

Jordan University College

THE REFLECTION MEDIUM

AFRICA TOMORROW

Inculturation is a difficult and delicate task,
since it raises the question of the Church's
fidelity to the Gospel and the Apostolic Tradition
amidst the constant evolution of cultures.

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Editorial

Dear Readers, we are pleased to present to you issue number 24 of *Africa Tomorrow*.

As I peruse the articles that we at Jordan University College in Morogoro are presenting to you, an incident from the past – it was about 1987 – comes to mind. There were seven of us at table for the midday meal. Present among us was St. Teresa of Kolkata (then known as Mother Teresa). The Brothers were conversing about issues that we thought would interest Mother Teresa.

The conversation went like this:

“There seems to be tragedy after tragedy in Armenia.”

“Turkey seems to be no different.”

“Rwanda and Burundi are still suffering tribal tensions.”

“The people of Hong Kong have to suffer when they sleep because the market is filled with people all twenty-four hours of the day. They say it is the noisiest market in the world. And there are thousands of people who live very close to the market. How can they sleep?”

“The people of Calcutta continue to suffer extreme poverty with many people dying on the street. The hospitals are not accepting the people who are very sick.”

“There are many people now dying from HIV-AIDS in New York – I wonder if the epidemic started in San Francisco.”

Mother Teresa remained silent during this conversation. Eventually the comments of the others at table about cities and countries that seemed to have roads, alleyways, mountain nooks, and trash heaps littered with the tragedies, crises, disappointments, discouragement, loneliness, helplessness, and hopelessness that can dampen the dreams and aspirations of the street children, the elderly, the disabled, the orphans, the lepers and those apparently doomed to live outside the range of the human family’s tender love and thoughtful attention – after some time, the comments subsided.

Mother Teresa then broke her silence, “I am completely confused by this conversation.”

One of the Brothers asked her, “What is confusing you, Mother?”

She replied: "I never think of people from this country or that country, from this city or that city. All I can think of is 'There is my brother', 'There is my sister.' I only know that Jesus is the one who is thirsting for my love. His tender, faithful love is enough for me. I love Jesus very much. Especially when I meet Him in the distressing disguise, I know He is thirsting for my love."

She continued, "When I see Jesus in the distressing disguise of the leper man from Titaghar, or the woman who is dying without medicine from AIDS, I can only think that I am not worthy to suffer the way they are suffering. Whatever I do for that brother or that sister, I am doing it for Jesus, with Jesus, and especially to Jesus."

This does not mean that St. Teresa of Kolkata was without a sense of humor. She told us on a number of occasions that she was sitting one evening with a woman in a taxi cab who was quite intoxicated with liquor. The woman showed obvious signs of embarrassment because of her heavy drinking. Mother looked with wonderment at the woman who was looking with amusement at Mother Teresa. The woman guessed what Mother was thinking and was aware that Mother was a Catholic Sister.

"Jesus gave the bride and groom wine to drink at Cana, did He not?"

Mother smiled and nodded affirmatively, "Yes, He did."

"My friends gave me wine to drink tonight."

Mother laughed a hearty laugh, not only there in the taxicab but also with us as she retold the story time and time again. Mother's desire was to alleviate the painful feeling of humiliation that the wine drinker was experiencing.

Mother Teresa told us that one time she was needing food and medicine for the abandoned and destitute children whom she was sheltering in the Shishu Bavan. She was begging on the street and saw a wealthy man who seemed to be an enterprising up-and-comer. She held out her right hand, and said to the man, "Sir, could you please help me with a little something for the children who have come to me from the street?"

The man looked at her quizzically and spit into her hand. She carefully closed her hand with the man's spittle inside it and then said, "Sir, this gift is for me", and she held her closed hand over her heart.

Then she held out her left hand, and said: “Now, sir, could you please give something to me for my children?”

The man was surprised at both her humility and her audacity. He proceeded to give her a handsome donation.

The point of the incident that I just narrated about Mother Teresa’s humiliation when the wealthy man spat into her hand was not that all of us should give donations. On the contrary, the point was that in accepting the rich man’s spittle and then his magnanimous donation, she knew she was accepting gifts from her own brother. And in her brother’s surprised facial expression, she recognized Jesus.

She often would tell us, “Make sure, brothers and sisters, that you grab the chance. If someone says something or does something to humiliate you, accept it with a smile. Jesus accepts the humiliation you suffer, and Jesus accepts you who are suffering it, so that you can be humble like your Mother Mary and be holy like Jesus.”

It was quite noticeable that when Mother prayed during the Holy Eucharist at the moment of the petitions of the faithful, she would not necessarily pray for the hungry, the homeless, or those were suffering sickness or imprisonment. She prayed often for those who would feel alone and humiliated: “For those who are unloved, abandoned, rejected, and forsaken, we pray to the Lord.”

The present issue presents articles that touch upon the universal brotherhood and sisterhood to which God calls each of us. Often the articles that we are offering to you are presenting obstacles to the sense of family that God wants us to share with each other.

If we are to abide in the Spirit of Jesus, we are to abide in the Truth: this is the measure of the Honorable Nancy Harris Vaidik, Rebecca Diaz-Bonilla, indeed, all the authors of our current issue, Mother Teresa, the Mother of Jesus, and Jesus himself, our God in the disguise of a simple and humble carpenter, the God who accepted the excruciating humiliation of the Cross – the Truth is our Way and our Life. It should be the measure of all of us: as Pope St. John Paul II, who is at the center of the last article, repeated often, we are to make all our choices according to the parameters of truth and love.

On the title page of each article, we have identified, as closely as possible, the field of research that seems most relevant to the content. The first article, for example, is obviously focusing on matters that are ordinarily the concern of every practicing lawyer. Written by an Appellate Judge from Indiana in the United States, and by a legal consultant for the sovereign state of Qatar, who also brings her legal expertise to the table in many international settings where fragility and crisis seem to be the order of the day, their article is meant to saddle us in the truth and unsaddle those who are bent on revenge, looking for someone to accuse, rationalizing their own behavior to save themselves from humiliation even though their attitude and conduct are irreconcilable with the spirit of brotherhood, and the craving to humiliate opponents.

Two articles that exert a kind of magnetic force on those who desire to accept each person as a brother or as a sister, are the last two articles that appear in this issue. Kaninwa Mwelwa and Marcel Mukadi, both Salvatorians, present a survey that investigates the belief of certain groups of Christians and two non-Christian groups in the Triune God, the God who lives eternally as three persons living in consubstantial unity. The picture of the Trinity for those who believe coincides with the image of the human race as a family created in the image and likeness of the Trinity in the unity of the persons (hypostases).

In the last article we discover Saphina Masonda and Marcel Mukadi's inquiry into the Catholic Charismatic Renewal. Saphina makes mention of four charismatic Catholic leaders that are not members of the Renewal but nevertheless were given a place of privilege in the universal Church on the Eve of Pentecost in the Year of the Holy Spirit, 1998. One of the four – admired and praised by Pope St. John Paul II – was Jean Vanier, the founder of L'Arche. L'Arche is a family that consists of the physically and mentally disabled, often the outcasts of society, that live as brothers and sisters in many countries of the world. When they came to L'Arche, they were exceedingly poor. Jean Vanier made the important observation that the Poorest of the Poor are the ones who unite people of all religions in their experience of God's love for them and in their desire to give love in return. Marcel Mukadi brings to light in a personal article of his that God's intention that

we live as a family finds a foothold in the natural world – a world that is available to everyone – in the presence of elements such as fire, water, olive oil, bread, and wine that becomes transubstantiated into God’s Body and Blood – the sacramental presence of the God who is Lord of all. Jean Vanier responds to God’s love with a gift of gratitude that confirms him in the sacramentality of which we speak: his Communion with God in his daily Eucharistic reception of His Body and Blood.

Some articles, such as the two I just mentioned, may pertain to more than one field of research. The last two articles, for example, involve social scientific surveys that strive to unearth the opinions, reactions, perceptions, beliefs and convictions of the respondents that carry with them the influence of their social milieu and may not necessarily connect to what God has revealed about himself, about us, and about our destiny. Nevertheless, the topics of the surveys include theological notions that pertain to divine revelation. These are theological truths that cannot be comprehended by surveys since, more often than not, they deal with topics that are not accessible to human reason. Hence, these articles are labeled “Theology/Psychology”.

Flora Malaso, on the other hand, attempts to show how those who are not consciously striving to see one’s sister as God sees her can easily fall into a personal trap of making judgments about non-physical dimensions of the human person, for example, the ability to befriend others, simply by gazing upon the physical features of the person as photographs would present her.

Thomas Marwa quite insightfully describes political systems that fall into the same kind of trap. Governments of very populated countries or states can decide that they are the ones who are going to judge who deserve to live, who deserve to die, and who should be coerced to fall into lockstep with the regime. A government without a family-centered morality – i.e., a God-centered morality – is hardly going to swim in the stream of respect and dignity of each person as a potential brother or sister.

M. Maxim, M. Albiman, and M. Mukadi, present what seem to be specific impediments to the collection of the Value Added Tax. The government here in Tanzania is quite disposed to be just and thoughtful about the manner of conducting the tax appraisal and

collection. The article attempts to specify what is necessary to improve the collection on all fronts in order to make the implementation of the tax respectful for all Tanzanian citizens.

There remains, however, a constant thread that hopefully gives a firm and stable fiber to the fabric of issue number 24 of *Africa Tomorrow*. It is the focus of George Ndemo's article. This constant thread seems meaningfully and authoritatively expressed by Archbishop Desmond Tutu, a winner of the Nobel Peace Prize and chairperson of South Africa's Truth and Reconciliation Commission (cf. *No Future without Forgiveness*, 1999, pp. 31-32):

Ubuntu is very difficult to render into a Western language. It speaks of the very essence of being human. When we want to give high praise to someone we say, "*Yu, u nobuntu*"; "Hey, so-and-so has *ubuntu*." Then you are generous, you are hospitable, you are friendly and caring and compassionate. You share what you have. It is to say, "My humanity is caught up, is inextricably bound up, in yours." We belong in a bundle of life. We say, "A person is a person through other persons." It is not, "I think therefore I am." It says rather, "I am human because I belong, I participate, I share." A person with *ubuntu* is open and available to others, affirming of others, does not feel threatened that others are able and good, for he or she has a proper self-assurance that comes from knowing that he or she belongs in a greater whole and is diminished when others are humiliated or diminished, when others are tortured or oppressed, or treated as if they were less than who they are.

Harmony, friendliness, community are great goods. Social harmony is for us *the summum bonum* – the greatest good. Anything that subverts, that undermines this sought-after good, is to be avoided like the plague. Anger, resentment, lust for revenge, even success through aggressive competitiveness, are corrosive of this good. To forgive is not just to be altruistic. It is the best form of self-interest. What dehumanizes you inexorably dehumanizes me. It gives people resilience, enabling them to survive and emerge still human despite all efforts to dehumanize them.

The Editor

LAW

Oral Advocacy in Motion Practice: Facts¹

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Introduction

Let us begin by addressing the number one question asked about discussing facts during a motion hearing: *Should you even talk about the facts?* After all, the facts are described in the pleadings and presumably the court has read them. And besides, judges often dismiss attorneys during their fact recitation with, “I know the facts, counsel. Proceed.”

Facts must be a part of your motion argument. Facts matter. Facts are persuasive. Facts drive decisions.³ Facts tell us who wins or who loses. Facts are also subject to interpretation. You want

¹ This chapter on “Facts” from the book *Point Well Made: Oral Advocacy in Motion Practice* is reprinted with the permission of the authors. The book itself was published in 2016 by the National Institute for Trial Advocacy (Boulder, Colorado, USA).

² For full profiles of these co-authors see the Appendix that follows this article.

³ Louis Brandeis, later an Associate Justice on the United States Supreme Court, is known for writing the Brandeis Brief that consisted of 100 pages – ninety-eight pages devoted to the facts and two pages to the law.

the judge to view the facts through your prism – to place your spin on what occurred and why.

Not talking about the facts during the hearing is like not talking about the facts to jurors during a closing argument. But at least with jurors, you know they have heard the facts during testimony and foreshadowed during the opening statement. With a judge, however, you never can be sure that he has read the papers in advance – and you certainly do not want to be so impertinent as to ask the judge if he has read them.

You are the expert of the facts, not the court. *You* have lived with your client's cause; the judge has not. *You* have interviewed your client and the witnesses, attended depositions, seen the documents and exhibits supporting your client's position; the judge has not. A persuasive presentation of the facts is vital to the success of any motion.

Look at any well-written appellate decision. After reading the facts, you should know who wins. You may not know until you have read the decision in its entirety *why* the party wins, but you will know *who* wins. Let us look at Justice Elena Kagan's recitation of the facts in *Miller v. Alabama*.⁴ Evan Miller received a mandatory sentence of life without parole. The issue was whether a mandatory sentence of life without parole for a juvenile offender violated the Eighth Amendment's prohibition against cruel and unusual punishment. Justice Kagan recites the facts as follows:

Evan Miller was 14 years old at the time of his crime. Miller had by then been in and out of foster care because his mother suffered from alcoholism and drug addiction and his stepfather abused him. Miller, too, regularly used drugs and alcohol; and he had attempted suicide four times, the first when he was six years old.

One night in 2003, Miller was at home with a friend, Colby Smith, when a neighbor, Cole Cannon, came to make a drug deal with Miller's mother. The two boys followed Cannon back to his trailer, where all three smoked marijuana and played drinking games. When Cannon passed out, Miller stole his wallet, splitting about \$300 with Smith. Miller then tried to put the

⁴ *Miller v. Alabama*, 132 S. Ct. 2455 (2012).

wallet back in Cannon’s pocket, but Cannon awoke and grabbed Miller by the throat. Smith hit Cannon with a nearby baseball bat, and once released, Miller grabbed the bat and repeatedly struck Cannon with it. Miller placed a sheet over Cannon’s head and told him, “I am God, I’ve come to take your life,” and delivered one more blow. The boys then retreated to Miller’s trailer but soon decided to return to Cannon’s to cover up evidence of their crime. Once there, they lit two fires. Cannon eventually died from his injuries and smoke inhalation...

Relying in significant part on testimony from Smith, who had pleaded to a lesser offense, a jury found Miller guilty. He was therefore sentenced to life without the possibility of parole.

Did fourteen-year-old Miller win his appeal? Of course. Why did Justice Kagan introduce Miller as a fourteen-year-old who was in and out of foster homes because of his addicted mother and abusive stepfather? Before we learn of Miller’s crime, why are we told that Miller attempted suicide four times, the first at age six? We know why. Facts drive the justice of the case. Facts convince us why fairness lies with one party or another. We know from reading the Justice’s delivery of the facts that imposition of a mandatory life sentence on Miller would be unjust.

During your preparation, you created a factual theory. The factual theory explained why the facts compelled a result for you. This chapter offers techniques to persuasively present your facts to the court during the motion hearing so that the court will want to decide for your client.

Exercise

Read trial court or appellate court opinions. Begin with the facts. After reading the facts but before the analysis, try to decide who won. Consider what facts brought you to your conclusion and then check to see if you guessed correctly.

1.0 Context before Facts

Give context for the facts before you recite them. In other words, do not start out your argument with “The facts of the case are...” Chances are, if you begin with your presentation this way, the judge will stop you. Instead, tell the court why the facts are

important before reciting them. For example, “Mr. Blackburn drove home safely and followed every rule of the road. The police officer had no reasonable suspicion to stop him and no probable cause to search his car.” Telling the court upfront allows the court to understand the facts in the context of the issue. Otherwise, the judge is asking himself, “Why is this important? Why are you telling me this?”

2.0 Facts, Not Conclusions

Facts are convincing, conclusions are not. We can see facts but cannot see conclusions. Facts lead a judge to his own conclusion. No judge likes to be forced into a corner. To persuade the judge, lead him to agree with the facts you develop. Keep to the facts, not conclusions.

Imagine you are at a hearing asking the court to compel discovery in a case. You argue that the defence has been dilatory in its responses. What does that mean? As a conclusion, the meaning is subjective to the listener. What is dilatory to one person may not be dilatory to another. Instead, set out the facts:

Your Honor, we asked the other side for these documents six months ago. They were due five months ago. We did not receive them. So I called opposing counsel. He said I would receive them in one week. I did not receive them in a week, so the next week I wrote a letter to him again asking for the documents. I heard nothing. I called again. Still nothing. One month later, I filed this motion to compel discovery. Still nothing. Five months after these documents were due, and after repeated attempts to receive these documents, still nothing.

These facts can be seen by the judge. You are not merely moaning in a conclusory manner that you have been stonewalled by opposing counsel. The details convince the judge.

3.0 Could've, Would've, Should've

Facts include what did occur as well as what did not occur. Think about what could have or should have been done, but did not happen. Once you think through the possible choices that were not made, point them out. Take this simple discovery dispute as an example:

Your Honor, the court ordered discovery to be completed on 1 June. I sent a set of interrogatories and a request for production of documents to opposing counsel on 1 January. They were due by 28 February. I talked to opposing counsel on the phone two weeks later. He told me I would have the responses the next week. The next week came, and he could have called me to tell me he couldn't make the deadline. He didn't, so I wrote a letter asking again for his responses. He could have told me he needed another thirty days to respond, and I would have had no objection. He didn't. He could have told me his administrative assistant was sick, and I would have understood. He didn't. He could have told me his dog ate the documents, and I would have extended his deadline. He didn't.⁵ He could have asked to have the discovery schedule changed by agreement. He didn't.

This tactic requires the creative genius of the attorney and can be used in many types of motion hearing. In a motion-to-dismiss hearing for failure to state a claim upon which relief can be granted, you can list all the facts that were not alleged in the complaint. In a *Daubert* hearing, specify all that an expert could have done, but did not. Did the expert conduct his own investigation, or rely on the raw data of another? What test did the expert use, and not use? In a motion to suppress evidence in a criminal case, what could, or should, the police have done but did not? Did the police talk to this witness, or that? Did the police take fingerprints, record a confession, or send the samples for analysis? In your motion to dismiss for lack of personal jurisdiction, specify the contacts the company did not have with the state.

Search for the omissions. What is missing is many times as important as what is there. Include those crucial omissions in your factual analysis.

4.0 Crucial Facts Only

Distil the facts to the crucial facts relevant to the motion. Tell the story of your motion and not the story of your case. Delete facts that are not important. Be picky; do not dump data on the court.

⁵ Okay, I'm adding a bit of humor. But sometimes adding a slight, sarcastic bit of humor is a better way to register your complaint about opposing counsel than to adopt a whiny tone.

Otherwise, the important facts of the motion are lost in a morass of irrelevant facts. You have only limited time before the court, so use it wisely. Otherwise, the judge will become disinterested – or worse, aggravated.

With each fact on your table of facts, ask yourself, “Is this necessary for the court to know to resolve this motion?”

You may be tempted to include unrelated facts that engender sympathy for your client. Proceed with caution. Overtly appealing to a judge’s sympathy seldom works. Obvious, blatant, and open appeals to emotions may backfire. However, we do know that judges are human beings who are affected by the emotions of a situation. A light sprinkle of emotional facts may be appropriate.

For example, suppose you represent the plaintiff in a negligence case and are arguing against a motion for summary judgment. The issue is duty, but your client was seriously injured in the accident. A brief mention that your client is paralyzed will suffice. A judge does not need to be told repeatedly that your client was seriously injured; he understands. Talking about your client’s injuries any more risks aggravating the judge and potentially hurting your cause. Judges pride themselves on making logical decisions. Of course, sympathy and fairness factor into a judge’s decisions, but clear attempts to appeal to a judge’s emotions usually tell him that your legal argument is weak.

Generally, the more dramatic the facts are, the fewer of them you need and the less emotion you need to inject during delivery. An advocate needs to carefully choose facts when describing a gruesome murder and deliver those selective facts without much emotion. The more intense and dramatic the facts are, the less dramatic you should be. That said, you may need to dress up your facts and dial up the emotion discussing a corporation’s S Corp tax status or the employee benefit dispute within a complicated corporate takeover, or the judge will suffer.

Another common mistake is to delineate every date of every event. Do not start your sentences with the default that “on such and such date, this occurred...” Except for certain motions, such as motions to dismiss because the action was not filed within the statute of limitations or speedy trial motions, dates are not

important. Do not clutter the judge's mind with unnecessary dates. Doing so sends the judge's mind down a path of irrelevancy. He begins to think that the dates are the important facts to remember. Instead, focus on the sequential relationships: what events came first, second, and third. And do the math for the judge to drive home your points. Instead of saying that on 24 June a default judgment was entered and the following year on 23 February a motion to set aside the default was filed, tell the court it was almost eight months after the default judgment before the motion to set aside was filed.

Too many facts are problematic, but so are too few facts. The danger of knowing too much is that you assume the judge shares that knowledge; as a result, you have a tendency to start the story of your motion in the middle. If the judge is not confident, she is unlikely to ask you to backpedal. If the judge does not stop you for clarification, then you have lost the judge. To avoid this, tell your story to someone who has never heard it to ensure that you have not omitted necessary facts. Follow the principle: not too many facts, not too few, just right.

Consider a motion for summary judgment. Imagine you represent a local restaurant, Planet Burger. John Smith sues the restaurant for negligence for breaching its duty of care to its customers. One customer was killed and five were injured, including Smith, when a truck owned by Kenneth Levy crashed into the dining area of the restaurant. Levy also died in the accident. You filed a motion for summary judgment on Planet Burger's behalf alleging that it owed no duty to the plaintiffs because Levy's actions were not reasonably foreseeable.

This story of the motion gives, quite simply, too many facts:

Counsel: Planet Burger is a wholly owned subsidiary of Partial Foods, Inc. Planet Burger was incorporated in 2012. Partial Foods purchased the restaurant premises on 20 July 2012 and rented it to Planet Burger soon thereafter on 31 July 2013. The organic meat restaurant is on the corner of Western and Chicago Avenues in Chicago in the up-and-coming and trendy Ukrainian Village. The restaurant is positioned nine feet from the west side of Western Avenue and nine feet from the north

side of Chicago Avenue. Between the curb and the dining area of the restaurant is a three-foot-wide ditch that is two feet deep, a five-foot-wide sidewalk, and a one-foot-wide grassy area. On both Western and Chicago Avenues, the restaurant's façade is entirely covered with picture windows. Inside the restaurant, tables abut the windows so that the customer may view the city landscape while eating.

On 25 September 2015, at 2:00 a.m., immediately before closing time, ix persons were sitting in dining booths facing Chicago Avenue.

Meanwhile, Kenneth Levy had a fight with his wife at his home at Rockwell Street and Chicago Avenue, which was three blocks away, and left in his 2012 Dodge Charger traveling east down Chicago Avenue. Before he got into his car, Levy had drunk a twelve-pack of beer in the preceding three hours. Their fight was about his frequent drunkenness.

As Levy drove down Chicago Avenue at 45 miles per hour [72.5 kilometers per hour] – 20 miles [32 kilometers] over the speed limit – he crossed the centerline of Chicago Avenue immediately before Western Avenue, and at exactly 2:05 a.m., crashed into the dining area through the picture window facing Chicago Avenue. Jenny West died, as did Levy, before the emergency crew arrived. The other five customers received multiple injuries: Clive Gentry, a broken leg; Paul Bayou, a fractured pelvis; and Kathy Kite, Mandy Lopez, and Henry Aster, minor cuts and bruising.

Levy's autopsy revealed a blood alcohol content of .18. Levy had no insurance, so all the customers sued Planet Burger for negligence alleging that Planet Burger breached its duty of care to them.

This version of the facts wastes time on facts that are unimportant to the question of whether Planet Burger could have reasonably foreseen the accident. It sends the judge on a wild-goose chase through irrelevant matters, such as the relationship between Planet Burger and Partial Foods, Inc.; the dates of incorporation; the dates of purchase of the restaurant; and the injuries sustained by the plaintiffs. These diversions take the court's focus off the main issue, weakening the argument.

Now let's look at sample language with the opposite problem: it divulges too *few* facts:

Counsel: Planet Burger had no duty to the customers of its restaurant. Levy was drunk when he crashed into the dining area of the restaurant through the restaurant windows, causing the plaintiff's injuries. He was speeding. There is no way that Planet Burger could have foreseen Levy's actions.

This rendition of the facts leaves the listener wondering if she came into a story already in progress. Perhaps the judge read the papers before the hearing, but perhaps not. Even so, with a busy docket that day, the judge may not remember the facts of this motion. Counsel assumes the court knows as much about the case as she does. In addition, the skeletal facts fail to paint a picture for the judge that he can remember.

There is a happy medium for you. Not too many facts, not too few... just right:

Counsel: Planet Burger could not have reasonably foreseen that the drunken Kenneth Levy would crash into its building, killing Jenny West and injuring its other customers. Planet Burger is at the corner of Western and Chicago Avenues in Chicago. Here is a diagram of how the restaurant is situated at that corner [*showing a map of the location*]. You can see the restaurant is built on the set-back lines, complying with city ordinance. Planet Burger stays open until 2:00 a.m. every night or until the last customer leaves.

25 September of last year, at 2:00 a.m., it was a busy night at Planet Burger. The six plaintiffs were sitting at booth tables in the dining area immediately next to the windows of the restaurant overlooking Chicago Avenue, when Levy, after fighting with his wife and drinking twelve cans of beer, got behind the wheel of his car, drove eastbound on Chicago Avenue, crossed the center line, went across the westbound lane, jumped the curb, sped across the sidewalk, hopped a three-foot-wide ditch, and crashed through the window, killing one plaintiff and injuring the others. Levy was driving 20 miles [32 kilometers] over the speed limit, with a blood alcohol content of .18, which is over twice the legal limit. Levy died as a result of the crash, with no insurance coverage. The plaintiffs sued Planet Burger for negligence.

Planet Burger could not have foreseen the actions of Levy and thus had no duty to the plaintiffs.

Note that although the “just right” version of the facts has fewer facts than the “too much” version, the “just right” version contains additional facts crucial to the issue of foreseeability. For example, included in the facts are that the restaurant was in compliance with local set-back requirements and that Levy went across the westbound lane, jumped the curb, hopped a ditch, and sped across the sidewalk, before crashing into the restaurant.

Exercise

For every case, practice both zeroing in on the facts and staying broad. Do this once a month. To zero in on the facts, set a three-minute timer on your phone for yourself and describe the facts in detail. To stay broad, re-tell the same set of facts in thirty seconds and force yourself to select the key facts. Audio-record yourself and listen for extraneous facts and ways you can summarize the facts.

5.0 Reasonable Inferences

Stick with the facts in a motion hearing, but that does not mean you cannot make reasonable inferences from the facts. You can, and must, connect the dots for the judge.

For example, in a discovery dispute, if the opposing counsel refuses to provide discovery argue that the court can infer from his conduct that disclosure hurts his case. If a complaint alleging fraud omits that the plaintiff reasonably relied on the defendant’s misrepresentation, then at a hearing on a motion to dismiss, argue that the reasonable inference is that the plaintiff cannot prove reliance. Make the connection for the judge.

6.0 Bad Facts

Some lawyers work very hard to bury bad facts, and yet the bad news always finds a way to be heard. Include the bad facts in your presentation. If you own them, you can spin and minimize them. If you do not, you look afraid of those facts and will lose your credibility. Your case’s credibility is also at risk if you do not explain bad facts from your vantage point.

Your bad facts must come from your mouth. Otherwise, they gain increased importance when they come from the other side. If you do not deal with them, the judge will believe that you cannot. Do not dwell on them; however, include them in your factual presentation. Spend at least three times as much time talking about your good facts than your bad ones. Exceptions do exist, especially for the respondent in a motion who has to tackle the hard issues out of the gate (i.e., from the very start). In general, place bad facts in the middle of your story, surrounded by your good facts.

By way of illustration, assume that counsel represents José Lopez, who is charged with possession of a benzodiazepine without a valid prescription. Lopez was stopped on the interstate because he was speeding. Counsel filed a motion to suppress the pills found in a pill case in a duffel bag in the back seat of the car, claiming Lopez was the victim of profiling. In his police report, the officer states that he searched Lopez’s car because Lopez was sweating and engaged in “furtive” behavior.

Counsel: José’s car was searched because the officer said José was sweating and engaging in furtive behavior. What is furtive behavior anyway? We don’t know because the officer does not explain it in his report. And sweating. Of course he was sweating: the police had stopped him. Most of us are uncomfortable when stopped by the police. José was driving to his mother’s home after receiving a call from her that she had fallen. The officer was looking for drug dealers.

By putting the bad fact upfront – the furtive behavior – counsel gives credibility to the government’s position. Counsel is implicitly saying that José’s furtive behavior is so important that he must talk about it first. Rather, he should lead with his good facts. Also, the above advocate spent most of his time talking about his bad facts and simply tacked on the good facts at the end.

Now examine how counsel can de-emphasize those bad facts.

Counsel: There was no probable cause to search José’s car. José has never been stopped by the police or arrested. He has worked for five years at Menards, stocking shelves. On the day of his arrest, he received a phone call from his mother. She told him that she had fallen and needed his help. Worried about his

elderly mother, José immediately got in his car and headed on I-94. I-94 is a corridor known by the police to be used to transport drugs from Detroit to Chicago. Officer Gray was looking for drug dealers.

Officer Gray saw a Hispanic male, twenty-five years of age, going ten miles over the speed limit. The officer stopped him. José was nervous about his mom and being pulled over, so it is understandable why he was sweating. By all accounts, José gave Officer Gray his valid driver's license and waited patiently in the car while Officer Gray wrote him a ticket. When the officer handed the ticket to José, he asked him to step out of the car and began to search the car. The officer claims that he searched José's car because José was sweating and "engaged in furtive behavior." What is furtive behavior? Even the officer in his report does not designate what it is. The officer was looking for drug dealers and José fit the cultural profile of a typical drug dealer. That's why José was stopped.

This version of the facts explains the defendant's behavior only after painting a favorable picture of José for the court. Note also that much more time was spent on the good facts, as opposed to the bad.

7.0 Overstating the Facts

Do not exaggerate the facts of your case. Your opponent will be sure to let the judge know you are overstating. As a result, the judge will question the strength of your case, because attorneys with strong cases do not need to overstate. More importantly, though, you will lose the trust of the judge.

8.0 Word Choice

Use plain language [Swahili, English, or the language of the court system where you practice law] – simple words that clearly and succinctly convey your meaning. Using English as an example, use "cars," not "vehicles;" "deals," not "transactions;" "before," not "prior to;" "contracts," not "documents;" "sign," not "execute;" "home," not "residence;" "ask," not "inquire;" and the list goes on.

Use words that create pictures in the mind of the judge. "Car" not only is a simpler word than "vehicle," but it conveys an image.

A vehicle could be a tractor, semi-truck, motorcycle, or car. Tom Singer, a trial attorney, a longtime professor of trial advocacy at Notre Dame Law School, and lover of poetry, uses a story about President Franklin D. Roosevelt to make the point that words should be simple. During World War II, President Roosevelt was given a placard to place in over a thousand federal offices. The placard said: “It is obligatory to extinguish all illumination before leaving the premises.” The President’s response? “Why the hell can’t we just say, ‘Put out the lights when you leave’?”⁶

9.0 Exhibits

Study after study confirms the old adage that a picture is worth a thousand words. Sixty-five percent of the population learns visually, yet most communication in a courtroom is auditory. Visual aids increase understanding. Consider a case involving an automobile accident. To see a picture or diagram of where the accident occurred increases the judge’s comprehension. Likewise, looking at a complaint to show its deficiencies assists the judge’s understanding.

Visual aids also make facts more believable. It is one thing to say that a debt was paid in full and quite another to show the cancelled check. Testifying about an agreement is less convincing than seeing and reading it. Visual aids stay with the judge.

Take advantage of such research: create and refer to exhibits to make your important points. When possible and appropriate, increase the court’s understanding by using a visual aid. Maps, diagrams, tables, pictures, models, slideshows, depositions, or affidavit excerpts are all effective.

Some demonstratives will come from the papers you have submitted or witnesses you will call. Others, like slideshows or timelines, will summarize the evidence or law. As a matter of courtesy and efficiency, make sure that you have extra copies for the court, opposing counsel, and witnesses.

Finally, when using the exhibit, use it to enhance, and distract from, your presentation. Do not discuss an exhibit as the judge is

⁶ Bartell, L., *True Stories of Strange Events and Odd People: A Memoir*. Bloomington, IN: iUniverse 2014.

rummaging to find it. Multitasking is difficult for all of us; judges are no different. Before continuing to speak, wait until the judge lets you know that he has found the exhibit and the portion you wish to discuss. Then orient him to the exhibit. Tell him what he is looking at before you highlight a specific portion of the exhibit. If the exhibit is a map, tell him what direction is north. If showing a picture of an accident scene, let him know that the picture was taken immediately after the accident, looking to the south, before you zero in on the skid marks. If it is a document, explain what it is before you turn to paragraph ten. In other words, let him get his bearings before you describe the particulars.

10.0 Creating Visual Pictures

You want the judge to remember your version of the facts of the case. This is the case regardless of whether the judge is taking the decision of your motion under advisement. You want a good image to stick. To make the memory of the facts of your case stay in the judge's mind, create visual pictures with your words.

In *Moonwalking with Einstein*,⁷ Joshua Foer tells the story of how he rose to the finals of the USA Memory Championship. The competition requires the contestants to memorize the order of cards in two decks in five minutes. To perform this Herculean task, Foer assigned a person, place, or action to each card. So, the king of hearts may be Einstein, the eight of diamonds moonwalking, and the three of clubs the Louvre. If the above cards came up, Foer would create in his mind a picture of Einstein moonwalking in the Louvre. Through a series of visual images, he memorized both decks.

All of our brains are made to remember pictures. Judges' brains are too. Paint pictures in the judge's mind by using sensory language – language that helps the judge see, hear, feel, smell, touch, remember, and imagine. During a hearing on a motion to suppress the drugs found in your client's car, paint the picture of your client waiting on the berm of a busy expressway at rush hour in ninety-degree weather for half an hour until the drug dog arrives.

⁷ Foer, J., *Moonwalking with Einstein: The Art and Science of Remembering Everything*. New York: Penguin Press 2011.

Or, in the middle of discovery, paint the mental picture of thousands of banker’s boxes of documents being scanned, digitized, and electronically filed, but a few boxes – those containing bad faith claims – are left on the side. These images will not be forgotten by the judge.

11.0 Creating the Story of Your Motion

Put your facts in a story. If you do not create the story, the judge will. People think in terms of stories. Stories have characters – some good and honorable, others evil and flawed. These characters have reasons why they act as they do.

Stories begin with the characters in a state of calm that is interrupted by trouble. The actors try to resolve the conflict, but cannot. An event occurs or a person swoops in to resolve the difficulty, bringing about a happily ever after. In the end, a moral lesson is learned by all.

Your motions, like all legal disputes, are stories about people. Your audience, the judge, will assign a hero and a villain to the story at hand, and make logical causal connections based on the facts you deliver. Present your motion so the judge reaches the conclusion that your side wears the smart-looking hat while the other side wears the dull one. Avoid calling your client “plaintiff,” “defendant,” “petitioner,” or “respondent.” First, it is confusing to the court. The judge, with each reference, must remember who is who. Second, it dehumanizes your client. Your goal is to make your client likeable. Start by calling her by name and not calling her your “client.” The term “client” emphasizes that you are a hired gun. After all, your relationship to her is not what is important; who she is, what she did, and why she acted as she did is what is important.

Dehumanize the other side, but do not do so by constantly calling them “defendant” or “respondent.” This confuses the judge and is too blatant an attempt to demonize. Instead, call the opposing side by his full name: John Wayne Gacy, for example, or simply his last name, Gacy. Call the opponent by their full corporation name: Campbell Soup Corporation, Inc. or Allstate Fire and Casualty Insurance Corporation, Inc. But after that first

time, shorten the name to a commonly used word or phrase – Campbell’s or Allstate – so you do not get tongue-tied.

