente El himno del cuatro o muchas novelas similares y está bien como entretenimiento pero como resúmenes evidentemente [eleva el tono] ni profesores, ni gente culta, ni historiadores [repetición, cambio] etcétera deben saber que eso es pura ficción, es decir no intentemos ver algo que no existe, son novelas de pasión y no es nada más que eso, y es mucho [eleva el tono] porque son meros entretenimientos cumplen su cometido, pero es preciso diferenciar yo mismo vi publicao un artículo el otro día en este respecto y es preciso diferenciar la ficción de la realidad, <incomprensible> lo que es ficción de la realidad. Por lo tanto, si... leéis El <incomprensible> fantástico, si os apetece leer

<incomprensible> El himno del cuatro también como diversión, pero siempre teniendo en cuenta que estamos en un mundo de ficción y no es otra cosa que eso, lo mejor siempre es ir a ver la Monalisa, leer El <incomprensible>, ir las obras originales sin por supuesto despreciar toda la literatura de ficción que se crea sobre entorno a estas obras maestras [pausa]. Sigo adelante [eleva el tono], Filarete otro libro fundamental, otro libro fundamental [repetición, eleva el tono] que como tenéis ahí fijaros también ha sido traducido al castellano ya hace unos quince años por la misma traductora que tradujo el libro de **Colonan**, Pilar Pedraza, ese libro lo tradujo, lo publicó, lo tradujo al castellano en mil novecientos noventa y lo publicó <incomprensible> estudios espacial <incomprensible>. Veréis [eleva el tono] este otro libro también es importantísimo. Filarete es un arquitecto del siglo quince que... [pausa] que estudiaremos en su momento, no es una de las figuras capitales pero le dedicaremos un... un rato una de las clases, que trabaja en Roma [eleva el tono], trabaja sobre todo en Milán al servicio de Escorza que construye el hospital mayor de Milán, actual universidad, **refuerzo <incomprensible> Escorza** aquí tiene una serie de obras interesantes eh por **Italia** pero eh... aquí lo menciono porque él escribió este libro El tratado de arquitectura, cuyo nombre lleva engaño realmente no es un tratado de arquitectura sino más bien un tratado de urbanismo [eleva el tono]. Bien, Filarete trabaja como os decía en Milán al servicio de Francesco Escorza y escribe un manuscrito que eh... lo que hace es eh... [pausa] bueno eh... imaginar, inventar, soñar y describir una ciudad ideal. Con la ciudad del Renacimiento pasa lo siguiente veréis eh... [pausa] al principios del siglo quince eh... las ciudades medievales estaban eh... esparcidas por toda Europa en Italia, Flandes, España y eh... bueno el el [repetición] desarrollo de las ciudades data del siglo trece, catorce, por lo tanto eh... lo que sucede en el Renacimiento es que van a hacer ciudades nuevas la población no aumenta [eleva el tono], las ciudades están construidas sí que habrá una arquitectura

moderna [eleva el tono] evidentemente que va eh [ralentiza el discurso] perfilando las ciudades medievales, pero la vida transcurre en ciudades medievales. Las ciudades, el futuro urbanístico **insisto** en ciudades medievales, plazas medievales, calles medievales [pausa], y sin embargo los intelectuales del Renacimiento sí que van a soñar como debería ser la ciudad ideal. No la ven, no la van a ver materializada en Italia con alguna excepción aparecerá alguna plaza, estoy pensando la plaza **Capitolio** **<incomprensible>** en Roma, eh... alguna ciudad pequeña, Pieza a la que me referiré, alguna ciudad defensiva en la frontera como Palmanova pero m... son excepciones, insisto no hay urbanismo moderno en Italia sí que hay sin embargo una gran reflexión intelectual sobre cómo debe ser una ciudad moderna. Esa ciudad moderna [eleva el tono] unos años después en cambio sí que se desarrollará en América cuando los españoles colonicen [eleva el tono] América van a tener que metropolizar el continente, van a tener que organizar, eh perdurar ese continente **<incomprensible>** grande y **<incomprensible >** de juego van a aparecer cientos y cientos y cientos [repetición] de ciudades, todas se construyen en muy poco tiempo [eleva el tono] y son todas muy [eleva el tono] parecidas con algunas dife diferencias [repetición, ampliación] **<incomprensible>** en otra pero son ciudades muy similares, esas ciudades que surgen en América son fruto de esta reflexión intelectual que tiene lugar ahora en el Renacimiento y que se inician con Filarete, Filarete es el primero que imagina una ciudad moderna, insisto que en Italia no se va a ver reflejada pero m... de alguna forma eh... su reflexión pues nos ilumina de co sobre como imaginaban **<incomprensible>** las ciudades modernas y es un... tratado completísimo completísimo [repetición], [eleva el tono] porque porque [repetición] lo cuenta todo como como [repetición] se funda la ciudad, como se elige la ciudad, como se construye [repetición, cambio], hasta límites, hasta hasta hasta [repetición] aspectos mínimos [eleva el tono], el grosor de los muros, como han de ser las almenas, eh... como han de ser **<incomprensible>** las

iglesias, los barrios, la organización de los barrios, los ayu, los hospitales, las cárceles, los prostíbulos, eh cada cada cada [repetición] elemento de la ciudad esencial como es una cárcel o un prostíbulo está de eh... m... descrito con con con [repetición] todo detalle pero hasta hasta [repetición] el punto de acabar sacado con la construcción de de [repetición] un hospital, un día de trabajo construyendo el hospital de la ciudad, en fin que es de un detallismo asombroso, eh... pues bien a parte este libro también eh fue ilustrado con dibujos con más de un centenar de dibujos [pausa] preciosos [eleva el tono] que muestran imágenes de esa ciudad soñada [pausa]. Sin embargo el tratado del arte de Filarete nunca de publicó [eleva el tono], se quedó en manuscrito [eleva el tono], por lo tanto su impacto [eleva el tono], m... su impacto [repetición] fue reducido porque eh... algunos círculos de intelectuales lo conocieron, lo leyeron, lo comentaron [repetición, cambio] pero [eleva el tono] no se difundió eh... hasta el siglo veinte [pausa]. Se conservaban en el siglo veinte tres manuscritos y asombrosamente estos manuscritos, originales del siglo quince, se conservaban en la Universidad de Valencia que tiene una biblioteca de investigación magnífica llena de fondos históricos, no es un libro comparable [eleva el tono] con los que vamos a ver luego que voy a mencionar Palatio, **Osaquio**, nombres destacados de reconocimiento a nivel internacional, **El Medidas del romano** viene un poco a teorizar sobre ese Renacimiento [eleva el tono] que llamamos plateresco, ese Renacimiento eh... un poco extravagante que se desarrolló Italia en España en el siglo dieciséis pero es un libro interesantísimo fijaros que el título es muy elocuente Medidas del romano, el romano es el arte del Renacimiento, hay una clara conciencia de que el Renacimiento ha recuperado el arte clásico, el arte romano y lo que se hace es simplemente teorizar ese arte romano que como una moda extranjera llegada de Italia. El siguiente libro es un libro que os recomendado ya hasta ahora hablé de él el último día Vasari [eleva el tono], Vasari comento muy brevemente pintor, arquitecto,

discípulo de Miguel Ángel y el primer biógrafo de la historia del arte eh... europea, la vida de unos excelentes arquitectos, pintores, escultores, Florencia mil quinientos cincuenta, fijaros mil quinientos cincuenta él que escribe [eleva el tono] sobre todos los pintores que le han precedido y **nada** sobre sus contemporáneos, puede teo teorizar [repetición, ampliación] con bastante autoridad porque [eleva el tono] tiene una visión bastante completa de todo el *quattrocento* y de gran parte del *cinquecento* fijaron en mil quinientos cincuenta estamos en pleno **enilismo** el Renacimiento de alguna forma ya ha concluido, entonces él tiene una perspectiva muy buena y como os decía ya es un libro fundamental para m eh rastrear la **inmensa** mayoría de los artistas del Renacimiento italiano [pausa]. Le sigue un libro de un pintor holandés poco conocido [ralentiza el discurso] **<incomprensible>** que es también biógrafo e historiador del arte pronto el el [repetición] modelo de libro de Vasari [eleva el tono] la vida de artistas m... se pone de moda en Europa y **<incomprensible>** lo que va a hacer es lo mismo que ha hecho Vasari pero en el norte de Europa. Se publica en holandés este libro ***Sil de roe*** que lo que hace es [ralentiza el discurso] lo mismo que ha hecho Vasari en Italia lo hace él [eleva el tono] refiriéndose a Flandes y a Holanda, es decir el Renacimiento del norte de Europa y nos habla nos habla [repetición] de **Prei**, nos habla de de [repetición] los pintores que que... [repetición] han trabajado en en [repetición] toda esta trayectoria que fueron [ralentiza el discurso] un po un poco [repetición, ampliación] el Renacimiento europeo no se puede comparar el libro Flandes, sobre todo Flandes parte de Holanda solo que suponen también dos grandes escuelas de pintura [ralentiza el discurso] del siglo dieciséis. Bueno, si alguien lo quiere leer hace una biografía de todos estos artistas [pausa]. Bien [eleva el tono] luego viene cuatro libros [eleva el tono] que no voy a explicar ahora porque a ellos les voy a dedicar una clase específica solo para ellos [pausa], son los libros de Vignola, Palladio, Scamozzi y Serlio son los cuatro tratados de arquitectura más importantes [eleva el tono]

del Renacimiento y más importantes [eleva el tono] de la cultura europea [pausa]. Son los fundamentales [pausa] y tuvieron un impacto mucho más de las fronteras de Italia y mucho más allá del siglo dieciséis por ejemplo el libro, el libro [repetición] de Vignola es fundamental para estudiar por ejemplo la arquitectura rusa, el libro de Palladio es esencial [eleva el tono] para conocer toda la arquitectura anglosajona y norteamericana, toda la arquitectura inglesa y estadounidense no se puede conocer sin estudiar <incomprensible> el libro de Palladio, por lo tanto, el el [repetición] libro de Serlio es capital, por lo tanto estos libros son muy importantes y <incomprensible> explicarlos un poco con calma. Vignola y Palladio son dos grandes arquitectos del siglo dieciséis, los cuatro son arquitectos, pero Vignola y Palladio son dos arquitectos de de [repetición] primera magnitud. Vignola es arquitecto de la contra reforma, Palladio es arquitecto de todo el Renacimiento veneciano. Insisto los lo dejamos aquí y sobre ello profundizaremos <incomprensible> [pausa]. Luego vienen otros cuatro libros, otros cuatro libros [repetición] que entrarían en el capítulo de lo que es la pintura simbólica que es un tema que que [repetición] yo investigo y me interesa muchísimo y <incomprensible> quiero quiero [repetición] que conozcáis un poquito. El Horapollo, el PieroValeriano, el Alciato y el Borja eh... Muy brevemente, solo una pequeña introducción a este a este [repetición] tema. Veréis [eleva el tono] en en en en [repetición] los inicios del siglo quince de la misma forma que se descubre el el [repetición] libro de Vitruvio se descubre otro libro que va a tener tanto impacto [eleva el tono] como el tratado de de arquitectura de Vasari es el *Horapollo Hieroglyphica*, jeroglífico [eleva el tono]. Es un libro que se había conservado, copiado en la Edad Media que ahora bien se va a... a a [repetición] redescubrir [eleva el tono] y va a tener un inmenso impacto en Europa durante siglos. Un... el autor es Horapollo [eleva el tono], fijaros que el nombre ya es un clave, Orus y Apolo [eleva el tono], un dios egipcio, un dios griego [eleva el tono] [repetición, cambio]. Hoy en día

sabemos que Horapollo es el sobrenombre de un sacerdote egipcio que hacia el siglo quinto publica este libro, un sacerdote egipcio ya de la época románica [eleva el tono] que publica este libro *Hieroglyphica* que [eleva el tono] bueno pues eh... lo tenemos también en la biblioteca y... ilustrado lo podéis ver eh que lo que hace aparecen un poco las **ciudades** medievales pero pero [repetición] antes porque es muy muy [repetición] anterior lo que hace es eh... ir recopilando imágenes [eleva el tono] y explicando su significado, por ejemplo el león, ¿qué significa el león? Bueno pues eh... este autor explica eh... explica qué es un león [repetición, ampliación] y luego explica todos los significados que puede tener, por tanto es un libro utilísimo para los artistas porque eh... permite m... componer imágenes simbólicas a partir de de de [repetición] este trabajo. Bien, pasó lo siguiente veréis [eleva el tono] porque dicho así el Horapollo pacere <**incomprensible**> muy anterior, pero pero [repetición] pasó lo siguiente eh... de la misma forma que que [repetición] en los círculos intelectuales m se pone de moda la pintura greco romana y se recupera toda la cultura latina eh... más allá de la cultura latina los... intelectuales del Renacimiento descubrieron otra cultura milenaria más lejana en el tiempo, más remota e igualmente fascinante que es la cultura egipcia. La cultura egipcia m... quedaba muy lejos [eleva el tono] en el tiempo y en la geografía era impensable en estos en estos [repetición] momentos por supuesto viajar a Egipto y... y... y [repetición] estudiarla *in situ*, pero eh toda Roma estaba saturada de obeliscos egipcios, hoy en día como sabéis cada plaza de Roma tiene un obelisco egipcio porque hubo un reconocimiento por parte de los césares pues Julio Claudio sobre todo <**incomprensible**> para los otros emperadores que que [repetición] se trajeron docenas de obeliscos para decorar las plazas de de [repetición] la Roma imperial. Bueno, estos jeroglíficos estaban decorados con perdón estos obeliscos estaban decorados con [repetición, cambio] jeroglíficos pétreos. Bien existe la, existía la [repetición, cambio] idea en el siglo quince de que de

que [repetición] estos jeroglíficos, que nadie entendía, encerraba los grandes secretos de la... de la [repetición] humanidad, existía la idea de que sacerdotes muy lejanos en el tiempo habían recogido estos secretos de los dioses milenarios de Egipto y los habían grabado en piedra, por tanto estos jeroglíficos los estudiaban muchísimo [eleva el tono] de la forma que hoy es una historia *best seller* de <incomprensible> El código Da Vinci en aquella época ver un un un [repetición] obelisco gigantesco de piedra original de Egipto grabado con unos jeroglíficos que encerraban [pausa] grandes secretos pues... eh fascinaba a los intelectuales de la época. Pues bien cuando descubren el *Horapollo* eh... en... estos círculos intelectuales crecen [eleva el tono] que han descubierto la manera para interpretar sobre los jeroglíficos egipcios. Evidentemente no será así, no tiene nada que ver, m... y por otra parte como sabemos eh... hoy en día desde el siglo... diecinueve, desde <incomprensible>, los jeroglíficos egipcios pues son un lenguaje ideográfico que igual te habla de religión, que.. de economía, que... historia pero no es más que un lenguaje y no hay grandes secretos ocultos, eh... pero eso se sabe desde el siglo diecinueve, en el quince, dieciséis y diecisiete no se sabía ¿qué sucede entonces? Que eh... el *Horapollo* va a tener un gran éxito dentro de Europa porque eh... se interpreta como un libro para acceder a esas [ralentiza el discurso] verdades ocultas. Bien [eleva el tono], eh... [pausa] además van a van a [repetición] coincidir una serie de factores, por un lado la recuperación de la mitología clásica, por otro lado la convivencia de toda la simbología medieval que si <incomprensible> [pausa], por otra parte desde el siglo eh... eh... quince, desde que las tropas francesas invaden Italia para cargar contra los ejércitos españoles, eh... los caballeros franceses sobre todo los borboñones muestran [eleva el tono] en sus escudos, en sus pechos ,en los yelmos imágenes simbólicas, son las llamadas divisas, m... no estoy hablando de heráldicas, heráldicas [repetición] son eh son [repetición] también reproducciones simbólicas pero por

otra parte derivan del nombre de una familia, de una dinastía. Las divisas son otras cosa, las divisas son imágenes simbólicas que eh los caballeros gustaban de pintaban en sus escudos, o llevar en las indumentarias, en los bailes, en las fiestas cortesanas y que encerraba eh... un significado muchas veces de carácter amoroso, otras veces de carácter político combinaban imagen una imagen [repetición, ampliación] y una frase y eh... bueno pues... eh por una parte esa cultura caballeresca, cortesana eh... que se introduce en Francia en el siglo quince. Por lo tanto como veis aquí coinciden muchos universos, por un lado el *Horapollo* y los jeroglíficos egipcios, por otra parte la tradición simbólica medieval <incomprensible> y <incomprensible>, por otra parte la propia tradición simbólica clásica las medallas, las monedas, todos los mitos clásicos, la mitología, por otra parte la divisas, todo eso todo eso va a converger en lo que llamamos la cultura emblemática que esa es la creación genuina del Renacimiento [eleva el tono] y aquello importante de estos libros que tenéis abajo el Pierio Valeriano, el Alciato, el Borja son libros emblemas [eleva el tono], libros que pertenecen a la literatura emblemática o a la cultura emblemática, libros que muestran [eleva el tono] eh... eh... [repetición] imágenes acompañadas de palabras que encierran significados muy diversos. Surgen como un un juego, surgen como un juego [repetición], los los [repetición] humanistas cuando vieron los caballeros **borboñones** que llevaban estas imágenes con estas, os pongo un ejemplo porque sino a lo mejor no un ejemplo conocido que hayáis visto por ahí...vaya eh... un torneo mediados del siglo diecisiete en España, bien un tor un torneo [repetición, ampliación] que se celebra en Madrid y que eh... [ralentiza el discurso] eh... [repetición] en la que participan los caballeros <incomprensible> de la corte de Madrid exhibiendo divisas [eleva el tono] ¿de acuerdo? Es el Conde de **Villa Mediana** exhibió una divisa que eh mostraba eh..., la llevaba bordada en seda en el pecho, y mostraba una monedas, unos reales que es la moneda castellana de la época, y la la [repetición] frase

que acompañaba a esa imagen decía mis amores son reales, repito un un un [repetición] dibujo en seda, un bordado, que mostraba unas monedas, reales, y una frase que decía mis amores son reales, claro aquí hay un juego de de de [repetición] diversas intrigas ¿qué quiere decir esto? Eh... alguien que no estuviera metido en la intriga podría interpretarlo que el conde Emiliano amaba el dinero sin embargo eh en Madrid circulaba la historia de que era el amante de la reina Isabel de Borbón, esposa de Felipe cuarto y eh... Isabel de Borbón de Borbón [repetición] y eh... se interpretó como una osadía del Conde de Villa Mediana eh... declarando su amor por la reina. Eh... le constó la muerte, unos pocos días después eh... una serie de sicarios lo lo [repetición] acuchillaron en una calle de Madrid pero la impresión es que fue en el nombre del rey, o el conde de Olivares por una conjura política peor el caso es que le constó la vida. Pero bueno aun y así hay que tener en cuenta que eso es una divisa, una imagen eh... extraña, simbólica que una frase nos ayuda a comprender. Bueno pues eh... eh... los emblemas son parecidos, los emblemas tienen tres elementos: una imagen [pausa], una frase latina [pausa] [eleva el tono] que... claramente de voces clásicas Palladio, Virgilio, etcétera, una frase latina que intenta ayudar a comprender el significado de la imagen [ralentiza el discurso] y eh... y un y un [repetición] verso, un poema, una letra que lo aclara definitivamente [pausa] el lema, la imagen y la letra. Bueno pues ahora hay publicados en Europa cientos y cientos y cientos [repetición] en España muchísimos [eleva el tono] libros, emblemas que circulan y que tienen eh... un gran éxito público, El *Alciato* es el libro más famoso de todos, se publican hasta ciento cincuenta ediciones [ralentiza el discurso] de este libro, que se traduce a todas las lenguas. El *Borja* os lo he puesto porque es el primer libro de emblemas o empresas, se pueden llamar empresas, publicado en el <incomprensible> aunque se publica en una... La importancia al margen de de de [repetición] lo que nos interesa <incomprensible>, la importancia de este mundo de la cultura emblemática escriba en

lo siguiente, hay un momento en el que el poder político y [eleva el tono] la iglesia se dan cuenta de que estos estas [repetición, cambio] imágenes simbólicas <incomprensible>, y entonces van a instrumentalizadas, estos emblemas que han surgido como un divertimento, como un juego entre intelectuales que se regalan divisas, que hacen concursos de de jeroglíficos, esas imágenes simbólicas eh... van a ser eh... instrumentalizadas como os decía por el poder político y religioso que eh van a editar libros con los emblemas con un contenido en concreto, de contenido moral, de contenido ideológico para en un libro determinar una ideología o una determinada moral. Eh... diréis bueno sí pero esto solo lo lo lo [repetición] podía llagar a la gente que sabía leer y tenía un libro en su casa, es verdad, pero [eleva el tono] el gran, el gran [repetición] espectáculo propagandístico eh... del poder en la época moderna, el Renacimiento y el Barroco, es la fiesta pública, las ceremonias, las fie, los espectáculos, la... todo toda la parafernalia parafernalia [repetición] de las fiestas urbanas que tienen lugar en calles y plazas ,en diferentes sitios, magias, cortejos, entradas triunfales, etcétera todas esas fiestas [eleva el tono], todas esas ceremonias que son una replica de poder eh... se desarrollaban entre <incomprensible>, arcos de triunfo, altares, catafalcos, que eran decoradas con jeroglíficos pintados esta estamos [repetición, ampliación] hablando del emblema libresco al emblema urbano [eleva el tono], en las calles de las ciudades de Europa se decoraban una y otra vez en cada fiesta con [eleva el tono] pinturas emblemáticas, pinturas que mostraban una imagen y un.. un [repetición] lema y esos emblemas dirigidos a al pueblo llano permitían transmitir determinadas imágenes por ejemplo un sol que se pone sobre el horizonte, es una imagen de la muerte de un monarca, el eclipse solar es una imagen de eh... la muerte del rey y del legado dinástico. El primer sol que se posaba sobre el horizonte podía despistar un poco pero cuando este sol cuando durante generaciones, durante eh... miles de jeroglíficos, en libros, en calles, en plazas <incomprensible> imágenes al final el

pueblo lo que dice es que el sol [eleva el tono] que se esconde en el horizonte es la muerte del monarca, por lo tanto eh... eh... <incomprensible> y <incomprensible> eh son directamente la imagen de <incomprensible> demostrar los emblemas y sus imágenes, estas imágenes son asimiladas y las las las [repetición] asume el pueblo y por lo tanto funciona y tiene un gran éxito [eleva el tono]. Bien y el último libro y una frase en concreto sobre él, es de Giovanni Cellini es un escultor del siglo dieciséis, un escultor muy interesante, un orfebre [eleva el tono] en realidad, él trabaja sobre todo la orfebrería pero hace esculturas también en bronce preciosas <incomprensible> y [eleva el tono] y [repetición] escribe una autobiografía, La vida del maestro Giovanni Cellini fiorentino, y es una biografía fascina eh fascinante porque Cellini un personaje de su época es eh... eh un personaje muy complejo, polémico, eh... escandaloso, eh... que no tiene pelos en la lengua, no participa de una falsa moral, habla con todo desparpajo y su biografía puede ser muy ilustrativa para que comprendamos como era la vida del Renacimiento, un personaje que vive en Florencia, conocerá la corte de Francia, trabajará con Francisco primero que se mueve mucho, una vida llena de aventuras llena de de [repetición] acción, de escándalos y bueno pues es una forma de vivir en <incomprensible> la sociedad del Renacimiento [pausa]. ¿Hasta aquí tenéis alguna duda, alguna cosa que queráis preguntar?, bueno pues lo dejamos aquí <incomprensible>.

LE3

CAMPO: Psicología

ASIGNATURA: Psicoestadística I

Nº ESTUDIANTES: 65 (38m/27f)

Fecha: 14/05/2003

Duración: 75 minutos

Nº Palabras: 8.319

[E. BORRA LA PIZARRA] (alumna)

[E. ESCRIBE EN LA PIZARRA] (alumna)

[E. SALE A LA PIZARRA] (alumna)

[eleva el tono]

[INTERRUPCIÓN DE LA CLASE] (descanso)

[INTERRUPCIÓN DE LA CLASE] (evaluación del profesor)

[INTERVENCIÓN ESTUDIANTE] (alumno/alumna
responde/pregunta)

[P. BORRA LA PIZARRA]

[P. CAMBIA LA TRANSPARENCIA]

[P. ESCRIBE EN LA PIZARRA]

[P. PONE UNA TRANSPARENCIA]

[pausa]: cuando es larga

...: pausa corta, titubeos

[pausa, como esperando pregunta o confirmación]

[pausa, esperando respuesta]

[PREGUNTAS Y RESPUESTAS DURANTE 13 MINUTOS]

[PROFESOR]

[ralentiza el discurso]

[repetición, parafrasear]

[tono descendente]: tras una interrogación el profesor expresa
carencia de búsqueda de respuesta, es el profesor quien la da

<incomprensible>

Bien, entonces el otro día dábamos la... introducción por así decirlo a la regresión... eh, dábamos precisamente cuales eran los fundamentos de la regresión, decíamos, que como cosas a tener en cuenta si os acordáis [pausa] [P. ESCRIBE EN LA PIZARRA] la ecuación de regresión y es igual a $a + bx$ más e bien ¿y cuáles eran los datos del problema? [tono descendente] si os acordáis los datos del problema eran conjunto precisamente de... datos los resultados obtenidos en la variable x y en la variable y , es decir que tomar dos valores, eh dos valores de un conjunto de personas, en dos variables [pausa] eh... el problema precisamente de que el... debemos resolver en la ecuación de regresión es, calcular cual es el valor de a y cual es el valor de b ¿eh? Decíamos que a es ¿cómo le llamábamos? [pausa esperando respuesta] ¿ a era qué era? Que no me acuerdo [pausa] ¿qué es a ? [pausa esperando respuesta] ¿qué es a ? [pausa esperando respuesta] ¿qué es a ? [pausa esperando respuesta] es la ordenada en el origen, y ¿qué significa eso de que a es la ordenada en el origen? ¿qué significado tiene? [INTERVENCIÓN ESTUDIANTE] (alumna responde) ¿cómo? ¿cómo? [INTERVENCIÓN ESTUDIANTE] (alumna responde) es al revés, cuando x es igual a 0 [P. ESCRIBE EN LA PIZARRA] cuando x es igual a 0 y es igual ¿a qué? ... a la ordenada en el origen ¿eh? Es decir, si tenemos nosotros... que esa parte [P. ESCRIBE EN LA PIZARRA] es y prima o y circunflejo tenemos entonces que [P. ESCRIBE EN LA PIZARRA] y es igual a $a + bx$ si x es igual a 0 [P. ESCRIBE EN LA PIZARRA] entonces y es igual a a es decir, gráficamente, gráficamente ¿cuál será el valor de a ? [tono descendente] [P. ESCRIBE EN LA PIZARRA] gráficamente el valor de a es, la distancia que hay desde el punto 00 desde el origen de coordenadas hasta [P. ESCRIBE EN LA PIZARRA] aquí este será el valor de a , hasta el punto de corte, de la recta [P. ESCRIBE EN LA PIZARRA] con, el eje de las ys , es positivo si el corte es por encima, y negativo si el corte es por debajo ¿vale? El otro día pusimos un problema de regresión de qué notas saca el alumno en función del

sitio en que se sentara en clase ¿vale? No recuerdo cual era la ecuación de regresión pero seguramente algunos la tenéis por ahí ¿cuál es la ecuación de regresión os acordáis? [pausa esperando respuesta] ¿y es igual a cuanto? [repetición, parafrasea] [INTERVENCIÓN ESTUDIANTE] (alumno responde) [P. ESCRIBE EN LA PIZARRA] $9 \text{ con } 3 - 0,8x$ ¿vale? Esta era la ecuación de regresión... ¿qué significa esto? [pausa esperando respuesta] ¿qué significa este 9,3? [repetición, parafrasea] [pausa] ¿qué es x? [repetición, parafrasea] [pausa] y era la data obtenida al final y x era me parece... el la el lugar en el digamos... medio en el cual se sentaba en alumno a lo largo del curso [pausa] algunas veces el significado que no tiene porque tener sentido, pero ¿teóricamente qué significa este 9 con 3? [repetición] [INTERVENCIÓN ESTUDIANTE] (alumna responde) cuando x es 0, es decir, en términos sustantivos ¿cuándo x es 0? [INTERVENCIÓN ESTUDIANTE] (alumna responde) uuuf, nuestro mundo [ralentiza el discurso] se reduce a dos variables: primera variable, lugar en el que se sienta uno, segunda variable, eh... puntuación que obtiene al final, lo demás, si existe no lo tenemos en cuenta, [INTERVENCIÓN ESTUDIANTE] (alumna responde) donde se sienta, vale. En que, el alumno que se sienta en la fila 0, teóricamente saca un 9,3 ¿eh? ¿vale? Es decir, el alumno que se sienta en la fila 0 teóricamente tiene un 9 con 3 vamos a encontrarnos con problemas parecidos, con o co vamos con interpretaciones semejantes, cuando tengamos casos por ejemplo atípicos, por ejemplo, por ejemplo, si tenemos que la variable independiente es el CI y la variable independiente cualquier otra edad de rendimiento por ejemplo resultado académico [P. ESCRIBE EN LA PIZARRA] ¿qué ocurre? ¿existe una persona con CI 0? [pausa esperando respuesta] no, pues también nos vamos a encontrar con un resultado, que no tiene un resultado sustantivo ¿mmm? Hay casos en los cuales ese sentido no... no es correcto o por lo menos no se puede entender, es decir, que aquella persona, aquel alumno que se sentara en el sitio del profesor cada día al

entrar en clase, solo por sentarse, en el sitio del profesor ya al final del curso conseguiría un 9 con 3. Si resulta que que el aula tiene tiene una... un recorrido de la primera fila... a la fila diez, en ese rango, de recorrido teníamos que ultimar los valores de x [pausa] ¿eh? Teníamos, perdona, perdonar, no estimar los valores de x , estimar los valores de y prima en función de esos valores de x 1, 10 ¿vale? Por lo tanto, aquella persona, aquella persona, que di que sistemáticamente se sienta todos los días en la primera fila, el valor de y prima será [P. ESCRIBE EN LA PIZARRA] para x igual a 1 eh... 9 con 3 – 0,8 por 1 ¿vale? Y entonces será eh de 8 a 13 5 eh 1 a 9 8 8,5 solo por sentarse en la primera fila [pausa] ¿vale? Supongamos, que el el la clase tiene 2 3 cua he dicho 10 me parece ¿verdad? [pausa esperando respuesta] Vale... pues entonces [P. ESCRIBE EN LA PIZARRA] y prima para x igual a 10 tenemos entonces que será 9,3 – 0,8 por 10 es decir 9,3 menos 8 1 con 3 [pausa] Fijaros la diferencia que hay en este sistema, entre sentarse en la primera fila, y sentarse... en la ultima fila ¿mmm? Bueno, bien, eh... [pausa] ¿qué sentido tiene el coeficiente de la pendiente ser $-0,8$?, ¿qué significa eso? [pausa esperando respuesta] en términos generales, esa pendiente ¿qué significa? [pausa esperando respuesta] [INTERVENCIÓN ESTUDIANTE] (alumna responde) vale, y aquí ¿qué significado tiene? [tono descendente] es cir, el este coeficiente de e , no es ni más ni menos cuanto crece y o y prima en este caso cuando x aumenta una unidad, cuando x aumenta una unidad y va disminuyendo en $-0,8$ unidades de y , es decir, cuando x aumenta en una unidad de lugar de sienta, de asiento, y disminuye en 0,8 o aumenta en $-0,8$, matemáticamente es lo mismo, ¿qué significado sustantivo tiene en esta ecuación? [pausa esperando respuesta] [INTERVENCIÓN ESTUDIANTE] (alumna responde) exactamente, la diferencia de sentarse en una fila, o en la siguiente, de una fila a la siguiente, es a final de curso tener una expectativa de nota de $-0,8$ puntos, es cir, si pasa de la fila 1 a la 2, cuando x aumenta una unidad... ¿mmm? y [eleva el tono] prima disminuye menos eh eh

bueno, disminuye, disminuye 0,8 puntos, o aumenta $-0,8$ puntos [pausa] ¿vale? ¿de acuerdo? Es cir, que en teoría digamos, que este sería el el las la interpretación sustantiva. Bien, si os acordáis el otro día había una serie de puntos por ahí, eh... la grafica no recuerdo bien como salía pero bueno, si os acordáis la correlación y la regresión era negativa, pero vemos allí que, que x va de 0 a 10 decíamos o de 1 a 10 [P. ESCRIBE EN LA PIZARRA] e y bien, entonces, entonces, que para x es y si x lo hacemos igual a 0 ¿y cuánto vale y prima?, [INTERVENCIÓN ESTUDIANTE] (alumna responde) 9,3 por lo tanto si ponemos aquí el valor de 5, valor 10, 9,3 estaría aproximadamente por aquí [P. ESCRIBE EN LA PIZARRA] y si, x , es igual a 10, y vale 1 con 3 [P. ESCRIBE EN LA PIZARRA] Es decir, que aquí si ponemos, para x igual a 0, esto sería el punto 0 9 con 3 [P. ESCRIBE EN LA PIZARRA] y esto sería el punto 10 1 con 3 [P. ESCRIBE EN LA PIZARRA] ¿de acuerdo? Unimos estos dos puntos [P. ESCRIBE EN LA PIZARRA] y [eleva el tono] esta recta nos da precisamente, el... digamos, el valor esperado, de cada persona según el punto digamos en el... la media de los lugares el banco en el que se siente en relación al profesor ¿de acuerdo? Bueno, bien, dábamos unas ecuaciones para calcular a y para calcular b ¿mmm? Bien, y además decíamos que el procedimiento que explicamos el otro día, que el procedimiento que explicábamos el otro día, eh... es el sistema de cálculo, de la ecuación de regresión, lo que llamábamos mediante mínimos cuadrados, mediante mínimos cuadrados ¿qué significa esto? [tono descendente] si tenemos un punto, que representa una persona por ejemplo un alumno que tuviese una puntuación, de por ejemplo, eh 2, se sienta en termino medio en la banqueta 2 a lo largo del curso, y obtiene al final de curso una puntuación de 6 ¿mmm? [P. ESCRIBE EN LA PIZARRA] bien, a este alumno que esta por debajo de la recta, que esta por debajo de la recta, fijaros como, como ¿qué sucede? Tendríamos que poner qué ¿cuál es el valor de y de este alumno? [pausa esperando respuesta] [INTERVENCIÓN

ESTUDIANTE] (alumna responde) ¿cuál? [eleva el tono]
[INTERVENCIÓN ESTUDIANTE] (alumno responde) 6, por lo tanto
[P. ESCRIBE EN LA PIZARRA] si y es igual a a más bx más el error
resulta que que, y en este caso ¿cuánto qué puntuaciones tienes al
1? [tono descendente] 6 [P. ESCRIBE EN LA PIZARRA] es igual a a
que vale 9,3 más más b que es perdón $-0,8$ es el valor de b por x
más el error ¿vale? Entonces ahora eh... ¿cuál es el valor de x este
alumno? [INTERVENCIÓN ESTUDIANTE] (alumna responde) 2.
Fijaros como ¿este alumno dónde cae, por encima de la recta o por
debajo de la recta? [INTERVENCIÓN ESTUDIANTE] cae por debajo,
luego su error será negativo, es decir, obtiene, obtiene, un valor
empírico [P. ESCRIBE EN LA PIZARRA] por debajo del valor
esperado [P. ESCRIBE EN LA PIZARRA] ¿eh? Y, entonces ¿cuánto
era su error de pronóstico? [tono descendente] su error de
pronóstico sería en este caso [P. ESCRIBE EN LA PIZARRA] $9,3 -$
 $0,8$ por por 2 6 es igual a $9,3 - 0,8$ por 2 diezi 1 con 6 es igual a e,
perdón, más e, entonces te s sale de 6 a 13 7 1 y 1 2 a 9 7 ¿de
acuerdo? 6 e más e, luego el error es igual a 6 menos 7,7 esto es
igual a $-1,7$ es decir, el valor esperado de este alumno, el valor
esperado de este alumno, eh... era 7 con 7, si nosotros trazamos por
aquí esta perpendicular ¿qué distancia hay, que distancia hay,
desde aquí, hasta el eje de las x? [INTERVENCIÓN ESTUDIANTE]
(alumna responde) 7,7. Pero la puntuación, que es el punto lo
digamos sobre la recta, su valor esperado, pero la puntuación de
este alumno ha sido de 6 [P. ESCRIBE EN LA PIZARRA] ¿vale?
Bien, entonces, entonces, lo que nos esta indicando es que este
alumno tiene un... conforme a esa ecuación de regresión, la
ecuación de regresión tiene este alumno un error... de $-1,7$. Es decir,
que le correspondía teóricamente haber obtenido 1,7 más puntos de
los que ha obtenido. ¿mmm? ¿de acuerdo? Bien, si nosotros
calculásemos todos los errores para todos los alumnos de este
grupo... ¿cuánto sería la suma de los errores? Decíamos el otro día
[INTERVENCIÓN ESTUDIANTE] (alumna responde) 0. Supongamos

que cada uno de los errores ahora lo elevamos al cuadrado ¿cómo sería la suma de esos errores? [pausa esperando respuesta] No sabríamos cuanto sería en cualquier caso sería un valor positivo porque son valores elevados al cuadrado, pero, si nosotros en lugar de utilizar esta ecuación de regresión, con el coeficiente a y con el coeficiente b , utilizásemos otro cualquier otro cualquiera de sus coeficientes, o cambiáramos uno de ellos simplemente, la suma de los errores al cuadrado, la suma de los errores al cuadrado, sería mayor que la suma de los errores al cuadrado que obtendríamos con esta ecuación ¿mmm? Bien entonces, el... procedimiento no os lo demostré... en algún libro avanzado de estadística me parece que el libro de Amol [eleva el tono] de editorial Pirámide trae la demostración, eh... [pausa] es es es decir el sistema de regresión lo hemos hecho mediante procedimiento mínimos cuadráticos es el que viene normalmente en todos los manuales ¿mmm? Y la principal propiedad es esa, media de errores 0, y la suma de los errores al cuadrado es la mínima que podemos obtener, la mínima que podemos obtener ¿vale? Bueno ¿queda claro? Bien en este caso fijaros también, cual es la interpretación grafica antes os decía, que cual era la interpretación grafica de a y de b , la interpretación grafica en esta curva, no es en esta curva en esta línea recta, en esta grafica de a es esto [P. ESCRIBE EN LA PIZARRA] a es igual a 9 con 3 ¿de acuerdo? a es igual a 9 con 3, la distancia al origen es positiva 9 con 3 ¿dónde esta la pendiente ahora? [tono descendente] La pendiente esta el siguiente en la siguiente interpretación, supongamos que nosotros tomamos un punto cualquiera este el valor de 5 ¿de acuerdo? Y añadimos un valor, un una unidad, tomamos el valor de 6 en el eje de las x ¿vale? Desde aquí, hasta aquí, hay un punto de diferencia de unidades de x , en este caso un... digamos a ... un aumento en el orden de la banqueta, en lugar de sentarse en la fila 5 sentase en la fila 6 ¿vale? Si trazamos las dos perpendiculares, hasta cortar al segmento a a la línea esta de del la regresión ¿dónde está el valor $-0,8$ que es la pendiente? [tono

descendente] pues muy fácil, trazamos la paralela, por el segmento digamos más grande [P. ESCRIBE EN LA PIZARRA] ¿eh? Por el primero, por el valor de 5, y decíamos antes que la pendiente es lo que crece, ¿mmm? Lo que se modifica para ser más exactos, la variable dependiente y cuando x aumenta una unidad, fijaros que si hacemos lo crecer aquí una unidad, el punto de corte ahora está aquí ¿cuál es el valor de... el coeficiente? ¿dónde lo tenemos ahora? [repetición, parafrasear] [pausa] el valor del coeficiente es el epicentro de va de aquí, hasta aquí [P. ESCRIBE EN LA PIZARRA] ¿mmm? Es decir, lo que ha bajado este segmento rectilíneo pero, medido en unidades de x ¿eh? Este valor desde aquí, hasta aquí, ¿mmm? Este, es el valor de $-0,8$ ¿vale? ¿de acuerdo? Es decir, que lo que decis antes en bachillerato [ralentiza el discurso] si el... $-0,8$ es la pendiente, de acuerdo ¿qué es la pendiente? [tono descendente] la pendiente es cuando aumenta, la variable y , cuando la variable x eh aumenta... teóricamente esto vale para la línea recta no vale para una curva, porque en las curvas eh... pu puede ser la... la forma irregular ya no es una unidad, tiene que ser la la pendiente en el punto ¿eh? Entonces ¿cuándo aumenta infenitesimamente y ? [tono descendente] Cuando aumenta infenitesimamente x ¿mmm? ¿vale? Pero bueno, la idea con la recta es correcta ¿eh? Y lo que viene a decir es lo siguiente, cuánto se modifica y en unidades de y , es decir, cuánto se modifica la nota, cuando x aumenta una unidad, es cir cuando x aumenta... un lugar de la banqueta, y de la nota, perdón de la... banqueta 5 a la banqueta 6, o de la 2 a la 3 es lo mismo, porque la forma de la recta no va no modifica son paralelas entre paralelas... ¿vale? ¿queda entendido? Bueno ¿alguna pregunta? ¿se dice así son paralelas entre paralelas <incomprensible>? ¿no?, ¿he dicho alguna barbaridad tú que eres de ciencias?, ¿no? Eh... que teóricamente la pendiente es el incremento de y partido por el incremento de x cuando el incremento de x de x tiende a 0, me parece, es la derivada tal ¿mmm? Pero aquí en la recta siempre es la misma, mientras que en una curva ya no

vale incremento de una unidad esa es la idea ¿mmm? Bueno ¿queda claro?, ¿vale? [E. BORRA LA PIZARRA] queda clara también la diferencia cuando el coeficiente es positivo, o cuando el coeficiente es negativo ¿eh? Por favor, fijaros la diferencia que hay de interpretación, según quel dice eh... el coeficiente, es decir, la pendiente de e [pausa] sea positiva o negativa ¿eh? Bueno, si eh..., no vamos a demostrarlo pero, vamos a ver que ocurre [P. ESCRIBE EN LA PIZARRA] bien, la... el, el cálculo de b, la fórmula es sencilla, la fórmula rápida que os he dado está anteriormente especificada, pero ahora, ahora entonces, también se puede comprobar incluso sería más fácil de demostrar teóricamente, que b, que b es igual a la correlación entre x e y, por eso os decía, hay una redundancia entre la correlación y la regresión, en el caso de la regresión simple, la regresión a partir de una variable ¿mmm? Bueno, eh... y entonces la ecuación de b, se puede demostrar que es igual a la correlación entre la variable x e y, multiplicado por la desviación típica de y, y partido por la desviación típica de x. Vamos a ver, la desviación típica, vamos a ver qué signo tiene b, ¿eh?, la desviación típica ¿qué valores tiene positivos o negativos? [pausa esperando respuesta] ¿por definición, una desviación típica que valores se toman, mientras no se diga nada en contra? [repetición, parafrasear] [INTERVENCIÓN ESTUDIANTE] (estudiante responde) el positivo, por lo tanto, si desviación típica s de y, y s de x son siempre positivos, r x y ¿cómo puede ser? ¿puede ser positivo, negativo, 0?, ¿qué valores toma, la correlación máximo y mínimo? [repetición, parafrasea] [INTERVENCIÓN ESTUDIANTE] (alumna responde) entre +1 y -1, es decir, puede tener un signo 10 positivo y 10 negativo por lo tanto, por lo tanto ¿de qué depende el signo de b? [tono descendente] del coeficiente b, depende del valor de la correlación, es decir, si la correlación es positiva, el coeficiente es positivo, si la correlación es negativa, el coeficiente es negativo. Cuando nos da una correlación 0, cuando nos da una correlación 0, entonces ¿qué es lo que ocurre? [tono descendente] lo que ocurre

es que, la pendiente b ¿cuánto será? [pausa esperando respuesta] si la correlación es 0, ¿la pendiente b cuanto será? [repetición, parafrasear] [pausa esperando respuesta] [INTERVENCIÓN ESTUDIANTE] 0, porque 0 por cualquier cantidad es 0, ¿y cuál será la forma precisamente de la ecuación de regresión? [P. ESCRIBE EN LA PIZARRA] pues fijaros una cuestión, si y es igual a $a + bx$ más e y sabíamos que, ¿por dónde pasa la recta de regresión? ¿por qué punto importante pasa? [repetición, parafrasear] [INTERVENCIÓN ESTUDIANTE] por media de x e y por el centroide, entonces, si pasa por el centroide, el error en el centroide es 0 [P. ESCRIBE EN LA PIZARRA] media de y es igual a $a + b$ media de x ¿de acuerdo? Pero ¿cuánto vale b ? [P. ESCRIBE EN LA PIZARRA] ¿cuánto vale b ? [INTERVENCIÓN ESTUDIANTE] 0 [P. ESCRIBE EN LA PIZARRA] entonces, en caso de que la correlación fuera 0, b también vale 0 hemos dicho ¿no? Por lo tanto la ecuación sería $m...$, media de y es igual a a , es decir que la ecuación de regresión y prima [P. ESCRIBE EN LA PIZARRA] sería igual a $a + b$ x bien, pero si decíamos que b vale 0 la ecuación de regresión será, y prima igual a a ¿es esto posible? [INTERVENCIÓN ESTUDIANTE] (aluman responde) exactamente, es una línea paralela al eje de las x , es decir que, supongamos, supongamos [P. BORRA LA PIZARRA] que si eh hiciéramos nosotros, hiciéramos nosotros, la correlación entre lugar en el que uno se sienta y la calificación final, y que esa correlación hubiera sido 0... ¿qué aspecto habrían tenido los puntos? ¿la nube se puntos que aspecto habría tenido? [repetición, parafrasea] ¿una línea recta? [pausa esperando respuesta] [repetición, parafrasea] cuando la correlación es 0, decíamos, ¿qué aspecto tenían los puntos? [pausa esperando respuesta] muy dispersos, tenían una forma por así decirlo aproximadamente una nube redonda, eh una nube circular ¿mmm? Incluso si me apuráis incluso algunas veces un cuadro... ba ba ba ba ba, algo... que está muy desparramado, eh, no podemos ver ahí una recta, no hay una nube... digamos un punto denso que se aproxime

a una recta ¿eh? Entonces ¿cuál es el único pronóstico que podemos hacer si conociéramos x ? Para cualquier valor de x , para cualquier valor del asiento, en el que uno se sienta ¿qué pronóstico haremos de nota final? [repetición, parafrasea] [INTERVENCIÓN ESTUDIANTE] (alumna responde) no es que saquen todos el mismo, es que el único pronóstico que podemos hacer [P. ESCRIBE EN LA PIZARRA] es... de que, y prima es igual a a pero ¿a cuánto vale? [tono descendente] la media, el único pronóstico que podemos hacer es el de la media de y , ¿eh? La, la ecuación de regresión sería x y [P. ESCRIBE EN LA PIZARRA] o y prima es este caso, y entonces, y entonces, si la media es esto es de... 6 con 2 [P. ESCRIBE EN LA PIZARRA] para cualquier valor conocido de x 6 con 2, para cualquier oye ¿y un chico que se sienta en la primera fila, cuánto, qué pronóstico le haríamos? [tono descendente] 6 con 2, un... chico o una chica me da igual, que se sienta en la última fila, qué como no tenemos correlación ¿cuál es el pronóstico? [tono descendente] la media [pausa] ¿vale? Cuando la correlación es 0, no podemos hacer otra cosa que especificar, digamos como valor esperado, lo que es la media, lo cual es muy poquito, es decir, es como no esperar nada [pausa] porque es un estadístico conocido, precisamente... Bueno, pues uno de las funciones de la regresión es ver cuanto se desvían los valores respecto de la media. Bien, entonces tenemos como, la ecuación de regresión, la pendiente b es igual a $r \times y$ desviación típica de y partido por la desviación típica de x . Bueno, eh... entonces, entonces, veíamos también, que la correlación ¿cuál es la fórmula de la correlación en función de covarianzas y desviaciones típicas? [tono descendente] veíamos como la función la correla e... ecua... ya diré, la ecuación de la correlación en función de la covarianza y las desviaciones típicas es que la correlación x y, es igual a la co varianza entre la variable x y la variable y partido desviación típica de x y desviación típica de y . Si sustituimos nosotros esta correlación aquí dentro ¿qué tendríamos?, [tono descendente] tendríamos entonces que b , es igual a la

correlación x y desviación típica de x desviación típica de y por desviación típica de y partido por desviación típica de x ¿de acuerdo? Y ahora entonces, s de y y s de x se van ¿de acuerdo? Y queda que la... eh... que la pendiente es igual a, la covarianza partido por la varianza de x , la covarianza entre las dos variables partido por la varianza de x , es decir que [pausa] en definitiva, en definitiva ¿ b de qué depende? [tono descendente] depende de la correlación por un lado, y aumenta [eleva el tono] cuando la variabilidad de la variable y es muy grande [pausa] ¿de acuerdo? Con relación [eleva el tono] a la variabilidad de la variable x ¿mmm? Es decir, cuando mayor sea esa proporción, esa razón, mayor será el valor del coeficiente b [pausa] ¿vale? Es decir, supongamos que... nosotros tenemos que la variable y es que varía muchísimo en amplitud ¿eh? supongamos que es salario ¿vale? Nosotros hacemos un estudio, eh... vamos pues por ejemplo a... a derecho, eh como los abogados, son autónomos, ahí hay seguramente una mayor variabilidad y depende además de oferta, y manejan bastante dinero, hay una gran variabilidad, entre lo que ganan, esa sería la variable y , y supongamos que la variable x , la variable x es la nota, fijaros como la nota va de 0 a 10 ¿mmm? Mientras que el salario, pues puede variar, desde decenas de miles de pesetas hasta millones de pesetas, y todavía antes en pesetas esa variabilidad era mayor ¿cómo nos dará el coeficiente b , pequeño o grande? [pausa esperando respuesta] [INTERVENCIÓN ESTUDIANTE] (alumna responde) ¿cómo? [INTERVENCIÓN ESTUDIANTE] (alumna responde) muy grande, porque la desviación típica del salario en pesetas es muy grande con relación a la desviación de la nota que es muy pequeña ¿queda claro? Por lo tanto, ahí la b , sería muy grande [pausa] ¿de acuerdo? Aunque también está condicionado a la correlación cuidado ¿eh? Pero el valor esperado de b debería de ser muy grande, en el caso contrario, en el caso contrario si tuviéramos por ejemplo, eh... variable independiente CI y variable dependiente nota. El CI más o menos

¿cuáles son los valores de variabilidad ordinarios? [pausa esperando respuesta] [INTERVENCIÓN ESTUDIANTE] (alumna responde) la desviación típica es 15 ¿vale? Bien, pero eh... el... muy bien, la desviación típica estándar de una... población es 15, vale, pero... estaba preguntando ¿cuál es la variabilidad ordinaria de un CI? [pausa esperando respuesta] uno va a las escuelas públicas de Castellón ¿mmm? Y ¿el mayor porcentaje de CIs entre qué valores oscilaría? [pausa esperando respuesta] [repetición, parafrasea] el valor límite para de para el retraso mental en España es de 80, de CI, y ya partir de 120 se considera que uno es muy inteligente, casi superdotado ¿eh? No recuerdo ahora los **<incomprensible>** está entre 120, 130, pues en esa variabilidad digamos se encuentra la mayor parte, en sea amplitud ¿mmm? Pero habéis dicho muy bien, la desviación típica 15, bien, eso como variable independiente, como variable independiente, la variable dependiente, la variable nota ¿qué desviación típica puede tener como mucho normalmente? [pausa esperando respuesta] punto y medio 2 puntos ¿vale? Luego si y eh utilizáramos una ecuación de regresión, para pronosticar, la nota en función del CI, en función del CI, ¿cómo sería ese valor de b grande o pequeño? [pausa esperando respuesta] ¿cómo sería ese valor de b grande o pequeño? [INTERVENCIÓN ESTUDIANTE] (alumna responde) pequeño, si la correlación es un valor menor que 1, al multiplicarlo por un valor que también va a ser más pequeño de la unidad, tengo un valor muy pequeño, multiplicado es decir, menor de la unidad multiplicado por otro valor menor de la unidad, es un valor menor que cualquiera ¿no? ¿qué cualquiera de los dos? [pausa] ¿no? Tiene que ser un valor más pequeño [ralentiza el discurso] [pausa] si si que cualquiera de los dos, bueno, un valor muy pequeño ya está ¿vale?, ¿de acuerdo? Bien entonces, tenemos, este sistema otro en este otro sistema bueno que es lo mismo prácticamente, pero en definitiva b depende de la covarianza partido por la varianza de x al cuadrado ¿eh? Que también la covarianza depende de valores de y, es decir, que cuando mayor

sea la variabilidad de y más grande es la b ¿mmm? Y cuando mayor sea la varianz perdón la variabilidad de x más pequeña es la b , mejor <incomprensible> pero siempre el signo ¿el signo de la regresión de qué depende? [INTERVENCIÓN ESTUDIANTE] (alumna responde) ¿cómo? [INTERVENCIÓN ESTUDIANTE] (alumna responde) ¿de? [INTERVENCIÓN ESTUDIANTE] (alumna responde) el valor de la regresión depende del signo de la correlación, porque estos dos valores siempre los tomamos positivos ¿repito? El valor de la regresión, el coeficiente de regresión, depende del valor del signo que tenga [repetición, parafrasea] ¿mmm? Es decir, el signo de la regresión depende del signo que tenga la correlación, en definitiva [repetición enfatizar] ¿vale? [pausa] ¿qué hora es que me he dejado el reloj? [INTERVENCIÓN ESTUDIANTE] (alumno responde) menos cuarto, muy bien, bueno [pausa] entonces ahora ya tenemos [P. BORRA LA PIZARRA] bueno, vamos a ver [P. ESCRIBE EN LA PIZARRA] bien una de las [P. ESCRIBE EN LA PIZARRA] bien vamos a ver, decíamos que [pausa] que si la... desviación típica de y es muy grande con relación a la desviación típica de x , a la desviación típica de x ¿mmm? ¿qué sucede con b ? b al ser grande ¿cómo será? Si es la pendiente ¿la pendiente elevada qué es? ¿El brazo alto, o el brazo bajo? [pausa esperando respuesta] [INTERVENCIÓN ESTUDIANTE] ¿cómo? [INTERVENCIÓN ESTUDIANTE] (alumno responde) alto, por lo tanto, eh esta relación, de que salario es cuestión de nota ¿cuál sería más probable, la gráfica aquella de lejos o esta de aquí? [P. ESCRIBE EN LA PIZARRA] salario función de nota, fijaros como la nota en definitiva sería como 10 puntos aquí de 0 [P. ESCRIBE EN LA PIZARRA] a 10, mientras que aquí, la variabilidad de salario en pesetas, las pesetas las tendríamos que aplastar, es decir, no habría allí la misma cantidad, es decir, la escala aquí una unidad podría ser un... dedo, mientras que aquí la unidad pues sería una uña ¿me explico? Y aun así la pendiente seguramente sería muy alta ¿eh? porque a medida que aplastáramos y , entonces esta pendiente,

aparentemente se aplastaría, eh pero bueno, la idea es esta. Claro si resulta que... variabilidad pequeña de x variabilidad grande de y , el valor de b aumenta ¿qué es b ? [tono descendente] la pendiente, pues la pendiente será muy elevada. En el caso contrario, en el caso de que, nosotros quisiéramos pronosticar la nota en función de CI, la nota en función del CI, fijaros como, la va je pa la variabilidad de la de y , es muy pequeña, la variabilidad de CI es muy grande, por lo tanto si [P. ESCRIBE EN LA PIZARRA] b es igual a la correlación s de y partido por s de x aquí ¿cómo tiene que ser b ? [pausa esperando respuesta] muy pequeñito, por lo tanto, es más fácil encontrar este tipo de forma cuando, nosotros tenemos este tipo de relación, eh que s de y es muy pequeño con relación a s de x ¿queda entendido? pero en cualquier caso, en cualquier caso ¿qué tipo de correlaciones hemos puesto aquí, en a y en b ? [pausa esperando respuesta] ¿positivas o negativas? [INTERVENCIÓN ESTUDIANTE] (alumna responde) positivas ¿eh? En el caso de que la correlación fuera negativa, en el caso de que la correlación fuera negativa ¿qué veríamos entonces gráficamente? [INTERVENCIÓN ESTUDIANTE] (alumna responde) la pendiente sería, para que la pendiente fuese pequeña, fuese pequeña, ahora ya no tiene, olvidaros de aquello ¿eh? Pero, estamos en este caso, si la desviación típica de y es pequeña [P. ESCRIBE EN LA PIZARRA] y la desviación típica de x es grande, pero la r es negativa [P. ESCRIBE EN LA PIZARRA] r menor de 0 ¿qué nos pasaría? [pausa esperando respuesta] para que esta pendiente sea pequeña, y negativa ¿cómo será brazo... inclinado hacia arriba poco... o brazo inclinado hacia arriba grande pero en sentido contrario? [repetición, parafrasear] [pausa] ¿ese valor r cómo tiene que ser? [repetición, parafrasear] [INTERVENCIÓN ESTUDIANTE] (alumna responde) ¿cómo? [INTERVENCIÓN ESTUDIANTE] (alumna responde) negativo, ¿y además pequeño o grande? Cuando s de y es pequeño ¿y s de x es grande? [repetición, parafrasear] [INTERVENCIÓN ESTUDIANTE] (alumna responde) pequeño, una cantidad pequeña,

partido entre una cantidad muy grande nos da un resultado muy pequeñito, 1 entre 100 0,01 ¿de acuerdo? Multiplicado por una cantidad menor de la unidad, en valor absoluto, luego nos tiene que dar una pendiente pequeñita, pero no de 0, no una paralela ¿mmm? Si nos da una paralela es que la correlación es 0, bien. Y en caso digamos contrario respecto es decir que la r es menor de 0, pero ahora resulta que [pausa] la desviación típica con y respecto de la de x , la desviación típica de y es muy grande y la desviación típica de x es muy pequeña ¿qué tendríamos valor de b grande o pequeño? [INTERVENCIÓN ESTUDIANTE] (alumno responde) grande. Por lo tanto, una... relación negativa, una pendiente negativa pero grande ¿cómo sería esta gráfica? [pausa esperando respuesta] aquí la teníamos, pequeña y ... en sentido negativo ¿cómo será la gráfica ahora? [INTERVENCIÓN ESTUDIANTE] (alumna responde) ¿con mucha pendiente, o con poca pendiente? Es decir ¿así, o así, o... para arriba incluso? [repetición, parafrasea] [pausa esperando respuesta] con una pendiente, muy pronunciada hacia abajo... ¿mmm? Teóricamente ¿vale? Cuando x crece muy poquito, y disminuye muchísimo, es decir si x crece aquí una unidad, y disminuiría toda esta magnitud ¿mmm? Pendiente grande, aquí x si disminuye o perdón cuando x aumenta una unidad, supongamos que esto fuera una unidad, el valor de b sería de este... de aquí ¿mmm? Sería pequeñito, aquí el valor sería... bastante mayor ¿vale? Bueno, bien, ahora entonces si partimos de esta ecuación [P. ESCRIBE EN LA PIZARRA] esta ecuación veíamos que se aplicaba, se aplicaba ¿cuándo? [tono descendente] para las puntuaciones directas [P. BORRA LA PIZARRA] ¿ya debe de ser la hora casi? ¿no? ¿eh? Si eres tan amable, que me he dejado el móvil, el reloj, una catástrofe. Menos 5. Vale, pues lo que vamos a hacer después, lo que vamos a hacer después, es lo siguiente: comprobar, cuánto vale b , y cuánto vale a . Vamos a ver, qué es lo que vale b , y qué es lo que vale a , cuando, cuando, en lugar de trabajar con las puntuaciones directas x e y , transformásemos las puntuaciones x e y [P. ESCRIBE

EN LA PIZARRA] en las puntuaciones diferenciales, x es igual a x menos media de x y es igual a y menos media de y ¿vale? Es decir que, a partir de esta ecuación, vamos a ver cuanto vale b y cuanto vale a ¿de acuerdo? Bien, y lo mismo, qué ocurre, si nosotros ahora, si nosotros ahora, en lugar de calcular la ecuación de regresión, a partir de las puntuaciones eh... digamos directas o de las puntuaciones diferenciales, transformásemos, transformásemos, las puntuaciones x e y en puntuaciones tipificadas, es decir [P. ESCRIBE EN LA PIZARRA] z de x es igual a puntuaciones diferenciales de x partido por la desviación típica de x y z de y es igual a las puntuaciones diferenciales de y partido por la desviación típica de y ¿queda claro? [pausa, esperando pregunta o confirmación] ¿vale? [pausa, esperando pregunta o confirmación] A ver ¿alguna pregunta? [pausa, esperando pregunta o confirmación] a ver si me preguntáis a mi os vais a aclarar más que si preguntáis a la compañera dal lado, y los compañeros también porque si se empieza a hablar pues... venga fuera de bromas, venga ¿tú qué le estabas preguntando a la compañera? ¿qué le decías?, [INTERVENCIÓN ESTUDIANTE] (alumna responde) la otra, no es la otra la que te preguntaba a ti sí [INTERVENCIÓN ESTUDIANTE] (alumna responde) ¿es al revés? Pues bueno ¿qué le preguntabas tú al a compañera? [INTERVENCIÓN ESTUDIANTE] (alumna pregunta) sí, en función de la pendiente y de las desviaciones... vamos de la correlación y de las desviaciones típicas, venga [INTERVENCIÓN ESTUDIANTE] (alumna pregunta) a la pizarra [E. SALE A LA PIZARRA] (alumna) borra... esta parte [E. BORRA LA PIZARRA] (alumna) venga, pon la ecuación general es que b , la pendiente b , es igual a la correlación, r , entre x y y se sobreentiende, partido por bueno multiplicado por desviación típica de y s_y y partido por desviación típica de x ¿vale? Esa es la ecuación general de la pendiente. Ahora ¿en qué caso nos podríamos encontrar? Venga ¿ r es positiva o negativa? [pausa, esperando respuesta] ¿ r ¿mayor que 0? [repetición, parafrasea] positiva, venga, y ahora ¿ s

de y qué es grande o pequeña? [pausa esperando respuesta] ¿s de y? [INTERVENCIÓN ESTUDIANTE] (alumna responde) grande, pon una flecha hacia arriba com para indicar que es grande, vale, y ahora pon a parte si quiere aquí a la derecha, a la derecha, pon s de x, sí a continuación de esa línea s de x pon pequeña una flecha hacia abajo, vale, bien ¿qué ocurriría ahí? ¿b cómo sería positiva o negativa inmediatamente? ¿la pendiente b cómo sería? [INTERVENCIÓN ESTUDIANTE] (alumna responde) mira hecha la luz esa primera, no te mates, para que veamos bien la pizarra Por lo tanto ya tenemos que b sería positiva... de acuerdo. La desviación típica de y ¿el numerador cómo sería? [pausa, esperando respuesta] grande ¿y el denominador? [INTERVENCIÓN ESTUDIANTE] (alumna responde) vale. Suponte tú que un numerador grande 100, lo dividimos entre una cantidad igual ¿100 entre 100?, ¿100 entre 100? 1. Bien, una cantidad grande 100 [ralentiza el discurso] la dividimos entre una cantidad muy grande entre 1000 ¿la el resultado? [INTERVENCIÓN ESTUDIANTE] (alumna responde) pequeño 0 con1. Ahora, una cantidad grande en el numerador 100, términos relativos, lo dividimos por una cantidad pequeña en el denominador ¿qué resultado nos daría? [INTERVENCIÓN ESTUDIANTE] (alumna pregunta) en tu caso [INTERVENCIÓN ESTUDIANTE] (alumna responde) no [INTERVENCIÓN ESTUDIANTE] (alumna responde) grande, positivo o negativo, eh... si las dos cantidades son positivas siempre es positivo, el signos lo ponemos... eh... bien. Entonces, entonces, eh... ¿cómo será b? [pausa, esperando respuesta] en este caso, el término relativo es grande ¿la pendiente cómo es? [INTERVENCIÓN ESTUDIANTE] (alumna responde) es cir gráficamente eso ¿qué forma tendría? [pausa esperando respuesta] generalmente una línea con una gran pendiente ¿vale? ¿de acuerdo? Y ahora pon supuesto, quiero decir que ahí te puedes encontrar con, con varios supuestos ya está ¿eh? ¿vale? ¿alguna pregunta más? Vale... [INTERRUPCIÓN DE LA CLASE] (descanso) [PROFESOR] bueno, a la segunda hora ha

venido un profesor a hacer la evaluación... con lo cual la clase será pues bastante más corta por lo menos un cuarto de hora o veinte minutos más corta estoy en el pasillo mientras el profesor hace la evaluación [INTERRUPCIÓN DE LA CLASE] (evaluación del profesor) [PROFESOR] bueno... he he traído dos cosas [eleva el tono] una, las... listas con las practicas que me habéis entregado ¿mmm? En la... planificación docente de la asignatura, en el programa de la asignatura, pone exactamente que las personas que entreguen todas las prácticas, voy a pedir el 60 por ciento de las prácticas para poder pedir nota, pues tiene una puntuación correspondiente simplemente por el hecho de entregar las práctica bien hechas [ralentiza el discurso] ¿eh? Copiáoslas, dos, soy un... he ido copiando los enunciados, de los problemas que os puse en clase, puede ser que algún... numerillo baile pero en esencia los problemas están aquí, lo que voy ha hacer es dejar esta hoja con los enunciados de los problemas que hemos ido poniendo a lo largo de curso, en la fotocopiadota ¿vale? Si alguno quiere hacer problemas ahí tiene una fuente de problemas, lo que si os pediría por favor, es que, si alguien tiene por aquí las dos primeras prácticas que son las dos únicas que no tome nota ¿mmm? Me dejaste la fotocopia y ahora no la encuentro ¿te acuerdas? [INTERVENCIÓN ESTUDIANTE] (alumno responde) pues tengo la cabeza en los pies ¿mmm? Bueno, entonces, si alguien por favor para el próximo día se compromete a traerme las dos primeras prácticas, o mejor al que para el próximo día, si me las podéis dejar en la en el casillero, bien claramente afuera en una nota que ponga que es para que yo haga la fotocopia, y de lo y así os la devuelvo ¿las tienes aquí? Vale, gracias [pausa] mujer organizada, pues lo que voy a hacer es es una fotocopia y inmediatamente después te la devuelvo ¿vale? Gracias, bien, muy bien [pausa] toma, a... ver tú eres el delagao ¿verdad? Ya lo podrás luego ahí, en el tablón, pides a los ordenanzas una grapadora o algo así ¿eh? Bueno, entonces lo que hemos hecho antes [pausa] por supuesto que estos ejemplos que hemos que

hemos puesto antes, son asumiendo que el valor de la correlación es una constante pues por ejemplo 0,5 o 0,6 ¿eh? Para que quede claro en cualquier caso ¿mmm? Y que solamente hay variabilidad por así decirlo en las desviaciones típicas... ¿vale? Bien ha quedado claro el planteamiento de lo que hemos hecho en la clase anterior ¿alguna pregunta? [INTERVENCIÓN ESTUDIANTE] (alumna pregunta) el sumatorio ¿de las? [INTERVENCIÓN ESTUDIANTE] (alumna responde) sí, mira, el día anterior en el problema ¿tú has hecho el problema que... indiqué? [INTERVENCIÓN ESTUDIANTE] (alumna responde) ¿no lo has acabado? No, acábalo, cuando lo hayas acabado, me vienes con él y te lo respondo porque es para hacerlo, ya está ¿eh? ¿de acuerdo? Bueno... bien, entonces, la cuestión entonces está ahora en lo siguiente, fijaros lo que os planteaba antes de acabar la clase [pausa] ¿borro? [P. BORRA LA PIZARRA] Nosotros partimos de las puntuaciones en bruto x y y que pueden ser 7 2 6 3 eh 8 4 ¿vale? ¿de acuerdo? Bien, supongamos ahora, supongamos ahora, que diferenciamos estas puntuaciones... ¿mmm?, ¿qué ocurre si diferenciamos? [tono descendente] supongamos que la media de x que fuera... 7 [P. ESCRIBE EN LA PIZARRA] y la media de y pues que fuese pues 3... con 5 [P. ESCRIBE EN LA PIZARRA] ¿cuál será la puntuación diferencial de estas variables?[ralentiza el discurso] [P. ESCRIBE EN LA PIZARRA] 7 menos 7 igual a 0, 6 menos 7 igual a -1 , 8 menos 7, igual a 1, lo que nos está diciendo es que ¿esta persona está por encima o por debajo de la media, de su grupo, en esta variable? Está justamente en la media, porque si la media es 7, 7 menos 7 0, está justamente en la media ¿esta persona está por encima o por debajo de la media en esta variable en su grupo? [INTERVENCIÓN ESTUDIANTE] (alumna responde) por debajo 1 punto, y esta otra persona está por encima 1 punto [eleva el tono] vamos a ver que ocurre con esas personas en la variable y [P. ESCRIBE EN LA PIZARRA] 2 menos 3,5 es igual a $-1,5$ bien, 3 menos 3,5 sería igual a $-0,5$, eh 4 menos 3,5 igual a $0,5$ ¿vale? Hay una propiedad de la

suma de puntuaciones diferenciales ¿cuánto saldría esta suma? Esta suma de puntuaciones diferenciales, sumatorio de x ¿cuánto tiene que dar? [INTERVENCIÓN ESTUDIANTE] (alumna responde) 0, y aquí ¿sumatorio de y cuánto tiene que dar si cuando sumemos todos los valores? [P. ESCRIBE EN LA PIZARRA] [INTERVENCIÓN ESTUDIANTE] (alumna responde) vale, bien [pausa] ¿qué es, restar o sumar una constante a una a una variable? [tono descendente] ¿qué supone? [tono descendente] lo que supone es que... el... la línea de referencia cambia, pero la distribución de la variable x o de de la variable y no cambia ¿eh? Si hiciéramos nosotros gráficamente esas dos distribuciones, veríamos como son las mismas, de hecho en el primer trimestre hicimos una primera transformación. Bien, por lo tanto si... fijaros, si la suma de la suma de las puntuaciones diferenciales es 0 ¿cuál es la media de una puntuación diferencial inmediatamente? [pausa esperando respuesta] [INTERVENCIÓN ESTUDIANTE] (alumna responde) 0, es decir que, la media de x [ralentiza el discurso] [P. ESCRIBE EN LA PIZARRA] sumatorio de x partido por n ¿cuánto da el sumatorio de x ? [INTERVENCIÓN ESTUDIANTE] (alumna responde) 0, fijaros como son puntuaciones diferenciales lo representamos con minúsculas [P. ESCRIBE EN LA PIZARRA] partido por n 0, y por lo tanto la media de puntuaciones diferenciales [P. ESCRIBE EN LA PIZARRA] ¿queda claro? Vale ¿cuál será la desviación típica de esta variable? [ralentiza el discurso] [pausa esperando respuesta] si nosotros conocemos la desviación típica de x , fijaros [P. ESCRIBE EN LA PIZARRA] la, desviación típica de x es igual a lo que sea ¿vale? x y pongo X mayúscula ¿cuál es el valor de x ? [tono descendente] [P. ESCRIBE EN LA PIZARRA] x es igual a x menos la media ¿la media cómo es? [pausa esperando respuesta] una constante ¿vale? ¿cuál? Fijaros como nosotros estamos acostumbrados a ver esto [P. ESCRIBE EN LA PIZARRA] j es igual a ax más b ¿cuál es la media de j ? [pausa esperando respuesta] [P. ESCRIBE EN LA PIZARRA] a media de x más b y ¿cuál es la varianza de j ? [pausa esperando respuesta]