This is not to say you may not judiciously call the opposing party *plaintiff*, *defendant*, *petitioner*, or *respondent*. At times, the reference clarifies matters or strengthens your argument: “This is the twentieth discovery motion brought by the petitioner. Each and every time, this court has dismissed the motion. Here we are again.”

Let us reexamine Justice Kagan’s *Miller v. Alabama* opinion, discussed earlier in this article. We know that Miller struck Cannon repeatedly over the head with a baseball bat, causing his death. Yet, Justice Kagan humanizes Miller Justice Kagan humanizes Miller Justice Kagan humanizes Miller even while she recognizes his horrendous murder, softening the blow by giving us some context for his conduct.

Justice Kagan also artfully presents the facts so that the reader unconsciously makes a causal connection between Miller’s neglected childhood and his act of murder. Making a causal connection between two events is a natural tendency. It could very well be that young Miller mutilated animals when he was four or committed any number of horrendous acts. But, because we hear only limited facts, we naturally connect those facts as cause and effect. If you do not provide the causal connection for the judge, he will do it himself – and it may not be the connection you want him to make.

In many cases, tell your story in chronological order. Usually, it is easier to follow a story, particularly for the first time, if it is told chronologically. However, stories may also be sequenced by describing the paths of two parties, whose paths then collide. For example, in a motion to suppress hearing, you might begin with the story of your client and his day, followed by the story of the overworked, irritated police officer – with the two then meeting and the misunderstanding that resulted in your client’s unlawful arrest.

Good stories begin with equilibrium, until trouble comes. The trouble may be from an outside source or from one of the actors. The cause of the trouble is generally the person who has the motive

to cause it. Listeners to the story superimpose motives on the actors. Give enough of the facts to the judge so the judge will believe your version of the motives of the parties.

Let us give as an example a case where an insurance company refused to give to its insured some documents showing bad faith claims filed against it. The insurance company did not digitize the records, although other records were automated. The insured wants the court to believe the records were not scanned because the insurance company has a history of bad faith claims to hide. The insurance company wants the court to believe that its motive is purely financial, and that the insured’s motive is to force an unfair settlement. Both side’s story must contain the facts that support their version of the parties’ motivations.

All is well that ends well, and the judge writes the ending: the decision. All good endings have a moral lesson. Here, the message is either “A litigant cannot get away with hiding information” or “Asking for too much, with too little value, at too high a cost is unreasonable.” You want *your* theme to become the moral lesson, which should be the reason the case matters to the judge.⁸

12.0 Speed Crafting

Be cognizant of the rate of your speed when delivering your facts. The rate of speed is the number of words per minute that you speak. Slow talkers speak at 145 words per minute or less, while fast talkers speak at 185 words or more per minute. Many people speak too quickly and need to slow down; far fewer are slow talkers and need to speed up. For now, know that variety of your speech rate keeps a listener interested. If you are consistently slow paced, the listener falls asleep. If you are consistently fast paced, the listener cannot keep up with you and loses interest. Variety maintains interest.

When delivering your facts, when should you slow down and when should you speed up your rate of speech? *Slow down* when you make your most important points. *Speed up* on less important

⁸ For an extended discussion of storytelling, see Phillip N. Meyer’s *Storytelling for Lawyers*. Oxford, United Kingdom: Oxford University Press 2014.

points or when you wish to build momentum or show enthusiasm, passion, or conviction.

Return for a moment to the Planet Burger case in section 1.4 above. Here is a transcript of when counsel should slow down and speed up her delivery.

[Begin at a measured pace.]

Planet Burger could not have reasonably foreseen that the drunken Kenneth Levy would crash into its building, killing Jenny West and injuring its other customers.

[Pause.]

[Quicker pace.]

Planet Burger is at the corner of Western and Chicago Avenues in Chicago. Here is a diagram of how the restaurant is situated at that corner.

[Pause, then at measured, regular pace.] You can see the restaurant is built on the set-back lines, complying with city ordinance [showing map of location].

[Pick up the pace.]

Planet Burger stays open until 2:00 a.m. each night or until the last customer leaves.

25 September of last year, at 2:00 a.m., it was a busy night at Planet Burger. The six plaintiffs were sitting at booths immediately under the windows of the restaurant dining area overlooking Chicago *[measured build in speed to make it sound like there were other out-of-control actions that led to the accident]*, when Levy, after fighting with his wife and drinking twelve cans of beer, got behind the wheel of his car, drove eastbound on Chicago Avenue, crossed the centre line, went across the westbound lane, jumped the curb, hopped a three-foot-wide ditch, sped across the sidewalk, and crashed through the window, killing one plaintiff and injuring the others.

[Slow pace.]

Levy was driving 20 miles per hour over the speed limit, with a blood alcohol content of .18, which is over twice the legal limit.

[Pause. Deliver the next line at a medium pace.]

Levy died as a result of the crash, with no insurance coverage. The plaintiffs sued Planet Burger for negligence.

[*Pause.*]

Planet Burger could not have foreseen the actions of Levy and thus had no duty to the plaintiffs.

Alternatively, to use the facts as a way for theme variation, slow down for the important information. The entire argument is that Planet Burger could not have reasonably foreseen Levy’s actions. Slowly deliver the premise of the argument so that it will resonate with the judge. When the speaker begins to tell the judge about Levy’s actions, the rate of speed should substantially slow down with a pause after each clause: “When Levy [*pause*], after fighting with his wife and drinking twelve cans of beer [*pause*], got behind the wheel of his car [*pause*], drove eastbound on Chicago Avenue [*pause*], crossed the centre line [*pause*], went across the westbound lane [*pause*], hopped a three-foot-wide ditch [*pause*]...” The slow cadence with pauses allows the court to digest the information, see Levy’s actions, and realize there was nothing Planet Burger could have done to stop the accident.

EXERCISE

Practice telling the plot of a movie or TV show in thirty seconds, then in three minutes. Plan where you will slow down your rate of speed for emphasis, and where you will speed up to show enthusiasm and conviction. Time your deliveries. Once satisfied with your ability to manipulate speed effectively, switch topics to the facts of one of your cases.

Appendix

Profiles of the Law Experts who Co-authored “Oral Advocacy in Motion Practice: Facts”

Name: Judge Nancy Vaidik

Email Address: nancy.vaidik@courts.IN.gov

Title: Chief Judge of the Indiana Court of Appeals

Education: J.D. Valparaiso University, B.A. Valparaiso University

Areas of Practice: Litigation

Experience/Background:

Nancy H. Vaidik is the Chief Judge of the Indiana Court of Appeals, the intermediate appellate court for the State of Indiana. She began her career as a prosecutor, trying over 75 jury trials before going into a small-firm private practice specializing in litigation. She served as a trial court judge in northwest Indiana for 8 years immediately prior to her appointment to the appellate court.

She is an adjunct professor at the Indiana University Maurer School of Law and won its 2011 Adjunct Professor of the Year Award. She has had a long association with the National Institute for Trial Advocacy, which honoured her with its 2007 Robert Keeton Faculty Award. Additionally, she has taught at many venues, both nationally and internationally, training lawyers and law students in trial advocacy, evidence, appellate advocacy, and motion practice.

Name: Rebecca Diaz-Bonilla

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Rebecca Diaz-Bonilla is a legal consultant who presently advises the Government of the State of Qatar, United States political enterprises, and corporate stakeholders and their law

firms throughout the European Union, North America, South America, and Asia.

She is a highly specialized communication and political strategist currently advising heads of state, ministers, executive governments, and law firms. With a background in law, Diaz-Bonilla advises clients on how to achieve overall communication and political success through the proper development and delivery of strategy and messaging for campaigns, charm offenses, speeches, bilateral meetings, interviews, panels, crisis communication, and various other presentation genres (see [website](#) for more information).

In a range of industries, either working at the Board of Directors level (for- and non-profit) or the C-management level, Diaz-Bonilla has:

- (i) advised clients through the regulatory, legal, and political complexities of the European Union;
- (ii) coached clients at multilateral organizations and legal teams litigating in the ICJ, Hague, World Trade Organization, and US Supreme Court;
- (iii) coached politicians, legal teams, spokespersons, and diplomats at the United Nations, Human Rights Council, World Trade Organization, US regulatory bodies, US Congress, US Executive Branch, US Department of Justice;
- (iv) guided corporations and investors through BREXIT;
- (v) developed, deployed, and advised on crisis communication plans for reputation, health, environmental, and workplace disasters; and
- (vi) advised clients through the political complexities of the Gulf Cooperation Council.

A convert to the Roman Catholic faith, both in her vocation and in her profession, Rebecca lives by the norms of divine truth and goodness in order to be a faithful harbinger of peace and unity. She is indissolubly united in holy matrimony to her husband Mariano and has graciously accepted from God ten children whom she mothers with a thoughtful love and tireless devotion. She lives her vocation according to the faith God has given her; and with intellectual and moral integrity, she lives her legal profession within the same calling to be a harbinger of peace and unity.

PHILOSOPHY

Politics and Morality: A Liberal Mode, A Totalitarian Mode Or a Self-Established Alternative?

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1.0 Liberalism: Politics as a Morally Neutral Domain

What is the relationship between morality and politics under a liberal tradition? To answer this question, it is necessary to begin by clarifying what liberalism means in general, and then we will focus on some elements or features of the liberal tradition, elements that are explained, supported, and even defended by arguments that we think lead to a conclusion that politics under -+a liberal system is a morally neutral sphere, meaning that it is a sphere in which a sufficient moral judgment cannot be made because there are many competing conceptions of a good life.

It is true that to have any correct understanding of liberalism, it is essential to have a clear insight into its historicity, particularly its origins within the cultural and political background and context that give rise to the word.

Such an historical approach would lead one to discover that it is difficult to identify one unique meaning of liberalism; and it is so because it has variant interpretations depending on which of its features is emphasized.¹ However, that does not mean that there is

¹ The lack of a definite, precise and unequivocal meaning of liberalism is due to variant interpretations of the essential features of liberalism. The meaning of liberalism varies also when historical events are taken into consideration. Such events include the several crises involved in the dissolution of the feudal order in Europe in the sixteenth and seventeenth centuries, the events

a lack of something common in all the variant meanings of liberalism.

Essentially, liberalism has a set of distinctive features which brings to light its modernity (break from previous epochs), and at the same time differentiates it from other modern forms of political and social theories. These distinctive features which have marked the liberal conception of the human person and society at its inception in seventeenth-century England have been altered, re-interpreted and reshaped, but not altered to the point that it can no longer be recognized, even though the societies which had given birth to liberal ideas underwent a renewal and unanticipated challenges.²

The most common understanding is that liberalism as a political theory is an orientation whose central feature among other things asserts the principle of individual freedom.³ In tandem with

surrounding the French and American Revolutions in the last decade of the eighteenth century, the emergence of democratic and socialist mass movements during the second half of the nineteenth century and the rise of totalitarian governments in the twentieth century. As a result, there is a distinction between classical liberalism and neo-liberalism. For this kind of historical approach to understanding liberalism see L. Von MISES, *Liberalism: the Classical Tradition*, edited by Bettina Bien Greaves, Indianapolis: Liberty Fund 2005.

² Cf. R. DWORKIN, "Liberalism" in STUART HAMPSHIRE, *Public and Private Morality*, Cambridge: Cambridge University Press 1978, pp. 113-143. In this essay, Ronald Dworkin distinguishes between the constitutive principles and the derivative principles of liberalism as a political theory. A constitutive political principle of a theory is that element that stands as the "nerve" of that theory and it is valued for its own sake; that which is essential to a theory. Derivative principles of a political theory are the elements that are valued as strategies, as means of achieving the constitutive positions. For Dworkin, the constitutive principle of liberalism is equality; freedom, free market economies, private ownership, and limited government are derivatives principles.

³ This formulation is sufficiently evident in Immanuel Kant, who for example, in his *Fundamental Principles of the Metaphysic of Morals* states that "we have finally reduced the definite conception of morality to the idea of freedom." Cf. I. KANT, *Kant's Critique of Practical Reason and Other Works on the Theory of Ethics*, translated by Thomas Kingsmill Abbott, London: Longmans 1909, p. 67.

individual freedom, liberalism asserts and fosters the principles of free competition and a self-regulating market economy, limited government, and private ownership of means of production. More than representing a political current, liberalism is also an intellectual attitude that emphasizes the positive value of individual freedom intended not as a mere negation of any sort of external authority, but as an autonomy or capacity to obey rational standards resulting from one's own interiority.⁴

Liberalism asserts its commitment to the primacy of the individual human being against the claims of any social collectivity. Under liberal tradition, society is viewed as egalitarian, inasmuch as it confers or promises to confer on all individuals the same moral status and denies the relevance of a legal or political order that promotes inequality in moral worth among human beings.⁵

As a political orientation, liberalism favours and advocates a perfectionist conception of society. Contrary to conceiving human beings as naturally wicked, and society as a natural condition of disorder, many liberals of the 19th century and their predecessors thought the natural condition of men to be one of harmony.⁶ Dissension and strife do not inhere in man and society; they arise instead from mistaken beliefs, inadequate knowledge, and defective governance. Liberal perfectionism advocates social progress by reform and by changing laws rather than by revolution.

The strategy is simple. With the evils identified, and with the fundamental causes recognized, the remedies become clear. Educate people and their governors, and strip away political

⁴ Following Kant, liberal tradition distinguishes between external (negative) freedom and internal (positive) freedom. While the former involves the absence of obstacles to one's freedom of action, and implies no claims from others about what is good for one to do, the latter involves self-determination in the sense that one governs one's own actions. For more on the conceptual distinctions of the terms 'autonomy' and 'freedom' in the contemporary philosophical debate, see R. GIOVAGNOLI, *Autonomy: A Matter of Content*, Firenze: Firenze University Press 2007, p.9-11.

⁵ Cf. L. VON MISES, *Liberalism: the Classical Tradition*, edited by Bettina Bien Greaves, Indianapolis: Liberty Fund 2005, pp. 9-12.

⁶ John Locke, for example.

abuses. As such liberalism affirms the corrigibility and improbability of all social institutions and political arrangements.⁷

1.1 Chief representatives of the school of liberalism

Before we proceed further, we now want to make suggestions about who the main representatives of liberal thought may be from the modern period and the subsequent periods of history, and a brief account of their liberal thoughts. The first in our list is Thomas Hobbes, considered the "father" of liberalism because of the emphasis on the individualistic and egoistic aspects of man in his theory of the Social Contract. He becomes the first liberal contractarian.

The second is John Locke, who based his political views on the idea of "natural rights". In Charles Louis de Secondat, commonly known as Baron de Montesquieu, we have a theory that works against the absolutism of Hobbes, but asserts that to assure the freedom of the individual, it is important to have a system of checks and balances and a separation of powers.

Immanuel Kant represents the German liberal thought with his clear statement of the liberal ideal of limited government under the constitution or the rule of law. Kant asserts that the ideal of individual freedom lies in a strictly constitutional government. According to Pierre Hassner, Kant's political teaching may be summarized in a phrase: republican government and international organization. In more characteristically Kantian terms, it is a doctrine of the state based upon law, the *Rechtstaat*.⁸

Thomas Hobbes

In the seventeenth century, Thomas Hobbes (1588-1679) appears as the first philosopher to offer a systematic exposition of the modern individualist outlook, which is considered by some historians to be the root of liberalism. Hobbes' model of individualism is expressed in his familiar theory of social contract. Hobbes distinguishes two "states" in the history of human beings:

⁷ Kenneth N. WALTZ, "Kant, Liberalism, and War" in *The American Political Science Review*, 56(1962), pp. 331-340, 331.

⁸ P. HASSNER, "Immanuel Kant" in *History of Political Philosophy*, L. Strauss and J. Cropsey (eds.), Chicago: University of Chicago 1987, p. 581.

one is the state of nature where men lived only as individuals, without any openness to social life. Because of being radically individualistic, each man was at war with every other man.⁹ The other state is the state of civil society where men live in a peaceful and stable social relationship between themselves. The state of civil society, according to Hobbes, is an artifact of a civil association, that is, it is artificial and not natural. In the state of civil society, the unrestrained authority of a coercive sovereign power guarantees the condition of peace and co-existence.

How do men step out of or overcome the war-situation in the state of nature? Passing from the state of nature to the state of civil society, according to Hobbes, is possible only through the social contract: a contract between subjects that establishes an absolute government. The condition of peace and security comes as an outcome of that contract by which individuals authorize and give up their right to govern themselves without any intrusion from others, surrendering it to one man or to an assembly of men to govern them with absolute authority. Therefore, the passage from the state of nature to the political society is not natural, but a rational, calculated exercise of “foresight” to avert the fear of violent death conspicuous in the state of nature. In chapter xvii of *Leviathan*, Hobbes writes:

The final cause, end, or design of men (who naturally love liberty, and dominion over others) in the introduction of that restraint upon themselves, in which we see them live in Commonwealths, is the foresight of their own preservation, and of a more contented life thereby; that is to say, of getting themselves out from that miserable condition of war which is necessarily consequent, as hath been shown, to the natural passions of men when there is no visible power to keep them in awe, and tie them by fear of punishment to the performance of their covenants, and observation of those laws of nature set down in the fourteenth and fifteenth chapters.¹⁰

⁹ Cf. L. STRAUSS and J. CROPSEY, *History of Political Philosophy*, Chicago: University of Chicago 1987, pp. 400-404.

¹⁰ T. HOBBS, *Leviathan*, II, ch.17.

The association of individuals established by virtue of the social contract achieves a partial remedy for the human predicament, insinuating that the egoistic tendencies of each individual are not mitigated by entering into the social contract. The human being is fully an individual in the state of nature and in the state of association. Each individual man acts always for self-preservation and with a view to his own benefit. This happens both in the state of nature and in the state of civil society. However, in the civil society, the sovereign—invested with absolute authority—guarantees a framework in which each individual pursues his restless striving for pre-eminence over his fellows, without degenerating to the condition of the state of nature. Hobbes' moral and political theory is marked by individualism.¹¹

In his elaborate commentary on *Leviathan*, Michael Oakeshott observes that Hobbes expresses the morality of individuality. He says that the individualism in Hobbes' philosophy has more of the spirit of liberalism than many avowed liberals.¹² The greatest of Hobbes scholars have shown Hobbes' affinities with liberalism. Hobbes' uncompromising individualism, evident in his political and moral thoughts, position him as one of the protagonists of modern liberalism. Leo Strauss puts the case for Hobbes as the chief progenitor of liberalism as follows:

All the laws of nature and all social and political duties or obligations are derived from and subordinate to the right of nature, the individual's right to self-preservation. To the extent that modern liberalism teaches that all social and political obligations are derived from and are in service of the individual rights of man, Hobbes may be regarded as the founder of modern Liberalism.¹³

Hobbes' link to liberalism is found also, in his affirmation of the equal liberty of all men in the state of nature and his firm

¹¹ M. OAKESHOTT, *Hobbes and Civil Association*, Basil Blackwell, Oxford 1975, p. 64-69.

¹² *Ibid.*, p. 63.

¹³ L. STRAUSS and J. CROUSEY, *History of Political Philosophy*, University of Chicago, Chicago/London 1987, p. 401.

rejection of a purely hereditary title to political authority.¹⁴ C. B. MacPherson claims that Hobbes is the first and most distinguished spokesperson for modern individualism and links it with the emergence of the modern liberal tradition. MacPherson writes:

No doubt, that individualism has been an outstanding characteristic of the whole subsequent [after Hobbes] liberal tradition. Individualism, as basic theoretical position, starts at least as far back as Hobbes. Although his conclusion can scarcely be called liberal, his postulates were highly individualistic. Discarding traditional concepts of society, justice, and natural law, he deduced political rights and obligations from the interest and will of dissociated individuals.¹⁵

For us, what endangers the relationship between politics and morality in Hobbes' political absolutism is the notion that the sovereign is the final judge on all matters political, ethical, and religious. The commonwealth suffers or grows fragile, Hobbes says, when "every private man is Judge of Good and Evil actions". We have already seen that in the state of nature, individuals possess the inherent or natural right to do what is good for themselves, that is, what is necessary for their self-preservation and comfort. Hobbes, therefore, believes that if individuals in the political dimension of society are allowed to make determinations about what is good or evil in matters of morality, politics, and religion, the society will degenerate to the state of war. For this reason, Hobbes says that it is the right of the sovereign to judge what is necessary for peace and security of the subjects. It is also the right of the sovereign to determine all doctrines and opinions within the political dimension of society.

And because the end of this institution is the peace and defence of them all; and whosoever has right to the end, has right to the means; it belongs of right, to whatsoever man, or assembly that hath the sovereignty, to be judge both of the means of peace and defence, and also of the hindrances, and disturbances of the same; ad to do so Whatsoever he shall think necessary to be done, both

¹⁴ Cf. J. HAMPTON, *Political Philosophy*, Oxford: Westview Press 1997, 42.

¹⁵ C. B. MACPHERSON, *The Political Theory of Possessive Individualism: Hobbes to Locke*, New York: Oxford University Press 1962, 1.

beforehand, for the preserving of peace and security, by prevention of discord at home, and hostility from abroad; and, when peace and security are lost, for the recovery of the same. And therefore, sixthly, it is annexed to the sovereignty, to be judge of what opinions and doctrines are averse, and what conducing to peace; and consequently, on what occasions, how far, and what men are to be trusted withal, in speaking to multitudes of people; and who shall examine the doctrines of all books before they be published.¹⁶

In this Hobbesian outlook of civil society the very important notion of "freedom of conscience" of individuals is lost, because almost everything is determined from "above", that is, from the political authority – thus, subverting morality to political authority.

John Locke

There is much that liberalism and the whole political culture of the West owes to John Locke. It is his political ideas about natural rights, private property, toleration, religious freedom, the general duties and powers of government, the organs of government and their interrelations, the theoretical justification of revolutions, and so forth, that greatly contributed to give shape to liberalism. Later, Locke's ideas, mixed with utilitarian doctrines became the basis of a theoretical outlook that sought to reverse the Aristotelian perspective that politics is a part of ethics. The liberal argument for the autonomy of the political sphere, the liberal argument on the neutrality of the state, and the argument on respect of individual freedom, all draw much from the political views of John Locke.

The political doctrines of John Locke (1632-1704) as expressed, particularly, in the *Two Treatises of Government*, which appeared in 1690, have had a dominant influence in the liberal tradition. The second treatise has more than once been called the charter of modern liberalism in the theory of the state and of government.

The first of the treatises is a criticism directed against Sir Robert Filmer (1588-1653) who had developed a "patriarchal" conception of government and of the state.¹⁷ Locke points out that paternal

¹⁶ T. HOBBS, *Leviathan*, II, ch.18.

¹⁷ Robert Filmer's view was that the state and the government proceed directly from God as a prolongation of the absolute and paternal authority

authority contains its own limits which impede it from undergoing a self-transformation into a public authority. He distinguishes between private and public authority. The second treatise is an inquiry into the “origin, extension and end” of civil government. The ideas in the second treatise indicate that this inquiry is also a criticism directed to Hobbes’ political theory.¹⁸ Locke explains the need for government, the justification of government—through the contractual transfer of the natural right to punish to the civil authority—and the limits of government in terms of the inviolability of natural rights.

According to John Locke, people have natural rights even in the “state of nature”, that is, even before they get together to form a society. For Locke, even in the state of nature, man is not a jungle beast; even in the absence of a political government or civil order, people have natural rights and are governed by reason and conscience. These natural rights do not depend on any form of government or on any conventional agreements between people. This idea of a natural human society that exists without any laws or agreements draws on Thomas Hobbes’ concept of the “state of nature”. For Locke, nature is more gracious and pacific than it is in Hobbes. For Hobbes the only “natural right” people have in the state of nature is to wage a war, everyone against everyone. The difference between Hobbes’ and Locke’s state of nature is apparent in this text from the second of the *Two Treatises of Government*:

The state of nature has a law of nature to govern it, which obliges every one: and reason, which is that law, teaches all mankind, who will but consult it, that being all equal and independent, no one ought to harm another in his life, health, liberty, or possessions: for men being all the workmanship of one omnipotent and infinitely wise Maker; all the servants of one sovereign Master, sent into the world by his order, and about his business; they are his property, whose workmanship they are,

given to Adam by God over Eve and over all the human race to come. Such an authority must be essentially paternal, making the state indistinguishable from the family. See A. R. CAPONIGRI, *A History of Western Philosophy: Philosophy from the Renaissance to the Romantic Age*, South Bend, IN: University of Notre Dame Press 1963, 312-313.

¹⁸ P. MANENT, *An Intellectual History of Liberalism*, 48.

made to last during his, not another's pleasure: and being furnished with like faculties, sharing all in one community of nature, there cannot be supposed any such subordination among us that may authorize us to destroy another, as if we were made for one another's uses, as the inferior ranks of creatures are for ours. Every one, as he is bound to preserve himself, and not to quit his station wilfully, so by the like reason, when his own preservation comes not in competition, ought he, as much as he can, to preserve the rest of mankind, and may not, unless it be to do justice to an offender, take away or impair the life, or what tends to the preservation of life, the liberty, health, limb, or goods of another.¹⁹

In contrast to Hobbes, Locke believed that in the state of nature people have the natural right to make free choices, to live without being injured by others, and to own property. In fact, what the just cited text means is that the state of nature is a state of law: the law of nature, ordained by God, and this law is accessible to all by reason of their rational character. Individuals came together voluntarily to create a political society. The social contract is, therefore, seen as an agreement between free men (not between the governed and the government). Again, Locke believed, unlike Hobbes, that the governed continue to retain their individual rights even after making the social contract and the formation of government. Sovereignty ultimately remains with the people—not with the government.

But what is the purpose or end of the government according to Locke? For Locke, people agree to come together as a group to be governed in order to have their rights protected. The sole legitimate purpose, function or role of government is the securing of the rights of individuals—the protection of the life, liberty, and property of all. Consequently, if a government begins to abuse those same rights of individuals, it becomes tyrannical; or if it ceases to defend them effectively, the governed retain a moral right to rebel or to

¹⁹ J. LOCKE, *Two Treatises of Government and A Letter Concerning Toleration*, Book II, 2, (edited with an Introduction by Ian Shapiro). New Haven, CN: Yale University Press 2003, 102.

overthrow the government and replace it with one that exercises its role properly.

What gives people the right to own property, according to Locke, is first of all the work they have done in order to get it or develop it; and then, their freedom to do what they would like with what is theirs. What he means is that if someone labours to produce something, and in doing so does no harm to anyone else, then that person has a right to the fruits of his labour. In case another seizes it from the person who produced it, it becomes a case of literally stealing one's labour. The right of ownership does not in any way depend on the consent of other individuals and the government, because according to Locke:

The right to property is essentially prior to the institution of society, independent of other's consent or political law; in other words, the right to property is a right belonging to the lone individual and closely linked to the urgent necessity of nourishing oneself. Property is natural and not conventional.²⁰

Locke's idea that connects labour and the right of ownership helped promote the development of a society that is based on voluntary transactions entered into independently of government. According to Locke, as Pierre Manent tells us, "Labor and property are related to each other in a circular way; at the centre of this circle is the individual."²¹ This means that man as an individual works or labours to own property; and ownership is possible because of the transforming energy and what an individual puts in his labour. These constitute the primary foundation of capitalism—the economic practice of making things and selling them to make a profit, without interference from the government.²²

²⁰ P. MANENT, *An Intellectual History of Liberalism*, p. 42.

²¹ P. MANENT, *An Intellectual History of Liberalism*, pp. 44-45.

²² *Ibid.*, pp. 43ff. The editor notes that many students of religious currents that were popular at the time of John Locke observe that John Calvin instituted economic principles that coincide with the foundation of capitalism. Calvin remained firm in his conviction that the success of capitalists was a sign that they were the elect of God and destined to a place of glory in the afterlife. Locke's conviction that material prosperity in this world, a prosperity earned by diligent and intelligent labour, is a sign of God's blessing resonates with Calvinist's notions even if Locke did not seem to give such a

Montesquieu

There are not many who dispute the inclusion of Montesquieu in the canon of liberal thinkers. Nonetheless, there are varying opinions over the precise sense in which Montesquieu is considered as liberal. While some commentators regard him as belonging to the liberal tradition because of his theory of the separation of powers, which they regard as one of the principal bases of modern liberal constitutionalism, others attach more significance to his commitment to a form of government which allows its citizens freedom to determine their life through a free pursuit of self-interest and which combines the demands of political liberty and a negative conception of personal freedom as non-interference.²³

More than any of the French *philosophes*²⁴, Baron Montesquieu (1689-1755) is regarded as the first among the French Enlightenment thinkers to deal thoroughly with topics like law, politics, and government. In his treatment on most of the political themes in his writings, he comes out strongly as a powerful critic of absolutism and despotism. His criticism particularly targeted the despotic power of the absolute sovereign as formulated in Hobbes and Jean Bodin. Montesquieu had perceived the dangers to individual liberties that Hobbes' and Bodin's theories carried. Montesquieu's criticism and his approach to issues are more moderate than Hobbes' and Locke's approach; for that he is referred to as a moderate liberalist. Manent tells us that:

Montesquieu's liberalism is not aggressive like Locke's; he is liberal not only in his principles, but also in his mood or tone. If he

radically religious tone to his economic principles. Nevertheless, Locke believed that the bodies of human beings are "God's property" while human souls remain under the governance of the individuals themselves. See: BB (Tumi) Senekoane, "A Black Calvinist perspective on the economy" in *Studia Historiae Ecclesiasticae*, vol. 40, n. 1, Pretoria (May, 2014).

²³ Y. KAWADE, "Montesquieu", in *Political Thinkers: From Socrates to the Present*, edited by David Boucher and Paul Kelly, Oxford University Press, New York 2003, p. 219.

²⁴ The term *Philosophes* referred to the philosophers of the French Enlightenment, who believed that philosophy was an important means of bringing about progress.

was able to abandon the Lockean ‘absolutist’ language, it is because he managed to found liberty on bases other than the concepts of the state of nature and sovereignty.²⁵

Montesquieu’s criticism of absolutism springs from his perception that the heart of the political problem lies “in the conflict between power and liberty”. He knew that in order to assert the principle of liberty, he had to start by criticizing the theories of power that threaten liberty.²⁶ How can power be restrained? To resolve this dilemma, Montesquieu points out that to prevent the abuse of power, especially the trampling down of an individual’s self-interest by way of citizen abuse, “it is necessary from the very nature of things that power should be a check to power.”²⁷ Therefore, the theory of separation of powers is, for Montesquieu, an important solution to the problem of abuse of power; it provides the best remedy against despotism and tyranny and the best guarantee of the liberty of the subject.²⁸ He developed the idea of separation or “distribution” of power in his masterpiece *L’Esprit des Lois* (*The Spirit of the Laws*), which was published in 1748.²⁹

Montesquieu’s idea of separation of powers sprang from his admiration on the way England was governed then. In his day, England was ruled by three separate ruling bodies: the House of Commons, the House of Lords, and the King. These three bodies worked together while limiting the power of each individual body. Montesquieu believed this form of government encouraged personal freedom, trade, and religious toleration. He therefore recommended that a similar approach be adopted in France.

²⁵ P. MANENT, *An Intellectual History of Liberalism*, p. 53.

²⁶ *Ibid.*, p. 55.

²⁷ *Ibid.*, p. 55.

²⁸ Despotism in Montesquieu’s writings means more than a form of government, it refers to political corruption or the subordination of the public interest to the private interest of the ruler or rulers. It is therefore a corruption of any type of government. Cf. Y. KAWADE, “Montesquieu”, in *Political Thinkers: From Socrates to the Present*, p. 219.

²⁹ C. MONTESQUIEU, *The Spirit of the Laws*, Book XI, 6, ed. and trans. A. M. Cohler, B. C. Miller, and H. S. Stone, Cambridge University Press, Cambridge 1989.

There is another distinct criticism of despotism that revolves around the concept of law in Montesquieu. There are two related ideas that form the basis of Montesquieu's understanding of law. One is that laws are not arbitrary, but they have a certain logic behind them. Hence people can develop laws that are reasonable, but only if they have the freedom to do so. The other idea is that of contextual relativism: reasonable laws for one society may be different from those of another society. According to Montesquieu, good laws depend on what the society is like in terms of the liberty of its people.³⁰ Liberty, according to Montesquieu, consists only "in having the power to do what one should want to do and in no way being constrained to do what one should not want to do."³¹

Both these ideas suggest that law should be based on the way people live and think rather than on the desire of rulers to hold power over their subjects. While he recognized a variety of political and legal systems as reasonable and workable, he condemned the arbitrary use of power for its own sake. Montesquieu believed that laws and government should be set up to allow people as much freedom as possible. The best way to do this was for the government to be moderate, to refrain from imposing any laws too severely, and to allow human nature and social custom to do most of the work in regulating people's behaviour.

³⁰ Montesquieu defines law as "the necessary relations deriving from the nature of things". Montesquieu searched for a definition broad enough to include natural physical laws, fundamental moral norms, and the civil and criminal norms. Montesquieu is believed to be one of the first thinkers to apply relativism—the idea that what is good or bad depends on the way a particular society works—to the law. This is evident in books four and five of *The Spirit of the Laws*: in Book 4 he writes: "If there is a principle for the people taken generally, then the parts which compose it, that is, the families, will have one also. Therefore, the laws of education will be different in each kind of government." Book 5 shows the same relativist inclination: "That the laws given by the legislator should be relative to the principle of the government".

³¹ C. MONTESQUIEU, *The Spirit of the Laws*, Book XI, 3.

Immanuel Kant

Kant's name is usually not included in the primary canon of political philosophers. Nevertheless, his influence on the tenet of liberalism, though largely indirect, is indisputable. He is considered as a forerunner of modern liberal thinking in Germany. For instance, after a wide and profound survey of Kant's political ideas in his *History of Political Thought in Germany 1789-1815*, Reinhold Aris concludes that Kant was the first representative of liberalism in Germany.³² Similarly, Leonard Krieger argues that "more than any other single man Immanuel Kant is the representative figure of German liberalism."³³

Kant's political philosophy provided the intellectual foundation for the shift to radical individualism. His whole philosophical project in general, but more particularly, his epistemology is a more complex and sophisticated version of the Enlightenment exaltation (elevation) of reason. Following the spirit of modernity, Kant was confident that through observation, experiment, and critical reflection, human beings could discover the truth of the world. For him, the responsibility or the burden of discovering the moral truth is ultimately a private matter, it belongs to the individual person. Kant believed that the knowing process is fundamentally a relationship between the autonomous knowing subject and the world waiting to be known through the creative power of the active mind.

In the same way, Kant's political ideas are formulated upon the foundations of his moral principles. It is argued that his political ideas are derivations from his notions about morality. In other words, his political ideas are conceived as an application of his moral principles: "True politics is the application of his morality. [...] It is true not only that Kant's politics must be understood on the basis of his morality but his morality must be understood on the

³² Cf. R. ARIS, *History of Political Thought in Germany 1789-1815*, Frank Cass Publishers, London 1965, p. 104.

³³ Cf. L. KRIEGER, *The German Idea of Freedom*, Beacon Press, Boston 1957, p. 86.

basis of his politics."³⁴ But, what is important for us to note is that at the base of Kant's moral principles stands the individual because for Kant, the individual's freedom is the basic value of morality. Kant believed that the ends pursued by a moral agent are internal to that individual agent. Thus, an individual moral agent is not subject to external legislation or to authority. According to Jeffrie G. Murphy, Kant, after having established freedom as the basic value of morality, attempts to provide a justification for the necessity of the government and its use of coercive force.³⁵

In order to safeguard the freedom of each and every individual moral agent, Kant claims that it is obligatory to enter into civil society. Kant held that the existence of coercive government is morally obligatory for securing rightful conditions. The coercion of the government must be justified and limited by the value of freedom. For Kant, it is only freedom as a value which can be used to justify and limit freedom, for the use of any other value (e.g. utility) would undermine the ultimate status of the value of

³⁴ P. HASSNER, "Immanuel Kant" in *History of Political Philosophy*, L. Strauss and J. Cropsey (eds.), University of Chicago, Chicago/London 1987, p. 583.