[INTERVENCIÓN ESTUDIANTE] (alumna responde) ¿a al cuadrado? [INTERVENCIÓN ESTUDIANTE] (alumna responde) [P. ESCRIBE EN LA PIZARRA] por la varianza de x ¿influye la constante? No ¿aquí cuál es el valor de a ? [pausa esperando respuesta] ¿aquí cuál es el valor de a ? [INTERVENCIÓN ESTUDIANTE] (alumna responde) 1, y ¿aquí cual es el valor de b ? [INTERVENCIÓN ESTUDIANTE] (alumna responde) $-x$. Por lo tanto, la varianza de una puntuación diferencial x ¿a qué equivaldrá? [pausa esperando respuesta] a a al cuadrado [P. ESCRIBE EN LA PIZARRA] varianza de x pero aquí ¿a no decimos que a vale 1? [P. ESCRIBE EN LA PIZARRA] luego la varianza de x en puntuaciones diferenciales y la varianza de x en puntuaciones directas no cambian, claro, porque en definitiva nosotros si queremos seguir la distribución de x [P. ESCRIBE EN LA PIZARRA] y cambiamos... este eje en lugar de tener el **<incomprensible>** aquí lo tenemos en la media, la distribución no cambia para nada... ¿vale? La varianza sigue siendo la misma ¿de acuerdo? Lo mismo ocurre con la varianza de y , es decir, que la varianza [ralentiza el discurso] eh vamos a ver, si y , minúscula, la y diferencial es igual a la puntuación directa menos su media ¿cuánto vale, la media [eleva el tono]? Claro, es que estamos en la misma propiedad ¿cuánto vale la media de a la y ? Por, aplicando las propiedades de la media ¿cuánto vale la media de la variable y ? [tono descendente] pues valdrá, la media de y [P. ESCRIBE EN LA PIZARRA] menos la constante que sigue siendo al media de y 0, es decir que podemos hacerlo bien, por la propiedad del sumatorio o bien incluso aplicando las propiedades de la media de de las dos maneras nos da la mismo ¿de acuerdo? Y aquí en la varianza de y ocurre exactamente lo mismo [P. ESCRIBE EN LA PIZARRA] la varianza de la puntuación diferencial es igual a a al cuadrado, que es 1, por la varianza de la variable y , pero la varianza de la variable y , eh... prácticamente es decir la varianza de m de las y s en puntuaciones diferenciales es igual a la varianza de las y s en puntuaciones directas, bien ¿a dónde voy a parar? [tono

descendente] si nosotros en lugar de trabajar con puntuaciones directas x e y , trabajásemos con puntuaciones diferenciales x minúscula y minúscula [pausa] ¿cuál sería, la ecuación de regresión [eleva el tono]? [pausa esperando respuesta] pues la ecuación de regresión ahora sería, y prima, porque estamos en puntuaciones diferenciales vamos a ponerle un coeficiente ahora a minúscula por si a caso es el mismo o por si a caso varía [P. ESCRIBE EN LA PIZARRA] más b por x ¿vale? Es decir, para no confundirnos en puntuaciones directas o en puntuaciones diferenciales, las puntuaciones directas las representamos los coeficientes y las letras con mayúsculas, y en puntuaciones diferenciales [P. ESCRIBE EN LA PIZARRA] la representamos con minúsculas. Vale, ya tenemos que entonces, b [P. BORRA LA PIZARRA] por definición ¿ a qué equivale, b ? Hemos dicho... b es la correlación por la desviación típica de la variable x en puntuaciones diferenciales, partido por la desviación típica de y en puntuaciones diferenciales ¿cambia esto algo respecto de la e es puntuaciones directas o es lo mismo? [pausa esperando respuesta] es lo mismo, por lo tanto [P. ESCRIBE EN LA PIZARRA] b es igual a b , es decir que, cuando nosotros nos pidan que calculemos las puntuaciones diferenciales y que hagamos [ralentiza el discurso] la ecuación de regresión de esas puntuaciones diferenciales, tenemos que, tenemos que, el coeficiente b no cambia [pausa] ¿vale? Bueno, ahora nosotros sabemos que esa ecuación, pasa por el centroide, es cir, ya tenemos que [P. ESCRIBE EN LA PIZARRA] el coeficiente b será igual al que teníamos, con las puntuaciones directas. Esta ecuación pasa por el centroide, si pasa por el centroide, entonces tenemos que [P. ESCRIBE EN LA PIZARRA] la media de y prima es igual a a más b media de x , pero en puntuaciones diferenciales ¿cuánto vale la media? [pausa esperando respuesta] ¿cuánto vale la media? [pausa esperando respuesta] 0 [P. ESCRIBE EN LA PIZARRA] es igual a a más b por la medida de x ¿cuánto vale la media de x ? [pausa esperando respuesta] 0 también ¿no es eso? Pues, y

¿cuánto es una cantidad por 0? [INTERVENCIÓN ESTUDIANTE] por lo tanto [P. ESCRIBE EN LA PIZARRA] 0 es igual a a o a es igual a 0. Es decir, fijaros, si nosotros conociéramos el valor de b y el valor de a en puntuaciones directas [ralentiza el discurso] b mayúscula a mayúscula, x mayúscula y mayúscula, bien, y, y, además, además [pausa] nos... pidieran que transformásemos esas puntuaciones x e y mayúsculas, en puntuaciones diferenciales x e y minúsculas, y que calculásemos la ecuación de regresión [ralentiza el discurso] de estas puntuaciones diferenciales, inmediatamente, inmediatamente veríamos que, la pendiente no cambia pero ahora la ordenada en el origen es igual a 0... ¿vale? Gráficamente, si nosotros tenemos una ecuación de regresión es esta [P. ESCRIBE EN LA PIZARRA] y prima es igual a a más bx ¿de acuerdo?, ¿mmm? [P. ESCRIBE EN LA PIZARRA] a sería este valor y la pendiente sería esta b, cuando **<incomprensible>**, pues esto sería el valor de b si esto fuese una unidad ¿mmm? Bien, ahora nos dicen que, que, representemos en esa misma figura, en esta misma figura, la ecuación de regresión en puntuaciones diferenciales, en puntuaciones diferenciales, [ralentiza el discurso] ¿cómo sería esa ecuación de regresión representada, en ecuaciones diferenciales [ralentiza el discurso]? [pausa esperando respuesta] [P. ESCRIBE EN LA PIZARRA] ¿cuál sería la ordenada en el origen? [INTERVENCIÓN ESTUDIANTE] (alumna responde) 0 ¿y la pendiente sería más grande, más pequeña o igual? [INTERVENCIÓN ESTUDIANTE] (alumna responde) igual, por lo tanto ¿cómo serán dos líneas con la misma pendiente [ralentiza el discurso] cómo son? [INTERVENCIÓN ESTUDIANTE] (alumna responde) paralelas [P. ESCRIBE EN LA PIZARRA] tienen la misma pendiente [P. ESCRIBE EN LA PIZARRA] ¿vale? Pero ahora si en esta misma escala [P. ESCRIBE EN LA PIZARRA] hiciéramos x y hiciéramos y resulta que serían línea paralelas ¿vale? Pero son dos... sistemas de medición distintos, eh... digamos puntuaciones directas y puntuaciones diferenciales... ¿de acuerdo? Pero no

cambiamos la unidad de medición ¿mmm? Lo único que cambiamos ese el origen. En los dos casos, de... en... el caso de la puntuación diferencial de x y de la puntuación diferencial de y, la media es 0. Eh... ahora mismo el origen pues estaría en la media por así decirlo. Bien, esto respecto de las puntuaciones diferenciales. Vamos a ver una aplicación, si os acordáis el otro día pusimos un problema, y ese problema nos daba una ecuación de regresión, en puntuaciones directas [pausa] si ¿tenéis algo? [pausa] Bien, las puntuaciones directas, eran estas [P. PONE UNA TRANSPARENCIA] vemos como para la primera persona el valor de x es 75, el valor de y 170, la segunda persona 70, 160, la tercera persona 65 y tal. Bien, entonces ahora calculamos el valor de la media de x y de la media de y, y la media de x veríamos que era 65, y la media de y 154 ¿qué hemos de hacer para calcular? Bueno, y la ecuación de regresión es, y es igual a 50 más 1,6 por x, esto es un ejemplo del otro día. Bien, ¿qué hemos de hacer para calcular puntuaciones diferenciales? [tono descendente] pues 75 [ralentiza el discurso], la media de x es 65, luego la puntuación diferencial será 10, 75 menos 65 10, 70 menos 75 -5, 65 menos 65 0, -5, -10 ¿vale? Y en el otro caso de 170 menos die menos eh 154, parece que son 16 y tal ¿vale? Lo... hacemos, y vemos que las puntuaciones diferenciales [P. CAMBIA LA TRANSPARENCIA] ahora son estas, 10, 5, 0, -5, -10 ¿vale?, sumatorio 0 porque para eso son puntuaciones diferenciales ¿mmm? La suma de las puntuaciones diferenciales sabemos sale 0, y, lo mismo las puntuaciones diferenciales de y, 16, 6, 1, -4, -19 sumatorio 0. Bien, ahora, la... ecuación de regresión, para calcular esta ecuación de regresión, veíamos que la ecuación general que teníamos allí [P. BORRA LA PIZARRA] es que b, la pendiente nosotros no sabemos que esto son puntuaciones diferenciales, por un momento nos olvidamos [pausa] y aplicamos la ecuación general, la ecuación general veíamos que [P. ESCRIBE EN LA PIZARRA] b es igual a número de personas, sumatorio de x por y menos sumatorio de x sumatorio de y, partido por n sumatorio de x

elevado al cuadrado menos paréntesis sumatorio de x todo el sumatorio elevado al cuadrado ¿vale? Bien, entonces, entonces, lo que hacemos aquí [pausa] es lo siguiente vamos a ver [pausa] calculamos el sumatorio de x por y , sumatorio de x por y sería, 10 por 16 160, 5 por 6 30 ¿vale? 0 por 1 es 0 ¿vale? Y ya tendríamos que este sumatorio de es 400. Por lo tanto, en esa ecuación de la derecha, ya tenemos, lo que vale el sumatorio de x y 400. Sumatorio de x , si buscamos ahora la siguiente, el siguiente término sumatorio de x , el sumatorio de x ya vemos que es 0 [pausa] y el sumatorio de y también vemos que es 0, luego ahí tenemos los resultados sencillos ¿qué nos queda? n sumatorio de x en el denominador elevado al cuadrado, pues ¿qué tenemos que hacer? [tono descendente] La columna de x elevarlas al cuadrado, elevarla al cuadrado, por lo tanto, sumatorio de x , 10 por 10 100, 5 por 5 25, 0 por 0 es 0. Bien, seguimos así, sumatorio 250. Luego ya tenemos el otro término, sumatorio de x 250, sumatorio perdón, sumatorio de cada una de las x elevada al cuadrado ¿y este otro cuanto vale? [tono descendente] ¿hace falta calcular esta columna? [pausa, esperando respuesta] es 0, sumatorio de x vemos que es 0 elevado al cuadrado 0. Luego ya tenemos todos los términos para... calcular cuanto vale la pendiente de estos valores que lo hemos calculado, bueno, sin conocer la propiedad aquella, para ver cuanto sale como comprobación, y, entonces tenemos, que [pausa] nos da, 5, las el número de personas, por 400 sumatorio de x y, media, perdón sumatorio de x 0, sumatorio de y 0, tiene, otra vez 5, sumatorio de x al cuadrado son 250 ¿mmm? 250 menos el sumatorio de x todo elevado al cuadrado 0. Fijaos, el valor de b , nos da 1 con 60... ¿cuánto daba e es este mismo valor de b cuando lo hacíamos en puntuaciones directas? [pausa esperando respuesta] 1 con 60 nos da el mismo. Claro, nosotros sabíamos que nos iba a dar el mismo, porque ya conocemos esa propiedad, en puntuaciones diferenciales la pendiente no varía [pausa] ¿vale? Hacemos la ecuación general, como que no supiéramos esa propiedad, y efectivamente nos da lo

mismo... ¿queda claro? Y nosotros sabemos demostrando, y por si a caso vamos a unos datos, y comprobamos si en esos datos la eh... la ecuación de regresión la pendiente es la misma en puntuaciones directas y en puntuaciones diferenciales y efectivamente vemos que es lo mismo, y ahora ¿qué hacemos? [tono descendente] Pues hacemos, lo mismo que hicimos la vez pasada, es decir ¿cómo calculamos e hacemos para calcular el valor de a ? Exactamente igual que la vez anterior, si pasa por el centroide... tenemos que [P. ESCRIBE EN LA PIZARRA] media de y es igual a a más b media de x ¿cuánto vale b ?, ¿cuánto vale la media de y , en este caso? No sabemos que son puntuaciones diferenciales ¿eh? Como si no supiéramos ¿cuánto vale la media de estos valores de y ? 0 [P. ESCRIBE EN LA PIZARRA] a que es nuestra incógnita, más b que es 1,6 por la media de x ¿cuánto vale la media de estos valores? [tono descendente] Como son puntuaciones diferenciales 0, por lo tanto, por lo tanto, esto es 0 y a es igual a 0. Luego esta ecuación de regresión, esta ecuación de regresión es, y prima, es igual a 0, es decir $a = b \cdot x$ y b es 1 con 60... ¿de acuerdo? Es decir, que ya tenemos entonces que en puntuaciones directas [P. ESCRIBE EN LA PIZARRA] y prima es igual a... ¿cuánto salía... la ordenada en el origen... qué no me acuerdo? 50 o así o 60 [pausa, esperando respuesta] [INTERVENCIÓN ESTUDIANTE] (alumno responde) ¿50? [P. ESCRIBE EN LA PIZARRA] más o menos será 1,6 más 1,6 ¿verdad? por x ¿vale? Esta es la ecuación de regresión en puntuaciones directas. En puntuaciones diferenciales, esos mismos valores [P. ESCRIBE EN LA PIZARRA] y prima es igual a 0 más 1,6 por x ¿vale?, ¿de acuerdo? Bien, entonces, antes de pasar a lo siguiente vamos a ver que es lo que ocurre... eh... si, si, calculamos mediante esa ecuación... las... valores para, las puntuaciones z , las puntuaciones estandarizadas ¿qué hora es por favor? que estoy sin reloj [pausa, esperando respuesta] [INTERVENCIÓN ESTUDIANTE] (alumno responde) ¿y 5? A claro, porque ha estado Toni haciendo la evaluación, y 5 ya ¿no? Pues lo dejamos aquí, bueno si... hay

alguna duda el próximo día me lo preguntáis. [PREGUNTAS Y
RESPUESTAS DURANTE 13 MINUTOS]

LE4

CAMPO: Ciencias Sociales. ADEM

ASIGNATURA: Auditoría

Nº ESTUDIANTES: 40 (m:22/f:18)

Fecha: 26/05/2003

Duración: 60 minutos

Nº Palabras: 8.066

[eleva el tono]

[baja el tono]

[tono irónico]

[P. REVISAR LOS APUNTES]

[E. TOSE]

[P. NO TOMA EN CUENTA LA INTERVENCIÓN DE E.]

[INTERVENCIÓN ESTUDIANTE] (alumno/alumna, responde/pregunta)

[P. ESCRIBE EN LA PIZARRA]

[P. ACLARA LA VOZ]

[FIN TRANSCRIPCIÓN]

[pausa]: cuando es larga

...: pausa corta, titubeos

[pausa, esperando respuesta]

[ralentiza el discurso]

[repetición, parafrasear]

[tono descendente]: tras una interrogación el profesor expresa carencia de búsqueda de respuesta, es el profesor quien la da

cursiva para anglicismos

<incomprensible>

Buenos días. Hoy vamos a ver el, el tema 10. El tema 10, eh corresponde a la auditoría, del área, de tesorería, que como sabéis, a

mí antes de empezar cada tema me gusta hacer, una revisión de, de más o menos por dónde vamos, teniendo en cuenta el global del programa, la globalidad del programa, y alguna referencia concreta, a lo que vamos a ver. Empezamos, el temario, en la en la parte segunda, que era auditoría por áreas, viendo la auditoría de la parte superior de la izquierda del balance, es decir, viendo los activos menos líquidos, que podemos encontrar que son los inmovilizados inmateriales, pasamos luego a los materiales, inversiones financieras, e- existencias, clientes y deudores, es decir hemos ido en orden de menor a mayor liquidez, bajando por el activo del balance, y ahora estamos precisamente en la parte inferior de la parte izquierda del balance, en la tesorería, es decir, en los activos, no los más líquidos, sino los activos líquidos, absolutamente líquidos. quedaría por tanto entonces por ver y es de sentido común, la parte derecha, del balance, es decir los fondos propios, y las deudas, eso quedará para otros temas, bien, una vez visto cual sería el punto en el que nos encontramos, os voy a dar un par de ideas respecto a esta área, la auditoría del área de tesorería en sí es, relativamente sencilla, lo que no quiere decir que la problemática que haya detrás, cuando se trata de, sobre todo de problemas de control interno, y de lo, lo importante que podría ser la, la volatilidad de los activos que están aquí, mm sea importante, es decir una cosa es que la auditoría sea sencilla y otra cosa es que la materia que haya detrás sea importante. aquí ya os adelanto que la auditoría es relativamente sencilla, ahora bien, lo cierto es que si algún activo, es susceptible de ser codiciado y por lo tanto, de tener problemas, indirectos de que el reflejo contable esté mal es el dinero, es mucho más, lógico que alguien que quiera, eh beneficiarse de los activos de la empresa esté pensando en el dinero, que que esté pensando en una máquina que lo que hace es, darle un golpe a una plancha de acero, porque las máquinas que les dan golpes a las planchas de acero pues la verdad para convertirlas en dinero estamos ante un problema, en

cambio el dinero es dinero. Pues desde ese punto de vista digamos que el tema presenta una dualidad entre auditoría relativamente sencilla, y que lo que hay detrás es importante. bien, como siempre vemos en primer lugar dentro del punto 10.1 los elementos de los que estamos hablando mm caracterizados desde el punto de vista de la contabilidad, hablamos simplemente, de dinero (...) mm? hablamos de elementos, que tienen que cumplir unas condiciones que son que, se trate, de, partidas de liquidez absoluta, de certeza absoluta y de exactitud en cuanto a su valoración. ¿qué quieren decir estas tres condiciones? liquidez quiere decir que, sea numerario es decir sea divisas, o sea moneda nacional, estemos ante, eh... dinero, no ante cosas que se pueden convertir en dinero (...) por definición, los elementos que son líquidos absolutamente líquidos, es decir el dinero, intrínsecamente no presenta ningún riesgo, es decir, son valores que tienen, una certeza en cuanto a su capacidad de realización porque ya lo son, líquidos, otra cosa, es que luego pueda aparecer un riesgo asociado al hecho de que si una divisa la tengo que convertir en moneda nacional, aparezcan diferencias de cambio, pero un dólar es dinero igual que es dinero un euro igual que es dinero una libra, y ahí no hay intrínsecamente ningún riesgo, se trata de elementos que son absolutamente ciertos que son líquidos, repito que el problema de cosas como las diferencias de cambio es otra historia (...) el tercer elemento al que hacía referencia es exactitud en cuanto a su valoración, es si queréis una expresión que, que es una obviedad pero habéis de tenerlo muy presente porque, precisamente si algo tiene que ver con la facilidad del área, es que valorar dinero, no requiere ninguna norma ni ninguna interpretación, ¿cuánto vale un euro? Un euro (...) ¿cuánto vale hoy un camión que me ha costado un millón perdón, eh... cincuenta mil euros? Cincuenta mil euros, ¿y mañana? a lo mejor ya no vale cincuenta mil euros, seguro porque se está provisionando, se está amortizando. en cambio el dinero siempre vale su valor facial, no hay problemas de valoración con el

dinero, ni hay que plantearse si eso tendrá algún riesgo, en absoluto el dinero esta autovalorado, es más el referente en el que se valoran todos los demás elementos patrimoniales es este elemento patrimonial, por lo tanto aquí no nos vamos a tener que aprender ninguna norma de valoración, no tiene sentido, aprenderemos y recordaremos la relativa, a la conversión de moneda extranjera en moneda nacional pero es muy sencilla, porque las diferencias, como veréis todas han dado resultados sean buenas o malas positivas o negativas. Bien, eh... estamos hablando en concreto si nos fijamos en el, en la codificación del plan general de contabilidad grupo 57, tesorería, y en tesorería, fundamentalmente estamos ante dos grupos, (...) dinero depositado en las, cajas, físicas de la, de la entidad o, dinero representado mediante anotaciones en cuentas, bancarias que pueden ser, cuentas corrientes, o cuentas de ahorro, la verdad es que la diferencia es muy, es muy sutil y desde el punto de vista de la auditoria no tiene ninguna importancia, para aquel que no lo sepa pues, una cuenta, corriente es una cuenta, eh... que admite tras de sí la disposición a través de, de cheques, eh... se trata de un tipo de cuentas cuya información periódica, es remitida, al titular de la cuenta por correo mediante extractos, mientras que las cuentas de ahorro, son más propias de, eh... personas físicas más que de empresas, y suelen estar documentadas a través de, de una libretita de ahorro, la típica libreta que todos conocéis, la diferencia es, a efectos de, de su consideración en cuanto a su posibilidad de valoración de auditoria, nula es lo mismo es lo mismo, de hecho eh... algunos eh... rasgos como por ejemplo la disposición de un talonario de cheques, hoy día incluso se puede, se puede tener con una cuenta, de ahorro, antes se suponía que si uno tenia cuenta corriente era para tener, un un talonario de cheques, con una cuenta de ahorro si uno quiere también, (puede hablarlo) eh... que no tiene ninguna importancia la distinción entre unas y otras, a los efectos de lo que estamos viendo aquí, hombre sí tienen que ver y es importante que recordéis que, se pueden abrir

cuentas, eh... en España nominadas en divisa, con lo cual ahí si que, vamos a tener, que considerar que a efectos de la auditoría habrá que tener presente, que al cierre habrá que calcular su contravalor en moneda nacional, que de ahí surgirán diferencias de cambio, y eso sí que es algo, que uno tiene que tener presente por supuesto cuando audita el área, pero vamos es muy sencilla la norma de valoración de diferencias de cambio en tesorería (...) bien (...) siguiendo con el esquema habitual, de los temas ahora procedería ver las normas de valoración, que afectan al área, pero como os acabo de decir, normas de valoración, como tal, no hay ninguna, en el plan general de contabilidad para la tesorería, y eso es simplemente por una razón es porque el dinero, tiene como valor su valor facial, no hay que plantearse ninguna cábala, para ver cuanto vale un billete de diez euros, vale un billete de diez euros, ahora, para saber cual es el valor, a la fecha de cierre, de una prensa hidráulica que está al setenta por ciento de materiales, al 41 por ciento de mano de obra, y al 36 por ciento de costes indirectos de fabricación, mm no podemos mirar el valor facial de eso porque eso no lleva ningún valor facial, tiene hay una norma de valoración que habla de eso se valora a coste de producción, y la valoración de todo eso como sabéis requiere el conocimiento de una asignatura completa. fijaros la diferencia que hay entre valorar un billete y valorar otro elemento patrimonial que es una máquina en curso de fabricación, la diferencia es sensible, ¿no? por eso os decía que esto es bastante más fácil, porque ya ese tema nos lo quitamos de encima ese problema, la tesorería está autovalorada punto, no intentéis buscar ninguna norma de valoración de tesorería en el plan general de contabilidad porque no hay, es absurdo, ahora bien a falta de normas de valoración, lo que solemos hacer en este apartado es explicar, eh... algunas de las prácticas operativas de la tesorería más comunes, para que no salgáis de la titulación sin tener una idea de más o menos qué es, cómo funciona la tesorería en una empresa (..>20..) bueno, como

sabéis la tesorería, se refiere a, disponibilidades en caja, y en cuentas corrientes, o cuentas de ahorro, (entonces) los movimientos que tienen lugar, eh... de efectivo, a través de las cajas de la empresa, suelen ser o por lo menos deberían ser, eh..., operaciones de pequeña cuantía, es decir, la tesorería, desde el punto de vista, más físico que podamos entender, es decir, mm el tránsito de billetes, para cobrar a clientes o pagar a proveh...dores, debería reducirse al mínimo posible, lo cierto es que es imposible que sea cero porque, alguna vez hay que pagar o cobrar en dinero, pero a ser posible, todos los cobros y los pagos, sobre todo desde luego los que ya empiezan a tener una importancia, eh... relativa grande, debería instrumentarse o bien a través de cheques, o bien a través de transferencias, pero mover físicamente cantidades importantes, además de que eh..., genera problemas, de índole de seguridad, es una deficiencia de control interno, bastante grande, entonces, para los pagos y cobros de pequeña cuantía, si no hay más remedio la caja, pero habitualmente utilizar los bancos, que para eso están, y en concreto utilizar el, las posibilidades que nos dan los cheques, bien sean para pagar o para cobrar, y las transferencias, muy bien, vamos a ver, cosas que tenéis que saber antes de, salir a la calle porque si no haréis un poco, el ridi, ¿eh...?, con perdón. os aconsejo que os leáis la ley cambiaria del cheque, eso con independencia de la auditoria, claro eso ni entra en el temario, ni. la ley cambiaria del cheque es una ley pequeñita, no creo ni que tenga treinta páginas, ahora bien, es inconcebible y sería un error de bulto (...) <música de llamada de móvil> <incomprensible> vas a salir en la tele, porque hoy me han hecho que me grabe la clase <risas> bueno <suena de nuevo> ¿alguien sabe cómo se llama esa canción? Si no me equivoco es la carga de la brigada ligera bueno, vamos a ver, en la ley cambiaria del cheque, vais a aprender diferencias entre medios de pago que son muy sutiles, pero que uno tiene que tener muy claro, y que yo no puedo ponerme a explicar aquí, primero porque eso es un tema de derecho, y

segundo porque entonces me estaría mucho rato, ¿eh...?, no es lo mismo un cheque que un pagaré, tienen diferencias importantes, y luego todo lo relativo a la casuística y las potencialidades de las letras de cambio, es bueno saberlas, ¿eh...? eso son, perder un día media hora leyendo esa ley, o leyendo lo equivalente en un buen manual de derecho mercantil, para que tengáis clara la diferencia entre una cosa y otra, son importantes ¿eh...? Bien (un cheque) mm?, cuando un cliente nos de un cheque, porque nos está pagando algo, el cheque, hasta que nosotros lo tengamos depositado en la cuenta corriente, no debemos considerar que es dinero, es decir, aunque llegue el cheque a la empresa, y nosotros le pasemos una relación al contable, de que tal cliente nos ha pagado mil euros con un cheque, mientras el cheque esté en el cajón, no podemos hacer bancos a clientes, ¿de acuerdo? ¿por qué? porque el cheque entregado, pendiente de entrega al banco, ¿mm? puede ser un cheque fallido, con lo cual yo estaré suponiendo que el dinero está, y el dinero hasta que el banco ejecute la labor de compensar el cheque, de cobrarlo, eh..., seguimos aún, teniendo, un pequeño paso desde, la cuenta de cliente hasta tesorería que estaría en el limbo digamos ¿no?, entre que una cosa sea un derecho frente a cliente, y tesorería hay un paso intermedio que es, que el cliente me ha dado un cheque, aún no es dinero mm, por lo tanto, recordarlo, cheque recibido no debe ser considerado aún, como, entrada en banco, ¿de acuerdo?, bien, al revés, cuando seamos nosotros los que hemos emitido un cheque, para pagar a un acreh...dor, sea un proveh...dor o un acreh...dor diverso, lo que sea, un trabajador, eh... la mecánica por si no lo sabéis es la siguiente, luego hablaremos con más detalle el tema del control interno pero, el cheque, tiene que ir firmado por una persona, normalmente la persona que, tiene que tener esa atribución, suele ser alguien del departamento de tesorería, muchas veces dependiendo del importe del cheque es uno u otro, (...) y, una vez emitido el cheque, aunque siga estando en nuestro cajón, y no se lo

hayamos entregado a nadie, hemos de considerar que el dinero ya no está, ¿os dais cuenta que el tratamiento es asimétrico? mientras que los recibidos no puedo considerar que son dinero y por lo tanto no hago el apunte de tesorería, a deudores, con los, digamos, conformados escritos firmados, y no entregados, ya tengo que considerar que eso no está en el banco, ¿de acuerdo? y si me preguntáis ¿y por qué?, ¿no es igual que el otro?, es simplemente para que, no se pueda llegar a la circunstancia de que, alguien siga viendo que hay saldo en el banco, y como el dinero sigue siendo ese, yo voy extendiendo cheques, entonces puedo extender más cheques, que saldo hay en la cuenta corriente, cada vez, que firmo un cheque, inmediatamente digo el dinero que está en el banco. es ese, menos el que saldrá cuando lo entregue, al señor al que se lo debo, y él lo presente al cobro, pero aquí estamos hablando de un tipo de prudencia, que no es la prudencia que entendemos normalmente en contabilidad, sino simplemente una prudencia administrativa, ¿eh? si aquí la el hecho de que se utilice esa práctica asimétrica, eh... está en favor de que yo no me pase emitiendo cheques, es por prudencia administrativa, no es prudencia relativa a las normas de contabilidad, no tiene nada que ver, es prudencia administrativa, que no se me vaya de la mano, y resulte que empiece indiscriminadamente a entregar cheques, y al final lo que tenga sea una avalancha de gente diciendo que le he entregado un cheque que no tiene fondos, ¿de acuerdo? Entonces eso lo habéis de tener presente (...) No es usual, pero puede suceder, que yo le entregue un cheque, a un acreh...dor, y pase mucho tiempo sin que el acreh...dor, ejecute, el cobro, es decir, ¿la mecánica cuál es?, bien sea en mano o por correo, yo le envío un cheque a un proveh...dor, y el proveh...dor lo que tiene que hacer es remitirlo a su banco, y el banco, a través de las operaciones de compensación que tienen todos los bancos, abonarlo en mi cuenta, ¿de acuerdo?, por el motivo que sea hay veces que cheques que nosotros hemos entregado, pasan días y semanas y

semanas y meses, y el acreh...dor no los ha cobrado, y podéis decir ¿cómo puede ser eso?, el otro día no os conté que yo tenía un cheque, la verdad es que era poco dinero, pero había un cheque, en un cajón de casi cuarenta euros de un viaje que hice a Vinaroz para presentar unas jornadas, y me pagaron la gasolina, y yo no me acordaba, y estaba ahí, entonces, normalmente en las empresas no pasa eso, pero puede pasar, y no sería la primera vez porque incluso me han llegado, noticias, de casos increíbles, de ver en el cajón cheques pendientes de cobro, por, esto era en pesetas, pero, por cientos de miles de pesetas, simplemente por, desidia administrativa, porque la empresa estaba con problemas, y llega un momento que, hay una persona que pega la espantada, aquello se queda allí, no se lo dice a nadie, y un día levantando papeles pues aparecen a lo mejor tres millones de pesetas, en cheques pendientes de cobro, a mi me interesa desde el punto de vista del que lo entrega. si yo he entregado un cheque, y hace mucho tiempo, ha pasado un tiempo eh..., razonablemente largo, sin que el acreh...dor lo haya cobrado, yo tengo que dar órdenes al banco de que lo cancele, eso lo puede hacer el banco, es decir, si alguna vez se presenta al cobro el cheque número tal tal en esta cuenta, ya no se puede pagar, ¿de acuerdo?, eso sería lo más prudente, eso es suspender el pago, entonces el dinero, que supuestamente en su momento, yo paralicé para que ese dinero no se pudiera tocar, y estuviera claro, que iba a parar a ese proveh...dor, de momento ya vuelve a estar otra vez a disposición, del director financiero para pagar a quien quiera, entonces eso es lo que quiere decir ingresarlo de nuevo en la cuenta de bancos, ingresarlo no en el sentido de que lo ponemos el dinero, sino que, lo que en su momento paralicé, desde el punto de vista de la contabilidad, (diciendo) eso no lo puedo tocar, ya esta otra vez disponible, y abonar una cuenta en pasivo en el sentido de que, si en su momento, lo que hice fue, (decir) que el dinero ya no estaba, con lo cual hice un abono en la cuenta de tesorería, hice un cargo en la

cuenta del acreh...dor, porque dije, si ese dinero el cheque ya ha salido, ya no tengo el dinero, pero tampoco tengo la deuda, pues bien si el dinero no lo ha cobrado, vuelvo a tener el dinero, pero otra vez tengo la deuda, por eso aparece en la cuenta de pasivo (...) pólizas de crédito, la tesorería eh..., a veces, se instrumenta, a través de cuentas corrientes, (...) a través de las cuales se está manejando una póliza de crédito (..) creo que sabéis lo que es una póliza de crédito, ¿lo sabéis? mm ¿sabéis lo que es una póliza de crédito? ¿no? ¿alguien lo sabe? La póliza, de crédito no es más que (..) una fórmula financiera, por la cual un banco, me garantiza que yo puedo disponer, de la manera y con la gradualidad que yo quiera, de una, de hasta una cantidad de dinero, a la que llamamos eh..., sería, a ver no me acuerdo como se llamaba el (...) el límite ¿eh...? el límite de la póliza, me pone a disposición hasta, 60.000 euros que son 10 millones de pesetas, para que yo los utilice en la medida que me parezca bien, (...) yo firmo con el banco esa fórmula financiera, y si quiero hasta dentro de tres meses, no lo utilizo, ¿que diferencia hay entre eso y un préstamo?, un préstamo, en el momento en que se concede, supone que yo tengo en mi cuenta corriente, 10 millones de pesetas, si estamos hablando del, de la misma cantidad en cambio una póliza de crédito, la puedo firmar, y yo eh...- empezar a utilizar ese dinero cuando me parezca bien, la idea es que yo la vaya utilizando de manera gradual, conforme vaya haciendo falta, es decir, si dentro de dos semanas tengo que pagar a un proveh...dor treinta mil, pues digo, extendiendo un cheque por treinta mil, y aunque no haya nada en la cuenta corriente, el banco lo paga, al día siguiente tengo que pagarle a otro acreh...dor, extendiendo otro cheque de cuarenta mil, y el banco lo paga, siempre que yo no llegue a una situación en que esté, haya dispuesto más del límite, el banco irá atendiendo todos los pagos, por lo tanto, como la disposición es gradual, el devengo financiero de la operación, no es desde el día que yo firmo la póliza, sino del día en que yo voy disponiendo, del saldo que haya dispuesto, ¿de acuerdo?, así

pues, por ejemplo en un préstamo, desde el día 1 del préstamo yo estoy pagando intereses, por la totalidad del préstamo, en cambio en una póliza de crédito, yo nada más pago intereses, por el saldo dispuesto, si sólo he utilizado diez euros, pago intereses de diez euros, durante los días, que el saldo que yo mantengo, en este caso eh..., deudor, con el banco, sea diez euros, a ver, existen unas fórmulas financieras que permiten, hacer unos unos cálculos de intereses, para los días, y saldos dispuestos, entonces sale una relación de números y dice, de tal día a tal día dispusiste de este saldo, de tal día a tal día de este de este de este de este, y salen los intereses, mmm a la parte no dispuesta del saldo, el no dispuesto, eh... (...) de ahí no se cobran intereses, o sea no se tienen que pagar intereses sino sólo de lo dispuesto, que no tiene por qué ser el límite, y además existe otra particularidad, y es que, cuando a mí me parezca bien, yo puedo ir devolviendo parte de lo dispuesto, con lo cual, puedo en cierto modo, eh... manejar el coste financiero, de la operación, cosa que no puedo hacer con un préstamo, si no es a base de, eh... cancelaciones anticipadas que, normalmente están penadas, con comisiones por cancelación anticipada, las pólizas de crédito no, cuando me parezca a mí, si un cliente me paga a mí, y hasta ese momento había dispuesto, diez mil euros, y pago diez mil euros, en ese momento al banco no le debo nada, con lo cual desde ese día hasta que vuelva a disponer, no me cuesta nada la póliza, hay unas comisiones de apertura, eso sí lo típico ¿no?, pero no me cuesta nada, entonces, las pólizas de crédito, se instrumentan a través de cuentas corrientes, en una cuenta corriente donde no tengo un duro, desde el primer día yo ya puedo empezar a pagar a los proveh...dores, ¿por qué?, porque en esta cuenta se me admite un descubierto, dado que el banco ha aceptado, que yo tengo disponible ahí hasta 60.000 euros, pero los movimientos se ven en la cuenta corriente por eso normalmente tendrá saldo acreh...dor, es una cuenta de tesorería, una cuenta corriente pero que está pegada, por así decirlo, a una póliza de

crédito, con lo cual su saldo, normalmente será acreh...dor, pues bien, las pólizas de crédito, que van a, a aparecer, como, cuentas corrientes pero con signo menos, no deben aparecer en el activo del balance, como una cuenta con signo negativo, aunque sea una cuenta corriente, debe aparecer, como una deuda con un banco, ¿de acuerdo? Es muy muy típico cuando uno empieza a trabajar en una empresa, que empiece a ver, la primera vez que empieza a ver la documentación normal, cuentas corrientes, a las que están adheridas pólizas de crédito y vea saldo negativo negativo negativo negativo y diga ¡Madre mía! (...) ¿dónde me he metido?, es una póliza de crédito y tiene que tener ese saldo, ¿eh...? y entonces uno esta tentado a decir, bueno pues, al cierre del ejercicio, si el saldo de esta cuenta corriente es menos 23.000, pondré en tesorería <fin cinta> bien, eh... (...) no es tesorería negativa, sino deudas, ¿de acuerdo? vale, aun así también puede haber cuentas de tesorería, éstas ya no, eh... eh... que no sean el instrumento de una póliza de crédito, que en un momento dado tengan un descubierto, ya no estoy hablando de pólizas de crédito sino de una cuenta corriente, en la que, el banco ha aceptado hacer pagos, eh... sobregirados, es decir, por encima ya, por debajo del saldo cero, y aparecen saldos negativos en la cuenta de tesorería, pues bien, esas, tampoco son tesorería negativa, sino deudas con el banco, es como si el banco me hubiera hecho un préstamo, la situación clásica se da, cuando una empresa que tiene muchas relaciones con un banco, y en un momento dado por el motivo que sea, presenta un saldo cercano a cero, tiene que hacer frente a una letra o a un recibo, importantísimo, eh... con un proveh...dor frente al que no le interesa en absoluto quedar mal, entonces se llama al banco, al director, oye mira hoy va a llevar una letra de, 2 millones de pesetas, y ya sé que sólo hay 200.000 pesetas, págala por favor, mañana o pasado mañana, la cuenta (o sea) la cuenta se va a quedar en descubierto pero pasado mañana ponemos el dinero no pasa nada, pero es que con este tío no podemos quedar mal, porque

es un cliente, o un proveh...dor preferente y sería un desastre. entonces el banco, si tienes muchas relaciones con ellos, ven que los que los ingresos son frecuentes, te concede el descubierto, te concede un descubierto, asociado a un treinta por ciento de interés, eso desde luego (lo que pasa) que el treinta por ciento de interés de un día o dos pues, al final aunque sea muy escandaloso, porcentualmente pues, es una tontería, ¿no? y te da un servicio en este caso el banco, (es decir) que sin hacer, sin formalizar ningún préstamo, ninguna póliza de crédito, que eso lleva tiempo, el banco directamente le paga al, al proveh...dor los dos millones, te quedas al descubierto con uno ochocientos, pero has quedado bien, al día siguiente llevas una remesa de letras o lo que sea, y solucionado el problema, pero no dejan de ser préstamos, mm préstamos no formalizados sería, que el banco acepte un descubierto, a veces, hay cuentas en tesorería en la banca, que en este caso, están asociadas a una imposición a plazo superior a un año, entonces eso, no es tesorería, porque habíamos dicho que para que sea tesorería, el elemento tiene que tener liquidez inmediata, y si por mucho que el elemento es dinero, no lo puedo tocar hasta dentro de tres años (..) eso, no es líquido, y por tanto lo calificaremos como una inversión financiera, a largo plazo (...) y por ultimo, vamos a hablar de los justificantes de gastos en caja (...) antes os hablaba de, que los pequeños, pagos y cobros por caja, se realizan porque, aunque, esto debería ocurrir en la menor parte de las ocasiones, es inevitable, tarde o temprano se presenta un señor que trae, tres cajas de folios, y se tiene que ir, con dinero, o se presenta un, uno de los las personas que lleva las furgonetas de reparto, y necesita eh... 50 euros para gasolina, esas cosas son inevitables, entonces, eh..., caja como tal debe existir, pero, pensada para, sobre todo movimientos de pequeña cuantía, pues bien, en caja cada vez que se hace un pago, debería quedar, el justificante, o mejor dicho, sí es un justificante pero el, el valor, que se está cancelando con ese pago, es decir, si un señor nos trae tres cajas

de folios, y yo le doy, dinero, él me tiene que dar las cajas de folios, y una factura, o un recibo, que justifique que, treinta euros han salido, porque ha habido que pagar eso, (entonces) los documentos que reflejan, el pago, les vamos a llamar pagos y cobros, las dos cosas, les vamos a llamar justificantes, los justificantes de gastos, que estén en la caja, al final de un día, o al final del periodo, lo que hacen es reflejar que ese dinero estuvo, pero que ha salido, por lo tanto, cuando veamos un justificante de gastos, en caja, inmediatamente tenemos que pensar en un asiento como el que sigue, por ejemplo, el justificante es de papelería, y pone treinta, entonces ¿que tenemos que poner?, material de oficina a caja, si yo veo un papel ahí que pone, eh... papelería Plácido Gómez treinta euros, si está allí, y pone recibí, eso quiere decir, material de oficina a caja, ¿vale? el el justificante, es un asiento en realidad, es que el dinero ha salido por eso está eso allí, si no no estaría, ¿de acuerdo?, con los cobros sucedería algo muy parecido, ¿eh...? ahí en la transparencia, habla sólo de justificantes de gastos pero con las entradas igual, cuando, entra dinero, en la caja, claro allí está el dinero, pero el dinero solo no nos dice, de donde viene, entonces junto con el dinero que ha entrado ahí, la persona que es responsable de caja, eh... extiende, en este caso un recibo, al que ha pagado el dinero, y él se queda una copia, (entonces) del mismo modo, los justificantes que están anexos a los arqueos de caja, como representativos de que ahí ha entrado dinero, se tienen que contabilizar en este caso como. caja a, por ejemplo, clientes ¿eh...? imaginaos un cliente que ha hecho un pequeño pago, y, lo que ha hecho es eso, ¿de acuerdo?, bien, esto son cosas más de índole administrativa que, de otra cosa, pero creo que las debéis saber, y no son muy complicadas, os aconsejo que leáis la ley cambiaria del cheque, os decía algo respecto a que, problemas de valoración en tesorería, hay pocos porque los elementos están autovalorados, pero si que es cierto, que algo, hay que saber respecto a valoración, y es que, cuando

mantenemos cuentas, bien sea corrientes, o de caja, en moneda extranjera, al cierre, hay que calcular su contravalor en moneda nacional, al tipo vigente a esa fecha, pues bien, pueden aparecer diferencias, en un sentido o en otro, las diferencias negativas, serán gastos, y las diferencias positivas serán ingresos, (¿de acuerdo?), es decir que, tanto en un sentido, como en el otro, van a la cuenta de resultados. si recordáis, hasta ahora esto no era así, por ejemplo en clientes, las diferencias favorables (clientes y acreh...dores)

da igual, las diferencias buenas, no iban a resultados, iban a ingresos diferidos en espera de que el cobro o el pago se realizara, las malas siempre iban a resultados, por prudencia, en este caso si por prudencia de las normas de valoración, pero las buenas no, las buenas quedaban en espera de que la operación se realizara, es decir se cobrara o se pagara, en el caso de la tesorería eso ya no tiene sentido, porque ya no hay que dar ningún paso adicional para realizar, ese derecho, el derecho está realizado, si lo tengo en dinero ¿después del dinero que viene? nada, ya está, el el destino de toda la operación era ese, ya he llegado, por tanto las diferencias que se hayan explicitado, desde el momento que se hizo la operación, ya está, existen, por tanto siendo buenas o malas en ambos casos van a resultados, si son negativas diferencias negativas de cambio, y si son positivas, diferencias positivas de cambio, subgrupo 68 las primeras y subgrupo 78 las segundas, (o sea) que facilito, ¿eh...? aquí no hay que calentarse mucho la cabeza, la diferencia, en en tesorería, a resultados, control interno punto 10.3 (>20) como os decía cuando empecé la clase, estamos ante ante un elemento que, objetivamente y por sí mismo, puede ser codiciado por cualquiera, porque, con dinero se puede comprar cualquier cosa, mientras que si uno se lleva a su casa, eh... vulnerando los sistemas de control interno, tres sacos de arcilla, pues ya está, tiene tres sacos de arcilla, ¿mm? tres sacos de arcilla que valen, 10.000 pesetas, tienen el mismo valor que, diez billetes de 1000 pesetas que valen 10.000

pesetas, ¿de acuerdo? tienen el mismo valor, pero está claro que no es igual de codiciado tres sacos de arcilla, que 10.000 pesetas, entonces, los, sistemas de control interno de la tesorería, tienen que ser, eh... tanto o más serios que los de, existencias por ejemplo ¿no?, porque el elemento que hay tras de sí, es muy codiciable entonces, ¿qué es lo que tenemos que plantear en términos generales para un buen sistema de control interno en tesorería?, bueno, en primer lugar que, para pagar, bien sea a través de cheque, o en efectivo, tiene que haber personas autorizadas, no puede pagar, cualquiera que pase por allí y diga pues venga yo firmo un cheque y te pago, o y abro el cajón y te pago, los pagos tienen que estar asignados a personas con autorización expresa para hacerlos, a veces la autorización tiene que, tiene que está conferida a más de una persona que simultáneamente, tienen que autorizarlo de tal manera que si no autorizan simultáneamente dos o tres personas, el pago no se hace, es una medida de de control, sobre un control, y sobre otro control, entonces como os podéis imaginar, para los pequeños pagos, mmm no hace falta, que, se trate de una persona con una gran responsabilidad jerárquica dentro de la empresa, eso normalmente, le compete a una persona que se llama, el cajero, ¿eh...? que tiene autorización para pagar, hasta determinadas cantidades, y por encima pues si por lo que sea, el circuito administrativo ha llevado hasta él, un pago de de superior cuantía, él lo deriva a quien sea, (diciendo) no esto yo no lo puedo pagar, porque supera mis competencias, se lo mando al, al director financiero o al jefe de administración, y el sabrá lo que tiene que firmar (...) como siempre, mm en todas las áreas, es bueno, que, cuando un elemento sigue un circuito, dentro de los distintos puntos del circuito, las funciones, las hagan personas distintas, de tal manera que no competa sólo a uno, todo el ciclo, porque entonces la probabilidad de que él, saltara los controles es mucho más alta que si, para cumplir el ciclo uno tiene que estar pendiente primero de la decisión de otro, y

éste de otro, y éste de otro, y éste de otro, (entonces) esto es lo que se llama, segregar funciones, eh... en principio, es muy importante que, ni el cajero ni la persona que las personas que tengan autorización para pagar, puedan contabilizar, eh... (es decir) ellos no pueden ser las personas que pasen después, los asientos relativos a los pagos o cobros, eh... en contabilidad, y que, quienes contabilicen, los movimientos de tesorería, también sean, a su vez, controlados ¿no?, eh... hombre normalmente eso, no se suele hacer, y si lo hace, lo hace el departamento de auditoría externa, o la empresa delega eso en los propios auditores, para que en su informe de control interno, si hay debilidades lo digan ¿eh?, llegar tan lejos es un poco exagerado (...) cuando se cobre, eh..., hay que procurar que si se trata de un cheque, esté el menor tiempo posible en la empresa, y que inmediatamente vaya al banco, fundamentalmente por dos motivos, uno por un problema de control interno es decir que si el cheque esta por ahí circulando, peor que si está en el banco, por motivos obvios, y segundo, que mientras, el dinero no esté en el banco, no está generando la rentabilidad que se supone que tiene que generar, no es que sea mucha, pero desde luego, eh... es mucho mejor que esté que que no esté en términos financieros. por supuesto eh... cada vez que, eh... efectuemos un cobro, la entidad, tiene que emitir un recibo de que ha cobrado esa cantidad, entregarlo a la persona que ha pagado, ella nos lo va a pedir, por su cuenta, o sea no hará falta tampoco que nosotros lo establezcamos como una norma, porque la propia empresa, que nos paga ya nos pedirá el recibo eh..., y que, de ese recibo que entregamos, nos quedemos una copia, mm firmada por la persona que ha recibido el dinero, entre otras cosas, porque si yo le pago, físicamente a una persona, y ésta no deja constancia mediante su firma de que lo ha recibido, luego puede decir que él no ha recibido nada ¿sabes?, copia emitida de los de los, me he equivocado estaba hablando de pagos (...) sí, lo he dicho lo he dicho bien, los pagos. los

pagos eh... se deberían hacer siempre, con cheques o con, o con, con transferencias, si los hacemos con cheque, con un cheque nominativo, con un cheque que vaya, eh... dirigido, a una persona en concreta, porque entonces estamos seguros, de que si no es esa persona nadie lo va a poder cobrar, eh... lo que hay que hacer es entregarlo, nominado a, nombre de una persona que previamente, ha sido identificada por la empresa que tiene que hacer, que tiene que hacer el cobro, ¿eh? que diga los cheques nominativos para esta empresa, se tendrán que hacer a nombre de la empresa, entonces si yo pago a, a Talleres Mecánicos No se cuantos SL, y dicen que irá a nombre de la razón social de la empresa, pues pongo, páguese a, Talleres Mecánicos SL tanto, entonces, eso sólo se puede ingresar en una cuenta de Talleres Mecánicos SL, con lo cual si uno lo pierde y se lo encuentra por la calle, aunque se encuentre un cheque, no lo va a poder ingresar a ningún sitio porque no va a su nombre, los cheques al portador, es decir, los que se pueden cobrar, por quien lo presente tienen el riesgo, de que si extravía, los va a cobrar, quien se los encuentre, entonces, mientras vosotros tengáis un cheque emitido, nominativo, si se pierde, podéis estar tranquilos que no pasa nada, porque el único que lo va a cobrar es el que lo tendría que cobrar, y si lo cobra él, es lo que queráis hacer, por lo tanto no hay ningún problema, por tanto es una buena medida de control interno que todos los cheques, sean, eh... nominativos, además, tienen una ventaja y es que, al ser nominativo, está claro que vamos a saber, cuando haya que cruzar la salida, con el proveh...dor al que se le ha entregado, a quien se lo ha entregado, porque el propio cheque ya está dando pistas, de que este cheque se ha entregado a tal persona, si es al portador, los cheques, requieren firmas, la firma de quien lo extiende, entonces hay distintas formas de plantear, eh... cuánta seguridad le exijo a un cheque, yo puedo exigir que el cheque vaya firmado por una sola persona, por ejemplo, por el director financiero, o por el jefe de tesorería, con lo cual, prácticamente el único el último

control de la cadena es que él firme, puede exigirle al cheque una firma mancomunada, es decir, que firmen necesariamente más de una persona, para que el cheque, se pague, de otra manera, si no fuera así, el banco, una vez se le presentara al cobro por el acreh...dor, el cheque, viendo que falta una firma, no lo pagaría, ¿qué se pretende con ello?, pues que haya, por lo menos, dos personas, que autoricen el pago, se supone que si hay dos personas, una controla a la otra, eso es bastante común, en la administración, por ejemplo aquí, en la universidad, cuando hay que pagar determinadas cuantías, si se entrega un cheque, la firma la lleva, por ejemplo un cheque de una adquisición de algo de un departamento, el director del departamento, y el jefe de la unidad de gestión, eh... el jefe de la unidad de gestión, controla indirectamente, al jefe del departamento, porque si el jefe del departamento hemos comprado por ejemplo un retro proyector o un cañón o lo que sea, dice, bueno pues le tengo que pagar a, Suministros Tato, eh... un millón de pesetas, el director finan-, el el jefe del departamento podría hacerlo por un millón doscientas, porque su amigo es el dueño de esa empresa, con lo cual doscientas mil pesetas desaparecen, pues no, el director del área de gestión, de la unidad de gestión, comprueba que efectivamente ese elemento llegó al departamento, que hay un acta de recepción en el, del inmovilizado, que la factura, que que representa ese elemento, es de un millón, y que la fecha de pago, acordada, es esa, entonces con su firma, lo que está haciendo es, controlar todas esas variables. si queremos poner tres firmas mancomunadas, pues tres, las que queramos, el caso es, incrementar el grado de seguridad, de que, el cheque se paga en las condiciones en que se tendría que pagar, ahí habla de que efectivamente si el, la segunda persona no comprueba nada, sino que se limita a firmar lo que le dan, el control no sirve, para eso el que el que tiene que poner la segunda firma, comprueba todo lo que tiene que comprobar y ya está (...) entre las cosas que hay que compro- que hay

que comprobar, está que las facturas es correcta, que es una factura a nombre de la entidad, que lo va a pagar evidentemente, que los servicios o los bienes se han recibido, mm es decir que efectivamente si se compró un ordenador, para el departamento, ese ordenador ya está en el inventario, mm que la factura lleva cálculos y precios correctos, etcétera etcétera, eh... entonces, todas esas cosas hay que comprobarlas antes, de poner la firma, evidentemente a medida que se trata de pagos de menor cuantía, y de elementos de mucha menos importancia, como por ejemplo comprar, artículos de limpieza, esos controles ya pierden tan- todo el sentido, ¿no?, y normalmente es que ya no se paga con cheques, sino que se paga en efectivo, y lo paga, el administrativo del departamento, ¿mm? (...) para establecer incluso en esos casos, en los pagos de pequeña cuantía, un sistema, de control, se, eh... utiliza lo que se llama, un sistema de fondo de caja, fijo, que lo vamos a ver luego, un poquito más adelante, es algo muy sencillo, pero que elimina, tener que estar utilizando la cuenta de caja, contablemente, para pagos de muy pequeña cuantía, lo cual es un engorro, y puede dar lugar a que, en realidad alguno de esos pagos o cobros, no se contabilicen bien, luego lo veremos más adelante, el cajero, mm, normalmente, si existe un cajero como se supone que tiene que existir, para esos movimientos llevara un libro de caja, (el dinero) que entra y que sale, que no es necesariamente, el, el, el documento del que se hace la contabilidad, no, no lo es, ¿eh?, pero que va a tenerse, que conciliar porque aunque no lo sea, al final, lo que diga la contabilidad, tendrá que estar, eh... reflejado, convenientemente, en el libro de caja, ¿eh?, el libro de caja antes era un libro manual, ahora es, una hoja de cálculo, posiblemente, (entonces) mm periódicamente, habría que comprobar, que efectivamente lo que dice la contabilidad, está apoyado por lo que el cajero va anotando día a día, en su hojita de cálculo. y si no lo está, ver las diferencias, de eso se trata las conciliaciones (...) pasamos ahora a hablar de, de bancos, en control

interno, eh..., el grueso de las operaciones, de tesorería, va a través de bancos, mm lo de la caja es, residual en cuanto a cantidad, y en cuanto a a volumen no tiene nada que ver, lo que se mueve de una manera y de otra, pensad en Telefónica lo que se mueve por caja, y lo que se mueve por banco, entonces, eh... los sistemas de control para, para las operaciones de banca tienen que ser bastante más serios, hay un, eh... sistema o una prueba, no una prueba sino un mecanismo de control interno que es indispensable, que son las conciliaciones de las cuentas corrientes bancarias, que también veremos luego más adelante, y que tienen como objetivo, el comprobar si, entre, los movimientos contabilizados, por el banco, en su contabilidad de nuestra cuenta, y los movimientos contabilizados respecto a esa cuenta corriente, en mi contabilidad, hay diferencias, es decir que, el banco tiene su contabilidad, nosotros tenemos la mía, la la la la nuestra, y los dos estamos contabilizando, lo mismo, estamos contabilizando los movimientos de una cuenta corriente, que yo tengo abierta en el banco, para el banco, los, ingresos que yo hago en la cuenta corriente, suponen un aumento de la deuda que ellos tienen con nosotros, mientras que lo- mientras que los ingresos que yo hago en la cuenta corriente, para nosotros, es un incremento de los derechos que yo tengo frente al banco, es decir que, las anotaciones para los movimientos del mismo elemento patrimonial, que es una cuenta corriente, tienen signo distinto, en la contabilidad del banco, y en la de la empresa, eso para empezar, ¿eso lo veis claro?, además, sucede que por, distintos motivos, el ritmo al que se van contabilizando las cosas, por el banco, y por la contabilidad de la empresa, no tiene por qué ser el mismo, con lo cual, puedo perfectamente, pedir el extracto de un mes, de la cuenta corriente, al banco, y sacar yo del libro mayor de esa cuenta corriente, (y que) no haya ni un solo movimiento igual, a largo plazo, todos deberían ser iguales, pero con el signo contrario, pero temporalmente no, entonces, hay veces, que si no es conciliando,

es decir viendo cuales son, las diferencias entre unos estados, los del banco y las nuestras, de la cuenta corriente, si no analizamos las diferencias, no sabemos cual es el saldo, de la cuenta corriente, que tendría que aparecer en el balance, (entonces) periódicamente, para que eso no se nos vaya de las manos, por lo menos una vez al mes habría que conciliar la cuenta corriente bancaria, eso lo veremos más adelante, ¿de acuerdo? vosotros quedaros con la idea de que, el banco lleva su contabilidad de la cuenta corriente y yo la mía, y que muy probablemente, el ritmo de contabilización de las cosas, y en ocasiones incluso, las cosas no el ritmo sino que, los datos, no sean iguales, por un motivo o por otro, entonces yo tengo que ver por qué, tengo que analizar cuales son las diferencias, eso se le llama conto- eh... conciliaciones. Luego en las, cajas, como medida de control interno más o menos, eh... adecuadas, está, el de vez en cuando, si permitís, si me permitís una (¿??) darle un susto al cajero, que aparezca alguien por allí, y diga a ver, dame, la relación de lo que había a las 9 de la mañana, de los ingresos, en la del cobro, y los pagos, y voy a contar lo que hay, (entonces) eso tiene que cuadrar, saldo inicial más entradas menos pagos, es lo que tienen que haber en billetes y en monedas en la caja, si no hay eso, hay una debilidad de control interno, si le pego diez sustos al año, aleatoriamente claro si yo le digo cuando voy a ir estará bien, pero si yo le pego diez sustos al año al cajero, y de los diez sustos diez estaban mal, es que control interno de caja no funciona muy bien, ahora bien, ¿qué sucede? que normalmente caja, como vengo insistiendo en toda la clase, tampoco tiene una importancia relativa muy grande, no debería tenerla, (entonces) hombre, no está de más siempre recomendarle a la empresa que, mejore sus prácticas de control en cuanto a, a caja, pero normalmente eso no va a dar lugar a ninguna salvedad, yo no he visto nunca, un informe de auditoria con una salvedad, que hable, de caja, que en caja pone tanto y no es eso. Bien, eh..., os voy a enseñar ahora, que es esto, de, del funcionamiento del

fondo fijo de caja, (es decir) ahora vamos a ver, cual es el procedimiento, de, de ejecución de tres cosas que hemos visto ahí, que son, uno el fondo fijo de caja, dos las conciliaciones bancarias, y tres los arqueos, vamos a ver como se hace eso. [FIN TRANSCRIPCIÓN]

LE5

CAMPO: Ciencias Sociales. Publicidad y RRPP

ASIGNATURA: Marketing por Internet.

Nº ESTUDINATES: 20 (m:9/f:11)

Fecha: 31/03/2003

Duración: 55m

Nº Palabras: 5.622

[PROFESOR]

[INTERVENCION ESTUDIANTE]

[pausa] cuando es larga

... pausa corta, titubeos.

[P. ESCRIBE EN LA PIZARRA]

[INTERRUPCION, S. ENTRA EN EL AULA]

(tono descendente): tras una interrogación expresa carencia de búsqueda de respuesta, es el profesor quien la da.

(repetición, enfatiza) (repetición, parafrasear)

[eleva el tono]

[el profesor ralentiza el discurso]

subrayado (indica code-switching)

cursiva para anglicismos

[PROFESOR] bien el último día estuvimos viendo...eh... eh...algunas de las técnicas que se podían utilizar desde el punto de vista de Marketing eh para... relacionadas con la variable de comunicación. siguiendo con esas técnicas veremos hoy, empezaremos viendo el marketing directo en internet. como podéis ver la transparencia definiríamos el marketing directo en Internet como el conjunto de acciones cuyo inicio esta en el contacto con el publico objetivo utilizando la red de Internet. Su objetivo es generar una comunicación de doble dirección y lo que es más importante de la definición es que esta comunicación [el profesor ralentiza el

discurso] bidireccional se puede medir en órdenes, respuestas o solicitudes de información, es decir, hablamos de Marketing directo cuando podemos medir realmente cual es la comunicación con el consumidor en función de las ordenes, de los pedidos que realiza, de las respuestas que..que da a consultas, del propietario de la web o bien a solicitudes de información, información que puede ser utilizada en tiempo real para tomar decisiones estratégicas...bien entre las posibles actividades del marketing directo en internet tenemos las listas de correo propias, ya sabéis lo que es una lista de correo son personas que están suscritas a una lista de direcciones, normalmente esta lista esta relacionada con algún tipo de tema o aspecto que es de interés para todos los miembros...se pueden utilizar como marketing directo suscripciones a prueba, es decir, un periodo de tiempo sobre el cual durante el cual el... ínternauta esta suscrito, o bien a una lista o bien a un **tipus** de información. Catálogos dinámicos, los catálogos dinámicos son aquellos que retiran artículos cuando no tienen existencia, es decir, de forma automática, en el momento en que no hay existencias de uno de los artículos no se puede suministrar uno de los artículos, el artículo es retirado el programa, retira directamente el artículo del catalogo y también son aquellos que permiten ajustar el precio a los componentes que se le van pidiendo, es decir, algún tipo de servicios o productos puede el consumidor en internet crearse, configurarse el producto, pueda crearse el producto. estos catálogos dinámicos lo que hacen es al tiempo que van configurando el producto, van ofreciendo el precio del nuevo producto, ¿de acuerdo? DELL por ejemplo creo que es una de una de las marcas que vende ordenadores por internet y que utiliza este sistema, tu puedes ir configurando tu ordenador, tu equipo y a medida que lo vas configurando y en función de los componentes que vas añadiendo puedes ir...eh... tienes el presupuesto de el precio de ese producto. también existe una marca de muebles FLEXA que... eh... la filosofía de la cual es precisamente que tu te diseñas la habitación es

una...marca destinada a mobiliario infantil y juvenil y tu puedes [eleva el tono] diseñar la habitación, son muebles que se pueden montar de distinta forma. el programa de FLEXA eh.. eh... en internet, tu te bajas un pedido del programa de diseño, le pones las dimensiones de la habitación que quieres arreglar y el programa te permite diseñar, ir montando la habitación que tu veas como va quedando la habitación con los muebles y al mismo tiempo que te va calculando el precio de la compra. ¿de acuerdo? pues esto serían catálogos dinámicos. y después el marketing directo, es la gran actividad del marketing directo y como sabeis casi una filosofía del marketing en general es el marketing relacional... ¿Qué tenemos que hacer para utilizar el marketing directo en internet para generar marketing de relaciones, marketing a largo plazo con nuestros clientes? eh... el primer paso es conocer a los consumidores, conocer a los consumidores desde el punto de vista del marketing relacional quiere decir conocer los perfiles psico-gráficos [P. HACE REFERENCIA A LA TRASNPARENCIA], los perfiles socio-demográficos y los perfiles de comportamiento. ¿de acuerdo? [pausa, como esperando pregunta o confirmación]. O sea los perfiles de comportamiento esta bastante claro lo que significa, como se comporta eh.. el consumidor, los perfiles socio-demográficos hacen referencia a edad, nivel de ingresos, eh...lugar de residencia, nivel de estudios,etc.. y ,lo perfiles psico-gráficos...¿sabeis lo que son?[pausa] [INTERVENCIONESTUDIANTE] personalidad [PROFESOR] personalidad [INTERVENCIONESTUDINATES] gustos, preferencias [PROFESOR] gustos, preferencias, estilos de vida, ¿sabeis lo que son los estilos de vida? Bien pues los estilos de vida dan lugar a los perfiles psico-gráficos. bien... a partir de ese conocimiento del consumidor podemos empezar a decidir cuales son los servicios y los productos que pide, hemos de saber cuales son los productos y los servicios que esta solicitando el...consumidor (repetición, parafrasear) con esta información podemos pasar a segmentar a los consumidores y evaluar el valor cada segmento.

segmentar quiere decir hacer grupos, quiere decir contabilizar [P. HACE REFERENCIA A LA TRASNPARENCIA] y por lo tanto en tanto en cuanto podamos acotar la población y numerar los diferentes individuos tenemos que ser capaces de ver cual es el valor potencial a nivel comercial de...[INTERRUPCIÓN, S. ENTRA EN EL AULA] [PROFESOR] hola [INTERVENCIÓN ESTUDIANTE] hola [PROFESOR] cual es el valor potencial de ese segmento para la empresa. En cualquier caso siempre debemos recordar que en última instancia el segmento en internet ¿quién es? el segmento mínimo en internet ¿quién es? [pausa, esperando respuesta] el mínimo.. el segmento mas reducido [INTERVENCIONESTUDIANTE] ah el usuario [PROFESOR] el usuario, cosa que le diferencia recordad del marketing en los canales tradicionales, el marketing en los canales tradicionales no puede ser, no puede ser (repetición, enfatiza) no puede personalizarse, en internet sí, por lo tanto, cuando hablamos de segmentar consumidores en internet y conocer el valor de cada segmento, quiere decir conocer a cada individuo y conocer el valor de cada individuo... en cualquier caso hay que recordar que [pausa] en el marketing relacional lo más importante es siempre la experiencia de la compra, lo que se conoce como el momento de la verdad, el momento en el que se esta priorizando la transacción , en el que existe esa relación entre la empresa y el consumidor, por tanto además de todos los análisis anteriores que con sus particularidades son los mismos que se realizarían en el marketing tradicional hay que tener especial cuidado con la experiencia de compra del consumidor. [P. HACE REFERENCIA A LA TRASNPARENCIA]¿cual sería el proceso a seguir para desarrollar una estrategia de marketing relacional? (tono descendente) utilizando para ello internet. Bien en primer lugar deberíamos recoger información, habíamos dicho antes que los elementos básicos eran conocer al consumidor, los productos y servicios que pide, por lo tanto en este caso será recoger y guardar información... [P. HACE REFERENCIA A LA

TRANSPARENCIA]¿qué tipo de información recogeríamos?(tono descendente) en primer lugar recogeríamos información voluntaria mediante los registros, sabéis que como hemos comentado que para acceder a una web o para tener información específica de la web se puede pedir al usuario que nos de algunos datos, que se registre, ¿de acuerdo? Por lo tanto datos que se pueden conseguir de forma voluntaria... o le podemos pedir sencillamente que nos de sus datos, que se registre, sin que eso nos lleve a ninguna contrapartida porque el lo desea... debemos seguir también la evolución de su comportamiento y visitas a la web, ¿Cómo? [pausa, esperando respuesta] [INTERVENCIONESTUDIANTE] los cookies [PROFESOR] con los cookies, con los cookies que se instalan en el programa, eh, se instalan en el ordenador del visitante a la web y nos dice por dónde va pasando ese ese internauta. Podemos recoger información sobre el histórico del comportamiento de compra, ¿Qué es eso del histórico del comportamiento de compra? (tono descendente) pues...son los productos que ha comprado, cantidades de producto que ha comprado, las compras que ha realizado, etc... el histórico de la cartera de productos de compra, el histórico de la cartera de productos de compra (repetición, enfatiza) lo que nos da es una visión de los gustos, de las preferencias, es decir, por un lado recogemos las compras de diferentes productos y por otro lado como se agrupan, cuales son sus preferencias, cuales son sus gustos.. y tenemos que recoger también información sobre posibles incidencias que se estén dando en las transacciones de nuestra empresa con ese usuario... incidencias ¿de que tipo? (tono descendente) pues incidencias que pueden darse en la entrega del producto, en el lugar dónde se entrega el producto, en eh... en aspectos como retrasos... temas relacionados con las transacciones bancarias, seguridad, número de cuentas, etc. Recogida esa información pasamos a la micro-segmentación [eleva el tono], recordamos de nuevo que en internet el segmento último es el consumidor, cada consumidor es un segmento, por lo tanto

hablamos ya no de segmentación sino de micro-segmentación, y como habíamos comentado tenemos que definir el valor de cada uno de los clientes y diseñar estrategias de comunicación para cada uno de ellos [pausa] el tercer paso para crear una estrategia de marketing relacional sería gestionar el contenido de esa comunicación [pausa] [P. HACE REFERENCIA A LA TRANSPARENCIA] en definitiva lo que debemos tener en cuenta ahora de gestionar el contenido de esa comunicación es que debemos intentar adaptar la comunicación con el individuo en tiempo real, tenemos un [P. HACE REFERENCIA A LA TRANSPARENCIA] soporte, un sistema dinámico que permite la interactividad, que permite la modificación de contenidos de forma rápida y en tiempo real y de lo que se trata ahora es de gestionar ese contenido de la comunicación, es de aprovecharlo en ese sentido y de tenerlo en todo momento actualizado... la cuarta fase consiste en la retroalimentación del proceso por parte del consumidor ¿qué vamos a hacer para recoger información de el consumidor? (tono descendente) en esta fase de la estrategia de marketing relacional debemos facilitar algún tipo de proceso de respuesta, ¿de qué tipo? (tono descendente) pues mediante acceso inmediato, o bien, rellenando algún formulario con algún espacio sobre sugerencias o valoraciones que es desde su pagina web directamente remitido a nuestro correo electrónico, o bien estableciendo algún tipo de conexión, algún tipo de link que le permita acceder a nuestro correo , facilitarles nuestro correo para que nos envíe un mensaje de correo electrónico, que el acceso en definitiva sea inmediato desde la **maderación** hasta nuestro correo, además deberíamos intentar implicar nuestra presencia en la red con nuestro proceso logístico y de adaptación al cliente, es decir relacionar el soporte técnico de comunicación [el profesor ralentiza el discurso] con el usuario con el soporte técnico que nos permite funcionar dentro de la empresa que genera o que... que gestiona al menos lo que es la logística... de esta forma lo que conseguiremos es un conocimiento eh... exacto

del estado en el que se encuentran los pedidos del cliente y el cliente podrá tener un conocimiento exacto de dónde se encuentra su pedido ¿de acuerdo?, es decir, si relacionamos nuestro sistema de logística con las posibles consultas de el consumidor con la navegación por la parte de la web del consumidor, el consumidor podrá consultar en todo momento dónde está su pedido mediante un código buscar su producto, al estar relacionado nuestro sistema de logística que puede identificar el pedido y sabe dónde está con la consulta de el consumidor conseguir en tiempo real, puede saber si ese pedido está todavía en el almacén, si está en la agencia de transportes, si está en el almacén de la agencia de transporte ya en su localidad, puede incluso aportarse información sobre cuantos días falta para que llegue el pedido a casa del cliente, ¿de acuerdo? ¿con ello que conseguimos? (tono descendente) conseguimos dos cosas fundamentales del correo cuando se quiere cerrar el proceso por internet, uno de ellos será la confianza, donar una imagen al consumidor de que puede confiar en nosotros, darle información en todo momento de qué está pasando con su transacción genera confianza en el consumidor y además de... confianza genera lealtad, en estas circunstancias los consumidores serán más propensos a comprar a las páginas web dónde encuentre esta información que no en aquellas que una vez hecha la transacción no saben que pasa con el pedido. Bien eso respecto al... marketing directo [pausa] otras actividades que se pueden desarrollar de comunicación que se pueden desarrollar en la en la red son las relaciones públicas, muchas de esas actividades conceptualmente debéis conocerlas por la carrera que estudias, por lo tanto pasaremos de eh... definir las eh... de repetir la definición de las mismas, conceptualmente pasaremos a ver directamente de qué forma se pueden utilizar en internet. la primera de ellas es la *publicity* ¿Cómo definirías la *publicity*? [pausa, esperando respuesta] [INTERVENCIONESTUDIANTE](MALE) publicidad gratuita [PROFESOR] publicidad gratuita, ¿todos le llamaríais publicidad

gratuita? [pausa, esperando respuesta]
[INTERVENCIONESTUDIANTES] de los medios (varias voces)
[PROFESOR] ¿eh? [INTERVENCIONESTUDIANTE] notoriedad
[PROFESOR] *publicity* es notoriedad...[INTERVENCIONESTUDIANTE] por parte de los medios, hombre se podría definir como... por ejemplo ahora ha sacado Madonna un disco y gratuitamente por lo polémico que es pues tiene publicidad gratuita [PROFESOR] aha (asiente) muy bien eso es *publicity* de alguna forma sí. publicidad en los medios de forma gratuita ¿no? Eh... si tuvieseis que darme una palabra, una única palabra ¿Cómo lo llamaríais? ¿Cómo se diría eso?
[INTERVENCIÓN ESTUDIANTE] chollo [PROFESOR] chollo je, je (ríe)[INTERVENCIÓN ESTUDIANTES] (ríen)
[INTERVENCIONESTUDIANTE] (dice algo en inglés) [PROFESOR] nada, nada, en español, propaganda, la *publicity* es el equivalente a la propaganda [INTERVENCIÓN ESTUDIANTE] no , la propaganda tiene que ver con la publicidad política, o sea la propaganda intenta cambiar una ideología o una forma de pensar [PROFESOR] ¿Cómo, como? [INTERVENCIÓN ESTUDIANTE] la propaganda es cuando se intenta vender una ideología o una forma de pensar [PROFESOR] ¿estáis todos de acuerdo? [INTERVENCIÓN ESTUDIANTES] sí [PROFESOR] ¿sí? me da la sensación que el termino ha...ha... de propaganda ha adquirido esa acepción en su origen la propaganda no se hacía únicamente referencia a una idea política eh... eh... el dar a conocer algo, también es cierto que durante mucho tiempo la publicidad y la propaganda han sido sinónimos, independientemente de que fuese pagada o no pagada propaganda y publicidad querían decir lo mismo, en muchos manuales de marketing de marketing tradicional sobretodo si acudis encontrareis que la traducción de *publicity* en ingles la hacen a propaganda directamente ¿de acuerdo? Bien, en cualquier caso [pausa] ¿qué actividades de *publicity* se pueden hacer desde el punto de vista de la red?(tono descendente) bien una de ellas son

las notas de prensa, las tradicionales notas de prensa pero en este caso digitales, en este caso se trataría pues de elaborar una noticia comercial para ser incluida en la página web... ¿qué aspectos deberíamos tener en cuenta a la hora de preparar una nota de prensa para ser colgada de una web? (tono descendente) el primero de ellos es el diseño, igual que el diseño de las páginas el diseño de la nota de prensa debe ser atractivo, y debe incorporar información completa y toda aquella información necesaria debe aparecer en la nota, [el profesor ralentiza el discurso] [P. HACE REFERENCIA A LA TRANSPARENCIA] debería ocupar toda la pantalla y lo que es importante es sin salir de los márgenes, [pausa] [P. HACE REFERENCIA A LA TRANSPARENCIA] a ser posible las barras de desplazamiento no deberían necesitarse para leer la nota de prensa. Recordar que hemos comentado en más de una ocasión que internet es un lugar para buscar información, mucha información y de forma rápida si no conseguimos en las primeras líneas, en aquello que aparece en la pantalla llamar la atención del visitante, el visitante no recurrirá a las barras espaciadoras para buscar dónde está la parte interesante interesante, irá al botón de atrás y se irá a buscar otro antes picará en atrás que en la barra, si no está allí delante no buscará dónde puede estar lo interesante ¿de acuerdo? en cualquier caso si necesitásemos más del espacio necesario en la pantalla, más espacio para dar más información deberíamos tener en cuenta que la información que sea menos relevante debería ir al final del texto, de forma que aunque quedase por debajo de lo que se ve, al menos la parte más relevante de la información ya hubiese sido consultada. ¿qué son los advertorials? [pausa, esperando respuesta] [INTERVENCIONESTUDIANTE] *banners* [PROFESOR] ¿eh? [INTERVENCIONESTUDIANTE] son como *banners* ¿no? [PROFESOR] ¿Cómo? como vallas [INTERVENCIONESTUDIANTE] como vallas no como *banners* [PROFESOR] ¿*banners*? ... los advertorials es la publi-información, el publibreportaje serían los advertorials, es decir, elaborar información que pueda tener un cierto

carácter publicitario, por supuesto, comercial pero en forma de documental o información que se aporta [pausa] y otra actividad de *publicity* serían las conferencias de prensa en línea, conferencias de prensa on-line [pausa] **es a dir**, se deberían generar o se podrían generar video-conferencias, podemos utilizar internet para mantener video-conferencias de prensa, en este caso hay que tener en cuenta que... las internet es una oferta, es un escaparate para todo el mundo, sin embargo cuando realizamos conferencias de prensa, no las realizamos para todo el mundo, las realizamos para profesionales, las realizamos para los medios ¿no? por lo tanto debemos de llevar cuidado de evitar mezclar a los profesionales con el público en general ¿qué hacer en estos casos? (tono descendente) cuando nos propongamos realizar hacer una video conferencia lo que haremos será utilizar códigos de acceso que sólo tendrán los profesionales para que sean ellos los únicos que puedan acudir a esa video-conferencia [INTERVENCIONESTUDIANTE] pero eso en tiempo real [PROFESOR] en tiempo real video-conferencia en tiempo real lo que se trata es de eh... o sea... traspasar la presencialidad pero en lugar de haber de montar una... [INTERVENCIONESTUDIANTE] (interrumpe) la tarea es para facilitar [PROFESOR] exactamente, no tienen porque desplazarse tú no tienes porque desplazarte, no tienes porque contratar un hotel o lo que sea, sino que sencillamente se hace virtual, tu montas una video-conferencia ala otra parte hay eh... periodistas que pueden consultar, bien chateando o bien si la montas con si ellos disponen de micro cámaras y tal pues podría haber interacción ¿vale? bien otro tipo de actividad de relaciones públicas son las visitas virtuales. Se trata aquí por lo tanto de realizar una visita a la fábrica o a... a la empresa, hacer un recorrido de forma virtual, por lo tanto ese recorrido se debe diseñar, hay que diseñar un itinerario, hay que diseñar, hay que guiar eh... al visitante sobre los lugares por los que debe pasar o que debe visitar, que debe ver. para ello lo que utilizamos son los enlaces, debemos marcarle los enlaces para que

vaya pasando de una página a otra a lo largo del *site*, visitando aquellos lugares que nos interesa que vea, sin embargo una de las características de internet y aquello que buscan los internautas en internet es la libertad de acción, el poder moverse por dónde quieran. Por lo tanto aunque tengamos que especificar algún tipo de itinerario, debemos siempre ofrecer rutas alternativas que el usuario pueda ir modificando su itinerario, es decir, el primer diseño del itinerario sería un poco aquello de los viajes programados ¿no? que te lleva el guía ahora vamos a ver esto y después vamos a ver lo otro, pues bien, esto sería diseñar un itinerario. lo lógico, lo que piensa el profesional lo que se piensa desde la empresa y se desea es que el turista , en este caso el visitante a la página web, siga ese itinerario tal y como lo especifican, pero también es cierto que hay otros viajeros que prefieren eh... la aventura o el hecho de diseñarse su propio viaje y no seguir esa ruta tal y como esta especificada y prefieren visitar los lugares a su libre albedrío, especialmente en internet hay gente que le interesa mucho más navegar por un *site* tal y como a ellos le apetezca y no necesariamente tal y como les dice el diseñador de la web, entonces a eso se refieren las rutas alternativas. algo que se agradece mucho que da una idea de transparencia y que genera confianza es que el visitante a la página web pueda ver físicamente y en tiempo real qué esta pasando en nuestra empresa, por eso, en aquellos casos que sea posible es **recomanable** utilizar *webcams*, *webcams* que digan algo de la empresa, en cualquier caso cada una de las paginas, tanto las de los itinerarios que sugerimos como las rutas alternativas como las *webcams* han de ser atractivas, es decir, no pondremos seguramente una *webcam* que este recogiendo lo que hace la persona que está en recepción porque va a ser bastante aburrido, sin embargo si somos una empresa de fabricación de producción a lo mejor hay ciertas zonas que si que tienen resultados espectaculares o interesantes o por ejemplo algunas pruebas en concreto o algo que pueda pasar en un laboratorio no se cada

empresa sabrá encontrar en que lugar una *webcam* puede ser muy interesante o aportar información. otras actividades de relaciones públicas que se pueden desarrollar utilizando la red es la rumorología [P. HACE REFERENCIA A LA TRANSPARENCIA] con estas técnicas como veremos ahora después hay que tener cuidado, con la rumorología hay que tener cuidado [pausa] una forma de hacerlo son los foros de discusión. como sabéis los foros de discusión son foros a los que se accede de forma anónima, normalmente trata sobre algún tema en concreto y te permiten es que cada uno de los individuos aporte su información o que realice preguntas que otros le contestan. bien como expertos en comunicación sabéis que es posible difundir noticias en estos foros aunque hay que ir con cuidado con la etiqueta de internet, en los foros no es bien recibido que haya publicidad, que haya *publicity* encubierta, o sea, que se hable de marcas... o que descaradamente se este utilizando el foro para dar a conocer algo, sin embargo hay formas de hacerlo, también podemos utilizar para ello el correo electrónico... difundir rumores utilizando el correo electrónico ¿de acuerdo? ahora bien hay que ir con cuidado con la rumorología como decía porque tiene diversas limitaciones y peligros, la primera es que es muy difícil de controlar. Un rumor se nos puede... se nos puede girar en contra, una vez que se lanza el rumor en internet, el rumor tiene vida propia y eh... claro dentro del foro las opiniones se mueven en un sentido se mueven en otro y tal vez el efecto que **volíamos** conseguir...que quería conseguir puede dar la vuelta. además hay otro aspecto que tener en cuenta que es la globalización interna, ese rumor que queremos difundir puede ser entendido de formas diversas en función de las diversas culturas que pueden acceder a internet, con lo cual podría tergiversarse el sentido de lo que queremos transmitir [P. CAMBIA LA DIAPOSITIVA] otra posible actividad de relaciones públicas es la organización de acontecimientos virtuales, mediante internet podemos organizar jornadas virtuales, conferencias, ferias, exposiciones, incluso

seminarios y sobretodo algo que está muy difundido ya en internet son los cursos ¿no? cursos de formación virtual. otras actividades son los sorteos y los premios, los sorteos tienen dos grandes ventajas, los sorteos tienen, en primer lugar llaman la atención, bien esto esta un poco relacionado con el premio, o sea, llamarán más la atención cuanto más grande sea el premio o cuanto más ingeniosa sea la dinámica del sorteo. Pero en cualquier caso tienen siempre la ventaja de ser un atractivo, de llamar la atención y por otro lado para participar en un sorteo es necesario aportar los datos por lo tanto los sorteos permiten conseguir bases de datos de clientes potenciales y además bases de datos depuradas, bases de datos creíbles y fiables, ¿por qué? (tono descendente) porque estos datos que vamos a recoger van a servir pues eh... para eh... poderle hacer llegar el premio al individuo en caso de que haya sido premiado en el sorteo. Por lo tanto el participante del sorteo como que esta interesado en participar y conseguir el premio los datos que aporta son reales. en cuanto a los premios, debemos tener en cuenta que los premios deben convertirse en noticia, si lo premios son importantes, son interesantes pueden convertirse en noticia mediante los medios de comunicación tradicionales [pausa] los premios, sobre todo cuando son muy suculentos provocan un efecto boca-oído, van pasando de una persona a otra persona [pausa] si nos salimos de internet hay un premio que eh... del cual se habla mucho y genera mucho boca-oído que es el de Nescafé, el de... el del...[INTERVENCIÓN ESTUDIANTE] el sueldo para toda la vida [PROFESOR] el del sueldo para toda la vida, se trata de un premio tan jugoso que genera conversación y además si podemos asociar el premio a ideas altruistas, en muchos casos si el premio no consiste en que a usted le vamos a dar esto sino en que vamos a conseguir tal cantidad de alimentos para enviarlos no sé dónde, normalmente se generan beneficios para la empresa en términos de imagen de hecho creo que eh... Fortuna tenía una campaña supongo destinada a limpiar la mala imagen del tabaco con el 0,7 ¿no?, que aportaba

parte de sus ingresos a ONGs o algo así. bien si tenemos en cuenta por lo tanto que los premios pueden convertirse en noticia que provoca el boca-oído, que la noticia pase de unos a otros y que pueda generar imagen los premios que en principio sólo son gastos, sólo es un coste, puede considerarse como como una inversión a medio y largo plazo. Otras de las actividades de relaciones públicas factibles de desarrollar en internet es el patrocinio, el patrocinio en internet lo definen Carlos y Reinares como la integración de un mensaje en un *site* o sección dentro de una pagina web con la posibilidad de ejercer interacción real entre la audiencia y el mensaje. tenemos tres tipos de patrocinio, tres formas de ejercer ese patrocinio en la red. uno de ellas es el patrocinio propiamente dicho, se hace constar en una página web que lo usuarios pueden navegar por esa página gracias a que alguien la esta patrocinando, a que esos señores, unos señores determinados patrocinan la página [pausa] el patrocinador propiamente dicho implica sólo eso, en cualquier caso se pide, pero, eh... no se condiciona a la navegación sino que se solicita al navegante para colaborar en la persona que tiene la página web que haga un clic sobre un *banner* para hacerle constar al patrocinador que ha pasado por allí, pero si el navegante, si el internauta, no decide hacer clic en el banner no es eh... no se le impide por ello la navegación por la página web. otro tipo de ... de patrocinio es el *branding*, en el caso del *branding* el anunciante aporta contenidos, no sólo patrocina pagando o permitiendo la navegación sino que aporta contenidos a un website...temático, sobre un tema determinado normalmemnte relacionado por supuesto en el producto que se comercializa, a cambio de patrocinar la sección y poner *banners* en otras secciones de la web, en el caso del *branding* el patrocinador patrocina, permite la existencia de la web pero además aporta contenidos, parte de las secciones son secciones tuyas y después en las distintas páginas de la web coloca *banners* de publicidad, o sea medinate la cual se puede acudir a su página web. el tercer tipo de patrocinio es el *partening*, el *partening*

consiste en intercambiar links o *banners* o anuncios entre diferentes...diferentes webs. se trata por lo tanto digamos de un acuerdo de cooperación entre diferentes *sites* en el cual unos se intercambian con otros tu me pones a mi un link, o sea, yo coloco un link que lleva a tu página, tu colocas otro link a otro enlace que lleve a mi página [P. CAMBIA LA DIAPOSITIVA] otra de las actividades de relaciones públicas son los programas de afiliación el programa de afiliación consiste en que un website llega a un acuerdo con otro por el cual le enviaría **visites** a cambio de dinero, ¿de acuerdo?... visitas a cambio de dinero. existen tres tipos de... programas de afiliación o de forma de realizar esa contraprestación dinero por visitas... el *click through*, el *lead through* y el *sell through*. El **pagament**, el pago perdón por *click through* consiste en que el afiliado recibe una comisión o una cantidad de dinero por cada vez que se hace clic sobre el *banner* o sobre el enlace, sólo por hacer clic en el enlace, por eso ya recibe el dinero, ¿de acuerdo? (tono descendente) por lo tanto ¿en qué casos es interesante utilizar un programa de afiliación basado en el *click through*? (tono descendente) pues lo utilizaremos cuando estamos lanzando productos y queremos se conozca el producto, se lanza de forma rápida, cuando estemos intentando crear marca o cuando queremos hacer crecer la red de distribución y todo ello cuando se trate de productos de gran consumo, o sea el programa de afiliación por *click through* será interesante para las personas que se afilian al programa cuando se den estas circunstancias. El segundo **tipus** tipo de pago es el *lead through*, en este caso el afiliado recibe una comisión por las referencias cualificadas de clientes potenciales, por la información que nos ofrece de potenciales clientes, ¿cuando utilizaremos este tipo de...de programa de afiliación? (tono descendente) pues si lo que queremos es información pues cuando queremos información sobre eh... clientes potenciales, o sea, conseguir rellenar bases de datos de posibles clientes a los cuales hacerles ofertas...y también para desarrollar redes de distribución,

para conseguir distribuidores [pausa] **el que** estamos haciendo con este segundo programa de afiliación de alguna forma es comprar, pagar la información que tienen otros miembros. El tercer tipo de programa es el *sell through* y en este caso la comisión que recibe el afiliado es por compras realizadas por los clientes, es decir, en este caso, el afiliado cobrará sólo [el profesor ralentiza el discurso] cuando alguien de sus clientes compre nuestro producto, por lo tanto ¿cuando es útil este tipo de programa de afiliación? (tono descendente) cuando el valor de la marca que estamos promocionando, que vendemos es relevante o cuando nuestra cartera de productos-servicios tiene un alto atractivo, es muy atractiva. lógicamente si no tenemos un alto atractivo de productos y queremos una marca relevante, lo difícil en este caso será conseguir miembros que se afilien al programa porque si sólo van a cobrar por las ventas realizadas deben asegurarse al menos de que el *banner* que introduzcan sean *banners* de productos de prestigio o muy conocidos. bien, ¿como crear un programa de afiliación? (tono descendente)... el primer paso es definir muy claramente el programa, diseñar el programa y definir muy claramente en que consiste, para ello lo que haremos es en primer lugar definir, analizar el público objetivo al que va destinado el programa, analizar el público objetivo de ese programa. [P. HACE REFERENCIA A LA TRASNPARENCIA] en segundo lugar definir... los productos y servicios que va a contemplar, que va a incluir el programa. [P. HACE REFERENCIA A LA TRASNPARENCIA] en tercer lugar seleccionaremos una estrategia comercial y finalmente realizaremos un análisis competitivo del mercado, un análisis que contemple la participación de la competencia y del mercado...después de esta definición de programa pasaremos a definir [P. HACE REFERENCIA A LA TRASNPARENCIA] a definir cual es la infraestructura necesaria para poder desarrollar el programa, ello quiere decir que incrementaremos la plataforma tecnológica, analizaremos cuáles son las necesidades tecnológicas de ese programa y recordad la

integraremos en los sistemas y procesos de la compañía... en los sistemas de logística , en los sistemas de información interna, facturación , etc... estarán coordinados [P. HACE REFERENCIA A LA TRANSPARENCIA]en tercer lugar crearemos la red de afiliados, para crear la red de afiliados lo primero que tendremos que hacer es promocionar el programa, dar a conocer el programa [P. HACE REFERENCIA A LA TRANSPARENCIA] ese dar a conocer el programa debería provocar una corriente de entrada de posibles candidatos que quieran participar en el programa y por lo tanto la segunda fase sería seleccionar a los candidatos. en tercer lugar negociaremos con los candidatos las condiciones del programa, es decir, aquí es dónde vamos a decidir y a convencerles de que adopten un pago por *click through*, *lead through* o *sell through*, el que hayamos decidido previamente cuando hemos diseñado el programa en en esta fase de negociación es cuando debe aceptar eh... la participación que hayamos pensado o si hemos hecho un programa lo suficientemente flexible para que tenga las tres partes negociar con él cual es la que va a adoptar, es decir, puede que creemos un programa de afiliación que contempla que algunos sólo tengan *click through*, otros *lead through* y otros *sell through*. finalmente ya la negociación incorporados al programa es cuando pondremos en marcha el programa. [P. HACE REFERENCIA A LA TRANSPARENCIA] el último paso, la última actividad relacionada con el programa de afiliación es como se gestiona el programa... para gestionar el programa tendremos que ir de una forma recurrente evaluando a los afiliados, ver cual es el funcionamiento, cual es el rendimiento que nos están dando los afiliados, cada uno de los afiliados al programa [pausa] analizaremos y desarrollaremos actividades de fidelización de los afiliados o con los clientes más **rendibles** rentables, es decir, conocidos cuales son los afiliados que nos resultan más rentables intentaremos desarrollar programas para generar su fidelización, que sigan en el programa [pausa] el análisis de fidelidad de... de los afiliados nos dará también información sobre

cuales son los que están muy por debajo de los objetivos prefijados y por lo tanto en esta última fase de gestión del programa desarrollaremos o pensaremos actividades de formación para afiliados que estén por debajo de esos objetivos [pausa] ¿alguna pregunta? (tono ascendente) [pausa] bueno pues seguiremos entonces el miércoles y seguiremos viendo algunas actividades más de relaciones públicas en internet.

LE6

CAMPO: Ciencias Sociales.ADEM

ASIGNATURA: Introducció a la Economia

Nº ESTUDIANTES: 49 (m:30/f:19)

Fecha: 16/11/2004

Duración: 62 m.

Nº Palabras: 6.874

[INTERVENCIÓN ESTUDIANTE] (alumno/alumna, responde)

[P. ESCRIBE EN LA PIZARRA]

[P. BORRA LA PIZARRA]

[pausa]: cuando es larga

...: pausa corta, titubeos

[pausa esperando pregunta o confirmación]

[pausa, esperando respuesta]

[ralentiza el discurso]

[repetición, parafrasear]

[tono descendente]: tras una interrogación el profesor expresa carencia de búsqueda de respuesta, es el profesor quien la da

[eleva el tono]

[baja el tono]

[murmullo]

<incomprensible>

Bien, buenos días [murmullos]. ¿Me atendéis ya, por favor? Esta probablemente va ha ser la última clase de de del semestre de la asignatura en cuanto a teoría se refiere, creo que práctica vais a seguir teniendo eh... una clase o dos más eh... después de... de Navidad creo que se va a alargar eh... algo más, y... voy a intentar eh... resumir o sintetizar lo que es este tema eh... dado que es un tema introductorio [E. CIERRA LA PUERTA DE GOLPE], un tema introductorio [repetición] a lo vais a ver en economía mundial el año

que viene en segundo en el primer semestre, y que tiene que ver con el comercio exterior y con los tipos de cambio, entonces eh... vamos a ver algunas de... de las características de... de la teoría del comercio, y algunos de los instrumentos que se utilizan ¿de acuerdo? [pausa] Bien, pues eh... os voy a poner aquí un índice de del plan que vamos a llevar a cabo para toda esta clase, que si me alargo un poco más de la cuenta eh... me disculpáis pero eh... en cualquier caso después eh... después Navidad ya no tendríais esta clase si no pues eh... tendremos que volver después de... de Navidad igualmente ¿vale? Bien, el tema es el ocho que se denomina comercio exterior y tipos de cambio [P. ESCRIBE EN LA PIZARRA]. El primero de los puntos va a hacer referencia a lo que se denominan ventajas [eleva el tono] [P. ESCRIBE EN LA PIZARRA] del comercio internacional [P. ESCRIBE EN LA PIZARRA]. Vamos a ver aquí las distintas teorías [eleva el tono] que existen para que los países eh come comercien, que una es la ventaja absoluta y otra es la ventaja relativa, es decir los países pueden empezar a comerciar desde dependiendo de que tipo de ventaja eh... dispongan. Luego el segundo de los apartados es lo que se denomina eh tipo de cambio [P. ESCRIBE EN LA PIZARRA]. Es decir la relación de valor que hay entre dos monedas [eleva el tono] de dos países, [P. ESCRIBE EN LA PIZARRA] demanda de euros, oferta de euros [P. ESCRIBE EN LA PIZARRA] y el mercado de euros [P. ESCRIBE EN LA PIZARRA], se va estar dentro del mismo apartado, ver como se determina el tipo de cambio dentro del mercado de divisas, dentro del mercado de euros, y por último veremos eh... lo que es la balanza de pagos [P. ESCRIBE EN LA PIZARRA], como documento contable en el que se recogen tanto las transacciones eh financieras como comerciales en... las relaciones que tiene el país con con el exterior ¿vale? Bien, pues empezamos por el primero de... de los puntos [P. ESCRIBE EN LA PIZARRA] que habla sobre las ventajas del comercio internacional. En primer lugar hay que saber porque eh dos países comienzan un tipo de

relación comercial. La lógica [eleva el tono] que hay detrás de del comercio es que eh... dos países se pueden beneficiar siempre que haya comercio. Si no se beneficiaran no habría eh lugar a al comercio no no tendría ningún tipo de eh... ningún sentido el que dos países pudieran comerciar si no se obtienen ganancias [eleva el tono] derivadas de él, entonces ¿cuándo un país eh... está dispuesto a poder comerciar?, ¿cuándo cree que puede comerciar? [repetición, parafrasear] [tono descendente] [pausa] Bien, una de las teorías que no dice que un país comercia [P. ESCRIBE EN LA PIZARRA], se basa en la teoría de la ventaja absoluta [P. ESCRIBE EN LA PIZARRA]. Esta teoría nos dice que dos países eh... van a poder comerciar si disponen de una ventaja en la producción de un bien, es decir si son capaces de producir más con los mismos recursos [repetición, parafrasea] ¿de acuerdo? Entonces es una teoría que se basa en la cantidad de [P. ESCRIBE EN LA PIZARRA] producción o en la productividad como queráis [P. ESCRIBE EN LA PIZARRA]. Aquel país que de un producto sea capaz de producir más, tener una mayor productividad con los mismos recursos [repetición, parafrasea], pues ese país tendrá una ventaja absoluta en ese tipo de bien ¿vale? Ahora veremos un ejemplo de lo que digo. Vamos a suponer que tenemos eh... dos países, el A y el B [pausa], y que cada uno de estos dos eh fabrican [P. ESCRIBE EN LA PIZARRA] dos bienes x e y, países A y B y bienes x e y, el número de unidades se... por hora digamos en el caso del país A es de dos unidades de x y cuatro unidades de y son lo que produce por hora, la producción [repetición, parafrasea], la productividad del país [repetición, parafrasea]. El país B sin embargo produce tres unidades de x y dos [eleva el tono] unidades de y. ¿A partir de aquí serías capaces de decirme qué país tiene una ventaja absoluta en qué tipo de bien? ¿El país A por ejemplo en qué tipo de bien se especializaría? [repetición, parafrasea] ¿Dónde tiene ventaja absoluta? [repetición, parafrasea] [pausa esperando respuesta] Pues eh... lógicamente en aquel bien que puede producir más [eleva el tono] por hora, que es

el bien y, A produce eh cuatro unidades del bien y en una hora, B produce dos, por tanto el país A tiene una ventaja absoluta en el bien y. Si nos vamos al... país B podemos hacer exactamente lo mismo, podemos observar ¿cuál de los dos bienes comparado con el otro país eh produce más? [tono descendente] Vemos que es el bien x, produce tres unidades por hora mientras que el país A produce únicamente dos [eleva el tono] unidades ¿de acuerdo? Entonces el país A [P. ESCRIBE EN LA PIZARRA], patrón de comercio sería el siguiente, el país A [P. ESCRIBE EN LA PIZARRA] exportaría el bien x, porque es más productivo, produce más [eleva el tono] [repetición, parafrasea], perdón [pausa], [P. ESCRIBE EN LA PIZARRA] el bien y. ¿No se si me estáis siguiendo o os habías dado cuenta y no me habías dicho nada?, ¿estáis al tanto? País A el bien y, país B [P. ESCRIBE EN LA PIZARRA] exportará el bien x [pausa] ¿vale? Este va ser el flujo de comercio país A va a exportar el bien y, el país B va a exportar el bien x, vale. Esta es una de las primeras teorías de las más tradicionales, ahora bien aquí puede existir algún tipo de situación en el que uno de los dos países tenga ventaja absoluta en los dos bienes, esto quiere decir que... no habrá comercio entre ellos, es una pregunta [pausa], la respuesta nos la ha dado otra teoría que tiene que ver con eh la ventaja relativa [eleva el tono], entonces [P. ESCRIBE EN LA PIZARRA] si por ejemplo eh... seguimos con el... con la anterior situación en la que el país A produce dos de x y cuatro de y [P. ESCRIBE EN LA PIZARRA], y el país B produce uno de x [P. ESCRIBE EN LA PIZARRA] y uno de y, fijaos que el país A en este caso tiene ventaja absoluta en la fabricación de los dos bienes, sobre el país B produce más [eleva el tono] [repetición, parafrasea]. Entonces es aquí en donde se preguntan los economistas de... de esa época si realmente los países podían seguir comerciando a pesar de que uno tenga toda la ventaja absoluta en un bien. La respuesta es que sí... y es porque nosotros nos podemos basar en los costes de oportunidad, es decir [P. ESCRIBE EN LA PIZARRA] esta teoría se basa en los costes

eh... de aquello a lo que renunciamos para poder comerciar, costes de oportunidad que ahora vemos [P. ESCRIBE EN LA PIZARRA] como... como se pueden calcular, ¿vale? Mientras que en el primer caso de la ventaja absoluta hacemos referencia a cantidades, quien produce más es el que tiene ventaja y ahí se acaba la historia, en este caso cuando uno de los dos países tiene ventaja absoluta van a seguir comerciando pero entonces nos tenemos que fijar en lo que son los costes de oportunidad ¿Cuál es el país [eleva el tono] que tiene un menor [eleva el tono] coste de oportunidad? Estamos hablando por tanto en base al coste, el coste de renunciar a algo que podríamos comerciar ¿vale? ¿Cómo se calculan estos costes de oportunidad? [tono descendente] Pues eh... simplemente para el bien x y en el país A nosotros tenemos aquí que produce dos unidades por hora o lo que es lo mismo [P. ESCRIBE EN LA PIZARRA], en media hora puede producir una unidad [repetición, parafrasea] ¿vale? El coste se basa en el tiempo [eleva el tono] [P. ESCRIBE EN LA PIZARRA] el coste es tiempo es un supuesto que se hace para esta teoría entonces eh... imaginaos que antes de introducir la parte monetaria [eleva el tono] decimos que el coste es media hora, media hora luego se traduce en... diez euros en veinte euros en lo que sea pero por unidad de producto [eleva el tono] media hora es lo que le cuesta ¿de acuerdo? De una manera simplista [eleva el tono] el pasar producciones a costes simplemente tenéis que hallar la inversa de cada uno de estos, os va a dar que unidades de producto por hora a horas por unidades de producto que es lo que interesa en el coste el coste es el tiempo ¿vale? En el caso del... del y son cuatro unidades de producción por hora, es decir cada cuarto de hora nosotros estamos produciendo una unidad de y [repetición, parafrasea], entonces el coste es un cuarto [P. ESCRIBE EN LA PIZARRA] ¿vale? Ese es el precio de... de y. Con el caso de B pues tenemos que es uno [P. ESCRIBE EN LA PIZARRA] es uno es una hora una unidad, una hora una unidad, tanto para x como para y ¿vale? Bien, a partir de aquí [P. ESCRIBE

EN LA PIZARRA] ¿cuál es el precio de x con respecto a y para el país A? [tono descendente] Sabéis que el precio de x es un medio [P. ESCRIBE EN LA PIZARRA], el precio de y es un cuarto [P. ESCRIBE EN LA PIZARRA], si vosotros eh... lleváis a cabo esta operación el resultado es de dos... Ese es el precio de x en términos de y ¿de acuerdo? Aquí no estamos hablando de unidades monetarias sino estamos hablando de bienes, del intercambio [eleva el tono] de bienes, una economía de trueque ¿vale? Entonces esto quiere decir [P. ESCRIBE EN LA PIZARRA] que hay que intercambiar dos unidades de y para conseguir una de x. La técnica aquí eh... memorística [eleva el tono] si no os acordáis como eh... deducirla [eleva el tono] eh... de una manera lógica [eleva el tono] pues eh tenéis que coger lo que es el denominador, el bien del denominador [repetición, parafrasea] y decir esas son las unidades que hay que renunciar para poder conseguir o intercambiar una unidad de x, se intercambian dos de y por una de x, ese es el precio de x con respecto a y del dos ¿vale? Si hacemos lo mismo [P. ESCRIBE EN LA PIZARRA] con el país B aquí no hay ningún problema pues eh... los costes eh... viene dados por unidades entonces el precio de x con respecto a y es uno. ¿Cuál es la interpretación esta? [tono descendente] Pues que se renuncia o que hay que conseguir intercambiar una unidad de y para eh... obtener una de x ¿vale? El intercambio es una de y por una de x, en este caso son dos de y por una de x, bien. Sobre la base de estos costes de oportunidad ¿qué país tiene una ventaja relativa y en que bien? [pausa esperando respuesta] ¿cuál de los dos países tiene una ventaja relativa y sobre qué bien? [repetición], ¿alguien lo sabe? [pausa esperando respuesta] Vuelvo a decir la teoría de la ventaja relativa que se basa en los costos de oportunidad dice que el país que tiene menor [eleva el tono] coste, coste de oportunidad en este caso, es el país que tiene una ventaja, una ventaja relativa, entonces [pausa] ¿en este caso cuál es el coste menor el del país A o el del país B? [INTERVENCIÓN ESTUDIANTE] (alumno responde) Del

país B ¿y sobre qué producto? [INTERVENCIÓN ESTUDIANTE] (alumno responde) Sobre x, es el precio de x [eleva el tono] [repetición, para frasea], relación hay pero es el precio de x ¿vale? Entonces estamos diciendo que B [eleva el tono], país B [P. ESCRIBE EN LA PIZARRA] va a tener una ventaja relativa en x ¿y el país A? [tono descendente] Simplemente tenéis que darle la vuelta a estos precios [P. ESCRIBE EN LA PIZARRA], ¿cuál es el precio si lo invertís? [tono descendente] Pues si aquí es dos ahora es un medio. ¿Cuál es el precio aquí si lo invertís? [tono descendente] Si antes era uno, [P. ESCRIBE EN LA PIZARRA] sigue siendo lo mismo. ¿Entonces ahora cuál de los dos constes es menor el del país A o el del país B? [pausa esperando respuesta] El del país A es un medio y hace referencia a y, precio de y, precio del bien y es más barato que el del país B, por tanto A [P. ESCRIBE EN LA PIZARRA] tiene una ventaja relativa en el bien y. Entonces el flujo de comercio entre los dos países es este B exporta x y A exporta y, que son los bienes en los que se tiene una mayor eh... ventaja relativa ¿vale? Bien, la siguen la siguiente expresión importante, la segunda idea importante derivada de de estas teorías es el precio al que se va a intercambiar [eleva el tono] este bien que se exporta, uno lo exporta el otro lo importa, uno lo vende y el otro lo compra [repetición, parafrasea] ¿vale? El precio internacional [eleva el tono] al que se van a intercambiar esos... bienes es lo que se denomina relación real de intercambio [P. ESCRIBE EN LA PIZARRA]. Vuelvo a repetir, la relación real de intercambio es el precio internacional, el precio en el mercado internacional [repetición, para frasea] en el que se van a intercambiar esos bienes ¿vale? Este precio internacional o relación real de intercambio tiene que estar siempre entre los dos precios de los países, lo que se denomina precios autárquicos, los precios a los que intercambia dentro del país eh... ese bien, entonces si cogemos por ejemplo el bien x [P. ESCRIBE EN LA PIZARRA] estaríamos hablando de estos precios del bien x con respecto a y, la relación real de intercambio

tiene que estar entre dos y uno, entre uno y dos [repetición] [pausa], siempre si no es así no van a obtener ningún tipo de ganancia, la relación real de intercambio siempre tiene que estar entre los precios autárquicos de los dos países para que los dos puedan obtener ganancias [eleva el tono], por ejemplo una relación real de intercambio, o un precio internacional que este entre uno y dos puede ser [P. ESCRIBE EN LA PIZARRA] uno coma cinco esa sería una relación real de intercambio [pausa]. Bien el país B [eleva el tono] que es el que exporta x fijaos que si lo vendía lo podía vender por uno el coste vamos a suponer que precio y coste es exactamente lo mismo aquí no hay otros eh... tipos de margen de beneficio, coste y precio lo mismo. Se vende por uno en el mercado nacional si lo vende en el mercado internacional lo puede vender a uno coma cinco con lo cual obtiene una ganancia [P. ESCRIBE EN LA PIZARRA] de cero coma cinco unidades por cada bien de x que exporte ¿vale?, ¿y qué es lo que pasa con esta parte de aquí?, ¿por qué el otro país el país A se beneficia de importar o de comprar el bien x? [tono descendente] Se beneficia porque dentro [eleva el tono] de su mercado lo estaba comprando a dos [eleva el tono] x, ahora lo puede comprar a uno y medio, lo puede comprar más barato, entonces [P. ESCRIBE EN LA PIZARRA] se ahorra cero coma cinco unidades del bien x en el caso de que... intente comerciar, intente importar del mercado internacional [repetición, parafrasea] a uno coma cinco, entonces uno gana [eleva el tono] un cero coma cinco de exportar, el otro se ahorra un cero coma cinco de importar x ¿vale? Si aquí había que entregar dos unidades de y para conseguir una de x, aquí [eleva el tono] solo hay que entregar uno coma cinco unidades de y para conseguir una x. Esas son las ganancias del comercio, es que a los dos [eleva e tono] países les interesa a uno exportar y al otro importar. Podéis hacer exactamente lo mismo, [P. ESCRIBE EN LA PIZARRA] esto era con el bien de x, con el bien y. Con el bien y tendrías que coger, los precios de y obviamente estarían entre un medio y uno, cualquier cantidad eh... o

precio, relación real de intercambio entre un medio y uno sería la que beneficiaría a los dos países. Esto os lo dejo si queréis eh... para que lo penséis, eh... y lo razonéis según hemos hecho aquí [eleva el tono]. Podéis poner la relación real de intercambio la que queráis, da lo mismo una que otra, [repetición, parafrasea] siempre que esté entre uno y dos, ni que sea uno ni que sea dos porque uno de los dos países no estará interesado y es el mismo precio que tiene en el interior, para ser el mismo precio ya está vendiéndolo en el interior el bien [baja el tono] ¿vale? O comprando depende del caso ¿me seguís? [pausa] Yo sé que puede liar un poco eh... al principio pero si seguís todos los pasos eh... razonándolo lógicamente pues eh no debe haber ningún tipo de de problema, eh... la idea básica de estas teorías es eh bien simple, ventaja absoluta quien produce más, ventaja relativa quien tiene un menor coste ¿cómo se calcula el coste, coste de oportunidad? [tono descendente] Es un coste relativo como habéis visto aquí, relación real de intercambio entre esos dos costes o precios, ¿vale? Bien, la otra cuestión es que si de aquí de la teoría nosotros eh... vemos que que las cosas pues eh... a veces no coinciden con la realidad porque ¿si se obtienen ganancias del comercio por qué hay tantas restricciones al comercio? Siempre hay eh trabas administrativas o burocráticas o eh de otro tipo a la hora de exportar o de importar bienes, eh todo esto surge como consecuencia de de que en todos los países hay sectores de la actividad eh industrial o de la actividad comercial, de la actividad económica en en general que tienen intereses, tienen intereses [repetición] creados y que no les conviene que productos de fuera puedan competir con ellos, entonces cuando estos grupos tienen eh... una fuerza dentro de de lo que es el... el estado, eh... logran imponer trabas [eleva el tono] a la entrada de productos ¿vale? Entonces eh... se obtienen ganancias derivadas del comercio pero siempre hay grupos de intereses que hacen que que no se pueda competir libremente. Básicamente existen dos [eleva el tono] tipos de... de... limitaciones o restricciones al

comercio. Seguimos en lo que es el mismo punto pero que el aspecto de... de restricciones. [P. ESCRIBE EN LA PIZARRA] Los aranceles y lo que se denominan cuotas o contingentes. Simplemente voy a dar la definición de... de cada uno de estos términos porque lo vais a ver ampliamente en... en la siguiente asignatura de... de economía mundial la que se profundiza en el... en el análisis. Un arancel es simplemente un impuesto sobre el bien que se importa, son impuestos sobre el bien que se importa de manera que se eleva [eleva el tono] artificialmente el precio [eleva el tono] extranjero, el precio del bien extranjero [repetición, parafrasea] [pausa]. Entonces cada bien que se importa se le aplica un arancel, es decir se le incrementa artificialmente ese precio para que les resulte más [eleva el tono] difícil el poder competir dentro del país, esa es la idea, que no compita libremente, que tenga algún tipo de traba ¿vale? En el segundo caso la cuota es simplemente una restricción cuantitativa. Se limita la cantidad que se puede importar dentro del país, de manera que no se pueda inundar el mercado de productos de China o de Japón o de del país donde se haga más barato, entonces se dice solo pueden entrar de este producto al país pues eh... diez mil unidades, esas diez mil unidades entran en el país con el precio eh... que tienen y a partir de ahí si hay mayor demanda nacional de ese producto ya tiene que abastecerse con productos nacionales ¿vale? Esa es la diferencia. Un caso actual sobre el precio en este caso sobre la cantidad directamente, que luego pueda tener otras consecuencias, pero en un principio uno sobre precio, otro sobre cantidad ¿vale?, ¿hasta aquí me seguís?, ¿está claro? Bueno pues, pasamos al segundo punto. Tipos de cambio, demanda de euros y oferta de euros. [P. BORRA LA PIZARRA] Fijaos, el hecho de que no exista una única moneda en todo el mundo y que sería lo deseable eh para que todos los precios de los productos fueran más eh... transparentes, para que no hubiese incertidumbre en las variaciones de de las distintas monedas, los valores de estas monedas, siempre que nos

encontremos con dos países que tengan dos monedas distintas hay que establecer una relación entre las dos monedas, ese instrumento que relaciona las dos monedas es el tipo de cambio, [P. ESCRIBE EN LA PIZARRA] entonces el tipo de cambio es simplemente el precio relativo en el valor de dos monedas, relaciona el valor de dos monedas ¿vale? si estamos hablando de dos países dentro de la Unión Europea lógicamente tenemos eh... la misma moneda entonces eh... no estamos hablando de este caso estamos hablando en el caso en el que existan dos monedas distintas, por ejemplo el euro aquí en España y el dólar en Estados Unidos tiene que haber o el euro [eleva el tono] en toda la zona euro, todos los países que pertenecen a la zona euro y el dólar, tiene que haber una relación entre las dos monedas ¿vale? El tipo de cambio generalmente lo definimos como [P. ESCRIBE EN LA PIZARRA] el número de unidades monetarias extranjeras que hay que entregar o hay que intercambiar por conseguir una unidad [ralentiza el discurso] [eleva el tono] monetaria [P. ESCRIBE EN LA PIZARRA] nacional, [P. ESCRIBE EN LA PIZARRA] número de unidades monetarias extranjeras que hay que intercambiar para conseguir una unidad monetaria nacional. Esta definición del tipo de cambio es... por ejemplo [P. ESCRIBE EN LA PIZARRA] la relación de un euro que equivale ¿alguien sabe a cuánto está el euro con respecto al dólar? [pausa esperando respuesta], ¿a alguien le suena más o menos la relación? [repetición, parafrasea] [pausa esperando respuesta] [INTERVENCIÓN ESTUDIANTE] (alumno/a responden) Bueno, uno [P. ESCRIBE EN LA PIZARRA] treinta y cuatro, uno treinta y dos estaba por ahí cerca pero más exacto hoy uno treinta y cuatro, si lo queréis exacto, y si no lo sabéis estoy seguro que como tengáis que viajar a Estados Unidos lo vais a saber impepinablemente porque vais a hacer cálculos mentales cada vez que compréis cualquier producto en... en Estados Unidos saber lo que os cuesta en... en euros. Bien, un euro equivale a uno treinta y cuatro dólares [ralentiza el discurso] [P. ESCRIBE EN LA PIZARRA] o lo que es lo mismo,

este es el tipo de cambio hay que entregar uno coma treinta y cuatro unidades monetarias extranjeras, [P. ESCRIBE EN LA PIZARRA] es decir dólares, para conseguir una unidad monetaria nacional, en este caso es el euro, ¿vale? Vosotros este tipo de cambio siempre lo podéis invertir es decir vosotros [P. ESCRIBE EN LA PIZARRA] podéis decirme que un dólar equivale a uno dividido uno treinta y cuatro que es [P. ESCRIBE EN LA PIZARRA] aproximadamente cero setenta y cinco, el cálculo lo tenía hecho ya de antes no... no ha sido imprevisto [baja el tono]. Un dólar equivale a cero setenta y cinco unidades de de euro es el inverso [eleva el tono] de este tipo de cambio, entonces nosotros denominamos el tipo de cambio así [eleva el tono] [pausa] aunque lo podríamos también denominar al revés, simplemente lo dejamos así porque nos resulta más fácil a la hora de eh... de operar con este tipo de cambio y no al revés. Antes cuando teníamos la peseta en número de unidades por dólar pues [P. ESCRIBE EN LA PIZARRA] nos resultaba más fácil hacer los cálculos decir un dólar equivale a ciento setenta pesetas, pero bueno ahora como es un euro [eleva el tono] el que equivale a algo más de la unidad pues el tipo de cambio lo reflejamos de esta manera [P. ESCRIBE EN LA PIZARRA] ¿de acuerdo? Entonces de acuerdo a esta definición número unidades de moneda extranjera por una unidad [ralentiza el discurso] [eleva el tono] de moneda nacional, cada vez que este tipo de cambio aumente [P. ESCRIBE EN LA PIZARRA] nosotros vamos a hablar de apreciación [eleva el tono] [P. ESCRIBE EN LA PIZARRA] ¿apreciación de qué? [tono descendente] La apreciación del euro con respecto al dólar. Es decir si en lugar de un euro que es uno treinta y cuatro decimos que un euro [P. ESCRIBE EN LA PIZARRA] equivale a uno cincuenta esto ha sido un tipo del incremento del tipo cambio ha sido una apreciación del euro ¿por qué? Porque hay que entregar ahora más dólares para conseguir un euro, o si lo queréis ver del otro lado por un euro ahora nos dan [eleva el tono] uno cincuenta antes nos daban uno treinta y cuatro con lo cual se ha apreciado ¿vale?

Simplemente distinguir entre apreciación [eleva el tono] y revaluación [eleva el tono]. [P. ESCRIBE EN LA PIZARRA] Hay que distinguir entre los dos términos. Operativamente es exactamente lo mismo, lo único que ocurre es que cuando hablamos de una apreciación del tipo de cambio es consecuencia de la oferta y la demanda libre [eleva el tono] en el mercado, es el mercado el que decide o el que determina el tipo de cambio. [P. ESCRIBE EN LA PIZARRA] Esto en el caso de la apreciación es el mercao. Cuando es una decisión del gobierno que dice el tipo de cambio tiene que valer más [eleva el tono] con respecto al dólar, entonces es cuando estamos hablando de una revaluación [P. ESCRIBE EN LA PIZARRA]. Vuelvo a repetir que [eleva el tono] desde el punto de vista operativo es lo mismo [eleva el tono] lo único que la apreciación [eleva el tono] la lleva a cabo el mercado, determina el tipo de cambio el mercado, la revaluación es una decisión del gobierno que toma en un momento dado, que dice cuanto tiene que valer esa moneda ¿vale? Exactamente lo mismo para [eleva el tono] [P. ESCRIBE EN LA PIZARRA] una depreciación [eleva el tono], es cuando el tipo de cambio disminuye [pausa], en este caso [P. ESCRIBE EN LA PIZARRA] se denomina depreciación, depreciación del euro con respecto al dólar o [P. ESCRIBE EN LA PIZARRA] devaluación si es una decisión del gobierno, si el gobierno decide en un momento dado que nuestra moneda, el euro, en este caso el Banco Central Europeo decide que el euro tiene que valer menos [eleva el tono], por decisión del propio gobierno, estamos hablando de una devaluación aunque en definitiva es una bajada del tipo de cambio ¿de acuerdo? Bien [pausa]. De aquí simplemente debéis saber que cuando hablamos, esto es el tipo de cambio nominal y este es el tipo de cambio que habitualmente podéis ver en... los periódicos o en... en la pantalla de eh... en la tele en cualquier tipo de teletexto, eh... las noticias que os pueden dar sobre el tipo de cambio es este que es un tipo de cambio nominal. Lo digo porque a veces [eleva el tono] se da una información estadística sobre el tipo

de cambio real [eleva el tono] es un poco distinto, el tipo de cambio [P. ESCRIBE EN LA PIZARRA] real [eleva el tono] es el tipo de cambio nominal lo único que viene corregido por el cociente de precios en el país n con respecto al extranjero [ralentiza el discurso] [P. ESCRIBE EN LA PIZARRA] ¿vale? Esto es un índice de precios, un índice de precios competitivo en el que se tiene en cuenta no únicamente el tipo de cambio que es la relación entre las dos monedas sino también el... el precio global el índice de precios de los productos que nosotros exportamos con respecto a los productos de en el país eh... extranjero. Es decir que independiente de cual puede ser el tipo de cambio si nuestros precios se aceleran con respecto al exterior pues vamos a perder eh... competitividad ¿vale? Esto es lo que intenta recoger el tipo de cambio real [eleva el tono], tiene en cuenta no solo [eleva el tono] el tipo de cambio nominal sino también la relación de precios en un país y en el otro donde se pretende exportar [baja el tono], entonces eh... también se habla de que un tipo de cambio real se aprecia si sube, se deprecia si baja ¿vale? O sea es lo mismo [eleva el tono] pero corregido por el cociente de precios nacional con respecto a... al extranjero [pausa]. ¿Alguna... duda hasta aquí?, ¿alguna pregunta? [pausa esperando pregunta o confirmación] [P. BORRA LA PIZARRA] Vamos entonces con lo que es la demanda de euros, ¿a qué denominamos demanda de euros? [tono descendente] [P. ESCRIBE EN LA PIZARRA] Se puede aplicar igual a monedas como a bienes como vimos en su... en su momento, cuando hablábamos de la demanda estábamos hablando de... de estar dispuestos a comprar un número de bienes, ahora es estar dispuestos a comprar... un número de euros a cambio [eleva el tono] de otra moneda ¿de acuerdo? La demanda de euros o demandar euros es estar dispuesto a adquirir euros a cambio de de otra moneda [repetición]. Nosotros siempre que compramos una moneda es contra otra moneda [ralentiza el discurso], bien siempre que compramos eh... euros tienen que ser pues eh... vendiendo dólares, o vendiendo

yenes, o vendiendo otra moneda, siempre que vendamos euros desde nuestra perspectiva que es lo más lógico, nosotros eh tenemos euros, vendemos euros a cambio de dólares o de yenes o de... eh... cualquier otro tipo de moneda intercambiable. Bien, hay dos situaciones básicas [eleva el tono] que hacen que demandemos euros, que estemos dispuestos a adquirir más euros, una es cada vez que exportamos, [P. ESCRIBE EN LA PIZARRA] las exportaciones, me da lo mismo que sean de bienes tangibles o de bienes intangibles, cada vez que exportamos nosotros acabamos por adquirir euros ¿vale? Si nosotros exportamos a Estados Unidos y la venta es en... dólares no os preocupéis que los cambiaremos en euros porque solo [eleva el tono] podemos comprar aquí con euros, entonces exportadores europeos van a demandar euros, pero también van a demandar euros los turistas extranjeros [ralentiza el discurso], cuando exportamos el servicio de turismo cada vez que viene un turista de fuera de la... de la Unión Europea tiene que pedir euros tiene que conseguir euros para poder gastar aquí, entonces estamos hablando de exportadores como ta [eleva el tono] como entendemos, exportadores europeos y turistas extranjeros los que van a demandar euros ¿se entiende? [pausa esperando confirmación] Y después todos aquellos [P. ESCRIBE EN LA PIZARRA] que quieran invertir aquellos eh... inversores extranjeros [eleva el tono] que quieran colocar su dinero aquí, son entradas de capital que se denominan, estos también van a demandar euros, si quieren invertir aquí necesitan euros para invertir no pueden hacerlo con otra moneda distinta que la de aquí [baja el tono] ¿vale? Entonces, estas dos situaciones dan lugar a la demanda de euros, ahora si de una manera más concreta nos preguntan de qué va a depender esta demanda de euros, pues en el caso de [P. ESCRIBE EN LA PIZARRA] las exportaciones va a depender por una parte del tipo de cambio real, [P. ESCRIBE EN LA PIZARRA] es decir tipo de cambio nominal, precios extranjeros, precios nacionales, todo estaba combinado en el tipo de cambio real, ¿qué relación tiene con las

exportaciones?, ¿una relación directa o una relación inversa? Es decir, si el tipo de cambio real se aprecia, si nuestras exportaciones se vuelven más caras ¿vamos a exportar más [eleva el tono] o vamos a exportar menos? [repetición, parafrasea] [pausa esperando respuesta] [INTERVENCIÓN ESTUDIANTE] (alumno/a responde) Menos, por tanto es una relación inversa, eso quiere decir, ponemos ahí un signo menos para saber como [eleva el tono] se relaciona con las exportaciones el tipo de cambio real. Cada vez que suba el tipo de cambio es malo [eleva el tono] para nuestras exportaciones, es malo [eleva el tono] para el turismo que viene de fuera porque le cuesta más caro aquí, entonces es una relación inversa, este sube y este baja, o este baja y este sube, y depende también de la renta [P. ESCRIBE EN LA PIZARRA] extranjera [ralentízale discurso], es decir si en Estado Unidos sube la riqueza, sube la renta, suben los ingresos, probablemente nos van a comprar [eleva el tono] más, eso quiere decir que nosotros vamos a exportar más, la relación que va a haber entre exportaciones y renta extranjera va a ser... [pausa esperando respuesta] ¿positiva o negativa? [pausa esperando respuesta] Positiva [P. ESCRIBE EN LA PIZARRA], sube la renta fuera [eleva el tono], son más ricos en Estado Unidos, seguramente que una parte de esa riqueza va dirigida [eleva el tono] a comprarnos productos a nosotros, entonces sube la renta extranjera, suben las exportaciones. Sube la renta extranjera, el turismo [eleva el tono] extranjero va a venir aquí a España si dispone de más rentas, entonces una relación positiva ¿vale? Entradas de capital [P. ESCRIBE EN LA PIZARRA], está en función del diferencial de tipos de interés que le pagan a uno allí en su país y el que pagan aquí [eleva el tono], es decir el tipo de interés por una inversión nacional del país y el tipo de interés [P. ESCRIBE EN LA PIZARRA] en el extranjero. Cuando el tipo de interés aquí es mayor [eleva el tono] que en el extranjero, imaginaos que aquí en Europa por una inversión en bonos, en obligaciones, en... cualquier tipo de valor, eh... pagan un seis por ciento y en Estados Unidos solo dan una

rentabilidad al cuatro por ciento [P. ESCRIBE EN LA PIZARRA], esta diferencia es [P. ESCRIBE EN LA PIZARRA] positiva a favor nuestra, quiere decir que [eleva el tono] va a haber entradas de capital de fuera al país [P. ESCRIBE EN LA PIZARRA], ahí está... el país [P. ESCRIBE EN LA PIZARRA] y eso son entradas de capital, van a invertir en España o en el resto de... de la Unión Europea con los tipos de interés más altos que en el extranjero ¿vale? Bien, esta demanda de euros que depende básicamente de estas variables, que... también tiene una representación gráfica [P. ESCRIBE EN LA PIZARRA]. Igual que la demanda de bienes normales, tiene una pendiente negativa [eleva el tono], antes era el precio el que teníamos aquí de los bienes, ahora el precio [eleva el tono] de la moneda es el tipo de cambio, es la relación [eleva el tono] de precios entre monedas, este es el precio y esta es la cantidad, precio ahora es tipo de cambio, cantidad es... cantidad de euros, entonces a medida que el tipo de cambio baja la demanda de euros es mayor, a medida que el tipo de cambio sube la demanda de euros es menor, actúa exactamente igual que en un mercado de bienes con el precio ¿vale? El desplazamiento de la demanda se dará siempre y cuando [elévale tono] una variable que no esté aquí representada se altere, por ejemplo la renta extranjera, si la renta extranjera se incrementa la demanda de euros se incrementará, si disminuye [P. ESCRIBE EN LA PIZARRA] disminuirá, ese es el desplazamiento ¿vale? [P. ESCRIBE EN LA PIZARRA] Movimiento a lo largo de la demanda es siempre y cuando se altere el tipo de cambio con respecto al euro, cuando sean otras variables que habitualmente mantenemos constantes, como supuesto, entonces desplazarán la... la curva de demanda hacia un lado o hacia otro, ¿me seguís?, ¿se entiende? Es el mismo mecanismo que explicamos para la demanda de bienes, en este caso simplemente tenéis que cambiar el chip y ver que en lugar de bienes lo que se está comprando y vendiendo son eh monedas, lo que pasa que se venden y se compran unas con respecto a otras. Bien, en el caso de la oferta [eleva el tono] de euros, si habéis