³⁵ J. G. MURPHY, *Kant: The Philosophy of Right*, Mercer University Press, Macon, Georgia 1994, p. 91. The editor notes that Murphy was known at Arizona State University as a professor who explained repentance, forgiveness and retribution with an emphasis on the fact that if forgiveness is too hasty – i.e., given without repentance on the part of the wrongdoer – both the forgiver and the wrongdoer can suffer personal moral decline. His explanations followed the Kantian parameters of autonomous moral reasoning but in his personal and professional life he manifested a serious departure from the Kantian mindset in his involvement with the St. Vincent de Paul Society that, unlike Kant, gave charity according to God's directives and guidance the place of privilege. Kant, on the other hand, favoured an individualistic freedom that did not need religion to make the right moral choices (see the Preface of *Religion within the Limits of Reason Alone*). Consequently, while Kant's political liberalism excluded the notion that God is the author of moral integrity, commentators on Kant's philosophy like Murphy believed that the capability to act autonomously in matters of morality derived from God's revelation of what is moral – this was true of the political arena as it was of all the other arenas of life.

freedom.³⁶ When coercion keeps people from doing what they desire to do on a particular occasion it appears to be wrong. But, Kant argues that the use of coercive force by the government can be shown to be morally justified, and thus only *prima facie* wrong, if we can establish that the nature of that coercion is such that it could have been rationally willed even by the people whose desire to do something is interfered with. This is to say that for Kant, coercion by the government, or in the state of civil society is justified only in so far as it is used to prevent invasions against freedom.³⁷

But unlike Hobbes and Locke, Kant sees the justification for the legitimacy of the political government as based not on utilitarian considerations—as for example the benefits of avoiding the problem of the state of nature—but as rationally given. Because for him, the necessary commitment to establish the civil condition by human beings as rational, moral agents, imply the commitment of human beings to establishing the state – which alone can secure that rightful condition. Kant’s conviction is that only the state can provide the kind of guarantee of people’s rights and freedoms that a rightful condition demands. The central functions of the state are implied by the idea of a rightful condition.³⁸

This is clearer if we consider a case in which two people, who, out of good faith, have a conflict over their respective rights and freedoms. Since neither of them has any natural authority over the other, Kant argues, justice can only be done by coming to some resolution that does not reduce to one person’s insistence that he is right after all. The state, and the state alone, can provide this solution because of its public nature. Since state officials enjoy their authority not in virtue of their private capacities, but the roles they occupy within the institution of the state, their authority is not reducible to any private party’s point of view. Only a resolution that is impersonal in this way can be at the same time binding on, and respectful of, rational people engaged in a bona fide conflict.

³⁶ J. G. MURPHY, *Kant: The Philosophy of Right*, p. 92.

³⁷ J. G. MURPHY, *Kant: The Philosophy of Right*, pp. 92-93.

³⁸ Cf. J. G. MURPHY, *Kant: The Philosophy of Right...*, pp. 92-107.

Kevin E. Dodson summarizes Kant's argument for justification of coercion as follows:

Kant argues that the coercion employed in restricting the activities of others is compatible with freedom and that justice or right involves the authorization to use coercion. He bases this argument on the principle that anything that counteracts the hindrance of an effect is consistent with that effect and in fact serves to promote it. Any unjust action or condition is by definition a hindrance to freedom according to universal laws. Consequently, if a certain use of freedom is unjust, then the use of coercion to counteract or prevent it is just—that is to say, it is consistent with freedom according to universal laws.³⁹

In the first part of Kant's *Metaphysics of Morals* ("Doctrine of Right"), which is the part in which to a large extent, Kant outlines his political philosophy,⁴⁰ he develops the idea that human persons, as rational beings, destined by nature to be moral agents, aim to secure a civil condition—what Kant calls a "rightful condition" (*rechtliche Zustand*). The "rightful condition" or "condition of right" for Kant, is a state that stands in contrast to a state of nature; it is a condition which is characterized by the rule of the principles of right. He names three principles of right that must govern this condition as: (i) the freedom of every member of society as a human being; (ii) the equality of each with all the others as a subject; (iii) the independence of each member of a commonwealth as a citizen.

We have already stated above that Kant's political and moral views were foundational in the shift to radical individualism and were instrumental in making his notion of individualism an important component of liberalism because, for Kant, a properly human individual is one who is free and independent in thinking,

³⁹ K. E. DODSON, "Autonomy and Authority in Kant's *Rechtslehre*", in *Political Theory*, 25(1997), pp. 93-111, 99.

⁴⁰ The second part of *Metaphysics of Morals* is entitled "Doctrine of Virtue". It develops further Kant's ethical theory, and in particular, it emphasizes treating humanity as an end in itself.

one who decides for himself rather than allowing himself to be under the tutelage of others:

Enlightenment is man's emergence from his self-incurred immaturity. Immaturity is the inability to use one's own understanding without the guidance of another. This immaturity is self-incurred if its cause is not lack of understanding, but lack of resolution and courage to use it without the guidance of another. The motto of enlightenment is therefore: *sapere aude!* Have courage to use your own understanding.⁴¹

Kant's view is that humans must realize their innate capacity for self-determination.⁴² Self-determination consists in thinking and deciding for oneself. In the end, self-determination means that one must act rationally according to his or her capacity as a moral agent, that is, according to the categorical imperative. Clearly, Kant's view of morality does not accord much significance to the role played by human communities, be it in the form of providing social customs, traditions of value, or moral education. His writings on social and political topics are mainly to champion the right of individual autonomy, independence and equality.⁴³

The idea that individuals are "free and equal", and that people must be treated as ends and not as mere means figures, prominently, in his writings as it does also in the liberal tradition. His political writings came within both the "natural law" and the "social contract" traditions. From the natural law tradition, he

⁴¹ I. KANT, *An Answer to the Question: 'What is Enlightenment?'*, in *Kant's Political Writings*, Raymond Geuss and Quentin Skinner (eds.), Cambridge University Press, Cambridge 1991, p.54.

⁴² Kant qualifies freedom as the only "birthright" of every human being: "Freedom (independence from being constrained by another's choice), insofar as it can coexist with the freedom of every other in accordance with a general law, is the only original right belonging to every man by virtue of his humanity." See I. KANT, *Metaphysics of Morals*, translated with an introduction and notes by Mary Gregor, Cambridge University Press, New York 1991, p. 63.

⁴³ Cf. B. HEINER, "Autonomy and Republicanism: Immanuel Kant's Philosophy of Freedom", in *Political Theory*, 25(1997), pp. 524-558, 526-529.

developed the idea that man as a rational being has both an innate right to freedom and a moral duty to enter into a civil condition, in order to realize and secure that freedom. He uses the idea of the social contract as an "idea of reason" that can help us to determine the form and content of just legislation.

1.2 Autonomy of the political sphere

Those who could be appropriately called liberals at the inception of liberalism were concerned about the following: greater economic equality, freedom of ideas, which entailed liberation from censorship and liberty of conscience, greater equality between the races and freedom from segregation. But who were the "enemies" of this liberal project? For many, proponents of religion were one of the "dangers" and "enemies" to individual liberties. In order to liberate the political sphere from the influence of faith and morality, it was thought that the church needed to be tamed, by separating the state and the church.⁴⁴ Charles Larmore, a liberalist himself, admits that one of liberalism's goals was to establish the autonomy of the political realm. Writing about the aim of political liberalism, he says:

The aim is to fix the principles of political association in terms of independence, not just of religious convictions and substantive notions of the good life, but of comprehensive moral conceptions as well.⁴⁵

⁴⁴ The spirit of the movement in liberalism that sought for the autonomy of the political sphere can be traced back to many years before Thomas Hobbes and Machiavelli. For example, in the political philosophy of William of Ockham, Martin Luther (1483-1546) and Marsilio of Padua, we can possibly grasp their attempt to have political "things" separated from other realms or their influence. In the Catholic Church, of course, the notion that the political sphere is autonomous goes back to Pope Gelasius I (492-496), who in his fourth treatise explained that the powers of the state have their own proper autonomy in temporal matters while the powers of the Church have their autonomy in spiritual matters (see J. RATZINGER & M. PERA, *Without Roots*, transl. by M. F. Moore, New York: Basic Books 2006, pp. 56-57. Gelasius explains that this was the intention of Jesus to keep those in power humble.

⁴⁵ C. LARMORE, *The Autonomy of Morality*, Cambridge University Press, Cambridge 2008, p. 146.

They believed that the “spiritual tyranny” of religion operated through moralization of the political sphere. The autonomy of the political sphere in the liberal vision is sought after as a necessary precondition to liberate human beings. In this view, the autonomy of the political sphere entails separation of the political sphere from any influence of the moral sphere; this separation implies also the separation of church and state, given that the church played the role of teacher and custodian of morality.⁴⁶

The same sentiments are expressed by John Stuart Mill in his advocacy for “secular standards” as a requirement for individual advancement. Mill advocates for an autonomous sphere which favours diversity of opinion and renders individuals independent and free from the absolutism of Christian ethics. In *On Liberty* Mill writes:

I believe that other ethics than any which can be evolved from exclusively Christian sources, must exist side by side with Christian ethics to produce the moral regeneration of mankind; and that the Christian system is no exception to the rule, that in an imperfect state of the human mind, the interest of truth requires a diversity of opinions.⁴⁷

In the same vein, Mill expresses his fear that attempting to form the mind and feelings of individuals by religious Christian ethics and discarding other opinions (secular standards) results in “a low, abject, servile type of character, which submits itself as it may to what it deems the Supreme Will, [and so becomes] incapable of rising to or sympathizing in the conception of supreme Goodness.”⁴⁸

For success in the endeavor to “liberate” the political sphere from the influence of morals and the faith, some liberals find it best to reexamine the nature and the main problems proper to political philosophy and those that belong to moral philosophy. The

⁴⁶ Cf. M. NOVAK, *Free Persons and the Common Good*, Madison Books, Lanham 1989, pp. 113-115.

⁴⁷ J. S. MILL, *On Liberty: with the Subjection of Women and Chapters on Socialism*, STEFAN COLLINI (ed.), Cambridge University Press 1989, p. 52.

⁴⁸ J. S. MILL, *On Liberty: with the Subjection of Women and Chapters on Socialism*, STEFAN COLLINI (ed.), Cambridge University Press 1989, p. 52.

argument is that: the central issue of moral philosophy is that of justification of moral beliefs. Instead, the scope of political philosophy is limited to the problem of defining the state, investigating the notion of sovereignty, and the problem of political obligation. Consequently, political philosophy and moral philosophy are seen as parallels.⁴⁹

1.3 Respect for individual freedom

From the time of John Locke to our own, liberal thinkers have often declared their commitment to the doctrine of individualism, a doctrine that exalts the value of the individual human being. Liberal tradition conceives human beings as individuals who are, or should be, free and autonomous rational actors, each pursuing their own self-interest. Such was the approach taken by John Locke, Immanuel Kant, and John Stuart Mill. Mill for instance, argued that "the principles of political life should forego appeal to ideals of the good so as thereby to express the individualist spirit that ought to shape the whole of our lives."⁵⁰

Following this conception of the human being, liberalism endorses a political and social order that promotes respect for individual choice and freedom as one central imperative of liberal politics. Respect for individual freedom supplies the *modus vivendi* necessary for the stability of pluralistic societies. John Stuart Mill, for example, emphasizes that individualism is an important aspect of liberalism. In his *On Liberty*, J. S. Mill argues that one reason among others for endorsing freedom, is the goodness of developing individuality and cultivating capacities:

Having said the Individuality is the same thing with development, and that it is only the cultivation of individuality which produces, or can produce, well-developed human beings, I might here close the argument: for what more or better can be said of any condition of human affairs, than that it brings human beings themselves nearer to the best thing they can be? or what

⁴⁹ Cf. A. QUINTON, "Morals and Politics" in *Royal Institute of Philosophy Supplement*, 35(1993), pp. 95-106, 95ff, at <http://journals.cambridge.org/PHS>.

⁵⁰ C. LARMORE, *The Autonomy of Morality*, Cambridge University Press, Cambridge 2008, p. 144.

worse can be said of any obstruction to good, than that it prevents this?⁵¹

For Mill and for liberalism in general, the human being is a free individual and only from his individual freedom can values arise; and the good life is necessarily a freely chosen one in which an individual person develops his unique capacities as part of a plan for a good life. From this perspective, morality, the idea of a good life, and the choice of values are all relegated to the private sphere or to the individual person. It is so because liberals accept and advance the argument that “values” are not part of the objective world and are for the most part matters of individual choice; each individual is free or should be free to choose his or her values. What we have here is the same view that upholds the primacy of an individual’s good over that of the community, and conceives the common good as the sum of the goods – either as objects of aspiration or objects actually possessed – of individuals.

At this point, our question about the relationship between morality and politics becomes a question about the nature of political and social order that is, or should be, in harmony with the liberal conception of the human being and society. Many contemporary liberalists, especially those inspired by Kant, believed that the best political arrangement that can or does respond adequately and harmoniously to the liberal conception of the human being and society is the political arrangement that follows Kantian political philosophy.

Kant’s political philosophy is rooted in his analysis of the nature of the human being, and particularly the nature of reason. Man, according to Kant, is a member of two worlds: the phenomenal and the noumenal. In the first, he is a creature of the senses, of impulse and desire. For him, every human being as a rational being belongs to the world of understanding, but, on the other hand, he is also conscious of himself as a part of the world of sense in which his actions (as phenomena) are displayed. In the *Fundamental Principles of the Metaphysic of Morals* Kant writes:

⁵¹ J. S. MILL, *On Liberty: with the Subjection of Women and Chapters on Socialism*, STEFAN COLLINI (ed.), Cambridge University Press 1989, p. 64.

Since the world of understanding contains the foundation of the world of sense, and consequently of its laws also, and accordingly gives the law to my will (which belongs wholly to the world of understanding) directly, and must be conceived as doing so, it follows that, although on the one side I must regard myself as a being belonging to the world of sense, yet on the other side I must recognize myself as subject as an intelligence to the law of the world of understanding, i.e., to reason, which contains this law in the idea of freedom.⁵²

The possession of reason is a quality that distinguishes the human being from all "mere animals". But man's reasoning abilities are subject to limits. He can know that noumena, things-in-themselves, exist; but cannot know their content. For Kant, the noumena are the known unknown. The categorical imperative⁵³, which is the basis of morality and legislation, is necessarily without content (that is, without prior motivation other than duty). For Kant, people would always act in accordance with the categorical imperative if they were wholly or purely creatures of reason. But they are not. And as a consequence, utility or happiness as a standard of morals or legislation is a mere whim, because the object of action is taken from the realm of contingency. There can be neither certainty nor universality of agreement. According to Kant's reading, it is this contradiction between men's potential to act in tandem with the categorical imperative and their condition (due to their sensual nature) that hinders them from acting in accordance with the categorical imperative that they are compelled to enter into a civil society in which the rights of each individual are secured. This is what many call Kantian contractualism. Michael Sandel, for example, states that the kernel of "Kantian contractualism" is the following:

⁵² I. KANT, *Kant's Critique of Practical Reason and Other Works on the Theory of Ethics*, translated by Thomas Kingsmill Abbott, Longmans, London 1909, p. 73, at <https://archive.org/stream/kantscritiqueofp00kant>.

⁵³ The Kantian categorical imperative states thus: "Act according to a Maxim which can be adopted at the same time as a Universal Law." See I. Kant, *The Philosophy of Law: an Exposition of the Fundamental Principles of Jurisprudence as the Science of Right*, transl. W. Hastie, T. & T. Clark, Edinburgh 1887, p. 34.

Society, being composed of a plurality of persons, each with his own aims, interests, and conceptions of the good, is best arranged when it is governed by principles that do not *themselves* presuppose any particular conception of the good; what justifies these regulative principles above all is not that they maximize the social welfare or otherwise promote the good, but rather that they conform to the concept of right, a moral category given prior to the good and independent of it.⁵⁴

There are two important components in the above citation. The first component indicates the liberalists' belief and desire for the governance of society on the basis of "regulative principles", principles that do not themselves presuppose or impose any particular conception of the good. Any arrangement other than Kantian contractualism, would fail to respect persons as beings capable of choice: it would treat them as objects rather than subjects, as means rather than ends in themselves.⁵⁵ John Rawls, too, believes that the basic principles of political arrangement must be such that they can be "framed" and "legitimated" without appeal to any particular comprehensive standpoint.⁵⁶ Rawls' formulation

⁵⁴ M. J. SANDEL, *Liberalism and the Limits of Justice*, Cambridge University Press, Cambridge/New York 1998, p. 2. The editor notes that Sandel's approach resembles that of the Catholic liberal – or neo-conservative depending on your point of view – R. J. Neuhaus. In his book *What Money Can't Buy*, Sandel says: "The problem with our politics is not too much moral argument but too little. Our politics is overheated because it is mostly vacant, empty of moral and spiritual content." In a remark that could have come directly from Neuhaus's critique of what he called the *Naked Public Square*, Sandel laments the attempts to "banish notions of the good life from public discourse," which insist that "citizens leave their moral and spiritual convictions behind." Sandel's solution is that we need to "reason together, in public, about how to value the social goods we prize".

⁵⁵ This point is treated in detail under the part on neutrality of the state.

⁵⁶ J. RAWLS, *Political Liberalism*, Columbia University Press, New York 1993, p. 12. In his *Theory of Justice*, Rawls is even more emphatic in defending the idea that individuals have rights to be treated justly. A concern with justice is a concern with rights; and rights set limits to what society may demand of or impose on any of its members, no matter what the goods are that society has in mind. According to this formulation he government right interfere in the affairs of individual citizens, not even with the aim of increasing human happiness.

is present particularly in his book *Political Liberalism*, in which he declares that a political conception is freestanding if it looks only to the principles that should govern the political life of society. He seems to have meant that such a freestanding political conception does not present itself as applying to the political realm a comprehensive doctrine about the human good.

The second component, which is about the justification of these "regulative principles" hints at the liberal supposition that the concept of 'right' has primacy over the concept of 'good'. The claim that contemporary liberalism believes that the 'right' is prior to the 'good' is rooted in Kant. In the *Critique of Practical Reason* he argues that the concept of 'good and evil' is not defined prior to the moral law, even though good and evil would seem to serve as a foundation; rather the concept of good and evil must be defined after and by means of the law.⁵⁷

The view that the right is prior to the good is reached because individuals want a guarantee for their individual freedom and individual rights. Individualism in turn demands that all members of society should refrain from imposing their view of the good life on others; otherwise it interferes with the rights of other individuals. For Kant, the non-interference principle means that no one may force anyone to be happy according to his manner of imagining the well-being of other people. Instead, everyone may seek his happiness in the way that seems good to him as long as he does not infringe on the freedom of others to pursue a similar purpose, when such freedom may co-exist with the freedom of every other human being according to a possible and general law. This non-interference is possible only if people desist from being "guided by goods or by the good, but by the right."⁵⁸

Thus, in liberalism the *right* replaces the *good*. This brings us to our point that under liberalism, politics is a morally neutral sphere. The consequence of the replacement of the good by the right in liberalism, is that we cannot, in a classical sense, make a moral judgment, or when we do it is made in terms of "what is

⁵⁷ See I. KANT, *Critique of Practical Reason*, translated by Lewis White Beck, Bobbs-Merrill Library of Liberal Arts, Indianapolis 1956, p. 65.

⁵⁸ P. MANENT, *An Intellectual History of Liberalism*, p.25.

right” and “what is wrong”. This seems to make it more of a legal exercise than moral. Under this view, ethics is understood as a science founded upon the principle of the infinite worth of humanity in all its members; and the basis of this “infinite worthiness of humanity is the autonomy of every rational nature. In turn, politics is understood as a science whose aim is to explicate the conditions under which human rights are to be realized and the freedom of the individual secured in working out his essential ends. The principle upon which politics is founded is that of organic relations of all human wills in the social life.⁵⁹ Consequently, liberalism calls for a government whose chief function is to provide conditions for individual rights. Any political authority and law that tends to limit the freedom of individuals in choosing the kind of life they want for themselves, even if their choice is morally wrong, must be vetoed.

1.4 Neutrality of the state

Liberalism conceives human society as pluralistic in a two-fold sense: a pluralism of persons (sociological pluralism) and a pluralism of values (axiological pluralism).⁶⁰ By “value pluralism” is intended the view that there are many different and incompatible values corresponding to the choices people make of a way of life. Different occupations and different styles of life call forth different sets of values. According to Joseph Raz, they are of value in that each style of life, each pursuit is good and contributes to the well-being of the persons engaged in it. They are incompatible in that no person can combine all of them in one single life, as they call forth different constellations of values; and they require the relative

⁵⁹ According to Thomas Kingsmill Abbott, the translator of Kant’s works into English, the uniqueness of Kant’s philosophy is characterized by having “attached Politics to Right and Right to Morals.” For Kant, he says, politics is the science of the state as the objective organ of Right, its function being to regulate the rightful realization of liberty. In other words, politics is simply the carrying out the modern principle of Natural Right in the light of critical Reason.

⁶⁰ In liberal tradition the multicultural aspect of society is emphasized – society is not culturally homogeneous.

neglect or suppression of other constellations of values which are good in themselves.⁶¹

Neutrality of the state, which is a distinctive feature of contemporary liberalism,⁶² is thought to be the liberal mechanism meant to accommodate this kind of pluralistic society. Liberal theorists make a distinction between two general kinds of state neutrality. The first is called 'neutrality of justification': this requires that the state should not include the idea that one conception of the good is superior to another as part of its justification for pursuing a policy. The second is called 'neutrality of effect': this requires that the state should not do anything which promotes one conception of the good more than another, or if it does, it must seek to cancel or compensate for these differential effects.⁶³

The kind of government that is envisioned by liberalism to function in a sociologically pluralistic society is the one that has a strict duty towards impartiality and which treats people equally. For the pluralism of values, the state should also be neutral in its evaluation of what the good life is. The argument here is that we live in a society that has come to recognize a multiplicity of ways in which a fulfilled life can be lived, without any perceptible hierarchy among them. And even where we do believe that we have discerned the superiority of some ways of life to others, reasonable people may often not share our view. Consequently, for liberals, state neutrality entails the function of the state to protect the rights

⁶¹ J. Raz, *Ethics in the Public Domain: Essays in the Morality of Law and Politics*, Revised edition, Oxford University Press, New York 1994, p. 119.

⁶² W. KYMLICKA, "Liberal Individualism and Liberal Neutrality" in *Ethics*, 99(1989), pp. 883-905, 884, at <http://www.jstor.org/stable/2381238>.

⁶³ A number of writers make this sort of distinction between the forms of neutrality: see A. D. MASON, "Autonomy, Liberalism and State Neutrality" in *The Philosophical Quarterly*, 40(1990), pp.433-452, 434; J. RAZ, *The Morality of Freedom*, Oxford University Press, New York 1986, pp. 114-115; Will Kymlicka too distinguishes between justificatory and consequential (effect) neutrality and points out that the former is what liberal theorists want to uphold. See W. KYMLICKA, "Liberal Individualism and Liberal Neutrality" in *Ethics*, 99(1989), pp. 883-905, 883f, at <http://www.jstor.org/stable/2381238>.

and freedom of all its citizens to identify with their own conceptions of the good, and for every individual person to uphold his or her own judgments about the good life.⁶⁴

In a way, we could rightly say that neutrality of the state is prompted by a worry. The worry is that, if the state takes it upon itself to evaluate conceptions of the good, then the likes of homosexual acts, possession and use of both soft and hard drugs, abortion (i.e., murder), acts of racism and tribalism, and divorce can get prohibited. For such things can be thought by those in power and by the populace at large to against the good of the community. According to liberalism, that is exactly what neutrality of the state is supposed to limit; otherwise, the state will create conditions for disregarding equality and respect for each person's autonomy.⁶⁵

We do not think there is anything bad in seeking to foster equality and respect for persons. However, the problem is that when a state takes a neutral stance in relation to the conceptions of the good life it leads to substantive moral and political consequences that go beyond impartiality and respect for individuals' freedom. Because when the state is disposed not to seek to promote any particular conception of the good life which is presumed to be intrinsically superior or true, it means that the state has assumed a permissive attitude. This permissive attitude is what, for example, Ronald Dworkin expresses as a reason for the importance of the neutrality of the state:

⁶⁴ Cf. C. LARMORE, *Patterns of Moral Complexity*, Cambridge University Press, Cambridge 1987, p. 43. In chapter 3 of *Patterns of Moral complexity* Charles Larmore bases his argument for justification of neutrality of the state on the ideas of pluralism of conceptions of good life and reasonable disagreement.

⁶⁵ Respect of persons and their freedom as justification for state neutrality has been criticized by Andrew D. Mason, who argues that respect of persons may require "non-neutrality" for two reasons: one, respect for autonomy may require the state to favor particular conceptions of the good. Two, respect for persons requires more than respect for autonomy. See A. D. Mason, "Autonomy, Liberalism and State Neutrality" in *The Philosophical Quarterly*, 40(1990), pp.433-452, 434.

Government must [...] leave people free to live as they think best so long as they do not harm others. But the Reverend Jerry Falwell, and other politicians who claim to speak for some 'moral majority,' want to enforce their own morality with the steel of the criminal law. They know what kind of sex is bad, which books are fit for public libraries, what place religion should have in education and family life, when human life begins, that contraception is sin, and that abortion is capital sin.⁶⁶

According to Dworkin, if we want to keep at bay the likes of the "moral majority", we must prohibit appeals to any particular parochial morality (in this case, Christian Morality) in politics. With this kind of permissiveness, the state cannot for example, promote policies that prohibit drug abuse, pornography, or even the policies to eradicate racism, tribalism and poverty.⁶⁷ The question we cannot avoid asking to anyone who intends to sustain such a claim is: under what criterion should the state spend tax-payers money on health programs instead of spending it on sophisticated war arms? But again, why must the government "leave people free to live as they think best"? It is undoubtedly because liberals believe that such freedom is what is good for the people. We think that any claim that upholds one particular principle (freedom in this case) above other principles or values is a moral judgment.

Another concept, which is an important ingredient to liberalism and the neutrality of the state, is tolerance.⁶⁸ Liberalism accepts and

⁶⁶ R. DWORKIN, "Neutrality, Equality, and Liberalism" in Douglas MACLEAN & Claudia MILLS (eds.), *Liberalism Reconsidered*, Rowman and Littlefield, Totowa 1983, p.1.

⁶⁷ Ronald Dworkin is one liberal theorist who argues that neutrality of state, properly understood, requires the state to take a permissive attitude, to pornography, for example. Cf. R. DWORKIN, "Is There a Right to Pornography?" in *Oxford Journal of Legal Studies*, 1(1981), pp. 177-212.

⁶⁸ For instance, Colin M. Macleod, suggests that because tolerance is an ideal which embraces a mild form of perfectionism, it fits well with the egalitarian foundations of liberalism. For Macleod, some of the familiar tensions about the liberal state's relationship to the good that remain unresolved by neutrality may be resolved through tolerance. Cf. C. M. MACLEOD, "Liberal Neutrality or Liberal Tolerance?" in *Law and Philosophy*, 16(1997), pp. 529-559, 529f, at <http://www.jstor.org/stable/3505019>.

emphasizes the importance of tolerance:⁶⁹ people ought to be tolerant in their relations with other individuals in the liberal state. But philosophically, assuming tolerance in moral issues entails among other things acceptance of moral errors and evils – that is, in pursuing the ethical good life, it is permissible for people to not only make mistakes but to deliberately choose to make mistakes, which is to choose against the moral good. This argument is well captured and expressed by J. Raz:

Those who act wrongly because of a reasonable mistake should be excused [tolerated] (though they may still have to make amends). Similarly, the fact that wrongdoing was based on a reasonable mistake affects our judgment of the character and virtue of the offenders. But none of this should induce one to desist from acting on beliefs with which others reasonably disagree.⁷⁰

Tolerance calls individuals to learn and adapt as they see fit.⁷¹ It requires us to accept people and permit their practices even when we strongly disapprove of their practices. If the principle of autonomy is the foundation of the liberal idea of toleration, then no one is supposed to disapprove of the actions of another person... or disapprove of the principle of autonomy. Autonomy demands that the other be left free from external, heteronomous influences which may cause him to change his belief or opinion. Liberalism holds that even in cases when the disapproving person or group has

⁶⁹ The *Advanced English Dictionary* defines “toleration” as: i) a disposition to accept or allow freedom of choice to all manners of behavior, of people or of situation; ii) official recognition of the right of individuals to hold dissenting opinions; iii) the act of accepting something regardless of its merit or demerit; iv) willingness to recognize and respect the beliefs or practices of others without criticism or evaluation; v) acceptance, either reluctant or wholehearted, of a permissible difference.

⁷⁰ J. Raz, *Ethics in the Public Domain: Essays in the Morality of Law and Politics*, Revised edition, Oxford University Press, New York 1994, p. 105.

⁷¹ By extension, tolerance may entail the people’s right to live in ignorance or to pursue knowledge as they think best.

sufficient reasons for disapproval, they cannot call for the intervention of the state in such matters.⁷²

Another reason offered by liberals in support of neutrality of the state, or as to why substantive moral judgments should be kept out of public life is that politicians are not very likely to get the best results from their debates about what is right and wrong. Better forums for moral inquiry are to be found in private life – in discussion with family and friends, in solitary reflection, and in the Church.

For us, and as we shall see in our discussion of Yves Simon's theory of political government at a future date, in particular in our estimation of his treatment of the government's role of communication of excellence and virtue, the state cannot be prohibited from enforcing a conception of the good life and the fundamental moral values; the state cannot help but enforce what is thought to be good. Liberals who uphold state neutrality might well be right in suggesting that politicians and government agencies are ill-suited to the business of guiding individual lives. But since they are, and must be, in that business, it is best that they acknowledge their limitations and try to be more sensitive to those who are perhaps better suited for this task of guiding the lives of individuals.

One of the ways we think could help to make good policy is for the state to see that politicians should not be alone in deliberating on policies that are related to morals. It is necessary for political deliberation to seek and include the thoughts of the community, the clergy, the family, the novelist, and all those who seriously seek the will of God in their lives. It is only by including the community in policy-making that politics satisfies János Kis definition of politics:

⁷² Cf. B. WILLIAMS "Toleration, a Political or Moral Question?", in *In the Beginning Was the Deed: Realism and Moralism in Political Argument*, selected, edited, and with an introduction by Geoffrey Hawthorn, Princeton University Press, Princeton – Oxford 2005, PP. 128-138. See also D. HEYD (ed.), *Toleration: An Elusive Virtue*, Princeton University Press, Princeton 1996, p.226.

Politics is a set of practices through which a community shapes its own identity, adopts the aims and means of collective action, and distributes its burdens and benefits. As such, it is inseparable from common deliberation on shared aims and principles.⁷³

After what has been said above, it is inescapable to conclude that the principle of neutrality of the state does not provide a coherent foundation for morality in the political sphere because a state that strives to maintain neutrality cannot promote morality. For liberalism to make a coherent argument about the neutrality of the state, it must invoke a certain conception of a good life, which by its nature is moral.

2.0 Totalitarianism: Morality Subordinated to Politics

Totalitarianism is no simple concept to define adequately. That this is not a simple problem is evident from the variety of views on the specific meaning, and the origin or causes of totalitarianism. The definition of the notion of totalitarianism is rarely free of vagueness due to some theorists who deny that the reality denoted by the term “totalitarianism” has ever existed. But for many, the term “totalitarianism” is a precise and valid concept that represents the system of state as a “total” political power that seeks to exercise direct, unlimited control over all the significant aspects of all principal institutions of society.

For our purpose, we adopt Zbigniew Brzezinski’s definition of totalitarianism. A profoundly Catholic international strategist who could assess even in their details the goals and strategies of totalitarian states during his time with the Johnson administration and the Carter administration and then setting the political stage for the Reagan administration and the collapse of the Soviet Union, he understood more than any other politically capable human being of the late twentieth and the early twenty-first centuries the nature of totalitarianism.

He was responsible for a rapprochement between the United States and the totalitarian regime of the People’s Republic of

⁷³ J. KIS, *Politics as a Moral Problem*, Central European University Press, Budapest – New York 2008, p.34.

China. He helped allay the aggressive impulses of the former Soviet Union in its relationship with Eastern Bloc countries; and he helped calm the totalitarian nerves of various sectors of the Middle East including Iran when they kept Americans hostage for 444 days until the very day of President Reagan's inauguration (his first term). He understood the foolhardiness of the American war on Iraq and knew how to distinguish a totalitarian state from a government operating by firmly entrenched religious principles. Together with Pope St. John Paul II, Poland considered Brzezinski to be a kind of "saviour" for his efficacious role in the toppling of Soviet totalitarianism.

The advantage of Brzezinski's definition of totalitarianism is that it captures all of what is thought to be its main forms.⁷⁴ Brzezinski's definition is the following:

Totalitarianism is a system where technologically advanced centralized leadership of an elite movement, for the purpose of effecting a total social revolution, including the conditioning of man, on the basis of certain arbitrary ideological assumptions proclaimed by the leadership, in an atmosphere of coerced unanimity of the entire population.⁷⁵

As a political system "totalitarianism" denotes encapsulation of all the domains of human life under the coercive domination of the state.

2.1 The main forms of totalitarianism

The totalitarian state makes a positive effort to penetrate, for the sake of controlling, the public and private spheres of individuals' lives: it attempts to control the economy, the judicial system, religious organizations, and culture. Totalitarianism finds its expression, mainly, in three distinguished forms of political regimes, Communism, Fascism, and Nazism. There exist some

⁷⁴ Hannah Arendt, whose work *The Origins of Totalitarianism* seemed to open an intellectual discussion on totalitarianism, did not include fascism as one of the totalitarian systems. Arendt's work concentrated on Nazism and Stalinism. On this view cf. G. SARTORI, *Democrazia: cosa è*, Rizzoli, Milano 1993, pp. 125-131.

⁷⁵ Z. BRZEZINSKI, "Totalitarianism and Rationality", in *The American Political Science Review*, 50(1956), pp. 751-765, 754.

points of commonality between these totalitarian movements. Following Carl J. Friedrich, Brzezinski describes totalitarian systems as mainly characterized by the following features: an official ideology, a single mass party, a technologically conditioned almost-complete monopoly of all means of effective armed combat and of effective mass communication, and a system of terrorist police control.⁷⁶ The latter characteristic means that any system that qualifies to be called totalitarian, runs a strong central rule that attempts to control and direct all aspects of individual life through coercion and repression.

The idea of an official ideology implies that a totalitarian state pursues some specific goal as a concentrated focus of interest, towards the attainment of which all resources are directed. The ideology and the special goal desired both become the yard stick, i.e., the criterion of judging what is good: whatever might further the goal is good and is supported; whatever might hinder the attainment of the goal is rejected as evil. The purpose of the official ideology is to establish full political, social, cultural and religious control of the population.

In seeking to attain the goals set forth, totalitarianism attempts, through propaganda and inspirational myths in the communication media, to mobilize an entire population to support the official state ideology. As a means or strategy to realizing the totalitarianism's dream of establishing full political, social, cultural and religious control of the population, all totalitarian movements revere science and technology as instruments for a developed industrial system by which it is deemed possible to attain the limits of the potentialities of the society.⁷⁷ For example, Karl Marx (according to Popper) believed that the real power to revolutionize society lies in the evolution of machinery.⁷⁸ This is accompanied with intolerance of activities which are not directed towards the interests and the goals

⁷⁶ Z. BRZEZINSKI, "Totalitarianism and Rationality", in *The American Political Science Review*, 50(1956), pp. 751-765, 754.

⁷⁷ Cf. E. VOEGELIN, *From Enlightenment to Revolution*, John H. Hallowell (ed.), Duke University Press, Durham, North Carolina 1975, p. 112.