entendido esto es exactamente [P. ESCRIBE EN LA PIZARRA] lo mismo lo único que con las eh... diferencias de que ahora es estar dispuesto a vender euros [ralentiza el discurso], la oferta de euros es estar dispuesto a vender euros [eleva el tono] por otra moneda, vendemos euros compramos dólares. El análisis es exactamente el mismo pero desde la perspectiva de la oferta, si aquí hablábamos de que quienes demandan euros son los exportadores europeos, [P. BORRA LA PIZARRA] los turistas extranjeros ¿quienes van a ofrecer euros ahora? Allí eran los exportadores aquí son los... [pausa esperando respuesta] importadores [P. ESCRIBE EN LA PIZARRA], cada vez que vai que haya una importación desde fuera nosotros vamos a intentar pagar con euros, entonces va a haber una oferta [eleva el tono] de euros, importaciones tanto de bienes tangibles como intangibles, entonces aquí entre también el turismo pero no extranjero, ahora es el turismo nacional, un turismo fuera [eleva el tono] de nuestras fronteras, nosotros vamos a llevar euros para intentar cambiarlos por dólares, sino no podemos comprar en Estados Unidos o en otros puntos del... del planeta. Entonces las importaciones [P. ESCRIBE EN LA PIZARRA] están en función de las mismas variables, [P. ESCRIBE EN LA PIZARRA] de las mismas no perdón ahora la renta [eleva el tono] es la renta nacional, el tipo de cambio real sigue siendo el mismo, lo único que ahora cada vez que se aprecia el tipo de cambio, es decir que nuestra moneda valga más..., las importaciones van a ser mayores. Si lo queréis ver desde el punto de vista del turismo si porque igual os queda un poco más cerca, cada vez que nuestro euro se aprecia con respecto al... al dólar, nos va a resultar mucho más barato el salir fuera a hacer turismo, como consecuencia de la apreciación de la moneda, entonces la relación es directa [eleva el tono] entre importaciones y tipo de cambio, ¿y la renta? [tono descendente] Renta nacional, si sube nuestra renta, tenemos más dinero podemos gastar más [eleva el tono] en turismo [P. ESCRIBE EN LA PIZARRA], por tanto va a ser también positiva como en el otro caso, eso no cambia lo único

que la variable es renta nacional ¿vale? Y aquí en lugar de entradas de capital son salidas [eleva el tono] [P. ESCRIBE EN LA PIZARRA] salidas de capital [repetición], [P. ESCRIBE EN LA PIZARRA] está en función del mismo diferencial de antes, tipo de interés nacional menos tipo de interés extranjero lo único que ahora la relación va a ser inversa, ahora quiere decir que aquí estamos pagando por ejemplo un seis por ciento como antes pero allí se paga un ocho por ciento se paga más allí van a ver salidas del país de dinero [P. ESCRIBE EN LA PIZARRA], esto se marcha fuera, a invertir fuera, conseguir un tipo de interés más atractivo [pausa]. ¿La oferta? [tono descendente] Igual que la demanda, tipo de cambio [P. ESCRIBE EN LA PIZARRA] y cantidad de euros, el precio y la cantidad. Pendiente positiva, cuanto mayor se es el tipo de cambio mayor va ser la oferta de euros [P. ESCRIBE EN LA PIZARRA]. La oferta se desplaza, siempre que se desplacen o se alteren, mejor dicho, una de estas variables, que no es el tipo de cambio nominal, es el real, por variación en los precios o... la renta o el tipo de interés diferencial, el tipo de interés [repetición] [baja el tono], ¿vale? Bien, entre la oferta y la demanda, es el mercado de euros [P. ESCRIBE EN LA PIZARRA], nos da el tipo de cambio de equilibrio, ahí donde coinciden [eleva el tono] oferta y demanda de euros, nos va a dar un [P. ESCRIBE EN LA PIZARRA] tipo de cambio de equilibrio que es el que marca [eleva el tono] el mercado, es el que determina el mercado ¿vale? [P. ESCRIBE EN LA PIZARRA] Es el tipo de cambio de equilibrio [pausa]. Entonces, si nosotros decimos que un euro equivale a uno treinta dos... dólares o uno treinta y cuatro dólares, es porque lo ha marcado el mercado, porque la oferta y la demanda de euros ha hecho que ese sea el precio y no otro, es el que está marcando el mercado, todo está en función de cual es la oferta [eleva el tono] y la demanda de euros. El punto donde coinciden [eleva el tono] ahí es donde hemos estado diciendo que ese es el tipo de cambio [eleva el tono] que debe existir [pausa]. Vale, a partir de aquí [eleva el tono] hay un sistema de tipos de cambio que es

totalmente flexible y otro que es... fijo, entonces hay una pequeña deferencia entre uno y otro [P. BORRA LA PIZARRA]. [P. ESCRIBE EN LA PIZARRA] Explico estos dos sistemas y hacemos un pequeño descanso. Sistema de tipos de cambios flexibles, en este tipo de... de sistema el Banco Central nunca [eleva el tono] interviene, siempre deja que el mercado sea el que determine [eleva el tono] cual es el tipo de cambio, es decir... cada vez que la demanda o la oferta se desplace hacia cualquier punto, imaginaos que es la demanda [P. ESCRIBE EN LA PIZARRA], la demanda como consecuencia de... de un incremento [P. ESCRIBE EN LA PIZARRA] en la renta extranjera pueda hacer mover la demanda, vamos a obtener un tipo de cambio que puede situarse [P. ESCRIBE EN LA PIZARRA] ahí, nuevo tipo de cambio de equilibrio ¿vale? Entonces un sistema de tipos de cambio flexible lo que hacer es dejar que actúe libremente el mercado, el Banco Central no interviene para nada, cada vez que la oferta o la demanda se vaya a desplazar [P. ESCRIBE EN LA PIZARRA] va a dejar que sea el tipo de cambio el que determine el mercado ¿vale? En un sistema de tipos de cambio fijo [eleva el tono] [P. ESCRIBE EN LA PIZARRA], aquí si que interviene el Banco Central de un país, tiene que intervenir porque se compromete a que el tipo de cambio sea siempre el mismo [ralentiza el discurso], entonces si con lo que le pueda afectar al tipo de cambio es la oferta o la demanda de euros, el Banco Central va a actuar en un sentido u otro, o bien compra euros para apreciar el euro, o bien vende euros para depreciarlo, o sea puede intervenir para en el sentido que quiera para establecer el tipo de cambio eh fijado en un principio, por ejemplo [P. ESCRIBE EN LA PIZARRA] imaginaos la misma situación de que hay exportaciones eh... [P. ESCRIBE EN LA PIZARRA] mayores exportaciones como consecuencia de un incremento en la renta [P. ESCRIBE EN LA PIZARRA], la renta extranjera como en aquel caso [P. ESCRIBE EN LA PIZARRA]. Este que teníais aquí era el tipo de cambio de un que había en un principio, el establecido. Ese tipo de

cambio es el que debe defender el Banco Central de un país. Si hay un desplazamiento de la demanda de euros, nosotros en un sistema de tipos de cambio flexible nos iríamos a este punto [P. ESCRIBE EN LA PIZARRA] ahí, pero como estamos en un sistema de tipos de cambio fijos nosotros no podemos [eleva el tono] pasar de este nivel, pero fijaos que en este nivel [P. ESCRIBE EN LA PIZARRA] hay precisamente una diferencia entre demanda y oferta [eleva el tono] [pausa]. En este nivel, aquí, una vez se ha desplazado la demanda si nosotros queremos mantener este tipo de cambio, aquí hay una diferencia entre la oferta y la demanda, es decir la oferta de [P. ESCRIBE EN LA PIZARRA] euros es esta de aquí la demanda de euros es mayor [P. ESCRIBE EN LA PIZARRA], esa diferencia que hay, esta diferencia que hay aquí la tiene que cubrir el Banco Central ¿y para ello qué tiene que hacer comprar euros o vender euros? [pausa esperando respuesta] Es una pregunta ¿compra euros o vende euros? [repetición] [pausa esperando respuesta] Si fuese en un ti en un sistema de tipos de cambio flexible, el tipo de cambio se hubiese apreciado, para que no se aprecie ¿qué tiene que hacer el Banco Central? [pausa esperando respuesta] Si sabéis como juega, como opera el mecanismo de oferta y demanda para que los precios suban o bajen, podéis saberlo también aquí que es lo que va hacer con los euros. Si quiere que el euro no se aprecie es decir que valga lo que vale, en un principio lo que tiene que hacer es inundar el mercado de euros, tiene que vender euros [repetición, parafrasea] o lo que es lo mismo comprar dólares [eleva el tono], apreciar el dólar, depreciar el euro ¿vale? Entonces por esta cantidad va a tener que vender [P. ESCRIBE EN LA PIZARRA], vender euros que es lo mismo que comprar dólares [P. ESCRIBE EN LA PIZARRA]. Además fijaos en esta [P. ESCRIBE EN LA PIZARRA] relación también se os puede explicar la... la lógica que hay detrás, la demanda de euros es mayor que la oferta qué es lo que hacer el Banco Central [tono descendente], pues vender esa cantidad de... de euros que se está demandando, la oferta solo llega hasta aquí, la

demanda es esta, bueno vosotros queréis más euros yo os vendo los euros, vender euros o lo que es lo mismo comprar dólares [eleva el tono], se venden euros, se compran dólares ¿vale? De esa manera hacemos [P. ESCRIBE EN LA PIZARRA] que la demanda pues vuelva otra vez al inicio, al tipo de cambio inicial [eleva el tono] ¿de acuerdo? Si este sistema de tipos de cambio fijos a veces eh... tiene una banda de fluctuación [eleva el tono] pero que se actúa exactamente de la misma manera [P. ESCRIBE EN LA PIZARRA]. Siempre que [eleva el tono] el tipo de cambio vaya a saltar a una situación por encima de una banda de fluctuación superior y otra inferior, lo que va a hacer el Banco Central es devolverlo a la banda superior o devolverlo a la banda inferior si es que está [P. ESCRIBE EN LA PIZARRA] aquí o está aquí, está aquí [baja el tono]. Esto es un sistema de tipos de cambio semifijos [eleva el tono], es decir puede fluctuar entre estas dos bandas pero el mecanismo es exactamente el mismo que aquí fuera de esas bandas tiene que intervenir el Banco Central ¿vale? O sea dependiendo de del punto donde estemos eh... tiene que o bien comprar euros o bien vender euros, que quiere que baje el tipo de cambio vende euros, que quiere que suba el tipo de cambio compra euros, es así el mecanismo ¿se entiende? [pausa esperando confirmación] Vale pues si queréis hacemos aquí cinco minutos de... de descanso y seguimos. [murmullas] Quedará ya el último eh punto el de la balanza de pagos.

LE7

CAMPO: Ciencias Sociales. ADEM

ASIGNATURA: Economía Mundial

Nº ESTUDIANTES: 38 (m:13/f:25)

Fecha: 16/11/2004

Duración: 68 m.

Nº Palabras: 9.228

[INTERVENCIÓN ESTUDIANTE] (alumno/alumna, responde)

[P. ESCRIBE EN LA PIZARRA]

[P. LEE]

[pausa]: cuando es larga

...: pausa corta, titubeos

[pausa esperando pregunta o confirmación]

[pausa, esperando respuesta]

[... esperando respuesta]: cuando la pausa es corta

[ralentiza el discurso]

[repetición, parafrasear]

[repetición parcial]

[tono descendente]: tras una interrogación el profesor expresa carencia de búsqueda de respuesta, es el profesor quien la da

[eleva el tono]

[murmullo]

[risas]

cursiva para anglicismos

<incomprensible>

[murmullo] Buenos días [pausa] vamos a... recordar lo que dimos ayer... después **ubicaremos** el artículo que espero que os hayáis leído [pausa]. Nos... quedamos viendo como se determinaba el tipo de cambio en un mercado que funcionaba libremente, es decir vimos la oferta de... divisas, la demanda de divisas, cuales eran los

determinantes de cada una, a ver por favor [eleva tono], cuales eran los determinantes de la oferta de divisas y de la demanda de divisas, quienes demandaban, quienes ofrecían divisas y en función de que parámetros tomaban sus decisiones, y después analizamos también gráficamente como [eleva el tono] se determinaba el tipo de cambio de equilibrio, que era como siempre, tenemos un mercado donde se eh... cortan la curva de demanda y la curva de oferta en este caso de divisas. Vamos a comentar ya digo el el artículo que os que os eh... entregué del País del domingo porque está relacionado también con [eleva el tono] la evolución del tipo de cambio ¿os lo habéis leído? [... pausa, esperando respuesta] ¿Sí? Bueno. Entonces el primero el... o la el de la parte de arriba que lo tenéis incompleto porque veis que sigue el página quince pero ahora lo comentaremos lo tengo aquí también el resto, [pausa] se titula Europa sufre por la salud el dólar [P. LEE] ¿qué está pasando con el dólar? [... esperando respuesta] ¿qué está pasando? [repetición parcial] [pausa, esperando respuesta] Se está [pausa, esperando respuesta] depreciando vale, ¿está haciendo algo eh la autoridad monetaria de Estados Unidos, es decir Alan Greenspan? ¿está haciendo algo para evitar esta depreciación? [repetición, parafrasea] [... esperando respuesta] No [eleva el tono]. En principio eh... dice que defienden [eleva el tono] un dólar fuerte [ralentiza el discurso] pero m... no están haciendo nada al respecto, están dejando que se deprecie porque eh... hay varias razones eh... que les lleva... a que no intervengan pues porque m... tienen eh... algunas condiciones ahora mismo que les beneficia que se deprecie el el dólar ¿cuáles son estas condiciones? Un déficit ¿dónde? [pausa, esperando respuesta] [INTERVENCIÓN ESTUDIANTE] (alumna responde) En la balanza de pagos [eleva ele tono] en concreto ¿en cuál? ¿en que balanza? [repetición, parafrasea] [pausa, esperando respuesta] Tienen un déficit en la sobre todo en la balanza comercial, pero en general en la balanza por cuenta corriente tenéis por ahí, y además tiene otro tipo de déficit [pausa, esperando respuesta], un déficit fiscal [eleva

eltoon], es decir... si pensamos en el presupuesto de de cualquier estado son ingresos menos gastos del estado, es decir... impuestos menos gasto público eh... los impuestos netos de transferencias, se están gastando más [ralentiza el discurso] de los que ingresan por impuestos sobre todo por lo que dedican a presupuesto en defensa. El hecho de que tengan estos dos déficits hace que les interese que el euro se deprecie porque ¿cómo están financiando los déficits? ¿Los están financiando con ahorro interno o externo? [pausa, esperando respuesta] ¿qué os parece? [... esperando respuesta] Con ahorro externo de ahí que tienen déficit en la balanza por cuenta corriente. Entonces el hecho que tengan que financiar estos déficits significa que les interesa que el dólar pierda valor con respecto a otras monedas, en concreto sobre todo con respecto al euro y por eso no están actuando al respecto. ¿Problemas? [tono descendente] Los problemas que se pueden plantear para... para ellos es eh... que tengan que por ejemplo subir el tipo de interés para atraer capitales, para que los capitales sigan invirtiendo en dólares a pesar de que el dólar valga menos, porque claramente las inversiones también quieren que una moneda sea fuerte [eleva el tono], porque si nosotros invertimos en dólares y el dólar se está depreciando ¿qué pasa con el capital que hemos invertido? [tono descendente] Que también pierde valor cuando lo queramos convertir en otra moneda por ejemplo en el euro. Entonces eso hace que las inversiones m... puedan huir de de Estados Unidos si la moneda sigue depreciándose. ¿Qué nos dice aquí con respecto a las proyecciones? [tono descendente] Nos dice que parece ser [eleva el tono] en los últimos cuatro años a perdido un va un veinte por ciento de su valor, treinta seis por ciento si se compara con el valor más bajo eh... frente al euro y parece que las proyecciones de lo que son bancos de inversión [elévelo tono], a quienes les interesa bastante saber que va a pasar en el futuro, las **previsiones** indican que puede eh alcanzar entre uno coma treinta seis, treinta y tres, y uno coma treinta y siete dólares durante este año, durante los

próximos doce meses, eh... esto significaría [pausa] eh... pues un porcentaje también considerable. Si seguimos con el artículo que ya no lo tenéis ahí pero después lo que no pregunta es ¿está el... el dólar eh... infravalorado, está sobrevalorado? Parece ser que [eleva el tono] el que pierda valor tiene sentido por los altos déficits que tiene tanto el fiscal como el déficit de la balanza por cuenta corriente, lo que ocurre es que sería insostenible que esta caída siguiese eh... indefinidamente, es decir llegará un momento que el dólar tendrá que dejar de depreciarse sino que se quiere que [eleva el tono] como ya decía huyan los capitales de Estados Unidos, o bien Estados Unidos tenga que subir mucho el tipo de interés y eso podría también generar ¿qué? ¿qué podría generar? [pausa, esperando respuesta] Inflación y otro problema más para su economía y además si se eleva el tipo de interés ¿qué pasa con la inversión? [pausa, esperando respuesta] Disminuye, y eso hace que disminuya la renta y eso afecta negativamente al crecimiento económico. Tonces veremos lo que pasa en el futuro [eleva el tono] pero eh... así es como está afectando a Estados Unidos ¿cómo está afectando a Europa [pausa] la depreciación del... del dólar frente al euro? ¿Cómo está afectando? [repetición parcial] [pausa, esperando respuesta] ¿Positivamente, negativamente o [eleva el tono] de las dos maneras? [... esperando respuesta] Ambas ¿cuál es eh... por qué está afectando negativamente a Europa? [INTERVENCIÓN ESTUDIANTE] (alumno responde) Por las exportaciones [ralentiza el discurso], bueno también las importaciones pero lo que ¿qué ocurre con las exportaciones? Si el euro se aprecia con respecto al dólar [INTERVENCIÓN ESTUDIANTE] (alumno responde) las exportaciones ahora son más caras [ralentiza el discurso] por lo tanto vamos a exportar menos [eleva el tono] y aquí nos habla arriba en en la cabecera tenemos que [eleva el tono] esto podría incluso m... llevar a una nueva recesión a Alemania, tenéis ahí en concreto a Alemania que es eh... re que registró un crecimiento del PIB de apenas cero coma uno por ciento durante el primer trimestre del año

debido en gran parte a la reducción del excedente exterior provocado por la apreciación del euro. Entonces si se siguiera el euro apreciando con respecto al dólar hay riesgo de que esto lleve a la economía alemana a una nueva recesión [pausa]. ¿Cuál es el aspecto positivo de la apreciación del dólar del euro frente al dólar? ¿cuál es? [repetición parcial] [pausa, esperando respuesta] ¿en qué nos beneficia a nosotros [pausa] que el euro se esté apreciando frente al dólar? [repetición, parafrasea] [pausa, esperando respuesta] ¿en nada? [INTERVENCIÓN ESTUDIANTE] (alumna responde) En el petróleo [eleva el tono]. Nosotros tenemos que, somos importadores de petróleo pues porque eh... tenemos carencia, no somos productores, nunca cubrimos la la demanda y eh tenemos que importar petróleo [eleva el tono]. El precio del petróleo se establece en dólares, como nosotros nuestra moneda es el euro que se está apreciando frente al dólar, es como si [eleva el tono] lo pagásemos más barato a medida que el euro se va apreciando, aunque la apreciación no llegue a compensar la subida del... del petróleo en términos porcentuales si que compensa bastante de... de esa variación y eso es la contra lo que tenéis ahí arriba la contra partida es clara un euro fuerte protege del encarecimiento del crudo [P. LEE]. Tonces ahí tenemos un lado positivo y uno negativo, por eso tampoco las autoridades monetarias europeas están tomando ninguna medida, solamente lo que han hecho es verbalmente decir que eh... sería conveniente que el euro no se depreciase demasiado con respecto al dólar porque estamos perdiendo competitividad. Tonces de momento, de ninguna de las dos partes ni de Estados Unidos ni de Europa se han tomado eh... cartas en el asunto o han llevado eh llevado acabo ninguna actuación solamente verbalmente han dicho que la situación no debe eh... seguir así por mucho tiempo. Después abajo tenéis el artículo de Emilio de Emilio Ontiveros que dice el dólar, y aquí eh se os habla de cómo, de que ha sucedido en los mercados de divisas también con esta evaluación e evolución que vemos del dólar, eh... ahí os dice al principio que en el

mercado de divisas el dólar estadounidense ha acentuado la depreciación que frente al resto de las monedas venía definiendo desde el inicio del primer periodo presidencial [P. LEEr]. La reserva federal eh...ha elevado el tipo de interés pero poco [eleva el tono] eh... en función de lo que se ha depreciado el dólar ¿qué ha ocurrido? [tono descendente] Venta de dólares [P. LEE], tenéis ahí que ha habido una venta de dólares generalizada, no solo para operaciones de especulación sino también para inversores con perspectivas de asignación a medio y largo plazo. También esto ha influido al precio del oro, os dice que se ha producido una escalada en el precio del oro [ralentiza el discurso], y que esto incluso podría estar relacionado con algo que veremos en el tema siguiente que son los sistemas monetarios internacionales, y aquí relaciona eh... el alza del... del precio del oro con la quiebra de régimen de cambio eh... concebido en Breton Woods que hablaremos ya digo de todo esto en el tema siguiente y si es necesario volveremos a comentar algo de este artículo. Entonces aquí lo que nos está diciendo es que ya hay eh... una venta de dólares [eleva el tono] generalizada de diversa pérdida de valor eh... del dólar y después también os habla de la posible solución eh la solución a la caída de la divisa parece que no son las intervenciones [eleva el tono] ¿m...? sino que eh... Estados Unidos sanee eh... sus déficits que son insostenibles a largo plazo. Ya veremos que ocurre con la... segunda parte de... del mandato de de de Bush y si va a solucionar o no eh lo que está ocurriendo pero dado que tiene mayoría absoluta y que eh para ellos es muy importante el presupuesto de defensa, y que siempre [eleva el tono] que hay un gobierno con mayoría absoluta tiene [eleva el tono] a aumentar más el gasto público que los impuestos [eleva el tono] porque ya ha prometido que las reducciones en impuestos las va a mantener, todo esto parece que no lleva a una solución [ralentiza el discurso] de los dos tipos de déficits que... hemos visto que tiene Estados Unidos ¿de acuerdo? Si tenéis algún comentario adicional de estos artículos [pausa], y si no pues seguimos adelante

con el tema. Lo que vamos a ver a continuación, estamos en el mismo apartado de... de programa, si os fijáis estamos en el apartado cinco dos transacciones internacionales, mercado de divisas y tipos de cambio [P. LEE]. ¿Qué hemos visto hasta ahora? [tono descendente] Hemos visto como se determina el tipo de cambio en el mercado [ralentiza el discurso] en un mercado que no está eh... intervenido. Vamos a hablar ahora del mercado de divisas [pausa]. ¿Qué es el mercado de divisas? [eleva el tono] [tono descendente] Es el mercado donde se intercambian las monedas extranjeras. Es decir que para nosotros, si nuestra moneda es el euro será el mercado donde se intercambian dólares, yenes, yuanes, lo que sea, otra moneda distinta a la nuestra [pausa]. ¿Quiénes operan en este mercado? ¿Quiénes son los agentes del mercado? [repetición, parafrasea] [tono descendente] En primer lugar tenemos los bancos comerciales. Los bancos comerciales son los agentes más importantes que operan en el mercado de divisas porque normalmente cualquier empresa que tenga que realizar una transacción en divisas va a acudir a su banco [eleva el tono] donde tenga un depósito bancario, por ejemplo imaginamos una empresa española que eh... desea cambiar euros por dólares [ralentiza el discurso] porque tiene que pagar una importación. Lo primero que hará es acudir a su banco, este banco se llaman bancos comerciales porque operan con... transacciones de gran cantidad de... de dinero y también con empresas, y con multinacionales sobre todo, entonces va a acudir esta empresa española va a acudir a su banco y eh... allí tiene ya depositados euros, y va a decir bueno quiero comprar tal una cantidad determinada de dólares pues cien mil dólares por ejemplo entonces el banco le aplicará el tipo [eleva el tono] de cambio correspondiente que se fijan eh... los bancos comerciales fijan ya unos tipos de cambio de compra y venta de divisas y eh... le van a cambiar esos euros por dólares [pausa]. Por otra parte la empresa que esté en Estados Unidos, que es la que la empresa importadora, también puede realizar este tipo de transacciones con

los bancos con los que opere en Estados Unidos. Entonces los bancos actúan como siempre como intermediarios y cualquiera que desee cambiar eh... nuestra moneda por divisas va acudir a un banco comercial. Por ejemplo si eh... lo que se desea es a cambio de euros obtener eh... una moneda menos utilizada el yuan ahora que ya se utiliza bastante, pero si pensamos en los zlotych o... en la moneda... no se en la moneda... de Polonia, en la moneda en alguna moneda más [eleva el tono] que se utilice en menor eh... cuantía entonces normalmente lo que se hace es cambiar primero el euro por dólares y después el dólar por la moneda que es menos utilizada o que no es convertible o por lo menos no se suele utilizar en las transacciones internacionales, pero al final tenemos lo mismo. Los siguientes agentes que operan son las multinacionales [pausa]. Están por orden de importancia los agentes. Las multinacionales sabemos que son empresas que están ubicadas en distintos países y eh... esto hace que por ejemplo si pensamos en una multinacional alemana que tenga una planta de producción en Méjico, a los trabajadores de Méjico les va a tener que pagar en pesos mejicanos. Normalmente sus ventas y la mayoría de las ventas si utilizamos ventas señales las hace desde Alemania lo que va a obtener por sus ventas son euros, esos euros los va a tener que cambiar por pesos por ejemplo para pagar los salarios de los trabajadores que tenga en la planta de Méjico y de esa forma se convierte en un agente importante en el mercado de divisas [pausa]. En tercer lugar tenemos instituciones financieras no bancarias. ¿Qué son las instituciones financieras no bancarias? [tono descendente] Son aquellas distintas a los bancos y ahí tenemos dos ejemplos, los inversores institucionales, cualquier institución nacional o internacional ¿qué entendemos por institución? [tono descendente] Pues por ejemplo el Fondo Monetario Internacional es una institución internacional [pausa], y también gestores de fondos de pensiones que no tienen porque ser bancos, pueden serlo o no serlo. Entonces cualquier gestora [eleva el tono] de eh... fondos de pensiones

también suele acudir al mercado de divisas para buscar las inversiones que sean más rentables [eleva el tono]. Sabéis que lo que hace una gestora de fondos de pensiones es recaudar fondos que invierten los particulares para cuando se jubilen recibirlos se supone que eh... en mayor cuantía porque la la gestora lo ha ido invirtiendo esas cantidades para obtener una rentabilidad eh... futura. ¿Quiénes más operan en el mercado de divisas? [tono descendente] También los bancos centrales [eleva el tono]. ¿Cómo operan los bancos centrales? [tono descendente] Intervienen en el mercado comprando o vendiendo divisas cuando quieren eh... realizar políticas de tipo de cambio, es decir cuando quieren mantener el tipo de cambio, cuando quieren devaluar una moneda o revalorarla tienen que comprar o vender divisas [pausa]. Pero comparado con los volúmenes de... negocio que realizan los bancos comerciales, las multinacionales y las instituciones financieras no bancarias, los bancos centrales tienen eh... un volumen pequeño de transacciones en este mercado. Sin embargo los impactos son importantes porque muchas veces su [eleva el tono] actuación implica una modificación del del tipo de cambio [pausa]. También aunque no lo tenéis ahí, también intervienen los particulares [eleva el tono]. Cualquiera de vosotros cuando vais a un banco, imaginaros que os vais de vacaciones a Estados Unidos, vais al banco con vuestros euros y queréis dólares a cambio, estáis eh... estáis eh actuando en el mercado de divisas, soy también agentes potenciales en ese mercado pero eh... la importancia relativa de las operaciones que realizan los particulares es ínfima, es tan pequeña que partidamente ni aquí están enumerados como... como operadores en este mercado. ¿Cuáles son las plazas más importantes o dónde se ubica este mercado de divisas? [tono descendente] Claramente no tiene una ubicación concreta porque eh... hoy en día cualquiera desde cualquier punto estando conectado en su ordenador puede eh... realizar una trasacción en el mercado de divisas, pero si que encontramos algunos mercados o plazas, suelen llamar plazas, que

son muy importantes en... cuanto a volumen de negocio. Las más importantes también eh por orden la más importante de todas es Londres es el mercado de divisas o donde se intercambian más divisas de todo el mundo es el mercado de Londres, la bolsa de Londres, y después tenemos Nueva York, Tokio, Frankfurt y Singapur, ya digo por orden de importancia. Si pensamos en el... volumen y el tipo de operaciones que se realizan, el volumen de... de operaciones es del orden en el noventa y ocho, en el año noventa y ocho de uno coma siete billones de dólares al día. Imaginaros, todo eso [eleva el tono] se mueve en el mercado de divisas [pausa]. De esos uno coma siete billones [pausa] no la mitad pero casi [leva el tono] se... se mueven en Londres y luego se van repartiendo en las distintas, en las distintas plazas. ¿Qué tipo de operaciones se realizan [pausa] en el mercado de divisas? [tono descendente] Aquí tenemos tres tipos de... de operaciones, pues se podrían clasificar en estos tres tipos: arbitraje, cobertura y especulación. ¿Qué es una operación de arbitraje? [tono descendente] [pausa] Una operación de arbitraje lo que busca es obtener ganancias con las diferencias de precio en una plaza con respecto de otra, por ejemplo [pausa] imaginaros que el tipo de cambio euro dólar en Londres es uno coma dos y en Nueva York es uno coma uno [pausa]. Un inversor podría utilizar esta diferencia de precios para [eleva el tono] obtener ganancias por supuesto con un gran volumen de capital porque si la diferencia es pequeña se tendría que invertir mucho dinero en donde sea más barato para después cambiarlo en en la plaza donde se obtengan más dólares a cambio y así obtener ganancias. ¿Os parece que esto es posible hoy en día el arbitraje en los en el mercado de divisas? ¿Qué os parece? [repetición parcial] [... esperando respuesta] Que prácticamente no [eleva el tono] porque aunque eh... aunque los mercados tienen distintas franjas horarias, porque si pensamos en los horarios que tiene eh o la hora que tiene Londres con respecto a Nueva York y con respecto de... de Tokio como están situados en distintas partes del mundo muchas veces

pues cuando cierra un mercado abre el siguiente etcétera, sin embargo es prácticamente imposible obtener ganancias eh... sustanciales que merezca la pena hacer una operación de arbi de arbitraje operando en un mercado y en otro porque eh... normalmente los bancos comerciales y también las multinacionales pero sobre todo los bancos que son los operadores más importantes suelen tener eh... también sucursales en distintos países, entonces nunca la actividad prácticamente no cesa en las veinticuatro horas del día en los bancos comerciales y lo que sería su participación en el mercado de divisas. Entonces ya digo que las operaciones de arbitraje prácticamente son muy difíciles de realizar hoy en día y que valga la pena las ganancias que se obtienen. Después tenemos las de cobertura [pausa]. ¿Qué es una operación de cobertura? Cobertura de riesgos [eleva el tono] [tono descendente] Se trata de cubrirse del riesgo de apreciación o depreciación [pausa] de una moneda [pausa]. Imaginaros que necesitamos que ya sabemos que dentro de tres meses vamos a necesitar dólares para pagar [pausa] a un importador. Entonces eh... como ya lo sabemos hoy podemos comprar [eleva el tono] esos dólares en el mercado de... podemos comprarlos a plazo hoy [eleva el tono] hay un precio ya un tipo de cambio a plazo, y podemos hoy comprar los dólares que nos los darán dentro de de tres meses y así ya eh independientemente de si el tipo de cambio se aprecia o se deprecia, ya sabemos el precio que pagamos hoy [eleva el tono] para eh... para esa mercancía. Hay muchas operaciones de cobertura que supongo que las veréis en las asignaturas correspondientes de eh... de economía financiera es decir también se puede realizar un *swap* que un cambio eh... un cambio por ejemplo del dólar este franco-suizo si después no viene a ser dólares para en un periodo de tiempo mantener una inversión en franco-suizos pero es todo eh es es se hace todo en una sola operación eso sería un *swap* pero ya dicho que eso seguro que lo estudiaréis con otros... en otras asignaturas igual que las opciones de compra y de venta, también se puede comprar una opción de

compra o una opción de venta de una moneda en un momento de tiempo futuro [eleva el tono], y esa opción de compra o de venta también se puede después negociar en el mercado secundario ¿esto lo habéis visto en alguna otra asignatura? Sí ¿sí? ¿no? bueno supongo que tendréis optativas y también eh... alguna asignatura troncal donde estudiéis estas cosas más [eleva el tono] detenidamente. ¿Tenéis alguna pregunta del mercado de divisas? Os recomiendo que para este... para este tema para este... mercado de divisas os leáis un poquito lo que viene en el **Kruztnan** porque eh... vienen ejemplos, prácticos de operaciones con números y... y os sirve un poquito más de... para afianzar los lo que os he contado aquí. Tenéis indicado en el programa donde está exactamente en el Kruztnan en los capítulos entre los que tenéis ahí enumerados en uno de ellos esta el el mercado de divisas [pausa] . Vamos a pasar, vamos a invertir el orden, en lugar de ver el apartado... cinco tres, vamos a ver el cinco cuatro brevemente porque a los tipos de cambios también nos dedicaremos en el tema siguiente. Desde aquí nos sirve para introducir también lo de las paridades que también veremos en el otro apartado etcétera, pero vamos a ver primero el apartado cinco cuatro y luego veremos el cinco tres [pausa]. En el cinco cuatro vamos a hablar ya digo brevemente de los sistemas de tipo de cambio [pausa]. ¿Cómo pueden ser los sistemas de tipo de cambio? [tono descendente] Si nos vamos a los dos extremos posibles pueden ser sistemas de tipo de cambio fijo [pausa] o sistemas de tipo de cambio flexibles [eleva el tono] [pausa]. ¿Qué ocurre cuando el sistema de tipos de cambio es fijo? [tono descendente] Entonces es el Banco Central el que decide cual va a ser el valor de su moneda con respecto de las otras monedas [pausa] y en principio se mantiene eh... fijo [eleva el tono] por tanto como sabemos que eh... el tipo de cambio en un mercado sin intervenciones [eleva el tono] depende de la demanda y oferta de divisas esto hace que el Banco Central va a tener que intervenir [eleva el tono] ante cualquier movimiento de la demanda o de la

oferta de divisas para evitar que el tipo de cambio cambie de valor. Cuando se fija el tipo de cambio no podemos hablar de tipo de cambio de equilibrio es... ya digo una política que se sigue [eleva el tono] una política monetaria más que eh... lo que sería libre mercado entonces como tenemos ahí el Banco Central va a tener que comprar o vender su moneda en función de cuales sean los movimientos del mercado, ahora después veremos un ejemplo. ¿Cómo se interviene? [tono descendente] Cuando la oferta de la moneda es mayor que la demanda [pausa], hay un exceso de oferta de divisas y por tanto lo que tendrá que hacer el Banco Central es comprar más, comprar esas divisas a cambio de su propia moneda y [eleva el tono] cuando el tipo de cambio esté sobrevalorado lo contrario lo que tendrá que hacer es vender esas divisas. En cuanto al tipo de cambio flexibles en este caso el tipo de cambio va a poder fluctuar... para que se igualen la oferta y la demanda de divisas, eso es lo que hemos visto en el apartado eh... dos del tema, que en el mercado libre la demanda depende de eh... pues eso precios relativos, la lo vimos, diferencial de intereses, las rentas, y [eleva el tono] en función de esos determinantes, también para la oferta, vamos a obtener el punto de corte entre oferta y demanda y eso será el tipo de cambio de equilibrio, sin embargo dentro de lo que son tipos de cambio flexibles también encontramos distintas posibilidades, podría ser una flotación limpia en este caso el Banco Central o la autoridad monetaria correspondiente no intervendría en ningún momento en el mercado, eso es prácticamente imposible, siempre hay algunos casos concretos donde eh... el Banco Central eh... interviene aunque sea en... en cuantías no muy grandes, pero bueno eso sería flotación limpia. Y flotación sucia o intervenida sería un tipo de cambio flexible pero donde el Banco Central puede intervenir ante determinadas circunstancias. De todo esto hablaremos más en el tema siguiente cuando expliquemos el sistema monetario de <incomprensible> lo que ha seguido, lo que es el sistema monetario europeo etcétera. Pero por ejemplo si

pensamos en lo que fue la serpiente monetaria o el inicio del sistema monetario europeo, por ejemplo recordad que en el año noventa y dos se produjeron depreciaciones importantes de o de los valores por culpa de la peseta, eh... de la lira italiana, entonces los bancos centrales lo que entonces era el Banco de España tuvo que intervenir devaluando el tipo de cambio de la peseta para evitar que la peseta se saliese de las bandas de fluctuación establecidas por el sistema monetario europeo, entonces eso se trata de una flotación sucia o intervenida porque se establecen unas bandas de fluctuación y si la moneda o el tipo de cambio alcanza o bien el margen límite superior o el inferior entonces el Banco Central interviene. Como ya digo lo más común es que los tipos de cambio sean eh... estén en flotación, pero la flotación sea intervenida aunque si pensamos en países en vías de desarrollo muchos de ellos eligen un tipo de cambio fijo ¿por qué? [tono descendente] Pues para evitar fluctuaciones excesivas por su inestabilidad monetaria por debido a su gran est inestabilidad económica y política. Otros países en vías de desarrollo lo que eligen es ligar su moneda al dólar y así como el dólar se supone que es una moneda estable y fuerte [eleva el tono], digo se supone porque ha tenido sus episodios como ahora de depreciación o de lo contrario a principio de los ochenta, entonces otros países deciden seguir los pasos del dólar para eh... ser más creíbles internacionalmente. Vamos a ver [ralentiza el discurso] los efectos de una devaluación. El tipo de cambio flexible ya hemos visto como funciona, estudiamos el mercado de divisas y los determinantes de la oferta y la demanda ¿Qué ocurre con un tipo de cambio fijo? [tono descendente] Imaginaros que en el libre mercado la demanda de euros es eh la... recta roja que tenemos ahí y la oferta de euros la que tenemos en azul, y el punto de equilibrio de este mercado es el tipo de cambio e [eleva el tono] uno coma uno que sería el tipo de cambio dólar euro [pausa] es decir uno coma un dólares por euro por cada euro. ¿Qué ocurre si eh... el Banco Central Europeo [pausa] decide devaluar y

fijar el tipo de cambio en uno coma dos? [tono descendente] [pausa] Entonces el Banco Central correspondiente lo que estaría haciendo es eh... elevar este tipo de cambio a uno coma dos [pausa] estos serían dólares por euro es decir que ahora por cada euro obtendríamos más dólares por lo tanto ¿lo que se está devaluando qué es? [pausa, esperando respuesta] El dólar eh lo he dicho yo al contrario esto lo estare lo estamos viendo desde el punto de vista de Estados Unidos ¿vale? Entonces tenemos primero que en el punto e tenemos uno coma uno dólares por euro si lo que se devalúa es el dólar entonces pasamos a uno coma dos dólares por euro ¿m...?. Entonces ¿qué está pasando en este caso? [tono descendente] En este caso tenemos ahí que hay un exceso de oferta [eleva el tono] ¿lo veis? [pausa] En el punto uno coma dos tenemos un exceso de oferta ¿de qué? ¿de qué es el exceso de oferta? [pausa, esperando respuesta] ¿qué os parece? [pausa, esperando respuesta] ¿de qué mercado estamos hablando? [tono descendente] De divisas, pues será un exceso de oferta de divisas ¿de acuerdo? Si tenemos un exceso de oferta de divisas entonces el Banco Central lo que tendrá que hacer es comprar comprar perdón dólares [eleva el tono] para evitar que eh exista ese exceso de oferta de divisas y se reduzca el precio. Es decir que m... así evitaremos volver al equilibrio, estaremos manteniendo de forma eh artificial el precio dólar euro a uno coma dos y de esa forma se evita eh... que el precio sea el que el que operaría en el mercado lo mismo eh... podría pasar si [eleva el tono] el tipo de cambio después de estar establecido en e prima tiende por ejemplo a reducirse a uno coma quince, en este caso tendremos que estar continuamente viendo cual es la evolución del mercado, como varía la demanda y la oferta, para evitar que el tipo de cambio se mueva ¿m? si baja por ejemplo bueno ¿por qué la demanda de euros también se desplaza? [tono descendente] Pues también se desplaza porque eh... cuando se modifica el tipo de cambio y actúa el Banco Central correspondiente entonces también cambia la eh... la demanda de la propia moneda cambia también la

demanda de euros ¿m...? porque eh... siempre que hablamos dólar euro la contrapartida es la otra moneda en este caso el desplazamiento de la demanda sería a posteriori debido a que aumenta también eh la renta en Europa ¿por qué aumentará la renta en Europa? [tono descendente] Porque se lo que se está devaluando, lo que está perdiendo valor, es el dólar [eleva el tono] [pasua]. A esto volveremos también más adelante, ya digo que en el tema siguiente hablaremos de los sistemas eh... monetarios internacionales y volveremos a hablar de los tipos de cambio ahora eh... lo que más [eleva el tono] vamos a estudiar es lo que es el apartado cinco tres que son las condiciones de calidad de intereses y de calidad de poder adquisitivo, lo que sí que tenemos que tener claro es la diferencia del tipo de cambio fijo y flexible y saber que cuando se interviene en el mercado el Banco Central es quien tiene que mantener el valor de la moneda. Mientras que si el tipo de cambio flota libremente en el mercado son la demanda y la oferta de divisas las que [eleva el tono] van a determinar el tipo de cambio de equilibrio [pausa]. Antes de pasar al apartado cinco tres vamos a hablar también del tipo de cambio a plazo. Ha salido antes, brevemente hemos hablado de las operaciones de cobertura [pausa] y para estas operaciones se utiliza el tipo de cambio a plazo. Volviendo también a al mercado de divisas aparte de las operaciones de cobertura y las operaciones eh... las operaciones que hemos dicho de arbitraje también estaban las operaciones para especular, eh no he dicho nada pero bueno las operaciones especulativas son aquellas que se realizan a muy corto plazo para ganar dinero [ralentiza el discurso] cuando hay una expectativa de apreciación o depreciación de una moneda clara [eleva el tono] entonces si hay apreciación lo que se hace es comprar la moneda y de depreciación venderla anticipadamente para obtener beneficios [pausa]. ¿Qué se entiende [pausa] por mercado de tipo de cambio a plazo [eleva el tono]? [tono descendente] Es un mercado que eh sobre todo m... se utilizada para las operaciones de cobertura

[ralentiza el discurso] de riesgos. Esta es una de las operaciones que hemos visto del mercado de divisas y en concreto esta función se va a... a realizar en el mercado a plazo de cualquier moneda. Podemos distinguir aquí [eleva el tono] entre lo que sería una operación a plazo, al contado o también eh... dentro del... de las operaciones a plazo veremos dos posibilidades. El mercado *spot* o al contado es cuando [ralentiza el discurso] eh... las transacciones se realizan de forma inmediata, cambiamos hoy una moneda por otra, aunque normalmente la fecha valor de... de las transacciones en el mercado al contado es de dos días. Tonces aunque hoy eh... estemos realizando una operación al contado es posible que hasta dentro de dos días no tengamos la moneda que nosotros deseamos eh... obtener, por ejemplo euros por yenes si hacemos hoy la operación y cambiamos una cantidad importante un millón de euros por yenes no tendremos los... yenes correspondientes hasta dentro de dos días pero eso es por la forma de operar los bancos. En el mercado *spot* o al contado se fijan unos precios para la venta y la compra de moneda, es decir que si hoy queremos comprar euros a cambio eh... de dólares cuando vayamos al banco nos van a decir cuanto nos cuesta, las comisiones que nos cobran etcétera. Eso lo van a hacer todos los bancos sin embargo a vosotros os van a cobra más [eleva el tono] os van a costar más caros los dólares que a una multinacional o a un operador que realice un... un una operación de gran volumen, a partir eh... a partir de grandes cantidades ya somos grandes operadores del mercado de divisas y las condiciones son diferentes. En cuanto al mercado a plazos aquí tenemos dos distinciones, podríamos distinguir entre lo que son contratos a futuro y lo que son contratos a plazo o tipos a futuro y tipos a plazo o *forward* ¿por qué? [tono descendente] La principal diferencia es que un tipo a futuro un contrato a futuro se puede vender en el mercado secundario, es decir que si yo vendo hoy en el mercado de futuros vendo dólares [eleva el tono] a cinco meses y dentro de tres meses ya no quiero realizar esa operación entonces... lo que hago es

vender mi contrato de futuros. Sin embargo eso no se puede hacer con los tipos a plazo o *forward*. Yo cuando establezco una compra, un movimiento a plazo cuando llegue el momento de... de vencimiento cuando sea hay hay sea en cubierto hayan pasado esos tres meses de ese año o esos dos años entonces tendré que eh realizar esa operación si he comprado dólares a plazo en ese momento tendré que entregar los euros correspondientes a cambio de los dólares. En el mercado de futuros no [eleva el tono], no necesariamente, ahí tenemos opciones de eh... vender o comprar nuestro contrato antes de que venza [eleva el tono], esa es la principal diferencia. Y dentro de los tipos a futuro hay muchos tipos de contratos a futuro con los que se puede operar en ese mercado ¿Por qué estamos viendo también esta diferencia entre tipos de cambio al contado y a plazo? [tono descendente] Porque esto nos va a servir para ver las diferencias en eh... de los tipos de cambio que utilizamos para estudiar las teorías de las paridades de intereses y la paridad del poder adquisitivo que vamos a ver a continuación. Antes de pasar a eso ¿cómo se define la expectativa de apreciación o de depreciación de una moneda? [tono descendente] Se define como e [eleva el tono] y e es igual al tipo de cambio *forward* menos el tipo de cambio *spot* partido por el tipo de cambio *spot* por cien. Si ese valor es mayor que cero se dice que la moneda cotiza con... descuento. Si cotiza con descuento es porque hay una expectativa de depreciación de la moneda, entonces si e es mayor que cero la moneda cotiza con descuento y repito hay una expectativa de depreciación [eleva el tono]. *Forward* es el tipo de cambio a plazo. Si e es menor que cero entonces se dice que la moneda cotiza con prima, y si cotiza con prima es porque lo que hay es una expectativa de apreciación [eleva el tono] de la moneda [pausa]. Ahí por ejemplo podríamos tener tipo de cambio dólar euro [eleva el tono], que es el tipo de cambio del euro que es lo que estábamos viendo como ejemplo, entonces si ahí tenemos el tipo de cambio del euro claramente si el tipo de cambio *forward* por ejemplo es uno coma treinta y el tipo de cambio *spot* es

uno coma veinte ¿qué ocurre? [pausa, esperando respuesta] Si es mayor el tipo de cambio *forward* que el tipo de cambio *spot*, en el futuro o a plazo nos van a dar más dólares [ralentiza el discurso] por cada euro por lo tanto eso significa que la moneda cotiza ¿con qué? [pausa, esperando respuesta] [INTERVENCIÓN ESTUDIANTE] (alumno responde) Con descuento y lo contrario si e es menor que cero entonces la moneda va a cotizar con premio [pausa]. Con estos conocimientos vamos a pasar a ver que son las paridades internacionales [pausa] [murmullo]. Dentro de este apartado vamos a ver lo que es la teoría de la paridad de intereses en sus dos versiones tenemos paridad cubierta [eleva el tono], que es la primera que que aparece aquí, y luego tenemos la paridad descubierta [eleva el tono] y después hablaremos de lo que es la teoría de la paridad y el poder adquisitivo. Estas teorías se entiende que se cumplen más a largo plazo. Hemos estudiado el equilibrio en el mercado de divisas, lo que hemos estudiado de igual eh... oferta igual a demanda etcétera eso más en el corto plazo, entonces lo que veremos ahora de la paridad de intereses son teorías que si se cumplen [eleva el tono], si se cumplen esas condiciones parece que se tendrían que cumplir a largo plazo y en determinadas circunstancias no siempre. Vamos a ver en que consiste en primer lugar la paridad cubierta de los tipos de interés. Eh... antes de entrar en... en cada una de ellas se trata de que se igualen las rentabilidades esperadas de las monedas, es decir que si nosotros invertimos en euros o invertimos en dólares si se cumplen estas paridades lo que esperamos cada contrato es que las rentabilidades esperadas de invertir en distintas monedas se igualen [pausa]. Vamos a imaginar, opción uno que la rentabilidad del bono es igual a uno más el tipo de interés, eso sería en nuestro país, rentabilidad de cualquier inversión en general. Si pensamos en la rentabilidad en el extranjero, asterisco es el extranjero, sería uno partido por el tipo de cambio *spot* por uno más i asterisco, es decir estamos convirtiendo la moneda para... eh... poder igualar las rentabilidades, para poder

comparar las dos rentabilidades, por eso dividimos por el tipo de cambio *spot* o al contado uno partido por s, repito s es el tipo de cambio *spot*, por uno más i asterisco, i asterisco sería el tipo de interés en el extranjero; si seguimos pensando en euros y dólares r b sería uno más el tipo de interés en la zona euro, y uno más i asterisco, i asterisco sería el tipo de interés en Estados Unidos, y el tipo de cambio correspondiente sería el tipo de cambio en euros. Si [eleva el tono] queremos utilizar también el tipo de cambio a plazo, que es f de *forward*, porque lo que hacemos es cambiar hoy nuestra moneda por dólares para invertir y después en el futuro volver a cambiar esos dólares por euros para después igualar [ralentiza el discurso] eh... el valor que obtenemos allí de nuestra inversión tendríamos que multiplicar la segunda opción por f, repito f es el tipo de cambio a plazo, s es el tipo de cambio *spot*, tendríamos f partido por s por uno más i asterisco. Eso nos daría la rentabilidad de obtener la misma cantidad en Estados Unidos. Imaginaros que invertimos un millón de euros y que lo invertimos en Europa y lo invertimos en Estados Unidos para que se cumpla la paridad de... eh... tipos de interés, la paridad cubierta esta condición se tienen que igualar las rentabilidades [ralentiza el discurso] y lo que obtendríamos de igualar esas rentabilidades, en principio si lo igualamos, si eh... lo igualamos tal y como están ahí puestos tendríamos que [P. ESCRIBE EN LA PIZARRA] f partido por s por uno más i asterisco sería igual a uno más i, y si de aquí pasamos el tipo de interés eh... extranjero abajo tendríamos que [P. ESCRIBE EN LA PIZARRA] f partido por s es igual a uno más i partido por uno más i asterisco, que no es exactamente lo que tenemos aquí, lo que ocurre es que eh... si pensamos en una aproximación para hacer más sencilla esta teoría podemos transformarlo en esta expresión: el tipo de interés nuestro que no es el tipo de interés extranjero será igual a la diferencia o lo que es lo que nosotros veíamos antes como prima o descuento a lo que era esto de aquí es la e que veíamos hace un momento la expectativa de depreciación de una moneda, f

menos s partido por s si lo comparáis con lo que teníais eh... antes de en la anterior transparencia tenéis ahí si la moneda cotiza con descuento o con prima. ¿Qué nos dice esta expresión? [tono descendente] Nos dice que el diferencial de intereses se iguala a la expectativa de depreciación o apreciación de la moneda. Es decir que si el tipo de interés nuestro es mayor al tipo de interés en Estados Unidos lo que va a ocurrir es que el tipo de interés, el tipo de cambio perdón, a plazo va a ser mayor que el tipo de cambio de contado [tono ascendente]. Tenemos un tipo de interés mayor, repito ¿repito? [INTERVENCIÓN ESTUDIANTE] (alumno/as asienten) Decía ¿qué significa esta expresión? [tono descendente] Significa que si el tipo de interés [pausa] europeo, en la zona euro, es mayor al tipo de interés extranjero, Estados Unidos por ejemplo [pausa], la primera parte de esta igualdad va a ser positiva y eso implica que la segunda también lo sea, es decir que el tipo de cambio a plazo [eleva el tono], el tipo de cambio a plazo [repite] va a ser superior al tipo de cambio al contado [pausa]. ¿Cómo se traduce esto? [tono descendente] Si esperamos obtener [ralentiza el discurso] una mayor rentabilidad en nuestro país que en el extranjero es porque nuestra moneda tiene una expectativa de depreciación, va a perder valor en el futuro, por eso estamos ofreciendo una rentabilidad mayor, eso significa esta esta condición. Que si se cumple [eleva el tono] la paridad cubierta de los tipos de interés, entonces el que nuestro tipo de cambio a plazo sea mayor que el tipo de cambio *spot* eso lleva a que estemos ofreciendo también rentabilidades mayores para nuestros activos. Esto podríamos pensar que pasa en Estados Unidos ahora mismo si pensamos al contrario que nosotros somos Estados Unidos entonces en Estados Unidos si ofrecen una rentabilidad mayor es porque hay una expectativa de depreciación del dólar con respecto al euro. Y lo contrario, si nuestro tipo de interés fuese más bajo que en el extranjero como podríamos pensar que pasa ahora en... en la Eurozona será porque nuestra moneda cotiza con prima en lugar de

cotizar con descuento. Si nuestra moneda cotiza con prima la expectativa sería expectativa de apreciación de la moneda y entonces el tipo de interés sería más bajo aquí que en el extranjero [pausa]. En este caso para ver la teoría de la paridad de intereses lo que hemos utilizado es el tipo de cambio a plazo y el tipo de cambio al contado, por eso se llama teoría de la paridad de intereses cubierta [eleva el tono] porque nos estamos cubriendo del riesgo de apreciación o depreciación de la moneda en esta inversión. Cuando hacemos la inversión en Estados Unidos lo que estamos haciendo es vender el dólar a plazo [eleva el tono] sabiendo ya los euros que nos van a dar hoy. Es decir nosotros tenemos euros queremos invertir en euros [eleva el tono] en nuestro en Europa y también esos euros los queremos invertir en Estados Unidos tenemos que cambiarlos por dólares. Los cambiamos hoy al tipo de cambio *spot* pero los cambiamos también a plazo [eleva el tono], los cambiamos los dólares en euros para ya [eleva el tono] saber cuantos euros vamos a obtener dentro de tres meses si esta operación fuera a tres meses, entonces al final lo que comparamos es la rentabilidad de invertir la misma cantidad de dinero en dos países distintos. Esto es también una forma de ver si nos interesa invertir o no invertir en el extranjero, estamos comparando rentabilidades esperadas pero en este caso el resultado de esta operación sería seguro es decir que si ya hoy [eleva el tono] estamos comprando y vendiendo los dólares sabemos a ciencia cierta lo que vamos a obtener, cual va a ser nuestra rentabilidad esperada. ¿Cuándo de nos cuándo optaremos por la... opción dos? [tono descendente] Cuando r_b asterisco sea mayor que r_b . Si esta condición no se cumple, que puede ocurrir que no se cumpla temporalmente, ya hemos dicho que es una condición de largo plazo, si a corto plazo no se cumple entonces lo que podríamos hacer es invertir donde nos sea más rentable. Ya digo si no se cumple, eh... si se igualan las rentabilidades esperadas tampoco se va a cumplir esta condición. Puede ocurrir que obtengamos que el diferencial de intereses es mayor que la

expectativa de depreciación de la moneda en ese caso nos interesa invertir en Europa. Si esto es mayor que esto, si diferencial de intereses es mayor que la expectativa de depreciación invertiremos en nuestro país y si es menor invertiremos en el extranjero para obtener un beneficio [pausa]. Porque si es mayor la rentabilidad que vamos a obtener es mayor que la expectativa de depreciación entonces nos compensa invertir [eleva el tono] [pasua]. Vamos a ver algo muy similar pero en este caso es paridad no cubierta de tipos de interés. También es la misma teoría la de paridad de intereses que nos habla de rentabilidades futuras pero en este caso se llama paridad no cubierta ahora veremos por qué. De nuevo tenemos la opción de invertir o bien en nuestro país o bien en el resto del mundo. Si invertimos en nuestro país obtendremos la rentabilidad que nos da el tipo de interés uno más i , y si invertimos en el resto del mundo obtendremos uno más i asterisco pero multiplicado por uno partido por el tipo de cambio *spot* para convertirlo en euros [pausa]. Si [eleva el tono] eh... la inversión que realizamos en el extranjero queremos de nuevo es decir la primero convertimos los euros en dólares que es lo que hacemos <incomprensible> por s pero después los dólares los tendremos que volver a convertir en euros para comparar las inversiones entonces multiplicamos en el numerador por s que arriba lleva una e , s_e [eleva el tono] es el tipo de cambio *spot* pero el esperado. Eso es la única diferencia con respecto a lo que veíamos en la página anterior de la paridad cubierta [eleva el tono]. La paridad no cubierta [eleva el tono] nos habla de rentabilidades esperadas [eleva el tono], mientras que la paridad cubierta nos habla de rentabilidades futuras pero que son ciertas porque utilizamos el tipo de cambio a plazo. Aquí utilizamos solamente el tipo de cambio *spot*, el actual y el esperado. ¿Cómo se conoce el tipo de cambio esperado? [tono descendente] Con predicciones. Los bancos otras instituciones realizan predicciones de lo que será el tipo de cambio *spot* [eleva el tono] en el futuro, eso es el tipo de cambio esperado s_e y es diferente a f al tipo de cambio

forward, el *forward* cotiza hoy mismo en el mercado. Vamos al mercado de divisas hoy y sabemos cual es el tipo de cambio a plazo del euro a plazo de tres meses, a plazo de seis meses, etcétera. Sin embargo en el mercado no nos va a decir cual es el tipo de cambio esperado, el esperado son cálculos en función de la evolución de las variables macroeconómicas. ¿Tenéis alguna duda? [pausa esperando pregunta o confirmación] Hacemos lo mismo que antes, igualamos las rentabilidades esperadas y [eleva el tono] lo que obtenemos es [eleva el tono] algo parecido a lo que obteníamos antes, aquí eh... lo tenemos despejado de otra forma, pero al final ya digo que lo podemos expresar igual que lo expresábamos antes. Si igualamos exactamente lo que tenemos en la opción uno y en la opción dos, como ya hemos visto nos da [P. ESCRIBE EN LA PIZARRA] que uno más i es igual en este caso a s asterisco, s e perdón s esperado partido por s por uno más i asterisco. Aquí lo que después de ha hecho es después pasar este uno [eleva el tono] restando al otro miembro y nos queda que el tipo de interés pues es igual al cociente entre el tipo de cambio *spot* esperado y el actual [eleva el tono] por uno más i asterisco menos uno [eleva el tono] y aquí esto sería lo mismo el el uno y el uno los podríamos eh... eliminar y esto lo ponemos en términos, este puntito de arriba sería en términos de variación, sería s e menos s partido por s. Pero si lo queréis expresar igual que lo teníamos antes para no tampoco eh... confundirnos entonces sería [P. ESCRIBE EN LA PIZARRA] i menos i asterisco que es en realidad lo mismo que esa expresión es otra forma de verlo, sería s e menos s partido por s así [pausa]. También a veces lo podéis encontrar como como os viene ahí que el tipo de interés en nuestro país tiene que ser igual al tipo de interés extranjero más la expectativa de depreciación de la moneda. Si la rentabilidad en nuestro país iguala la rentabilidad en el extranjero más la expectativa de depreciación de nuestra moneda entonces se cumple la teoría de la paridad no cubierta de los tipos de interés. Como solo se cumplen en largo plazo los diferenciales en

rentabilidad a corto plazo son utilizados por los inversores por los agentes del mercado para eh... decidir donde invierten su dinero. Pero lo más [eleva el tono] importante de estas teorías la el mensaje que tenéis eh... que sacar de aquí o lo que tenéis que que aprender es que cuando comparamos el tipo de interés en España y el tipo de interés en... Asia, o en cualquier país de Asia por ejemplo en Singapur y el tipo de interés en Estados Unidos no podemos simplemente comparar i [eleva el tono] con i^* y ya está, tenemos que tener en cuenta las expectativas de apreciación o depreciación de las monedas implicadas en la operación para saber cual es realmente el eh... beneficio que vamos a obtener de una operación de inversión. Porque si nosotros hoy cambiamos nuestro dinero por otra moneda e invertimos cuando lo recuperemos dentro de tres, dentro de seis o diez meses o dentro de un año vamos a querer eh obtener unos beneficios. Si [eleva el tono]

va a haber un un cambio en la cotización de la moneda en la que estamos operando eso lo tenemos que tener en cuenta, lo tenemos que contar [eleva el tono] cuando invertimos para saber cual será nuestra rentabilidad futura a esperar. De esto con Joan haréis ejercicios en las clases de prácticas y creo que entonces también quedará más claro, ya veréis con una cantidad concreta [eleva el tono] dónde se puede invertir, se puede invertir en Europa por ejemplo en el Estados Unidos y ver con el tipo de cambio actual y el tipo de cambio futuro o el tipo de cambio esperado donde conviene más invertir. Pasamos a ver lo que se entiende por la teoría de la paridad del poder adquisitivo [ralentiza el discurso] [pausa] [murmullas]. Esta teoría [pausa] entorno de una teoría de largo plazo, ¿vale? ¿atendéis? Terminamos esto y... y ya dejamos el <incomprensible> un poco más de paciencia. Esta teoría de la paridad de poder adquisitivo esta basada también en lo que se llama la ley del precio, de un precio único. Aquí lo que vamos a introducir son los precios estábamos hablando de tipos de interés y de tipos de cambio ¿qué ingrediente nos falta? [tono descendente] Los precios

para hablar de el largo plazo. ¿Qué nos dice la ley de un precio único? [tono descendente] Nos dice que [eleva el tono] el precio de un bien expresado en distintas unidades monetarias tendría que igualarse si [eleva el tono] lo convertimos en una misma moneda utilizando el tipo de cambio [pausa]. Repito, el precio de un bien [eleva el tono], por ejemplo un litro de leche, expresado en distinta moneda, expresado en euros y en dólares, tendría que coincidir [eleva el tono], tendría que igualarse si utilizando el tipo de cambio lo expresamos en la misma moneda [pausa]. ¿Os parece que esto se cumple? [pausa, esperando respuesta] ¿Sí? ¿Crees que sí? Bueno se cumple si se cumplen una serie de condiciones y aparte es una condición de largo plazo como decíamos. Si nosotros, si comparáis directamente cuando salís al extranjero un litro de leche lo que vale aquí y lo que vale en Suecia no va a coincidir, exactamente no va a coincidir. De todas formas ¿cómo expresamos la condición? [tono descendente] El precio del extranjero p_j^* se refiere a un bien j , un bien concreto, p_j es el precio aquí será igual a p_j^* el precio en el extranjero por el tipo de cambio, *spot* o al contado. Esta ley de un precio único es lo que se llama, si la eh... aplicamos a toda una economía, lo de arriba sería para para un solo bien el precio de un litro de leche, el precio de una mesa, el precio de un kilo de naranjas, eso es la ley de un precio. Pero si todos [eleva el tono] los bienes más o menos cumplen [eleva el tono] esa condición entonces es lo que se llama la versión absoluta de la teoría de la paridad del poder adquisitivo. Y es que el precio en nuestro país podría ser un índice de precio es igual al precio en el extranjero por [eleva el tono] el tipo de cambio [pausa]. ¿Cuándo se cumplirá la teoría de la paridad del poder adquisitivo? [tono descendente] Se tienen que dar una serie de de de hipótesis que ya vemos que no se cumplen, pero si se cumpliesen entonces sí que [eleva el tono] eh... estrictamente tendríamos la versión absoluta de la PPP . En primer lugar no tendrían que existir barreras [eleva el tono] naturales al comercio, naturales son los costes del transporte, los fletes, incluso eh aunque

el seguro no es algo natural, pero podríamos incluir todo lo... lo que nos encarece una mercancía porque los países están distantes entre sí. En segundo lugar no tendrían tampoco que existir barreras artificiales al comercio entendidas por aranceles, o [eleva el tono] barreras no arancelarias cual de cualquier eh... tipo como ya vimos: cuotas a la importación, eh... restricciones voluntarias a la exportación, cualquier tipo de restricción tampoco tendría que existir. Todos [eleva el tono] los bienes se comercian internacionalmente ¿esto qué os parece que es cierto o que no? [... esperando respuesta] No. A ver ¿un bien que no se comercie o un servicio internacionalmente? [pausa, esperando respuesta] ¿Qué? Pensar en algo que no podáis exportar [pausa, esperando respuesta] que es lo que se llaman bienes no comercializables o servicios ¿por ejemplo? [pausa, esperando respuesta] ¿no se os ocurre nada? [pausa, esperando respuesta] ¿Alguien ha exportado alguna vez una casa? No, una casa se puede o bien un extranjero invertir aquí o nosotros en el extranjero, pero no se puede comercializar internacionalmente [risas] [murmullos], bueno sí las prefabricadas, pero aparte de eso o por ejemplo un servicio, un ejemplo de un servicio [eleva el tono] no comercializable internacionalmente menos... cuando uno vive cerca de la frontera, un corte de pelo nadie va a cortarse el pelo a Francia porque allí es más barato, normalmente nadie lo hace si no es que vive a pocos kilómetros de esta. Entonces, lo que quería deciros [elévelo tono] es que hay muchos bienes no comercializables, aunque ahora parece no se nos ocurren pero hay muchísimos bienes que no tiene sentido el comercio internacional para ellos, y eso hace que si no se comercian todos los bienes sobre todo para los no comercializables no se cumple la ley de un precio y eso hace que no se cumpla la versión absoluta de la **teoría**. Y luego en cuarto lugar los índices de precios interiores y extranjeros contienen los mismos bienes e igual ponderación para cada uno de ellos, esto sí que tampoco se cumple. Porque por ejemplo nosotros tenemos el índice de precios al consumo que se calcula de una forma

determinada que no es la misma a como lo calculan en Estados Unidos, ni tampoco como lo calculan en Japón por ejemplo y para la p/p a ese p y es p asterisco son índices de precios que reflejan el precio medio de todos los bienes en una economía conclusión ¿se cumple o no se cumple la p/p a en en su versión absoluta? [... esperando respuesta] No [eleva el tono], no se cumple porque no se dan todas las condiciones que acabamos de ver aquí, aunque se dice [eleva el tono] que a muy y a largo plazo y en términos relativos y ya lo veremos el lunes que viene para no alargarnos eh... eh entonces en términos relativos teniendo en cuenta los diferenciales de inflación sí [eleva el tono] que podríamos decir que [eleva el tono] aproximadamente se cumpliría esta teoría. **Pues** de momento lo vamos a dejar aquí y terminaremos el tema el próximo lunes con la versión relativa de la teoría de **<incomprensible>**.