⁷⁸ Cf. K. Popper, *The Open Society and its Enemies, Volume II (The High Tide of Prophecy: Hegel, Marx, and the Aftermath)*, Routledge & Sons, London 1945, p.117.

of the state. Basically, all totalitarian systems entail repression or state control of business, labour unions, churches, systems of education, mass media and political parties. The theorists of totalitarian systems advocate an excessive subjection of ethics to politics; they say that morality derives from politics and revolutionary action. We now, briefly, intend to consider each of these three main forms of totalitarianism.

2.1.1 Communism

The term "communism" as we use it today applies to the social, political, and economic movement that aims to eliminate the capitalist order by revolutionary means and to establish a classless society in which goods will be socially owned. The Communist program also obviates religion. The term is sometimes used to refer to the communist ideology or the set of beliefs that drive the movement.⁷⁹ The word "communism" is also used to refer to the final end-goal, the state of affairs anticipated to exist after the abolishment of the capitalist order of society.⁸⁰

It is easy to confuse socialism and communism given that both have similar objectives. They seek similar ends, but by different means. In contrast to socialism, which seeks to eliminate capitalism by evolution, communism seeks the reform by revolution. The ideology that drives the need for revolution rather than evolution arises from the perception of the existing order of society as extremely corrupt, immoral, and beyond reform; and thus there becomes manifest the need to project an alternative society in which these wrongs are absent. Communism as an ideology or belief provides the plan and the program for realizing the alternative order.

⁷⁹ In fact, all totalitarian systems possess an official ideology which consists of an official body of beliefs or mystical aspirations that cover all vital aspects of human life. To this ideology everyone living in that society is supposed to be loyal, at least passively. The use of propagandist strategy is meant to feed or arouse the passions of the masses so that they can be easily manipulated and subjected to unmitigated control.

⁸⁰ L. HOLMES, *Communism: A Very Short Introduction*, Oxford University Press, New York 2009, p. 6.

Communism is also distinguishable from other forms of totalitarianism by its belief in the collective ownership of the means of production and over-emphasis on the centralized governmental control over the economy. According to Archie Brown (the internationally acclaimed Oxford authority on communism), communism developed and draws its support from the working-class movements that seek (in theory) to eliminate classes in society.⁸¹

While the term “communism” is modern, the concept of communism is ancient.⁸² It is often traced back to Plato, who in his *Republic*, outlined a society with communal ownership of property. The word communism later became associated with the teachings of Karl Marx, and he is generally considered the father of modern communism, despite the fact that there were many theorists of various kinds of communism before him like Henri de Saint-Simon (1760-1825), Charles Fourier (1772-1837) and Pierre-Joseph Proudhon. However, this is not to say that the communism which was witnessed in some countries is what Marx had envisaged. Many believe that there is a huge difference between the original communist theory of Marx and the subsequent communist systems.⁸³ There exist some particularities that distinguish various kinds of communist systems, but there are also a number of essential features in the communist systems that make it possible

⁸¹ Cf. A. BROWN, *The Rise and the Fall of Communism*, HarperCollins e-book, New York 209, p. 21.

⁸² The word “communism” in its modern usage, is thought to have appeared in usage for the first time in France in the 1840s. It is believed that Goodwyn Barmby is the one who coined the word and used it to refer to the ideas of thinkers such as Françoise Émile Babeuf (1760-1797) and Étienne Cabet (1788-1856), both of whom advocated the collective ownership of productive property. Cf. L. T. SARGENT, “Communism”, in *Routledge Encyclopedia of Philosophy*, Version 1.0, Routledge, London and New York 1998; D. F. BUSKY, *Communism in History and Theory: Asia, Africa, and the Americas*, Praeger Publishers, 2002, p. 82; E. VOEGELIN, *The Collected Works of Eric Voegelin, Volume 4 – Authoritarian State: An Essay on the Problem of the Austrian State*, Ruth Hein (trans.), Gilbert Weiss (ed.), Columbia: University of Missouri Press 1999, p. 66.

⁸³ L. HOLMES, *Communism: A Very Short Introduction*, New York: Oxford University Press 2009, pp. 1-2.

to group them together and talk in a generalizable way of communism. One such feature is the common origin of communist systems.

Communism finds its full expression in the Marxist-Leninist theory on society, politics and ethics. Marxism views history as nothing but the temporal field of struggle among classes. New modes of production cause an emergence of social classes which after some time, nurture their enemy (anti-thesis) in their midst and then wither away, abandoning their position to the dominant class, which in turn nurtures its own anti-thesis. The culmination of class struggle is in the communist society, which essentially is a classless society.

On the basis of the approach used, and the instruments of power put into play to realize the communist agenda, morality and other social manifestations of convictions that aspire to a transcendent authority are unconditionally and categorically divested of their transcendent character and are rendered subservient to politics and communist revolutionary action. Morality and other aspects of culture must derive their worth from politics and must be justified by politics. Revolutionary action and politics, on the other hand, do not need the justification of ethics. This view is illustrated, for example, by Lenin; while discussing the task of Youth Leagues in imbuing the youth with communist ethics, Lenin says:

It is often suggested that we have no ethics of our own; very often the bourgeoisie accuse us Communists of rejecting all morality. This is a method of confusing the issue, of throwing dust in the eyes of the workers and peasants. In what sense do we reject ethics, reject morality? [...]. We reject any morality based on extra-human and extra-class concepts. [...] We say that our morality is entirely subordinated to the interests of the proletariat's class struggle. Our morality stems from the interest of the class struggle of the proletariat. The old society was based on the oppression of all the workers and peasants by the landowners and capitalists. We had to destroy all that and

overthrow them; but to do that, we had to create unity. That is something that God cannot create.⁸⁴

His speech continues as follows:

That is why we say that to us there is no such thing as a morality that stands outside human society: that would be fraud. To us morality is subordinated to the interests of the proletariat's class struggle. In what does that class struggle consist? It consists in overthrowing the tsar, overthrowing the capitalists, and abolishing the capitalist class. The class struggle is continuing, and it is our task to subordinate all interests to that struggle. Our communist morality is also subordinate to that task. We say: morality is what serves to destroy the old exploiting society and to unite all the working people around the proletariat, which is building up a new, communist society.⁸⁵

From the above citations we can see that morality for the communist Lenin is considered as a merely derived phenomenon from class interests. Thus, ethics, truth, justice, and other moral values are meant to be used as instruments for the advancement of specifiable class interests. For Lenin, there is neither a community of morals nor of conscience ever possible between classes with opposed interests. This tenet basically reckons the domain of morality and the whole of culture (all the spheres which are not reducible to forces and relations of production) as the superstructure of society. Lenin, therefore, walks hand in hand with Karl Marx, who insisted that human activity and human life, and in consequence the conscience of individuals are socially and historically conditioned by the relations of production.⁸⁶

⁸⁴ V. I. LENIN, "The Tasks of the Youth Leagues: Speech Delivered at the Third All-Russia Congress of the Russian Young Communist League October 2, 1920, in *V. I. Lenin: The Collected Works, Volume 31, From April-December 1920*, translated and edited by Julius Katzer, Moscow: Progress Publishers 1966, pp. 283-299, 291. Lenin's speech is found online at: <https://www.marxists.org/archive/lenin/works/1920/oct/02.htm>.

⁸⁵ *Ibid.*, p. 292.

⁸⁶ Cf. L. FONNESU, *Storia dell'etica contemporanea: Da Kant alla filosofia analitica*, Rome: Carocci editore 2006.

2.1.2 Fascism

Some theorists are doubtful whether the Italian version of fascism qualified to be included in the list of totalitarian regime systems.⁸⁷ But with the definition that we have seen above, the question that can genuinely be raised is whether fascism represented a full totalitarianism. But there can be no doubt that the prospectus of fascism was to acquire full totalitarianism.

This is clear from some of the protagonists of the regime themselves. Giovanni Gentile, who is considered the theorist of Italian fascism, for example, described the nature, structure, and objectives of the new fascist state under Benito Mussolini as "*lo Stato totalitario*", a state which would have influence and power over all the aspects of life of the citizens. The idea was that, under fascism, everything temporal (human) and spiritual must be politicized. Mussolini's motto was: "Everything within the state, nothing outside the state, nothing against the state."⁸⁸

The term "fascism" refers both to a totalitarian political movement and to a political ideology.⁸⁹ The word fascism was derived from the term "fasces". Fasces in ancient Rome consisted of a bundle of rods and sometimes with an ax, as a symbol of authority. Generally, fascism developed in relatively advanced societies and as such drew its popular support mainly from the economic elites and the middle class, i.e., those who were comfortable neither with communism nor capitalism.

Contrary to communism, fascism did not abolish the right to private ownership. Even though terror and violence were the primary tools used by this version of totalitarian movement in order to maintain compliance with authority, in the case of fascist movement, the concern was more to bring social change by cultural evolution rather than by a revolution. Though it was conceived as

⁸⁷ Hannah Arendt and George Kennan are among the commentators who disagree that Italian Fascism was a totalitarian system. They opine that Italian Fascism was an extreme case of dictatorship.

⁸⁸ G. SARTORI, *Democrazia: cosa é*, Rizzoli, Milano 1993, p. 131. "*Tutto nello Stato, niente al di fuori dello Stato, nulla contro lo Stato.*"

⁸⁹ R. EATWELL, "Fascism", in *Routledge Encyclopedia of Philosophy*, Version 1.0, Routledge, London and New York 1998.

a reaction to, or negation of socialism, democracy, and liberalism, fascism professed a readiness to incorporate the positive aspects of liberalism, socialism, and democracy into its vision. Fascism, according to Mussolini and Giovanni Gentile, seeks “to employ in its construction whatever elements in the liberal, socialist, or democratic doctrines still have a living value.”⁹⁰ Fascists emphasized also the need for a strong leadership, social and political stability plus an economy that is managed from the center by the government.⁹¹

The emergence of the fascist ideology arose as a Marxist revolt against materialism. This is to say that fascism as an ideology arose as an outcome of the anti-materialist and anti-rationalist revision of Marxism. In this sense, as it has been well articulated by Zeev Sternhell and his colleagues in *The Birth of Fascist Ideology*, it is incorrect to understand fascism as a variety of Marxism or a consequence of Marxism. It is believed that the disciples of Sorel, both from France and Italy were the ones who made this anti-materialist revision of Marxism, and thus contributed to the birth of the ideology that drove fascism.⁹²

As a political movement, fascism arose in several European countries as a reaction or response to the far-reaching effects of the political and social changes that were caused by the First World War and the spread of communism and socialism. In the European milieu of this era, new movements and new ideologies were born from a cultural rebellion to the existing state of order. Sternhell and his colleagues explain as follows:

Before offering its own vision of the world, Marxism began by opposing liberalism, which a century earlier had risen up against absolutism. The same was true of fascism, which conflicted with liberalism and Marxism before it was able to

⁹⁰ S. G. PAYNE, *A History of Fascism 1914-1945*, University of Wisconsin Press, Madison 1995, p. 208.

⁹¹ R. EATWELL, “Fascism”, in *Routledge Encyclopedia of Philosophy*, Routledge, London and New York 1998.

⁹² Z. STERNHELL, M. SZNAJDER, M. ASHERI, *The Birth of Fascist Ideology: From Cultural Rebellion to Political Revolution*, trans. David Maisel, Princeton University Press, Princeton, New Jersey 1994, p. 5.

provide all the elements of an alternate political, moral, and intellectual system.⁹³

This implies that to investigate the origin of fascism, one has to begin by understanding the cultural revolt against the inadequacy of prevailing systems: liberalism, Marxism, positivism, and democracy. In other words, the emergence of fascism as an ideology and as a political regime would not have been possible without the cultural rebellion against the apparent achievements of the Enlightenment and the French Revolution with its blood-stained ideology. This cultural revolt was manifest across Europe at the end of the nineteenth century and the beginning of the twentieth century.

Fascism, as conceptualized by Mussolini, was not limited to criticizing or to overthrowing the existing state of affairs. Fascism was meant to be something more fundamental in the formation of a comprehensive, heroic, political culture. For Mussolini, fascism was a religious idea, which put men in relation to a supra-personal being, to a *volontà obiettiva*. In this mystical sense, fascism was conceived not as a mere reaction to Marxism or to liberalism but as a spiritual force, which pervades all of human moral and intellectual life. The role of a fascist state, according to this conception, was not limited to the functions of order and protection, like the liberal state. Rather, the fascist state was to serve as the inner form and discipline of the total person (*Gesamtperson*), and as power that could permeate the will and the intellect as inspiration of the human person living in community. In short, the fascist state was intended to be the soul of the soul, *l'anima dell'anima*.⁹⁴

The relationship between morality and politics under fascism was at stake because fascism overemphasized the subordination of the individual to a totalitarian state that controls all the aspects of

⁹³ Z. STERNHELL, M. SZNAJDER, M. ASHERI, *The Birth of Fascist Ideology: From Cultural Rebellion to Political Revolution*, p. 6.

⁹⁴ E. VOEGELIN, *The Collected Works of Eric Voegelin, Volume 4 – Authoritarian State: An Essay on the Problem of the Austrian State*, Ruth Hein (trans.), Gilbert Weiss (ed.), University of Missouri Press, Columbia and London 1999, pp. 73-74.

life in a nation. Given that fascism employed coercive force coupled with violence and terror as instruments for the achievement of the objectives of the fascist states, individuals as moral agents under such regimes were deprived of their freedom to determine their life.

2.1.2 Nazism

The third form of totalitarianism is Nazism, or National Socialism. Nazism and Fascism, as ideologies, movements and regimes had common characteristics, but they need not be identified as being the same thing. The essential difference between the two is that Nazism was based on biological determinism while Fascism was not. Nazism stressed the racial superiority of the Nordic, or Germanic type of the Aryan: “The basis of Nazism was racism in its most extreme sense, and the fight against the Jews, against ‘inferior’ races, played a more preponderant role in it than the struggle against communism.”⁹⁵ Black people and Jews were considered to be at the bottom of the racial hierarchy.⁹⁶

The Nazi’s ideological theory regarded the Germanic race as the one destined to govern other races. It was thought that eugenics (programs meant to bring forth persons who deserve to procreate themselves into future generations and to reduce those persons who do not deserve to multiply through procreation) could be used to expand the “master race” (*Herrenrasse*) and limit the other races.⁹⁷ Following this vision, Nazism rejected Marxism for

⁹⁵ Z. STERNHELL, M. SZNAJDER, M. ASHERI, *The Birth of Fascist Ideology: From Cultural Rebellion to Political Revolution*, pp. 4-5.

⁹⁶ It was for this reason that the Nazi philosopher, Martin Heidegger, showed no regret at the execution of his own colleague, Edith Stein, who was a Jewish woman, converted to Catholicism, and became a Carmelite Saint. The editor recommends Heidegger’s the *Black Notebooks*, a series of journals he wrote between 1931 and 1970, to understand his antisemitism.

⁹⁷ The editor notes that in an article written by Donald Aul from Pittsburgh, PA, for the *American Journal of Public Health* (71(1), January 1981) we learn that Margaret Sanger, the inspiration for the global contraceptive movement, was a person who allied herself with Hitler and his associates in the eugenics ideology. Sanger’s slogans were: “Birth control: to create a race of thoroughbreds” and “More children from the fit, less from the unfit. That is the chief aim of birth control.” All one has to do is read a few books that were

its materialism, its lack of hierarchical sense, and for its inability to arouse and utilize personal qualities in individuals. Nazi leaders were opposed to the idea of the abolition of capitalism and the idea that the means of production should be controlled by the working class.⁹⁸

Nazism spurned bourgeois democracy, because it was seen as a depraved form of government that protected inferior and weak people by giving them the possibility to demand for themselves the rights equal to those of the "natural upper class", the elites.⁹⁹ Marxism and democracy were seen to be Jewish tools created to dominate the world.

But, the rise of Nazism should not be understood only as reaction to communism and liberalism, for there were other factors: first, the slow and delayed process of political unification of Germany as a nation; secondly, Nazism arose due to the dissemination of the general romantic reaction to enlightenment. Historians opine that Johann Gottlieb Fichte (1762-1814) was the first German philosopher to advocate for German nationalism. During the period that Germany was occupied by Napoleon's troops, Fichte delivered a series of *Addresses to the German Nation*

written by Sanger to see her intention to ensure that the human race fit her categories for who deserves to live. She advocated giving genetically inferior groups their choice of segregation or sterilization. Sanger invited Hitler's top racial advisor, Eugen Fischer, to lecture in the United States while Lothrop Stoddard, one of Sanger's advisors, went to Germany to meet Hitler. Stoddard, while associated with Sanger, wrote a racist book entitled "The Rising Tide of Color against White World Supremacy." Sanger published articles in her magazine by Ernst Rudin, an infamous Nazi race specialist. A direct quote – that one sees quite often in the literature – from Margaret Sanger goes: "We do not want word to go out that we want to exterminate the Negro population." ... Most of all Sanger hated the Roman Catholic Church whom she feared would destroy the human race by encouraging the poor to defend their God-given right to have children. Sanger called the Catholic Church tyrannical while she was demanding compulsory birth control and sterilization for millions.

⁹⁸ Z. STERNHELL, M. SZNAJDER, M. ASHERI, *The Birth of Fascist Ideology: From Cultural Rebellion to Political Revolution*, p. 248.

⁹⁹ Z. STERNHELL, M. SZNAJDER, M. ASHERI, *The Birth of Fascist Ideology: From Cultural Rebellion to Political Revolution*, p. 238, 250.

which were very influential on the emergence of German nationalism. Fichte spotlighted the spiritual unity or the common identity of the German “*Volk*” in the then absence of political unity. For Fichte, the spiritual identity of “Germanness” is in the German language:

To begin with and before all else, the first, original, and truly natural frontiers of states are undoubtedly their inner frontiers. Those who speak the same language are already, before all human art, joined together by mere nature with a multitude of invisible ties; they understand one another and are able to communicate ever more clearly; they belong together and are naturally one, an indivisible whole. No other nation of a different descent and language can desire to absorb and assimilate such a people without, at least temporarily, becoming confused and profoundly disturbing the steady progress of its own culture. The external limits of territories only follow as a consequence of this inner frontier, drawn by man’s spiritual nature itself. And from the natural view of things it is not simply because men dwell within confines of certain mountains and rivers that they are a people; on the contrary, men live together – and, if fortune has so arranged it for them, protected by mountains and rivers – because they were already a people beforehand by a far higher law of nature.¹⁰⁰

Following this, he called on the German patriots to stand against Napoleon’s troops and defend their nation against French occupation.

Alfred Ernst Rosenberg (1893-1946), the ideologue of Nazism, denounced Christianity as another Jewish creation. Rosenberg and Adolf Hitler believed that it was a mistake to encourage or permit ethnic and linguistic diversity within the Nation. Multiculturalism and multilingualism were said to be impediments to the stability of the German Nation, and to the fundamental Nazi goal, the unification of all German-speaking peoples.

¹⁰⁰ J. G. FICHTE, “Thirteenth Address: The Means for our Preservation until we Attain our Main Object,” in *Fichte: Addresses to the German Nation*, edited with introduction and notes by Gregory Moore, Cambridge University Press, Cambridge 2008, p.166.

Another fundamental element of Nazism is its belief in the need for a strong and charismatic leader, the *Führerprinzip* for the stability of the nation. The collectivity denoted by the German word "*Volk*", according to Nazi ideology, must be inspired by a common creative energy, feelings and sense of individuality. For the management and control of this common creative energy, a strong leadership is needed.¹⁰¹

2.2 The philosophical roots of totalitarianism

Our concern here is to identify the philosophical roots of totalitarianism. Our assumption here is that most forms of totalitarian regimes are identical in their intellectual origin. However, our assumption needs to be examined. There are divergent views on the origins or the roots of totalitarianism.

According to Arendt, the modern totalitarian program of domination differs essentially from other forms of political oppression known to man throughout history such as despotism or tyranny. She says that when the new forms of totalitarianism became "truly totalitarian they started to operate according to a system of values radically different from others".¹⁰² This seems to indicate idiosyncratic tendencies among those who wittingly or unwittingly enter into the totalitarian mindset.

For Hannah Arendt, the novelty of totalitarianism is due to the dynamics of the overlapping of specific elements that formed it and made it possible. Dana R. Villa, a scholar who seems to be of the same mindset as Arendt when it comes to social and political thought, finds in *The Origins of Totalitarianism* the following elements that made totalitarian systems of the past possible (not inevitable): first, the middle class (bourgeois) was fascinated with the possibility of the accumulation of power and unrestrained economic growth, following upon the industrial revolution and French revolution; the decline of the nation-state under imperialism

¹⁰¹ N. GOODRICK-CLARKE, *The Occult Roots of Nazism: Secret Aryan Cults and their Influence on Nazi Ideology*, Tauris Parke Paperbacks, New York 2004, p. 2-5.

¹⁰² H. ARENDT, *The Origins of Totalitarianism*, new edition with added prefaces, Harcourt Brace & Company, San Diego, New York, London 1973, p. 460.

and the rise of pan-ethnic movements; the growing influence of racial-nationalist conceptions of political identity across Europe; the dissolution of the class system because of war, revolution, and economic trauma; the creation of millions of stateless people by governmental abuse of the principle of national sovereignty; the emergence of a fatal alliance between the “mob” and the elite.¹⁰³

Based on the idea that totalitarian domination is radically new, an unprecedented phenomenon in Europe’s economic, political and moral landscape, Arendt draws forth the implication that whoever seeks to locate the roots of totalitarian domination in the past history of humanity is mistaken. Totalitarianism is a unique reality, not an extreme form of what existed before. It is only in the *Human Condition* that Arendt seems to implicitly hint that totalitarianism is a modern expression of a perennial political problem; she says that it has its origin in the traditional substitution of making for acting. She writes:

This attempt to replace acting with making is manifest in the whole body of argument against “democracy,” which, the more consistently and better reasoned it is, will turn into an argument against the essentials of politics.¹⁰⁴

The great temptation to replace acting with making, to replace “men of thought” with “men of action”, according to Arendt, is driven by the desire to control the realm of human affairs with the hope of escaping the contingencies involved. However, action is characterized by the unpredictability of its outcome, the irrevocability of the process, and the plurality of its actors.¹⁰⁵

We can say that totalitarianism was not accidental; it had deeper roots. The common approach is to see totalitarianism as a response to liberalism, and the whole Enlightenment program. Liberalism and the “bourgeois democracy was the common enemy of totalitarian movements: the communist sees it as the breeding

¹⁰³ D. R. VILLA, *Public Freedom*, Princeton University Press, Princeton 2008, p. 212.

¹⁰⁴ H. ARENDT, *Human Condition*, 2nd edition, with Introduction by Margaret Canovan, The University of Chicago Press, Chicago & London 1998, p. 220.

¹⁰⁵ H. ARENDT, *Human Condition*, pp. 221-227.

ground of fascism, while the fascist sees it as the antechamber of Bolshevism.”¹⁰⁶

Due to the industrial revolution and the French revolution, some theorists had begun to realize that both liberalism and capitalism, which focused largely on the rights of individuals resulted in major problems of inequality and insecurity. The initial thought prior to the establishment of totalitarianism focused on the rejection of liberalism and capitalism as the surest and most promising way to the betterment of society as a whole. According to Karl Popper, one of the most famous and profound critics of Marx, the roots of communism lie in the moral indictment of the Enlightenment in general and nineteenth century capitalism in particular. Capitalism, under the motto, “Equal and free competition for all,” suggests Popper, saw the liberal economists tolerate and, sometimes, even justify and defend the crimes of exploitation of workers, including child laborers, in conditions of immense suffering by those who owned the means of production.¹⁰⁷

The outlook which formed the constellation of ideas that were basic to the establishment of totalitarianism was that of having a perfect society, that is, a society without injustice and insecurity, i.e., without the evils of liberalism after the industrial revolution. This, however, was a project that needed a strategy: the first socialists believed that liberalism and its effects could be undone by contravening the property rights liberals held so dearly: instead of ensuring the right to individual, private ownership, socialists worked up a theory that all property should be owned collectively through the central management of the state.

From the observable inequalities and injustices in the social milieu, there was born a longing for an equality, a “craving” for a

¹⁰⁶ P. BAEHR, “Totalitarianism,” in the *New Dictionary of the History of Ideas*, 2005. Encyclopedia.com. 29 April.2015<http://www.encyclopedia.com>.

¹⁰⁷ Cf. K. Popper, *The Open Society and its Enemies, Volume II, The High Tide of Prophecy: Hegel, Marx, and the Aftermath*, Routledge & Sons, London 1945, pp.124-126. According to Popper, Marx’s protest against the evils and crimes committed as a result of capitalism, is a revolt against liberalism. He says that all the forms of modern totalitarianism are only an episode within the perennial revolt against freedom and reason.

perfect society. The longing for a perfect society was supported by the belief (confidence) that if such a perfect society was not at present existing, we can and must make it perfect. This was the same belief that informed the imperialist program of civilization for non-western countries.

But, to trace the philosophical roots of totalitarianism we need to find out the philosophical thinking behind the belief that society can be perfected through and uniquely by human agency. The assumption here is that civil society is purely an artificial product of man's creative intelligence.¹⁰⁸ Politics, in this sense, is assumed to be an art. The profound meaning of this assumption is that nature has no significant role in the social and political life. Yves Simon, Adler Mortimer, and Karl Popper, though from different approaches, are in agreement that totalitarianism is a fruit of the philosophical error of debasing or degrading the role of the concept of natural law in civil society.

For Simon, as well as for Mortimer, the assumption that civil society can be designed or redesigned by human beings, without taking into consideration the naturalness of society, just like an artist can design his artifact, has a complex passage from the social contract theories.¹⁰⁹ Jean-Jacques Rousseau may be thought to be one of the philosophers whose ideas on moral and social perfectibility of man might have introduced this problem. Rousseau had believed that man was by nature good, but that it is the society that corrupts him. This is the same Rousseau who entrusted his five children, shortly after their birth, to an orphanage

¹⁰⁸ The editor notes that this way of thinking is the poesis that Charles Taylor and Carl Trueman have explained. This mode of self-creation on the level of the state, of the nation, or of the individual poses a sharp contrast to the mimetic point of view that considers God to be the author of those societies that strive to be perfect according to the norms of truth and goodness. Indeed, for those who think mimetically, God is the one who perfects lives even in their details – it is up to those who govern the state to adopt a disposition of humility towards the Author of all perfection. For this explanation, see the Editorial in *Africa Tomorrow*, 23(1-2), June-December 2021.

¹⁰⁹ Y. R. SIMON, *Philosophy of Democratic Government*, pp. 267-288; A. J. MORTIMER, *Ten Philosophical Mistakes*, Macmillan Publishers, New York 1985, Chapter 9.

at a time when the sordid circumstances of such orphan homes would almost certainly lead to the early deaths of the children who were stowed away there.¹¹⁰ Rousseau's theory of government elaborates a form of popular sovereignty that defines political government as the acts of the "general will", which derives from all citizens, and therefore applies to all citizens equally. In highlighting this philosophical error, Mortimer is explicit:

In antiquity and in the Middle Ages the three main forms of human association—the family, the tribe or village, and civil society or the state—were all regarded as natural. Only in modern times, beginning with *The Leviathan* of Thomas Hobbes and culminating in *The Social Contract* of Jean-Jacques Rousseau, has civil society or the state been declared to be wholly conventional, not in any sense natural as might be the human family and as are the associations formed by other gregarious animals.¹¹¹

The social science theorists, most of whom were utopian, took the idea of the social contract as being the conventional origin of civil society and believed that being man-made through convention and with the right method and a well-thought-out design, society can be altered and perfected. Such was the thinking that offered the theorists behind the French Revolution a motive and justification for their revelatory and radical actions. The utopian social theorists like Charles Fourier, Saint-Simon, Auguste Comte, Karl Marx and positivists hoped to learn a workable approach of reforming and transforming society from the methods and insights of physical sciences.¹¹²

For Yves Simon therefore, the conception of civil society as a purely artificial thing is erroneous. Simon offers the insight that politics is a work of prudence and not of art. For Karl Popper also, the approach of collectivist-leaning social scientists is founded

¹¹⁰ Editor's note: see C. TRUEMAN, *Strange New World*. Wheaton, IL: Crossway 2022 for a succinct description of Rousseau's point of view and the self-report style of exposition (i.e., expressive individualism) that Rousseau used in his *Confessions*.

¹¹¹ A. J. MORTIMER, *Ten Philosophical Mistakes*, Macmillan Publishers, New York 1985, Chapter 9, 1.

¹¹² Y. R. SIMON, *Community of the Free*, p. 101; *Practical Knowledge*, p. 119.

upon a “profound misunderstanding,”¹¹³ an error he calls “historicism”. In *The Poverty of Historicism*, Popper defines this error as:

An approach to the social sciences which assumes that historical prediction is their principal aim, and which assumes that this aim is attainable by discovering the ‘rhythms’ or the ‘patterns’, the ‘laws’ or the ‘trends’ that underlie the evolution of history.¹¹⁴

The core of the problem, according to this view is that the historicist does not stop or rest after the discovery of the knowable laws (the rhythms, the patterns, the laws and the trends), which are necessary for the prediction of future history. The historicist goes further and becomes a “planning Utopian engineer”¹¹⁵: one who attempts to adopt what may be seen as the most reasonable attitude in order to facilitate the predictable, but impending changes. The phenomenon of totalitarianism begins to show up at the stage when the historicist becomes a “Utopian activist”, who is ready to coordinate the artificial means and forces to accelerate the natural progress.

In this scenario, the successful coordination of the forces for change calls for a centralized power, not just authority. The centralization of power implies the instrumentalization of individuals from and by the acting center of power. The instrumentalization is achieved by manipulating the mechanism of passions and interests of the individuals, social groups and the population; this is characteristic of all forms of totalitarianism.

¹¹³ Cf. K. POPPER, *The Open Society and its Enemies, Volume II, The High Tide of Prophecy: Hegel, Marx, and the Aftermath*, Routledge & Sons, London 1945, pp.77.

¹¹⁴ K. POPPER, *The Poverty of Historicism*, The Beacon Press, Boston 1957, p. 3.

¹¹⁵ K. POPPER, *The Poverty of Historicism*, The Beacon Press, Boston 1957, p. 91.

2.3 Morality in a totalitarian system

Under any totalitarian system the relation between morality and politics takes the form of subservience. Morality is subservient to politics. In our view, what any totalitarian system does to morality is the opposite of the Kantian ethical rule, which states that every person must be considered as an end in herself or himself and not merely as an instrument for some ulterior end. The human being from a totalitarian point of view is not an end in himself but merely an instrument to be used by the leaders in power.¹¹⁶

In general, this view espouses the idea that no special advantage should be given to morality and that the morality or immorality of behavior of a certain class depends on its historical circumstances. This means that a practice can be an ethical one from the viewpoint of a certain class while the same is unethical and anti-revolutionary according to another class. For instance, for communists any violence perpetrated as a resistance against imperialism is a moral act. The perpetrator of such an act is a virtuous person. In principle, to be moral and virtuous in a totalitarian state is to do what the regime demands to be done. Morality is subordinate to politics because the individual conscience is subjected to the collective conscience of the class. There is in the background of the communist revolutionary action the idea of wanting to improve the society without seeking first to change and improve the hearts of individuals. Vittorio Hösle notes this:

Just as much as the expression of modernity and its concept of nature, so too is the objectivism found in Marxism that transforms human beings into cogwheels in history, deprives them of their dignity, and prides itself on its unprejudiced recognition of the logic of power. This results in an elimination of individual responsibility, and in its intensified form, of any individual ethics.¹¹⁷

Morality is always thought to be subordinate and subservient to politics in communist and fascist regimes. We recognize that we still have many totalitarian states in the world even though they do

¹¹⁶ Cf. E. VOEGELIN, *From Enlightenment to Revolution*, John H. Hallowell (ed.), Duke University Press, Durham, North Carolina 1975, p. 70.

¹¹⁷ V. HÖSLE, *Morals and Politics*, p. 57.

not espouse all of the communist and fascist ideological elements. In totalitarian states today, there are no universal values, only reasons of state. The reasons of state understood in terms of political interests and national security have replaced the classical notion of moral value and obligations binding on all peoples and their rulers.¹¹⁸

It is characteristic for totalitarian rulers to set themselves above law and morality in the interests of national security, the national interest and national prestige. Nevertheless, we can critically see the same problem in countries which are not purely totalitarian. Take, for example, what happens when members of parliament (an insignificant number of people) sit to make a law on an issue that is of a moral nature, sometimes even against the popular moral conscience. In that case, the political class (members of parliament, senators, governors, mayors, and other civic officials) pretends to have the power to determine a problem that is of a moral nature. Who has ascribed this power to the political class?

¹¹⁸ H. KUNG, *A Global Ethic for Global Politics and Economics*, Oxford University Press, New York 1998, p. 14-19.

PSYCHOLOGY

Assessment of the Role of Physical Appearance on Attitude Formation

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Abstract

The study intended to investigate and assess the role of physical appearance in attitude formation. In this study the researcher involved a sample of twenty students from Jordan University College psychology department who were divided into four groups. Each group looked at a series of five photos. The photos differed from group to group. Respondents were then asked to answer the designed questions about attitude formation based on the photos they were shown.

Assisted by the supervisor, the researcher collected data by means of asking the respondents to rank five photographed people according to eight variables, one of which was physical attractiveness. There were also interpersonal relationship variables (4) and talent/capability variables (3). All respondents were selected according to their ability to understand the purpose of the experiment – to correlate the rankings with each other – but they were not informed of the principal focus of the research, namely, the physical attractiveness variable. The respondents did not know the people portrayed in the photos which gave objectivity to the data they submitted.

The collected data were analyzed and the findings revealed that the participants in the experiment seemed to connect the physical

attractiveness of the persons who appeared in the photos to their potential to be an intimate friend or a leader. However, men were more likely to be chosen as potential leaders even if they were not chosen as the most physically attractive. Another noteworthy result coming forth from the respondents' comments was that those chosen as likely to be desirable as parents were perhaps chosen by a visible personality trait of an "outgoing" aura rather than simply by their physical appearance.

The participants showed an obvious tendency to disconnect the appearance of an upright religious character from any physical appeal. They also did not seem to be linking physical attractiveness to such qualities as intellectual ability or success.

The experimental process suggests that what happened in the experiment, i.e., making judgments about a person's potential to be an intimate friend or a leader on the basis of a person's appearance and the potential to be a desirable parent on the basis of a visible personality trait of an outgoing aura in a photo could be happening in real life.

The study was modest in its purpose: because of the low number of experimental participants, the researcher did not intend to achieve generalizable results but rather intended to explore relationships among the variables of appearance, intelligence, success, religiosity, potential to be a coworker, potential to be a parent, potential to be a leader, and the potential to be an intimate friend. The study recommends a more thorough investigation in all the interrelationships among the aforementioned factors in other schools and universities and in service-oriented organizations. Conducting studies such as the one the researcher has completed can also help uncover any hidden biases that may affect recruiting personnel and human resource personnel who make important decisions about hiring, promoting, refusing or dismissing.

Introduction

1.1 Background of the study

Why are attitudes so important? Attitudes refer to beliefs and feelings related to a person or event and the resulting behavioral inclinations. Favorable or unfavorable evaluative reactions toward something – often rooted in beliefs and rendered visible by feelings and dispositions for action – define a person’s attitude (Myers, 2010, pp. 123-124).

An attitude is either a like or a dislike, an agreeableness or disagreeableness with something or someone that is an object of concentration or focus.

An attitude is a set of beliefs that we hold in relation to an object, where the object is a person, thing, event or issue. Attitudes can be positive or negative or we can simply have opinions about issues without any strong emotional commitment (Crisp and Turner, 2010).

Attitude formation is a systematic, haphazard or idiosyncratic process of developing a capability to evaluate events, issues, people and things according to impressions garnered by mere exposure, by associative learning, by self-perception, by functions that motivate the development of various personality types, by cognitive processes that arise from inquiries into data presentations, and by judgments based on what is understood through the relevant inquiries. Importantly these ways in which attitudes can be formed apply mostly when there is no prior or existing attitude or knowledge about the attitude object (Lonergan, 1967; Crisp and Turner, 2010).