LE8

CAMPO: Ciencias Sociales. Empresariales

ASIGNATURA: Dirección Comercial

Nº ESTUDIANTES:

Fecha: 12/05/2005

Duración: 51 minutos

Nº Palabras: 5.213

[INTERVENCIÓN ESTUDIANTE] (alumno/alumna, pide confirmación)

[INTERVENCIÓN ESTUDIANTE] (alumno/alumna argumenta)

[INTERVENCIÓN ESTUDIANTE] (alumno/alumna pregunta)

[INTERVENCIÓN ESTUDIANTE] (alumno/alumna pide repetición)

[varias voces]

[murmullo]

[pausa]: cuando es larga

...: pausa corta, titubeos

[pausa, esperando respuesta]

[ralentiza el discurso]

[repetición, parafrasear]

[repetición, cambio]

[repetición, ampliación]

[repetición parcial]

[repetición]

[tono descendente]: tras una interrogación el profesor expresa carencia de búsqueda de respuesta, es el profesor quien la da

[eleva el tono]

[risas]

cursiva para extranjerismos

[murmullo] Vale bien a ver mientras se va cargando el cañón, eh... os quiero comentar una una [repetición] cosilla. [pausa] [risas] Estáis

todo aprobados espero eh espero [repetición], yo no quiero trabajar en septiembre, así que espero que aprobéis todos ahora. Es con respecto a los planes de *marketing*. Ayer por la tarde a última hora eh... bueno pues me llegó que se habían concedido unas prorrogas a determinados grupos para entregar el trabajo más tarde, entonces eh... [INTERVANCIÓN ESTUDIANTE] (alumna pregunta) sí, el plan de *marketing*, entonces hemos decidido habla eh..., para que todo el mundo esté en igualdad de condiciones, extender la prórroga a todos los grupos por si acaso a alguien le hiciera falta ¿vale? En caso de que el trabajo esté terminado porque hoy es jueves y se debía entregar mañana [murmullo] pues se entra y ya está, [varias voces] ¿cómo que mañana no? [varias voces] [INTERVANCIÓN ESTUDIANTE] (alumna argumenta) claro [INTERVANCIÓN ESTUDIANTE] (alumna argumenta) [varias voces] esa esa [repetición] es la prórroga que yo no sabía [risas] [murmullo] ¿vale? Yo se que en el programa aparece que el día trece sin excusas todo el mundo debe entregar los trabajos y había llegado a mis oídos que había gente que no iba a entregar el trabajo el día trece, ahora ya sé que grupos son, [INTERVANCIÓN ESTUDIANTE] (alumna argumenta) ya pero ahí está el grupo A, el grupo B y el grupo C y no es justo que unos tengan que entregar trabajo antes que otros ¿vale? Bueno pues que lo sepáis si alguien tenía pensao entregar el trabajo en este grupo que veo que no [risas] mañana que puede entregarlo el mismo día de la exposición ¿vale? [murmullo] [INTERVANCIÓN ESTUDIANTE] (alumna argumenta) Ya pero de da daba igual, es decir en el programa figuraba mañana último caso practico y mañana entrega de planes de *marketing*, una es independiente de la otra, y en los otros grupos mañana tienen el caso del Corte Inglés, que creo que es el último, y y [repetición] van a entregar los planes de *marketing*, y lo justo [eleva el tono] es que todos [eleva el tono] los alumnos que cursan dirección comercial tengan los mismos plazos. Vale vamos a... continuar ahora con el... tema. Estamos en..., os recuerdo el comportamiento del consumidor

[pausa]. [murmullo] Vale estábamos viendo los factores que condicionan nuestro comportamiento como consumidores, vimos los factores culturales, vimos también los factores sociales haciendo hincapié en los grupos a los que pertenecemos y los diferentes *roles* y estatus eh... vinculados a a [repetición] ese papel que ejercemos dentro de cada uno de los grupos y la influencia que eso puede tener, a ver..., en el proceso de decisión de compra, vimos también los factores personales y ahora nos quedaría por ver los factores psicológicos [pausa]. Dentro de los factores psicológicos vamos a destacar [pausa] cuatro, que es la motivación, la percepción, el aprendizaje y las creencias y actitudes [pausa]. Motivación nos vamos a referir... [pausa] a esa intensidad, a ese... a esa [repetición] fuerza [pausa] interior que vamos a sentir y que nos va a hacer actuar [pausa] de una manera determinada, es decir cuando un proceso de compra se desencadena, se pone en marcha, es porque hemos sentido una necesidad eso ya lo dijimos al principio ¿vale? Esa necesidad nos provoca un desequilibrio y nosotros vamos a intentar volver al equilibrio, ahora en función de la intensidad ¿vale?, con que sintamos ese equilibrio nosotros vamos a acelerar ese proceso de compra o a ir a a [repetición] un paso digamos más... más [repetición] lento en cuanto a todo lo que es el... el [repetición] proceso de compra, eso depende de nuestra motivación, del empuje ¿vale?, de la fuerza con la que sintamos que debemos cubrir esa necesidad o no, a eso nos referimos cuando hablamos de motivación [pausa]. Cuando hacemos referencia a la percepción [pausa] nos estamos refiriendo a la forma en la que captamos nuestro entorno [pausa]. A nuestro alrededor hay una serie de elementos que componen nuestro entorno y nosotros captamos todos esos elementos, los percibimos y construimos una representación de esos elementos en nuestra mente, que son las imágenes [pausa], lo i, nosotros captamos los elementos del exterior, los percibimos, y construimos imágenes de esos elementos en nuestra mente [repetición parcial] [pausa]. Lo importante con

respecto a este factor es que cada uno de nosotros percibe de manera distinta, porque la percepción es selectiva, es decir nosotros captamos del exterior aquello que nos interesa, es subjetiva, porque luego eh... nosotros lo interpretamos conforme eh... bueno pues a nuestras experiencias, nuestro aprendizaje, nuestras creencias y otra serie de factores que están influyendo y por tanto cada uno de nosotros percibe del exterior o percibe el exterior [repetición parcial] de una manera distinta y construye sus imágenes en el interior [pausa]. El que cada uno perciba de una manera distinta pues hace que luego actúe [eleva el tono] o pueda comportarse de formas distintas [pausa] ¿vale? En tercer lugar debemos tener también en cuenta el aprendizaje [eleva el tono]. El aprendizaje es la suma de las experiencias [pausa]. Nosotros a lo largo de nuestra vida vamos pasando por un continuo de experiencias y la suma de todas estas experiencias es lo que nosotros entendemos como el aprendizaje. Nosotros aprendemos de todas esas experiencias [pausa] ¿qué ocurre? [tono descendente] Que cada uno de nosotros tiene diferentes experiencias y por lo tanto cada uno de nosotros tiene un aprendizaje distinto [pausa] y ese aprendizaje va a influir también en nuestras decisiones de compra [eleva el tono] en este caso eh... en nuestro comportamiento como consumidores [pausa]. Y por último nuestras creencias, nuestras ideas [pausa], nuestros valores que nosotros como individuos tenemos y que a su vez vienen influidos por eso por esos [repetición] factores culturales, sociales y personales, van a hacer que nosotros mantengamos [pausa] una actitud ante determinados comportamientos que puede ser diferente a la actitud o predisposición a actuar ¿vale?, actitud la podemos definir como predisposición a actuar, distinta a otros [pausa] ¿eh?, como de esas ideas, de esas creencias, de esos valores que nosotros como individuos tenemos que son fruto de esos factores culturales, de esa cultura en la que estamos inmersos, de los factores sociales ¿eh?, de la influencia que tienen los grupos en nosotros y eh... también de

la suma de todas esas experiencias de ese aprendizaje ¿vale? Todo esto [eleva el tono], toda esta serie de factores van a influir en nosotros como consumidores, van a influir en nosotros como individuos pero también en nuestra faceta de consumidores ¿vale? Y se van a ver eh reflejados en todo lo que es el proceso de compra ¿vale?, y nosotros vamos a ver que influyen en todas esas fases por las que eh pasamos a la hora de tomar una decisión de compra. Vamos a ver ahora cuáles son esas esas [repetición] fases [pausa]. Aquí tenéis una serie de... eh... transparencias que os las hemos añadido pa por si os sirven para entender lo que es la... la [repetición] motivación ¿vale?, que es ese impulso que nos va a permitir eh... actuar de una manera más acelerada o más lenta en un proceso de compra, tenéis también la escala o la pirámides de necesidades ¿vale?, que ya vimos en en [repetición] su día, pero os la hemos incluido y también bueno pues las diferentes formas de percibir [eleva el tono] ¿vale?, de captar [pausa]. Vale, vamos al proceso de... de [repetición] decisión de compra. El proceso de decisión de compra como ya os comenté en su día son cinco fases. Nosotros cada vez que tomamos una decisión de compra seguimos este proceso ¿vale?, lo que pasa que cuando veamos los tipos de compra veréis que eh... es cierto que algunas veces lo realizamos de forma inconsciente, es decir, no no [repetición] somos conscientes de que estamos pasando por cada una de estas etapas ¿vale? Pero siempre se pasa por... por [repetición] ellas, lo que pasa que algunas son tan rápidas [eleva el tono] , son tan automáticas [elévelo tono] que nosotros no somos conscientes de... de [repetición] ellas. Esas cinco etapas son en primer lugar el reconocimiento de que hay un problema, de que hay una necesidad, es cuando sentimos una necesidad que debe ser cubierta y en este caso como estamos eh... dentro de lo que es comportamiento de consumidor por un producto o un servicio [pausa]. Esa necesidad como hemos visto podemos sentirla [eleva el tono] porque se no as se nos a [repetición] estimulado externamente a través de estímulos

externos [repetición, parafrasear] como puede ser la publicidad, como puede ser la promoción de... de [repetición] ventas, como puede ser el acudir a un determinado establecimiento y entonces producirse pues eh... pues un proceso de compra impulsiva, es decir un estímulo externo que puede [repetición parcial] pincharnos ¿vale? para nosotros sentir que tenemos esa necesidad o... cualquier factor del entorno ¿vale? en el cual nosotros pues estamos ubicados ¿no?, algún factor cultural, social, económico, etcétera que haga que nosotros sintamos [eleva el tono] que tenemos una necesidad. También internamente ya hemos visto que eh... hay una serie de factores que podrían poner de manifiesto que tenemos una necesidad ¿vale?, que la sentimos [pausa]. En todo caso en el momento en que se manifiesta lo que si que se produce es un deseo un desequilibrio [repetición ampliación] que nosotros vamos a tender [eleva el tono] a volver a una situación normal, a una se a una situación [repetición ampliación] de equilibrio ¿vale? Por lo tanto el segundo paso va a ser buscar información, buscar alternativas que nos permitan volver a ese equilibrio [pausa]. ¿Os acordáis cuando... hablábamos de necesidades, deseos y demanda? Bueno pues ahora vamos a buscar las diferentes formas de cubrir esa necesidad que tenemos, las diferentes alternativas, los deseos [eleva el tono] que comentábamos [pausa]. Esta es la segunda de las fases que es la búsqueda de información. Esa búsqueda de información se puede realizar de dos maneras [pausa], podemos realizar una búsqueda activa de información [pausa], porque el desequilibrio es importante, porque sentimos esa necesidad [pausa] de manera eh... intensa, fuerte y hay una gran motivación [eleva el tono]. Cuando se trata de una búsqueda activa de información lo que vamos a hacer es acudir a las fuentes [eleva el tono] de información, iremos nosotros a buscar esa información [pausa], acudiremos a las fuentes [repetición, parafrasear]. Las principales fuentes de información son estas cuatro que tenéis aquí [pausa]. En primer lugar y aunque aquí aparezca eh... en cuarto lugar, acudiremos a nosotros mismos, es

decir si nosotros ya tenemos experiencia, hay un aprendizaje [repetición, parafrasear], lo más fácil, lo más rápido, lo más automático es poner el cerebro en marcha y ver si tenemos información ¿vale? Por lo tanto la primera de las fuentes a las que se acude es lo que se conoce como fuente experiencia, si yo he consumido, si yo ya he usado, si yo lo he probado o lo he podido manipular ¿vale?, tengo conocimientos, bueno pues puedo utilizarlo [pausa] sino, si no lo he hecho o no es suficiente acudiré a otras fuentes, por ejemplo puedo acudir a fuentes personales, es decir a aquellos que tengo a mi alrededor, a esos grupos que comentábamos ayer de pertenencia, eh ayer no el martes, de pertenencia de carácter primario, es decir a mi familia, a mis amigos, mis compañeros de... estudio, de trabajo, mis vecinos, es decir todos aquellos que tengo próximos a mí y a los que yo puedo recurrir en busca de información [pausa], preguntando acerca de sus experiencias, de su aprendizaje[pausa]. También puedo recurrir a fuentes comerciales [pausa], es decir la organización pone a disposición de su mercado información [pausa] ¿a través de qué? [tono descendente] Pues a través de los envases y de las etiquetas, a través de la publicidad, a través de su equipo de ventas, de su fuerza de ventas, a través de sus distribuidores [pausa], yo puedo obtener información pero es una información de carácter parcial [eleva el tono], es decir proviene de la propia organización. Y yo también puedo recurrir en último lugar a lo que se conoce como fuentes públicas [pausa], información que proviene no de... individuos que tengo a mi alrededor con los que yo mantengo una relación personal, pero tampoco proviene de la de la [repetición] organización sino que es una información de carácter imparcial que pueden eh... emitir pues instituciones públicas..., asociaciones de consumidores y usuarios o incluso los medios de... comunicación cuando realizan reportajes o informes sobre determinados productos o servicios, pero no pagados por la organización [ralentiza el discurso] porque en ese caso si ¿vale?, si [repetición] se trata de un

publirreportaje no de un reportaje, si es un publirreportaje es porque es publicidad ¿vale? Es decir la organización está pagando por eh... ese reportaje. Cuando es la... el [repetición, cambio] propio medio de comunicación, la revista por ejemplo la que decide elaborar un reportaje sobre diferentes productos ¿vale?, y hace por ejemplo pues un estudio para ver cuáles son sus características, sus ventajas, sus inconvenientes, bueno pues eso se eh... trataría de una fuente pública [eleva el tono] ¿vale? Porque es el medio el que está realizando y el que está detrás de ese, de ese [repetición] reportaje ¿de acuerdo? [pausa] Bueno yo puedo acudir a todo este tipo de fuentes cuando se trata de una búsqueda activa de información, pero yo también puedo recibir [eleva el tono] información, sin ir a buscarla [pausa], en ese caso esa información se capta [eleva el tono] si el individuo mantiene una atención intensificada [pausa] ¿vale? Por lo tanto yo tengo dos formas de recoger información, ir a buscarla activamente o esperar a que me llegue, pero a mí solo me llegará [eleva el tono] si mantengo una atención [eleva el tono] intensificada y voy a explicarme ¿vale? [INTERVENCIÓN ESTUDUANTE] (alumno / alumna pide confirmación) Atención intensificada [repetición] [pausa]. Es decir, yo siento esa necesidad ¿vale?, hay un desequilibrio, quiero cubrirla por lo tanto [pausa] voy a voy a [repetición] abrir en plan metafórico ¿no? todos mis sentidos para percibir [eleva el tono] ¿vale? toda aquella información que yo creo que puedo puede [repetición, cambio] ser necesaria para ah... luego tomar la decisión de compra [pausa], entonces voy a permitir [ralentiza el discurso] captar del exterior todo aquello que... que [repetición] pueda interesarme en este momento, mantengo la atención intensificada [pausa]. Antes he comentado yo que la percepción es selectiva, es decir yo lo que no quiero ver no lo veo, en este caso ¿vale? voy a hacer que aquello que yo estoy interesado ahora en esta momento, que es cubrir esa necesidad, pues toda la información que haya alrededor yo la pueda captar, ejemplo imaginad que queréis compraros pues el bikini

porque el fin de semana eh... como está haciendo buen tiempo vamos a ir a la playa, un bikini o un bañador, y vamos a pasear esta tarde por la calle En medio y de repente dices ¡u! han puesto una tienda nueva de bañadores y el que llevas al lado dice pero si esa tienda lleva aquí diez años ¿vale? Pero hoy [eleva el tono] ¿vale? que tú has iniciado ese proceso [eleva el tono] ¿vale? Porque has sentido que tienes esa necesidad porque has estado hablando con tus compañeros y habéis organizado un fin de semana en la playa ¿vale?, es cuando paseando te das cuenta de que esa tienda existe ¿vale?, porque tú mantienes una atención intensificada y pasas por ahí y dices ¡qué bañadores más chulos!, ¿no? ¡me gustan! Y... dice esta tienda es nueva la deben de haber puesto ahora y es cuando te dicen no la tienda lleva aquí tres años lo que pasa es que tú te has dado cuenta ahora [eleva el tono] ¿vale? Ahora [eleva el tono] [repetición] que estás inmerso en ese proceso. Eso es una atención intensificada, tú no van a buscar la información, sino que paseando te la encuentras porque la captas en este momento, si a lo mejor no buscaras los bañadores pasarías de largo como los últimos tres años y no te darías cuenta de que existe la tienda ¿vale? A eso me refiero cuando hablo y diferencio entre búsqueda activa y mantener la atención ¿vale? Recogida la información pasamos a la tercera de las fases que es la evaluación de alternativas [pausa]. Bueno yo tengo mucha información, tengo diferentes alternativas, diferentes deseos ¿cómo decido? [tono descendente] Bueno pues voy a decidir en base a esos criterios, a esas prioridades que me van a permitir encontrar aquellas de las alternativas que me proporcione el mayor valor [eleva el tono] [INTERVENICIÓN ESTUDIANTE] (alumna pide repetición) sí [risas] yo he generado información y he encontrado un número determinado de alternativas, de deseos, pero ahora tendré que tomar la decisión de compra, tendré que llegar a una alternativa ¿vale?, a la que yo elijo, a esa llego [pausa] fijando una serie de criterios, una serie de prioridades [pausa] para elegir aquella alternativa que me a proporcionar el mayor valor [eleva el tono]

[repetición, parafrasear] [pausa]. ¿Os acordáis que también vimos en el primer tema que nosotros nos quedábamos con la alternativa que nos daban el mayor valor y que para ello hacíamos una diferencia entre beneficios y sacrificios?, ¿vale? Pues ahora es cuando entran en juego también, ahora yo voy a establecer aquello que yo busco en el producto ¿vale? y lo que estoy dispuesto a pagar, los sacrificios que estoy dispuesto a hacer [repetición, parafrasear] y evalúo las diferentes alternativas en base a esos atributos ¿vale?, a esos beneficios y a esos sacrificios y me quedaré con aquel que salga número uno en ese *ranking* que yo elaboro ¿de acuerdo? El que me proporciona el mayor número de beneficios y el que supone un menor número de sacrificios, el que al final me da el mayor valor [repetición, parafrasear] ¿de acuerdo? Entonces imaginar, aquí tenéis un ejemplo, pues yo quiero comprar un ordenador, he llegado a estas cuatro alternativas A, B [eleva el tono], C y D, elijo los atributos que son capacidad de memoria, capacidad gráfica, disponibilidad de *software* y precio, y en base a ello elaboro una tabla ¿vale? para elegir luego la mejor alternativa ¿vale?, la que a mí [eleva el tono] más me convence, la que va a dar calificaciones más altas en cuanto a capacidad de memoria, entre, en cuanto a capacidad gráfica, disponibilidad de *software* y la que menos dinero me va a suponer [ralentiza el discurso] ¿vale?, menor coste [repetición, parafrasear], ¿de acuerdo? Lo importante en este punto es que cada uno de nosotros establece prioridades distintas, y cada uno de nosotros busca cubrir diferentes beneficios o busca alcanzar diferentes beneficios [repetición, parafrasear] con los productos y algunos están dispuestos a hacer mayores sacrificios que otros, por lo tanto, mayores sacrificios, algunos están dispuestos a hacer mayores sacrificios que otros [repetición], y los beneficios que se buscan también son distintos ¿vale?, y eso hace que optemos por diferentes alternativas [pausa], es decir, nosotros eh... necesitamos desplazarnos a la universidad vamos a comprarnos un automóvil y tenemos diferentes alternativas, si ahora yo preguntara cuáles son

vuestras [eleva el tono] prioridades ¿vale?, seguro que son distintas, seguro que la mayoría eh eh dice o o [repetición] nombra atributos en los primeros puestos diferentes ¿vale?, entre todos vosotros. El otro día, por ejemplo, oí un comentario dentro del grupo de... amigos de una persona que le daba igual cómo fuera el coche mientras fuera negro, es decir, prioridad [risas] yo enseguida me vino el coche de la funeraria yo dije negro, prioridad el color [eleva el tono] ¿vale? [murmullo] A esa persona lo que más le interesaba, y lo que eh..., sobre lo que iba a basar toda su evaluación era el color [eleva el tono] [murmullo]. Otro podría decir hombre yo como estoy esperando gemelos a mí más me interesa es un buen maletero ¿vale?, porque tengo que meter no un carrito sino dos ¿vale?, por lo tanto la capacidad del maletero [murmullo]. Otro diría pues no a mí lo que más me gusta es que tenga un estilo deportivo ¿vale?, que... no sé lleve llantas y un equipo de música con... ocho altavoces, pues ese estaría pensando en a lo mejor los elementos de... de interior y el estilo del coche [murmullo]. Otro puede decir que a él lo que más le preocupa es el consumo ¿vale?, a ver, y tener en cuenta eh pues las características del motor y el consumo del coche [murmullo]. Y así podríamos seguir preguntando ¿vale?, lo que veríamos [pausa], lo que veríamos [repetición] es que en función de nuestras características personales ¿vale?, y en función eh... de esos factores que influyen en el proceso de compra, nosotros llevaríamos a cabo evaluaciones distintas, y a lo mejor ante el mismo grupo de alternativas las evaluaríamos de diferente manera y el *ranking* que nos saldría al final sería distinto ¿vale?, porque nuestras prioridades en base a esas características son distintas ¿de acuerdo? [pausa]. Vale, hecha la evaluación tenemos un número uno ¿vale?, tenemos una alternativa que ha quedado en primer lugar y esa es nuestra opción de compra [eleva el tono] ¿vale? Nosotros vamos a por ese producto, tenemos intención de adquirir [ralentiza el discurso] ese producto [pausa], pero entre la intención y la compra puede suceder hechos o pueden influir individuos que hagan que esa compra no se

lleve a cabo. [INTERVENCIÓN ESTUDIANTE] (alumna pide repetición) Sí, entre la intención y la propia decisión de compra [pausa] pueden eh... suceder determinados hechos o influir determinados individuos que hagan que al final no se lleva a cabo esa compra [repetición parcial] en este momento [pausa], y esto que suena muy académico ya veréis que sencillo es, es tan sencillo como que lleguemos al establecimiento y se haya agotado el producto ¿vale? [pausa] Eso es un factor imprevisto después de todo ese proceso que hemos hecho tan concienzudo llegas allí y no está, se lo han llevao ¿vale? O... que tú hayas elegido, hayas hecho tu evaluación de alternativa ¿vale?, pero como tú eres el comprador [eleva el tono] pero no eres el pagador [eleva el tono] del coche, que es vuestro padre, diga de eso nada, ese... superdeportivo que habéis elegido ni hablar, ve ve [repetición] cambiando esas prioridades que tienes, ve cambiando la evaluación de alternativas que... no me convence el precio ¿vale? Porque en un proceso de compra hay diferentes figuras, el que compra [eleva el tono] no tiene porque ser el que paga [eleva el tono] ¿vale?, que realiza el proceso ¿de acuerdo? Por tanto a la hora de tomar la decisión de compra [ralentiza el discurso] puede influir esa persona ¿de acuerdo? Por lo tanto, la influencia de terceras personas o hechos imprevistos pueden hacer que no [eleva el tono] se lleve, es decir que se tenga la intención pero que al final no se lleva a cabo esa decisión de compra. En caso de que no se lleve, bueno, simplemente puede suponer un retraso, por ejemplo el producto se ha agotado pero lo van a reponer ¿vale?, pues posponemos esa compra, o... eh.... nos hemos quedado, ha surgido una necesidad más inmediata vamos a dedicar ahora nuestro presupuesto, nues nuestros recursos a otra compra pero nosotros tenemos decidido adquirir ese producto, ese coche, y a lo mejor dentro de seis meses pues lo puedo adquirir, por ejemplo, un retraso. Si... las circunstancias es que eh... yo no puedo alcanzar esa alternativa pues entonces tendríamos que volver a reiniciar ese proceso en el caso de o generar más información o...

llevar a cabo una nueva evaluación de todas esas alternativas ¿vale? Si la decisión se lleva a cabo compramos el producto y por lo tanto vamos a consumirlo o vamos a usarlo llegaremos a la quinta de las fases ¿vale? Que son las sensaciones postcompra [pausa]. El comportamiento postcompra es fundamental hoy en día porque hablamos de un *marketing* de relaciones, de mantener la relación, de que el cliente repita, de conseguir la fidelidad de ese cliente y eso solo [eleva el tono] lo conseguimos si el cliente ha quedado satisfecho, y eso solo [eleva el tono] lo sabemos ¿vale? si llegamos a cabo un seguimiento ¿vale?, y conseguimos averiguar sus sensaciones postcompra. Si... nuestro producto o servicio ha conseguido igualar sus expectativas o incluso superar las expectativas que él tenía nuestro cliente estará satisfecho [pausa]. Si no lo hemos conseguido ¿vale? quedará insatisfecho ¿vale?, porque sus expectativas son mayores que lo que en realidad se ha encontrado tras el uso o el consumo [pausa]. Y si no lo sabe, no sabe si está satisfecho o no [repetición, parafrasear], lo que se está produciendo es una disonancia cognitiva, que es simplemente tener dudas ¿vale?, disonancia cognitiva [repetición] [pausa], es cuando uno no está seguro [repetición, parafrasear] ¿vale?, tiene dudas de la compra que ha hecho [repetición, parafrasear], es cuando nada más salir del establecimiento empezamos a pensar, no me debería haber quedado en rojo en vez del azul [risas] ¿vale? Eso es la disonancia cognitiva, tener dudas [eleva el tono] acerca de la adquisición que acabas de hacer ¿vale?, y no es bueno, porque las dudas ¿vale? provocan incertidumbre, y ese estado de duda lleva a insatisfacción normalmente, por eso... en los establecimientos... si saben que tú has estado dudando cuando pagas [eleva el tono] te dicen, has hecho bien al final en coger el azul porque el rojo como que no ¿vale?, porque de esa manera uno sale más convencido del establecimiento ¿de acuerdo? Los comentarios que nos hacen al pagar acerca de lo bien que has hecho en quedarte este producto, no sabes el chollo que te llevas [risas], vas a estar contento toda tu

vida, no te va a fallar, son todo comentarios encaminados a reducir las dudas ¿vale?, para que tú nada más cruces la puerta del establecimiento estés seguro de la compra que has hecho ¿vale? [murmullo] O en compras de mayor implicación, que a lo mejor vosotros no habéis realizado todavía, cuando te envían la carta a casa, por ejemplo te has comprado un coche y al cabo de un mes recibes una carta diciendo enhorabuena es usted un propietario de tal marca, un producto que va a poder disfrutar durante... toda su vida, eso no es cierto pero bueno, y... confirmandote ¿no? la buena adquisición que has hecho [murmullo] [pausa]. Las disonancias hay que conseguir reducir las porque conllevan insatisfacción ¿vale? Si alguien sale con dudas, llega a casa con dudas y sigue con dudas, eso al final conduce a insatisfacción [pausa] y si hay insatisfacción [pausa] y nosotros no hacemos nada, bueno pues ese cliente lógicamente lo hemos perdido ¿vale? [pausa], no volverá a comprar, incluso puede llevar a cabo acciones ¿vale?, porque una cosa es que no nos compre más, pero otra cosa es cuando empieza a decírselo a todo el mundo que tiene a su alrededor ¿vale?, ya, el problema ya no es que no nos compra él, es que muchos [eleva el tono] no nos van a comprar. O cuando incluso decide hacer acciones como eh... presentar reclamaciones en asociaciones de consumidores o usuarios, o ir directamente a los tribunales ¿no? Por lo tanto, ¿qué es lo que hay que hacer? [tono descendente] Saber si nuestros clientes están satisfechos o no..., poner a disposición de ellos mecanismos de reclamaciones [ralentiza el discurso], que nos lleguen sus quejas ¿vale?, porque que nos lleguen no es malo, nosotros cuando nos llegan las quejas podemos tener una segunda oportunidad con nuestros clientes, podemos resolver esa queja y que el cliente quede satisfecho ¿vale? Es más, y lo comenté en su día, nosotros los españoles somos de esos que cuando ponemos una reclamación y nos la... resuelven estamos más [eleva el tono] que satisfechos, ya somos fieles para toda la vida con... con [repetición] esa empresa, ¿vale? Tenemos ese carácter, ahora

también es cierto que nos cuesta mucho quejarnos ¿vale? [murmullo] Nosotros somos los que... se lo decimos a todo el mundo alrededor menos a quien se lo tenemos que decir que es a la empresa, y en eso también debemos educarnos [eleva el tono] ¿vale? [murmullo] Bueno y para acabar con esto vamos a ver los tipos de compra [pausa] [murmullo]. Podemos hablar de cuatro tipos de compra diferentes ¿en base a qué? [tono descendente] En base a si vamos a encontrar una alta diferenciación entre los productos que se nos ofrecen, es decir hay diferenciación, hay diferencias significativas entre las marcas y somos capaces de diferenciarlas o no, o hay poca diferenciación [pausa]. Y por otro lado si existe una alta implicación por parte nuestra en ese proceso de compra [pausa] o no existe [pausa], una alta implicación [repetición], es decir vamos a ser muy conscientes de que vamos a llevar a cabo un proceso de compra ¿vale?, vamos a buscar activamente información, vamos a llevar a cabo una evaluación de alternativas [pausa] tomando en consideración posbeneficios que buscamos y los sacrificios que estamos dispuestos a... a [repetición] hacer, vamos a recurrir a un número importante de... de [repetición] fuentes, porque hay una alta motivación, hay una intensidad fuerte, y además el... desembolso económico es importante. Eso son compras de alta implicación [pausa]. Por contra, las de baja implicación son aquellas que tú no tienes una un [repetición, cambio] gran desequilibrio ¿vale?, la intensidad no es demasiado fuerte y tampoco suponen un elevado desembolso económico [pausa], pues teniendo en cuenta el nivel de implicación y teniendo en cuenta la diferenciación entre las marcas, podemos hablar de cuatro tipos de proceso de compra [pausa]. La compra habitual..., que es la que tenéis ahí abajo [pausa], es la que eh... bueno realizamos continuamente, se trata de productos que no suponen un importante desembolso económico [pausa], los desequilibrios no son importantes y tampoco hay demasiada diferenciación entre las marcas [pausa]. Imaginar, los folios, la sal, los bolígrafos, el agua, aun así encontraremos a gente y a individuos

que van a compra folios les ponen los distintos marcas que tienen o paquetes y se pasan media hora intentando ver cuál es el folio que más le convence ¿vale? Siempre encontraremos a individuos así, o con los bolígrafos ¿vale?, y luego encontraremos a gente que llega y dice folios y coge los primeros que ve ¿vale? [murmullo] Pero bueno, la compra habitual es esa, es la que hacemos de una manera automática ¿de acuerdo? [murmullo] La compra variada [pausa] también es una compra de baja implicación pero que aquí si que hay diferencias significativas entre las marcas [pausa], hay una diferenciación significativa entre marcas [repetición], y nosotros en nuestro procesos de compra, los llamamos de compra variada porque eh... al final lo que hacemos es probar las diferentes marcas en función de nuestra situación particular en cada momento y eso supone una suma de... de [repetición] experiencias que al final [eleva el tono] utilizaremos, por ejemplo las galletas ¿vale?, las galletas sabemos hay diferentes marcas y sabemos distinguir entre unas y otras, en principio, ¿vale? pues normalmente nosotros somos de los que probamos diferentes marcas ¿vale? y al final uno en función de sus gusto, del precio, del envase, del tamaño, de la cantidad, decide convertirlo a lo mejor en una compra habitual ¿vale?, pero cuando hay cierta diferenciación eh... a comprar de manera variada ¿vale? Y eh... con respecto a la alta implicación podemos diferenciar entre las compras complejas y las compras que se conocen como reductor de disonancia ¿qué era disonancia? [pausa esperando respuesta] [INTERVENCIÓN ESTUDIANTE] (alumna responde) Dudas ¿vale? [pausa] Es decir, si yo soy incapaz de diferenciar entre las marcas, pero voy a llevar a cabo un gran desembolso, lo que voy a hacer es un proceso de compra en el que voy a buscar información para reducir mis dudas ¿vale?, para saber que al final estoy tomando la decisión acertada. Me voy a comprar un yate, ¿vale? [murmullo] estoy dispuesta a gastarme quince millones de pesetas, noventa mil euros ¿vale?, y acudo al establecimiento donde vender yates y yo lo voy a intentar es y me

dicen esta están [repetición, cambio] estas marcas, pero yo no soy capaz de diferenciar entre las marcas porque no tengo suficiente información ni conocimientos, y yo veo los yates y los veo todos blancos y los veo todos iguales, entonces voy a intentar captar información... [ralentiza el discurso] que al final me haga conseguir reducir mis dudas ¿vale? Las compras complejas se diferencian en que yo si que diferencio entre las marcas [pausa], y ya no se trata tanto a lo mejor de generar información sino que aquí lo que resulta complejo es hacer toda esa evaluación de alternativas en base a los beneficios [eleva el tono] que yo busco y los sacrificios que estoy dispuesta a hacer, y por lo tanto es una evaluación de alternativas compleja dado que el desembolso va a ser importante [pausa] y que además yo eh... tengo información sobre las diferentes alternativas y distingo entre ellas, pero puede ser difícil, complejo el optar por una u otra ¿vale? En el caso de.. que yo no distingo ¿vale?, lo que voy es intentar generar información para que me quiten dudas ¿vale?, y voy a buscar a agente a mi alrededor para que me quite esas dudas. [murmullo] Vale lo vamos a dejar aquí, nos queda muy poquito del tema, así que el martes acabamos tema y acabamos temario, y os voy a pedir un favor sí, sí, sí, sí [risa] quiero que me traigáis por escrito dudas ¿vale?, preguntas ¿vale?, las recogeré y las iremos sacando y iremos contestando, dudas que tengáis ¿vale?, durante esa hora. [INTERVENCIÓN ESTUDIANTE] (alumna pide confirmación) Para el martes ¿vale?

LE9

CAMPO: Humanidades. Area: Psicología

ASIGNATURA: Introducción a la Psicología Social

Nº ESTUDIANTES: 18 (10m/8f)

Fecha: 19/11/2004

Duración: 49 m.

Nº Palabras: 5.671

[E. ENTRA EN CLASE]

[eleva el tono]

[estornudo]

[INTERVENCIÓN ESTUDIANTE] (alumno/alumna,
responde/pregunta/da ejemplo/explica)

[P. BORRA LA PIZARRA]

[P. ESCRIBE EN LA PIZARRA]

[P. LEE DE LA TRANSPARENCIA]

[P. PONE UNA TRANSPARENCIA]

[pausa]: cuando es larga

...: pausa corta, titubeos

[pausa esperando pregunta o confirmación]

[pausa, esperando respuesta]

[ralentiza el discurso]

[repetición, parafrasear]

[tono descendente]: tras una interrogación el profesor expresa
carencia de búsqueda de respuesta, es el profesor quien la da

[varias voces]

cursiva para anglicismos

subrayado (indica code-switching)

<incomprensible>

Bien, el... tema que ya empezamos a explicar el otro día fue el de la
participación ciudadana. Eh según vamos viendo en el esquema

¿eh? también un poco todo tipo de participación. Ese tema lo tenéis [eleva el tono] en el libro de la bibliografía de **Roberta Marise Chacón** tal cual, Participación ciudadana, aquí vamos a ver un resumen, eh, pero si tenéis alguna duda o queréis **ampliarlo** eh podemos tenerlo por por escrito. Bien, la introducción a la participación ciudadana, antes de entrar en lo que es propiamente el marco normativo, si que me gustaría... a mi si que me gustaría eh... centrar el tema en la perspectiva desde donde **vicé** explica, y desde donde los autores proponen, este tipo de participación. Si nosotros nos detenemos en la historia emergente de la iniciativa social en España, vosotros habéis dado este tipo de **<incomprensible>** ¿sí? ¿la transición? ¿sí? ¿los movimientos sociales? [INTERVENCIÓN ESTUDIANTE] (alumno responde) ¿también? Entonces tenéis un punto de partida óptimo para entender un poco el tema, y el proceso del tema y el enfoque ¿sí? Bien eh... como, vosotros sabéis, uno de los procesos del final de la dictadura, y los primeros años de la eh transición democracia se marcan por una importante dinámica de movimientos sociales y asociaciones ¿sí? en unos primeros momentos pues en la clandestinidad o semi estructurados y en los primeros años de la eh democracia de una manera más estructurada ¿mmm? Había un fuerte movimiento asociativo, era... una etapa en que existía eh... sobre todo muchos movimientos sociales de carácter urbano, había un proceso de eh... crecimiento, de gran crecimiento de las grandes ciudades y entonces muchos lo que pasó ¿eh? es que muchos dirigentes de esos movimientos, primeros de la etapa democrática, empezaron a ocupar diferentes puestos de responsabilidad política ¿eh? en gobiernos o partidos políticos. Ahí se produjo, eso que fue un un hecho altamente positivo... tuvo su cruz en que sacó al frente **<incomprensible>** los movimientos sociales de que sus líderes formaran parte de los cuadros dirigentes de los partidos políticos? [INTERVENCIÓN ESTUDIANTE] (alumno responde) ¿más? [pausa, esperando respuesta] los líderes se iban, dejaban [INTERVENCIÓN ESTUDIANTE] (alumno responde) muy bien, se descabezaba el

movimiento asociativo, eso trajo de repente que supuso que muchas asociaciones y movimientos ciudadanos comenzaron un proceso de desmovilización porque los líderes, las personas que estaban al frente de esa asociación, de ese movimiento ¿eh? a se habían eh... puesto eh... estaban desarrollando otras tareas, tareas eh... en el gobierno, o en una posición organizada etc, y y esa descabezamiento, esa desmovilización supuso la desaparición de muchos movimientos sociales y asociaciones. Ese proceso [eleva el tono] que él ha dicho que [P. BORRA LA PIZARRA] se decabezaban los movimientos se les quitaba los líderes ¿eh? hay una palabra que define perfectamente lo que es ese proceso [E. ENTRA EN CLASE] y es la co-optación. Se sufrió un proceso de co [P. ESCRIBE EN LA PIZARRA] co-optar [eleva el tono] es es coger a movimientos, y eso se hace, muchas veces cuando se quiere neutralizar el movimiento asociativo, se coge a los líderes y se les integra en la estructura de poder, del gobierno o de lo que sea, entonces claro esas personas dejan de participar en su movimiento y el movimiento pues hasta que se vuelve a reestructurar pues pasa un tiempo. Entonces, si que hubo mucha desmovilización, y... tuvo que pasar una década a finales de los años 80 para revitalizar el movimiento asociativo, producido por dos motivos ¿mmm? estamos hablado ya de finales de los años 80, ya ha pasado sí 15 años ya, democracia, eh... producido por dos motivos, en primer lugar lo que se... dijo públicamente se vino apareciendo en los medios de comunicación que fue el desencanto, una sensación de desencanto, la gente estaba un poco desencantada esperaba mucho más de esa primera democracia ¿no? de esa de ese primer momento de la democracia <incomprensible> [E. ENTRA EN CLASE] eh... entonces, la gente si que pensaba que la asociación representativa era necesaria pero no suficiente para conseguir todas esas metas y... todas esos eh objetivos que se habían marcado durante tantos esos años. Ese fue uno de los movi movi uno de los factores que contribuyeron a lanzar [E. ENTRA EN CLASE] el movimiento asociativo. Y el segundo, los

propios partidos políticos, porque y eso lo veremos o podemos verlo en otro momento, porque reaccionaron a los en los programas electorales en muchos de ellos comenzó a hablarse de promover y proteger en movimiento asociativo [eleva el tono] y la participación en la vida democrática. Esto [eleva el tono] trajo también su gran disturbio porque aparecieron muchas asociaciones y movimientos vinculados directamente a ciertos partidos políticos, y ahí [eleva el tono] si que es lo que antes habíamos dicho ¿no? ahí si que aparecen unas... unas asociaciones creadas un poco artificialmente, subvencionadas por las administraciones gobernadas por los partidos diferentes partidos políticos ¿eh? y que que directamente habían promovido, y eso creó [eleva el tono] en gran medida un punto perverso ¿no? de la función de las asociaciones, si una la función primera de las asociaciones del movimiento asociativo es transformar y cambiar una realidad, cuando [eleva el tono] tú estas subvencionado por una institución, eso no se si lo estuvimos comentado el otro día ¿no? que era un perjuicio un... perjuicio, entonces eh... tenemos que ajustamos un poco a los fundamentos del subvencionador para que no nos retiren el dinero. Entonces eso fue eh... un poco en esos momentos lo que estaba pasando y como a finales de los 80 se revitalizó ese movimiento asociativo que era muy fuerte en los años 80 ¿Qué pasa más tarde? [tono descendente] Más tarde a principios de los años 90 ya nos encontramos con una fuerte participación ciudadana, el lanzamiento por ejemplo del voluntariado, y... la aparición de otros [eleva el tono] movimientos, por ejemplo todo el resurgimiento de la plataforma 07 ¿eh? otros movimientos que ya estaban al margen de ¿eh? esas esas asociaciones vinculadas a [eleva el tono] estructuras y administraciones. Entonces, hubo otra vez lo que estamos viéndolo ¿no? como se van reestructurando y estructurando todo el tejido asociativo en el programa nacional y también en el local, en la administración local, lo que son las asociaciones vecinales, culturales, etc, etc, fundamentalmente el ámbito municipal que es...

el elemento clave ¿no? de la participación ciudadana ¿sí? [E. ENTRA EN CLASE] que tenemos serían eh las asociaciones vecinales ¿bien? Bueno, en... esto... en el marco legislativo ¿cómo lo podemos resumir? [tono descendente] [pausa] Pues aparece el elemento de la participación se constituye una constitución, eso ya lo sabemos, ahí hubo un doble efecto, ya lo hemos explicado antes. Eh... se contempla que la iniciativa social es todo tipo de organización autónoma para la decisión de opinión, la toma de decisiones, el desarrollo de acciones y esto... se supone que es la participación, y [eleva el tono] la cuando se hablaba de participación en este tema, y cuando hablan los técnicos de participación [eleva el tono] y vosotros en vuestro trabajo cuando habléis de participación, y explicuéis el porqué [eleva el tono] vais a [eleva el tono] realizar un tipo de acciones y no otras ¿sí? tendréis que tener en cuenta que esas acciones que vosotros vais a apoyar o promover [eleva el tono], son unas acciones que [eleva el tono] deben incidir en la transformación de la realidad existente, porque si [eleva el tono] el objetivo último no es ese, no se produce técnicamente, y realmente, no se desarrolla plenamente el proceso de participación ¿sí? Entonces esto es un elemento que no debemos olvidar, la transformación de la realidad, por eso yo digo que no es un tema fácil, no es un campo fácil, no porque la gente no participe sino porque... hasta que punto queremos potenciar promover y realmente que [eleva el tono] exista una transformación de esa realidad ¿mmm? Y hasta que punto las administraciones eso lo pueden permitir ¿bien? ¿Cuáles... eh los cuáles son los organismos y las... la normativa [eleva el tono] estructurada que nos permite llegar a un canal de participación y a una estructuración de la participación ciudadana? [tono descendente] Partiendo de la constitución nos encontramos... con [eleva el tono] las diferentes leyes autonómicas de servicios sociales, la primera ley autonómica de servicios sociales la del País Vasco desde 1982, o sea, previa [eleva el tono] a la ley estatal, reguladora de bases del régimen local ¿sí? o sea que esas

leyes se empiezan en el 80 a promulgarse en el 82, hasta que se producen todas las transferencias autonómicas, las últimas autonomías y empiezan a re... eh... a reformularse las leyes y a modificarse algunas leyes, por ejemplo, en la Comunidad Valenciana nosotros ya vamos por la segunda ley de servicios sociales, la primera es del 80 y... 4 me parece o 85 y la última es del 97 ¿mmm? o sea, en la actual es del 97, bueno. En las leyes autonómicas de servicios sociales, se dice que una [eleva el tono] de las funciones [eleva el tono] desde los servicios sociales de bienestar de los municipios es potenciar [eleva el tono] la participación y la estructura social... del barrio o de la ciudad. Eso... se irá completando, en la ley 7 barra 85 de 2 de abril que es la ley reguladora del bases de régimen local, es una una ley para los municipios donde se establece en que medida la responsabilidad última [eleva el tono] de alguna de las acciones ¿eh? tiene que ser de los ayuntamientos, por ejemplo, ahora [eleva el tono] en la actualidad, con la vosotros sabéis que se está desarrollando todo el reglamento de la ley de extranjería ¿sí? [pausa esperando respuesta] ¿sí o no?, bien, pues uno de los agentes fundamentales en el nuevo reglamento para desarrollar las acciones sobre inmigración lo tendrán los ayuntamientos, los municipios... ¿por qué? [tono descendente] Porque establecen la ley de base de régimen local que es la administración más cercana al ciudadano la que debe de [eleva el tono] ofrecer y promocionar [ralentiza el discurso] ciertos servicios. A partir de aquí y de las leyes autonómicas se [eleva el tono] establece ¿eh? se reglamenta una comisión de participación ciudadana de la FEMP, la FEMP es la Federación Española de Municipios y Provincias. Sabéis que hay una federación española de municipios y provincias ¿eh? de... todos los las **agrupaciones** locales alcaldes y alcaldesas, y hay una comisión de participación ciudadana en la FEMP, que se supone que es representación [eleva el tono/ralentiza el discurso] de las comisiones [eleva el tono] locales de los de los diferentes municipios del estado. Eh... ¿vosotros sabéis que en

muchos municipios existe una comisión de participación ciudadana? ¿Lo habéis podido... averiguar? ¿O alguna... área del ayuntamiento que [eleva el tono] revele la participación ciudadana? Vosotros a ver ¿qué sabéis? [INTERVENCIÓN ESTUDIANTE] (alumno responde) ¿en qué ayuntamiento? [INTERVENCIÓN ESTUDIANTE] (alumno pregunta) ¿en qué ayuntamiento? [INTERVENCIÓN ESTUDIANTE] (alumno responde) ¿en alguna otra organización habéis podido comprobar si hay si existe o no alguna comisión de participación ciudadana, a partir de vuestro trabajo? [pausa, esperando respuesta] ¿no? ¿nada? [pausa, esperando respuesta] ¿no? [pausa, esperando respuesta] ¿algo tendremos que saber no para hacer la **tramitación** del trabajo? ¿sí o no? [pausa, esperando respuesta] ¿sí? [pausa, esperando respuesta] o sea tendréis que comprobar, ¿no? si vuestro, si el proyecto que vais a hacer es de participación ciudadana, y lo vais a presentar a vuestro ayuntamiento, tendréis que comprobar qué elementos y qué estructuras existen de participación ciudadana en vuestro municipio, en el municipio donde vais a presentar el proyecto ¿sí? [pausa] ¿mmm? [pausa] Bien eh... uno de los objetivos que tiene la estructuración en comisión de participación ciudadana que pueden ser tal y como las definís vosotros en vuestro trabajo, vosotros algunos me decís no es que nosotros sólo queremos actuar sobre juventud ¿sí?, otros me decís no nosotros queremos montar una comisión de hogar porque es un municipio un... municipio pequeño, otros me decís no nosotros queremos sólo tercera edad, ¿sí? o sea las comisiones y los trabajos se pueden estructurar por grupos ¿eh? sociales pues o niño o infancia, juventud o... tercera edad, tal o son comisiones globales o que afectan a temas ¿mmm? pues una comisión de participación puede ser sobre el tema la evolución, medio ambiente y una ciudad saludable ¿vale? o sea que se pueden establecer diferentes tipologías y así se recogen en la reglamentación. Por eso en vuestros trabajos podéis justificar cualquier tipo de acción, o sectorial o general respecto al proyecto

de participación ciudadana ¿vale...? ¿Cuáles son un poco los objetivos... ideales, no voy a decir reales ¿eh? de este tipo de funcionamiento? A partir de qué ¿qué cuál es la función de esas comisiones dentro de los municipios? [repetición, parafrasear] [tono descendente] Teóricamente esas comisiones son representativas del movimiento asociativo de la ciudad y es ahí **tratar** de transmisión y de coordinación [eleva el tono] entre los ciudadanos y [eleva el tono] el gobierno local ¿sí? Eso es, esa es la filosofía por la cual se consolidan y se **desarrollan** esas comisiones. Entonces, permite desde un punto de vista ¿eh? permite eh... la descentralización porque hay una participación de la población en lo que pueden ser decisiones, en lo que pueden ser propuestas sobre la mejora de la vida de la ciudad. Luego, hay una información fluida y legal en [eleva el tono] en un doble sentido ¿eh? en el sentido de la **formación** local de la ciudad y de los ciudadanos, y la corporación local, la del ayuntamiento, porque hay un órgano de interlocución, eso es lo que [eleva el tono] uno de los objetivos de las comisiones de participación ciudadana. Y luego... existe... se supone que facilita la coordinación de las áreas municipales que afectan a nuestro bien estar y calidad de vida como ciudadanos, o sea que ahí se verían ámbitos referentes por ejemplo a educación..., a sanidad..., o sea transversales, por eso como es una comisión sectorial, pongamos por ejemplo de juventud... pues tendríamos diferentes asociaciones y diferentes ámbitos de la administración local que tuvieran todas las competencias en materia de juventud o de los temas y problemas que afectan a la juventud ¿sí? Bien. ¿Cuál sería en sentido amplio las distintas expresiones y categorías de la participación ciudadana? [tono descendente] Hasta ahora hemos hecho un planteamiento general, hemos visto el marco legislativo, hemos visto cuáles son [eleva el tono] algunos de los objetivos fundamentales que tienen las estructuras participativas... de [eleva el tono] las corporaciones locales, y ahora vamos a ver un poco la categorización de lo que nosotros entendemos por participación

ciudadana. Y defienden los autores, desde [eleva el tono] un punto de vista, el más restringido ¿eh? nosotros tenemos un elemento de participación, por ejemplo [eleva el tono] que es el ejercicio individual de nuestros derechos ¿eh? el ejercicio individual de nuestros derechos, puede ser ir a votar cada 4 años, consideramos el punto el mínimo de participación ¿eh? en el que nosotros estamos, en el proceso en el que nosotros estamos, por ejemplo votar en procesos electorales, los que sean. Otro grado de participación, el apoyo social informal, es decir conductas de ayuda espontáneas dirigidas a... personas de mi confianza, familia, amigos o vecinos. Pues yo puedo en un momento determinado, sin pertenecer a ninguna asociación y ningún organismo, es una conducta de ayuda espontánea, eh contribuir, pues yo que se, ayudar a... un familiar, a un amigo, a un amigo, a una persona que en un momento determinado necesita cualquier cosa ¿eh? Que le acompañe a ir a un sitio, que le traiga un peso, que le suba un peso a su [eleva el tono] a su domicilio, etc, etc, ¿bien? Ese sería el apoyo social informal, y ese tema lo vamos desarrollar en la parte de apoyo social e interés sociales, en otro de los temas de la asignatura. Luego está el voluntariado, que también lo vamos a desarrollar en otro de los temas de la asignatura ¿eh? El voluntariado como una conducta, ya no es espontánea ¿eh? la conducta voluntaria no se define como una conducta espontánea **<incomprensible>** es una conducta de ayuda planificada ¿eh? normalmente realizada a través de organizaciones públicas o privadas, que supone una implicación a largo [estornudo] a lo largo del tiempo. Estas, estos dos se corresponden a dos de los temas que vamos a desarrollar a continuación. Y ahora entramos propiamente en la parte... más, de más vínculo eh... más exigente de militancia en desde la participación ciudadana, que es la pertenencia a movimientos sociales, uno de los aspectos que saldrán en el desarrollo de este tema, por ejemplo adhesión a una movilización ciudadana para para resolver de una manera colectiva un problema puntual.

¿Movimientos sociales que conozcamos? A ver, esto alguna vez lo hemos, lo hemos hablado ya ¿algunos movimientos sociales... qué conozcamos? [pausa esperando respuesta] cuando se agrupa la gente porque tiene un problema puntual [INTERVENCIÓN ESTUDIANTE] (alumna pregunta) por ejemplo, sí [INTERVENCIÓN ESTUDIANTE] (alumna pregunta) por ejemplo [INTERVENCIÓN ESTUDIANTE] (alumna responde) una plataforma, un movimiento social sí ¿otro ejemplo que podamos tener de plataforma o movimiento social? [INTERVENCIÓN ESTUDIANTE] (alumno responde) la plataforma **pro catalanes**, por ejemplo ¿no? ¿alguna otra que conozcamos? [INTERVENCIÓN ESTUDIANTE] (alumna responde) **salvem el desert**, o sea que hay varias iniciativas colectivas ciudadanas frente a un problema puntual ¿eh? una situación puntual que [eleva el tono] defienden eh... o promueven la sensibilización sobre un tema. Y luego el grado [eleva el tono] como si dijéramos máximo de compromiso, sería el asociacionismo ¿eh? Una asociación es la una estructuración [ralentiza el discurso] de [eleva el tono] en algunos caso algún movimiento social. Vamos a ver lasociacionismo eh [pausa] lo que nos indica y lo que nos exige es pertenecer a una organización que sea de carácter político, sea de carácter sindical, vecinal, cultural, en defensa de los colectivos, de de algunos colectivos etc, etc o cualquier otro tema que agrupe a personas que tengan una iniciativa común y tengan que **<incomprensible>** una iniciativa común ¿sí? cualquier tema, la diferencia [eleva el tono] entre movimiento social y asociación la vamos a ver en el desarrollo de la acción social, en ese punto del tema. Un movimiento social legalmente [eleva el tono] no está constituido, y una asociación tiene un reglamento jurídico y un marco jurídico en el que se eh... en el que se basa ¿eh? y además hay... unos... registros de asociaciones ¿sí? Por ejemplo si vosotros tenéis que hacer los trabajos en vuestros municipios, tenéis que conocer... por ejemplo alguna de las asociaciones o si existe registro de asociaciones o no. El registro de asociaciones, según la ley base de

registro local, no es obligatorio para municipios menores yo creo que son de 50.000 habitantes, tampoco es un dato fiable, es decir vamos. Hay un un número de habitantes que ya marcan la diferencia, no están obligados a tener registro de asociaciones municipales eh... los ayuntamientos pequeños ¿sí? Bien, estas serían las diferentes formas de [eleva el tono] participación. El otro día eh... presenté ya, cual es el proceso de participación que exponen los autores del libro y dijimos, bueno esto lo vamos a poner así en una manera global y ahora lo veremos paso a paso ¿no? todo lo que es la estructura y el origen de la participación ciudadana. Origen de la participación, existe un problema ¿eh? y [eleva el tono] vamos a ver esta parte del esquema de manera más detallada ¿cuál es el origen del proceso de participación y canalización de las demandas en la administración pública? [tono descendente] esto se ve un poco mejor ¿no? [P. PONE UNA TRANSPARENCIA] ahora luego [pausa] bien [pausa] existe la percepción, en un momento determinado individual de una necesidad <incomprensible>, entonces ahí si que eh... generalmente los ciudadanos, como ciudadanos, si tenemos algún problema o alguna queja o alguna necesidad ¿a quien nos vamos a dirigir? [pausa esperando respuesta] [INTERVENCIÓN ESTUDIANTE] (alumno responde) al ayuntamiento, ¿sí? Vamos al ayuntamiento ¿y qué [eleva el tono]? ¿qué hacemos? [pausa esperando respuesta] [INTERVENCIÓN ESTUDIANTE] (alumna responde) hacer una instancia, ¿con? explicando cual es nuestra situación y que es lo que pretendemos resolver ¿sí o no? se supone que hay un plazo administrativo para que nos respondan a esa instancia ¿sí? Entonces el primer momento de la redacción a una situación es que yo como ciudadana canalizo las demandas a través de la administración pública ¿eh? en primer lugar, necesidad expresada ante la administración [P. LEE DE LA TRANSPARENCIA] ¿Cuál es el proceso que tenemos para expresar una necesidad ante la administración, y que conste [eleva el tono]? [tono descendente] Yo puede tener una entrevista con el

alcalde, yo puedo pedir una entrevista a través de [eleva el tono] una instancia en el registro [pausa]. Entonces, eh... actualmente ese es el... la manera de canalizar las demandas y eh... es el... y teóricamente la administración tiene que respondernos, darnos una respuesta. Si nos da la respuesta y nos satisface, hemos terminado el proceso, ya está. Pero puede ser que la demanda no sea atendida [ralentiza el discurso] por la administración, entonces tendremos que ver si [eleva el tono] el segundo paso, primero yo me dirijo a la administración, no me responde a esa demanda adecuadamente o satisfactoriamente. El segundo paso será que yo me dirija a ver si existen organizaciones o asociaciones ciudadanas ¿eh? que también reclamen y dema demanden [ralentiza el discurso], su preocupación sea ese tema ¿sí? Pero generalmente ya es el segundo paso. Entonces, si [eleva el tono] la demanda no es atendida por la administración o la resolución es parcial [eleva el tono] y a mi me sigue preocupando el tema, voy a ver si existe alguna asociación que [eleva el tono] se preocupe por ese tema, entonces. Ahora, primero, conocer si existen organizaciones relacionadas con la demanda [P. LEE DE LA TRANSPARENCIA], en primer lugar, que es lo que vosotros estáis haciendo vuestro trabajo ¿no? ¿Existen organizaciones que están trabajando en los ámbitos que queréis potenciar o impulsar desde desde vuestro proyecto de participación? Es lo primero que tenéis que ver. Luego, eh... que la persona ¿eh? eh... esté informada se las de su existencia, o sea que nosotros podamos conocer que existen, y... que... eh... por si no conocemos a que nos podemos dirigir evidentemente... Uno de los problemas que existen en el tema de la participación es que yo como ciudadana a lo mejor no tengo información sobre qué asociaciones existen para [eleva el tono] resolver un problema o una si o una necesidad, una demanda ¿sí? El problema de la desinformación, por eso algunos de vuestros proyectos que os planteáis mejorar y potenciar la información ¿sí? es que no llega toda la información a la ca a la gente. An el otro día estuvimos hablando y debatiendo sobre

[eleva el tono] si nosotros participamos mucho o poco, ¿sí o no? si nuestra sociedad impulsa y fomenta la participación. Entonces, eso, uno de los factores que condiciona la mayor o menos participación, uno [eleva el tono] de los factores es la información. Si todos sabemos dónde acudir, si todos sabemos las organizaciones que trabajan sobre los temas que más o menos nos preocupan o nos interesan ¿sí? Por eso quizá [eleva el tono] uno de los aspectos que tenéis que contemplar es ver si en los municipios donde vosotros vais a presentar el proyecto existe un adecuado canal de información, y suficiente difusión sobre los temas. Eso lo tenéis que recorrer en la fundamentación y luego en las en los objetivos y en las actividades. Bien, eh... sobre ¿dónde vamos a saber si existen o no asociaciones? [tono descendente] en primer lugar ver si hay un registro municipal [ralentiza el discurso], y ya hemos dicho que no todos los ayuntamientos están obligados por tamaño [ralentiza el discurso] pero existe un registro nacional en el ministerio del interior ¿mmm? sobre todo en asociaciones políticas y [eleva el tono] no políticas ¿eh? En las organizaciones no políticas están dirigidas entre las organizaciones sindicales, que defienden los derechos de los trabajadores, los sindicatos son un tipo de asociaciones; y las organizaciones de promoción y defensa de los intereses ciudadanos. ¿Aquí dónde iríamos a buscar ese registro? [pausa esperando respuesta] ¿en la provincia de Castellón dónde iríamos a buscar ese registro nacional del ministerio del interior? [repetición, parafrasear] [pausa esperando respuesta] a ver, al ayuntamiento tenemos el registro municipal ¿sí? es nuestra primera fuente ¿dónde iríamos a buscar el registro del ministerio del interior? [INTERVENCIÓN ESTUDIANTE] (alumno responde) ¿a la diputación? [INTERVENCIÓN ESTUDIANTE] (alumno responde) **al govern civil**, a la subdelegación del gobierno. Sólo tenemos una entidad que es la representante del gobierno, del estado, en la provincia, que es la subdelegación del gobierno. Cuando nosotros tene necesitamos alguna información de ese tipo tendríamos que ir ahí. No hace falta

que vayáis ahora para sacar la información del trabajo ¿eh...? [risas] da igual nos la inventamos, no porque, no vamos a utilizar de esa manera recursos públicos ¿eh...? quiero decir que luego si alguien quiere hacer un practicum, quiere abrir otro tema, quiere hacer una investigación, entonces si que se hace una instancia [eleva el tono], se pide la información etc, etc eh. Como vosotros comprenderéis el proceso [eleva el tono] tampoco es sencillo porque aquello no es una ventanilla de atención al público ¿mmm? bien. Entonces si tenemos claro las diferentes clasificaciones ¿eh? que eh... luego también, hay unas eh... unas... maneras de presionar a la administración pública para que atienda las ma las demandas colectivas. O sea, nosotros ya hemos encontrado una asociación que represente nuestros intereses y tenemos que [eleva el tono] volver a hacer la demanda delante de la administración pública ¿sí? siguiendo el proceso, y entonces tendríamos por ejemplo eh... una vía administrativa igual que la anterior, a través de la oficina del registro, y luego a través de de [eleva el tono] las asociaciones participativas, que son ¿mmm? que es el camino más usual, que... es donde están representadas las organizaciones sociales y serían entre otras las eh... ¿cómo hemos dicho? [tono descendente] Las comisiones de... participación ciudadana. O sea, ahí ya tenemos dos vías para establecer nuestra demanda colectiva delante de la administración. Una [eleva el tono] la vía administrativa, la que hemos utilizado como ciudadanos individuales, y luego la vía participativa, a través de las estructuras participativas en las comisiones de participación ciudadana o bien estar social o en las comisiones donde estén representadas las asociaciones ¿sí? y esos son espacios creados **<incomprensible>** para tratar [ralentiza el discurso] todos esos temas ¿Alguna pregunta o comentario sobre esto? [pausa esperando respuesta] Bien [pausa] los tipos de comisiones que podemos encontrarnos son los consejos eh... que ya hemos dicho antes, que pueden ser comisiones transversales o sectoriales, que existen [eleva el tono] a nivel local [eleva el tono] y, un un punto que no hemos abordado aun que es a

nivel autonómico, existen consejos y comisiones autonómicas de temas transversales o generales, por ejemplo el consejo de [eleva el tono] vamos a poner una situación, del mayor [eleva el tono] ¿no? o la comisión de ahora se ha hecho una comisión de expertos para la convivencia ¿no? para abordar el tema de la violencia en los centros de secundaria ¿sí? pueden ser comisiones transversales o sectoriales y existen tanto a nivel local, como a nivel autonómico, en las... [pausa esperando pregunta o confirmación] ¿sí o no? [pausa esperando pregunta o confirmación] ¿no? ¿nada? [pausa esperando pregunta o confirmación] Bueno, expresiones de desencanto social [P. LEE DE TRANSPARENCIA] [pausa]. Ahí las tenemos enumeradas ¿eh? indecensión, abstención y voto de castigo [P. LEE DE TRANSPARENCIA]. ¿Qué pasa?, ¿cuáles son las consecuencias? ¿eh? primero vamos a entrar en las expresiones de desencanto y luego vamos a ver cuales son las consecuencias. [pausa] Esto es en el caso de que no participemos y de que no existan asociaciones para [eleva el tono] establecer una demanda y por qué [eleva el tono] y esto es si no existe otra solución, uno unos ciudadanos optamos por el desencanto [eleva el tono] ¿sí? y otros optamos por la autoorganización [ralentiza el discurso], el comienzo del proceso de organización de la movimiento asociativo ¿mmm? una nueva asociación, bien. Aquí lo vamos a ver un poco [eleva el tono] mejor.[pausa] Tenemos las expresiones individuales de desencanto que es el punto que en el que vamos a entrar, vamos a ver. En primera... eh... la primera... cuestión que nos sale ahí sería por ejemplo la indecensión, resignación o alineación política. Yo os dije el otro día que la indecensión es un estado psicológico ¿mmm? Ese es un proceso psicológico, el indecensio. Porque en muchas ocasiones, eh... nosotros no nos sentimos capaces de resolver un problema, y pensamos que hagamos lo que hagamos no vamos a obtener ninguna respuesta positiva ¿eh? es un sentimiento psicológico, que [eleva el tono] manifestamos muchas veces delante de [eleva el tono] de algunas situaciones, decimos: no se puede

hacer nada, mi [eleva el tono] opinión, mi [eleva el tono] voto, mi... [eleva el tono] firma no va a contribuir a mejorar y a cambiar las cosas, ¿eh? porque pase lo que pasa nada va a cambiar. Entonces nosotros pensamos que... lo de la atribución ¿eh? aplicamos aquí la teoría de la atribución. Es un acontecimiento, pensamos que los acontecimientos son incontrolables, incontrolables es externo, no depende para nada de nosotros, y ese, esa atribución causal la hacemos desde un sentimiento psicológico de indecisión. O sea, si un acontecimiento, es una situación incontrolable, es externa, y entonces hagamos lo que hagamos, siempre ocurrirá lo mismo. Recordáis que ya os expliqué el... eh... cómo llegaron a la teoría de la indecisión atendida con el ratón, ¿eh? el experimento del ratón. Cómo eh es de **Stinger** ¿no?, que dijimos primero el ratón activa, saca, activa la palanca y obtiene una recompensa, el azúcar o la comida ¿sí? y sabe que siempre que activa la palanca, obtiene una recompensa. Llega un momento en que activa la, y activa la palanca y le de la rejilla de la base de la... jaula una descarga eléctrica, entonces, a veces activa la palanca y de dan el azúcar y a veces activa la palanca y la dan la descarga eléctrica, no sabe a que atenerse, pas haga lo que haga nunca sabrá a qué atenerse, es un elemento incontrolable y externo ¿sí? Y eso causa eh... disonancia cognitiva y indecisión, es el fenómeno de indecisión aprendida. Vote a quien vote [eleva el tono], siempre va a pasar lo mismo. Esa es una de las expresiones que utilizamos nosotros, y esa es una [eleva el tono] expresión de desencanto ¿eh? Entonces cuando ¿uno como se trabaja ese tema de la comunidad? [eleva el tono] ¿cómo recuperamos [eleva el tono] eh ese desencanto? ¿eh? ¿cómo vamos a desde desde la participación ciudadana en el y como técnicos el tema del desencanto con la gente? [tono descendente] Pues la función del técnico de participación ciudadana o la función de un líder de una asociación tiene que ser, el de dotar [eleva el tono] de poder es el... la palabra creo que... se utiliza y que es de difícil traducción es el *empowerment* ¿eh? el empoderamiento [eleva

el tono] se traduce literalmente, el dotar de poder a la comunidad, el que la gente se sienta capaz de transformar su realidad [ralentiza el discurso] ¿mmm? Ese sería un poco la transferencia [eleva el tono] o como contribuimos nosotros a [eleva el tono] mitigar ese efecto de indecisión aprendida ¿sí? [pausa] ¿alguna pregunta? [pausa esperando pregunta o confirmación] Porque si [eleva el tono] lo que nosotros queremos es dinamizar una comunidad o un barrio, y nosotros nos encontramos con qué, con un efecto de inmovilismo, se inactividad, de apatía, de falta de interés de la gente ¿mmm? en algunos temas. Entonces eh... hay ocasiones que [eleva el tono] si bien este efecto incontrolable, que ahora hacemos una **introducción** a este tema de incontrolable ¿eh? se [eleva el tono] nos produce un efecto de indecisión, hay otro efecto, que en algunos colectivos y comunidades esa situación de incontrolabilidad [ralentiza el discurso] que es... para nosotros es un desajuste, porque nosotros hemos dicho desde el principio de la asignatura de lo que uno [eleva el tono] dentro de la percepción que lo que nosotros necesitamos es controlar el entorno para predecir las conductas para predecir la situación. Entonces, ese, ese mismo, esa reacción frente a un hecho incontrolable, hace que en algunos grupos y comunidades surja la autoorganización [eleva el tono] y empiece un proceso organizativo. Es decir, el mismo, la misma situación puede producir dos efectos diferentes ¿sí? en uno la indecisión ¿mmm? que es un estado psicológico, y en otro [eleva el tono] la autoorganización, el comienzo de la autoorganización y la reacción para mejorar y [eleva el tono] estructurar una situación [pausa] ¿sí? [pausa esperando pregunta o confirmación] Bien, ¿alguien me puede explicar las otras dos...? yo se que he explicado la más difícil, la psicológica ¿no? ¿alguien puede explicar en qué consiste la abstención [eleva el tono] como efecto de desencanto [ralentiza el discurso]? ¿qué es la abstención? ¿cuándo hablamos de abstención? [INTERVENCIÓN ESTUDIANTE] (alumno responde) ¿y cuál es el efecto, el resultado? [INTERVENCIÓN ESTUDIANTE] (alumno responde) no ir a, no votar

¿no...? vale y eso se produce porque, como expresión de desencanto ¿sí? es uno de los resultado de <incomprensible> bien. Eh... la su [INTERVENCIÓN ESTUDIANTE] (alumna) ¿sí? [INTERVENCIÓN ESTUDIANTE] (alumna pregunta) eso es ir a votar, estamos hablando de la abstención, abstención es no votar [INTERVENCIÓN ESTUDIANTE] (alumna) abstención es no votar [varias voces] ya ve el voto en blanco es el punto siguiente, voto de castigo, entra dentro de esta teoría ¿sí? La abstención electoral es [eleva el tono] no ir a votar [varias voces] y ahora ya os quería decir una cosa [eleva el tono], podemos hacer [eleva tono/ ralentiza el discurso] o podemos... sí podemos hacer una abstención activa [eleva tono/ ralentiza el discurso] o una abstención pasiva ¿qué es eso de la abstención activa o la abstención pasiva? [tono descendente] En ese sentido ya os digo puede, podemos subdividirla en dos modalidades, una abstención activa, yo no voy a votar ¿eh? en ninguno los casos, o una abstención pasiva. Cuando hablan aquí los autores de abstención activa [ralentiza el discurso], es que [eleva el tono] esa es una abstención militante, es una abstención que yo conscientemente como expresión de rechazo frente a una situación [eleva el tono] ¿eh? conscientemente rechazo ese sistema que considero perverso, y [eleva el tono] entonces... eh... y es que promulga muchas veces en desde algunas posiciones y en algunos momentos se promulga la abstención, y eso es una abstención activa, militante ¿sí? [INTERVENCIÓN ESTUDIANTE] (alumno da ejemplo) qué [INTERVENCIÓN ESTUDIANTE] (alumno explica) y promueven una no participación [INTERVENCIÓN ESTUDIANTES] (varias voces) [INTERVENCIÓN ESTUDIANTE] (alumno) yo os diré [eleva el tono] muchos partidos que han eh... promulgado, o sea han decidido las elecciones de este país, en varias de las últimas elecciones, y son de todo tipo ¿sí? [INTERVENCIÓN ESTUDIANTE] (alumno) ¿por ejemplo? ¿Conocéis algunos? [INTERVENCIÓN ESTUDIANTE] (alumno responde) cuando iba a entrar España en la OTAN ¿qué pasó?