Attitude formation theories help us understand how a person’s attitude takes shape and why a person might have a particular attitude at any given moment in time. They are important because they often provide clues on how a person will act. Attitudes may exert an influence on job applications, the formation of permanent relationships and the to and fro of daily life interactions. A sampling of theories are as follows:

Mere exposure effect. This is a tendency to develop more positive feelings towards an object or an individual the more we

are exposed to them. No intervening action or interaction with the object is required. There seems to be a positive link between exposure and liking (Myers, 2010, p. 247).

Associative learning. This can be done by forming associative links, either implicitly through classical conditioning or explicitly through operant conditioning (De Houwer, Thomas, & Baeyens, 2001).

- (A) Classical conditioning occurs when a neutral stimulus is paired with stimuli that evoke emotional responses.
- (B) Operant conditioning takes place when rewards reinforce behaviors and punishments weaken behaviors.

Self-perception theory. Myers (2010, p. 146) suggests that we form attitudes not according to exposure or associative learning but from observations of our own behavior. Myers reports that Daryl Bem proposed the idea that when we are not sure what our attitude is about a certain thing, person, or event, we assume the position of someone outside of ourselves and then take an objective look at our own actions to determine how strong our beliefs or attitudes are.

Functional theory. Daniel Katz (1960) speaks of a functional approach: attitudes perform four major functions for the personality that can be grouped according to their motivational dynamism:

One: The utilitarian function is the one that typifies behavioristic learning theory, e.g., reinforcement theory. The positive thought, for example, that your psychology degree will help you get a good job reinforces the attitude that psychology is valuable for you.

Two: The knowledge function derives from the individual's need to give adequate structure to his or her universe. The search for meaning, the need to understand, the trend toward better organization of perceptions and beliefs to provide clarity and consistency all reflect this function. For example, you may like psychology because psychology gives you the ability to understand the human person and human groups in a way that other fields of study do not.

Three: The ego-defensive function explains the attitudes that a person adopts to protect himself or herself from harsh realities in the external world or even from admitting the painful truth about oneself. For example, you might like your psychology degree because you really wanted to become a vet but weren't good enough.

Four: The value-expressive function explains the satisfactions that a person derives from expressing attitudes that mirror his or her personal values and self-identity. Self-expression, self-development, and self-realization are all processes that can bring a person's values to the forefront of his or her actions. For example, you like your psychology degree because it activates your fidelity to the God whom you believe wants you to be a psychologist, and therefore it also gives you an opportunity to commit yourself to helping people and so fulfil the law of love.

Cognitive processes leading to judgments of fact and value:

Perhaps the greatest researcher into the polymorphism of human consciousness is the Canadian Jesuit Bernard Lonergan. His scientific description of "insight" provides a process of attitude formation that corresponds to a person's grasp of her social environment without preconceived biases, notions, or hasty judgments. The process of attitude formation that Lonergan presents in his *Insight: A Study of Human Understanding* (1957) leaves the door open to evaluative judgments of the foci of attitudes that help the person understand emotively and cognitively what he or she is evaluating.

The process for *judgments of fact* follows the same order: (a) the presentation of data, (b) relevant questions about the data in order to reach a full understanding of the data, (c) the earnest effort to answer all questions raised in order to clarify the meaning of the data, (d) the conclusion that the data have been understood, and (e) the judgment that the data really are what they are understood to be. All attitudes are based on judgments.

It should be pointed out that there is another body of data about which a person forms attitudes that are not based on presentations to the observer/perceiver. These are *judgments of value*. These are data presented as understood by another person who has formed

her own attitudes about the data. The issues that the receiver of another person's data must address in order to form an attitude are: Is the one giving me the data a reliable person? Are the data given to me in themselves both understandable and believable? Am I receiving the data by a reliable medium of communication? Almost all literature reviews operate by this procedure unless the researcher writing an article has actually replicated the studies presented in the literature review.

Judgments of value may betray a person's tendency to evaluate the source of the communication in an ongoing sceptical manner: this is an example of an idiosyncratic attitude formation because the one who is presenting the data to be believed may have made a coherent and complete judgment of fact that she is now communicating to another.

1.2 Statement of the problem

It is hardly surprising to learn that almost everything in human beings is determined by physical appearance nowadays. Many people are judged according to how they appear and how attractive they are. Attractive people have an advantage of winning other people's attention and affection. A good example is how celebrities are treated like idols just because they are attractive. Some people are denied job positions and other necessities because they are considered not attractive enough. Empirical research indicates that a person's look and physical features exert a powerful influence on those who interact with the person: the person may have the power to attract and even stimulate a myriad of desires in the ones who interact with her or him. This study, therefore, intends to examine the role of physical appearance on attitude formation, specifically at Jordan University College.

1.3 Hypotheses

1.3.1 General hypothesis

The general hypothesis of the researcher is that people who appear to be physically attractive are viewed as intelligent, more successful, and more appealing as an employee, a leader, a parent, or an intimate friend. Those who are physically attractive are not necessarily considered to be the most religious.

1.3.2 Specific hypotheses

Specifically, the study suggests that:

1. Those who rate people high on physical appearance are likely to rate them as high on other traits.
2. Those who rate people low on physical appearance are likely to rate them low on other traits.
3. The subjects are likely to choose as potential friends those whom they rate high on all categories.
4. The subjects are likely to choose as an employee or leader those whom they rate high on all categories.
5. Those chosen to be the holiest do not have to be rated high on all categories.

1.4 Significance of the study

This study intends to provide useful information on the importance of physical appearance in our daily lives and the interrelationship between how we are treated and how we appear physically. This information is vital to everyone in the society because it raises awareness that we should not judge the book by its cover: there is more to the person than just looks and the smartness of their physical appearance.

Literature Review

2.1 Physical Appearance

This research began more or less in the 1960's when researchers were discovering the powerful influence that physical attractiveness has on human relationships. The findings of the research in this area can be summarized by two general statements: first, people tend to accept as a premise that "what is beautiful is good", that is, individuals of greater physical attractiveness are perceived by others as having more favorable characteristics in general such as higher intelligence, social skills and kindness (Myers, 2010, p. 406, 418). Second, individuals of greater physical attractiveness tend to have more social power and reap more rewards from other people as a result of their physical appearance.

The general attribution that "what is beautiful is good" has received an overwhelming attention from researchers. David

Myers reports the findings of various studies that have reached the following tentative conclusions:

➤ Research shows that those who are highly physically attractive are perceived as having more favorable attributes in general. For example, Myers reports that Eagly and his colleagues as well as Langlois and her colleagues found evidence that individuals high in physical attractiveness are seen as friendlier, more socially skilled and better adjusted than those of low physical attractiveness. (Eagly et al., 1991; Langlois et al; 2000).

➤ Myers reports that according to Jackson and his colleagues and Marlow and his associates, individuals of higher physical attractiveness are also perceived as having greater intellectual competence, leadership skills and good mental health (Jackson, Hunter and Hodge, 1995; Marlowe, Scheindes and Nelson, 1996).

➤ Additionally, Myers reports that according to Judith Langlois and her colleagues, attractive adults are judged as have more occupational competence than unattractive adults (Langlois et al. 2000).

Individuals high in physical attractiveness appear as more popular and sociable when compared to their peers (Feingold, 1992). It is not surprising, then, to discover that others give physically attractive people more smiles and positive looks than they do to those who are rated lower in physical appearance (Kleck & Rubenstein, 1975).

2.2 Physical Attractiveness

Physical attractiveness is the degree to which a person's physical traits are measured as aesthetically pleasing or beautiful. The term often implies sexual attractiveness or desirability, but the attractiveness does not have to carry a sexual implication. There are several factors that influence one person's attraction to another that may not be exclusively physical. Physical attractiveness itself consists of universal perceptions common to all human cultures, as well as characteristics that are culturally and socially dependent. There are also standards for who is physically attractive that are not universal and are not cultural, but rather are completely personal

and individual. The one who appears attractive to me may not appear attractive to you and vice versa.

In recent times, evolutionary psychologists have tried to answer why individuals who are more physically attractive should also on the average be more intelligent and have put forward the notion that general intelligence and physical attractiveness may be indicators of underlying genetic fitness (Myers, 2010, p. 408).

2.3 General Contributing Factors

To reiterate what I have just said, then, physical attraction can be studied from a number of perspectives, including universal perceptions common to all human cultures, cultural and social characteristics and individual subjective preferences. Additionally, the perception of attractiveness can also have an important effect on how people are judged in their applications for employment, in their workplace conduct, in their quest for social opportunities, friendship, sexual possibilities and marriage.

Some physical features are attractive in both men and women particularly bodily and facial symmetry (Myers, 2010, p. 408). Symmetry may appear to be a sign of health because asymmetry signals past illness or injury. One study suggested people were able to gauge beauty at a subliminal level through seeing only a glimpse of a picture for one hundredth of a second. Other significant factors pertain to youthfulness, skin clarity and smoothness of skin; and vivid color in the eyes and hair. What determines physical attractiveness is dramatically different for men in contrast to women.

2.3.1 Symmetry

As I just mentioned, one key to physical attractiveness is symmetry. Humans show a strong preference for individuals whose right and left sides are well matched. Studies shows that women are less attracted to men with asymmetrical faces, while symmetrical faces correlate with long-term mental performance and are an indication that a man has experienced fewer genetic and environmental disturbances such as diseases, toxins, malnutrition or genetic mutations. For more or less the same reasons, men can be attracted to women with symmetrical faces.

2.3.2 Ideal Body

Myers summarizes research conducted by Singh (1993, 1995), Singh & Randall (2007), and Streeter & McBurney (2003) who reported that women who model for fashionable clothing and the women who win beauty pageants reflect a universal male preference for women whose waists are 30% narrower than their hips (Myers, 2010, p. 409). This shape, say the researchers, is the one associated with peak sexual fertility. Circumstances that reduce a woman's fertility such as malnutrition, pregnancy and menopause, also change her shape and hence her ability to attract males. Frederick & Haselton (2007) have reported substantial evidence that women, too, prefer a waist-to-hip ratio suggesting health and vigor. Women seem to prefer a man who has a muscular appearance.

In men the physical ensemble of a slim waist, broad shoulders and muscular chest are often found to be attractive to females. Further research has shown that, when choosing a mate, the traits females look for indicate higher social status, such as dominance, resources, and protection (Myers, 2010, p. 408).

In the eyes of a woman, an attractive man would be able to boast big shoulders, a broad chest, a strong upper back and slim waist area. Females have been found to desire males that are normal weight and have the average waist to hip ratio for a male. Females view these males as attractive and healthy. Males who had the average waist to hip ratio but are overweight or underweight are not perceived as attractive to females. Whether a female is sexually attractive to a male may be determined through the height of the man. Height in men is associated with status or wealth in several cultures. Women prefer men who are taller than they are.

2.3.3 Clothing

A few social scientists in the 19th century studied dress as related to cultures, individuals and social groups, but it was not until the middle of the 20th century that scholars took interest in the social scientific aspects of dress (Roach-Higgins, 1992). Dress is defined as an assemblage of modifications that include use of cosmetics, sun tanning, piercing, tattooing, dieting, exercising and

cosmetic surgery. Body supplements include but are not limited to accessories, clothing, hearing aids, and glasses.

A range of topics might be included under the phrase "social psychology of dress", but we use it to refer to research that attempts to answer questions concerned with how an individual's dress is related to beliefs, attitudes, perceptions, feelings and behaviors that cluster together for those that are observing the dressing style of the individual and for the individual herself who is attracting attention to her dress. The social psychology of dress is concerned with how an individual's dress affects his or her own behavior as well as the behavior of others towards the self (Johnson & Lennon 2014).

In studying the social psychology of dress, researchers have often focused on dress as a stimulus variable; for example, the effects of dress on impression formation, attributions, and social perception or the effects of dress on behaviors (Lennon & Davis, 1989).

Where in early civilization clothes used to keep us warm and relatively dry, today central heating warms the homes of cooler climates, and so reduces our dependence on clothes alone to help us to survive. Clothes have developed from a practical asset to a social marker: they affect the way we see ourselves. They help us to be seen in the light that we wish to be, and exude our personalities and social status.

In a world that is becoming dominated by multimedia, the likelihood of people being judged on the basis of snapshots of their appearance is increasing. Social networking, dating websites and online profiles all feature a visual message that people convey wittingly or unwittingly to an audience. While the salience of facial features on impression formation is well documented, other factors such as clothing also play a role in impression formation.

Clothing can communicate an extensive and complex array of information about a person, without the observer having to meet or talk to the wearer. A person's attire has been shown to convey qualities such as character, sociability, competence and intelligence (Damhorst, 1990). First impressions may coalesce in the fraction of a second (Todorov, Pakrashi, and Oosterhof, 2009).

Our research empirically investigates how the manipulation of small details in clothing may give rise to a variety of first impressions, even those formed very quickly.

Damhorst (1990) states that “dress is a systematic means of transmission of information about the wearer” (p. 1). A person’s choice of clothing can heavily influence the impression they transmit and are therefore a powerful communication tool. McCracken (1988) suggests that clothing carries cultural meaning, and that this information is passed from a culturally constructed world to clothing, through advertising and fashion. McCracken and Roth (1989) suggest that the potency of clothing communication relies on a code. This code represents knowledge about social and cultural norms that members of communities or social groups share. The more people understand the code the more potent the clothing will be at communicating information.

There remains, however, a question about which clothing details make an impact on impressions. Appearance, posture and dress have all been found to communicate a range of personality traits together with occupational and social roles. Elements of body posture and expressiveness are apt also to provide strong visual cues. These include ‘static’ cues such as height, appearance and clothing style and dynamic cues such as facial expressions, posture, body movement, all of which have been shown to communicate accurate impressions of personality (Naumann, Vazire, Rentfrow & Gosling, 2009). By means of open-ended interviews, Johnson, Schofield, and Yurchisin (2002) explored how respondents formed first impressions. They found that clothing, type of suit, shoes, colour and fit of garments all constituted meaningful fragments of information on which the observers based their judgments.

Global styles of dress have been shown to provide crucial information in impression formation. Teachers’ assessment of students’ intelligence, academic ability and behavior have shown to be affected by pupils’ clothing (Behling and Williams, 1991; Behling, 1995). Advertisers capitalize on the powerful influence of clothing to sell products. For example, O’Neal and Lapitsky (1991) demonstrated that when a person was dressed suitably for a task depicted in an advertisement they were perceived as more credible

by participants who were also more likely to buy their products. As well as conveying personal attributes such as sociability, and cognitive abilities like imagination (Damhorst, 1990), clothing conveys information that people use in order to make inferences about personality.

Kwon (권, 1994) asked men and women about the effects of clothing on judgments made in a working environment. Men held stronger beliefs than women about impact of appropriate clothing in a professional setting. Men believed wearing the correct work attire increased the likelihood that others would perceive them as intelligent, competent, knowledgeable, honest and reliable. Bell (1991) tested perceptions of men dressed in four different styles of clothing (daring, conservative, formal and casual) on dimensions of attractiveness, intelligence and popularity. Each style variation communicated a different message resulting in a different combination of attributes. The formally dressed man received all positive judgments (attractive, intelligent and popular), whereas the casually dressed man created the least favorable impression (unattractive, unintelligent and unpopular). Although interesting, the effect that global style changes have on a person's perception is hardly surprising given that the differences in clothing are considerably salient and informative.

2.4 The Halo Effect

The halo effect is a type of immediate judgment discrepancy, or cognitive bias, where a person making an initial assessment of another person will assume ambiguous information based upon concrete information. A simplified example of the halo effect is when an individual notices that the person in the photograph is attractive, well-groomed and properly attired, the spectator uses a mental heuristic that involves his or her own standards for what constitutes goodness to conclude that this photographed individual is a good person.

Research on the phenomenon of the halo effect was pioneered by American psychologist Edward Thorndike who in 1920 reported the existence of the effect in servicemen following experiments in which commanding officers were asked to rate their subordinates on intelligence, physique, leadership and character

without having spoken to the subordinates. Thorndike noted a correlation between unrelated positive and negative traits. The service members who were found to be taller and more attractive were also rated as more intelligent and as better soldiers. Thorndike determined from this experiment that people generalize from one outstanding trait to form a favorable view of a person's whole personality

The halo effect refers to the cognitive bias that the first feature we recognize in another person influences how we perceive that person later. Because visual cues are the first that catch our attention (Bar, Neta, Linz, 2006) they are important for such a halo effect. On the basis of these visual cues, not only the visual attractiveness is obviously apparent, but inferences are also drawn with respect to the person's traits.

The halo effect is generally defined as the influence of a global evaluation on the evaluations of individual attributes of a person, but this definition is imprecise with respect to the strength and character of the influence. At one extreme, the halo effect might be due simply to an extrapolation from a general impression to unknown attributes. Global evaluations might color presumptions about specific traits or influence interpretation of the meaning or affective value of ambiguous trait information. Thus, if we like a person, we often assume that those attributes of the person about which we know little are also favorable.

The halo effect is a fallacy of forming a generally positive assessment of a person from one perceived positive trait of that same person. The halo effect fallacy is based on the halo effect as a psychological tendency many people have in judging others based on one trait that they approve of and concluding that the person must have other attractive traits. This one trait leads to the formation of an overall positive opinion of the person on the basis of that one perceived positive trait. For example, people judged to be attractive are often assumed to have other qualities such as intelligence or moral virtue to a greater degree than people judged to be of average appearance.

2.5 The Horn Effect

The horn effect is a form of cognitive bias that causes one's perception of another to be unduly influenced by a single negative trait. It is the opposite of the halo effect and is sometimes known as the devil effect or the reverse halo effect. It is one of the psychological effects known as bias blind spots. An example of the horn effect may be that an observer is more likely to assume a physically unattractive person is morally inferior to an attractive person, despite the lack of relationship between morality and physical appearance. The negative traits are believed to connect to each other. It is a phenomenon in which an observer's judgment of a person is adversely affected by the presence of an unfavorable trait of this person.

Research Methodology

Our literature review has shown that many of the studies conducted in my research area were using pictures of celebrities in order to obtain their data. Our study therefore introduces a novel element in this area of research because the pictures used as a basis for obtaining data are those of peers (3rd year psychology students). The pictures were so arranged that no one group was looking at the same five pictures.

3.1 Research design

For this investigation, the researcher used a hypothesis testing design, i.e., it was a controlled experiment. An experiment is defined as a test under controlled conditions that is made to demonstrate the verifiability of a truth that is presumed to be known, to examine the validity of a hypothesis that may not yet have been verified, or to determine the efficacy of something previously untried.

3.1.1 Description of the study area

This study was conducted at Jordan University College in Morogoro, Tanzania. Jordan University College is a constituent college of Saint Augustine University in Tanzania.

3.1.2 Study population

The targeted population for this study was Jordan University College students from the Department of Psychology and Counselling.

3.1.3 Sample size and sampling

Total sample size of this study was 20 respondents, clustered into four groups of five each. Their task was to look at the pictures provided by the researcher and answer the questions presented on a written form by the researcher.

3.2 Data collection

There were two sources of data, primary and secondary.

3.2.1 Primary sources

This was the first-hand information obtained by the researcher by means of the questionnaire related to a systematically arranged series of photos and observations. All respondents were filling out the same questionnaire but, as explained, were responding to photos that differed from group to group.

The system for collecting data was so arranged that the researcher could confidently conclude that she was getting valuable information connected to her research objectives, rather than spurious information, unrelated to the research objectives. In other words, her research instruments were clearly designed in a stable, valid and reliable manner in such a way that the participants would give her only information relevant to her objectives. Even though not standardized, the questionnaire was peer reviewed.

Photographs

All photographs were taken with exactly the same background at the same time of day with the same camera. This method was utilized in order to cancel out the possibility that participants might be making judgments according to the context of the photo and not according to the individual pictured in the photo. Professionals judged that the photos were of superior quality so that they did not detract from the dignity of those pictured and so would intensify – not lessen – the seriousness of the experiment.

Questionnaires

Questionnaires were one of the methods the researcher used to collect data whereby the researcher prepared questions on papers that focused on the five photos. Each respondent not only answered closed-ended questions by rating the photos; but he or she was able to write freely about the rationale for rating photos high or low. All participants indeed chose to explain succinctly their rationale.

Observations

During data collection the researcher invigilated the process whereby the students inspected the photos and then gave their responses. No irregularities occurred during the course of the experiment.

3.2.2 Secondary sources

These are the second-hand data obtained from already written materials like books, magazines and articles. The researcher depended on a variety of studies already undertaken about her research topic to know how other populations in varying contexts connected the physical attractiveness of an individual to particular social traits and other dimensions of the photographed person's identity.

Data Analyses

4.1 Group Number One of Respondents

Among the photos presented to Group One, number three was rated most attractive by the entire group while number one was rated least attractive by the entire group. Hence there was a consensus about who was most attractive and who was least attractive.

In this group, there was *no noticeable link between attractiveness and intelligence*. Number three, the one chosen to be most attractive, was rated as least intelligent by all four respondents in the group. Number one, the person perceived to be the least attractive, was rated as of average intelligence.

The person perceived to be the least attractive in the group was appraised as the most likely to succeed by two of the four respondents. The one perceived to be the most attractive was

perceived to be the one most likely to be successful only one time. Hence there was *no hard and fast link between attractiveness and the person's likeliness to succeed.*

A link between attractiveness and the desirability of the persons under appraisal to be employees of the respondents in the group was noticeably absent. Both the attractive and the unattractive persons in the photos were given good ratings for their desirability as employees. A third person under appraisal was not deemed likable as a possible employee even though this person was mid-range on the attractiveness scale.

Among the four respondents in the group, there was disagreement about the desirability of the least attractive person to be one's choice to accept as an intimate friend. The most attractive person, on the other hand, was selected as desirable for establishing an intimate friendship.

The least attractive person was unanimously selected to appear to be the most religious person in the group. Meanwhile, a person who was mid-range on the attractiveness scale was voted to appear as the least religious. Hence *there was no clear correlation between attractiveness and the presentation of the persons in the photos as religious or irreligious in appearance.* The respondents reported that the style of dress for the persons photographed may have had an influence on the respondents' appraisal of their ability to appear religious.

The most attractive person photographed was indicated to be the least likely for the respondents to choose as a leader. The one highly rated as an individual that the respondents would choose as a leader was mid-range in attractiveness.

Hence there was no clear correlation between attractiveness and the likelihood that one would be chosen as a leader.

The person chosen as the most attractive in appearance was rated low as someone desirable as a parent by three of the four respondents. The least attractive person appeared to be average in the respondents' ratings as a person desirable to have as a parent.

SUMMARY FOR GROUP ONE: When one sifts through the data for the first group the only suggestion of a correlation is

between personal attractiveness and that person's desirability as an intimate friend. This correlation was weak, however, because there was an indication in the group of respondents that the least attractive person could be desirable as an intimate friend.

4.2 Group Number Two of Respondents

It must be remembered throughout the analysis of this group that numbers one and two were both rated high on physical attractiveness. Number five was rated as the least attractive.

Photographed person number one was rated three out of four times to be the most intelligent in the group: this is a slight confirmation of the "beautiful is good" stereotype. Number five, the least attractive, however, also received a high rating for intelligence: this means that the correlation between attractiveness and intelligence was not a strict one. What the respondents said about the reasons for their choices seems in place: it is possible that the style of clothing worn by the photographed persons influenced the respondents in their rating of apparent intelligence. The clothing style could also have given a reason to respondents to rate a person high in attractiveness.

The person rated as the one most likely to succeed received only an average score on attractiveness. There was disagreement about the one rated as least attractive: this person was indicated by some to be the second most likely to succeed, and by others as the least likely to succeed. The most attractive person was rated as the least likely to succeed. Hence *the "beautiful is good" hypothesis received no support if the ability to succeed is the factor under examination.*

One's desirability as a person to be employed did not link to the attractiveness stereotype. The least attractive person was selected as one whom the respondents would like to employ; the most attractive individual was rated low for her desirability as someone to employ. The respondents generally reported that they ranked photographed individuals as potential employees according to their abilities to appear both serious and friendly.

Three of the four respondents indicated that they would want the one they chose to be the most attractive to be their intimate friend. The one person they chose to be the least attractive seemed

to pose an ambiguity for the respondents because he was the only man among the photographed persons while the other four were women. This datum, therefore, confirms the link expressed as “beautiful is good.”

Those rated the most attractive were also esteemed as the most religious. This seems clearly to have been a ranking based on the dignity of the clothing they were wearing. The same style of reasoning seemed to be in evidence in the choice of the least religious in the group. She was mid-range on the attraction scale but her short dress seems to have been the factor that swayed the respondents to esteem her unanimously as the least religious.

The most attractive did not receive a high ranking for their desirability as leaders. The least attractive, however, received a high ranking. The respondents reported that their criterion for this variable was the ability to appear confident and focused.

The ranking of the photographed individuals on the variable of desirability as a parent showed unanimously that one of the persons voted to be the most attractive was also voted to be the one most suited to be a parent. Observable features from the photograph of this person seemed to confirm that “beautiful is good” and indicated that clothing style and physical bearing revealed a gestalt that would indicate this person to be morally integrated and socially sophisticated enough to communicate moral values to her children.

SUMMARY FOR GROUP TWO: In this group, there seemed to be interconnectedness between attraction and the appeal to be an intimate friend and between attraction and suitability to be a parent, since the respondents chose the same photo in each of these scenarios. There was ambiguity, however, because the one voted to be the least attractive was the only man among the photographed individuals and so the low rating he received in desirability as an intimate friend may have been related to gender. When it came to the ability to be a good parent, there was a clear preference by all for the most attractive person to be a desirable parent.

4.3 Group Number Three of Respondents

In the course of this data analysis, it must be remembered that number two was rated as the most physically attractive, and number three as the least physically attractive.

The most physically attractive to the members of this group also appeared to be the most intelligent: this was a unanimous result of the ranking. The least physically attractive, on the other hand, was ranked low on the variable of intelligence. *This result confirms the hypothesis that "beautiful is good," when the "good" in question is that of intelligence.*

The assessments of photographed individuals brought forth rankings for the potential ability to be successful, based on appearance. The respondents reported that a confident appearance seemed to influence the rankings on this variable. As a result, *both the least and the most attractive of the photographed individuals motivated the respondents to affirm that they were the most likely to succeed.*

Both the physically attractive and the physically unattractive tended to be ranked low as desirable persons to be employed. The persons who were ranked high on this variable were considered to be mid-range on the attractiveness scale. Hence respondents did not seem to factor in physical attractiveness when they considered whom they would like to employ.

The respondents did not affirm that physical attractiveness is the principal factor in making a choice for an intimate friend. The ones ranked highest as the most likely to be chosen as an intimate friend were both the most attractive and the least attractive – hence the absence of a correlation.

The respondents' perception of who seemed to be the most religious depended largely on the clothing of those photographed. One of these people was ranked as mid-range in the attractiveness category, but she was accepted as the most religious by all respondents because she dressed in fidelity to the custom of her Islamic community. *The one selected as least attractive was ranked highly among those who appeared religious because of the elegance and respectability of her clothing. The one voted most attractive, on the other hand, was given a low ranking on the*

religious scale because she was dressed in a short skirt and did not seem to give forth a religious tone to her demeanor.

The most attractive person was chosen as the one with the greatest potential to be a leader. The respondents noted that she seemed to exude confidence and wisdom. The one ranked as the least attractive took a mid-range position on the leadership scale. One who was mid-range on the attractiveness scale was also perceived to be confident and wise: it is to be noted that this was the only man among the photos.

The least attractive person was rated highly for her potential to be a kind, empathic, respectful parent who could guide a child. The most attractive person, however, was evaluated as average in her presentation of herself as a potential parent.

SUMMARY FOR GROUP THREE: There seemed to be a link between a photographed person's level of attractiveness and the person's penchant to be rated high (a) as a potential leader and (b) an intimate friend for others. The correlation for variable (a), however, was not perfect since the least attractive actually achieved a mid-range ranking as a potential leader. An even more glaring ambiguity was present in the ranking of variable (b): both the most attractive and the least attractive were ranked highest in their desirability as intimate friends.

4.4 Group Number Four of Respondents

It is to be noted that number four was selected as the most attractive person physically, and number three was identified as the least attractive.

The one ranked most attractive, however, was ranked as of only average intelligence. The least attractive person was rated as low in intelligence, but not necessarily the lowest. To the respondents, she seemed to lack confidence. There was very little correlation, therefore, between intelligence and the "beautiful is good" stereotype.

The most attractive person according to the group's rankings showed herself as highly likely to be successful. The person ranked the least attractive, however, earned the ranking of the one with the least chance of being successful. The respondents indicated that

she seemed to lack confidence. This statistic indicates that there was a correlation between attractiveness and the appearance of an ability to succeed.

The one ranked as the most attractive of the photographed individuals was rated high in desirability for the choice to be an employee because she seemed to be outgoing. The respondents chose the least attractive, number three, as someone they would not easily desire to employ – they said that she looked “too serious”. This result supports the “beautiful is good” stereotype.

The respondents chose the one designated to be the most attractive as the one with whom they would like to share an intimate friendship. They explained that this person exuded charm. The one ranked as least attractive, however, received the lowest rating as one desirable as an intimate friend. The respondents claimed that she was not charming enough. This statistic supported the hypothesis that “beautiful is good”.

Number five was rated as the most religious four times because she was dressed in Muslim attire. This datum makes it clear that *there was no relationship between the photographed person’s rank on attractiveness and her appearance as the most religious*. The same trend towards disconnecting physical attractiveness from the appearance of being religious manifests itself with the individual ranked as least attractive. She still received a favorable ranking on her religious appearance because of the modesty of her clothing and her humble posture

According to the respondents’ choice of the person who would be a suitable leader, they seemed to be a departure from an emphasis on attractiveness and a studied attention given to gender. *The only male in the group was rated as the most desirable one to be a leader even though he did not get an extraordinary rating on attractiveness*. Indeed, one respondent went out of her way to rate this man high in intelligence: she seems to have linked the appearance of intelligence with the apparent ability to be a leader. *Nevertheless, the one voted most highly on attractiveness still received a high ranking on the variable of the apparent capability to be a leader*. The least attractive among those photographed was rated as average in the apparent ability to be a leader.

Number four was rated high on the respondent's choice for a parent three times because she was easy to talk to and seemed outgoing. This confirmed the stereotype that the physically attractive people are good in personality.

Numbers one, two and three were rated second highest twice as potential parents because numbers one and three seemed to have the fear of God so they would raise the children uprightly and number two because his expression showed love, care and trustworthiness. Hence the least attractive was considered in a positive light as capable of being a loving, upright and trustworthy parent. There were two, however, who ranked this person low in her ability to be a parent.

SUMMARY FOR GROUP FOUR: This group showed a marked tendency to link the person who seemed to be the most physically attractive to (a) likelihood to succeed; (b) desirability to have as an employee; (c) desirability to have as an intimate friend; (d) desirability to have as a leader, and (e) likelihood to be a caring, upright and trustworthy parent. The respondents seemed to have rated one's appearance as someone intelligent or as someone religious independently of the physical attractiveness variable.

It was also noteworthy that the variables according to which the most attractive person was ranked highly corresponded to variables where the least attractive person was ranked at a more mediocre level. Hence the correlations in this group seemed to be more in evidence than in the other three groups. This was especially true for the person's desirability as an intimate friend, to be successful and to be desirable as an employee. The most attractive was ranked very high on these variables; the least attractive was ranked low.

A final note about this group: their comments seemed to conceive of physical attractiveness as more than bodily/ facial appearance and clothing: the adjective "outgoing" to describe this person was mentioned a number of times as the rationale for ranking her highly on the variables assessed by this particular experimental design.

Summary, Discussion and Recommendations

5.1 Summary

The main purpose of this study was to appraise the importance of physical appearance in attitude formation. The general hypothesis was formulated as follows:

People who appear to be physically attractive are viewed as intelligent, more successful, and more appealing as an employee, a leader, a parent, or an intimate friend. Those who are physically attractive are not necessarily considered to be the most religious.

The researcher used photos of persons belonging to the same age group and class and then formulated questions pertinent to determining the parameters according to which respondents judged the people whom they were viewing in the photographs.

The study was conducted at Jordan University College and the respondents were second-year psychology students who were supposed to answer the questions by looking at the persons in the photos. Those in the photos were third-year psychology students and had no lectures or activities in common with second-year students.

5.2 Discussion and Conclusion

It was evident from the present research that the physical attractiveness of photographed persons was coalescing with the clothing worn by those photographed. This means that rankings according to physical attractiveness could really have been rankings according to choice of clothing. This was quite evident in the variable of one's presentation as oneself as a religiously inclined person. It also seems to have drawn attention to personality traits that, indeed, may be expressed through physical appearance without being substantively physical. Hence, such personality traits could have affected the respondents' rankings of the photographed persons without any link to physical attractiveness: the respondents' own comments seem to support this observation.

For the present research, the results obtained from carefully organized data that included meaningful feedback from the

respondents while they were in the process of ranking five photographed people according to eight categories shed light on why observers link physical appearance to non-physical variables. At the same time, however, it did not show convincing evidence that physical attractiveness is a dominant reason for ranking persons high or low on other variables that do not include physical attractiveness as an intrinsic component. What we learn from the results is as follows:

In only one group, group number four, was the hypothesis supported by the correlations that emerged from the respondents' rankings. The person ranked as the most physically attractive was also ranked as (i) the most likely to succeed, (ii) the most desirable to have as an employee, (iii) the most desirable to have as an intimate friend, (iv) the most preferred to be a leader, and (v) the most desirable as a parent. The correlations on these variables became even more substantiated because the one ranked as the least physically attractive was also given more mediocre rankings for these same five variables.

From the data collected from the present research, a measure of support for the hypothesis emerged from an analysis of the relationship between physical attractiveness and the person's desirability as an intimate friend.

Physical attractiveness and the choice to be an intimate friend:

- As already mentioned, the persons they rated high on physical attractiveness were also rated high as the choice to be an intimate friend in group number four. The correlation between these two variables was even more in evidence in group number four because the one rated lowest on physical attractiveness was given a low ranking in desirability as an intimate friend. In the other groups, the ones rated as the most highly attractive were usually rated high as potential intimate friends. Very rarely did a respondent rate someone as the most physically attractive and then rate them low as a potential intimate friend.
- The correlative link between physical attractiveness and the desirability to accept a person as an intimate friend was by no means perfect.

- In group three, both the most physically attractive and the least physically attractive were ranked high on the variable of desirability as an intimate friend.
- In group number two, there were two people who shared an equally high rank for being the most attractive person; but one of them was ranked high on the variable of desirability as an intimate friend and the other was marked lower. The one chosen by this group as the least attractive – apparently because of his clothing – was the only man in the group of five photos. He remained in mid-range as a potential intimate friend. From the respondents' comments, the researcher had every reason to believe that gender influenced the attitude towards the desirability for intimate friendship more than physical appeal.
- Group number one showed the same ambiguity concerning the possible correlation between physical attractiveness and desirability as an intimate friend because not only the most attractive but also the least attractive were given high rankings as people desirable to have as intimate friends.

The hypothesis was verified that the variable of a person's presentation of self as having a religious orientation to his or her personality may not necessarily be connected to physical appearance. This research showed evidence that respondents were not linking physical attraction to the person's presentation of the self as a religious person. This could have been the result of a mental heuristic that separates religion from physical attractiveness:

- The ones rated high in the most religious category were not rated high in any other category. This accords with the hypothesis that suggested that the one who appears to be religious in one's bearing does not link easily to other categories like the most physically attractive, the most intelligent, the most successful or the most desirable as an intimate friend.
- In group number one, the person ranked as the least physically attractive was unanimously ranked as the one who presented herself as the most religious. In groups

three and four the least physically attractive was given favorable rankings as the most visibly religious.

- However, this is not universally true. In group number two, the two most physically appealing were also ranked as the ones most visibly religious.