[INTERVENCIÓN ESTUDIANTE 1] (alumno responde)
[INTERVENCIÓN ESTUDIANTE 2] (alumno responde) OTAN si OTAN no, pero, lo que dice es que mismos partidos que dijeron que la gente fuera a votar a que sí [eleva el tono], y otros partidos que dijeron que la gente no fuera a votar ¿mmm? Por ejemplo, en la constitución española, pues hubieron partidos que apoyaron el voto a la constitución y defendieron la constitución, y hubieron partidos que promulgaron no necesariamente que se votara en contra, sino que se abstuvieran, que no se pronunciaran sobre una constitución que no consideraban la suya. En la últimas elecciones, han habido **con** organizaciones políticas que no se han podido presentar a las elecciones y esas han hecho campaña por la abstención... ¿sí? O sea que tenemos varios ejemplos, en el que se utiliza, esta estrategia ¿mmm? Es una abstención militante, y luego tenemos la abstención pasiva ¿eh? que es la abstención que nosotros conocemos como re como resultado propio del sentimiento de indecisión ¿eh? que no expresa rechazo, como la anterior, sino lo que expresa es impotencia, haga lo que haga mi voto no va a influir en ningún resultado. Bueno. Y luego hay otro fenómeno que es el de los votos de castigo. Antes [eleva el tono] has dicho ¿qué?
[INTERVENCIÓN ESTUDIANTE] (alumna responde) ir a votar en blanco, y he dicho eso no es abstención eso es voto
[INTERVENCIÓN ESTUDIANTE] (alumno pregunta) **eixe vot** ese voto va a computar [INTERVENCIÓN ESTUDIANTE] (alumno pregunta) es que nuestra ley electoral es una ley bastante compleja ¿eh? a ver [INTERVENCIÓN ESTUDIANTE] (alumno pregunta) **tu poig**, a ver, tu voto computa con un porcentaje global de votos emitidos, a partir del porcentaje global de votos emitidos ¿mmm? se calcula el porcentaje de... cada partido... por ejemplo cuando más más votos hay ¿eh? pues más votos necesita un partido para sacar [eleva el tono] representación ¿sí? a partir del de un mínimo de 5 por cien. Pero cuanto más gente [eleva el tono] participa, más número de votos representará ese mínimo del 5 por cien ¿sí o no? O sea

que perjudica, es es estamos en un sistema un poco perverso ¿no? en ese sentido, porque nuestra ley electoral es que yo <incomprensible> alguna de esas asignaturas, yo [eleva el tono] voy a entrar ahí. Nuestra ley electoral lo que propicia es... eh... la consecución de mayorías ¿eh? lo que se intenta con ese eh... inferior del 5 por ciento del mínimo del 5 por ciento, lo que se intenta es eh...reducir la [eleva el tono] atomización del espectro político, o sea que no haya veinti... cinco... mil partidos representados sino la concentración del voto, es una opción que se tomó cuando se diseñó, el proceso político y la reconstrucción democrática de nuestro país, una opción de un sistema que se tomó para eso para propiciar las mayorías ¿eh? por eso es un sistema que está siempre en debate, porque perjudica ostensiblemente, a los partidos minoritarios. Bien, hacemos 5 minutos de descanso ¿mmm? continuamos ¿vale?

LE10

CAMPO: Humanidades. Filología Inglesa

ASIGNATURA: Lingüística

Nº ESTUDIANTES: 23 (m:6/f:17)

Fecha: 23/02/2005

Duración: 49 m.

Nº Palabras: 8.093

[INTERVENCIÓN ESTUDIANTE] (alumno/alumna, responde)

[INTERVENCIÓN ESTUDIANTE] (alumno/alumna, pide confirmación)

[INTERVENCIÓN ESTUDIANTE] (alumno/alumna argumenta)

[P. ACLARA LA VOZ]

[pausa]: cuando es larga

...: pausa corta, titubeos

[pausa esperando confirmación]

[pausa, esperando respuesta]

[ralentiza el discurso]

[ralentiza el discurso, dicta]

[repetición, parafrasear]

[repetición, ampliación]

[repetición parcial]

[tono descendente]: tras una interrogación el profesor expresa carencia de búsqueda de respuesta, es el profesor quien la da

[eleva el tono]

[baja el tono]

[murmullo]

[risas]

[referencia a Begoña]

cursiva para anglicismos

<incomprensible>

[murmullo] La clase de hoy... la clase de hoy la... una compañera de filología de inglés la va a grabar porque está haciendo un estudio... para su tesis sobre... sobre lo mal que vamos [risas] y entonces pues... o sea que todo lo que digáis está aquí grabado [INTERVENCIÓN BEGOÑA] para la posteridad [repetición intervención Begoña] [risas].

[murmullo] Bueno pues [pausa] vamos a a seguir con los <incomprensible> [baja el tono] estábamos estaba un poco comentando la lista de... [INTERVENCIÓN ESTUDIANTE] más alto [INTERVENCIÓN ESTUDIANTE] (alumno/alumna, responde) pues eso estaba... estaba comentando la lista de... de Hockett, de características que Hockett considera que son definitorias en lo que es el lenguaje verbal y luego vamos a utilizar para compararlo con otros sistemas de comunicación, sobre todo con el sistema de comunicación de los primates. En realidad con dos objetivos, por un lado ver hasta que punto eh... los sistemas de comunicación de los otros primates son diferentes o son parecidos al sistema de comunicación de los humanos y en realidad para responder a una pregunta fundamental y es ¿qué es realmente el lenguaje verbal?, ¿qué lo que caracteriza realmente al lenguaje verbal? Creo que habíamos visto seis ¿no?, ¿puede ser? [pausa esperando confirmación] [INTERVENCIÓN ESTUDIANTE] (alumno/alumnas responden) eh... algunas de las características que estuve comentando en realidad yo las las [repetición] agruparía porque son bastante parecidas por ejemplo de las seis que hemos visto si queréis podéis poner, por lo menos yo lo hago así ¿eh?, podéis poner un... una línea, aquí uniría la característica cuatro y la seis para mí son muy parecidas ¿no? la cuatro y la seis en realidad de lo que habla es que el lenguaje verbal tiene una serie de unidades aislables [eleva el tono] ¿eh? identificables en cualquier contexto y más o menos y la cuatro y la seis tal y como yo lo veo es la misma característica explicada de dos maneras. Vamos con la siete, la siete Hockett la llama... la característica de desplazamiento [eleva el tono], [pausa]

tampoco es que me guste mucho ese nombre pero como no se me ha ocurrido otro mejor pues lo dejamos así, desplazamiento, y Hockett dije que dos puntos [pausa] los usuarios [pausa] del sistema, del sistema que sea en el caso del lenguaje verbal pues lenguaje verbal de la lengua, los usuarios del sistema [repetición] son capaces de referirse [pausa] a eventos remotos en el espacio y en el tiempo [ralentiza el discurso, dicta] [pausa], los usuarios del sistema son capaces de referirse a eventos remotos [pausa] en el espacio y en el tiempo [repetición] [pausa], dicho de otra manera el lenguaje verbal es capaz de... actuar de una forma descontextualizada, el lenguaje verbal no solo sirve para... conseguir cosas que en ese momento nos están rodeando sino que es capaz pues podemos hablar de cosas que nos han pasado en el pasado o nos van a pasar en el futuro ¿no? Esa es una característica que ya veremos, luego lo comentaremos, si los primates en libertad, los estudios que ese han hecho sobre los sistemas de comunicación de los primates en libertad parece que no cumplen y luego veremos que los... estudios con primates, los experimentos que se han hecho para intentar enseñar lenguaje verbal a determinados chimpancés parece una característica que sí que pueden tener [eleva el tono] ¿no? si se les enseña de alguna manera. La ocho es... la productividad [pausa] dos puntos [pausa] se pueden producir nuevos mensajes [pausa] sobre cualquier tema [pausa] en cualquier momento [pausa], se pueden producir nuevos mensajes sobre cualquier tema [pausa] en cualquier momento [repetición] [pausa]. Pues productividad si la queremos llamar en el tema de la creatividad, como lo queráis llamar, eso no quiere decir, hay sistemas de comunicación... animal que evidentemente van cambiando con el paso del tiempo, pero son cambios muy lentos ¿no?, sistema de comunicación incluso animales como los insectos etcétera no quiere decir sea un sistema que nunca ha cambiado, pero es un tipo de cambio que que requiere pues un **mínimo** de años, incluso **millones** de años ¿no? El sistema de comunicación del

ser humano, el sistema verbal, es un sistema creativo, muy creativo, muy rápido [eleva el tono] sobre todo en algunos aspectos ¿no? Ya lo veremos en otros temas, en... el aspecto de la... de la [repetición] **comunicación** es un poco más lento los cambios, los aspectos gramaticales cambian bastante lentamente pero por ejemplo todo lo que es el aspecto léxico es muy creativo ¿no?, estamos creando léxico constantemente, léxico que tiene éxito, léxico que no tiene éxito. El tercero, perdonadme, el nueve, la característica nueve es... Hockett le llama dualidad de patrones, dualidad de patrones [repetición] [pausa], pero esto es lo que normalmente se... yo creo que habréis oído hablar ya de ello muchas veces porque esto sale en los libros de.. bachillerato que es la doble articulación del lenguaje. Os lo dicto tal y como lo dice Hockett y luego lo comentamos, es una característica que siempre se cita como característica específica del lenguaje verbal que ya veremos si realmente lo es o no lo es ¿no? **<incomprensible>** la doble articulación quiere decir según Hockett las unidades no significativas [pausa], unidades no significativas [repetición], en el caso del lenguaje verbal los fonemas, los fonemas no significan nada, se combinan para formar unidades significativas. Eso es lo que todo el mundo conocemos como doble articulación ¿no? Nosotros tenemos una serie de unidades que son los fonemas que no significan nada la p [eleva el tono] no significa nada, la f no significa nada, pero que al combinarse producen signos que significan **<incomprensible>** [baja el tono]. Además [eleva el tono], añadamos, además [pausa] estos signos [pausa] a su vez se pueden recombinar [pausa], estos signos a su vez se pueden recombinar [repetición] para formar nuevas unidades [pausa] significativas más amplias [pausa]. Esto... lo podéis, si queréis podéis poner al lado es la sintaxis básicamente ¿no?, aunque en realidad en el lenguaje hay dos formas de articulación o dos formas de, yo no sé por qué se ha llamado doble articulación yo más bien lo llamaría doble combinación **del sistema de comunicación** por un lado los fonemas se

combinan para formar palabras y luego las palabras se combinan para formar frases. Ya podéis apuntar si queréis que el primer tipo de combinación, es decir, fonemas que no tienen significado para formar palabras, eso seguro que es específico del lenguaje verbal, o sea ningún tipo de... sistema comunicativo de los primates puede hacer eso, eso eso [repetición] por descontado ¿no?, los primates no tienen unidades por ejemplo gritos que no signifiquen nada [eleva el tono] de por sí y que solo significa algo al combinarse con otros, eso no lo tienen los primates, lo que sí que nos podemos plantear, y ya veremos... que es un tema bastante polémico también, es si son capaces de combinar diferentes gritos para formar frases, algo parecido a frases ¿no? O sea, o sea [repetición] cuando nos planteemos el tema de los, de los [repetición] primates si tienen doble articulación es solo en el sentido de sintaxis ¿eh?, en el sentido de fonología eso seguro que no lo tienen. El diez, la característica diez de Hockett, es lo que él llama tradición [pausa], tampoco me gusta mucho pero tampoco se me ha se me ha [repetición] ocurrido nada mejor lo dejamos como tradición, dos puntos [pausa] al menos ciertos aspectos del sistema, tradición, dos puntos, al menos ciertos aspectos del sistema [repetición] [pausa] deben ser transmitidos [pausa] de un usuario experimentado al aprendiz [pausa], al menos ciertos aspectos del sistema deben ser transmitidos de un usuario experimentado al aprendiz [repetición], dicho de otra manera en el lenguaje verbal hay muchas cosas que no son innatas [eleva el tono], es decir el lenguaje verbal hay que aprenderlo ¿eh? Cuando hablemos del tema de la adquisición de la lengua materna ya veremos que hay autores como Chomsky que piensan que en realidad realmente no se aprende nada, es todo innato, pero vamos en principio damos por sentado que... gran parte del lenguaje verbal se tiene que adquirir y... yo creo, si queréis pero lo vamos a ir viendo, yo diría que esta característica no es específica del lenguaje verbal ¿eh?, hay muchos aspectos en el sistema de comunicación de los primates que tienen que

ser enseñados [eleva el tono], no son totalmente innatos ¿no? [pausa] Yo personalmente uniría, un poco asociando unas características con otras, yo uniría [repetición parcial] la característica ocho con la diez ¿no?, un poco son una consecuencia lógica de la otra, es decir si se están creando signos nuevos, si se están creando formas de expresión nuevas obviamente esas formas de expresión no pueden ser innatas, esas formas nuevas de expresión van a tener que ser enseñadas a los, a los [repetición] nuevos usuarios ¿no? La once [pausa], una característica que... Hockett llama prevaricación, [INTERVENCIÓN ESTUDIANTE] (alumna, pide confirmación) prevaricación [repetición], con v, ¿no os suena mucho la palabra? Prevaricación con v. Prevaricación en... así en... cristiano quiere decir mentir ¿no?, prevaricar es mentir [repetición] [pausa] dos puntos, prevaricación, el sistema permite [P. ACLARA LA VOZ] a los usuarios [pausa] decir cosas sin sentido [pausa] o mentir, el sistema permite a los usuarios decir cosas sin sentido o mentir [repetición] [pasua]. No sé, si tuvierais que relacionar esa característica con alguna de las que hemos... de las que [repetición] comentamos el otro día [INTERVENCIÓN ESTUDIANTE] (alumno responde) ¿cuál? [INTERVENCIÓN ESTUDIANTE] (alumno responde) ¿El desplazamiento cuál era? Espera que no la encuentro, la siete [eleva el tono] [pausa] m... eso sí realmente tiene tiene [repetición] tiene cierta tiene cierta [repetición] relación ¿no?, es decir, la capacidad de de... [repetición] [pausa] vamos que las expresiones no estén sujetas al contexto ¿no? a la realidad contextual, por un lado yo creo que como dice el compañero se relacionaría bastante con la característica siete es decir no es que sean lo mismo pero van bastante de la mano, ¿y con otra, no os parece que está relacionado con otra característica que vimos el el [repetición] otro día, una de las primera? [pausa esperando respuesta] [INTERVENCIÓN ESTUDIANTE] (alumno responde) Con la retroalimentación, que yo llamaba intencionalidad. Yo creo que en el

fondo es más o menos lo mismo, es decir, si tú eres capaz de mentir, es decir, de decir cosas que no son ciertas con el sistema, con los con los [repetición] digamos con las [repetición] expresiones del sistema evidentemente tú eres consciente de de de [repetición] las consecuencias de ese mensaje porque sino tú no utilizarías el recurso de la prevariación. Entonces yo asociaría, os diría que estas características están bastante unidas el tema de la característica número dos, la característica dos, la siete que ha dicho el compañero y la... y la [repetición] once [pausa]. La doce, estamos acabando son trece ¿no? La doce dice aprendizaje [pausa], un usuario del sistema puede aprender otras variantes, un usuario del sistema puede aprender otras variantes [repetición]. Eh ¿con cuál la relacionarías esta?, ¿qué os parece? Es bastante parecida a lo que acabamos de ver [pausa esperando respuesta] [INTERVENCIÓN ESTUDIANTE] (alumno responde) ¿cuál? INTERVENCIÓN ESTUDIANTE] (alumno responde) Con la diez, realmente... es decir, si... viene a ser lo mismo ¿no? [pausa] si puedes aprender varias, nuevas variantes [repetición, parafrasear] es porque dentro del sistema está concentrada **la caracteriza**. Y la última, e... esta... no es **lo que os estaba hablando** que la diez doce en realidad se segu seguro que esa no es específica del lenguaje verbal porque hay un montón de características de los sistemas de comunicación de los animales que son aprendidos ¿no? Pues hay estudios, no no [repetición] vamos a entrar ahora porque nos vamos a centrar **especialmente** en... en [repetición] el lenguaje de los primates, pero hay estudios sobre el lenguaje de los pájaros y se han hecho experimentos **de llevar** un tipo de pájaro que estaba en una zona y se va a otra zona el pájaro aprende nuevas variantes y nuevas formas de canto ¿no? Tienen la capacidad de creación de nuevas variantes. Y la trece que esa seguro [eleva el tono] esa ya os digo desde ahora que seguro [eleva el tono] que es específica, es la más específica [repetición parcial] ¿no? del del [repetición] lenguaje verbal yo yo

[repetición] diría que más que del lenguaje verbal, ya del ser humano ¿no?, para mí es la característica, es el gran salto [eleva el tono] entre el ser humano y el resto de de [repetición] primates que es la reflexividad, [INTERVENCIÓN ESTUDIANTE] (alumna, pide confirmación) reflexividad sí dos puntos [pausa] dice... se puede emplear el sistema de comunicación [pausa], se puede emplear el sistema de comunicación [repetición] para hablar [eleva el tono] [pausa] y reflexionar [pausa], se puede emplear el sistema de comunicación para hablar y reflexionar [repetición] sobre el propio sistema de comunicación [pausa]. Es decir, dicho de otra manera, fijaros que las... las [repetición] primeras doce características lo que hablan es de hasta que punto está desarrollado o no está desarrollado la herramienta [eleva el tono] del sistema de comunicación al que nos enfrentemos ¿no? Ese tipo de... de [repetición] herramienta, fijaos que el doce ya no nos dice cómo es [eleva el tono] el sistema de comunicación si es mejor si es peor, sino si ese sistema de comunicación aparte de la función comunicativa aparte se ha convertido en el objeto sobre el cual podemos reflexionar ¿no?. Eh... ya lo comentamos el otro día yo creo que el ser humano es el único... primate que no solo tiene un sistema de comunicación muy complejo sino que además reflexiona [eleva el tono] sobre el propio sistema de comunicación, somos conscientes [eleva el tono] de nuestro sistema de comunicación, hablamos [eleva el tono] sobre cómo hablamos, hablamos sobre, la gente comenta diciendo este habla de una manera, este habla de otra manera, somos conscientes de que... de que [repetición] eso es un objeto, aparte de que lo utilizamos somos conscientes de él, y de hecho de ahí de esta consciencia surge la gramática, la gramática no es más que una reflexión, y eso es seguro [eleva el tono], vamos, yo pondría la mano en el fuego, tendríamos que meternos en el en el cerebro de un chimpancé, pero pongo la mano en el fuego que eso es una característica específica del ser humano ¿no?, la capacidad de

reflexionar sobre los pro sobre los propios utensilios. Bueno pues lo que vamos a hacer ahora va a ser <incomprensible> por ahí en el... dossier una hoja que pone comunicación de primates en libertad, [pausa] eh... si queréis podéis apuntar que esto puede ser el... el [repetición] enunciado de una pregunta de examen, la se la [repetición] segunda posible pregunta de examen tendría este enunciado, creo que ya vimos la primera sería aspectos relacionados con pam pam pam, otra pregunta puede decir sencillamente eh... comunicación de los primates en libertad. Fijaros que nos vamos a hacer al comentar las características del sistema de comunicación de los primates en libertad bueno en el video que estuvimos viendo el otro día etcétera fundamentalmente anotar estas características y compararlas con la lista de Hockett ¿eh? Eh... para el examen una cosa muy importante, no hace falta que os aprendáis de memoria la la lista de Hockett, pero eso sí si cayese esta pregunta o la siguiente pregunta eh... me interesaría que cuando me estéis comentando pues los primates tienen esta característica o los primates el sistema de comunicación de los primates tiene esta característica o tiene esta otra que siempre me hagáis referencia a alguna característica de Hockett, me... bueno eso quiere decir que cumple esta característica de Hockett que es lo que va a pasar aquí o no cumple esta característica etcétera. Insisto, no hace falta que os aprendáis las trece de memoria pero sí que cada vez que me comentéis una característica de del sistema de comunicación de los primates me la relacionéis con alguna de las características de Hockett. [INTERVENCIÓN ESTUDIANTE] (alumna pregunta) No, eh... esas características de Hockett digamos que esas trece características las cumple el lenguaje verbal seguro, entonces Hockett lo que ha hecho es plantear esas trece características para que a partir de ahí podamos compararlo con otros sistemas de comunicación, decir bueno eh... los pájaros, el sistema de comunicación de los pájaros pues solo cumple la uno, la tres, la cuatro, la tal; el sistema de los primates pues cumple tal

y a lo mejor planteamos si realmente eh... [INTERVENCIÓN ESTUDIANTE] (alumna pregunta) es una es un listado de características de un sistema de comunicación en general que de entrada sabemos que lo cumple el sistema verbal, lo que vamos a ver si lo cumplen otros sistemas de comunicación o hasta qué punto, eh... la idea es decir bueno pues si los primates cumplen la uno, la dos, la tres, la cuatro, tal y nos faltan la siete, la nueve, la diez, la que sea eso quiere decir que lo específico realmente del sistema verbal son la siete, la ocho y la nueve, eso es lo que lo hace diferente ¿no? Esto es un poco el planteamiento que que [repetición] hacía Hockett y que vamos a seguir nosotros. Entonces si veis el esquema lo primero que... el primer guión que aparece ahí intencionalidad y hay una primer apartado que pone teoría límbica ¿lo tenéis?, ¿qué quiere decir teoría límbica?, ¿a qué se refiere este este primer apartado? [tono descendente] Quiere decir que hasta hace muy poco, hasta hace por lo menos relativamente poco [repetición, parafrasear], se pensaba que... los aullidos, eh... nos vamos a centrar sobre todo en en [repetición] el sistema... de de [repetición] gritos de los primates es el que aparecía en el video el otro día, se pensaba que los los [repetición] gritos [repetición, parafrasear] que producen los los [repetición] chimpancés... o los gorilas etcétera eh... tenían su origen en el cerebro en la zona límbica, que es la zona el hipocampo aproximadamente ¿no?, eh... la zona límbica es una zona que también tenemos los los [repetición] seres humanos, es la zona digamos de los actos reflejos ¿no?, es decir que por ejemplo si... el otro día comentamos que el lenguaje surge de la zona de Wernike o del área de Wernike o del area Broca, si yo hago una frase digo... hace calor pues estoy produciendo, se está produciendo energía en la zona de... Broca y en la zona de Wernike, pero si por ejemplo yo me doy un golpe y dijo... no se si esto se puede grabar, ¿se puede grabar lo que voy a decir? [referencia a Begoña] Me pego un golpe y digo ¡hostia! [eleva el tono] por ejemplo **así** automáticamente eh... eso ese ese

[repetición] grito o ¡ay! [eleva el tono] o lo que sea, ese grito no sale de la zona de esa esa expresión no sale de la zona [repetición] del área de Broca ni de la zona de de [repetición] Wernike sino que sale de... eso es un acto reflejo y sale de la zona límbica ¿no? Hasta hace muy poco, hasta hace muy poco [repetición] se pensaba que... todos los gritos que producen los primates o todos los gestos su origen estaba en la zona límbica es decir que eran puras respuestas a estímulos externos, no era la idea de que sistema de comunicación de los primates es estímulo respuesta ¿no? Ven un estímulo que puede ser una fuente de alimentos, puede ser un... depredador o puede ser una hembra o un macho ¿no?, que... le interese por lo que sea, ve un estímulo entonces se pensaba que automáticamente el el [repetición] tipo de grito que hacía era una una [repetición] simple respuesta ¿no?, estímulo respuesta sin más. Hoy en día eso ya está... está... [repetición] prácticamente rechazado se han hecho el mismo tipo de estudios con ondas alfa, ondas beta, ondas gama etcétera, y está más o menos demostrado que en general que no está tan localizado [eleva el tono] como en el cerebro del ser humano, en el cerebro del ser humano está muy localizado en el área de Broca y en el área de Wernike, pero en los primates también [eleva el tono] es eh... cuando hacen un... aullido realmente la fuente ¿no? energética está en una zona muy parecida a la zona de Broca o la zona de Wernike, quizá no tan localizado como en el ser humano pero digamos que es... dicho de una forma eh... así bastante sencilla quiere decir que los gritos son gritos controlados no son simples respuestas a estímulos externos sino que son gritos pues que se han pensado, entre comillas, que se han organizado en un área [eleva el tono] muy parecida a la de Broca o a la de Wernike, eso lo primero, es decir lo primero que podemos rechazar de entrada es que el sistema de comunicación de los primates sea simplemente [ralentiza el discurso] respuestas a estímulos ¿no?, hay algo más, algo bastante más parecido, desde el punto de vista fisiológico, a lo que es el sistema

de comunicación de los primates. Capacidad de prevaricación, esta fijaros que lo que nos estamos planteando aquí son las características h dos, h once, yo le llamo h por Hockett ¿no?, así acabo antes ¿no?, la h dos, la h once y habíamos dicho que también incluso hasta cierto punto la h siete, aunque la h siete ya os digo, podéis apuntar, la ha siete no la cumplen ¿eh?, por lo menos los estudios que se han hecho con primates en libertad no hay ningún indicio ¿eh? es muy difícil, la verdad es que es muy difícil [repetición, ampliación] eh... analizar el sistema de comunicación de los primates en libertad porque tenemos que estar interpretando o tienen [eleva el tono] que estar interpretándolo siempre desde fuera, pero parece que no hay [eleva el tono] ningún indicio de que cumplan la característica siete, es decir de que sean capaces de por ejemplo comunicar algo que pasó el día anterior ¿no?, decir si tienen un grito para para [repetición] avisar de que hay de que hay [repetición] un leopardo si el día x han utilizado ese grito para avisar de que hay un leopardo es muy raro que el día el día [repetición] siguiente, muy raro no no se ha dado nunca en primates en libertad, que el día siguiente se lo cuenten ¿no?, digan mira ayer tuve que, ayer hice el grito este ¿no?, solo gritan para contar cosas que están en el momento ¿no?, la característica siete no se ha cumplido, pero la característica dos y la once es decir ¿son capaces de mentir?, ¿son capaces de decir lo contrario de lo que los estímulos les están indicando en ese momento, lo que el contexto les está indicando y por tanto tienen conciencia de lo que están transmitiendo? Podemos, si queréis podéis apuntar que no se ha dao ningún caso de eh... un tipo de grito que sea una mentira <incomprensible>por ejemplo que... que... [repetición] hay una fuente de... comida y que den un grito que signifique por ejemplo que viene un depredador eso no se ha no se ha [repetición] constatado, no se ha grabado, no se ha registrado, es decir no dicen gritos que digan, que signifiquen lo contrario de lo que quieren transmitir, pero si que hay un tipo de mentira, un tipo un indicio que eso ya se puede

considerar en realidad eh... mentira que es el silencio. Si tú ves un estímulo ante el cual normalmente darías un grito, pues por ejemplo una fuente de energía, perdón una fuente de... de [repetición] alimento imagínate que un chimpancé ve una serie de... de [repetición] plátanos, lo normal es que tienen un grito para avisar de que allí hay plátanos pues, no lo voy no lo voy [repetición] a hacer aquí porque **quedaría el tema** [risa], pero bueno tienen un tipo de gritos para para... [repetición] eh... avisar de que hay plátanos, entonces si [eleva el tono] hay mucha escasez de alimento, si hay mucha escasez de alimento [repetición] lo que si que hacen en muchas ocasiones es callarse, callarse [repetición] incluso poniéndose la mano delante de la boca es decir el tío [risa] lo que lo que [repetición] le pide el cuerpo digamos al ver... la fuente... la fuente... [repetición] de de [repetición] alimento es chillar para avisar a los demás, pero el tío no no [repetición] espérate incluso se tiene que tapar la boca para no avisar y decir aquí hay solo cinco plátanos macho y yo tengo mucha hambre y me los como yo [risas]. Entonces eso es una forma de mentir, o sea el no avisar [eleva el tono] ya es una forma de mentir. Se ha registrado en... con... fuentes de alimentos, se ha registrado también con depredadores, normalmente si viene un depredador ellos tienen un tipo de grito, luego lo comentaremos para, si es un leopardo, si es un águila, lo que sea, pues es un grito pues para avisar a la gente, al resto de de chimpancés o lo que sea para que suban y se protejan del depredador. Ahora si [eleva el tono] por ejemplo el árbol está muy lejos y el depredador está muy cerca el grito en realidad lo que puede hacer es avisar al depredador y a lo mejor no les da tiempo a llegar, en esos en esas [repetición] ocasiones los tíos, eso es pura intencionalidad del lenguaje ¿no?, o sea calculan si con el grito en realidad lo que estás haciendo es avisar al depredador y no y no [repetición] va a dar tiempo a que tus compañeros suban al árbol, en esos casos se callan ¿no?, eso digamos sería un un control intencionado del mensaje ¿no? Y se ha registrao también en otros

casos que es en el caso del sexo ¿no? Eh... normalmente hay unas... en los grupos de primates hay un... macho que es el macho alfa, el macho alfa es el el [repetición] jefe ¿no?, que tiene entre otras prerrogativas tiene un tiene un [repetición] poco la capacidad de decidir con que hembras va y con que hembras no va, y es el que deja al resto de machos, dice bueno pues puede puede [repetición] que te aparees con esta hembra y no te aparees con esta hembra, es un poco el que decide los apareamientos ¿no? En esos casos [risas], lo cual está muy bien para él y muy mal para los demás pero [baja el tono]. Pero [eleva el tono] a veces se dan casos de que pasan un poco del macho alfa, pues hay una hembra que le mola a una macho y al macho el mola la hembra [risas] y pasan del macho alfa porque el macho alfa no les deja [murmullo], entonces se van a una se van a una [repetición] zona de... un poco escondida de la selva y los gritos [eleva el tono] típicos que tendrían que hacer para el apareamiento, los tíos se callan ¿no? Hacen un apareamiento en silencio [risas] porque como venga el macho alfa les va a pillar entonces hacen hacen [repetición] en ocasiones eh... hacen los típicos gritos del apareamiento pero cuando saben que eso puede ser peligroso, dicho de otra manera característica dos de Hockett, la h dos, la característica h once yo diría que en principio los primates, por lo menos los chimpancés y luego se podría hacer estudios con primates un poco más atrasados entre comillas como los lémures, como los macacos, etcétera, pero los chimpancés, eh... los gorilas y seguramente los orangutanes que son los tres grupos más cercano al ser humano, yo creo que tienen una intencionalidad..., saben exactamente lo que están transmitiendo y porque lo están transmitiendo, y cuales son las consecuencias de lo transmitido ¿no? y aunque no digan [eleva el tono] mentiras en el sentido de utilizar un grito que no toca [eleva el tono] por lo menos son capaces de callarse ¿no?, son capaces de controlar el tipo de gritos [pausa]. Eh... si veis el siguiente punto de... del.... esquema, la sociabilidad ¿no? La

sociabilidad quiere decir hasta que punto eh... los primates utilizan determinadas expresiones no para conseguir comida o para... avisar de peligros sino sencillamente para establecer relaciones sociales entre ellos ¿no? Eh... hay que tener en cuenta que los sistemas sociales de los chimpancés son muy complejos [eleva el tono] ¿eh? Evidentemente no llegan a la complejidad social de [repetición] las sociedades humanas pero los estudios que ha hecho **James Gudar**, el que vimos el otro día, y los estudios que se han hecho con los orangutanes tienen un sistema realmente muy complejo [eleva el tono] ¿eh? de pactos, de alianzas, de jerarquías, de formas de evitar los conflictos es decir una sociabilidad muy importante ¿no? El ser humano digamos que el el [repetición] lenguaje verbal del ser humano es un lenguaje donde las expresiones de sociabilidad son muy espontáneas ¿no? Nosotros estamos constantemente eh... utilizando el lenguaje para sociabilizar, en el caso de los primates como veis ahí el grado de espontaneidad podéis añadir que es menor ¿no?, se utiliza en en [repetición] contextos mucho más concretos, eh... el número de expresiones es mucho menor, pero en general [pausa] como veis ahí dice vocalizaciones <**incomprensible**> podemos decir que si que es verdad ¿eh?, o sea, podemos afirmar que los primates utilizan gritos [ralentiza el discurso], un tipo de gritos además que son... especiales ¿no? que son los... los **urulidos** ¿no?, tienen hay hay [repetición] en realidad se clasifican en en [repetición] **urulidos** y en en [repetición] gruñidos ¿no? Los gruñidos están más relacionados con... con... [repetición] fuentes de alimento con el rollo sexual etcétera y los **urulidos** es más de uh uh ¿eh? [risas] ese está más relacionado con los aspectos sociales ¿no? Entonces tienen, podéis podéis [repetición] apuntar que tienen un tipo de mensajes especiales para sociabilizar ¿no?, mensajes que están indicando tú y yo somos del mismo grupo, tú y yo somos iguales o no somos iguales, es decir expresiones específicamente para eh... transmitir mensajes puramente sociales ¿no?, las relaciones sociales.

No sé ¿con qué característica relacionarías esto el hecho de que tengan mensajes, o sea que no todos los mensajes sean para comida, para conseguir comida etcétera sino que tengan mensajes solo para socializarse, qué os parece?, ¿con que característica de Hockett lo relacionarías? [pausa esperando respuesta] [INTERVENCIÓN ESTUDIANTE] (alumno/ alumnas responden) Sí, sí sí [repetición] yo yo [repetición] lo tengo apun por lo menos a mí eso es lo que me a sugerido es la tres ¿no? La especialización nos dice que hay mensajes que sirven exclusivamente para eso, para comunicar, que ante una fuente de comida no sabemos si si [repetición] ese grito es un grito pues de alegría porque va a comer etcétera, los los [repetición] mensajes de socialización son mensajes puramente para comunicar, para comunicar mensajes sociales. Por tanto... hemos eliminado ya la característica, hemos eliminado en el sentido de que no son específicas del ser humano, la dos, la once, la uno si queréis ya os dije el otro día que la podíamos eliminar porque esta es una característica demasio básica, seguro que la tiene cualquier sistema de comunicación. Bueno de momento sabemos que la uno no es específica del lenguaje verbal, la dos no es específica del lenguaje verbal, la tres no es específica del lenguaje verbal, la once no es específica del lenguaje verbal. [INTERVENCIÓN ESTUDIANTE] (alumna pregunta) Sí sí estamos eh... bien si queréis está bien la la [repetición] precisión que hace la compañera, cuando ponemos comunicación de primates en libertad si queréis si queréis [repetición] esta bien que pusierais primates... primos hermanos nuestros ¿no? Es decir los que... pues yo que sé los chimpancés me parece que nos separamos la la [repetición] rama que separa a los chimpancés de de [repetición] los antropoides es de hace cinco millones de años o cuatro millones que es relativamente poco tiempo ¿eh? Si queréis chimpancés, gorilas y... orangutanes que son los los [repetición] nuestros primos vamos nuestros primos hermanos [repetición ampliación]. [varias voces] [INTERVENCIÓN ESTUDIANTE]

(alumna pregunta) Sí exactamente lo que estamos haciendo, a lo mejor no no [repetición] me estoy explicando bien, lo que estamos haciendo es eh... eliminar aquellas características que no son específicas del ve del [repetición] lenguaje verbal, es decir si la h uno la cumplen otros sistemas de comunicación, es la eliminamos esa no es característica del lenguaje verbal, la h dos no es específica del lenguaje verbal porque hay otros sistemas de comunicación que la cumplen, la h tres no es específica del lenguaje verbal porque hay otros primates que la cumplen y la h once no es específica del lenguaje verbal y hay primates como dice la compañera, primates bastante cercanos que la cumple [baja el tono]. Quizá lo lo [repetición] más interesante es lo que nos queda que son las características ¿no?, que es... las características de esas vocalizaciones, cantidad y diferenciación. Eh... os acordáis en el vídeo que aparecía..., que vimos el último día, que aparecía una... una [repetición] investigadora que estaba grabando los los [repetición] gritos y demás, y ella decía que realmente es es [repetición] muy difícil hacer una especie de vocabulario de... de [repetición] bueno pues los chimpancés tienen este vocabulario, tienen esta serie de gritos, pues tienen este que significa esto, por qué [tono descendente] porque para nuestro oído dos gritos o dos urulidos que pueden sonar muy parecidos, para ellos pueden tener un matiz, pues el hecho de que sea... unos segundos más largo o un pelín más agudo o que sea un pelín más grave o que sea un pelín más apagado que es posible que para los primates tenga... eh... sean dos gritos [eleva el tono] diferentes, sean sean [repetición] dos signos diferentes y que desde el punto de vista del investigador no capturemos ese matiz ¿no? De momento los estudios que se han hecho con chimpancés con orangutanes etcétera hablan de que es posible, se comenta que se habla de entre veinticinco y cuarenta tipos de gritos diferentes veinticinco y cuarenta, aunque yo estoy seguro, vamos yo pondría la mano al fuego también de que seguramente hay más ¿eh? Pero que los investigadores digan bueno

hemos hecho un vocabulario, ese grito significa esto, significa plátanos, este grito significa agua, este grito significa viene un leopardo, este grito significa me molas, este grito significa te voy a dar ¿no?, este grito significa tú mandas ¿no? Se ha hecho un vocabulario en... aunque ya digo que es bastante polémico pero cuarenta seguro mas o menos hasta cuarenta se llega, lo cual no quiere decir que no tengan más, cuarenta que se haya identificado ¿no? [pausa] ¿No sé qué os parece cuarenta...?, ¿cuantitativamente os parece que con cuarenta se puede... hacer un lenguaje bastante desarrollado o os parece cuantitativamente? [INTERVENCIÓN ESTUDIANTE] (alumna responde) ¿poco? Hombre... [INTERVENCIÓN ESTUDIANTE] (alumno argumenta una idea) Eso es lo que iba a decir [INTERVENCIÓN ESTUDIANTE] (alumno argumenta una idea) m... si fueran si fueran [repetición] combinables yo creo que lo que ha dicho el compañero es bastante acertado, si fueran combinables [repetición] hay que tener en cuenta que no es tan poco, es decir las combinaciones que se pueden hacer entre cuarenta son muchas, cuando hablemos de... de... [repetición] las lenguas *pidgin* y las lenguas criollas que es un tema del que hablaremos más adelante, son esas lenguas que que [repetición] de repente surgen, son lenguas de nueva creación ¿no?, están conviviendo gentes que hablan lenguas diferentes y crean una nueva lengua, ya veremos que en las primeras fases de las lenguas *pidgin* a veces funcionan con vocabularios de cien... y ciento cincuenta y se apañan, ahora [eleva el tono] son vocabularios que se pueden combinar ¿no?, la combinatoria **con**, o los críos ¿no? Los críos a la edad de dos años pues hay críos que tienen un vocabulario por lo menos un vocabulario propio ¿no?, que ellos utilicen que no pasa de las sesenta, setenta palabras y con dos años se comunican muy bien, yo creo que la clave, cuantitativamente hombre pues es poco evidentemente si es que es así, pero la clave [repetición] es la comb la capacidad de combinar, si pueden o no combinar. Eh... yo apuntaría si queréis podéis apuntar

respecto a la combinación el tema que es la característica... eh... nueve, por lo menos en los registros que se han hecho parece que la característica nueve no cumplen, es decir no se ha detectado, no se ha grabado en ningún momento eh... una situación en la que los primates combinen dos... signos y creen una frase nueva ¿no? Normalmente los signos, por lo menos en lo que se ha grabado, son signos que actúan [repetición] de manera bastante autónoma. Desde luego fonología no tienen, desde luego [repetición], pero es que parece que sintaxis, sintaxis [repetición] hasta que no se estudie más parece que tampoco tiene ¿eh? Cada signo significa una cosa y no combinan dos signos para crear una frase que signifique algo nuevo ¿no?, por lo cual esos cuarenta eh... al no haber ningún tipo de combinación ni fonológica desde luego de ninguna manera pero sintáctica parece que no la hay tampoco. Ya veremos luego los casos de de [repetición] chimpancés a los que se les está intentando enseñar el el [repetición] lenguaje y ahí parece que sí que tiene sintaxis ya lo veremos, pero aquí no hay sintaxis o sea que la nueve de momento se mantiene como no la podemos mantener como una característica específica del lenguaje verbal ¿no? Es decir los chimpancés los primates de ningún tipo parece que combinen [eleva el tono] unos signos con otros lo cual hace que hace que [repetición] esas cuarenta realmente sean bastante poco, sea un vocabulario bastante poco extenso [repetición, parafrasear] ¿no? Pero el hecho de que tengan cuarenta signos [eleva el tono] completamente diferentes ¿no?, o sea incluso el oído humano es capaz de diferenciarlo y que siempre [eleva el tono] refieren al o mismo ¿no?, ese grito que lo hemos grabado, lo hemos analizado con un hemos hecho un espectrograma etcétera ¿con qué características lo relacionarías? ¿no? El hecho de que tengan cuarenta completamente diferentes y para cuarenta para cua para cuarenta situaciones cuarenta referentes diferentes ¿no?, ¿con qué característica de Hockett lo rela lo relacionarías [repetición]? [pausa esperando respuesta]

[INTERVENCIÓN ESTUDIANTE] (alumno responde) ¿Productividad cuál es? La ocho ¿no?, productividad sería más bien eh..., mira si queréis podéis apuntar ya que ha sacao el compañero el tema de la productividad, eh... no la productividad la vamos a ver luego, la productividad es crear, es decir es es [repetición] que de repente te enfrentes a a un a un [repetición] nuevo tipo de situación o a un nuevo tipo de referente que no habías, que no te habías [repetición parcial] enfrentao y entonces crees un signo nuevo ¿no?, eso lo vamos a ver a continuación porque sí que la tiene. Pero ahora de momento ¿el hecho de que tengan cuarenta para cuarenta cosas diferentes con qué lo relacionarías? [pausa esperando respuesta] Si os acordáis hemos visto **y** acabamos de ver casi al principio de la clase el lenguaje verbal tiene signos [eleva el tono] que son signos estables en cualquier contexto significan siempre lo mismo, [INTERVENCIÓN ESTUDIANTE] (alumno responde) son la característica cuatro y la seis ¿no? Es decir por un lado son signos estables, signos que siempre [eleva el tono] significan lo mismo es decir no... este... grito para... indicar plátanos no significa mañana otra cosa, es un signo estable, y además son signos discretos ¿eh? Eh quiero decir son signos que que [repetición] identificamos como completamente diferentes, no es que sea un grito más o menos fuerte no no [repetición] son gritos completamente diferentes con lo cual podemos decir que la característica cuatro y la característica seis tampoco [eleva el tono] por lo visto tampoco [eleva el tono] son específicas del lenguaje verbal ¿no?, porque vemos que el sistema de comunicación de los primates eh... lo cumple también ¿no? son signos estables y signos discretos completamente diferentes unos de otros ¿eh? [pausa] Arbitrariedad, creatividad ¿no? [pausa] Eh... ¿son arbitrarios los signos lingüísticos son capaces de... de [repetición] y además son capaces de crear nuevos signos [eleva el tono] eh... los primates en libertad? Eh se... os cuento un par de experiencias y me decís si pensáis que... que... [repetición] son arbitrarios y son capaces

de crear ¿no? Eh se ha estudiao un tipo de primate que verdes eh... me parece que un día <incomprensible> no se si es grande pequeño un tipo de primate que hay en... América y que hay en África, y el verdes tiene se han hecho estudios con con [repetición] grabaciones ¿no? Se han grabado, el verdes tiene tres tipos de gritos muy diferentes para los depredadores, tiene un grito que es si viene un águila, tiene un grito completamente diferente cuando ve una serpiente, y tiene un grito completamente diferente cuando... es un leopardo ¿no? Entonces lo que se ha hecho es grabar esos este tipo de gritos en un en una [repetición] serie de grabaciones y se ha cogido a monos verdes que se ha puesto en un laboratorio ¿eh? Fuera de contexto real, fuera de de... de... [repetición] pues del contexto de la selva etcétera y se les pasa la grabación fuera de contexto y son capaces de identificar exactamente a qué se refiere por qué [tono descendente] porque cuando ponen en la grabación el sonido del grito [eleva el tono] que indica el águila pues automática los verdes todos mirar para arriba, es decir que identifican incluso fuera de contexto que ese es el grito de las águilas. Cuando les pones el grito de los de... que quiere decir que cuidado que viene una serpiente todos se ponen a dos patas y empiezan a mirar hacia abajo ¿no? Y cuando les pones el grito de... de que viene un leopardo todos miran <incomprensible> y automáticamente buscan un árbol para... es decir que identifican los signos fuera de contexto, pero además de eso es que se... se [repetición] puso a un grupo de esos monos verdes en... en [repetición] una zona de... se les puso en una zona de... me parece que era de California o de Texas y... de repente se... digamos que en ese en ese [repetición] entorno en el que no a en el que no [repetición] se habían movido nunca, había un mono verdes mirando un tipo de serpiente ellos conocían un tipo de serpiente y había un tipo de serpiente que era diferente que era la serpiente cascabel, entonces los monos verdes crearon un signo nuevo [eleva el tono] para la serpiente cascabel que era completamente diferente que además [eleva el tono]

además [repetición] no se parecía en nada al otro tipo de grito que utilizaban para la otra serpiente, se parecía incluso más al grito del águila ¿no? El grito de la serpiente era bast que ellos conocían era bastante agudo y el grito para esta nueva serpiente cascabel era un grito bastante grave que se parecía bastante al del águila ¿no? ¿Con que relacionarías este fenómeno?, ¿qué os parece?, ¿qué...? [INTERVENCIÓN ESTUDIANTE] (alumna responde) ¿cómo? [INTERVENCIÓN ESTUDIANTE] (alumna responde) [INTERVENCIÓN ESTUDIANTE] (alumna responde) Creatividad por un lado ¿no? La característica que apuntaba [INTERVENCIÓN ESTUDIANTE] (alumna 2 argumenta) ¿cómo? INTERVENCIÓN ESTUDIANTE] (alumna 2 argumenta) Por un lado primero eh... la el hecho de que fuera de contexto sean capaces de identificar los gritos aunque realmente no esté aquí ¿no? Eso quiere, eso lo relacionaríamos otra vez con la característica cuatro y la seis ¿no? Identifican claramente el grito **que se emite** [baja el tono]. El hecho de que hayan empleado un signo nuevo ¿eh? Y además bastante rápido, no es que ha necesitado catorce generaciones de de [repetición] monos para decir bueno pues ahora no, no [repetición] en el momento que hubo un nuevo referente, un nuevo tipo de peligro automáticamente graba un nuevo tipo de de [repetición] grito y además automáticamente todos se pusieron de acuerdo en que ese era el nuevo grito, [INTERVENCIÓN ESTUDIANTE] (alumna responde) eso lo relacionaríamos con la creatividad entonces yo diría la creatividad tampoco es un característica específica de... de... [repetición] del lenguaje verbal. Obviamente hay una hay una [repetición] diferencia cuantitativa que cuando decimos que los que los [repetición] monos verdes tienen creatividad nos referimos a que han creado un nuevo signo mientras que el lenguaje verbal está creando signos constantemente nosotros el léxico es uf... es una fuente de cambio constante nos estamos creando, inventando palabras nuevas constantemente, están muriendo palabras constantemente. Pero aquí lo

que interesa no es si es más o menos [eleva el tono] creativo lo que se plantea Hockett es ¿tienen o no tienen capacidad de crear signos nuevos rápidamente? [tono descendente] Tienen capacidad de crear signos nuevos rápidamente. Y en cuanto, ¿a algo más?, ¿el hecho de que el grito de la serpiente [ralentiza el discurso] de cascabel no se parezca en nada desde el punto de vista acústico al grito que utilizaban con la otra serpiente qué os sugiere? [INTERVENCIÓN ESTUDIANTE] (alumno responde) Arbitrariedad ¿no? El tema de la arbitrariedad es el más complejo de todos ¿arbitrariedad qué quiere decir? ¿Eso es un signo arbitrario es una es una un [repetición] acuerdo al que han llegado los demás o para el mono [eleva el tono] si nos metemos en la cabeza del mono él si ve algún tipo de relación sonora? [tono descendente] Es muy difícil de **esclarecer** tú no te puedes en la cabeza del del [repetición] chimpancé y decir bueno pues a él el plátano le sugiere esto pues es un signo natural no es un signo arbitrario pero claro si coges ya dos tipos de serpientes que son muy parecidas y los gritos son muy diferentes hombre no podemos afirmarlo al cien por cien lo único que muchos lingüistas dirían que negarían en redondo a que los chimpancés o otro tipo de primate tengan capacidad de hacer signos arbitrarios ¿no? Es decir signos que son puras convenciones es decir nos vamos a poner de acuerdo en que para esta nueva serpiente pues el grito va a ser pues uh [eleva el tono] pues no me gusta pues ah [eleva el tono] pues vale pues ah. Muchos lingüistas dirían no eso no me lo creo pero la verdad es que el único dato que tenemos nosotros y es es [repetición] que las dos serpientes físicamente se parecen mucho y los gritos se parecen muy poco, por lo menos yo lo pondría en duda ¿no?, yo no no no [repetición] afirmaré radical totalmente pero algo nos indica que tal vez haya ci haya sido un acuerdo, una convención entre ellos porque es que no se parecen en nada los gritos ¿no? Como decía eh... articulación eso ya lo hemos comentado antes, la capacidad de combinar unos símbolos con con otros eh... perdón unos gritos con

otros para formar frases parece [eleva el tono] que no que no [repetición] se da pero [eleva el tono] lo que se está estudiando ahora es que quizás sí que hagan combinaciones diferentes de gritos con gestos ¿no? Y eso sería una especie de inicio de sintaxis ¿no? Es decir un mismo grito pero combinado con diferentes gestos a lo mejor tiene diferentes significados, y eso ya sería articulación, eso ya sería un tipo de sintaxis, sintaxis es dos signos que se combinan y significan algo diferente, aunque sea un solo grito si estás haciendo un gesto con la mano con este grito o estás haciendo otro gesto completamente diferente a lo mejor están significando cosas diferentes ¿no? Podría ser quizás [eleva el tono] el inicio de la sintaxis ¿no?, eh... la gente que se plantea como empezó el lenguaje verbal en los seres humanos dice que seguramente los primeros tipos de sintaxis sería eso, sería gritos combinados con diferentes gestos ¿no? Un mismo grito con diferentes gestos que va adquiriendo diferentes significados ¿no? Pero por lo visto diferentes gritos combinados entre sí parece que no sean ¿eh? Con todo esto eh... vamos a hacer un poco la por eliminación lo que nos queda. Hemos quitado h uno porque es muy básico, eso lo tienen todos, hemos quitado h dos, hemos quitado h tres, hemos quitado h cuatro, h cinco... yo lo pondría con interrogación que es el de la arbitrariedad, hemos quitado h seis, hemos quitado h ocho, h diez, h once y h doce ¿no?, no se si estáis de acuerdo o no, a lo mejor me he dejado algún punto, si queréis hacer la lista, pero más o menos es lo que hemos ido viendo, la dos, la tres, posiblemente la cinco, la seis, la ocho, la diez, la once y la doce, con lo cual nos queda, ¿sí...?, ¿no se si me he dejado alguna? Con lo cual nos queda [repetición], fijaros que en cuanto a los primates en libertad, luego veremos que los los [repetición] experimentos de enseñanza de lenguaje verbal a lo prima a lo chimpancés quizá todavía ahí tengamos alguna más, quedaría que lo específico del lenguaje verbal es la siete, que es... la capacidad de hablar de cosas del pasado por ejemplo, de hablar de cosas, o del

pasado o de cosas que no están presentes, cosas que están en otra parte ¿no? Por lo visto [repetición] parece que los primates en libertad no tienen esa característica de hablar de cosas del pasado. La nueve que es la de la doble articulación, la capacidad de conectar gritos con gritos para hacer frases aunque [repetición] hemos visto que tal vez conecten gritos con gestos ¿eh? Y la trece que es **eso** que esa jamás o sea esa ya os la digo que esa seguro no la, esa es única y exclusivamente específica del ser humano ¿no? La característica de no solo utilizar una herramienta muy compleja sino reflexionar [repetición] sobre esa herramienta, ser conscientes [repetición] de la forma que tiene esa herramienta, jugar [repetición] con el lenguaje que es lo que hacemos nosotros ¿no? Bueno pues, [INTERVENCIÓN ESTUDIANTE] (alumna pregunta) ¿Cuál, cuál? [INTERVENCIÓN ESTUDIANTE] (alumna responde) La de arbitrariedad ya te digo que es que el **problema** de la arbitrariedad o sea en prin en general es muy difícil enfrentarse al sistema de comunicación de los primates porque tú no te puedes meter dentro de la cabeza de un primate y decir bueno está creando no está creando, pero con el tema de la arbitrariedad el tema es complejo, o sea saber si para él ese grito tiene algún tipo de enlace natural con el objeto o no lo tiene es muy complicado ¿eh? El indicio que tenemos es dos serpientes que en principio se parecen mucho han empleado dos gritos que no se parecen en nada, eso sería un principio de arbitrariedad es decir si este, si utiliza este grito [repetición] casi para la misma cosa y utiliza otro grito casi para la misma cosa, y a lo mejor no hay una relación natura entre el grito y la cosa, pero lo tenemos que dejar en interrogación porque a parte porque te dirían, la inmensa mayoría de lingüistas te dirían [repetición] que no que la arbitrariedad es solo [eleva el tono] del lenguaje del verbal ¿no? Bueno pues el... próximo día como **<incomprensible>** seguiremos con el tema de, es un tema a mí me parece de los más interesantes que vamos a ver es la enseñanza del lenguaje verbal a a [repetición] chimpancés. [murmullo]

[pausa] Si queréis podéis apuntar [pausa] una tercera cosa seguro, tercera pregunta posible de examen, experiencias de enseñanza del lenguaje verbal a primates, esa se esa es muy importante, experiencias de enseñanza del lenguaje verbal a primates [repetición], que es lo que vamos a ver el próximo día, que ese es otro posible enunciado de una pregunta de examen. De momento llevamos tres ¿no? Vale, nada, [baja el tono] bueno <incomprensible> experiencias de enseñanza del lenguaje verbal a primates, eso es lo que veremos el próximo día [pausa]. Lo mismo con esta pregunta lo mismo [repetición], jugando siempre con las características de Hockett ¿no? Parece que esto se cumple parece que esto no se cumple

LE11

CAMPO: Ciencias Sociales. RRPP

ASIGNATURA: Lenguaje publicitario

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[INTERVENCIÓN ESTUDIANTE] (alumno/alumna, pide confirmación)

[INTERVENCIÓN ESTUDIANTE] (alumno/alumna argumenta)

[INTERVENCIÓN ESTUDIANTE] (alumno/alumna pregunta)

[INTERVENCIÓN ESTUDIANTE] (alumno/alumna pide repetición)

[varias voces]

[murmullo]

[pausa]: cuando es larga

...: pausa corta, titubeos

[pausa, esperando respuesta]

[ralentiza el discurso]

[repetición, parafrasear]

[repetición, cambio]

[repetición, ampliación]

[repetición parcial]

[repetición]

[tono descendente]: tras una interrogación el profesor expresa carencia de búsqueda de respuesta, es el profesor quien la da

[eleva el tono]

[risas]

cursiva para extranjerismos

Vale, chicos (...) a ver (...) ¿tenéis los apuntes del tema 8? (...) deberían, deberían estar (...) nunca se sabe, tranquilos (...) (globos) ¿vale? Como vais a verlo son pocas diapositivas, ¿vale? en total son seis diapositivas, son ideas clave, a ver, ¿empezamos? buenas tardes, venga va, ya se hace calor, la recta final cada vez va más rápida, mala época pero venga, vamos a aprovechar la hora, como sabéis la semana pasada si tenéis la (planificación) del curso que os deje delante ¿vale?, os voy a comentar unas cosas. Como la semana pasada, hubo un día que Juanca estuvo enfermo y nos trastocó un poco el ritmo ¿vale? he readaptado un poco esta dos semanas para que sea mucho más coherente para vosotros, como pudimos adelantar un poco más, que lo mejor hoy, es dar el tema 8 porque es la última teoría, digamos, difícil, que nos queda del curso todo lo demás son ideas muy claras y sobre todo para aplicar en la práctica, diríamos que el tema 8 es el último tema teórico que nos queda ¿vale? entonces es lo que daremos hoy y que ya, el resto de lo que nos quede, eran cosas más, ligeritas, eh, y mucho más aplicadas, ¿vale?, entonces lo tenéis en reprografía y lo tenéis (ya desde) hace bastante tiempo, lo que pasa es que puede que en reprografía hayan tardado y lo hayan puesto ahora a última hora, de todas ma os digo que son, son diapositivas muy esquemáticas, menos la pregunta que vamos a ver más (pego) (...) ¿vale? ¿alguna duda? entonces lo que os digo, sobre la planificación por si os queréis aclarar bien, por supuesto que mantiene la entrega de la carta comercial, que si que s para la semana que viene ¿vale? lo tenéis ahí apuntado, para el martes que viene la entrega de la carta comercial, acordaros, a ver no os sulfuréis, acordaros que no es un carta definitiva, acordaros que es un borrador sobre el que vamos a trabajar en las clases prácticas ¿vale? tenéis los modelos de carta comercial en reprografía, que os deje ya hace tiempo, y lo que os he dicho que os leyeráis (del Rey), espero que os lo hayáis leído, pero si no os lo (expongo), la, primera parte, de ese capítulo de (Rey) os tenéis que leer explica como es la

redacción de una carta comercial ¿vale?, entonces, sobre eso la hacéis, pero ya os digo que no ha de ser perfecta debe cumplir un poco, los rasgos fundamentales, pero sobre eso y sobre lo que vamos a explicar cómo (ir) una carta comercial y so sobre la que vamos a trabajar los problemas de redacción que puedan haber surgido, ¿vale? entonces vamos (cer) una carta comercial que espero que la haya hagáis bien sobre todo ojo con las faltas de ortografía, pero que no espero que sea un formato perfecto con los rasgos de la carta comercial ¿vale? sobre ella vamos a trabajar ¿m? ¿vale? una carta comercial puede ser desde dos párrafos, a tres, a cuatro hileras o sea que, no en un ratito la hacéis ¿vale? (el programa) lo mantenemos pero en lugar de pasar ahora ya al tema 7.3, 7.4 que es lo que llevábamos en marcha vamos a ver hoy tema 8, y ya mañana retomaremos el 7.2.2 ¿vale? un grupo (irá) el 7.2.2 y entonces ya jueves estaremos ya todos al mismo nivel siguiendo con el 7 ¿vale? o sea simplemente vamos a ver hoy el 8 que ya os digo que son cuatro ideas claves, pero que a veces cuesta de entender tonces prefiero que, hoy nos centremos (en ello) ¿vale? a ver ¿todo claro? tema 8, los juegos del lenguaje publicidad y pragmática ¿de acuerdo? en en el programa de la asignatura, que espero que siempre vosotros lo tengáis a mano porque os va a orientar para ver como vamos avanzando ¿vale? os había puesto dos puntos (...) venga, os había puesto que íbamos a ver la presentación de la información y que (todo conceptos) de presupuestos y supuestos y después vamos a entrar en interacción comunicativa, eh vamos a centrarnos en el primer punto ¿vale? porque el segundo realmente era como una (anécdota) para, ir más allá, pero, prefiero que nos centremos en el 1 y el 2 sobre todo son aspectos más de narrativa (provisual) que ya os digo que la asignatura donde tenéis que trabajarlo es el año que viene, tonces interacción comunicativa estamos hablando de, que se expresa con los gestos, como, hablan las personas, el papel de determinadas formas de dar la palabra de no dar la palabra, ¿vale? toces son cosas ya, que

podéis ver el año que viene ¿vale? nos vamos a centrar en el primer punto que (pilla) cerca mucho a la permutación de la información en (su vía gráfica) que como sabéis es nuestro foco este año ¿vale? entonces, lo que he hecho es centrarme en este primer punto y lo que vamos a ver en este tema es un poco las bases de la pragmática pero cuatro ideas, del modelo pragmático que (nos) son útiles a la hora de elaborar el (trabajo) publicitario ¿vale? y ya ver los conceptos de presupuestos y supuestos que son un poco (dar) la información en los mensajes ¿de acuerdo? (...) ¿vale? entonces, si os acordáis del tema 2, que estuvimos viendo las diferentes de formas hay de interpretar el lenguaje, las diferentes formas que hay de ver como construimos el lenguaje, estuvimos mencionando rasgos, muy, puntuales del modelo pragmático y vimos que nosotros íbamos más allá hasta (el) lo que estamos haciendo ahora es un poco volver un poco hacia atrás, para retomar cosas que nos pueden ser útiles (del) pragmático y después ya en la redacción estamos entrando en (el) lingüístico que como os estuve comentando ¿vale? estamos (bajando) otra vez ya en la materia prima de nuestra forma de redactar en publicidad, entonces el modelo pragmático no es muy útil en publicidad porque en el lenguaje publicitario ¿vale? una uno de sus rasgos fundamentales, es que no presenta la información de forma directa ¿m? todos hemos visto muy bien como nosotros tenemos un (breathing) tenemos una idea creativa y realmente siempre lo que estamos haciendo es, ver que queremos decir ¿no? pero, buscar la forma de decirlo, de forma creativa, de forma indirecta ¿no? de forma persuasiva ¿vale? tonces la pragmática un poco lo que nos dice es, cuando tú, quieres transmitir, la información al público, tienes diferentes formas de, introducirla en el mensaje ¿sabes? tienes diferentes elementos lingüísticos, a través de los cuales transmites la información unos más directos y otros más indirectos (claro) estoy introduciendo tranquilos que ahora vamos a ir viendo detall en detalle pero en cierto modo lo que (quiero) la pragmática ¿vale? y eso aquí lo

podéis ver muy bien es, esa forma ¿m? que tenemos, de, introducir por medio de palabras que a veces son nombres, que a veces son verbos, ¿m? que a veces eh son frases compuestas, que a veces son frases simples, pues como cada una de esas opciones presentan información de forma más directa o más indirecta ¿vale? en cierto modo esa es la clave del tema, pero ahora vamos a ir un poco en detalle ¿de acuerdo? ahora lo vamos a ver, por eso os digo que es muy abstracto pero vamos a ir entrado en el detalle y al final con los ejemplos nos a quedar ¿de acuerdo? he hecho así como un panorama muy rápido para situarnos, pero, ahora vamos a por ello ¿qué es la pragmática? ¿m? en principio, para que veamos porque nos va a servir en cierto modo la pragmática está a caballo por eso os la he puesto un poco, en medio entre la sociología y la lingüística ¿m? ya habéis tenido sociología, en primero también habéis tenido lengua española, todos sabemos lo que es la lingüística la hemos estado estudiando digamos que los sociología se centra más en estudiar las relaciones humanas ¿m? las sociedad y la lingüística en estudiar el lenguaje, dentro de esa sociedad ¿vale? la utilización del lenguaje dentro de esa sociedad, la pragmática lo que hace es, en cierto modo combinar los intereses de la sociología y de la lingüística ¿m? es decir estudia como a través del lenguaje (...) se articulan, las relaciones sociales (...) ¿vale? os he incluido dos definiciones que ahora veremos en detalle, pero lo importante es que nos demos cuenta de eso que lo importante aquí es que ya en contexto, pero no nos situemos en relaciones sociales muy amplias, si no <pregunta alumno> si ¿vale? lo que estudia la pragmática es la combinación de los intereses de la sociología y la lingüística, lo que hace es estudiar como a través de la lengua ¿vale? se articulan (...) las relacione sociales, como se refleja en la lengua la articulación de las relaciones sociales, más claro, más directo, sobre todo estudiar la utilización del lenguaje en contexto ¿vale? en un contexto concreto y como al al utilizar este lenguaje se están construyendo determinadas

relaciones, se están transmitiendo determinadas intenciones ¿vale? esa parte del lenguaje que nosotros implicamos al otro, le apelamos, a través del lenguaje podemos ver que pretende uno del otro, ¿vale? si nosotros si yo empiezo a hablar con alguien ahora y estoy intentando convencerle de algo, los demás igual se están dando cuenta a través del tipo de palabras que utilizo, del orden en que digo las palabras, del tono en el que las digo, de que le quiero vender la burra ¿vale? digamos que la publicidad esto lo ha (multiplicado) a la al máximo exponente ¿vale? y entonces ya es la máxima confusión pero aquí nosotros a veces podemos ver que realmente según como digamos las cosas que es lo que queremos conseguir ¿vale? tonces esto nos va a ayudar a ordenar mejor la forma que tiene (que hacer), aquí otra forma de entenderlo ¿vale? son estas dos fórmulas, la pragmática es el significado, de una de un mensaje ¿vale? el significado de una comunicación menos la semántica ¿vale? es decir nosotros la semántica podemos reducirla de forma general a los significados que podemos encontrar en el diccionario ¿no? que digamos que es el significado inmediato de las palabras, o los significados más establecidos ¿no? pero cuando nosotros utilizamos una palabra en un contexto concreto y con unas intenciones concretas, aunque mesa quiera decir mesa o burra (que quería cir) burra tos sabemos que burra es un animal bla bla, si digo vender la burra es otra cosa o según en que de que forma utilice la palabra tiene más significados que los del diccionario, la pragmática estudia eso, según como utiliza o utilicemos expresiones etcétera que más le estamos aportando, que más estamos diciendo además del significado semántico directo ¿vale? y la otra fórmula que os he puesto es pragmática menos realidad igual a lenguaje ¿vale? (es que) decir que la pragmática estudia, lo que el lenguaje nos trasmite de la realidad ¿vale? pero realidad aquí entendámoslo como eso como el contexto de uso, como el contexto específico (...) ¿vale? ¿lo veis? pragmática menos realidad igual a

lenguaje, será lo mismo que decir, lenguaje más realidad igual a pragmática ¿vale? lo vamos a ver con la pragmática es estudiar lo que, cómo construye ese lenguaje la realidad, cómo construye que es la primera definición de todas las que os he dicho, cómo construye ese lenguaje la realidad entre varias personas, ¿vale? si vemos una conversación entre colegas, lo que vamos a estar viendo si interpretamos las palabras que dicen estarán usando las palabras en un con una intención muy concreta y a lo mejor ni las entenderemos, necesitaremos saber lo que ellos han vivido antes ¿no?, la confianza que tienen entre ellos, los las bromas que tienen entre ellos, para entender lo que significa esa comunicación ¿vale? por eso la pragmática le interesa es lo que va más allá del propio lenguaje, lo que ese lenguaje está construyendo del contexto ¿lo veis? ¿vale? seguimos lo vais a entender del todo cuando acabemos ¿vale? pero, si vais entendiendo los la los pasos que vamos dando si no me vais parando ¿m?, aquí tenemos dos definiciones ya digamos científicas y completas <salto en la cinta> pragmática ¿vale? a ver y ahora ya, las entendemos bien, la primera, que es de (Levinson), al final del tema os he puesto una bibliografía ¿eh? por si alguien le interesa más, pero digamos que (Levinson) estudia la pragmática en general, no la pragmática en la publicidad sino en general ¿vale? o sea que si no es que tenéis alguna duda muy de base, no hace falta que consultéis estos libros lo importante sería (Levinson), estudio de aquellas relaciones entre el lenguaje y el contexto ¿vale? que es lo que hemos estao viendo que están gramaticalizadas o codificadas en la estructura de una lengua ¿vale? (simplemente) es eso que dentro de las propias, las propias palabras ¿eh? las propias frases, están transmitiendo esas relaciones sociales ¿vale? quedaros en esa idea que están codificadas, es la codificación dentro de la lengua, de las intenciones entre las personas, de las relaciones entre las personas, ¿vale?, y el segundo que está más claro aun el segundo de los principios que regula el curso, ¿eh?