The hypothesis for the variable of intelligence presented a mixed conclusion:

- In group number one, the person ranked as the most physically attractive was ranked as the least intelligent. The least physically attractive person, on the other hand, was ranked mid-range on the variable of intelligence.
- In group number two, the person ranked as the most physically attractive was ranked as highly intelligent, but also the person considered to be the least physically attractive was ranked as highly intelligent.
- In group number three, the correlation was clear: the most physically attractive person was also appearing to be the most intelligent, while the least attractive person received a low ranking on intelligence.
- As mentioned above in group number four, there was no clear correlation between physical attractiveness and intelligence.

The hypothesis linked physical attractiveness to the perception that those who are attractive are capable of being good parents. This hypothesis received support, but it added another factor to the physical attractiveness variable. The person may seem attractive because her or his bodily disposition seems genuinely outgoing. Hence a visible characteristic more associated with personality than with physical appeal seems to have been operative in the link with desirability as a parent.

- Groups number two and four indicated a high ranking as desirable parents for those who were ranked quite physically attractive.
- Groups one and three indicated a mid-range towards a low ranking on the desirability as a parent variable for those ranked as quite physically attractive.

- Groups one, three, and four, on the other hand, ranked the least physically attractive from mid-range to high according to the variable of desirability as a parent.

OVERVIEW: A close analysis of the data suggests that there may be correlations between physical appearance as depicted in photographs and some relational qualities such as the desire to choose a person as an intimate partner or the desire to have one as a leader. A distinction seems in place for the trait of desirability as a leader: men seem more likely to be rated more highly than women. The photos also seemed to carry attitudes that are benchmarks for interpersonal relationships but not necessarily connected to physical attractiveness. Employability, success in life, and desirability as a parent may be examples of qualities that photos can reflect in their presentations of individuals without the suggestion of an observable link between these photos and physical attractiveness per se.

Our observations at the beginning of this discussion about clothing seem to have been very much in place. For future studies, clothing must be considered according to systematically selected variants, or maintained as a constant, as far as possible, to exclude spurious variation that clothing may introduce into the research on physical attractiveness.

Not only the feedback received through the questionnaires but also the researcher's observations during the process of analyzing the data suggest that the respondents' tendencies to make judgments based on physical appearance in the photos do indeed typify what people are inclined to do in real life.

We reiterate once again that there may not be any correlation between holiness and physical attractiveness. This supports the conviction that people may not evaluate moral integrity according to physical appearance.

Because of the low number of respondents in this study we may call it suggestive without giving conclusive certainty to the correlations that surfaced. Hence, we may call it a pilot study.

5.3 Recommendations

This style of research could be meaningfully conducted among certain groups of employees that work in a homogeneous occupation that perhaps relies much on physical appeal in the public square: (a) journalists; (b) actors, actresses, singers and musicians; (c) politicians; (d) people professionally associated with mosques or churches; (e) people involved in social services; (f) people involved in the world of sports; (g) parents and caregivers; (h) employees in businesses, both small and large; (i) shop and market personnel; (j) health care personnel; (k) administrators, teachers and counselors who work in the various educational systems; and (l) public relations personnel in all the above categories.

Because gender obviously affects not only physical appearance but also interpersonal relationships, it would seem more efficacious for the researcher to establish an equal number of males and females in the photographs, an equal number of males and females as respondents, and – according to the professions involved – consider making some groups homogeneous in gender and doing the same for the photographs presented to the groups. Hence the researcher could have photos of ten males or ten females presented to a group consisting of ten males or ten females, another cluster of photos consisting of five females and five males presented to a group of ten that is homogeneously either male or female, and another cluster of photos consisting of five females and five males that is presented to a group that consists of five males and five females. In other words, all possible variations according to the gender of those photographed and the gender of the respondents should be considered.

According to this scenario, the number of total groups covering all the necessary variables would be chosen according to the needed sample sizes that correspond to the populations in question. There is a need for further studies of this kind in other schools and universities. Care should be taken to select a number of variables that correspond to traits that bear directly on relationships, for example, desirability as a coworker, as an intimate friend, as a brother or sister in the same family. As sample sizes increase, of course, so may the generalizability of the data. It will also be good

if future studies expose much larger subgroups to each set of photos to get more generalizable data. The same photos should not be used for all respondents because idiosyncrasies of the persons photographed may cause spurious effects in the respondent data.

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BUSINESS AND FINANCE

Challenges Customers Face with Payment Of Value- Added Tax (VAT) In Tanzania

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Abstract

In Tanzania, the Value-Added Tax (VAT) is an important source of revenue for the economy. It plays a pivotal role in economic growth and development. However, it is faced with numerous unknown challenges.

This study therefore, aimed at bringing to light and assessing the challenges customers face on VAT payments and tax administration of the VAT collection in Tanzania with a special focus on the case of Morogoro Municipality.

A purposeful sampling technique was used to select five (5) representative wards. There ensued a random sampling to select

the participants in the study that could reflect as accurately as possible the disposition of the ward populations of which they were samples. A total of 76 VAT registered customers were interviewed. A multiple linear regressions model was used to ascertain the relationship between the dependent variable, poor VAT collection and payment, and ten independent variables that could have contributed to the state of things represented by the dependent variable.

Major results from regression analysis showed that a lack of consumer awareness, laxity in tax authority commitment, unclear laws and procedures, and an increase in administrative expenditure and compliance costs were statistically significant in their effect on the dependent variable. Also, poor technology, massive lengthy cross-checking each month, poor administration, and inadequate monthly returns for small firms were statistically significant in their own effect on the VAT collection. It was thus concluded that there are various problems facing customers on VAT payments and tax administration on VAT collection in Tanzania. On the basis of these findings, the study recommends the Tanzania Revenue Authority should train the taxpayers about the rules and regulations of VAT continuously to enhance voluntary tax payments. Perhaps the Government of Tanzania should invest more in Electronic Fiscal Devices (EFDs) as up-to-date methods that simplify not only VAT collection but also income tax collection processes and hence increase government revenue.

Keyword: *VAT, Customer, Electronic Fiscal Device (EFD), TRA*

1.0 Introduction

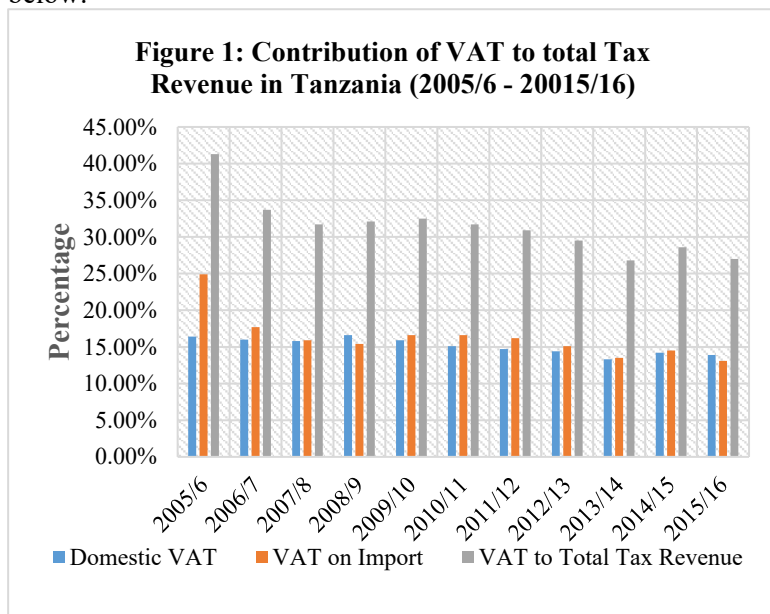
Value Added Tax (VAT) is an important source of revenue for economic growth and development of any country. It is a consumption tax charged by VAT Registered traders on all taxable goods and services at a standard rate of 18%.¹ It is a broad-based business tax imposed at each stage of the production and distribution process.²

¹ <https://www.tra.go.tz/index.php/value-added-tax-vat>, Accessed on Tuesday, 9th July, 2019.

² T.L. Minh (2007), “*Estimating the VAT*”, 203.

In Tanzania, VAT is administered by the Tanzania Revenue Authority (TRA), a semi-autonomous government agency established by Act of Parliament No. 11 of 1995, that started its operations on 1st July 1996. All taxpayers in Tanzania are registered under the Taxpayer Identification System (TIN system), and the registration criterion is annual business turnover which currently is Tshs. 100,000,000. Any person with a turnover of Tshs. 100,000,000 or above must register for VAT.

Reports show that in Tanzania, the VAT (both domestic and import) contribute substantially to the total tax revenue; however, it has decreased by 14.3% from 41.3% in 2005/2006 to 27.0% in 2015/2016. This indicates that the government has been losing its revenue.³ However, reasons for this decrease are not known; and if the problem is not addressed, the causes for the decrease will retard the growth and development of the economy of the country. Hence the poverty reduction initiatives cannot succeed. We see this below:



³ O. Fjeldstad – *al.* (2018), *The Customer is King*, 31.

Available studies on challenges in the VAT collection show that there has been a misunderstanding on the part of the public in general and on the part of the business community in particular regarding the VAT laws. Some traders resist registering for the VAT. Moreover, it was found that some traders provide understated financial reports, while others failed to issue invoices or issued illegal invoices.³ There is a noticeable problem because of a negative perception in regard to the fairness of the VAT.⁴ Other studies have indicated weak collection systems, an inadequate controlling mechanism at the center, a lack of awareness among tax payers, an improper way of disclosing their income and a lack of manpower and experienced staff. These are only some of the main challenges in VAT collection⁵. Lack of education, high cost of the devices used, a lack of sufficient technical experts, persistent power outage, and time loss due to inadequate device operation have also been reported.

In Ethiopia, it was found that, there are several administrative problems at the branch office level which compromises the VAT collection efforts. These include awareness problems on the part of tax payers and employees, shortage of job specific training for employees, nonexistence of well-organized organizational management, and manual working procedures⁶. In Hawassa City, it was reported that both the taxpayer community and the customers themselves misunderstood the VAT. In tandem with this problem was an administrative incapability that posed a challenge to the effective collection of VAT⁷. The use of Electronic Tax Registers (ETRs) improved timely reporting of the monthly VAT returns; but there continued to be major problems faced by the taxpayers. The problems that continued unabated were impermissible expenses due to the problems occasioned by ETR suppliers, the lack of consistency and transparency in imposing penalties on tax

⁴ S. Tareke - *al.* (2013), “*Problems and Prospects of VAT*”, 1-16.

⁵ Y. Chane - H. Mohammed (2014), “*Assessment on the VAT collection problem*”, 1-36.

⁶ A.B. Mezgebo (2013), “*VAT Collection Practices*”, 1-82.

⁷ W. Jerene (2016), “*Challenges of VAT Collection*”, 13-18.

personnel, maintenance costs and time-consuming processing, and increasing compliance costs.⁸

In India, the majority of the consumers pay taxes, but they are not much aware of the VAT.⁹

While the above studies have explained various challenges in VAT collection globally, little is available to explain the challenges faced by customers in paying VAT in Tanzania. This study therefore, has aimed to investigate and understand those challenges.

1.1 Theoretical perspectives

To explain the challenges faced by customers in VAT paying, this study employed three theories, namely, Socio-Political Theory, the Ability to Pay Theory, and Benefit Received Theory.

1.1.1 Socio-Political Theory

Social and political objectives should be the major factors in selecting taxes. A tax system should not be designed to serve individuals who seek a comfortable lifestyle but the society as a whole. Each economic problem should be looked at in its socio-political context, and an appropriate solution found accordingly.

It is said that human behavior in the area of taxation is influenced by social interaction in much the same way as other forms of behavior.¹⁰ Compliance behavior and attitudes towards the tax systems may therefore be affected by the behavior of an individual's reference group such as relatives, neighbors, and friends.¹¹ If a taxpayer knows many people in his group who evade taxes, his commitments to comply will decline. On the other hand, social relationships may also help motivate individuals to comply and to shy away from tax evasion behavior in fear of the social

⁸ H. K. Mohammed - Z.D. Gela (2014), “Challenges of Electronics Tax Register Machine”, 17-22.

⁹ P. Kumar – S.S. Sarkar (2016), “Consumers Perception towards the VAT”, 48-58.

¹⁰ K. Snavey (1990), *Governmental policies*, 57-72.

¹¹ The editor notes that this is what Charles Taylor has defined as the “social imaginary” – see Editorial, *Africa Tomorrow*, 23(1-2), (June/December 2021), 8.

sanctions imposed once discovered.¹² This theory, to a large extent, supports the fiscal exchange theory and negates the economic deterrence theory. The society that collaborates with the government that, in its turn, advocates good governance has a better chance to comply with laws and regulations including tax laws. The government feels motivated to comply with what benefits the social welfare of the citizenry.

1.1.2 The Ability to Pay Theory

This theory originated from the sixteenth century and received academic endorsement from the Swiss philosopher Jean Jacques Rousseau (1712-1778), the French political economist Jean Batiste Say (1767-1832) and John Stuart Mill (1806-1873), an English economist. The argument that is put forward by the theory is that the income of an individual or their ability to make payment determines how much taxation should be levied on the individual, i.e., the taxes should be levied according to an individual's ability to pay. Public expenditures should come from business. Therefore, the theoreticians who advocate ability-to-pay taxation argue that those who earn higher incomes should pay a greater percentage of those incomes in taxes compared with those who earn less.

The ability to pay theory receives attention in this study because it suggests that individuals who have greater income and can actually afford to make tax payments should be taxed at a higher rate of taxation than those individuals who earn less income which results in the most equitable tax system. This study offers as an axiological norm the conviction that equality and distributive justice must cohere with each other.

Implications of this theory for this study extend to the tax systems and norms that help increase government revenue. However, the theory does not spotlight the essence of VAT due to the fact that individuals earn significantly different amounts of income and therefore have different abilities to purchase goods and services. According to government norms, VAT is regressive,

¹² H. Grasmick - W.J. Scott (1982), "*Tax evasion and mechanisms of social control*", 213-230.

since it only captures a smaller proportion of an individual's income even as their income improves¹³.

1.1.3 Benefit Received Theory

The benefit principle is a concept in the theory of taxation from public finance. It is based on the principle that taxes are to be paid for benefits that come forth to the taxpayer from goods and services provided by the government. This theory proceeds on the assumption that there is basically an exchange relationship between taxpayers and the state. The state provides certain goods and services to those who live within the purview of the state, and they contribute to the cost of these supplies in proportion to the benefits received. Therefore, taxes should be allocated on the basis of benefits received through government expenditure.

The principle is sometimes likened to the function of prices in allocating private goods. In its use for assessing the efficiency of taxes and appraising fiscal policy, the benefit approach was initially developed by Knut Wicksell (1896) and Erik Lindahl (1919), two economists of the Stockholm School. Wicksell's near-unanimity formulation of the principle was premised on a just income distribution. The approach was extended in the work of Paul Samuelson, Richard Musgrave¹⁴, and others¹⁵. It has also been applied to such subjects as tax progressivity, corporation taxes, and taxes on property or wealth.

1.2 Conceptual Framework

Tax is a compulsory levy imposed on a subject or upon his property by the government to generate the needed revenue for the provision of basic amenities and for the creation of enabling conditions for the economic development of the society.¹⁶ Taxation is, therefore, one among other means of revenue generation of any government to meet the need of the both the government and citizens.

¹³ S.M. Jones - S.C. Rhoades (2011), *Principle of Taxation for Business*, 36-40.

¹⁴ B. Hansjürgens (2000), “*The Influence of Knut Wicksell*”, 95-116.

¹⁵ R.A. Musgrave (1959), “*The Theory of Public Finance*”, 71-89.

¹⁶ M.S.K. Ifurueze- C. A. Ekezie (2014), “*The Tax System*”, 163-169.

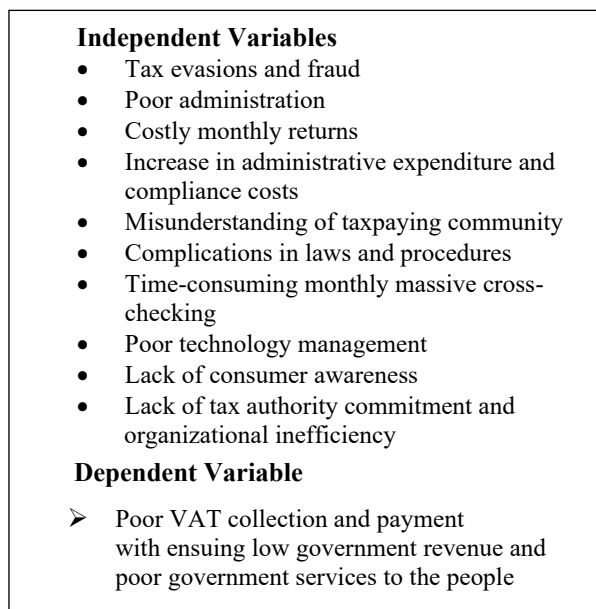


Figure 2 Conceptual Framework

Source: Developed by the Researchers, 2019

2.0 Methodology of the Study

2.1 Description of the Study Area

The study focused on the assessment of the challenges facing the customer required to pay the VAT and impinging apparently with tension on the tax administration on the VAT collection in Morogoro Municipality. The Morogoro municipality is one of the six districts of Morogoro region in Tanzania. It has a total population of more than 315,866 people.¹⁷ The social-economic activities in Morogoro municipal are agriculture, tourism, wildlife and forestry. Administratively, the municipality is divided into 29 wards and 275 sub-wards.

¹⁷ URT (2012), *Census*, 56.

2.2 Research Design

The study employed cross-section research design. Researcher used it in order to facilitate the smooth sailing of the various research operations, thereby making research as efficient as possible yielding maximal information with minimal expenditure of effort, time and money.

2.3 Target Population

The targeted populations in this study were all VAT registered traders in Morogoro Municipality and TRA officials. Since it was difficult to find the exact total number of the registered VAT customers necessary to constitute a population, we chose to use both purposeful and convenience sampling techniques.

2.4 Sampling Technique and Sample Size

2.4.1 Sample Size

This study used a sample size of 75 VAT registered traders from Morogoro Municipality and 1 key informant from TRA, all of whom were purposefully selected. This size was obtained from the Table for determining the minimum returned sample size for a given population size as proposed by Bartlett et al.¹⁸ The researcher used a table for determining the sample size of 75 respondents because the margin error of 0.05 was appropriate for this study.

2.4.2 Sampling Technique

A purposive sampling technique was employed in selecting five wards in Morogoro Municipality based on their potential in business. Fifteen VAT registered business people were purposefully selected from each ward.¹⁹ The purposive sampling was used to sample participants in a strategic way, so that the sampled VAT registered traders would be relevant to the research questions that would be posed.²⁰

¹⁸ J.E. Bartlett. - J.W. Kotrlik, - C.C. Higgins (2001), *Organizational Research*, 43-50.

¹⁹ D.R. Cooper - S.P. Schindler (2003), *Business Research*, 359.

²⁰ A. Bryman (2015), *Social Research*, 418.

2.5 Data Collection

The data were obtained from both primary sources and secondary sources. Primary data for this research were collected using a semi-structured questionnaire administered to the TRA official; and structured questionnaires were administered to the target respondents under study. Secondary data were obtained through a review of the literature, especially previous reports from TRA.

2.6 Data Analysis

The collected data were coded, recorded, cleaned, processed; finally, qualitative data were analyzed using the Statistical Package for Social Science (SPSS) to compute descriptive statistics such as percentages, frequencies and standard deviations. Also, in order to achieve the more insight concerning the quantitative relationships of the specified objectives and answer the questions set, the study employed Multiple Linear regressions.

2.6.1 Multiple Linear Regressions

$$Y = \beta_0 + \beta_i X_i + \mu$$

Whereby:

β_0 = the y-intercept at time zero (this is a constant).

β_1 = regression coefficient that measures a unit change in the dependent variable when the first independent variable (X_1) changes.

β_2 = coefficient value that measures a unit change in the dependent variable when the second independent variable (X_2) changes.

$\beta_3 \dots \beta_{10}$ = coefficient values that correspond to the measures of unit changes in the dependent variable when each of the eight remaining independent variables ($X_3 \dots X_{10}$) changes.

Y = Dependent variable i.e., VAT collection

X_i = Independent variables (i=1, 2, 3, 4...10) X_1 = Tax evasion and fraud X_2 = Poor administration X_3 = Costly monthly returns X_4 = Increase in administrative expenditures and compliance costs X_5 = Misunderstanding of taxpaying community X_6 = Complications in laws and procedures X_7 = Time-consuming monthly massive cross-checking X_8 = Poor technology management X_9 = Lack of consumer awareness X_{10} = Unstable commitment of tax authorities μ = Error term

Equation to establish the contribution of the ten independent variables to the consequent dependent variable, viz., poor VAT collection and payment:

$$Y = \beta_0 + \beta_1 X_1 + \beta_2 X_2 + \beta_3 X_3 + \beta_4 X_4 + \beta_5 X_5 + \beta_6 X_6 + \beta_7 X_7 + \beta_8 X_8 + \beta_9 X_9 + \beta_{10} X_{10} + \mu$$

2.6.2 Unit of Measurement

It is imperative to consider units of analysis and units of observation when designing a research project. A unit of analysis is the entity that a researcher wishes to say something about at the end of the study, and it is considered the focus of the study. A unit of observation is the item (or items) that the researcher observes, measures, or collects while trying to learn something about the unit of analysis.

Table 1 Variables of Multiple Regression Model

Variables: Type, Measurement, Expected Sign

Dependent Variable: VAT Collection

Type: categorical; Measurement: High or Low (+ or -)

Independent Variables: Type, Measurement, Expected Sign

1. *Tax evasion, X_1* ; dummy. Measurement: If Yes, 1; Otherwise: 0; Exp. Sign (-).
2. *Poor administration, X_2* ; dummy. Measurement: If Yes, 1; Otherwise: 0; Exp. Sign (-).
3. *Costly monthly returns, X_3* ; dummy. Measurement: If High, 1; Otherwise: 0; Exp. Sign: (-).
4. *Increase in administrative expenditures and compliance costs, X_4* ; dummy. Measurement: If High, 1; Otherwise: 0; Exp. Sign: (+/-).
5. *Misunderstanding of taxpaying community, X_5* ; dummy. Measurement: Cat 1 = Yes; Cat 2 = No; Exp. Sign: (-).
6. *Laws and procedures, X_6* ; dummy. Measurement: If Good, 1; Otherwise: 0; Exp Sign: (+).
7. *Lengthy monthly massive cross-checking, X_7* ; dummy. Measurement: If time consuming, 1; Otherwise: 0; Exp. Sign: (-).
8. *Poor technology management, X_8* ; dummy. Measurement: If Yes, 1; Otherwise, 0; Exp. Sign: (-).
9. *Consumer awareness, X_9* ; Categorical. Measurement: Cat 1 = Yes; Cat 2 = No; Exp. Sign: (+).
10. *Degree of commitment for the tax authority, X_{10}* ; categorical. Measurement: If Yes, 1; Otherwise: 0; Exp. Sign (+).

3.0 Results and Discussion

3.1 Multiple Linear Regressions

To gain more insight on the relationship between various factors and the tax revenue collection, the study opted to use quantitative regression. The model specification was described as follows:

$$Y = \beta_0 + \beta_i X_i + \mu$$

$$Y = \beta_0 + \beta_1 X_1 + \beta_2 X_2 + \beta_3 X_3 + \beta_4 X_4 + \beta_5 X_5 + \beta_6 X_6 + \beta_7 X_7 + \beta_8 X_8 + \beta_9 X_9 + \beta_{10} X_{10} + \mu$$

Model: 1	R: 0.835 ^a	R²: 0.697 Adjusted R²: 0.650	Std. Error of the Estimate: 0.248
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a. Predictors: (Constant), tax authority commitment, complicated laws and procedures, poor administration, tax evasion and fraud, increase in administrative expenditures and compliance costs, lengthy monthly massive cross checking, consumer awareness, misunderstanding of taxpaying community, costly monthly return for small firms, poor technology management.

From the study results, the R value of 83.5% indicated that the explanatory variables were highly correlated to the dependent variable (i.e., the challenges facing VAT registered customer to pay VAT). In this study, the R-squared value of 0.697 indicated that explanatory variables accounted for 69.7% of the variations in the dependent variable. Therefore the study results revealed that the predictors – i.e., tax authority commitment, law and procedure, poor administration, tax evasion and fraud, increase in administrative expenditure and compliance cost, lengthy monthly massive cross checking, consumer awareness, misunderstanding of the taxpaying community, costly monthly return for small firms and poor technology management – have a potential to explain up to 65.0% of the challenges facing VAT registered customers to pay VAT (Adjusted R Square = 0.650).

Analysis of variance (ANOVA) results provide information about variability within a regression model and so could be used

as a basis for testing the significance of the model. Table 3 presents the results.

Model: 1	Sum of Squares	df	Mean Square	F	Sig.
Regression	9.196	10	0.920	14.939	0.00 ^b
Residual	4.001	65	0.062		
Total	13.197	75			

Table 3: ANOVA^a

a. Dependent Variable: VAT collection.

The researcher used an Analysis of Variance in order to determine the influence that independent variables have on the dependent variable in our regression study. The coefficient F indicates that the model was appropriate, since the ANOVA coefficient in our study was $F=14.939$ at $P<0.000$.

Table 4: Estimated Results from Linear Regression Analysis.

Table 4 presents the estimated study results from linear regression analysis through SPSS 20. The levels of significance for the various independent variables are what deserve the attention of the statistician:

Model	Coefficients (B)	Std. Error	Coefficients Standardized Beta	T	Sig. Level
(Constant)	0.775	0.064***		12.036	0.000
X ₁	-0.001	0.028	-0.002	-0.021	0.983
X ₂	-0.072	0.034**	-0.249	-2.090	0.041
X ₃	-0.089	0.037***	-0.317	-2.430	0.018
X ₄	0.061	0.033*	0.223	1.828	0.072
X ₅	0.044	0.035	0.161	1.254	0.214
X ₆	0.164	0.024***	0.660	6.686	0.000
X ₇	-0.052	0.025**	-0.210	-2.073	0.042
X ₈	-0.117	0.046***	-0.407	-2.545	0.013
X ₉	0.116	0.036***	0.396	3.218	0.002
X ₁₀	0.197	0.039***	0.433	5.079	0.000

Number of Observations = 76

Note: the asterisks ***, **, and * represent .01, .05, and 1.0 significance levels respectively. See the last column.

F = 14.939 at P < 0.000. R² = 0.697, Adjusted R² = 0.650.

Dependent Variable: VAT Collection

Regression analysis shows that among the explanatory variables i.e., consumer awareness (X₉), tax authority commitment (X₁₀), laws and procedures (X₆), increase in administrative expenditures and compliance costs (X₄) were statistically significant and positively related to the dependent variable. Moreover, four explanatory variables, i.e., poor technology (X₈), lengthy monthly massive cross checking (X₇), poor administration (X₂) and costly monthly returns for small firms (X₃) were

statistically significant and negatively related to the dependent variable. Two variables were not significant: one showed a tendency to be positively related and the other negatively related, but because they had not reached a level of significance these relationships could have been due to spurious variation.

Therefore, using regression output the multiple linear equations would be:

$$\begin{aligned} \text{VAT Collection (Y)} \\ = 0.775 - 0.001X_1 - 0.072X_2 - 0.089X_3 \\ + 0.061X_4 + 0.044X_5 + 0.164X_6 - 0.052X_7 \\ - 0.117X_8 + 0.1166X_9 + 0.197X_{10} \end{aligned}$$

Poor Administration: the study findings revealed that poor administration met an a priori expectation of a negative relationship to the VAT collection. It was found to be statistically significant at the .05 level and was negatively related to the dependent variable. This implies that when there is an increase in poor administration by one (1) unit, the VAT collection decreases by 0.072 units. This result is consistent with the findings of various related studies that found that VAT administration continues to be a major problem in the Tanzanian taxation system and the whole economy.²¹ This has resulted in frequent conflicts between traders and TRA officials and the government.

Monthly Returns for Small Firms are Costly: this variable was found to be negatively related to the VAT collection and highly statistically significant at the .01 level of significance. When there is an increase in the cost for small firms by 1 unit, the VAT collection decreases by 0.089 units. This implies that most traders make their purchases and often are given fake tax invoices and/or are not given any receipt at all in their purchases in order to avoid tax (tax evasion). When traders demand the correct receipt, they are not given one; hence during the submission of the monthly VAT return and the claim for the input VAT on their purchase, TRA deny them because they are illegal. This result is consistent

²¹ P. Walalaze (2017), "Administration of VAT", 1-2; J. Aizenman - Y. Jinjarak (2008), "The collection efficiency of the Value-Added Tax", 391-410.

with the related studies which found that increased costs for small firms affect the VAT collection.²²

Increase in Administrative Expenditures and Compliance Costs: this variable was found to be positively related to the VAT collection implying that increase in administrative costs in monitoring the VAT by one unit increases the VAT collection by 0.061 units. It was found to be statistically significant at the 1.0 level of significance. This study result implies that the VAT collection is affected by both administrative and compliance costs. The study result is in line with the study done by Agha and Haughton (1996).²³

Laws and Procedures: this variable was found to be positively related to the VAT collection and highly statistically significant at the .01 level. This implies that when there is an increase in simple laws and procedures by 1 unit, the VAT collection will increase by 0.164 units holding other factors constant. It is true that tax laws compel VAT registered customers to pay the VAT in the Morogoro Municipality. The result is consistent with the findings of many studies which found that tax laws and procedures affect the VAT collection positively and hence increase tax compliance.²⁴

Lengthy Monthly Massive Cross Checking: this variable was found to be negatively related to the VAT collection at the .05 level of significance. This implies that when monthly cross checking (auditing) is delayed by one unit, the VAT collection will decrease by 0.052 units. Based on the study findings, the researchers recommend that the TRA should devote much less time to monthly massive cross checking in order to minimize the collection expenses and, therefore, to increase the quantity of the VAT gathered.

Poor Technology Management: This factor was found to be highly statistically significant at the .01 level with a negative

²² P. Walalaze (2017), "Administration of VAT", 73.

²³ A. Agha - J. Haughton (1996), "*Designing VAT Systems: Some Efficiency Considerations*", 303-308.

²⁴ C. Silvani (1992), "*Improving Tax Compliance*", 69-82; S. James, - C. Alley (2004), "*Tax Compliance, Self-Assessment and Tax Administration*", 3-14.

correlation to the VAT collection. This implies that when there is an increase of poor monitoring of the use of electronic fiscal devices (EFDs) by 1 unit, the VAT collection decreases by 0.117 units holding other factors constant. VAT management relates to how tax authorities implement the duties delegated to them. Therefore, if the technology used is well monitored and controlled, the VAT collection will increase.

Consumer Awareness: this variable was found to be positively related to the VAT collection and highly statistically significant at the .01 level ($p = 0.002$). This implies that an increase in consumer awareness will increase the VAT collection. This result is in line with the findings of the related studies which have found consumer awareness to be positively related to the VAT collection.²⁵ The study suggests that education for VAT registered customers plays a pivotal role in the VAT collection; hence it should be evident that VAT is not paid by the entrepreneurs or producers.

Tax Authority Commitment: Commitment influences behavior independently of other motives and attitudes and, in fact, might lead to persistence in a course of action, even in the face of conflicting motives or attitudes. It was found to be highly statistically significant at the .01 level and positively related to the VAT collection. The result implies that an increase in tax authority commitment by 1 unit will increase the VAT collection by 0.197 units.

1.5 Conclusion and Recommendation

The rise of insufficient implementation of administration procedures for the VAT in Morogoro Municipality by the TRA have contributed to poor collections of the VAT. Hence, immediate measures need to be undertaken by the TRA authority, together with businessmen and other stakeholders in order to make sure that there are overall improvements in VAT administration. The study recommends that TRA should train the taxpayers about the rules and regulations of VAT continuously to enhance voluntary tax

²⁵ A.O. Oladipupo, - F.P. Izedonmi (2013), "Public Perception and Attitude towards Value Added Tax", 126-135.

payments. The Government of Tanzania has to invest more in Electronic Fiscal Devices (EFDs) as the modern method that simplifies not only VAT collection but also income tax collection process and hence increase government revenue.

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PHILOSOPHY (PSYCHOLOGY)

My Dream – The Foundations of Ubuntu Ethics within the African Soul

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Abstract

This philosophical reflection envisions an Africa rooted in the principles of Ubuntu ethics, where empathy, inclusivity, and shared humanity define the societal landscape. It explores the transformative potential of a collective vision, portraying a vibrant tapestry woven from dreams and aspirations. Through themes of communal engagement, ethical leadership, and the embrace of attentiveness, this work highlights how interconnectedness fosters a culture of understanding and cooperation. The narrative presents this future as an anticipation of a New Jerusalem – a place of hope and unity – inviting readers to consider their role in shaping a just and equitable society. Ultimately, it emphasizes the importance of collective responsibility, interpersonal thoughtfulness, and the wholehearted pursuit of the knowledge born of attentiveness as pathways to liberation and social transformation.

Keywords: *Ubuntu, Ethics, Empathy, Inclusivity, Collective Vision, Social Justice, Community Engagement, Ethical Leadership, Attentiveness, Transformation, Interconnectedness, Hope, Unity, Global Responsibility*

Introduction

In the quiet stillness of dawn, I find myself wandering through a landscape that feels both familiar and extraordinary—an Africa woven from dreams and aspirations. This envisioned continent pulses with life, a vibrant tapestry where the very essence of humanism flourishes. Here, the air vibrates with the promise of a new era, one defined by empathy, ethics, and inclusivity. Each step I take resonates with the ideals of Ubuntu, a philosophy that underscores our interconnectedness and shared humanity.

As I stroll with piercing eyes through this vivid tapestry, I am invited to reflect on the deeper meanings behind this transformation, pondering the values that anchor this society. This New Africa is not merely a distant fantasy; it is a collective vision that beckons us toward a brighter future — towards a New Jerusalem. It is a space where hope and unity intertwine, where the past is honored, and the potential for growth and healing is embraced. Through this philosophical reflection, I seek to explore the foundations of Ubuntu ethics, illuminating the pathways that lead us toward a more just, compassionate, and inclusive world. In this journey, we will unravel the intricate threads that bind us together, fostering a sense of global responsibility that empowers each individual to contribute to the greater good. Welcome to an exploration of an Africa where dreams soar and humanity thrives.

Rationale for the Philosophical Reflection

Despite the rich cultural heritage and potential of the African continent, many societies continue to grapple with systemic injustices, inequality, and fragmentation. The pervasive issues of corruption, lack of ethical leadership, and social disconnection hinder progress and undermine the principles of democracy and human rights. Additionally, traditional educational systems often fail to foster critical thinking, the desire to explore, and community engagement, limiting the capacity for societal transformation.

In this context, there is a pressing need for a paradigm shift that embraces the foundational values of Ubuntu—empathy, inclusivity, attentiveness and interconnectedness—as means to address contemporary challenges. Without a concerted effort to promote ethical governance, empower citizens, and cultivate a

culture of lifelong learning, the dream of a unified and equitable Africa may remain elusive.

This reflection seeks to articulate the urgency of this transformation, exploring how the principles of Ubuntu can serve as a guiding framework for fostering collective responsibility, social justice, and a shared vision of a brighter future for all.