acordaros que ya lo vimos en el tema 2 pero, del lenguaje en la comunicación las es decir las condiciones que determinan el empleo de enunciados concretos, (sea) la (gramática) no le interesan las frases, eh aisladas ¿eh? no les interesa la gramática, no les interesa que esté correctamente construido la casa es azul, no, les interesa que quiere decir es azul hombre es azul, o sea, la utilización de eso, el uso del lenguaje en la comunicación es decir las condiciones que determinan el empleo el empleo concreto (el filo) ¿vale? estas son las palabras <cinta > concretos, en situaciones comunicativas concretas y su interpretación por parte de los destinatarios, esto nos sirve en, términos generales pero a nosotros además nos interesa en la publicidad, es cir la gram la pragmática aplicada a la publicidad, como la pragmática puede interpretar en mensajes publicitarios específicos, que esos enunciados (o sea) pa nosotros los enunciados será cualquier mensaje eh cualquier frase, cualquier discurso que se emite que se ha pronunciado realmente ¿vale? tonces cualquier mensaje publicitario se está realizando en un momento determinado se está utilizando el lenguaje con unas intenciones específicas y se está creando una relación concreta con los emisores ¿vale? tonces la pragmática nos va a dar em esto es lo que hemos estado estudiando todo el año ¿m? pero la pragmática nos va ha dar todavía más herramientas para poder profundizar un poquito más en (esto) ¿vale? a ver Santa <petición de una alumna> ¿hasta aquí? ¿hasta aquí lo repito? ¿esto último? ¿vale? quiero decir que esta última definición de Escandell es interesante todo pero que esta es muy clara, para entender que entender que es la gra la pragmática aplicándolo a la publicidad ¿vale? es decir lo que nos interesa es el uso del lenguaje en la comunicación publicitaria ¿vale? para ver eh como el empleo de enunciados concretos emitidos por hablantes concretos en este caso van a ser anunciantes concretos, marcas concretas organizaciones concretas ¿vale? en situaciones comunicativas concretas ¿vale? en determinados escenarios de comunicación, en

determinados medios, para poder interpretar o sea para ver ¿no? cual es la interpretación de los receptores, entonces lo que os decía es que la pragmática nos va a dar una herramienta más para que uno de los objetivos del curso que es conocer a fondo el uso del lenguaje publicitario ¿no? y el tipo de relaciones que crea con los receptores ¿vale? entonces lo que vamos a hacer hoy es eso ver un poco cuales son las la teoría de la pragmática, cuales son los conceptos claves que utiliza y utilizarlos para leer algunos mensajes publicitarios que todos conoceréis ¿vale? que siempre han de ser complementario con la forma en que los hemos analizado hasta ahora ¿vale? si hay cualquier cosa que no entendáis, repetimos, a ver ¿qué es lo que no veis claro? todavía es un poco abstracto hasta aquí ¿vale? ahora es cuando vamos a ir a tierra por eso os digo que si queréis vamos avanzando, y en momento que os diga ya, si aun no habéis entendido algo entonces ya lo retomamos a fondo ¿vale? pero más o menos las claves las veis ¿no? por qué nos interesa el modelo pragmático a la hora de leer la publicidad vamos a ver que nos aporta ¿m? vamos a ver que nos propone que nos puede ser útil ¿de acuerdo? vale, entonces, lo primer lo que os digo es que la pragmática no estudia las oraciones aisladas ¿vale? ya dijimos en el tema 2 que una oración es una unidad formal, descontextualizada ¿no? la oración es eh lo que vamos a (expresar) hipotéticamente o que no está realmente emitida en un contexto ¿vale? la oración es la unidad formal descontextualizada, si no que le interesa los enunciados es decir cuando, las expresiones, cuando, las emisiones de ideas, se realizan de verdad claro (nos) interesan es los enunciados que cómo sabemos lo que es un enunciado, un enunciado es lo que es, lo que puede ser verdadero o falso ¿vale? es decir si yo escribo en una hoja la casa es roja, pues si tiene un sujeto un verbo y un predicado no es ni verdadero ni falso, es una oración ¿vale? pero si yo, estoy apuntando por la ventana hacia una casa y digo la casa es roja, esa casa tiene que ser roja si es verde pues la la oración que en ese

momento ya es un enunciado ¿vale?, el enunciado, es falso, o es verdadero o es falso pero yo ya estoy comprometiéndome a algo ¿eh? ya no estoy diciendo os pongo un ejemplo gramatical tal, que eso cualquiera nos sirve no os estoy contando algo vale si te digo, esta mañana he estado, en la playa o es verdad o es mentira pero os estoy contando algo ¿no? eso son los enunciados, es cuando una oración se emite realmente ¿eh? un enunciado es una emisión real ¿vale? y lo que nos va a interesar a nosotros de este tema es, dentro de los enunciados, como, se, presenta la información ¿vale? es cir el lenguaje publicitario son enunciados, el lenguaje publicitario no es escribe si una intención, no son eh formas simplemente descontextualizadas, son enunciados que siempre tienen una intención que siempre van a salir a la en antena siempre van a aparecer en los medios, entonces nosotros vamos a ver en esos enunciados como se presenta la información, ¿de acuerdo? y lo primero que vamos a tener en cuenta es si la información siempre se presenta en un mismo nivel ¿vale? ¿se presenta la información a un mismo nivel?, entonces yo os contesto, que la información está distribuida en lo que se llaman supuestos y presupuestos, ¿vale? y aquí lo tenemos más desarrollado <petición de un alumno> si, que la información ¿vale? no se presenta toda a un mismo nivel digamos que toda la información no es igual, cuando nosotros emitimos un enunciado cuando nosotros contamos algo, toda la información que transmitimos, no es igual, esa información la vamos a diferenciar en supuestos y presupuestos qué significa esto los presupuestos ¿m? es lo que se llama información presupuesta, es información que ya se conoce ¿vale? los tenéis aquí, es información que ya se conoce os es información como si dijéramos eh compartida, ¿vale? es decir si es una conversación este amigos, la información presupuesta es la que yo cuando la introduzco en mis frases, como tú ya la sabes la presento de forma, más rápida, más escondida, porque ya la conocemos los dos o lo conocemos porque ya hemos hablado de

ello antes, o lo conocemos porque está en nuestro contexto, porque estamos hablando de algo que estamos viendo estamos hablando de algo que sabemos que está presente ¿vale? es información que se da por su por sabida ¿vale? es lo es lo importante, la información presupuesta es que se da por sabida y además se asume como verdadera ¿vale? cuando yo la digo, la digo asumiendo que la sabes ¿vale? tonces tú asumes que es verdad lo que estoy diciendo ¿vale? la forma en que yo la presento te hace pensar, que es verdad ¿vale? porque no no la pongo en duda o no te la presento de manera que tú la puedas poner en duda esto vamos a ver que es la clave de este tema ¿vale? la clave de este tema es ver cómo esa información que cuando la presentamos la destacamos porque es la nueva y es la que tú como receptor tienes derecho a plantearte si es verdad o mentira ¿vale? y esa es la información acelerada, es cir los supuestos ¿vale? y otra información que como ya sabemos que como es obvia pues no la descartamos ¿de acuerdo? entonces la presupuesta es la que asumimos la que es verdadera la que conocemos la que no destacamos y la acelerada es la que es susceptible de se puesta en duda y es la información nueva ¿vale? la información acelerada ¿de acuerdo? vamos a seguir un poquito más, la forma más clara de entender esto es la teoría (de) que ya conoceréis ¿no? la famosa teoría (de) que habla de fondo y figura ¿vale? entonces en cierto modo, en la comunicación ¿no? ahora que estamos hablando de que no toda la información es igual () ¿vale? cuando hablamos en pragmática de fondo y figura, precisamente es muy útil para entender esto que os estoy diciendo de la información supuesta y presupuesta el fondo, siempre es la información presupuesta, está en el fondo porque la conocemos y la figura es la información supuesta o acelerada, es la que, destacamos, porque es la nueva y es la que tenemos que poner en duda ¿de acuerdo? entonces en cierto modo, lo que podríamos decir ¿vale? () podríamos decir que la información presupuesta es la

impuesta ¿vale? impuesta porque no se permite o no se pone en discusión ¿vale? simplemente se introduce, se impone, y la información asevera aseverada o supuesta es la que se propone ¿vale? entonces la clave de esto es que cuando nosotros nos comunicamos o cuando nosotros leemos ¿no? cuando nosotros leemos o cuando nosotros escuchamos la comunicación es lineal nosotros no decodificamos todo de una ¿no? nosotros tenemos que ir interpretando paso a paso entonces para que la comunicación sea más rápida y más automática pues el lenguaje está organizado de esta forma que hay cosas que se destacan más y otras que se introducen de forma más rápida, o más impuesta ¿vale? entonces eso es la clave que la naturaleza secuencial del lenguaje, como no nos permite evaluar, todo a un mismo tiempo, nosotros tendemos a interpretar o prestarle más atención a la información aseverada, ¿vale? que es lo que sabemos que es la información propuesta ¿vale? si yo os digo la casa es roja, realmente en lo que nos estamos fijando es en que si la casa es roja o no, porque asumimos que de la casa existe sino no me pongo a hablar de la casa, la casa existe y ahora lo que nos interesa es si es roja o no es roja ¿vale? ahora vamos a ver porque y cómo funciona el lenguaje en ese sentido peor de esto se va a aprovechar la publicidad también se va a aprovechar a veces y otras veces es que esta es la forma de funcionar de nuestro lenguaje ¿vale? es decir, según las ideas que os acabo de decir <rumor> ¿algún comentario? ¿duda? ¿pregunta? según lo que acabo de decir, cuando nosotros hablamos y seguimos estas normas que son parte del lenguaje ¿vale? no es que la pragmática se la haya inventado la pragmática ha estudiado el lenguaje y se ha dado cuenta de este funcionamiento, cuando nosotros la información nueva la aceleramos y la información conocida o compartida la presuponemos, decimos que es una información compartida un uso honesto ¿vale? un uso honesto de la comunicación, porque le estamos dando a nuestro interlocutor lo que espera ¿de acuerdo? si yo digo la casa roja asumimos que la casa

existe y lo que tenemos que dudar es si es roja o no es roja ¿vale? claro si la casa no existiera ¿vale? si os digo nos vamos de fin de semana al campo y la casa a la que vamos es roja, nadie va a dudar si la casa si hay casa o no hay casa como mucho pensará hay es roja ¿qué? <risas> entonces, eso, es un uso honesto del lenguaje yo hablo y vosotros interpretáis que os estoy diciendo las cosas correctamente entonces hay una relación compartida de las cosas, pero se puede dar una manipulación o una persuasión ¿vale? ¿cuándo? muchas veces cuando se busca manipular o persuadir se invierten estos ordenes ¿vale? da mucho juego, el hacer, que, las ideas nuevas y que deberían ser aceptadas, se introduzcan como presupuestos ¿vale? y esa es una de las claves del lenguaje publicitario, lo más importante incluso nuestra USP muchas veces va a ser es nueva ¿vale? o es realmente lo que estamos realmente convencer al público de que es lo importante pero en lugar de decirlo aseverado o de marcarlo como nuevo, lo que queremos es que se asuma como real, que se asuma como verdad, entonces da mucho juego introducirlo como presupuesto de acuerdo es una de las claves de la persuasión, no estamos diciendo que el lenguaje publicitario sea manipulador, peor si es persuasivo ¿vale? no nos vamos a poner radicales pero por lo menos que desde luego si que es una característica importante y todos lo asumimos que es parte de las convenciones del lenguaje publicitario, girar en cierto modo las cosas ¿vale? entonces aquí tenemos una una un ejemplo, no se si todos habéis visto porque se ha utilizado muchos años de hecho este ejemplo es del novena i cinco ya pero lo han vuelto a sacar a veces, es un titular, es un titular de una marca de tabaco, gold coast en publicidad exterior lo que podría ser ¿por qué todo el mundo fuma (goal coast, gold coast)? ¿por qué? realmente ahora veremos como lo hacen ¿no? ahora veremos cuales son las categorías gramaticales, que sitúan la información fondo o figura, pero aquí lo que se nos está poniendo en duda es por qué ¿m? o sea por supuesto que ya todos ten vamos más

allá y lo interpretamos pero inmediatamente lo directo es por qué, no nos ponemos no ponemos en duda, aquí no se presenta como información nueva que todo el mundo fuma gold coast, aquí lo que se pone en duda es por qué ¿no? lo que (estamos tratando) es por qué <fin cinta> en publicidad ¿vale? <rumor> a ver, la mejor forma para entenderlo es plantearnos, aquí, venga, vamos a fijarnos en lo que he destacado ¿vale? digamos que la idea que está transmitiendo mercedes es, mercedes cu120 es perfecto, ¿vale? pero claro no te voy a decir que es perfecto (pues) tú vas a decir, si hombre, ¿va a ser perfecto? ¿no? (hice) puedes decir ¿es perfecto? ¿no? si lo interrogamos, si decimos mercedes es perfecto, la información nueva o aseverada es la que introduce el verbo principal ¿vale? entonces, podemos planteamos si es o no es perfecto en cambio aquí si tú dice mercedes c220 la perfección, tiene un precio, lo que has hecho es que la información aseverada es si tiene un precio o no tiene un precio ¿vale? pero lo que es es perfecto lo has convertido en un sustantivo con lo cual ya es presupuesto asumimos esta frase lo que está haciendo es, asumir que todos sabemos que mercedes es perfecto ¿vale? y entonces lo que nos está propo lo que nos está diciendo es que el comprarte algo perfecto tiene un precio ¿vale? lo veis estos son ejemplos muy claros de cual sería la idea directa y cómo se mo o sea cómo se construye el lenguaje para introducir como asumido algo que queremos que la que el público no ponga en duda ¿vale? y presentar como nuevo o como propuesta otra información que complementa ¿vale? pero que no nos, da problemas presentar, a ver decirme, comentarios <pregunta de alumna> aquí la supuesta es la perfección ¿vale? la presu perdón la supuesta o aseverada es tiene un precio, ¿vale? tú aquí lo que interrogas o niegas es si tiene un precio o no ¿vale? si tú niegas esta frase la perfección no tiene un precio o ¿tiene un precio la perfección? ¿vale? la información aseverada o supuesta es la que introduce el verbo principal el verbo principal es tiene, con lo

cual, la perfección ya se ha convertido en el sustantivo del sujeto ¿vale? tenemos un artículo y un sustantivo que son presupuestos, lo asumimos y lo que es aseverado o lo que se propone y se p, se deja que se ponga en duda es que tiene un precio, ¿vale? lo veis entonces aquí lo que se ha hecho es dos ideas muy importantes pero la que realmente se quería introducir como asumida, mercedes igual a perfección, ya está ¿vale? y en este caso ¿qué? ¿cómo se hace? vaya hace vaya haciéndole sitio a su (volswagen), ¿vale? aquí el su, que es información presupuesta ¿vale? aquí digamos que la información aseverada por eso os digo que esto no es blanco o negro ahora vamos a ir haciendo ejercicios esta semana ¿vale? pero aquí hay (una) información supuesta y otra presupuesta ¿no? vaya haciéndole sitio a su (vols a su volswagen), hacer sitio, a su (volswagen) es lo que s aseverado ¿no? tú te vas a plantear si le haces sitio o no le haces sitio, pero realmente que el (volswagen) ya es tuyo si que es presupuesto ¿vale? porque el su, está introduciendo información presupuesta, ¿vale? entonces vemos que también hay diferentes niveles de información, ¿lo veis?, ¿vale? con una sola, expresión, con una sola, partícula gramatical ya se están asumiendo muchas cosas ¿vale? de antemano ese es ya tu (volswagen), por excelencia, tú ahora hazle sitio o no le hagas, ¿vale?, y, último ¿vale? si queréis, espacio reservado para su bienestar una de las características que vamos a ver en la publicidad es la elipsis, la elipsis es uno de los recurso más utilizados en publicidad ¿por qué?, venga después de esta clase me lo tenéis que decir ya, a parte de la concisión, lenguaje directo desde el punto de vista pragmático ¿qué conseguimos con la elipsis? <respuestas> que no hay verbo ¿no? y ¿el verbo qué hace? <respuesta> aseverar si asevera, permite que pongamos las cosas en duda, si no hay verbo con la elipsis todo se asume ¿vale? todo verdad, todo lo conocemos, todo lo asumimos espacio reservado para su para tu bienestar ¿eh? si veis, por medio del participio etcétera se ha conseguido que no haya un verbo principal

¿vale? se ha presupuesto todo, en lugar de decirnos eh, tropicana es bienestar, porque es lo que nos están diciendo, pero no lo están diciendo de forma que no sea aseverado ¿vale? tonces está diciendo espacio reservado para tu bienestar reserva natural y lo que tenemos son los zumos de tropicana ¿vale? esto es un ejemplo muy claro de eso como hemos conseguido quitar todo el la figura y dejarlo todo en un fondo ¿eh? dejarlo en la información que se supone que compartimos ¿vale? es información compartida todos estamos de acuerdo con que tropicana es salud, tropicana es natural, ¿vale?, ¿alguna duda hasta aquí? ¿lo entendéis ahora lo que hemos estado viendo? ¿vale? ya os decía que al principio es un poco abstracto porque son definir una teoría lingüística pero, lo importante es eso que hagamos determinados ejercicios y que nos demos cuenta, el jueves ¿vale? seguiremos viendo algunos ejemplo y simplemente la teoría que queda no es nada ¿vale? son otras, detalles <fin cinta>.

LE12

CAMPO: Ciencias Sociales. PPRR

ASIGNATURA: Documentación informativa

Nº ESTUDIANTES: 21(m:9/f:12)

Fecha: 17/5/2005

Duración: 33 minutos

Nº Palabras: 5.284

...: pausa corta, titubeos

[baja el tono]

[eleva el tono]

[tono descendente]: tras una interrogación el profesor expresa carencia de búsqueda de respuesta, es el profesor quien la da

[INTERRUPCIÓN DE LA CLASE] (entra evaluador)

[INTERRUPCIÓN DE LA CLASE] (evaluación del profesor)

[INTERVENCIÓN ESTUDIANTE] (alumno/alumna, responde, comenta)

[INTERVENCIÓN EVALUADOR]

[pausa esperando pregunta o confirmación]

[pausa, esperando respuesta]

[pausa]: cuando es larga

[PREGUNTA DIRIGIDA A LA RESPONSABLE DE LA GRABACIÓN]

[ralentiza el discurso]

[repetición parcial]

[repetición, ampliación]

[repetición, parafrasear]

[repetición]

cursiva para anglicismos

<incomprensible>

¿Estáis metidos ya en la... en el tema seis? Buen bien, nos quedamos, no nos quedamos en la diapositiva doce que era la diapositiva que iba detrás del esquema de las principales tareas documentales dentro de una agencia de publicidad ¿os acordáis? que vimos brevemente que las principales tareas eran la administración, la creatividad, los medios y la investigación, y ahora se trataba de ir viendo... punto por punto estos cuatro elementos en qué consisten y la diapositiva doce que era la relativa a la investigación, tecla no tecléeis que si no no se oye nada, en la diapositiva doce os comento que en cuanto a investigación hay dos aspectos fundamentales que tienen que ver con la investigación en el marco de una agencia de publicidad. El primero son los cualitativos que se refieren a cómo saber cuál es el comportamiento de los consumidores. Normalmente conseguir datos cualitativos se consigue de forma numérica o con datos muy cerrados, es decir que tipo de, por ejemplo es un tipo de encuesta para saber, para recabar datos de los consumidores en los que te preguntan ¿tú normalmente compras tal producto? Y tú simplemente dices sí o no, van sacando porcentajes de síes o noes o o... o de cuándo lo compras o cuándo no lo compras y son datos cualitativos, numéricos... ¿eh?... de ese tipo. En cambio por otra parte también existen datos cuantitativos [eleva el tono] que son los que se refieren a aquellos que aportan informaciones sobre las compras que efectúan los usuarios, los consumidores, es por ejemplo cuando te paran en la calle para hacerte una encuesta y no sólo te preguntan si compras o no compras tal producto, o cuándo lo compras, eh... en el año, cuántas veces lo compras, datos numéricos breves [eleva el tono], sino que te piden que des una explicación, porque allí de toda la explicación que tú des ellos van a sacar datos cualitativos, no sólo cuantitativos, la diferencia está ahí [pausa]. Entonces, partiendo de esta... información básica sobre lo que supone la investigación en una agencia de publicidad, en base a datos tanto cualitativos repito como cuantitativos, en la siguiente diapositiva se os hace una serie de

preguntas para que también reflexionéis sobre ellas... en torno a qué es la investigación en publicidad, qué aporta, para qué sirven los trabajos documentales, quién ha de elaborar y preparar las investigaciones, cómo se han de conseguir los datos necesarios, cuál es el límite en el uso de los datos [INTERRUPCIÓN DE LA CLASE] (entra alguien) hola, adelante ¿tú me vienes a hacer la evaluación? [INTERVENCIÓN EVALUADOR] Pues hoy es un día gra redondo porque ahora vie ¿yo sigo, no? [PREGUNTA DIRIGIDA A LA RESPONSABLE DE LA GRABACIÓN] nada pues bien, pues muy bien, pues nada eh... [INTERVENCIÓN EVALUADOR] la paramos aquí un momento hoy es un día de todo a la vez, bien, vamos a hacer la evaluación eh... y luego seguimos con la... con con el tema seis, lo siento... que te pille en el medio pero esto... [INTERRUPCIÓN DE LA CLASE] (evaluación del profesor) Nos concentramos otra vez, a ver estos chicos, a ver, los de los auriculares [pausa]. Seguimos con el tema seis, avanzamos [pausa] y vamos a ver si podemos terminarlo hoy y así ya nos liberamos de... de la teoría que ya tenemos ganas ¿no? Después de ver las preguntitas que yo os hacía sobre investigación en una agencia de publicidad para que reflexionásemos sobre la importancia que tiene la investigación que se realiza desde una agencia de publicidad, que tenéis ahí las preguntas para reflexionar en la diapositiva trece, en la siguiente diapositiva que es la catorce os doy unas pinceladas de cómo responder, cómo podríamos responder a esas preguntas abiertas en la diapositiva anterior. ¿Para qué sirve, era la pregunta que hacíamos antes, la investigación en una agencia de publicidad? [tono descendente] Pues sobre todo para no equivocarse, es decir en publicidad no equivocarse significa que la campaña, que la producción publicitaria que se realice tenga éxito, tenga o el éxito suficiente [eleva el tono] para no resultar un fracaso, porque el éxito es relativo [pausa]. En cuanto el proceso de creación publicitaria, que era el otro gran módulo [eleva el tono] que tiene que ver y que interactúa con las actividades de una agencia de publicidad, el

primero que hemos visto lo recuerdo es el de la investigación, el segundo el de la creación, la creatividad [repetición, parafrasear]. En el proceso de creación publicitaria se tienen en cuenta sobre todo dos [eleva el tono] elementos, os los digo en principio los dos y luego vamos uno por uno, el primero es el producto evidentemente y el segundo es el consumidor [eleva el tono] de ese producto. En cuanto al producto, que lo tenéis en la dispositiva quince, se estima [eleva el tono] una tarea positiva, se considera que es positivo [repetición, parafrasear] contar con los datos del propio producto, sus ventajas, sus debilidades, es decir sus puntos fuertes, sus puntos débiles [repetición, parafrasear], las de la competencia, siempre que lanzas un producto, siempre que trabajas un producto de una agencia se hace un estudio de mercado, eso ya lo sabéis, lo trabajáis en otras asignaturas, así como la publicidad propia anterior que se ha llevado a cabo para ese producto o la de los rivales, es decir cómo se ha vendido ese producto o productos parecidos desde otras agencias de publicidad [repetición, parafrasear], pero una vez hecho esto si no se traduce esta... este estudio de mercado de cómo se ha vendido un producto cómo se ha lanzado, cómo se ha dado imagen a ese producto, si eso no se traduce en una emisión de compra por parte de un consumidor o en una postura positiva o negativa que la gente reacciona de alguna forma tanto en positivo como en negativo, es decir ante una campaña tú puedes decir me gusta la campaña o no me gusta [repetición, parafrasear] pero si hay una reacción la campaña ha llegado al menos. Si esto no se traduce por tanto en o bien que se compre el producto, que se adquiriera [repetición, parafrasear], que tenga unas ventas... que se puedan eh contrastar, que se puedan comprobar [repetición, parafrasear] o que hay una reacción ante esa campaña el el producto, cuando se trata de una campaña institucional todo [eleva el tono] el trabajo de la comunicación publicitaria habrá sido en vano, no habrá servido para nada [repetición, parafrasear], porque lo que se trata en publicidad es de obtener ventas y respuesta [ralentiza el discurso], tanto en

positivo como en negativo, porque una respuesta negativa, una reacción negativa [repetición, parafrasear] ante una campaña te da pistas acerca de cómo no seguir [ralentiza el discurso] en esa línea en próximas campañas. Además del producto el segundo gran elemento que tiene que ver y que interactúa en el proceso de creación publicitaria es el consumidor. Sobre todo lo que hay que determinar son las necesidades del consumidor. El cliente de una agencia elabora o fabrica un producto y quiere comunicar, anunciar, vender a una serie de personas que están dentro de una categoría social, religiosa, económica o política ese producto, y siempre tienes en cuenta el *target*, como llamáis vosotros en publicidad, a la hora de hacer la campaña. Si no tienes en cuenta el *target*, no tienes en cuenta el destinatario, no puedes enfocar ninguna, ningún proceso publicitario, fuera de ese grupo si no lo enfocas bien evidentemente el impacto, la reacción [repetición, parafrasear] siempre va a ser menor. No obstante ¿qué es lo que empuja a un consumidor... a comprar un determinado producto y no otro?, ¿cómo se puede medir esto? [tono descendente] Con estudios de mercado evidentemente o de marketing [repetición, parafrasear] [pausa]. Vamos avanzando en este sentido en cuanto a qué impulsa o cuáles son las fases a través de las cuales podemos comprobar si un producto finalmente obtiene ventas, obtiene resultados positivos y lo compran los consumidores a quienes va dirigido ese producto. Tenemos un esquema en la siguiente diapositiva, primero hay que reconocer la necesidad, la necesidad para enfocar el proceso comunicativo publicitario [repetición, ampliación], después busca la información para poder organizar ese proceso comunicativo publicitario y ahí es donde entra [eleva el tono] la investigación en publicidad, busca la información que te va a servir para organizar y para estructurar tu campaña [repetición, ampliación], después evalúa [eleva el tono] las distintas opciones que tienes, después eliges [eleva el tono] donde comprar y sigues [eleva el tono], haces un seguimiento [repetición, parafrasear] de la compra de ese producto a través otra vez de fuentes de

mercado, de estudios de mercado [repetición, parafrasear]. ¿Cómo se realiza ese seguimiento?, ¿cómo puedes tú seguirle la pista a una campaña o a los resultados de venta que ha tenido esa campaña? [repetición, parafrasear, ampliación] [tono descendente] A través de fuentes de información, que ya hemos visto en temas anteriores de forma resumida pero que aquí reincidimos en ellas porque son importantísimas. En su conjunto, como tenéis en la siguiente diapositiva, las fuentes de información se dividen en obras de referencia que pueden ser monografías, es decir libros, publicaciones periódicas, es decir revistas académicas, que pueden ser no sólo académicas sino también profesionales, empresariales, de actualidad, recortes de prensa etcétera tanto como hemos visto ya en formato papel o en formato electrónico, de acceso telemático; recursos técnicos, efectos de sonido, fotografías etcétera, también son fuentes de información; productos publicitarios, carteles, *spots* directamente, cuñas, *banners*, de hecho ya sabéis que hay páginas web que recopilan anuncios, que recopilan carteles porque eso son fuentes de información para [eleva el tono] el trabajo publicitario, o Internet que es sabemos la que es nuestra gran fuente de información aunque hay que saber controlar esa información que hay en Internet, y saber llegar a ella, contrastarla [eleva el tono], validarla y todo esto que nos hemos estado planteando en el tema de Internet que ya vimos. En cuanto a análisis de los medios, el análisis de los medios ha mejorado mucho gracias a su difusión gratuita o mediante cuenta a través de diferentes *web sites*. Vamos a ver en este tema, al final y luego lo conectaremos con las prácticas, diferentes webs sobre análisis de medios algunas ya las habéis estado viendo en otras asignaturas como Infoadex etcétera, pero aquí las vamos a reincidir, vamos a reincidir en ellas [repetición, parafrasear], vamos a hacer una práctica que va a constar sobre todo en entrar en esas webs y ver exactamente qué nos ofrecen esas páginas esos *web sites* sobre análisis de medios porque hay empresas que como sabéis están dedicadas en exclusiva a esta

tarea y a recopilar este tipo de información que a la hora de seguir [eleva el tono] una campaña o de lanzar [eleva el tono] otra y ver como han ido las campañas previas es muy útil [ralentiza el discurso], de hecho en las siguientes diapositivas que vamos a ver... de forma más breve porque todo esto ya conecta con la práctica [pausa], tenéis páginas web que es lo que os estaba comentando ahora sobre análisis de medios, concretamente yo os las he estructurado por campos temáticos en cuanto a qué se centra esa página web. La primera de ellas es Infoadex, que ya la conocéis de otras asignaturas, ¿en qué asignatura habéis visto Infoadex? [pausa, esperando respuesta] [INTERVENCIÓN ESTUDIANTE] (alumno responde) En teoría de la comunicación, en TECO [repetición, parafrasear] habéis visto, es que el TECO este, en teoría de la comunicación [repetición] habéis visto Infoadex ya aquí vamos a en la página de Infoadex, yo no se si en TECO habéis entrado en la página, o habéis visto qué es Infoadex y sólo sabéis qué ofrece Infoadex [pausa, esperando respuesta] [INTERVENCIÓN ESTUDIANTE] (alumno/alumna responde). No, no mucho ¿no? Aquí vamos a entrar en la página, vamos a ver qué nos ofrece y vamos a saber manejar la página web de Infoadex que como sabéis, como ya habéis visto en la otra asignatura en TECO, se centra en el control de la inversión publicitaria. Infoadex os lo he resumido ahí en la diapositiva veinte, controla y analiza [eleva el tono] la publicidad en España, tanto cualitativa como cuantitativamente [eleva el tono], os recuerdo que los términos cualitativo y cuantitativo se refieren al tipo de investigación en en... [repetición] el marco de una agencia de publicidad, no es sólo [eleva el tono] en la agencia de publicidad pero para noso nuestros propósitos nos centramos en esto con la distinción que si se refieren a datos numéricos o del tipo que sea pero datos puntuales concretos o a información más elaborada, discurso más elaborado [repetición, parafrasear] por parte del consumidor, que te cuente algo a través de lo cual, a través del discurso de ese consumidor [repetición, parafrasear] tú puedas sacar

más información que sería cuantitativa y no tanto cualitativa. Como os digo Infoadex se centra en controlar y analizar la publicidad en España a estos dos niveles cualitativo y cuantitativo, cuánto [eleva el tono] dinero se invierte en publicidad en España, en qué [eleva el tono] se invierte, quiénes [eleva el tono] invierten, dónde [eleva el tono] invierten, todo eso es importante saberlo a la hora de preparar una campaña en Infoadex lo tenéis recopilado. En cuanto a cómo se controla la inversión publicitaria existen varias formas de saberlo... a través de un examen directo de algunos medios, ahí tenéis las ideas eh... reflejadas en la diapositiva, en acuerdo con otros para que proporcionen sus datos, es decir que empresas entre ellas tengan acuerdos para intercambiar datos, y toda esta información lo importante es que está gestionada a través de bases de datos que van recopilando, que van sumando [eleva el tono] información y tú [eleva el tono] después puedes acudir esa base de datos donde ya está todo recopilado y hacer uso de ella. ¿Para qué sirve la inversión publicitaria a la que se dedica una empresa, una página web como Infoadex? [tono descendente] Sirve para orientar al planificador de medios de una agencia de publicidad a la hora de preparar el presupuesto, esto punto uno. Otro punto sería para analizar la inversión publicitaria de la competencia, su distribución mensual en los medios y los logros conseguidos, y otro aspecto muy importante sería el de comprobar que la publicidad contratada por agencias y anunciantes ha sido publicada, emitida [repetición, parafrasear] correctamente en la fecha deseada. Más páginas que se dedican al control de la inversión publicitaria serían Sofres Audiencia de Medios, que tenéis la web en la siguiente diapositiva, os recuerdo os repito que todo esto lo voy lo vamos a ver ahora un poco de pasada, de forma descriptiva solamente porque esto va a entrar directamente en la práctica, tenemos una práctica que se centra en las bases de datos de publicidad, vamos a ver en este tema y en la cual vais a poder entrar en estas páginas de... de control de medios etcétera, verlas, utilizarlas, saber hasta qué punto tiene utilidad, etcétera [baja

el tono]. En Sofres Audiencia de Medios, lo que encontramos son cuantificaciones exhaustivas [eleva el tono] de la inversión publicitaria en tanto en prensa, radio, televisión exterior, por categorías, es decir por sector económico, por anunciante, por marca, por producto, por soporte, etcétera [baja el tono]. Audiencia de medios de todo tipo, de medios de comunicación de todo tipo [repetición]. Otra página web para el control de la audiencia de medios sería la de la Asociación para la Investigación de Medios de Comunicación, ésta es menos conocida, menos importante, menos recurrente que Infoadex y Sofres, pero también es importante el saberla, tenerla en cuenta, que no hay que desprestigiar, no hay que, no hay que [repetición] dar de menos a otras páginas porque sean menos conocidas. La página de la Asociación para la Investigación de Medios de Comunicación tiene como objetivo principal el estudio y la medición de las audiencias de los diferentes medios de comunicación o publicidad, es el punto uno, otro sería la investigación que después se recopila en el estudio general de medios que como sabéis se va presentado de forma anual [eleva el tono] desde el año sesenta y ocho y lo tenéis ahí también recopilado en esa página web. Y después otra forma de difusión que tiene esta esta... esta... [repetición] asociación es el boletín informativo trimestral Línea abierta [eleva el tono] que está en formato pdf desde hace poco desde el año dos mil y lo tenéis también disponible en en [repetición] línea en esa página web que tenéis ahí referenciada. Siguiendo con las webs que os he recopilado y como repito vais a ver sobre todo de cara a las prácticas [eleva el tono] tenemos Geca que es la que se dedica a la audiencia de medios, es el gabinete de estudios de comunicación audiovisual ¿Geca os la han dao también en TECO?, ¿os suena esa? [pausa esperando respuesta] [INTERVENCIÓN ESTUDIANTE] (alumno/alumna responde), ¿no? Geca no os suena, Infoadex sí, ¿Sofres, Sofres [repetición]? [pausa esperando respuesta] [INTERVENCIÓN ESTUDIANTE] (alumno/alumna responde) Os suena, Geca no, ¿Geca os suena?

[pausa esperando respuesta] [INTERVENCIÓN ESTUDIANTE]
(alumno/alumna responde)No, bueno pues Geca también se dedica al control de la audiencia de medios, ahí tenéis la web en la diapositiva veinticuatro, es una consultora [eleva el tono] no es una asociación, es una consultora dedicada al estudio de la comunicación audiovisual [eleva el tono] que ofrece sus servicios a las principales cadenas de televisión y radio, productoras televisivas y cinematográficas, agencias de publicidad y también empresas [eleva el tono] de comunicación. Atiende tanto a mercado internacional como nacional y además tiene productos eh... asociados a ella que son ahí tenéis la los nombres no hace falta que los miremos aquí lo tenéis ahí es ADETEC para el reconocimiento de publicidad en televisión, SPOTLINE para análisis de campañas *spot* etcétera. Ya nos meteremos en esa web en la parte práctica porque ahora esto sino en teoría es un rollazo, ahí la cuestión es que nos metamos [eleva el tono] en la páginas, que las buceemos, que las desgranemos, que nos demos cuenta de qué nos ofrecen de forma estructurada. Más rap más [repetición] páginas de forma también muy rápida, control de audiencias en Internet, esto es muy importante controlar las audiencias en Internet, tenemos varias páginas web que se dedican a recopilar datos sobre eso nua.com, EGM que significa Estudio General de los Medios eso está en la diapositiva veinticinco de forma resumida a qué se dedican, en la siguiente diapositiva os he puesto otras dos [eleva el tono] eh... páginas web que recopilan datos sobre control de audiencias en Internet, una sería JUPITER MMXY, lo tenéis ahí esa está esa es a nivel internacional está en inglés pero se podrá traducir a través de GOOGLE, traducción automática pero en fin, y otra que es MMXY EUROPE que es solamente centrada en Europa y también es el audímetro de Internet pero sólo en Europa, porque la de Júpiter es más global también eh... recopila datos de países como Japón, Australia, Canadá, Estados Unidos, etcétera, MMXY EUROPE sólo recopila datos sobre países europeos. Más páginas sobre control de

audiencias en Internet las tenéis ahí Nielsen, Net Value, INEbase, ahí tenéis las direcciones en la práctica veréis que tampoco se os pide que os que [repetición] nos metamos en todas pero la información la tenéis ahí... por lo que pueda para lo que pueda servir y después en cuanto al control de la difusión impresos digitales en la siguiente diapositiva, la veintiocho, os he puesto la dirección de una oficina de justificación de la difusión, que parece un poco raro el nombre pero es que se llama así, que se creó en el año sesenta y cuatro y que es una asociación compuesta por medios, agencias y anunciantes para estudiar tanto la tirada y la difusión de los medios impresos, sean diarios, sean revistas, sean suplementos, publicaciones periódicas, profesionales, anuarios, directorios, guías etcétera y medios electrónicos. Seguimiento de contenidos, el seguimiento de contenidos [repetición] ya nos revela, lo tenemos en la siguiente diapositiva, nos revela [repetición] que en las páginas web de las que estamos hablando, en las bases de datos de las que estamos hablando [repetición] hay conceptos que se solapan porque por ejemplo Infoadex, Sofres [ralentiza el discurso], páginas como esas no sólo [eleva el tono] realizan, no sólo [eleva el tono] incorporan datos sobre seguimiento de medios y control de audiencias, sino también el seguimiento de contenidos, o sea que a veces categorizar esta web se dedica sólo a esto o esta base de datos se dedica sólo a aquello es difícil porque todas imprimen varios campos de actuación en cuanto a análisis de medios, por tanto Infoadex y Sofres os sirve tanto para control de medios como para seguimiento de contenidos también lo tenéis ahí. Para el análisis de la publicidad encontramos datos en la Biblioteca Nacional, en la base de datos de la Agencia EFE, en la página Adforum que sabéis además que tenéis colgados en formato eh... vídeo anuncios completos [eleva el tono] que se hayan utilizado en algún momento, y también Movierecord, la página de Movierecord [repetición, expansión], en Infoadex otra vez encontramos análisis de publicidad, Geca también envía... en ella encontramos análisis de

publicidad. Todas estas webs las tenéis ahí recopiladas y como digo son más informaciones de ca de [repetición] cara a la parte práctica. Directamente para ir yendo al meollo final del tema [ralentiza el discurso] que es lo que nos interesa antes de pasar a la parte práctica nos vamos a la diapositiva treinta y cuatro, tú no estás en la diapositiva treinta y cuatro ni en ninguna, estás en otra parte (Begoña, ¿no habría que especificar que aquí me dirijo a un alumno/a) [baja el tono], vamos a la diapositiva treinta y cuatro en ella tenemos centro de documentación en una agencia de publicidad [ralentiza el discurso], simplemente esquema, de forma esquemática [repetición, parafrasear] ¿a qué se dedica? Y esto sí que es posible pregunta de examen de forma esquemática ¿a qué se dedica el centro de documentación de una agencia de publicidad? [repetición, ampliación] Y luego veremos cómo ponemos el caso de una agencia que muy bien imagino ya que sabéis cuál es, ya es que ya es eterna esta agencia MacCann os podré el ejemplo de cómo está estructurado concretamente la la [repetición] el departamento de documentación la MacCann, ya lo que faltaba por ver de MacCann era eso, siempre con MacCann [baja el tono]. Bueno, las tareas documentales de una agencia de publicidad, del centro de documentación de una agencia de publicidad, en la diapositiva veinticuatro las he resumido [eleva el tono] en puntos serían por una parte dar servicio a los publicitarios ante cualquier necesidad informativa, por otra parte investigar y buscar información desde todas las campañas que se están realizando, en tercer lugar preparar otras informaciones para conseguir nuevos clientes y en caso de que la agencia de publicidad no tenga un departamento propio de documentación o de información que vimos que se podía llamar de las dos formas, departamento de documentación o departamento de información, en caso de que esto no lo tenga la agencia de publicidad se tramitan estas funciones a través del departamento de investigación o directamente lo hace el *planner*. Qué pasa en MacCann Erickson como ejemplo para que veamos de

forma palpable cómo se estructura el departamento de documentación de una agencia de publicidad. ¿Qué pasa en MacCann? [tono descendente] Bueno, MacCann Erickson, como ejemplo y con esto vamos terminando el tema, es una agencia que ha dispuesto incluso de un lugar físico para recoger documentos, tiene un departamento de documentación y tiene un archivo, no todas las agencias de publicidad tienen un archivo a veces sí que tienen un departamento de pu de... de [repetición] documentación de información que suele ser una [eleva el tono] persona, máximo dos [eleva el tono] personas pero no tiene físicamente un archivo, MacCann sí lo tiene, sí tiene un archivo [repetición, ampliación] además de que tiene un responsable de la gestión de ese archivo que es el que pues lo que se llama en MacCann Erickson un director de información [eleva el tono]. ¿Cuál es la función principal de ese director de información? [tono descendente] Tiene dos [eleva el tono] funciones principales la tenéis ahí en la diapositiva, por una parte apoyar al departamento de cuentas con los nuevos clientes, apoyar al departamento de cuentas con los nuevos clientes [repetición] y en segundo lugar resolver las necesidades de información y dudas que se plantean cada día en la agencia, por ejemplo el dossier informativo, por conectar con algo que estáis preparando, el dossier informativo que estáis haciendo para el segundo semestre en una agencia de publicidad lo haría el departamento de documentación o departamento de información ¿no?, se le llame como se le llame [pausa]. Hay una campaña en marcha o hay una previsión de campaña, el creativo, el publicitario o el *planner* va a la sección de documentación o a la de información, se llame como se llame repito, y dice estamos pensando en hacer una campaña sobre tal tema o sobre tal producto, buscar información. La gente de esa sección se dedica a hacer un dossier informativo como el que vosotros mismos estáis preparando ahora en el segundo semestre. MacCann Erickson ofrece, es una agencia que es muy interesante a nivel de documentación porque tiene la sección, tiene un director de

documentación y tiene actividad relacionada con la sección no solamente a nivel eh necesito esta información me la buscas sino que genera documentación la propia agencia, es muy importante, ofrece documentación gráfica de revistas, de videos, de libros, bobinas y eso... todo lo que envuelve al *spot* publicitario... y lo va almacenando en su archivo y lo tiene ahí recopilado para utilizarlo en cualquier momento. También tiene una base de datos con informaciones de proveedores externos [eleva el tono] como Xtreme Information, The Register y Data Montor y son agencias de información externas, información que existe de forma independiente a las que MacCann Erickson acude para recopilar más información, ¿entendéis? Es decir, el departamento de información de la agencia acude a veces a servicios externos de información para ir sumando datos al archivo propio de la agencia. También a través de datos de Internet busca información y la va recopilando en sus archivos. Esto en MacCann estamos viendo un caso concreto que es el de MacCann. ¿Cómo resumiríamos el tema? Si hasta ahora no hay dudas que imagino que no porque estáis pensado y cómo es sino porque sabéis que vamos a la práctica y ya ahí más, pero si alguien tiene alguna duda que me lo comente ¿o seguimos hacia las conclusiones y luego reco recopilamos dudas o pasamos directamente a las prácticas?, [pausa esperando respuesta] ¿pasamos directamente? [repetición parcial] Conclusiones entonces. Para empezar punto importante reconocer de forma eh... especial los resultados y la documentación que una buena gestión [ralentiza el discurso] de la documentación tiene en cualquier campaña publicitaria, lo dijimos al principio del tema, esto en concreto también al principio de la asignatura, pero aquí en este tema desde luego lo re lo [repetición] repetimos bastante y lo dijimos al final, una buena campaña no sólo se basa en las buenas ideas que tenga un señor creativo sino en la buena gestión de la información ¿y eso cómo se hace? [tono descendente] Con la documentación, es decir el punto uno es superimportante cómo recopilas información, cómo la

estructuras y cómo la utilizas y cómo la explotas a la hora de hacer una campaña y para eso la documentación es importante. En segundo lugar otra idea conclusiva que nos ayuda a entender la importancia de la documentación en una agencia de publicidad, sería que la realidad indica que si [eleva el tono] la labor complementaria que hace un documentalista, un analista o un gestor de documentos, los resultados de la publicidad son diferentes, es decir si hay una un trabajo de documentación aparejado a la campaña es distinto al hecho de si no lo hay, cambian mucho los resultados y también tener en cuenta que el objetivo final de la publicidad es crear un proceso comunicacional, tú como creativo, tú como señor de una agencia de publicidad que te viene y que te viene un cliente [repetición, ampliación] que produce un producto y quiere que tú lo vendas, tú tienes que comunicarle a un se a un [repetición] cliente, a un destinatario, a un consumidor x, el hecho de que ese producto existe y que le puede interesar, tú se lo comunicas, tú eres el canal comunicativo entre el productor y el cliente, entre quien tiene un producto y quien lo compra finalmente [repetición, parafrasear], y si el consumidor no lo quiere comprar, la publicidad siempre para convencerle de que lo que necesita de alguna forma. El gran empuje por tanto en la publicidad a través de la investigación se produce en esa incidencia que tiene a la hora de provocar consumo, provocar consumo [repetición], de insumir [repetición, parafrasear], de incrementar el consumo [repetición, parafrasear] incluso cuando el producto aparentemente no tiene [ralentiza el discurso] un consumidor claro, a través de la publicidad vende ese producto. No es sólo comunicar esto existe si no puedes vender mi producto a través de la labor de la publicidad, por tanto las agencias cada vez más valoran muchísimo la labor de la información, la labor de la documentación [repetición, parafrasear] y casi todas las agencias, os he puesto MacCann Erickson porque la conocéis ya creo que una agencia con la que trabajáis bastante, pero casi todas las agencias de publicidad tienen su propia sección

de documentación y información, llamada información o investigación, pero la tienen. Y al final os he puesto como siempre la bibliografía del tema, tres libros que se han utilizado para elaborar el asunto. Por tanto ese es el último tema de teoría, documentación en publicidad, muchas de las cosas que hemos visto en este tema en realidad ya las hemos ido viendo de forma más o menos pausada en temas anteriores como por ejemplo las fuentes de información que ya las vimos en un tema propio, hoy las hemos recordado un poco y la importancia de la documentación en publicidad que también lo vimos a principio de todo pero en este tema lo hemos recalcado más y directamente pasamos a las prácticas asociadas a este tema. ¿Cuáles son las prácticas asociadas a este tema? [tono descendente] Son tres... [eleva el tono], son tres prácticas [repetición, ampliación] algunos ya las estabais empezando cuando estábamos con el tema a mita, otros no se por donde vais de las prácticas, pero os comento las tres prácticas asociadas al tema en las cuales vamos a ver concretizado los contenidos concretizado los contenidos del tema [repetición], son práctica doce, práctica trece y práctica catorce y con esto no hay más prácticas, con esto ya se acabó. Práctica doce se dedica se centra [repetición, parafrasear] en base de datos de publicidad, *marketing* y comunicación audiovisual, algunos ya estabais en ella pero yo por si acaso la explico. Simplemente se trata de entrar en esa página web que se os comenta ahí [pausa] y localizar información que se os pide en base de datos concretamente sobre publicidad, *marketing* y comunicación audiovisual, lo tenéis escrito [pausa], esa es la práctica doce. La trece se trata de buscar no en bases de datos sino directamente en la red, en la gran masa que supone la red, que es una opción, buscar información publicitaria concretamente a través de los puntos que se os da, las guías que se os da en la en la práctica trece. Como veis ésta vuelve a ser la décima práctica abierta en la que no hay preguntas que contestar, la doce si es a si es [repetición] cerrada es decir te pido os pido [repetición] localiza tal dato, simplemente tú

mandas bases de datos de la de la [repetición] del tema seis vais por ejemplo, sin complicaciones a una práctica más cerrada. La práctica trece es abierta en el sentido de que no hay una guía estricta sino que se trata de que busquéis información publicitaria con esas guías que yo os doy y que la redactéis a modo de reseña, como hemos hecho en prácticas anteriores. Y la catorce también es una práctica tipo reseña que consiste en que entréis en esas páginas web que se dedican exclusivamente a análisis de los medios, prospección de audiencias y publicidad. Estas tres prácticas como digo algunos no me las estáis entregando otros no sé exactamente cómo lleváis las prácticas en estos momentos pero son las tres últimas prácticas asociadas al tema último, que es el tema seis, y con esto ya cerramos capítulo de prácticas parciales de temas teóricos y vamos combinando tanto una cosa como la otra con el dossier informativo que ya tenéis todos en marcha [baja el tono] ¿de acuerdo?, ¿alguien tiene alguna duda o lo estáis detectando en las prácticas si tiene alguna duda de las prácticas de este tema? [pausa esperando respuesta], ¿no? Práctica doce ¿estáis en ella? [INTERVENCIÓN ESTUDIANTE] (alumno comenta) ¿Ya de dossier, no?, señor, pues muy bien, bueno el dossier es eterno, el dossier ya es transversal, el dossier afecta a todos los temas y a todas las prácticas, ¿pero en la práctica doce, trece y catorce estáis en ellas o sabéis cómo van? [pausa esperando respuesta], ¿habéis tenido alguna duda?, ¿tenéis alguna duda en estas prácticas? [pausa esperando respuesta], ¿del tema? El tema a nivel conceptual tiene conceptos breves, no tiene demasiado meollo conceptual. El próximo día, el próximo día [repetición] hacemos la evaluación formativa del tema seis, a través de la cual resumimos el tema y vemos las posibles preguntas de examen de ese tema y con eso terminamos ¿de acuerdo? [pausa esperando confirmación], ¿me oís que la el próximo día hacemos la evaluación formativa del seis? [repetición] Entonces si no tenéis ahora dudas ¿nos esperamos a la evaluación formativa para ver dudas? [INTERVENCIÓN ESTUDIANTE] (alumno responde y

pregunta) Sí... esperad, sí bueno eso ya si ya cuando hayáis leído estas prácticas si van surgiendo dudas me vais llamando.

Appendix C: SC Observation Guide

**FICHA DE OBSERVACIÓN
PARA AUDIO Y
VIDEOGRABACIONES**

 PROYECTO MINISTERIO
(HUM2004-02599/FILO) 2006


CÓDIGO ID:	LE1
FECHA DE OBSERVACIÓN:	15/11/2004
GÉNERO:	<input checked="" type="checkbox"/> Clase magistral <input type="checkbox"/> Comunicación <input type="checkbox"/> Conferencia <input type="checkbox"/> Seminario <input type="checkbox"/> Otros: _____
OBSERVADOR/A:	Begoña Bellés Fortuño
GRABACIÓN:	<input checked="" type="checkbox"/> Audio <input type="checkbox"/> Audio y vídeo

1. DATOS DEL ACTO COMUNICATIVO:
Título del acto comunicativo / asignatura: Historia de las primeras civilizaciones

Tipología de la asignatura: TR OBL LC

Titulación y curso: Licenciatura en humanidades. 1er curso

Área de interés: Ciencias humanas y sociales
 Ciencias jurídicas y económicas
 Tecnología y ciencias experimentales

Idioma: Inglés Español Otros _____

Hora: 10 h **Duración (min):** 120'

Orden en el programa: Tema 2 del temario: "Egipto durante el tercer milenio"

2. DATOS DEL HABLANTE:
Estatus Académico: Estudiante 3rd ciclo Profesor/a Otro: _____

Nacionalidad: Española

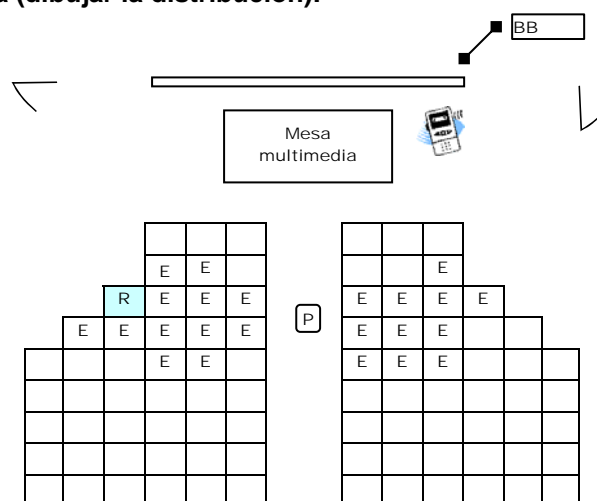
Lengua Materna Inglés Español Otra: _____

Edad: 25-30 31-35 36-40 41-45 46-50 51-55 56-60 >-60

Sexo: Mujer Hombre

3. DATOS EMPLAZAMIENTO:
Lugar: Universitat Jaume I, Facultad de Ciencias Humanas y Sociales

Tipo de aula: Aula de clase Aula magna Seminario
 Laboratorio Otro: _____

Distribución aula (dibujar la distribución):


ventana

BB = pizarra, O = observador, P = profesor, E = estudiante

Otra información relevante (mesas móviles o no, sillas, etc.):

El área de pupitres se encuentran distribuida en pendiente para facilitar la visión frontal del aula. Aula sin podium. Buena distribución de los estudiantes, primera fila y últimas vacías

4. DATOS DEL DESTINATARIO/AS

Destinatario /as: Estudiantes de primer curso de la licenciatura en humanidades
Nº Asistentes: 23 **Nº Hombres:** 12 **Nº Mujeres:** 11

5. RECURSOS UTILIZADOS

- Presentación ppt Vídeo DVD Audio CD Micrófono de mano Pizarra BB
 OHP Vídeo cinta Audio Casete Micrófono de solapa Pizarra WB
 Handout Audio DVD Micrófono de mesa
 Otros recursos: _____

6. ACTUACIÓN DEL HABLANTE:

Tipo de presentación: Hablante explica leer leer y explica Otro:
Situación: Hablante se mueve de pie sentado/a Otra: _____

7. DATOS DISCUSIÓN:

No hay discusión
Hay discusión: durante el acto discursivo al final del acto discursivo al final de la sesión/panel
Nº intervenciones: **Hombre/s** 6 **Idioma¹:** ES **Estatus²:** E
Mujer/es 5 ES E
Desconocido 0 _____ _____
Total 11 _____ _____

¹ I = inglés, ES = español, otro (describirlo)

² PR = profesor, P = participante, E = estudiante, D = desconocido, otro (describirlo)

8. INFORMACIÓN RELEVANTE REFERENTE AL CONTENIDO DEL ACTO COMUNICATIVO

Inicio El profesor escribe diversos años en la pizarra y comienza la clase por no poder asistir a la última sesión debido a su asistencia a un congreso. Resume y avanza lo que van a ver en las próximas sesiones

Fin Termina la sesión tras hacer referencia a una anécdota social. Invita a las estudiantes a descansar unos minutos.

Referencia externa Referencia a un documento visual: película *Los diez mandamientos*. Referencia a una escena de la novela de *Pickwick* de Dickens.

9. DATOS DE LA GRABACIÓN

Tiempo de grabación (min): 59' Transcripción **Nº palabras** 5,652
Equipo de grabación: Grabadora minidisc digital

10. INCIDENCIAS

Es una sesión de dos horas que se distribuye con una pausa al finalizar la primera hora. La grabación pertenece a la primera hora de la sesión. El profesor informa a los estudiantes que la clase va a ser grabada para una investigación.

**FICHA DE OBSERVACIÓN
PARA AUDIO Y
VIDEOGRABACIONES**

 PROYECTO MINISTERIO
(HUM2004-02599/FILO) 2006


CÓDIGO ID:	LE2
FECHA DE OBSERVACIÓN:	16/02/2005
GÉNERO:	<input checked="" type="checkbox"/> Clase magistral <input type="checkbox"/> Comunicación <input type="checkbox"/> Conferencia <input type="checkbox"/> Seminario <input type="checkbox"/> Otros: _____
OBSERVADOR/A:	Begoña Bellés Fortuño
GRABACIÓN:	<input checked="" type="checkbox"/> Audio <input type="checkbox"/> Audio y vídeo

1. DATOS DEL ACTO COMUNICATIVO:

Título del acto comunicativo / asignatura: Arte del Renacimiento

Tipología de la asignatura: TR OBL LC

Titulación y curso: Licenciatura en humanidades. 2º curso

Área de interés: Ciencias humanas y sociales
 Ciencias jurídicas y económicas
 Tecnología y ciencias experimentales

Idioma: Inglés Español Otros _____

Hora: 12 h **Duración (min):** 60'

Orden en el programa: Tema "Fuentes escritas del Renacimiento"

2. DATOS DEL HABLANTE:

Estatus Académico: Estudiante 3rd ciclo Profesor/a Otro: _____

Nacionalidad: Española

Lengua Materna Inglés Español Otra: _____

Edad: 25-30 31-35 36-40 41-45 46-50 51-55 56-60 > 60

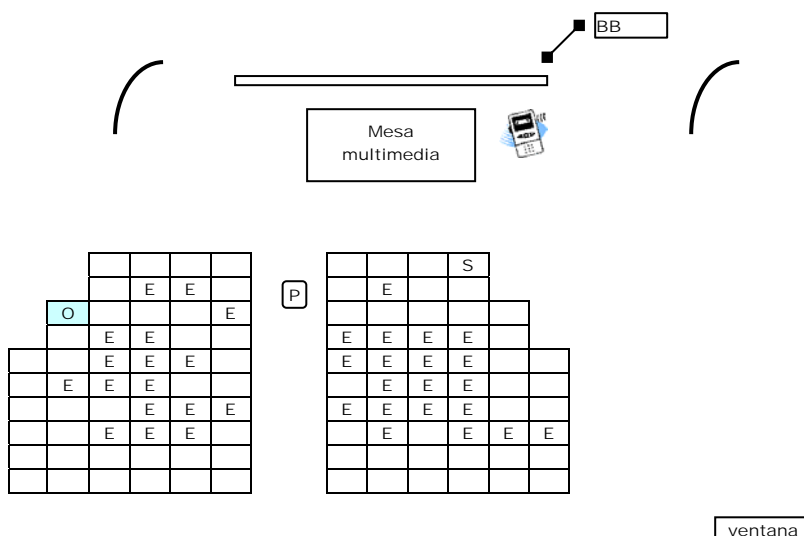
Sexo: Mujer Hombre

3. DATOS EMPLAZAMIENTO:

Lugar: Universitat Jaume I, Facultad de Ciencias Humanas y Sociales

Tipo de aula: Aula de clase Aula magna Seminario
 Laboratorio Otro: _____

Distribución aula (dibujar la distribución):



BB = pizarra, O = observador, P = profesor, E = estudiante

Otra información relevante (mesas móviles o no, sillas, etc.):

El área de pupitres se encuentra distribuida en pendiente para facilitar la visión frontal del aula. Aula sin podium. Buena distribución de los estudiantes, últimas dos filas vacías

4. DATOS DEL DESTINATARIO/AS

Destinatario /as: Estudiantes de primer curso de la licenciatura en humanidades
Nº Asistentes: 38 **Nº Hombres:** 20 **Nº Mujeres:** 18

5. RECURSOS UTILIZADOS

Presentación ppt Vídeo DVD Audio CD Micrófono de mano Pizarra BB
 OHP Vídeo cinta Audio Casete Micrófono de solapa Pizarra WB
 Handout
 (ver documento adjunto) Audio DVD Micrófono de mesa
 Otros recursos: _____

6. ACTUACIÓN DEL HABLANTE:

Tipo de presentación: Hablante explica leer leer y explica Otro:
Situación: Hablante se mueve de pie sentado/a Otra: _____

7. DATOS DISCUSIÓN:

No hay discusión
Hay discusión: durante el acto discursivo al final del acto discursivo al final de la sesión/panel
Nº intervenciones:* **Hombre/s** 2 **Idioma¹:** ES **Estatus²:** E
 Mujer/es 0 ES E
 Desconocido 0 _____ _____
 Total 2

¹ I = inglés, ES = español, otro (describirlo)

² PR = profesor, P = participante, E = estudiante, D = desconocido, otro (describirlo)

* No hay registro en audio de las intervenciones (posible fallo en el alcance del equipo de grabación) sin embargo en las anotaciones del observador aparecen dos intervenciones.

8. INFORMACIÓN RELEVANTE REFERENTE AL CONTENIDO DEL ACTO COMUNICATIVO

Inicio Empieza explicando los autores en la fotocopia que tienen los alumnos, da una breve biografía de cada autor.
Fin Termina la sesión preguntando si los alumnos tienen alguna duda.
Referencia externa Referencia social local: se hace eco de una catedrática de la Universidad de Valencia relacionada con la traducción de la obra de Francesco Colonna.
 Referencia a una obra literaria: *El código Da Vinci*.

9. DATOS DE LA GRABACIÓN

Tiempo de grabación (min): 43' Transcripción **Nº palabras** 6,404
Equipo de grabación: Grabadora minidisc digital

10. INCIDENCIAS

El profesor informa a los estudiantes que la clase va a ser grabada para una investigación.

5. RECURSOS UTILIZADOS: Handout

FUENTES ESCRITAS DEL RENACIMIENTO

VITRUBIO, *Los diez libros de arquitectura*, numerosas ediciones desde 1486.

GHIRIBERTI, *Commentarii* (vidas de artistas).

ALBERTI, *De Pictura*, 1436, *De Status*, 1465, *De Re Aedificatoria*, 1485.

PIERO DELLA FRANCESCA, *De prospectiva pingendi*, h. 1480.

LUCA PACIOLI, *De Divina Proportione*, 1497.

GIORGIO MARTINI, *Trattato d'Architettura, Ingegneria e Arte Militare*, finales del XV.

FRANCESCO COLONNA, *Hypnerotomachia Poliphili*, Venecia, 1499.

FILARETE, *Trattato di Architettura*, h. 1460.

LEONARDO DA VINCI, *Trattato della Pittura*, París, 1651.

DURERO, *Vier Buchern von Menschlicher Proportion*, Nüremberg, 1528.

DIEGO DE SAGREDO, *Medidas del Romano*, Toledo, 1526.

VASARI, *Vite de' più eccellenti Architetti, Pittori et Scultori*, Florencia, 1550.

KAREL VAN MANDER, *Schilderboeck*, 1604.

VIGNOLA, *Regole delli cinque ordini dell'Architettura*, Roma, 1562.

PALLADIO, *I quattro libri dell'Architettura*, Venecia, 1570.

SCAMOZZI, *Dell'Idea dell'Architettura universale*, Venecia, 1615.

SERLIO, *Trattato di Architettura*, Venecia, 1584.

HORAPOLLO, *Hieroglyphica*, diversas ediciones desde el siglo XV.

PIERIO VALERIANO, *Hieroglyphica*, 1551.

ALCIATO, *Emblematum libellus*, 1531.

BORJA, *Empresas Morales*, 1580.

CELLINI, *La Vita di maestro Giovanni Cellini fiorentino*, h. 1559-1562.

**FICHA DE OBSERVACIÓN
PARA AUDIO Y
VIDEOGRABACIONES**

 PROYECTO MINISTERIO
(HUM2004-02599/FILO) 2006


CÓDIGO ID:	LE3
FECHA DE OBSERVACIÓN:	14/05/2003
GÉNERO:	<input checked="" type="checkbox"/> Clase magistral <input type="checkbox"/> Comunicación <input type="checkbox"/> Conferencia <input type="checkbox"/> Seminario <input type="checkbox"/> Otros: _____
OBSERVADOR/A:	Ninguno*
GRABACIÓN:	<input checked="" type="checkbox"/> Audio <input type="checkbox"/> Audio y vídeo

1. DATOS DEL ACTO COMUNICATIVO:

Título del acto comunicativo / asignatura: Psicoestadística I

Tipología de la asignatura: TR OBL LC

Titulación y curso: Licenciatura en psicología. 1er curso

Área de interés: Ciencias humanas y sociales
 Ciencias jurídicas y económicas
 Tecnología y ciencias experimentales

Idioma: Inglés Español Otros _____

Hora: 8 h **Duración (min):** 120'

Orden en el programa: No hay datos

2. DATOS DEL HABLANTE:

Estatus Académico: Estudiante 3rd ciclo Profesora/a Otro: _____

Nacionalidad: Española

Lengua Materna Inglés Español Otra: _____

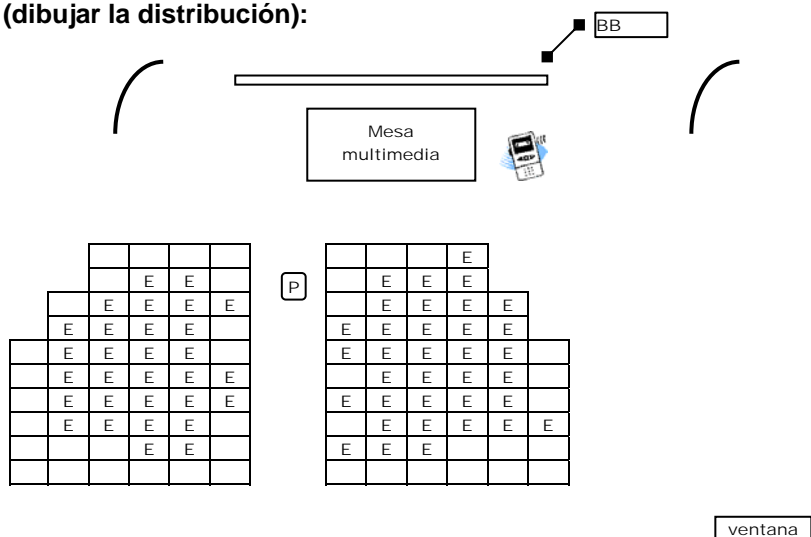
Edad: 25-30 31-35 36-40 41-45 46-50 51-55 56-60 > 60

Sexo: Mujer Hombre

3. DATOS EMPLAZAMIENTO:

Lugar: Universitat Jaume I, Facultat de Ciències Humanes i Socials

Tipo de aula: Aula de clase Aula magna Seminario
 Laboratorio Otro: _____

Distribución aula (dibujar la distribución):


BB = pizarra, P = profesor, E = estudiante

* No hay presencia de observador en el aula, el profesor graba su propia sesión.

Otra información relevante (mesas móviles o no, sillas, etc.):

El área de pupitres se encuentra distribuida en pendiente para facilitar la visión frontal del aula. Aula sin podium. Buena distribución de los estudiantes.

4. DATOS DEL DESTINATARIO/AS

Destinatario /as: Alumnos de primer curso de la licenciatura en psicología

Nº Asistentes: 65 **Nº Hombres:** 38 **Nº Mujeres:** 27

5. RECURSOS UTILIZADOS

Presentación ppt Vídeo DVD Audio CD Micrófono de mano Pizarra BB
 OHP Vídeo cinta Audio Casete Micrófono de solapa Pizarra WB
 Handout Audio DVD Micrófono de mesa
 Otros recursos: _____

6. ACTUACIÓN DEL HABLANTE:

Tipo de presentación: Hablante explica leer leer y explica Otro: _____

Situación: Hablante se mueve de pie sentado/a Otra: _____

7. DATOS DISCUSIÓN:

No hay discusión

Hay discusión: durante el acto discursivo al final del acto discursivo al final de la sesión/panel

Nº intervenciones:	Hombre/s	<u>7</u>	Idioma¹:	<u>ES</u>	Estatus²:	<u>E</u>
	Mujer/es	<u>55</u>		<u>ES</u>		<u>E</u>
	Desconocido	<u>0</u>				
	Total	<u>62</u>				

¹ I = inglés, ES = español, otro (describirlo)

² PR = profesor, P = participante, E = estudiante, D = desconocido, otro (describirlo)

8. INFORMACIÓN RELEVANTE REFERENTE AL CONTENIDO DEL ACTO COMUNICATIVO

Inicio No hay datos

Fin No hay datos

Referencia externa No hay datos

9. DATOS DE LA GRABACIÓN

Tiempo de grabación (min): 75' Transcripción **Nº palabras** 8,319

Equipo de grabación: Grabadora casete analógica

10. INCIDENCIAS

No procede

**FICHA DE OBSERVACIÓN
PARA AUDIO Y
VIDEOGRABACIONES**

 PROYECTO MINISTERIO
(HUM2004-02599/FILO) 2006


CÓDIGO ID:	LE4
FECHA DE OBSERVACIÓN:	26/05/2003
GÉNERO:	<input checked="" type="checkbox"/> Clase magistral <input type="checkbox"/> Comunicación <input type="checkbox"/> Conferencia <input type="checkbox"/> Seminario <input type="checkbox"/> Otros: _____
OBSERVADOR/A:	Ninguno*
GRABACIÓN:	<input checked="" type="checkbox"/> Audio <input type="checkbox"/> Audio y vídeo

1. DATOS DEL ACTO COMUNICATIVO:

Título del acto comunicativo / asignatura: Auditoría contable

Tipología de la asignatura: TR OBL LC

Titulación y curso: Licenciatura en administración y dirección de empresas. 3er

Área de interés: Ciencias humanas y sociales
 Ciencias jurídicas y económicas
 Tecnología y ciencias experimentales

Idioma: Inglés Español Otros _____

Hora: 10 h **Duración (min):** 60'

Orden en el programa: No procede

2. DATOS DEL HABLANTE:

Estatus Académico: Estudiante 3^{er} ciclo Profesor/a Otro: _____

Nacionalidad: Española

Lengua Materna Inglés Español Otra: _____

Edad: 25-30 31-35 36-40 41-45 46-50 51-55 56-60

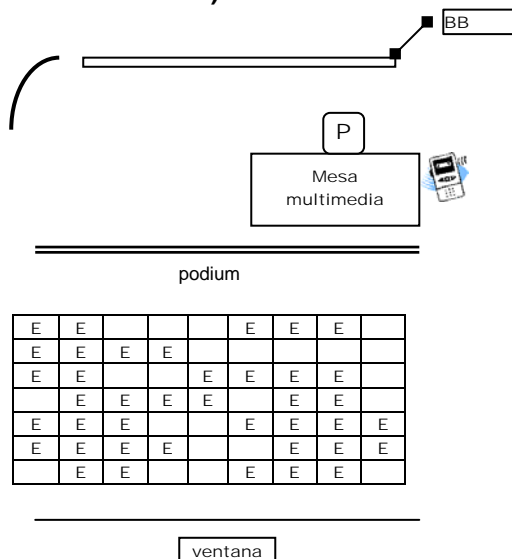
Sexo: Mujer Hombre

3. DATOS EMPLAZAMIENTO:

Lugar: Universitat Jaume I, Facultat de Ciències Jurídiques i Econòmiques

Tipo de aula: Aula de clase Aula magna Seminario
 Laboratorio Otro: _____

Distribución aula (dibujar la distribución):



BB = pizarra, P = profesor, E = estudiante

* No hay presencia de observador en el aula, el profesor graba su propia sesión.

Otra información relevante (mesas móviles o no, sillas, etc.):

Mesas y sillas móviles. Se trata de una clase de pequeño tamaño. Solo una puerta de entrada y sin pendiente. Ligerio podium con altura de un peldaño.

Buena distribución de los estudiantes, tanto primeras como últimas filas ocupadas.

4. DATOS DEL DESTINATARIO/AS

Destinatario /as: Estudiantes de primer curso de la licenciatura en administración y dirección de empresas

Nº Asistentes: 40 **Nº Hombres:** 22 **Nº Mujeres:** 18

5. RECURSOS UTILIZADOS

- Presentación ppt Vídeo DVD Audio CD Micrófono de mano Pizarra BB
 OHP Vídeo cinta Audio Casete Micrófono de solapa Pizarra WB
 Handout Audio DVD Micrófono de mesa
 Otros recursos: _____

6. ACTUACIÓN DEL HABLANTE:

Tipo de presentación: Hablante explica leer leer y explica Otro: _____

Situación: Hablante se mueve de pie sentado/a Otra: _____

7. DATOS DISCUSIÓN:

No hay discusión

Hay discusión: durante el acto discursivo al final del acto discursivo al final de la sesión/panel

Nº intervenciones: **Hombre/s** - **Idioma¹:** _____ **Estatus²:** _____
 Mujer/es - _____ _____
 Desconocido - _____ _____
 Total - _____

¹ I = inglés, ES = español, otro (describirlo)

² PR = profesor, P = participante, E = estudiante, D = desconocido, otro (describirlo)

8. INFORMACIÓN RELEVANTE REFERENTE AL CONTENIDO DEL ACTO COMUNICATIVO

Inicio No hay datos
Fin No hay datos
Referencia externa Referencia local: se ejemplifica con nombres de empresas de la zona pues se supone los estudiantes conocen las referencias.

9. DATOS DE LA GRABACIÓN

Tiempo de grabación (min): 60' **Transcripción** **Nº palabras** 8,066

Equipo de grabación: Grabadora casete analógica

10. INCIDENCIAS

No procede

**FICHA DE OBSERVACIÓN
PARA AUDIO Y
VIDEOGRABACIONES**

 PROYECTO MINISTERIO
(HUM2004-02599/FILO) 2006


CÓDIGO ID:	LE5
FECHA DE OBSERVACIÓN:	31/03/2003
GÉNERO:	<input checked="" type="checkbox"/> Clase magistral <input type="checkbox"/> Comunicación <input type="checkbox"/> Conferencia <input type="checkbox"/> Seminario <input type="checkbox"/> Otros: _____
OBSERVADOR/A:	Ninguno*
GRABACIÓN:	<input checked="" type="checkbox"/> Audio <input type="checkbox"/> Audio y vídeo

1. DATOS DEL ACTO COMUNICATIVO:

Título del acto comunicativo / asignatura: Marketing por Internet

Tipología de la asignatura: TR OBL LC

Titulación y curso: Licenciatura en publicidad y relaciones publicas. 3er curso.

Área de interés: Ciencias humanas y sociales
 Ciencias jurídicas y económicas
 Tecnología y ciencias experimentales

Idioma: Inglés Español Otros _____

Hora: 16h **Duración (min):** 60'

Orden en el programa: No procede

2. DATOS DEL HABLANTE:

Estatus Académico: Estudiante 3rd ciclo Profesor/a Otro: _____

Nacionalidad: Española

Lengua Materna Inglés Español Otra: catalán

Edad: 25-30 31-35 36-40 41-45 46-50 51-55 56-60 > 60

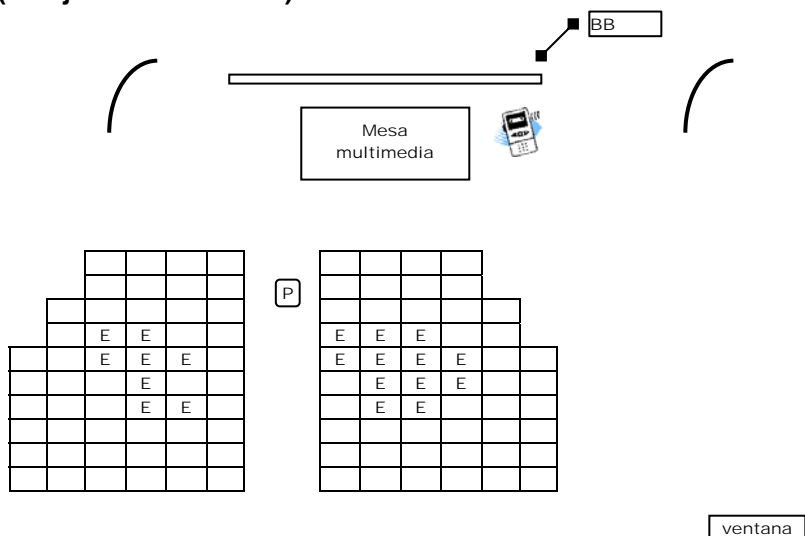
Sexo: Mujer Hombre

3. DATOS EMPLAZAMIENTO:

Lugar: Universitat Jaume I, Facultat de Ciències Humanes y Sociales

Tipo de aula: Aula de clase Aula magna Seminario
 Laboratorio Otro: _____

Distribución aula (dibujar la distribución):



BB = pizarra, P = profesor, E = estudiante

* No hay presencia de observador en el aula, el profesor graba su propia sesión.

Otra información relevante (mesas móviles o no, sillas, etc.):

El área de pupitres se encuentra distribuida en pendiente para facilitar la visión frontal del aula. Aula sin podium.

4. DATOS DEL DESTINATARIO/AS

Destinatario /as: Estudiantes de tercer curso en la licenciatura en publicidad y relaciones publicas.

Nº Asistentes: 20 **Nº Hombres:** 9 **Nº Mujeres:** 11

5. RECURSOS UTILIZADOS

- Presentación ppt Vídeo DVD Audio CD Micrófono de mano Pizarra BB
 OHP Vídeo cinta Audio Casete Micrófono de solapa Pizarra WB
 Handout Audio DVD Micrófono de mesa
 Otros recursos: _____

6. ACTUACIÓN DEL HABLANTE:

Tipo de presentación: Hablante explica leer leer y explica Otro: _____

Situación: Hablante se mueve de pie sentado/a Otra: _____

7. DATOS DISCUSIÓN:

No hay discusión

Hay discusión:

durante el acto discursivo

al final del acto discursivo

al final de la sesión/panel

Nº intervenciones:	Hombre/s	<u>3</u>	Idioma¹:	<u>ES</u>	Estatus²:	<u>E</u>
	Mujer/es	<u>10</u>		<u>ES</u>		<u>E</u>
	Desconocido	<u>3</u>		<u>ES</u>		<u>E</u>
	Total	<u>16</u>				

¹ I = inglés, ES = español, otro (describirlo)

² PR = profesor, P = participante, E = estudiante, D = desconocido, otro (describirlo)

8. INFORMACIÓN RELEVANTE REFERENTE AL CONTENIDO DEL ACTO COMUNICATIVO

Inicio No hay datos

Fin No hay datos

Referencia externa No hay datos

9. DATOS DE LA GRABACIÓN

Tiempo de grabación (min): 60' Transcripción **Nº palabras** 5,610

Equipo de grabación: Grabadora casete analógica

10. INCIDENCIAS

No procede

**FICHA DE OBSERVACIÓN
PARA AUDIO Y
VIDEOGRABACIONES**

 PROYECTO MINISTERIO
(HUM2004-02599/FILO) 2006


CÓDIGO ID:	LE6
FECHA DE OBSERVACIÓN:	16/11/2004
GÉNERO:	<input checked="" type="checkbox"/> Clase magistral <input type="checkbox"/> Comunicación <input type="checkbox"/> Conferencia <input type="checkbox"/> Seminario <input type="checkbox"/> Otros: _____
OBSERVADOR/A:	Begoña Bellés Fortuño
GRABACIÓN:	<input checked="" type="checkbox"/> Audio <input type="checkbox"/> Audio y vídeo

1. DATOS DEL ACTO COMUNICATIVO:

Título del acto comunicativo / Introducción a la Economía

Tipología de la asignatura: TR OBL LC
 Diplomatura en administración y dirección de empresas.
Titulación y curso: 1er curso

Área de interés:
 Ciencias humanas y sociales
 Ciencias jurídicas y económicas
 Tecnología y ciencias experimentales

Idioma: Inglés Español _____

Hora: 9:30h **Duración (min):** 120'

Orden en el programa: Tema 8 del temario: "Comercio exterior y tipos de cambio".

2. DATOS DEL HABLANTE:

Estatus Académico: Estudiante 3rd ciclo Profesor/a Otro: _____

Nacionalidad: Española

Lengua Materna
 Inglés Español Otra: _____

Edad: 25-30 31-35 36-40 41-45 46-50 51-55 56-60 >
 años

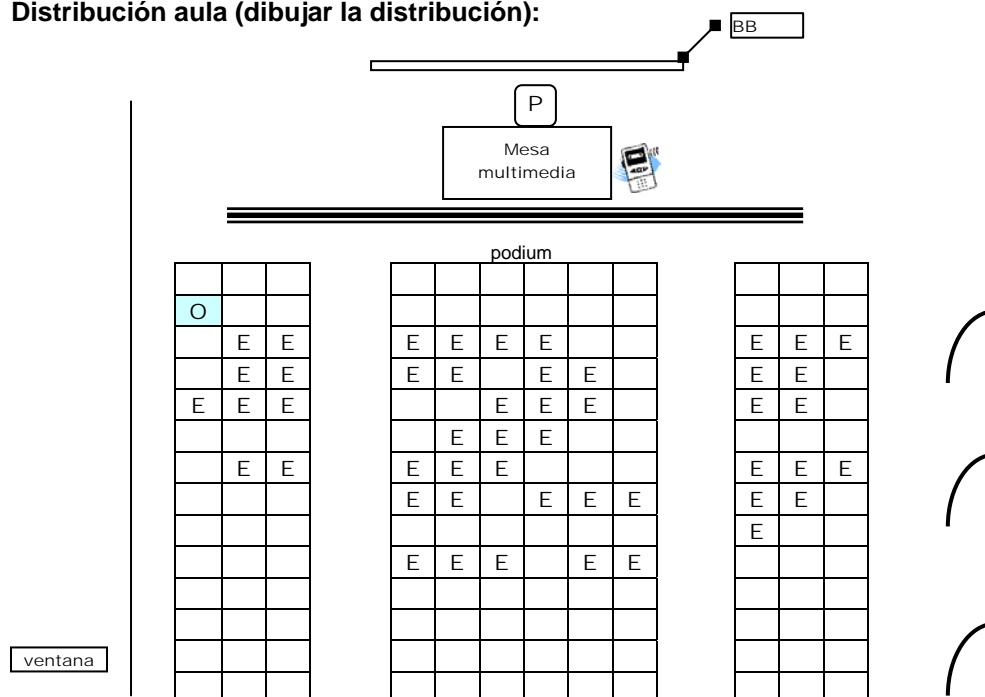
Sexo: Mujer Hombre

3. DATOS EMPLAZAMIENTO:

Lugar: Universitat Jaume I, Facultad de Ciencias Jurídicas y Económicas

Tipo de aula: Aula de clase Aula magna Seminario
 Laboratorio Otro: _____

Distribución aula (dibujar la distribución):



BB = pizarra, O = observador, P = profesor, E = estudiante

Otra información relevante (mesas móviles o no, sillas, etc.):

El área de pupitres se encuentran distribuida en pendiente para facilitar la visión frontal del aula. Buena distribución de los estudiantes, primera fila y cuatro últimas vacías. Se trata de una aula más grande de lo normal con capacidad para 168 alumnos.

4. DATOS DEL DESTINATARIO/AS

Destinatario /as: Estudiantes de primer curso de la diplomatura de ADEM.

Nº Asistentes: 49 Nº Hombres: 30 Nº Mujeres: 19

5. RECURSOS UTILIZADOS

- Presentación ppt Vídeo DVD Audio CD Micrófono de mano Pizarra BB
 OHP Vídeo cinta Audio Casete Micrófono de solapa Pizarra WB
 Handout Audio DVD Micrófono de mesa
 Otros recursos: _____

6. ACTUACIÓN DEL HABLANTE/S:

Tipo de presentación: Hablante explica leer leer y explica Otro: _____
 Situación: Hablante se mueve de pie sentado/a Otra: _____

7. DATOS DISCUSIÓN:

No hay discusión

Hay discusión:

durante el acto discursivo

al final del acto discursivo

al final de la sesión/panel

Nº intervenciones: **Hombre/s** 4 **Idioma¹:** ES **Estatus²:** E
 Mujer/es 0 _____ _____
 Desconocido 1 ES E
 Total 5

¹ I = inglés, ES = español, otro (describirlo)

8. INFORMACIÓN RELEVANTE REFERENTE AL CONTENIDO DEL ACTO COMUNICATIVO

Inicio	El profesor inicia la sesión resumiendo los contenidos que van a ver hasta Navidad (diciembre) y los relaciona con otras asignaturas que se verán en el segundo semestre.
Fin	El profesor invita a hacer una pausa pues se trata de una sesión de dos horas.
Referencia externa	Referencia a la vida real: índice de cambio "1€ = 1,34 \$, 1\$ = 0,75€"

9. DATOS DE LA GRABACIÓN

Tiempo de grabación (min):	<u>62'</u>	<input checked="" type="checkbox"/> Transcripción	Nº palabras	<u>6,874</u>
Equipo de grabación:	<u>Grabadora minidisc digital</u>			

10. INCIDENCIAS

Clase magistral con un alto nivel monológico. El profesor marca distancias con los estudiantes al estar situado en lo alto del podium, escasa o nula movilidad. Idiosincrasia: el profesor viste con traje y corbata. Uso de la pizarra muy frecuente. No se informa a los estudiantes que la sesión será grabada, ni de la presencia de un observador.

**FICHA DE OBSERVACIÓN
PARA AUDIO Y
VIDEOGRABACIONES**

 PROYECTO MINISTERIO
(HUM2004-02599/FILO) 2006


CÓDIGO ID:	LE7
FECHA DE OBSERVACIÓN:	16/11/2004
GÉNERO:	<input checked="" type="checkbox"/> Clase magistral <input type="checkbox"/> Comunicación <input type="checkbox"/> Conferencia <input type="checkbox"/> Seminario <input type="checkbox"/> Otros: _____
OBSERVADOR/A:	Begoña Bellés Fortuño
GRABACIÓN:	<input checked="" type="checkbox"/> Audio <input type="checkbox"/> Audio y vídeo

1. DATOS DEL ACTO COMUNICATIVO:

Título del acto comunicativo / asignatura: Economía mundial

Tipología de la asignatura: TR OBL LC

Titulación y curso: Licenciatura en administración y dirección de empresas. 2º curso

Área de interés: Ciencias humanas y sociales
 Ciencias jurídicas y económicas
 Tecnología y ciencias experimentales

Idioma: Inglés Español Otros _____

Hora: 11:10h **Duración (min):** 90'

Orden en el programa: No hay datos

2. DATOS DEL HABLANTE:

Estatus Académico: Estudiante 3º ciclo Profesor/a Otro: _____

Nacionalidad: Española

Lengua Materna Inglés Español Otra: _____

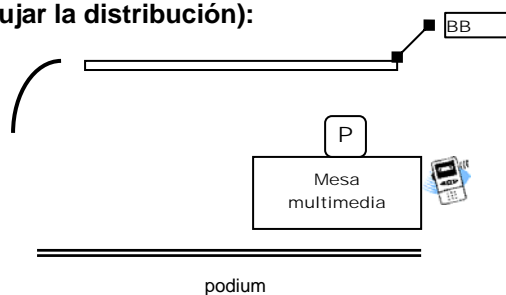
Edad: 25-30 31-35 36-40 41-45 46-50 51-55 56-60 > 60

Sexo: Mujer Hombre

3. DATOS EMPLAZAMIENTO:

Lugar: Universitat Jaume I, Facultat de Ciències Jurídiques y Econòmiques

Tipo de aula: Aula de clase Aula magna Seminario
 Laboratorio Otro: _____

Distribución aula (dibujar la distribución):


	E	E			E	E	E	
						E	E	
	E	E	E		E	E	E	E
	O	E	E		E	E		E
E	E	E			E		E	E
		E	E	E	E	E	E	E
	E	E			E	E	E	

ventana

BB = pizarra, O = observador, P = profesor, E = estudiante

Otra información relevante (mesas móviles o no, sillas, etc.):

Mesas y sillas móviles. Se trata de una clase de pequeño tamaño. Solo una puerta de entrada y sin pendiente. Ligero podium con altura de un peldaño.

Buena distribución de los estudiantes, tanto primeras como últimas filas ocupadas.

La profesora utiliza la pizarra exclusivamente para las fórmulas.

4. DATOS DEL DESTINATARIO/AS

Destinatario /as: Estudiantes de segundo curso en la licenciatura de administración y dirección de empresas.

Nº Asistentes: 38 **Nº Hombres:** 13 **Nº Mujeres:** 25

5. RECURSOS UTILIZADOS

Presentación ppt Vídeo DVD Audio CD Micrófono de mano Pizarra BB
 OHP Vídeo cinta Audio Casete Micrófono de solapa Pizarra WB
 Handout
(ver documento adjunto) Audio DVD Micrófono de mesa
 Otros recursos: _____

6. ACTUACIÓN DEL HABLANTE:

Tipo de presentación: Hablante explica leer leer y explica Otro: _____
Situación: Hablante se mueve de pie sentado/a Otra: _____

7. DATOS DISCUSIÓN:

No hay discusión

Hay discusión: durante el acto discursivo al final del acto discursivo al final de la sesión/panel

Nº intervenciones:	Hombre/s	<u>4</u>	Idioma¹:	<u>ES</u>	Estatus²:	<u>E</u>
	Mujer/es	<u>2</u>		<u>ES</u>		<u>E</u>
	Desconocido	<u>1</u>		<u>ES</u>		<u>E</u>
	Total	<u>7</u>				

¹ I = inglés, ES = español, otro (describirlo)

² PR = profesor, P = participante, E = estudiante, D = desconocido, otro (describirlo)

8. INFORMACIÓN RELEVANTE REFERENTE AL CONTENIDO DEL ACTO COMUNICATIVO

Inicio La profesora comienza la clase haciendo referencia a un artículo periodístico distribuido en clase en la sesión anterior.

Fin Termina la clase haciendo referencia al contenido de la sesión de la próxima semana.

Referencia externa Referencia global: las elecciones en los Estados Unidos y su presidente G. Bush.
Referencia local: se refiere al contenido que verán con el profesor de prácticas.

9. DATOS DE LA GRABACIÓN

Tiempo de grabación (min): 68' Transcripción **Nº palabras** 9,228
Equipo de grabación: Grabadora minidisc digital

10. INCIDENCIAS

No se informa a los estudiantes que la sesión será grabada, ni de la presencia de un observador.

5. RECURSOS UTILIZADOS: Handout

14 NEGOCIOS

EL PAÍS, DOMINGO 14 DE NOVIEMBRE DE 2004

ECONOMÍA

El jueves pasado el euro alcanzó un máximo histórico: se cambió a 1,30 dólares. La demostración de poder de la moneda única está provocando, no obstante, contratiempos en la economía europea. Ha tenido un efecto devastador sobre las exportaciones. Alemania, principal

damnificada, registró un crecimiento del PIB de apenas el 0,1% durante el tercer trimestre del año, debido en gran parte a la reducción del excedente exterior provocada por la apreciación del euro. Todas las economías europeas están en estado de alarma por el riesgo de que la coti-

zación de la moneda empuje de nuevo a la economía alemana a una nueva recesión. Bush y su equipo económico alientan la debilidad del dólar para restañar su déficit comercial con los países asiáticos. La contrapartida es clara: un euro fuerte protege del encarecimiento del crudo.

Europa sufre por la salud del dólar

Washington se siente más cómodo con una divisa débil para financiar mejor su desequilibrio exterior

SANDRO POZZI

El continuo debilitamiento del dólar preocupa fuera de Estados Unidos. Pero mientras Europa y otros socios comerciales de EE UU, como Japón, muestran su inquietud por la fortaleza de sus monedas frente al billete verde, la Administración que preside George Bush se muestra indiferente ante la fuerte depreciación de su divisa. Una intervención del Tesoro o del Banco Central Europeo (BCE) para contener la caída del dólar no parece inminente y todo apunta a que se quedará en el juego verbal.

Oficialmente, el Gobierno estadounidense apoya un dólar fuerte. Sin embargo, la percepción es que Washington está cómodo con un dólar débil y tiene muy claro qué es lo que espera de su divisa. Una moneda débil aporta una ventaja competitiva a la industria en un mercado globalizado. Pero, en el caso de EE UU, sobre todo permite financiar su elevado déficit exterior. El problema llega a la hora de adquirir del extranjero los artículos que necesita la industria para funcionar, y que podría llegar a afectar al consumo interno. Por no dejar de mencionar que una caída prolongada puede desanimar a los inversores extranjeros a invertir en fondos.

“Pero EE UU no se inquieta y hace bien poco para frenar su depreciación”, señalan los analistas



Los presidentes de la Reserva Federal y del Banco Central Europeo, Alan Greenspan y Jean-Claude Trichet. AP

del mercado de divisas. A esto se le suma la cacofonía que llega desde Europa, donde la posición real ante el dilema de un dólar fuerte o débil no está clara, sobre todo a raíz de que el canciller alemán restara dramatismo a la situación. “Un euro fuerte es una barrera contra la inflación en Europa, sobre todo si se tiene en cuenta el precio del petróleo y las materias primas. Aunque también es un obstáculo hacia

un mayor crecimiento”, explican.

Los operadores insisten en que es necesaria una intervención verbal o monetaria de EE UU “para evitar que el tipo de cambio rebase el techo psicológico de los 1,30 dólares”. “Que el presidente del BCE, Jean Claude Trichet, se pronuncie a favor de la fortaleza del dólar ayuda a reducir los nervios”, señalan desde ABN Amro, “pero es una cuestión temporal, porque las in-

Las proyecciones de los bancos de inversión hablan de que el euro podría alcanzar entre los 1,33 y los 1,37 dólares los próximos 12 meses

tervenciones verbales mantendrán la caída durante poco tiempo”. El BCE no está dispuesto tampoco a ir más allá de las palabras, lo que podría restar margen de maniobra a la política monetaria en EE UU. El problema, al margen de la retórica, está en que las caídas de los últimos días marcan una tendencia de por dónde irá la divisa estadounidense.

Las proyecciones

Merrill Lynch aseguraba a final de la semana pasada que la victoria de George Bush se veía “menos negativa” para el dólar que la de John Kerry, a pesar de que durante los últimos cuatro años haya perdido más de un 20% de su valor o un 36% si se compara con el pico más bajo frente al euro. Para hacer esta afirmación, la prestigiosa institución financiera se apoyó en la idea de que el senador demócrata iba a introducir una línea en el ámbito comercial mucho más dura, sobre todo con China, tras proponer la revisión de los acuerdos comerciales para introducir nuevas directrices de empleo y medio ambiente.

Las proyecciones de los bancos de inversión hablan de que el euro podría alcanzar entre los 1,33 y los 1,37 dólares durante los próximos 12 meses. “La apreciación del 10% que ha tenido el euro en los últimos tres meses es rara en sí misma

Pass a la página 15

adquirir del extranjero los artículos que necesita la industria para funcionar, y que podría llegar a afectar al consumo interno. Por no dejar de mencionar que una caída prolongada puede desanimar a los inversores extranjeros a invertir en fondos.

"Pero EE UU no se inquieta y hace bien poco para frenar su depreciación", señalan los analistas

suma la cacofonía que llega desde Europa, donde la posición real ante el dilema de un dólar fuerte o débil no está clara, sobre todo a raíz de que el canciller alemán restara dramatismo a la situación. "Un euro fuerte es una barrera contra la inflación en Europa, sobre todo si se tiene en cuenta el precio del petróleo y las materias primas. Aunque también es un obstáculo hacia

Los operadores insisten en que es necesaria una intervención verbal o monetaria de EE UU "para evitar que el tipo de cambio rebase el techo psicológico de los 1,30 dólares". Que el presidente del BCE, Jean Claude Trichet, se pronuncie a favor de la fortaleza del dólar ayuda a reducir los nervios", señalan desde ABN Amro, "pero es una cuestión temporal, porque las in-

Las proyecciones de los bancos de inversión hablan de que el euro podría alcanzar entre los 1,33 y los 1,37 dólares los próximos 12 meses

para introducir nuevas directrices de empleo y medio ambiente.

Las proyecciones de los bancos de inversión hablan de que el euro podría alcanzar entre los 1,33 y los 1,37 dólares durante los próximos 12 meses. "La apreciación del 10% que ha tenido el euro en los últimos tres meses es rara en sí misma

Pasa a la página 15

Los mercados financieros han reaccionado de forma desigual al triunfo de G. W. Bush en las elecciones presidenciales. Los de acciones lo recibieron con un alza, mientras que los de bonos cedían algo en precio. En los de divisas, tras un titubeo inicial, el dólar estadounidense ha acentuado la depreciación que frente al resto de las monedas venía definiendo desde el inicio del primer periodo presidencial. Lo ha seguido haciendo tras la divulgación del último dato de creación de empleo, mucho más favorable que el esperado, y de la última elevación de los tipos de interés por la Reserva Federal. La venta de dólares ha sido generalizada, frente a todas las monedas, y no sólo en operaciones de los especuladores a corto plazo, sino igualmente por aquellos inversores con una perspectiva de asignación a medio y largo plazo. Frente al euro ya ha vencido el récord de hace nueve meses, situándose en 1,30, el precio más bajo de todos los tiempos. Desde comienzos de 2001 la caída ha sido del 30% y del 21% en términos efectivos.

Esa falta de confianza se ha traducido en una escalada del precio del oro. Lo viene hacien-

do desde abril de 2001, tras un descenso continuo durante más de veinte años desde los niveles de 850 dólares la onza. El aumento en los últimos 42 meses ha sido del 70%, hasta esos 434 dólares la onza, el precio más elevado en 16 años. Un comportamiento que ha recordado a algunos analistas el observado tras la quiebra, en 1971, del régimen cambiario concebido en Bretton Woods.

Los operadores en los mercados de divisas presumen que en el horizonte que se abre en este segundo periodo presidencial de Bush, no son muchas las posibilidades de reducción significativa del déficit presupuestario y el de la cuenta corriente de la balanza de pagos. La persistencia de los factores que han determinado el nivel récord de ambos, incluida la de los riesgos geopolíticos y la actitud complaciente de la Administración hacia esa evolución del tipo de cambio, refuerzan esas posiciones vendedoras de la moneda americana.

¿Qué dice el dólar?

EMILIO ONTIVEROS

Su límite no es fácil establecer con los datos disponibles, en la medida en que no lo es la acotación del déficit por cuenta corriente, 572.000 millones de dólares, casi un 6% del PIB. En la financiación del mismo, a diferencia de lo ocurrido en la segunda mitad de los noventa, no son

La solución a la caída de la divisa estadounidense no son las intervenciones.

Ni siquiera las verbales, como las recientes de responsables del BCE

los flujos de inversión directa los dominantes, sino los materializados en títulos del Tesoro, consecuentes con el creciente déficit presupuestario y la decidida política de intervención en los mercados de divisas de algunos bancos centrales. Desde 2001,

las reservas de divisas de los bancos centrales asiáticos han crecido en 1,2 billones de dólares, equivalentes aproximadamente a las dos terceras partes del déficit acumulado en el periodo.

En la determinación de esa brecha entre las compras y ventas de bienes y servicios con el exterior, el comportamiento expansivo de la política presupuestaria es uno de los factores principales. Desde el superávit de 236.000 millones de dólares en 2000 se ha pasado a un déficit de 413.000 millones de dólares en el ejercicio fiscal que concluyó el pasado 30 de septiembre. Un deterioro sin precedentes que, según la Oficina Presupuestaria del Congreso, hay que atribuir a las muy controvertidas reducciones de impuestos (favorecedoras de las rentas más elevadas) y de un aumento en los gastos de seguridad y defensa también inusuales. Los ingresos impositivos finalizaron un periodo de tres años de descenso en 2004, aunque también en este

año mantuvieron un crecimiento muy inferior al de los gastos. El gasto público en defensa se mantuvo como la partida de más rápido crecimiento del presupuesto en el ejercicio fiscal de 2004, después de haber registrado incrementos anuales del 15% en 2002 y 2003. En conjunto los gastos en defensa en 2004 fueron un 55% más elevados que en 2000.

La presunción más razonable es que el reforzamiento republicano en las cámaras no va a favorecer una alteración significativa de esa orientación de las finanzas públicas. La conclusión no puede ser otra que la persistencia de la inestabilidad de los tipos de cambio y, eventualmente, de los tipos de interés, en la medida que los compradores no estadounidenses de activos denominados en dólares, particularmente los de bonos, asuman ese riesgo de cambio ya suficientemente explícito. La solución no son las intervenciones. Ni siquiera las de naturaleza verbal, como las recientes de responsables del BCE. Han de ser señales inequívocas de cambio en las políticas que han determinado esa magnitud sin precedentes de los déficit gemelos.

**FICHA DE OBSERVACIÓN
PARA AUDIO Y
VIDEOGRABACIONES**

 PROYECTO MINISTERIO
(HUM2004-02599/FILO) 2006


CÓDIGO ID:	LE8
FECHA DE OBSERVACIÓN:	12/05/2005
GÉNERO:	<input checked="" type="checkbox"/> Clase magistral <input type="checkbox"/> Comunicación <input type="checkbox"/> Conferencia <input type="checkbox"/> Seminario <input type="checkbox"/> Otros: _____
OBSERVADOR/A:	Begoña Bellés Fortuño
GRABACIÓN:	<input checked="" type="checkbox"/> Audio <input type="checkbox"/> Audio y vídeo

1. DATOS DEL ACTO COMUNICATIVO:

Título del acto comunicativo / asignatura: Dirección Comercial I

Tipología de la asignatura: TR OBL LC
Diplomatura en ciencias empresariales. 2º curso

Titulación y curso: _____

Área de interés: Ciencias humanas y sociales
 Ciencias jurídicas y económicas
 Tecnología y ciencias experimentales

Idioma: Inglés Español Otros _____

Hora: 12 h **Duración (min):** 60'

Orden en el programa: Tema: "Factores que condicionan el comportamiento del consumidor"

2. DATOS DEL HABLANTE:

Estatus Académico: Estudiante 3rd ciclo Profesor/a Otro: _____

Nacionalidad: Española

Lengua Materna Inglés Español Otra: _____

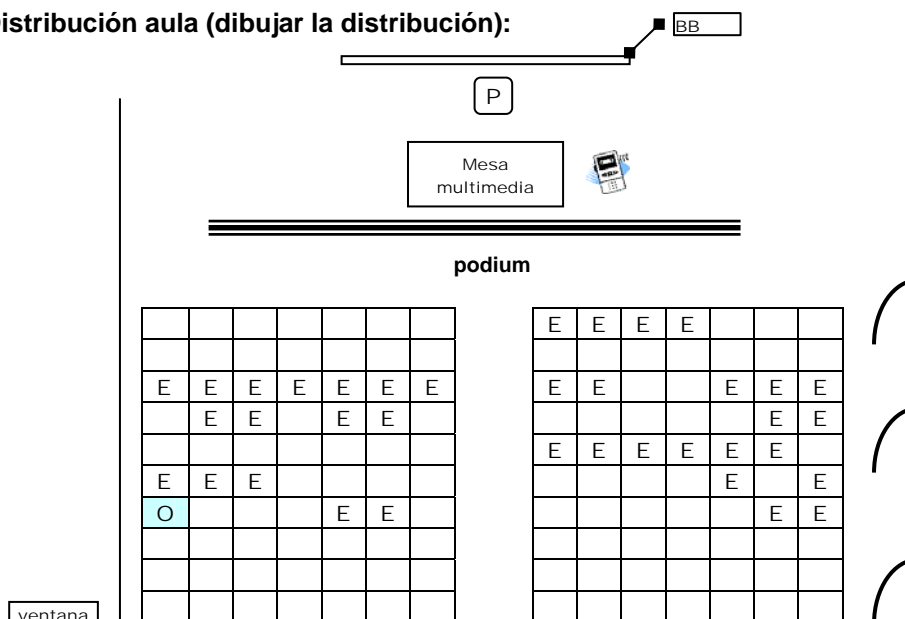
Edad: 25-30 31-35 36-40 41-45 46-50 51-55 56-60 > 60

Sexo: Mujer Hombre

3. DATOS EMPLAZAMIENTO:

Lugar: Universitat Jaume I, Facultat de Ciències Jurídiques i Econòmiques

Tipo de aula: Aula de clase Aula magna Seminario
 Laboratorio Otro: _____

Distribución aula (dibujar la distribución):


BB = pizarra, O = observador, P = profesor, E = estudiante

Otra información relevante (mesas móviles o no, sillas, etc.):

El área de pupitres se encuentra distribuida en pendiente para facilitar la visión frontal del aula. Buena distribución de los estudiantes, primeras y últimas filas vacías. El aula está provista de un podium de gran altura.

4. DATOS DEL DESTINATARIO/AS

Destinatario /as: Estudiantes de segundo curso de la diplomatura en ciencias empresariales.

Nº Asistentes: 37 **Nº Hombres:** 9 **Nº Mujeres:** 28

5. RECURSOS UTILIZADOS

Presentación ppt Vídeo DVD Audio CD Micrófono de mano Pizarra BB
 OHP Vídeo cinta Audio Casete Micrófono de Solapa Pizarra WB
 Handout Audio DVD Micrófono de mesa
 Otros recursos: _____

6. ACTUACIÓN DEL HABLANTE:

Tipo de presentación: Hablante explica leer leer y explica Otro: _____

Situación: Hablante se mueve de pie sentado/a Otra: _____

7. DATOS DISCUSIÓN:

No hay discusión

Hay discusión: durante el acto discursivo al final del acto discursivo al final de la sesión/panel

Nº intervenciones:	Hombre/s	<u>6</u>	Idioma¹:	<u>ES</u>	Estatus²:	<u>E</u>
	Mujer/es	<u>14</u>		<u>ES</u>		<u>E</u>
	Desconocido	<u>1</u>		<u>ES</u>		<u>E</u>
	Total	<u>21</u>				

¹ I = inglés, E = español, otro (describirlo)

² PR = profesor, P = participante, E = estudiante, D = desconocido, otro (describirlo)

8. INFORMACIÓN RELEVANTE REFERENTE AL CONTENIDO DEL ACTO COMUNICATIVO

Inicio La profesora comienza la clase hablando sobre la prórroga de entrega de trabajos para final de curso, continua recapitulando sobre las sesiones anteriores y los sitúa en el lugar donde va a comenzar.

Fin Avanza el contenido que verán en la próxima sesión.

Referencia externa Referencia local al buen tiempo actual, por ejemplo "casi podríamos ir en bikini ya".
Referencia externa a la vida real: la prioridad de tener un coche de color negro, el color negro asociado a coche fúnebre.

9. DATOS DE LA GRABACIÓN

Tiempo de grabación (min): 51' Transcripción **Nº palabras** 5,213

Equipo de grabación: Grabadora minidisc digital

10. INCIDENCIAS

No se informa a los estudiantes que la sesión será grabada, ni de la presencia de un observador.

**FICHA DE OBSERVACIÓN
PARA AUDIO Y
VIDEOGRABACIONES**

PROYECTO MINISTERIO
(HUM2004-02599/FILO) 2006



CÓDIGO ID: LE9

FECHA DE OBSERVACIÓN: 19/11/2004

GÉNERO:

Clase magistral Comunicación Conferencia

Seminario Otros: _____

OBSERVADOR/A: Begoña Bellés Fortuño

GRABACIÓN: Audio Audio y vídeo

1. DATOS DEL ACTO COMUNICATIVO:

Título del acto comunicativo / asignatura: Introducción a la Psicología Social

Tipología de la asignatura: TR OBL LC

Titulación y curso: Licenciatura en psicología. 3er curso

Área de interés: Ciencias humanas y sociales

Ciencias jurídicas y económicas

Tecnología y ciencias experimentales

Idioma: Inglés Español Otros _____

Hora: 9 h **Duración (min):** 120'

Orden en el programa: Tema 4 del programa teórico, punto 8:
"Participación ciudadana"

2. DATOS DEL HABLANTE:

Estatus Académico: Estudiante 3^{er} ciclo Profesor/a Otro: _____

Nacionalidad: Española

Lengua Materna Inglés Español Otra: Catalán

Edad: 25-30 31-35 36-40 41-45 46-50 51-55 56-60 >

Sexo: Mujer Hombre

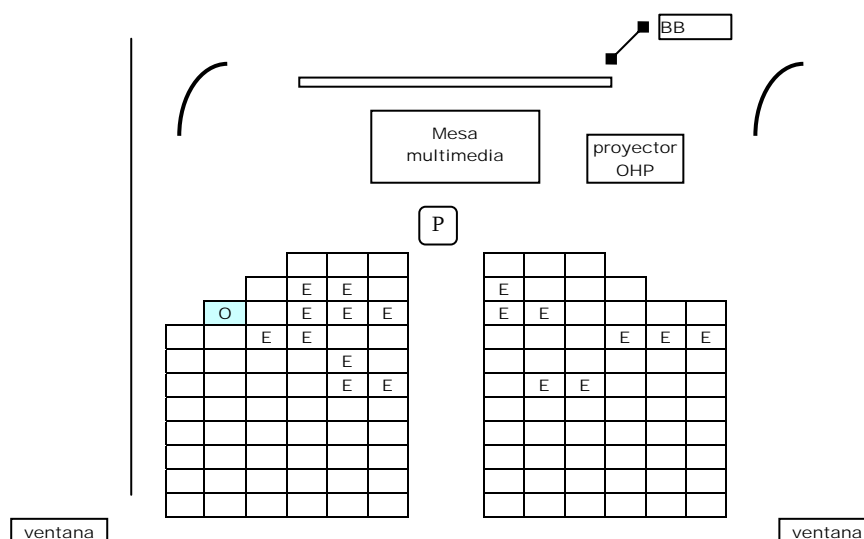
3. DATOS EMPLAZAMIENTO:

Lugar: Universitat Jaume I, Facultat de Ciències Humanes i Socials

Tipo de aula: Aula de clase Aula magna Seminario

Laboratorio Otro: _____

Distribución aula (dibujar la distribución):



BB = pizarra, O = observador, P = profesor, E = estudiante

Otra información relevante (mesas móviles o no, sillas, etc.):

El área de pupitres se encuentran distribuida en pendiente para facilitar la visión frontal del aula. Aula sin podium. Buena distribución de los estudiantes, últimas dos filas vacías

4. DATOS DEL DESTINATARIO/AS

Destinatario /as: Estudiantes de tercer curso de la licenciatura en psicología.
Nº Asistentes: 18 **Nº Hombres:** 10 **Nº Mujeres:** 8

5. RECURSOS UTILIZADOS

Presentación ppt Vídeo DVD Audio CD Micrófono de mano Pizarra BB
 OHP Vídeo cinta Audio Casete Micrófono de solapa Pizarra WB
 Handout Audio DVD Micrófono de mesa
 Otros recursos: _____

6. ACTUACIÓN DEL HABLANTE:

Tipo de presentación: Hablante explica leer leer y explica Otro: _____
Situación: Hablante se mueve de pie sentado/a Otra: _____

7. DATOS DISCUSIÓN:

No hay discusión

Hay discusión: durante el acto discursivo al final del acto discursivo al final de la sesión/panel
Nº intervenciones: **Hombre/s** 23 **Idioma¹:** ES/C **Estatus²:** E
Mujer/es 10 ES/C E
Desconocido 0 _____ _____
Total 33

¹ I = inglés, ES = español, C =Catalán, otro (describirlo)

² PR = profesor, P = participante, E = estudiante, D = desconocido, otro (describirlo)

8. INFORMACIÓN RELEVANTE REFERENTE AL CONTENIDO DEL ACTO COMUNICATIVO

Inicio La profesora sitúa a los estudiantes dentro del temario sobre lo que verán próximamente y donde se encuentran.
Fin Se invita a los estudiantes a hacer un descanso.
Referencia externa Referencia social local: a asociaciones de participación ciudadana en los municipios adyacentes.

9. DATOS DE LA GRABACIÓN

Tiempo de grabación (min): 49' Transcripción **Nº palabras** 5,671
Equipo de grabación: Grabadora minidisc digital

10. INCIDENCIAS

La profesora informa a los estudiantes que la sesión va a ser grabada para una investigación.

**FICHA DE OBSERVACIÓN
PARA AUDIO Y
VIDEOGRABACIONES**

 PROYECTO MINISTERIO
(HUM2004-02599/FILO) 2006


CÓDIGO ID:	LE10
FECHA DE OBSERVACIÓN:	23/02/2005
GÉNERO:	<input checked="" type="checkbox"/> Clase magistral <input type="checkbox"/> Comunicación <input type="checkbox"/> Conferencia <input type="checkbox"/> Seminario <input type="checkbox"/> Otros: _____
OBSERVADOR/A:	Begoña Bellés Fortuño
GRABACIÓN:	<input checked="" type="checkbox"/> Audio <input type="checkbox"/> Audio y vídeo

1. DATOS DEL ACTO COMUNICATIVO:

Título del acto comunicativo / asignatura: Lingüística

Tipología de la asignatura: TR OBL LC

Titulación y curso: Filología inglesa. 1er curso

Área de interés: Ciencias humanas y sociales
 Ciencias jurídicas y económicas
 Tecnología y ciencias experimentales

Idioma: Inglés Español Otros _____

Hora: 12 h **Duración (min):** 60'

Orden en el programa: Tema: "Comunicación primates en libertad"

2. DATOS DEL HABLANTE:

Estatus Académico: Estudiante 3rd ciclo Profesor/a Otro: Catalán

Nacionalidad: Española

Lengua Materna Inglés Español Otra: _____

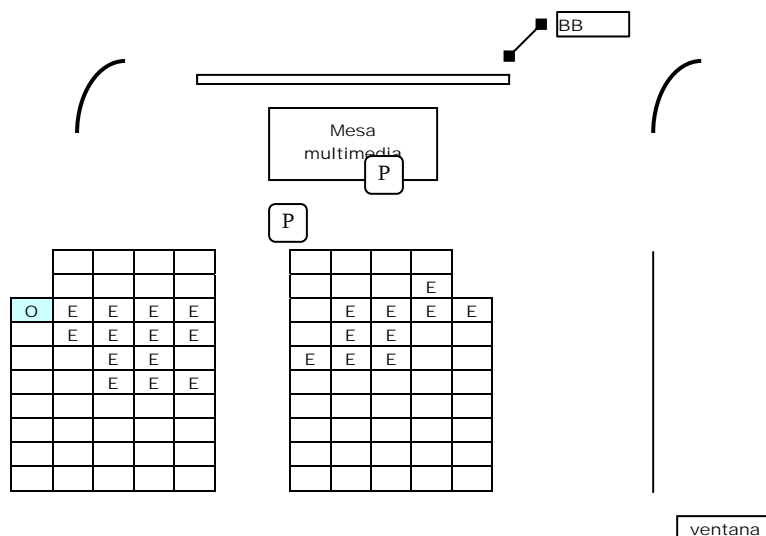
Edad: 25-30 31-35 36-40 41-45 46-50 51-55 56-60 >

Sexo: Mujer Hombre

3. DATOS EMPLAZAMIENTO:

Lugar: Universitat Jaume I, Facultat de Ciències Humanes i Socials

Tipo de aula: Aula de clase Aula magna Seminario
 Laboratorio Otro: _____

Distribución aula (dibujar la distribución):


BB = pizarra, O = observador, P = profesor, E = estudiante

Otra información relevante (mesas móviles o no, sillas, etc.):

Aula al mismo nivel. Últimas filas vacías. Es un aula de poca capacidad.

4. DATOS DEL DESTINATARIO/AS**Destinatario /as:** Estudiantes de primer curso de la licenciatura en filología inglesa.**Nº Asistentes:** 23 **Nº Hombres:** 6 **Nº Mujeres:** 17**5. RECURSOS UTILIZADOS**

- Presentación ppt Vídeo DVD Audio CD Micrófono de mano Pizarra BB
 OHP Vídeo cinta Audio Casete Micrófono de solapa Pizarra WB
 Handout Audio DVD Micrófono de mesa
 Otros recursos: Ninguno

6. ACTUACIÓN DEL HABLANTE/S:

Tipo de presentación: Hablante explica leer leer y explica Otro: _____
Situación: Hablante se mueve de pie sentado/a Otra: _____

7. DATOS DISCUSIÓN: No hay discusión

Hay discusión: durante el acto discursivo al final del acto discursivo al final de la sesión/panel

Nº intervenciones:	Hombre/s	<u>7</u>	Idioma¹:	<u>ES</u>	Estatus²:	<u>E</u>
	Mujer/es	<u>12</u>		<u>ES</u>		<u>E</u>
	Desconocido	<u>5</u>		<u>ES</u>		<u>E</u>
	Total	<u>24</u>				

¹ I = inglés, ES = español, otro (describirlo)² PR = profesor, P = participante, E = estudiante, D = desconocido, otro (describirlo)**8. INFORMACIÓN RELEVANTE REFERENTE AL CONTENIDO DEL ACTO COMUNICATIVO**

Inicio El profesor revisa los conceptos de la sesión anterior y los une a la sesión en curso.

Fin El profesor intenta resumir los contenidos de la sesión y propone una posible pregunta de examen.

Referencia externa Referencia cultural: el profesor explica el significado de la palabra prevaricación y su correcta ortografía.
Referencia local interna 1: el profesor ejemplifica haciendo referencia a un vídeo sobre primates que fue visionado en el aula en sesiones anteriores.
Referencia local interna 2: en repetidas ocasiones el profesor refiere al examen y su posible contenido.

9. DATOS DE LA GRABACIÓN**Tiempo de grabación (min):** 49' Transcripción **Nº palabras** 8,093**Equipo de grabación:** Grabadora minidisc digital**10. INCIDENCIAS**

El profesor informa a los estudiantes que la sesión va a ser grabada para una investigación.

**FICHA DE OBSERVACIÓN
PARA AUDIO Y
VIDEOGRABACIONES**

 PROYECTO MINISTERIO
(HUM2004-02599/FILO) 2006


CÓDIGO ID:	LE11
FECHA DE OBSERVACIÓN:	13/05/2003
GÉNERO:	<input checked="" type="checkbox"/> Clase magistral <input type="checkbox"/> Comunicación <input type="checkbox"/> Conferencia <input type="checkbox"/> Seminario <input type="checkbox"/> Otros: _____
OBSERVADOR/A:	Ninguno*
GRABACIÓN:	<input checked="" type="checkbox"/> Audio <input type="checkbox"/> Audio y vídeo

1. DATOS DEL ACTO COMUNICATIVO:

Título del acto comunicativo / asignatura: Lenguaje publicitario

Tipología de la asignatura: TR OBL LC

Titulación y curso: Licenciatura en publicidad y relaciones públicas. 2º curso

Área de interés: Ciencias humanas y sociales
 Ciencias jurídicas y económicas
 Tecnología y ciencias experimentales

Idioma: Inglés Español Otros _____

Hora: 12 h **Duración (min):** 60'

Orden en el programa: No hay datos

2. DATOS DEL HABLANTE:

Estatus Académico: Estudiante 3º ciclo Profesor/a Otro: _____

Nacionalidad: Española

Lengua Materna Inglés Español Otra: _____

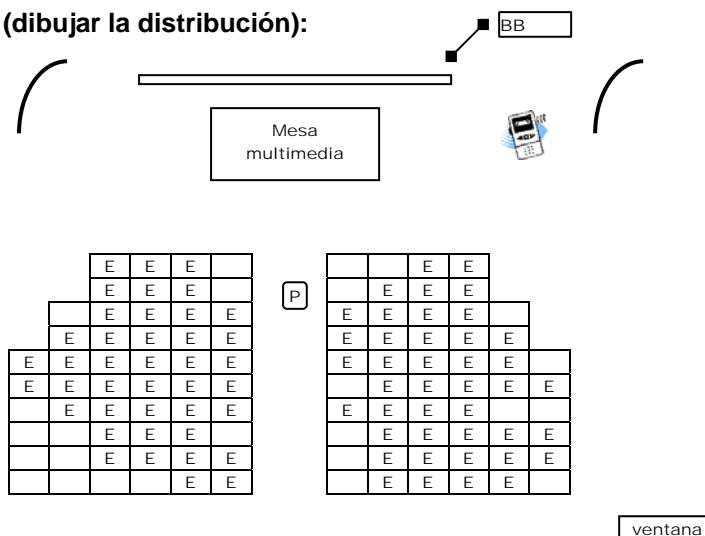
Edad: 25-30 31-35 36-40 41-45 46-50 51-55 56-60 ~

Sexo: Mujer Hombre

3. DATOS EMPLAZAMIENTO:

Lugar: Universitat Jaume I, Facultat de Ciències Humanes i Socials

Tipo de aula: Aula de clase Aula magna Seminario
 Laboratorio Otro: _____

Distribución aula (dibujar la distribución):


* No hay presencia de observador en el aula, el profesor graba su propia sesión.

BB = pizarra, P = profesor, E = estudiante

Otra información relevante (mesas móviles o no, sillas, etc.):

El área de pupitres se encuentra distribuida en pendiente para facilitar la visión frontal del aula. Aula sin podium. Buena distribución de los estudiantes.

4. DATOS DEL DESTINATARIO/AS**Destinatario /as:** Estudiantes de segundo curso de la licenciatura en publicidad y relaciones públicas**Nº Asistentes:** 83 **Nº Hombres:** 49 **Nº Mujeres:** 34**5. RECURSOS UTILIZADOS**

- Presentación ppt Vídeo DVD Audio CD Micrófono de mano Pizarra BB
 OHP Vídeo cinta Audio Casete Micrófono de solapa Pizarra WB
 Handout Audio DVD Micrófono de mesa
 Otros recursos: _____

6. ACTUACIÓN DEL HABLANTE/S:

Tipo de presentación: Hablante explica leer leer y explica Otro: _____

Situación: Hablante se mueve de pie sentado/a Otra: _____

7. DATOS DISCUSIÓN: No hay discusión

Hay discusión: durante el acto discursivo al final del acto discursivo al final de la sesión/panel

Nº intervenciones:

Hombre/s	<u>2</u>	Idioma¹:	<u>ES</u>	Estatus²:	<u>E</u>
Mujer/es	<u>2</u>		<u>ES</u>		<u>E</u>
Desconocido	<u>-</u>				
Total	<u>4</u>				

¹ I = inglés, ES = español, otro (describirlo)² PR = profesor, P = participante, E = estudiante, D = desconocido, otro (describirlo)**8. INFORMACIÓN RELEVANTE REFERENTE AL CONTENIDO DEL ACTO COMUNICATIVO****Inicio** No hay datos**Fin** No hay datos**Referencia externa** No hay datos**9. DATOS DE LA GRABACIÓN****Tiempo de grabación (min):** 40' Transcripción **Nº palabras** 5,379**Equipo de grabación:** Grabadora casete analógica**10. INCIDENCIAS**No procede

**FICHA DE OBSERVACIÓN
PARA AUDIO Y
VIDEOGRABACIONES**

PROYECTO MINISTERIO
(HUM2004-02599/FILO) 2006



CÓDIGO ID: LE12

FECHA DE OBSERVACIÓN: 17/05/2005

GÉNERO:

Clase magistral Comunicación Conferencia

Seminario Otros: _____

OBSERVADOR/A: Begoña Bellés Fortuño

GRABACIÓN: Audio Audio y vídeo

1. DATOS DEL ACTO COMUNICATIVO:

Título del acto comunicativo / asignatura: Documentación informativa

Tipología de la asignatura: TR OBL LC

Titulación y curso: Publicidad y Relaciones Públicas. 1er curso

Área de interés: Ciencias humanas y sociales
 Ciencias jurídicas y económicas
 Tecnología y ciencias experimentales

Idioma: Inglés Español Otros _____

Hora: 18 h **Duración (min):** 120'

Orden en el programa: No hay datos

2. DATOS DEL HABLANTE:

Estatus Académico: Estudiante 3^{er} ciclo Profesor/a Otro: Catalán

Nacionalidad: Española

Lengua Materna Inglés Español Otra: _____

Edad: 25-30 31-35 36-40 41-45 46-50 51-55 56-60

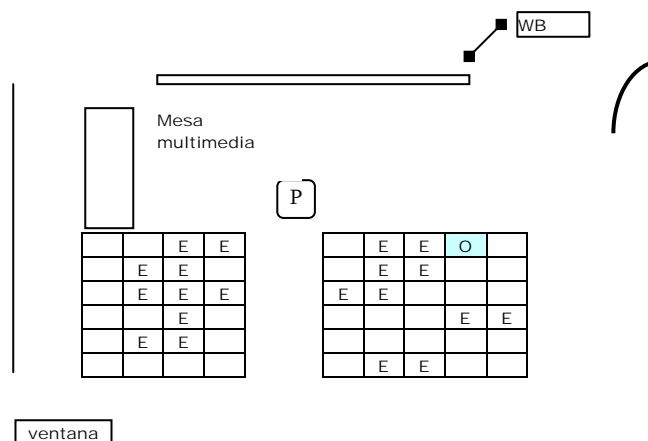
Sexo: Mujer Hombre

3. DATOS EMPLAZAMIENTO:

Lugar: Universitat Jaume I, Facultat de Ciències Humanes i Socials

Tipo de aula: Aula de clase Aula magna Seminario
 Laboratorio Otro: Aula de informàtica

Distribución aula (dibujar la distribución):



BB = pizarra, O = observador, P = profesor, E = estudiante

Otra información relevante (mesas móviles o no, sillas, etc.):

Aula al mismo nivel. Es un aula de poca capacidad. Todas las mesas con ordenador.

4. DATOS DEL DESTINATARIO/AS

Destinatario /as: Estudiantes de primer curso de la titulación en publicidad y relaciones públicas.

Nº Asistentes: 21 Nº Hombres: 9 Nº Mujeres: 12

5. RECURSOS UTILIZADOS

Presentación ppt Vídeo DVD Audio CD Micrófono de mano Pizarra BB
 OHP Vídeo cinta Audio Casete Micrófono de solapa Pizarra WB
 Handout Audio DVD Micrófono de mesa
 Otros recursos: _____

6. ACTUACIÓN DEL HABLANTE:

Tipo de presentación: Hablante explica leer leer y explica Otro: _____
Situación: Hablante se mueve de pie sentado/a Otra: _____

7. DATOS DISCUSIÓN: No hay discusión

Hay discusión: durante el acto discursivo al final del acto discursivo al final de la sesión/panel

Nº intervenciones:	Hombre/s	<u>2</u>	Idioma¹:	<u>ES</u>	Estatus²:	<u>E</u>
	Mujer/es	<u>2</u>		<u>ES</u>		<u>E</u>
	Desconocido	<u>4</u>		<u>ES</u>		<u>E</u>
	Total	<u>8</u>				

¹ I = inglés, ES = español, otro (describirlo)² PR = profesor, P = participante, E = estudiante, D = desconocido, otro (describirlo)**8. INFORMACIÓN RELEVANTE REFERENTE AL CONTENIDO DEL ACTO COMUNICATIVO**

Inicio La profesora empieza situando el temario según las dispositivas de *power point* en pantalla.

Fin La profesora avanza la próxima sesión práctica.

Referencia externa Referencia externa a empresas de creación de páginas web, por ejemplo: Infoadex, Sofres.
Referencia local interna: la profesora avanza los posibles contenidos del examen.

9. DATOS DE LA GRABACIÓN

Tiempo de grabación (min): 33' Transcripción Nº palabras 5,284
Equipo de grabación: Grabadora minidisc digital

10. INCIDENCIAS

El profesor informa a los estudiantes que la sesión va a ser grabada para una investigación.
La sesión es interrumpida durante 10 minutos para hacer la evaluación del profesor.