This philosophical reflection aims to give depth to a vision of an Africa that is grounded in the rich ethical framework of Ubuntu. The rationale behind this exploration includes several key considerations:

a. *Cultural Reclamation.* As Africa continues to navigate the complexities of globalization, it is essential to reconnect with indigenous philosophies like that of Ubuntu that emphasize community, interconnectedness, attentiveness, and shared responsibility. This reflection seeks to highlight the relevance of these values in addressing contemporary challenges.

b. *Ethical Framework.* By examining Ubuntu ethics, the reflection provides a moral compass for guiding individual and collective actions in the pursuit of social justice and equity. It underscores the need for ethical leadership and communal engagement in creating a just society.

c. *Empowerment Through Education.* Education is portrayed not merely as a means of acquiring knowledge but as a transformative journey that fosters critical consciousness and the ability to live insightfully. This reflection advocates for an educational paradigm that embraces attentiveness, humility, forgiveness, sharing and lifelong learning, essential for personal and societal growth.

d. *Collective Responsibility.* The narrative emphasizes that building a better future requires active participation from all citizens. It encourages a sense of agency and responsibility, fostering a culture of solidarity where individuals recognize their role in shaping their communities and the broader world.

e. *Vision of Hope.* In a world often overshadowed by division and conflict, this reflection offers a hopeful vision of unity and collaboration. It positions today's Africa as an anticipation of a

New Jerusalem—a place where diverse voices converge to create a harmonious society committed to the common good, both within the fabric of the vicissitudes of Africa’s present moment and in the eternal joy of her heavenly home as promised from within the Divine Milieu.

f. *Interconnectedness.* The reflection draws attention to the idea that our fates are intertwined. By embracing Ubuntu’s principles, individuals can cultivate empathy and understanding across cultural and ideological divides, facilitating dialogue and cooperation.

g. *Inspiration for Action.* Ultimately, this philosophical exploration serves as a call to action, inviting readers to engage with the principles outlined and to envision their role in manifesting this dream. It seeks to inspire a movement toward a more inclusive, attentive and compassionate society, one that honors the dignity of every individual.

In essence, this reflection is not just an exploration of ideas but a blueprint for transformation, advocating for a future where empathy, ethical governance, and communal solidarity pave the way for a just and equitable world. Welcome to this exploration of the Africa that begins to live as she was meant to live, where dreams soar to the heavens and humanity thrives.

The Essence of Leadership

In this envisioned Africa, leaders emerge not as tyrants or self-serving politicians but as guardians of the people’s collective spirit. I pause to ponder: what does it mean to lead with integrity? The leaders I observe in this New Africa engage in a dialogue that resonates with authenticity, in a dialogue that recognizes the sacred trust placed in them by their communities. They embody humility, the ability to forgive and restore, the insight to fortify those who are principled, the heart to embrace the wisdom of the ages while remaining open to the fresh perspectives of the young.

This leadership is a manifestation of Ubuntu, which teaches us that "I am because we are."¹ It emphasizes that a leader's strength is not solely in his authority but in his commitment to the well-being of the community. Each decision is made not in isolation but in consultation with those they serve, creating an environment where every voice matters, particularly that of God.

In this landscape, leadership transcends mere power; it becomes a symphony of voices harmonizing for the common good. Each leader acts as a conductor, guiding the orchestra of society, ensuring that every instrument, every individual, contributes to the collective melody. This is leadership rooted in love, respect, and mutual understanding.²

As I witness their efforts, I reflect on the nature of responsibility—how true leadership lies not in the propensity to command but in the capacity to listen, to empathize, and to inspire. These leaders understand that their role is to uplift others, fostering a culture of collaboration and shared vision. They create spaces where dialogue thrives, where ideas can flow freely, and where the wisdom of the community and the God who created it informs the path forward.

In this vision of Africa, leadership becomes a sacred trust, a commitment to nurture the human spirit according to the charisms God grants it and fostering resilience in the face of challenges. Here, integrity is not a buzzword; it is a lived reality that finds its anchor in God, shaping the very fabric of governance and community engagement. Each leader serves as a mirror reflecting the values of compassion and inclusivity, attentiveness, justice and

¹Cf. John S. Mbiti, *African Religions and Philosophy* (London: Heinemann, 1990). This book examines the depth of African spirituality and philosophy, emphasizing the interconnectedness of people and ideas across cultures.

² Cf. Desmond Tutu, *The Book of Forgiving: The Fourfold Path for Healing Ourselves and Our World* (New York: Harper One, 2014). Tutu discusses the moral imperatives of leadership in the African context, emphasizing forgiveness, reconciliation, and the importance of community.

fortitude, inspiring others to embody these ideals in their own lives.³

In this profound reflection, I am reminded that the essence of leadership is not found in titles or accolades but in the quiet strength of those who dedicate their lives to serving others.⁴ It invites us all to consider our roles within our communities, urging us to cultivate the qualities of empathy, humility, and integrity that can transform the landscape of leadership, ensuring that we build a future where every individual thrives.⁵

The Practice of Good Governance

In this envisioned Africa, the practice of good governance stands as a pillar of society's vibrancy and resilience. Governance is not merely a bureaucratic function but a dynamic, participatory process that involves citizens at every level. As I survey this landscape, I am struck by the profound commitment to transparency, accountability, integral growth in truth and goodness, forgiveness, restorative justice, and principled leadership, all rooted in the philosophy of Ubuntu.

Engaging the Community: At the heart of good governance is the active engagement of the community. Citizens gather in town halls and forums, not as passive recipients of policy but as active participants in shaping the laws and regulations that govern their lives. I observe how leaders facilitate these discussions with openness, encouraging diverse voices to contribute. This collaborative approach fosters a sense of ownership and

³ Cf. Peter M. Senge, et al. *The Necessary Revolution: How Individuals and Organizations Are Working Together to Create a Sustainable World* (New York: Doubleday, 2008). This book highlights case studies from Africa that illustrate collaborative leadership and sustainable practices in various sectors.

⁴ Abel Chikanda, "Ethical Leadership in Africa: A Case Study of Nelson Mandela," *African Journal of Political Science*, vol. 6, no. 2, 2011, pp. 47–60. This article analyzes Nelson Mandela's leadership style and its ethical implications for contemporary African leadership.

⁵ Cf. Kwame Gyekye, *African Philosophical Thought: The Akan Conceptual Scheme* (Philadelphia: Temple University Press, 1995). Gyekye discusses the ethical dimensions of leadership rooted in African philosophies, particularly focusing on the importance of community and moral responsibility.

responsibility among citizens, reinforcing the idea that governance is a shared endeavor.

As I listen to the exchanges, I am reminded of the importance of dialogue in fostering understanding and cooperation. All dialogue takes place within a sacred milieu so that the voices of truth and goodness may invigorate a forum that is principled in its rendering of upright policy and efficacious action. Here, disagreements are seen as opportunities for deeper exploration rather than threats to authority. The willingness to engage in constructive conversations creates a culture of mutual respect and trust, essential for the functioning of a healthy democracy that allows the voice and the will of the people to coalesce with the voice and the will of God. Everyone speaks and makes choices within the beautiful yet mysterious shadows of a sacred canopy of divine wisdom.

Transparency and Accountability: In this new society, transparency is not just a principle; it is a practice woven into the fabric of governance.⁶ Citizens have access to information about decision-making processes, budgets, and policy implications. Public officials are held accountable for their actions, and there are robust mechanisms for reporting corruption and misconduct. This commitment to openness cultivates a climate of trust, where citizens feel empowered to question and challenge those in power.⁷

I witness citizens participating in oversight committees, ensuring that resources are allocated fairly and that services meet the needs of the community. This vigilance serves as a reminder that good governance requires active participation and a collective commitment to ethical standards.

⁶ Cf. Tom Lodge, *Political Accountability in Africa: A Comparative Perspective* (New York: Cambridge University Press, 2017). Lodge examines the mechanisms of political accountability in various African nations, highlighting the role of transparency in governance.

⁷ Cf. Helmut Reisen and Nkhata O. N. K., "Accountability and Transparency in the Governance of Public Services in Africa," *African Journal of Public Administration*, vol. 5, no. 2, 2014, pp. 25–40. This article discusses the importance of transparency and accountability in improving public service delivery in African countries.

Ethical Leadership: The leaders I observe in this New Africa embody the values of integrity and service. They understand that their role is not to wield power but to serve the community's best interests. This ethical leadership is rooted in the principles of Ubuntu, which emphasize the interconnectedness of all people. Leaders are encouraged to reflect on the impact of their decisions on the broader community, prioritizing the well-being of the collective over personal gain. Moral truth and divine goodness are the criteria by which decisions are measured.

I notice how leaders engage with citizens not from a position of authority but as fellow members of the community. They seek input and feedback, demonstrating humility and a genuine desire to learn from those they serve. This approach not only fosters trust but also inspires others to embrace leadership roles within their own spheres of influence.

Inclusivity and Representation: In the Africa which I envision, inclusivity is a guiding principle of governance. Efforts are made to ensure that marginalized voices are heard and represented. I see initiatives aimed at empowering the paralyzed, the disabled, the defenseless, the marginalized – put succinctly, all those who suffer. Leaders and their constituents attend thoughtfully to the needs, aspirations, and basic rights that properly enshrine women, youth, and minority groups within the dignity with which their Creator has endowed them. To recognize the diverse perspectives of those who suffer and of those who characteristically have been relegated to the lower echelons of human dignity is an enriching of the decision-making process according to the contours of compassion and thoughtfulness.

By prioritizing inclusivity, the community cultivates a sense of belonging and unity, reinforcing the idea that everyone has a stake in shaping the future. The community positions itself within God's preference for the young and for the marginalized so that God's voice is never muffled needlessly.

Conflict Resolution: When conflicts arise, they are approached with a mindset geared toward reconciliation rather than division.⁸ Community mediators, trained in the principles of Ubuntu, facilitate discussions that aim to understand differing viewpoints and find common ground. The practice of restorative justice emphasizes healing over punishment, allowing individuals and communities to move forward together. No one questions the ability of the Divine Shepherd to find the lost sheep, no matter how far away that person may have strayed.

A Vision for the Future: As I reflect on these practices of good governance, I am filled with hope for this Africa that I envision: the horizon for such an Africa is much closer than it may seem. The commitment to transparency, accountability, and ethical leadership creates a strong foundation for a society where citizens are empowered and engaged.⁹ In this anticipation of the New Jerusalem that God has promised from within the divine milieu, governance is not a top-down imposition but a collective journey toward a shared vision of justice and equity.

Ultimately, I come to understand that the practice of good governance is a living, evolving process—one that requires constant nurturing and participation.¹⁰ In this envisioned society, the principles of Ubuntu guide the way, reminding us that our

⁸ Cf. Desmond Tutu, *God Has a Dream: A Vision of Hope for Our Time* (New York: Doubleday, 2004). Tutu discusses the importance of dialogue and understanding among different cultures and faiths, highlighting how these interactions can lead to mutual growth and healing. See also Desmond Tutu's work *No Future Without Forgiveness* (New York: Random House, 1999) which explores the principles of Ubuntu in the context of reconciliation in South Africa, highlighting the importance of community and interconnectedness. He places a stress on the Presence and Action of God in all forms of governance and community decision-making; and he recommends that we all recognize God's ability to find lost sheep.

⁹ Cf. Ashok Kumar, "Enhancing Transparency and Accountability in Africa: A Framework for Action," *African Journal of Political Science*, vol. 2, no. 1, 2010, pp. 1–12. Kumar presents a framework for enhancing governance through improved transparency and accountability measures in African contexts.

¹⁰ Cf. Joseph E. Stiglitz, *The Price of Inequality: How Today's Divided Society Endangers Our Future* (New York: W.W. Norton & Company, 2013).

interconnectedness is not just a philosophical concept but a practical framework for building a just and equitable world. Here, governance becomes a celebration of humanity, where each voice matters, and together, we create a brighter future for all.

The Power of Collective Narratives

As I wander deeper into this new vibrant society, I encounter gatherings where people share their stories – tales of joy, struggle, and resilience. In these moments, I am struck by a profound truth: our experiences are not isolated; they are threads in the intricate fabric of humanity. Each narrative adds depth to our understanding, fostering a collective consciousness that transcends borders and cultures.¹¹

In this New Africa, the celebration of diverse experiences cultivates empathy, a core tenet of Ubuntu. I observe citizens engaging in active listening, not merely waiting for their turn to speak but truly absorbing the essence of another's journey. This practice transforms dialogue into a sacred exchange, an exchange embedded in divine truth and goodness, where every voice is valued and every story contributes to a richer communal tapestry.

Through storytelling, individuals connect with one another on a level that reaches to the depths of the soul where the human being is alone with God. All learn to recognize that their struggles and triumphs are part of a larger human experience.¹² I witness tears, laughter, and thoughtful silence—emotions that reflect the shared weight of existence. In this atmosphere, vulnerability becomes a strength, and each narrative shared fosters a deeper understanding and compassion among community members.

¹¹ Cf. Paulin J. Hountondji, *African Philosophy: Myth and Reality* (Bloomington: Indiana University Press, 1996). Hountondji discusses the importance of African philosophical narratives in reclaiming identity and countering colonial narratives.

¹² Cf. Mahmood Mamdani, *Citizen and Subject: Contemporary Africa and the Legacy of Late Colonialism* (Princeton: Princeton University Press, 1996). Mamdani examines the narratives of citizenship and identity in post-colonial Africa, highlighting how collective stories influence political and social dynamics.

It prompts me to reflect on the ethical responsibility we all bear—to honor one another's stories and recognize the shared humanity that binds us together. In a world often divided by differences, these gatherings serve as a reminder that we are more alike than we are different. Each story reveals the complexities of the human condition, illuminating the paths of others and inviting us to walk alongside them in empathy.¹³

This practice of collective narrative is not merely an act of sharing; it is a transformative force that empowers individuals and communities.¹⁴ As stories intertwine, they create a rich dialogue that sparks ideas, fosters healing, and inspires action. It is in these moments that I feel the essence of Ubuntu comes alive—each person's journey contributes to a greater understanding, fostering a sense of unity that transcends individual experience.

In this New Africa, the power of storytelling acts as a bridge between generations, cultures, and ideologies. It encourages a culture of reflection and introspection, inviting us to consider how our own narratives intertwine with those of others. Through this lens, we can begin to confront societal challenges with a spirit of collaboration, recognizing that solutions often lie in the shared wisdom of our collective experiences. It is a wisdom that finds its foothold in the abiding immanence of the God who is the creative Author of the system of Ubuntu.

Ultimately, I am left with the realization that our stories are not just personal anecdotes; they are the threads that weave us into the intricate tapestry of humanity.¹⁵ As we honor and celebrate these

¹³ Cf. Wole Soyinka, *The Open Sore of a Continent: A Personal Narrative of the Nigerian Crisis* (New York: Oxford University Press, 1996). Soyinka's reflections on Nigeria's sociopolitical landscape emphasize the power of collective narratives in shaping national identity and conscience.

¹⁴ Wa Thiong'o, Ngugi, *Decolonising the Mind: The Politics of Language in African Literature* (Nairobi: East African Educational Publishers, 1986). Ngugi discusses the role of language and storytelling in shaping cultural identity and the importance of reclaiming African narratives.

¹⁵ Cf. Kwame Anthony Appiah, *Cosmopolitanism: Ethics in a World of Strangers* (New York: W.W. Norton & Company, 2006). Appiah discusses the importance of cultural exchange and interconnectedness in fostering global understanding and ethical engagement.

narratives, we lay the groundwork for a more compassionate and understanding world, one where empathy reigns, and our shared humanity becomes the foundation for a brighter future.

A Dialogue of Horizons

In the spirit of collaboration, I find myself amidst vibrant discussions – communities and leaders merging their horizons, exchanging ideas and solutions within the graced shadows of the sacred canopy. This is where I grasp the beauty of synergy: the fusion of perspectives leads to breakthroughs in social justice, culture, and conflict resolution. Here, dialogue becomes an art, and each conversation is a brushstroke on the canvas of progress under the masterful direction of the One primarily responsible for authentic progress not to mention the aesthetic pattern of experience: God.

As I listen intently, I am reminded that meaningful dialogue requires more than just words; it demands an openness of heart and mind.¹⁶ I contemplate the importance of empathy in understanding differing viewpoints.¹⁷ I remember the philosopher executed by

¹⁶ Cf. J. N. Mugambi, *From Liberation to Reconstruction: African Christian Theology after the Cold War* (Nairobi: East African Educational Publishers, 1995). This work discusses the role of dialogue in the process of reconstruction and healing in post-colonial African societies, relevant to the theme of cultural exchange and understanding.

¹⁷ The philosopher/psychologist/theologian who gave both the world of psychology and the world of phenomenological philosophy a true definition of the essence of empathy is Edith Stein in her dissertation, *The Problem of Empathy* (Waltraut Stein translation published in 1964 by Springer Science Business Media, Dordrecht). These are her words on pages 11 and 12 of her work: “Empathy is a kind of act of perceiving [*eine Art erfahrender Akte*] *sui generis*. We have set ourselves the task of expounding it in its peculiarity before tackling any other question (of whether such experience is valid or how it occurs). And we have conducted this investigation in purest generality. Empathy, which we examined and sought to describe, is the experience of foreign consciousness in general, irrespective of the kind of the experiencing subject or of the subject whose consciousness is experienced. We only discussed the pure “I”, the subject of experience, on the subject's as well as on the object's side. Nothing else was drawn into the investigation. The experience which an “I” in general has of another “I” in general looks like this. This is how man grasps the psychic life of his fellow man. Also as a

Heidegger's Nazi party who gave the academic world the true definition of empathy; when this woman described the particular cognitive process that is able to embrace the inner cognitive and emotive states of another "I" – states of consciousness that find their roots in the other subject's biological, aesthetic, intellectual, and dramatic patterns of experience. She was describing the cultural formation that comes with the Ubuntu phenomenon of attentive love and the interpersonal, intuitive awareness born of that love. She was describing an interior harmony of biological movement and growth, the freedom of appreciating what is beautiful, the maturity to inquire about one's experiences to know one's togetherness with others in their intracultural depth, and the unified movement of all in solidarity to a responsibility for each brother and sister that culminates in a heavenly existence where thought, feeling and personal identity rest entirely in an African communion that is entirely saintly. This is the horizon of Ubuntu's dream, vision and aspiration.

In this space, participants do not merely argue their points; they strive to understand the roots of each perspective, delving into the experiences and emotions that shape them. Each voice carries the weight of history, culture, and individuality, enriching the collective discourse.

In this new world, disagreement is not a threat but an opportunity for growth—a chance to expand our understanding of the human experience. I observe how participants in this New Africa embrace their differences, recognizing that these

believer he grasps the love, the anger, and the command of his God in this way; and God can grasp man's life in no other way. As the possessor of complete knowledge, God is not mistaken about men's experiences, as men are mistaken about each other's experiences. But men's experiences do not become God's own, either; nor do they have the same kind of givenness for Him."

The editor notes that it is clear from this explanation that empathy is a unique cognitive process on its own, where what another person is experiencing as a subject becomes an active dimension of the empathizing person's cognitive experience. God empathizes with everyone: he understands the person's inner cognitive and emotional states even more completely and with more in-depth accuracy than the person himself or herself.

distinctions are essential to the broader tapestry of society. Each divergent opinion sparks thoughtfulness rather than animosity, encouraging deeper exploration of ideas and fostering an environment where innovation thrives.

Ubuntu teaches us that mutual respect and recognition of our interconnectedness can illuminate paths to reconciliation and peace. As I engage in these dialogues, I sense the palpable shift in energy; conversations become less about winning and more about weaving a shared narrative. The ethos of Ubuntu permeates the exchanges, reminding us that our fates are intertwined, and that the well-being of one is inextricably linked to the well-being of all.

Through this process, I witness the emergence of creative solutions to complex challenges. Ideas that once seemed insurmountable begin to take shape as participants draw from each other's strengths, blending insights and experiences into actionable plans. This collaborative spirit transforms the very fabric of society, enabling communities to tackle issues of injustice and inequality with renewed vigor and purpose.

In this new vibrant arena of dialogue, I also recognize the importance of listening—not just to respond, but to truly understand. Active listening becomes a form of respect, honoring the speaker's truth while inviting deeper connection. It fosters a climate where individuals feel safe to express their thoughts and vulnerabilities, leading to richer discussions that can transcend superficial disagreements.

As I reflect on this dynamic interplay, I am filled with hope. This Africa where one's pain is the pain of all, one's hope is the hope of all, and one's joy is the joy of all rests squarely on the promise of collaboration, where the confluence of diverse perspectives fosters a culture of understanding and innovation.¹⁸ Each conversation, each interaction, serves as a stepping stone

¹⁸ Cf. Emmanuel Sogolo, *An African Perspective on the Concept of Dialogue*, *Journal of African Philosophy*, vol. 1, no. 1, 2005, pp. 15–30. This article specifically addresses the nature of dialogue in African contexts, emphasizing its importance for fostering understanding and cooperation.

toward a more inclusive and compassionate society, one where dialogue bridges divides and nurtures relationships.

In the end, I am left with a profound realization: that engaging in meaningful dialogue is not just about sharing ideas; it is about weaving our stories together into a larger narrative of humanity. It is an ongoing process that invites us to grow, to learn, and to envision a future that embraces the beauty of our differences while celebrating our shared humanity.¹⁹ In this space, we find the potential to shape a world defined by empathy, respect, and unity, illuminating the path forward for generations to come with the horizon of the joy that invites us into heaven's vestibule.

Education as Transformation

As I explore the educational spaces of this New Africa, I am enveloped in an atmosphere of curiosity and wonder. Here, education is not confined to classrooms; it is a journey of liberation from what is false and self-seeking. I witness children and adults alike engaging with knowledge as a living, breathing entity—one that transforms lives and societies. Each interaction, whether in bustling community centers or quiet study circles, resonates with the understanding that learning is a dynamic process, shaped by our experiences and aspirations, that takes place under a sacred canopy of what is transparently true and wonderfully good.

Reflecting on my own experiences, I understand that education must embrace the fullness of the human experience – religious, intellectual, emotional, ethical, and social. It prompts me to question: how can we cultivate a mindset that welcomes ignorance as a steppingstone to wisdom? In this vibrant society, the citizens practice humility, recognizing the limits of their knowledge while remaining ever-attentive, eager to learn from the vastness of human experience. They understand that true wisdom emerges not from certainty but from the willingness to explore the unknown with the divine milieu as the horizon of that wisdom.

¹⁹ Cf. Kwasi Wiredu, *Cultural Universals and Particulars: An African Perspective* (Bloomington: Indiana University Press, 1996). Wiredu's exploration of cultural dialogue highlights how African perspectives can contribute to broader philosophical discussions and understanding.

In this educational landscape, the traditional barriers between teacher and student dissolve, giving way to a collaborative spirit. Learning becomes an act of co-creation, where facilitators guide discussions rather than dictate information. Each participant brings their unique perspective, enriching the collective understanding and fostering a sense of belonging. This is a space where questions are celebrated, and the pursuit of knowledge is seen as a lifelong journey.

In the spirit of Ubuntu, education fosters not just individual achievement but communal growth. It emphasizes the interconnectedness of learners, urging them to uplift one another, share knowledge, and cultivate a culture of collective empowerment. I observe groups of students collaborating on projects that address local challenges, weaving their insights into tangible solutions. In this environment, success is measured not by individual accolades but by the impact one has on the community.

This vision of education aligns seamlessly with the idea of the New Africa as our anticipation of a New Jerusalem—a place where knowledge is sacred and shared for the common good. Here, education becomes a pathway to liberation, enabling individuals to understand their rights, responsibilities, and the power of their voices. It empowers them to challenge injustice and envision a better future for themselves and their communities. It allows them to embed themselves within the wisdom and love of the God who is the One ultimately responsible for all the principles of what we are calling Ubuntu.

I am particularly struck by the integration of emotional and ethical dimensions into the curriculum. Classes explore not only academic subjects but also themes of compassion, justice, and responsibility. This holistic approach nurtures empathetic citizens who are aware of their impact on the world around them. It prepares learners to navigate the complexities of life with integrity and purpose, instilling in them the belief that they can contribute to a more equitable society.

As I observe the joyful exchange of ideas and the laughter that fills the air, I am reminded that education is a catalyst for change. It inspires hope, ignites passion, and cultivates a sense of agency.

In this Africa that lies at the horizon of my vision, learning is not a means to an end but a transformative journey that equips individuals to become active participants in shaping their realities while inclining themselves to divine inspiration.

In the end, I am filled with a profound sense of gratitude for this vision of education. It serves as a reminder that we all have the capacity to learn and grow, to connect and uplift one another.²⁰ This New Africa, where education is revered as a shared sacred trust, stands as a testament to the potential of humanity to forge a future together on the bedrock of solidarity. Here, the light of knowledge shines brightly, illuminating paths to liberation, justice, and unity, as we collectively strive toward the promise of a New Jerusalem.

Confronting Injustice

Amidst the vibrancy of this transformed society, I also encounter the shadows of injustice that linger, whispering reminders of the past. The echoes of history remind us that struggles for equality and dignity are not merely relics but ongoing battles that require vigilance and resolve. Yet, in this New Africa, the citizens confront these shadows with courage and determination, rallying together to address the injustices that threaten their communal harmony.

I witness grassroots movements blossoming like wildflowers in a once-barren landscape. Thoughtful activists, educators, and everyday citizens join hands, embodying the belief that silence in the face of injustice is complicity, and that the failure to be grateful for God's abiding Presence entraps the heart and soul in gloom and despondency. They march through the streets, their voices rising in unison, demanding accountability and change. Their chants resonate with the wisdom of Ubuntu, which teaches that we are all interconnected—that an injury to one is indeed an injury to all. Each act of resistance serves as a reminder that our fates are

²⁰ Cf. Paulo Freire, *Pedagogy of the Oppressed* (New York: Continuum, 2000). Freire's seminal work emphasizes critical consciousness and transformative education, arguing that learning should empower individuals and communities.

intertwined, and collective action is essential for true transformation.

As I observe their actions, I reflect on the ethical obligation we all share – to stand against inequities, to amplify marginalized voices, and to create spaces for healing. The citizens engage in dialogues that confront uncomfortable truths, acknowledging the deep-seated injustices that have shaped their histories. These conversations are not merely theoretical; they are grounded in lived experiences, fostering a culture of accountability, empathy and abiding trust in the horizon of the New Jerusalem.

Ubuntu calls us to act in solidarity. In this new society, confronting injustice is not an isolated act; it is a communal endeavor, woven into the fabric of daily life. I see community gatherings where stories of struggle and resilience are shared, creating a collective narrative that honors those who have suffered. This act of storytelling becomes a powerful tool for healing, allowing individuals to reclaim their voices and assert their dignity.

The courage of these citizens inspires a profound shift in consciousness. They understand that confronting injustice is not just about rectifying wrongs but also about fostering a culture of respect and inclusivity. Initiatives arise that seek to dismantle systemic barriers, ensuring that everyone has access to the resources and opportunities necessary to thrive. Education becomes a rallying point, as citizens work together to ensure that future generations inherit a world free from the chains of oppression, that is, a world always ready to breathe the freshness of God's Spirit.

I also witness the beauty of collaboration across diverse communities. People from different backgrounds come together to share their experiences, breaking down the walls of division that often accompany injustice. They engage in acts of solidarity, recognizing that their unique narratives enrich the struggle for equality. This fusion of horizons leads to innovative solutions, as varied perspectives converge to address the complexities of social issues.

In this New Africa, confronting injustice is not just a call to action; it is a celebration of resilience, hope and gratitude. The

citizens draw strength from their shared humanity, transforming pain into purpose. They understand that the path to justice is not linear; it is a journey marked by setbacks and victories alike. Each step forward is a testament to their unwavering spirit and commitment to a brighter future.

As I immerse myself in this transformative landscape, I am filled with admiration for the courage displayed by those who dare to confront the shadows of injustice. Their actions serve as a beacon of hope, illuminating the way for others to follow.²¹ In this new society, the legacy of Ubuntu guides them – reminding us all that true justice can only be achieved when we stand together, united in our pursuit of a world where dignity, equality, and respect reign for all within the prismatic goodness of the divine milieu.

Embracing Attentiveness and Thoughtfulness

In this dreamlike reality, I see how the citizens embrace attentiveness and thoughtfulness as vital forces for change. This is an attentiveness to what comes forth from the hearts of all those people who make up one's social milieu. It is an attentiveness governed by thoughtfulness: the inclination to observe another's unspoken needs and then to respond to those needs in a way that uplifts the discouraged and disappointed person and reinstates his experience of belongingness to the family and to the community. Citizens gather in circles—at markets, parks, and cafés—engaging in discussions that challenge assumptions and broaden perspectives. Laughter and thoughtful exchanges fill the air, creating an atmosphere that vibrates with a communal thirst for knowledge. Here, learning is not just a task; it is an unrelenting journey to which everyone is invited.

I feel a profound sense of gratitude for this collective embrace of the kind of noble desire that is both attentive and thoughtful. It reflects a deeper understanding of that true wisdom that comes not from having all the answers but from the willingness to ask questions. This philosophy of embracing ignorance as a pathway

²¹ Cf. Amartya Sen, *Development as Freedom* (New York: Knopf, 1999). Sen explores the relationship between development and individual freedoms, advocating for social justice and collective action as pathways to genuine progress.

to understanding resonates deeply within me. It invites me to be vulnerable, to acknowledge what I do not know, and to approach others with an open heart and mind. It challenges the notion that certainty is synonymous with strength; rather, it suggests that vulnerability in the face of the unknown can be the source of a new momentum that leads to profound growth.

As I observe the citizens engaging in these rich dialogues, I am inspired to consider: how can we cultivate a society that values questions over answers, attentiveness and thoughtfulness over complacency? In this vibrant landscape, the thirst for knowledge is celebrated as a communal virtue, driving people to seek new insights and perspectives. The willingness to explore ideas together fosters a culture where individuals feel empowered to share their thoughts and experiences.

In this realm, Ubuntu encourages an openness to learning from one another's experiences and cultures. Citizens recognize that every individual has something valuable to contribute to the collective wisdom. This interconnectedness becomes a source of strength, as diverse perspectives merge to create a fuller understanding of the complexities of life. I am reminded that the stories of others enrich our own narratives, bringing to light paths we may not have considered.

As discussions unfold, I witness moments of discovery – where an unexpected question leads to a breakthrough in understanding, or where a novel viewpoint reshapes preconceived notions. This pursuit of knowledge becomes a sacred act, a momentous outreach towards the eternal horizon of the New Jerusalem. Here, active attentiveness fuels collective progress, reminding us that we are all co-creators in the fabric of human experience.

In this society, formal education is complemented by these communal learning experiences. Workshops and forums are held to delve into pressing social issues, where participants can express their thoughts and learn from experts and peers alike – and make the discovery that the experts remain their peers. The lines between teacher and student blur, fostering an environment where everyone is both a learner and a teacher. This reciprocity transforms the act

of learning into a shared adventure. All this happens within a sacred milieu of divine truth and goodness.

Moreover, I notice how this culture of attentiveness and thoughtfulness extends beyond intellectual pursuits. It cultivates empathy and understanding, enabling citizens to approach conflicts with a mindset geared toward collaboration rather than confrontation. When faced with disagreements, they are more inclined to ask, "What can I learn from this perspective?" rather than "How can I prove myself right?" This shift in mindset nurtures a spirit of cooperation, allowing for more inclusive and harmonious interactions. It is the principle of solidarity in action.

As I bask in the warmth of this vibrant community, I am filled with hope. The embrace of attentiveness signifies a commitment to growth and an acknowledgment that every individual has the power to contribute to the common good. In this Africa that I envision, curiosity is not just a personal trait but a collective ethos that propels society forward, breaking down barriers and fostering understanding.

In the end, I come to understand that embracing attentiveness is a call to action for us all. It invites us to step beyond the confines of our comfort zones, to engage with the world in a spirit of exploration.²² This thirst for knowledge, coupled with the principles of Ubuntu, has the potential to transform our communities into spaces of learning, compassion, and unity—reminding us that together, we can forge a brighter future rooted in understanding and shared humanity.

In this realm, Ubuntu encourages an openness to learning from one another's experiences and cultures, recognizing that every individual has something valuable to contribute to the collective wisdom. This pursuit of knowledge becomes a sacred act, a leaning heavenward towards the New Jerusalem, where the thirst for understanding fuels a communion in holiness that lasts forever.

²² Cf. Roger Bruning, "Curiosity and Learning: A Critical Review of the Literature," *Educational Psychologist*, vol. 38, no. 3, 2003, pp. 193–204. This article examines the role of curiosity in learning and personal growth, emphasizing its importance for educational systems.

Conclusion: The Vision of a New Humanity

As the sun sets over this dreamscape, casting golden hues across the horizon, I am filled with a sense of hope and possibility. This Africa, destined to begin today as our anticipation of a New Jerusalem, is not merely a vision; it is an invitation—a call to each of us to embody the principles of empathy, attentiveness, thoughtfulness, ethics, and an inclusivity in our lives that reaches out to the Author of Ubuntu, God himself.

In this philosophical reflection, I find the essence of what it means to be human: to connect, to learn, to grow, and to inspire, to remain attentive to my brother and my sister in their neediness, and to embrace them thoughtfully. The Africa I dream of, rooted in the principles of Ubuntu, stands as a beacon of possibility, guiding us toward a future where humanity flourishes, grounded in a shared understanding of our interconnectedness.

In the end, I realize that this dream is not confined to a distant tomorrow. It begins within each of us, urging us to embrace our roles as stewards of compassion, advocates for justice, and seekers of knowledge. Together, we can cultivate the seeds of this dream, nurturing an Africa—and a world—that reflects the highest ideals of our shared humanity, united under the ethos of Ubuntu: “I am because we are.” In this anticipation of the New Jerusalem, we build a sanctuary for all, a place where the dignity of each individual is celebrated, and the collective spirit thrives as it blossoms forth into a communion of saints.

In envisioning this Africa through the lens of Ubuntu ethics, we discover a tapestry woven with the threads of empathy, inclusivity, and shared responsibility – solidarity. This philosophical reflection reveals a society that transcends individualism, embracing the profound interconnectedness of all its citizens under the sacred canopy of Divine Truth and Goodness. The essence of leadership shifts from mere authority to a guardian role, nurturing community well-being and fostering a culture of dialogue where diverse narratives contribute to a collective identity.

The power of education as a transformative tool becomes paramount, inviting individuals to engage with knowledge not just for personal gain but for communal upliftment. In this Africa,

attentiveness flourishes, and ignorance is embraced as a pathway to deeper understanding. Citizens become active participants in shaping their realities, confronting injustices with courage and fostering an environment of transparency and accountability in governance. They become wise within the freedom of the divine Spirit who is the power of humble wisdom and unity itself.

As we dream of this New Jerusalem as our communal horizon, we are reminded that the journey toward such a society requires collective effort and unwavering commitment. It requires trust, trustworthiness, gratitude and thoughtfulness. The foundations of Ubuntu ethics offer us a guiding light, encouraging us to honor each other's stories and work collaboratively toward a future characterized by social justice, respect, and enduring hope. In this vision, we find not only the promise of a brighter tomorrow, the sacred reality of a new today, but also a profound affirmation of our shared humanity – a call to action for each of us to contribute to the Africa we aspire to create with the unflagging help of the Creator.

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PHILOSOPHY/ THEOLOGY

The Pre-Socratics and Sacramentals in the Context of a Global Ecological Conversion

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Introduction

This paper intends to present a critical exposition of Pre-Socratics and the Sacramentals. First and foremost, this paper shall explicitly pinpoint the main underlying elements described by the Pre-Socratic philosophers that they suggest are the ultimate underlying source of reality. The Pre-Socratics gave great emphasis to those elements that they proposed were essential to the foundation of the universe to the point of giving eminently logical arguments for positing them as the ultimate cause of the earth. They were filled with a sense of wisdom and wonder, not only in searching but also in affirming and putting into efficacious actualization the created realities in a more systematic and broader way.

Essentially, they followed a systematic form of reasoning that did not confine what they perceived to be the four significant elements, i.e., water, fire, air, and earth, to a physical reality that merely symbolized other dimensions of the cosmological order but rather positioned these fundamental elements among transcendental realities invested with significance in the search for the ultimate spiritual and cosmological meanings of their daily existence. Similarly, though from a different perspective, the considerations that the pre-Socratics offered about the nature of what they were perceiving can be compared to sacramentals once the analyst focuses on contexts. This paper shall explain insights offered by St. Augustine and St. Bonaventure together with the

teaching of the Magisterium in order to consolidate the essential elements found in the Pre-Socratics and link them to the sacramentals that constitute a major role in the devotional life of Christians.

The Church desires to give us every possible aid for increasing in holiness in the Christian life. The greatest aids at her disposal are the Scriptures, the seven sacraments and the grace that enters into our souls by means of these sacred media. God's Word shows us the Father's plan for our sanctification, and each of the sacraments brings us into the life of the Trinity through the supernatural working of sanctifying grace. In addition, the Church has other means by which we can be strengthened in the Christian life, all of them intimately related to Scripture and the sacraments. These are the sacramentals. They are sacred signs meant to prepare us for the sanctifying grace received in the sacraments; and they remind us of the call to holiness that is mediated to us in the sacraments. Essentially, this paper intends to elucidate the notion of the sacramentals both in the Pre-Socratic understanding and the other perspectives that ensue.

1. Pre-Socratic philosophers

The ancient Greek philosophy is usually classified into four stages: Pre-Socratics (the Greek philosophers before Socrates); classic Greek philosophy (Sophists, Socrates, Plato, and Aristotle); Hellenistic philosophy and Roman philosophy.

The Pre-Socratic philosophers were interested in the study of being, which they thought to be in the form of an ascent (in Greek *physis*, where the word physics comes from). Therefore, they were called physiologists, but that word had a different meaning than it does today. In today's vocabulary, they would be identified as physicists. They saw the being in the world that surrounded them, that is in nature. By discerning the order of nature, they tried to discover a primal source, a cause of all, and the so called *arche* (beginning). The philosophers designated as members of this group differed from each other in their thinking about *arche*. Many of

them connected this primal source with one of the four prime elements: water, fire, earth or air.¹

2. The Milesian school

Each of the three philosophers Thales, Anaximander and Anaximenes came with his own underlying principle of all reality. Thales argued that since things are many and changing, there must be something which makes these things exist while itself remaining changeless. Thales saw that life without water cannot be sustained, so he concluded that the underlying principle of all reality is water. According to Thales, the One is Water and the Many are all things that exist. He said everything is water and when water changes its shape, different things come into existence.² Anaximander criticized Thales with the comment that if everything were water, then everything ought to look like water.

Anaximander, therefore, held that the primal source cannot be water but in what he termed the Unlimited. Anaximander argued that out of the Unlimited everything comes and to it they will return. Therefore, for Anaximander, the Unlimited is the One; and the Many are what come to existence from the Unlimited.

Their companion Anaximenes disagreed with his fellows by giving an advanced speculation. Anaximenes claimed that the underlying principle cannot be water or the unlimited; rather, it is air. The expansion and contraction of air results in quantitative changes, and these changes that occur in air account for the variety of things we see.³

In summary, these philosophers were exercising both powers of induction and powers of deduction in their attempts to specify the basic factors that constitute the ultimate source of the world and the beings that constitute it. Many thinkers have connected their

¹ S. STUMPF, E, *Socrates to Sartre, A History of Philosophy*, 5th ed, McGraw- Hill Inc, New York 1993,1-10.

² O. MEILACH, *Reality in Perspective: An introduction to General Metaphysics*, The Franciscan Press, New York 1983, 16.

³ S.E. STUMPF, *Socrates to Sartre and Beyond: A History of Philosophy*, 7th ed., 10.

notions to the veneration of sacramentals in the Church. This connection is possible, it is said, when one considers that the pre-Socratics regarded what they thought were fundamental elements of the universe in a profoundly religious and metaphysical manner.

3. Heraclitus' Fire as unifier of all things

Heraclitus is most famous for his dictum "*Panta rei*", "Everything flows and changes". In other words, all that exists goes constantly from one state of being into another. Nothing fixed exists in the world; everything is in motion. Emergence and disappearance, life and death, birth and decline, being and non-being coalesce with each other and mutually condition and pass into each other. Heraclitus is known also with another aphoristic phrase: "Nobody can step twice into the same river".⁴

Heraclitus' chief idea was that all things are in flux. He expressed his idea of change with the words we have just cited: you cannot step twice into the same river. He held that change consists of movements of fire and called these movements: the Upward and the Downward paths of fire. The downward path of fire explains the coming into being of the things we experience while the upward path is the reverse of the downward process.⁵ This explains the rudiments of the unity between the one basic stuff and the many diverse things in the world, and so Heraclitus calls Fire, the One. He thought that Fire is the unifier of all things; it commands things in their diversity to move both Downwards and Upwards according to thought and rational principle so that all things are one. Thus, the One takes shape and appears in many forms. To briefly summarize the implications of his thought, Heraclitus pinpoints a very significant element which can be very useful in the sacramental life.

⁴ F. COPLESTON, *A History of Philosophy*, Vol II, Double Dell Publishing Group Inc. New York 1993, 152-153

⁵ G.F. PARKER, *A short Account of Greek Philosophy from Thales to Epicurus*, Harper and Row, New York 1967, 38.

4. Sacramentals: historical background

So where did this concept of "sacramentals" come from? The rich liturgical life of the Catholic Church has always included a wide variety of ceremonies. From the beginning it was recognized that some of these, such as Baptism and the Eucharist, were more important than others. But it was not until the twelfth century that consensus was reached among Western theologians that seven of these ritual moments stood head and shoulders above the rest since they had been instituted by Christ himself. From this time, it became customary to restrict the term "sacrament" to these seven.⁶

The noun "sacramental", on the other hand, was coined to designate all other liturgical ceremonies of blessings and the sacred articles, images, and places that were blessed by means of these ceremonies. They were not instituted by Christ, but by the Church. Some examples of this would be the dedication of a church building, the consecration of its altar, the blessing of a Catholic burial ground, or the acceptance of a nun's perpetual vows. While the terminology is medieval in origin, the practice of imparting blessings goes much further back, even to the Old Testament. In *Ex. 40:9-11*, for example, all the furnishings of the sanctuary were consecrated through an anointing with sacred chrism. In *Genesis*, on the other hand, we read of the great importance attached to the blessings given by the patriarchs to their children. Such blessings were considered efficacious and even irrevocable (cf. *Gen. 27:27*).⁷

5. Augustine (354 - 430)

Augustine is known as the founder of Sacramental Theology, because he is the one who gave the proper definition for what constitutes a sacrament. He developed a terminology and an understanding of the sacraments, which were developed by later theologians. For almost thirty years, Augustine pursued the controversy with the Donatists, who held that sacraments exist only in their specific sect.

⁶ D. C., SMOLARSKI, *Sacred Mysteries: Sacramental Principles and Liturgical Practice*, New York: Paulist Press 1995. 15,

⁷ D. C., SMOLARSKI, *Sacred Mysteries: Sacramental Principles and Liturgical Practice*, 20

In opposition to this view, Augustine spoke of the requirements of the minister and of the recipients of the sacraments, the relationship between the sacrament and grace and the relationship between the Church and the sacraments. He defines sacrament as *signum sacrum* which means “sacred sign” (image, symbol, expression) through which, we both perceive and receive invisible grace.⁸ In the sacraments, we have to distinguish the sign (*signum*) and the reality or content (*res*), which means, in a sacramental sign, one must look at what it means and not what it is literally. Hence, washing with the water signifies the cleansing of the soul. Augustine regarded the presence of the ordained minister as essential but subordinate to Christ. Indeed, the ordained minister of a sacrament mediated the presence of Jesus and his grace to the person receiving the sacrament. To express this more lucidly, Augustine contributed two more elements to the theology of the sacraments. Those are the clarifications of what constitutes the Sacramental Character and what it means to affirm that Christ is the Primary Minister of the sacraments. He did not neglect to emphasize that the sacraments are a celebration, where a sacred reality is commemorated (I Cor 12:13).⁹

St. Augustine regarded a sacrament to be a sacred sign. The sign itself is essentially employed from nature and material reality. A sign is that which points to another reality that in the sacraments is metaphysical, indeed, spiritual. The summit of the sacraments, the Eucharist, is a very special example of a material reality, bread and wine, that undergoes a substantial change by way of transubstantiation, and becomes another material reality, the Body and Blood of Christ. What has the appearance of bread and wine is no longer bread and wine at the moment that the priest says the words of Consecration. It is both materially and spiritually Jesus himself. For that reason, it is called the Real Presence.

⁸ R. L., KINAST, *Sacramental Pastoral Care: Integrating Resources for Ministry*, New York: Pueblo Publishing Company 1988. 20-25.

⁹ R. L., KINAST, *Sacramental Pastoral Care: Integrating Resources for Ministry*, 30.

A sacramental sign draws attention to something that is transcendent, beyond itself.¹⁰ A sign gives information to a person without necessarily engaging the emotions or feelings of a person.¹¹ The function of a sign is to draw attention to a reality ordinarily not knowable without the sign. Signs perform their task when they enable us to understand, that is to acquire knowledge about the reality around us and in ourselves. In every religion, communion with the divine begins with signs. Religions take the signs from different cultures. These are signs of the sacred that are present in the practice of any particular religion. The sacred books, water that is blessed and oil with which a person is anointed can be some of the examples of the sacred signs of which we speak.

6. Constituents of the signs

The sacrament is a sacred sign, a *sacrum signum*. Every sign is made up of different elements. Some of the sacraments employ material elements such as water, oil, bread and wine that are integrated into human gestures. In penance, holy orders and matrimony, we find gestures and articulations, such as the judgment (i.e., what the priest does on hearing the penitent's sins), imposition of hands, mutual consent to the marriage contract, and so forth.¹² All the sacraments, therefore, involve human gestures and speech. The material elements (such as water, oil, bread and wine) give life to the signs: this makes them important elements in the celebration of the sacraments.

St. Augustine's understanding of the sacrament as a sacred sign has a vital theological importance in the immanent work of creation, since the sacraments and sacramentals are using just the simple elements found in the natural world and investing them with meaning appropriate to their nature. Hence the signs found in nature are elevated and given theological meaning and value which are like a bridge to our sacramental life. In one sacrament, the Eucharist, the material elements become God himself through the

¹⁰ E. D'LIMA – T.P URUMPACKAL, *Sacraments in General*, 22.

¹¹ In this it resembles the modern X-ray: the person receives information without even knowing that the X-ray has been taken (ed.).

¹² E.J KILMARTIN, *The Sacraments Signs of Christ, Sanctifier and High Priest*, 12.

substantial change noted above. This sacrament, therefore, places a supreme emphasis on the humility of God.

7. Bonaventure's view

In trying to examine created realities, St. Bonaventure, like the Pre-Socratics, analyses the theological significance of Creation, more specifically, how Creation helps us to be in communion with God. According to St. Bonaventure, creation was the work of God, who brought everything into being from non-being (creation *ex nihilo*). From non-being God called beings into existence. "And God said...And it was so".¹³ According to Bonaventure God created everything out of His free love. He writes, "God simply desires to create because God is love and a perfect love can never be self-contained but must be shared freely with another." In short, God acts through His Word and by the Word gives sheer expression to His sovereign will.

Eventually, a creature, says Bonaventure, is "essentially and by definition a being that receives its existence from another and is made out of nothing".¹⁴ In demonstrating his arguments, specifically the dependence of creation on God, Bonaventure employed the philosophical language of emanation, a linguistic device that he used in his First Book of Commentary on the Sentences of Peter Lombard. Here, Bonaventure equates creation as "a river WHICH flows from a spring, spreads throughout the land to purify and fructify it and eventually flows back to its point of origin".¹⁵

In the first place God is viewed as "a primordial mystery of infinite and self-communicative productivity".¹⁶ God is productive within Himself from all eternity (this is what important Catholic

¹³ R. BUTTERWORTH, *The theology of creation*, No.5. Fides publishers Inc. Notre Dame, Indiana 1969, 36.

¹⁴ A. SCHAEFER, *The position and Function of man in the created world according to Bonaventure*, Washington, D. C.: The Catholic University of America Press 1965, 28-29.

¹⁵ I. DELIO, *Simply Bonaventure: An Introduction to His life, Thought, and writings*, New City Press, NY 2001, 54.

¹⁶ Z. HAYES, *The Hidden Center: Spirituality and Speculative Christology in St Bonaventure*, Paulist press, NY 1981, 12.

theologians have called "love dispersive of itself" – a love in act that always goes beyond itself) and independently of the world. Bonaventure viewed God the Father as the mystery of primacy within the Trinity and other persons of the Trinity emanate from Him. Trinity is a community of relationships, and creation emerges out of this community. Bonaventure declared, "As the source and goal of the immanent emanations of the Trinity, the Father (God) is also the ultimate source and goal of all created reality".¹⁷ In this way Bonaventure sees that God is a source or fountain from which everything comes and then goes back to its source. Thus, he says that "creation flows from the divine fountain-fullness, the spring of the creative and dynamic Trinity".¹⁸

In his doctrine of exemplarism, Bonaventure said that God the Father, who expresses Himself in creation through His Word, the Second Person of the Trinity, is the exemplar or model of all created being. Here, Bonaventure describes creation as "a limited expression of the infinite and dynamic love between the Father and the Son, emerging out of this relationship and dispersing itself into a thousand forms in the universe".¹⁹ At this juncture Bonaventure compares God to a human artist, who has an idea in his or her mind; and he or she expresses that idea externally in an object such as a sculpture. Since the Word in turn is the expression of the inner Trinitarian structure of God, that which is created as an expression of the Word bears the imprint of the Trinity. Because the world expresses the Word, every creature is itself a little word; the universe, therefore, appears as a book representing and describing its maker.²⁰ As a book, Bonaventure describes the created world in which its Maker, the Trinity is represented at three levels of expression, namely, as trace (**vestige**), which is the most distant reflection of God and is found in all creatures, as an **image** that is only found in intellectual beings (human beings) and **similitude**, in which human beings through grace bear a likeness to God.²¹ The

¹⁷ Z. HAYES, *The Hidden Center*: 12.

¹⁸ I. DELIO, *Simply Bonaventure*, 54.

¹⁹ I. DELIO, *Simply Bonaventure*, 54.

²⁰ R. BOTTERWORTH, *The theology of creation*, No.5. Fides publishers Inc. Notre Dame, Indiana, 1969, 36

²¹ I. DELIO, *Simply Bonaventure*, 61.

book of creation according to Bonaventure was intended by God to be the book of divine wisdom made visible to all. Before sin, people were able to read this book of creation; and it was easy for them to see God in everything; but after sin, this book was closed to man. Man saw only signs and could not decipher their meaning. However, after the fall of man into sin, God made the book of creation open again through the incarnation of His son Jesus Christ, and whoever knows Jesus knows the Father and the created reality that issues forth from Him.²²

A good example of someone who could see and read this book of creation was St. Francis of Assisi. Through creation Francis was able to see the presence of God and by means of creatures, he praised God. He called every creature his sister and brother. “In his canticle of creation ‘Praise be to you, my Lord’, Saint Francis reminds us that creation is our common house who is like a sister with whom we share our life and a beautiful mother who opens her arms to embrace us. “Praise be to you, my Lord, through our Sister, Mother Earth, who sustains and governs us, and who produces various fruit with colored flowers and herbs”.²³

Bonaventure had his own unique way of viewing the book of creation: he saw the world as sacramental. He says that since the Word of God is expressed in the manifold variety of creatures, the world presents itself to the human being as sacramental; it is a symbolic world, one that is full of the divine presence that it signifies.²⁴ The world is created as a means of God’s self-revelation so that, like a mirror or footprint, it might lead humans to love and praise their Creator. Bonaventure used various symbols like water so as to give a clearer demonstration of how God reveals who He is through the creatures He has chosen to love into existence.

Initially, Thales pinpointed water as the underlying source of what exists. Bonaventure used the image of water to describe the God of overflowing love as a vast and living fountain of water. He may very well have been borrowing the self-revelation of God the Word in his conversation with the Samaritan woman at the well in

²² I. DELIO , *Simply Bonaventure*, 63.

²³ POPE FRANCIS, *Laudato Si*, 1.

²⁴ Cf., I. DELIO , *Simply Bonaventure*, 61.

John 4. Out of that fountain of divine love, come the immense rivers of creation that flow and spread throughout the land to purify and fructify it, the same water that within the interior life of the person eventually becomes a spring that wells up to its point of origin, namely, eternal life (cf. Jn. 4:14).

This is the water of the river that flows in a large mass which in turn provides water for the sustenance of all creatures, who without water cannot survive. Similarly, God is viewed in this way, whereby He is the source, sustainer and goal of all created reality. When one speaks of such a created reality, one comes to recognize that God’s creating love flows with such fluidity and richness that it cannot be contained in any one form or category. Such a created reality is not one-dimensional but rather manifold and diverse coming from one source which is God’s love (cf. *Wis.* 11:24-26). Like the water of the ocean, “The world has been viewed as an overwhelming fullness as it flows from the depth of God”.²⁵ This means that, the meaning of everything is contained in the inner depth of God Himself whereby all things find their proper place, purpose, meaning and function to play. “The created existence, therefore, is a dynamic reality, directed in its inner core to a fulfillment and completion which is to be the mysterious fruit of its history”.²⁶

8. The View of the Magisterium

According to the Catechism of the Catholic Church, “Holy Mother Church has, moreover, instituted sacramentals. These are sacred signs which bear a resemblance to the sacraments. They signify effects, particularly of a spiritual nature, which are obtained through the intercession of the Church. By them men are disposed to receive the chief effect of the sacraments, and various occasions in life are rendered holy” (CCC 1667).

8.1. The characteristics of sacramentals

Sacramentals are instituted for the sanctification of certain ministries of the Church, certain states of life, a great variety of

²⁵ PONTIFICAL COUNCIL FOR JUSTICE AND PEACE, *Compendium of the Social Doctrine of the Church*, n. 458.

²⁶ I. DELIO, *Simply Bonaventure*, 13.

circumstances in Christian life, and the use of many things helpful to man. In accordance with bishops' pastoral decisions, they can also respond to the needs, culture, and special history of the Christian people of a particular region or time. They always include a prayer, often accompanied by a specific sign, such as the laying on of hands, the sign of the cross, or the sprinkling of holy water (which recalls Baptism).²⁷ Among the sacramentals, such sacred objects as rosaries, crucifixes, scapulars, medals, pictures of the angels and saints, and other articles that move a person's soul towards interior longing for God's goodness and grace hold a place of privilege.

Moreover, sacramentals do not confer the grace of the Holy Spirit in the way that the sacraments do, but by the Church's prayer, they prepare us to receive grace and dispose us to cooperate with it. "For well-disposed members of the faithful, the liturgy of the sacraments and sacramentals sanctifies almost every event of their lives with the divine grace that flows from the Paschal mystery of the Passion, Death, and Resurrection of Christ. From this source all sacraments and sacramentals draw their power. There is scarcely any proper use of material things which cannot be thus directed toward the sanctification of human beings and the praise of God".²⁸

From within the intellectual and spiritual yearnings of the Pre-Socratic philosophers, we can see some elements of underlying principles that they encountered in the search for the truth. One might say that these principles can also typify the Christian perspective which they signify: a great theological significance in what they perceive and understand by the principles that they have formulated. They portray the immanent work of God and the gift of creation but also, they are used by the faithful to manifest a new milieu of meaning precisely for their faith.

8.2. Water

We have already alluded to the spiritual significance of water. In the Christian cycles it signifies the Holy Spirit's action in

²⁷ Cf. M.J. Walsh, ed., *Commentary of the Catechism of the Catholic Church*, 228.

²⁸ Cf. M.J. Walsh, ed., *Commentary of the Catechism of the Catholic Church*, 235.

Baptism, since after the invocation of the Holy Spirit it becomes the efficacious sacramental sign of new birth: just as the gestation of our first birth took place in water, so the water of Baptism truly signifies that our birth into the divine life is given to us in the Holy Spirit. As "by one Spirit we were all baptized", so we are also "made to drink of one Spirit". Thus, the Spirit is also personally the living water welling up from Christ crucified as its source and welling up in us to eternal life (cf. Jn. 4:14).²⁹ "Water poured over the body of a child," said Pope Francis, "is a sign of new life."³⁰ As the Letter to Diognetus in the mid-2nd century explains, encountering God does not mean fleeing this world or turning our back on nature; rather it is the daily life of the Christian who becomes to this world as a soul becomes to the body: a source of spiritual vitality, purity and love – new life to a world that has turned its back on the Spirit.

8.3. Fire

Initially, while water signifies birth and the fruitfulness of life given in the Holy Spirit, fire symbolizes the transforming energy of the Holy Spirit's actions. The prayer of the prophet Elijah, who "arose like fire" and whose "word burned like a torch", brought down fire from heaven on the sacrifice on Mount Carmel. This event was a "figure" of the fire of the Holy Spirit, who transforms what he touches. John the Baptist, who goes "before [the Lord] in the spirit and power of Elijah", proclaims Christ as the one who "will baptize you with the Holy Spirit and with fire". Jesus will say of the Spirit: "I came to cast fire upon the earth; and would that it were already kindled!" In the form of tongues "as of fire", the Holy Spirit rests on the disciples on the morning of Pentecost and fills them with himself. The spiritual tradition has retained this symbolism of fire as one of the most expressive images of the Holy Spirit's actions. "Do not quench the Spirit".³¹

²⁹ Cf. M.J. Walsh, ed., *Commentary of the Catechism of the Catholic Church*, 240,254.

³⁰ Pope Francis, *Laudato si*, 235.

³¹ Cf. M. J. WALSH, ed., *Commentary of the Catechism of the Catholic Church*, 228.

9. Critical analysis

In view of our contemporary world, there are a lot of theories and phenomena that do not recognize the fundamental aspect of the Creation which help us to realize the presence of God in our daily endeavors.³² All these have happened due to the unstable attitudes that the contemporary person has towards the creation and his ignorance of who God is as Creator. The temptation is to do what one pleases with creatures. Our analysis gives us the insight, however, that created reality is like a book, a mirror which helps us to praise, to affirm and to give our sure and profound glory to God.

The contemporary generation is called to view the world as a sacramental which should lead us into the life of holiness. In other words, God calls us to be mimetic in our point of view. To be more specific about what is happening in our contemporary world there are vast environmental degradations, contamination and wastage of water sources, and forests have been devastated by human beings who proceed to abandon the earth to the dire circumstances of a desert. Man was given the responsibility to have dominion over everything but not to destroy it; rather, to take care of the world in a diligent and dignified manner. To create oneself according to one's own tastes and preferences, to live in a poietic manner, reveals a sclerosis that leaves one in a dismal state of inattentiveness to God's presence and hence to the sacramental nature of the creatures that proceed from the living water of his love. Those who refuse to accept the sacramental seem to be

³² In the Editorial of the 2021 issue of Africa Tomorrow, two ways of viewing the world were described: (A) The mimetic point of view is one that, like the Pre-Socratics, accepts the world as one with a given order and a given meaning. Human beings strive to discover that meaning and adapt themselves to it. In a society governed by the mimetic point of view, each person has a purpose in life that comes as a gift from God. (B) The poietic point of view is one that, contrary to the Pre-Socratics, looks at the world with calloused eyes as a mass of raw material that gives the human being the license to create out of this raw material his own ethics, its own anthropology and his own self-identity with no reference to the Creator who brings forth the human person with a divinely endowed identity. Self-identity is a creation – or shall it be called a “fabrication”? – of the person's own aspirations.

refusing the relevance of God in the world He created and continues to sustain.

Moreover, we have seen that, from the beginning of creation, the human being was given responsibility to subdue the created world and rule over it. If that was the case, then all humanity is called to exercise dominion over creation in such a way that it truly serves the human family while at the same time subjecting his or her activity in the created world to the purposes of Divine Providence. "Man consists of a material body and a spiritual soul [...] of earthly clay and spirit with intellect and will".³³ These components in man are so radically different from each other that only God Himself, who created both of them, is able to unite them, and it is in man in whom the manifestation of God's infinite power reaches its highest degree of perfection and its final completion. Therefore, the perfection of the universe depends on man because of the substantial unity of these different components that are present in creation.

Consequently, the current generation should realize that the living experience of the divine presence in history is the foundation of the faith of the people of God. The relationship of the human person with the world is a constitutive part of his human identity. This relationship is in turn the result of another still deeper relationship between the human person and God. The biblical vision inspires the behavior of Christians in relation to their use of the earth, and also with regard to the advances of science and technology. The human person is created in God's image (*Imago Dei*). He has received a mandate to subject to himself the earth and all that it contains, and govern the world with justice and holiness, a mandate that relates him or her to God, Father, Son, and Holy Spirit, and the totality of things in him who is to be acknowledged as the Lord and Creator of all.

Likewise, through the contemplative intellect, a human person has been in union with God and has been enabled to see the divine ideas through the interior senses of his or her mind and heart with the help of illumination from above. In fact, the divine law is this:

³³ A. SCHAEFER, *The position and Function of man in the created world according to Bonaventure*, 37.

“The lowest are led through intermediaries in order for them to attain [their place within] God’s beatitude, and these intermediaries are human beings, shaped from the union of spirit and body”.³⁴ It is for this reason that a theologian like Bonaventure affirms: “The human person stands at the center of creation not to dominate it but to lead it to perfection”. The material world depends on the human person to attain its perfection; likewise, the human beings depend on the material world to attain their perfection. In such a situation of mutual support that exists between the human person and the material world whereby each one is dependent on the other for attaining perfection, Bonaventure suggests that neither humanity nor creation can exist apart from each other and still attain a true relationship with God. “Only in mutual relationship is God’s love fully expressed”.

However, contemporary people should view the relationship between God and creatures like the structure of the circle. Everything gets their starting point in and from God out of His creative love, His presence in everything through His Word by whom, through whom, and in whom, they were made; and in this way God appears both as the center and circumference because of His simple nature, i.e., a nature that reveals him to be present within all things while remaining transcendent to all things. St. Thomas, a member of the same school of thought as Bonaventure, would declare God to be the unrestricted act of understanding. If something is intelligible, God understands it; if it is unintelligible, it does not exist.

To express God’s omnipresence, his immanence in all creation and at the same time his transcendence which places him in an incomprehensibility entirely beyond every creature that exists including the universe itself, Bonaventure used the following metaphor: “God is viewed as an intelligible sphere whose center is everywhere and whose circumference is nowhere”.³⁵ In other words, God embraces all things in Himself as the unrestricted act

³⁴ BONAVENTURE, *Breviloquium*, trans. by E. NEMMERS, B. Herder Co, 1946, 67.

³⁵ P. BOEHNER, - Z. HAYES., eds., *Works of St. Bonaventure: Itinerarium Mentis in Deum*, New York: Franciscan Institute Publication 2002, 121.

of understanding where all things find their existence and end. At the same time he is transcendently extrinsic to every comprehensible existent. To summarize the above explanations, therefore, we can say that all created reality comes from God, and that all created reality find in God their final destiny.

Hence, the notions enshrined in the sacramentality of creatures that come forth from the Father's Will, find their substance, destiny and purpose in the Word, and find their rightful and meaningful place in the ordered diversity of the universe by means of the Holy Spirit's unflagging, unifying love – all these notions find their precursors in the wisdom of the Pre-Socratics, St. Augustine, and St. Bonaventure. It behooves us to adopt a mimetic attitude towards the world, indeed, towards everything that God has created by having a clear understanding of its divine origin, purpose and final destiny. As human beings we are given a special duty to take care of all created beings. Creation likewise takes care of us according to God's providential activity. It is in this mutual friendship that we can establish with the rest of creation that we are able to actualize our life in a sacred, sacramental manner and reach our final destiny, who is God.

"The universe unfolds in God, who fills it completely. Hence, there is a mystical meaning to be found in a leaf, in a mountain trail, in a dewdrop, in a poor person's face. The ideal is not only to pass from the exterior to the interior to discover the action of God in the soul, but also to discover God in all things. Saint Bonaventure teaches us that 'contemplation deepens the more we feel the working of God's grace within our hearts, and the better we learn to encounter God in creatures outside ourselves' ".³⁶ Our wise initiatives are highly needed in this contemporary world in order to counteract the dictatorship of moral and cultural relativism which does not give much consideration and dignity to a life infused with sacramentals and the sacred reality they signify. In other words, cultural and moral relativism may impede us in our effort to treasure the immanent works of God's creation. There is a need of an urgent *global ecological conversion*. Drawing upon themes stressed by Pope St. Paul VI and Pope St. John Paul II and

³⁶ POPE FRANCIS, *Laudato si*, 233.

borrowing their expressions, Pope Francis affirms: “Authentic human development has a moral character. It presumes full respect for the human person, but it must also be concerned for the world around us and take into account the nature of each being and of its natural connection in an ordered system. Our human ability to transform reality must proceed in line with God’s original gift of all that is”.³⁷

Conclusion

The Pre-Socratic notion of the ultimate source of the world played a profound role in understanding the place of sacramentals in the spiritual life of the human being. The underlying principles they applied are not just relevant to their context but also are unambiguously relevant to the notion of sacramentals in a Christian sense. Theologians have tried in various and sundry manners, by way of images, symbols, poetry and art, to explain the metaphysics which touches the origin, existence and final goal of all created beings. The language which is clear and full of practical examples is intended to enrich the lives of people in their fundamental relationship to God vis-à-vis the material world as they all journey to God. God is the source, sustainer, purpose, meaning and end of all created beings. Therefore, human beings, all of whom have been given sanctifying grace as a participation in the life of God are supposed to exercise that grace by leading the rest of creation to attain their perfection in God. Creation should assist the human being to understand and to live accordingly a sacramental life.

The sacraments, notes Pope Francis, are a privileged way in which nature is taken up by God to become a means of mediating supernatural life. Through our worship of God, we are invited to embrace the world on a different plane. Water, oil, fire and color are taken up in all their symbolic power and incorporated in our act of praise.³⁸ Bread and wine undergo a substantial change and so are no longer bread and wine: they are now the Body and Blood of Jesus Christ, our Lord and our God.

³⁷ POPE FRANCIS, *Laudato si*, 5.

³⁸ POPE FRANCIS, *Laudato si*, 235.

As human beings, we are to see God in all creation. God invites us to refrain from any temptation to consider ourselves as masters who work to possess and exploit creatures for the sake of our personal interests, but rather, empowered by the Real Presence of God himself in the Eucharist, we dispose ourselves to gratefully accept our position as God's good stewards who are able to see the image, the love, and the beauty of God in all creation. "For Christians, all the creatures of the material universe find their true meaning in the incarnate Word, for the Son of God has incorporated in his person that portion of the material world that befits his identity as divine redeemer; as Redeemer, he plants even in the material world a seed of definitive transformation".³⁹

God must be all in all in the management of our daily relationships with other people and the creatures that constitute the panoply of all creation. We must manage our life within the material world, knowing precisely how we can relate to creatures without forgetting the Creator. God must take precedence in such relationships; and therefore, we all strive to reach God's kingdom with a loving accord, a single and harmonious community as children of God. Let us conclude with this wonderful statement of Saint John Paul II cited by Pope Francis: "Christianity does not reject matter. Rather, bodiliness is considered in all its value in the liturgical act, whereby the human body is disclosed in its inner nature as a temple of the Holy Spirit and is united with the Lord Jesus, who himself took a body for the world's salvation."⁴⁰

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³⁹ POPE FRANCIS, *Laudato si*, 235

⁴⁰ POPE ST. JOHN PAUL II, Apostolic Letter (*Oriente Lumen* (2 May 1995, 11; *AAS* 87 (1995), 757; POPE FRANCIS, *Laudato si*, 235.

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THEOLOGY/ PSYCHOLOGY

Believing in the Holy Trinity Today: Insights from Farrelly and a Social Science Survey

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Abstract

Etymologically the word “faith”, comes from the Hebrew verb “*aman*” (meaning “*to be firm*” or to “*be solid*”, and therefore “*to be true*”). This is the Old Testament equivalent of the New Testament Greek word “*pisteuein*”.¹ The variations in the Hebrew vocabulary for the word “faith” reflect the complexity of the spiritual attitude of the believer.

Two roots are, however, dominant: “*aman*” (cf. “amen”) suggests solidity and sureness; “*batah*”, security and confidence. The Greek vocabulary is still more diverse. Greek religion, in fact, hardly allows any place for faith.² Thus, our acceptance of something as true is really the acceptance of the person who proposes it for belief. The Israelites accepted Moses as their leader based on their personal trust in him. They accepted him as one designated by God.³ Christians accept the revelation of Jesus: that he is God in union with God the Father and God the Holy Spirit.

¹ R.P. MCBRIEN, *Catholicism*, 25.

² Cf. X. LEON-DUFOUR, *Dictionary*, 158.

³ Cf. R.P. BRIEN, *Catholicism*, 25.

Finally, to be called a Catholic Christian is to be identified as one who enters Eucharistic communion with Jesus.

We have used historical-critical methods in order to understand faith in the Trinity with the caution given by Scott Hahn who has rigorously analyzed the culpability of the historical-critical method in its attempts to use secular criteria for the interpretation of Bible texts so that the Bible has ceased to be a sacred book from which one draws life and instead has become a secular book as if subject to the same criteria of understanding as other secular texts.⁴ Using guidelines from Farrelly's notions about the Trinity, we took a sociological survey approach of asking people whether they truly believe in the Blessed Trinity, three divine persons in one God.

Farrelly presents faith in the true mystery of the Trinity, which focuses on how God reveals himself to us: God communicates himself to us in his full perichoretic communion of Father, Son and Holy Spirit, who exist eternally as persons in complete relationship with each other, a relationship called love. Although it may be challenging for Christians to explain, the belief in one God existing as three persons is recognized and affirmed.

Indeed, our survey showed the practical implications of praying the Creed every Sunday: the theologian with the most impact on the religious life of Catholics and other Christian denominations is St. Athanasius whose input at the Council of Nicaea established the Church's faith in the consubstantiality of Jesus with the Father. Not surprisingly, the most recent theologian with the greatest impact is St. Paul VI since he gives a wonderfully meaningful update of the Church's faith in the Trinity in his Credo of the People of God, a Credo that directly borrowed the language of Athanasius and is available to everyone in all the major language groups of the world (cf. n. 8-15 of the Credo). Farrelly, therefore, opens the eyes of Christians to the perennial significance of Athanasius and Paul VI.

⁴ Scott Hahn gives a thorough description of the major steppingstones in the evolution of the historical-critical method in a book he wrote together with a historian, Benjamin Wiker: *The Decline and Fall of Sacred Scripture: How the Bible Became a Secular Book*. Steubenville, OH: Emmaus Road 2021.

Introduction

This paper discusses the Christian faith in the Trinity in our contemporary times within the context of the aforementioned survey and how people from different denominations perceive faith in God the Father, the Son, and the Holy Spirit. Our investigation sample reveals that the contemporary world is greatly influenced and sometimes misled by faddish preoccupations such as technology, science, and media, impacting the value of the Christian faith. The prevalence of social media, for example, enables the spread of both valuable and non-valuable preaching, leading to confusion and ignorance among Christians. Additionally, the commercialization of faith is evident as many proclaim themselves as prophets, often distorting the message of Christ and creating disorder among those who strive to live the Christian faith.

This paper explains the love received from the Father through Christ and by the power of the Holy Spirit, and hence aims to make transparent Christian motivation and the challenges of true faith as perceived by M. John Farrelly. Christ is the manifestation of the Father’s love, and his place should not be ignored in understanding, preaching, and living the Christian life. To better understand the mystery of faith, we need to systematize the idea of faith in our contemporary experience.

The paper takes a sociological approach through interviews and one-on-one surveys with people about their faith in the Holy Trinity, drawing from our area, JUCO,⁵ and two parishes.⁶ This provides insights into the expectations of less privileged individuals and their efforts to meet them. The destructive influence of today’s world, particularly the presence of fake news, challenges the faith of believers. By examining the responses of a variety of Christians to poignant questions, attentive Christians can stand firm in God’s expectations.

⁵ Jordan University College.

⁶ St. Charles Lwanga and Companions and St Monica Matosa, Dar es Salaam.

It is crucial, as Farrelly emphasizes, to recognize the place of Jesus among Christian believers in today's world, where many distractions can tempt individuals to forget Him or misuse Him to fulfill wrongful desires. Farrelly insists that Jesus is the one who in addition to giving us access by the power of the Holy Spirit to the communion of the Trinity offers us this communion with himself in what the Church of Christ calls the Eucharist. Thus he offers us life with himself and the grace of unity among human beings on this basis, a life that has its fullest expression after our life in history is completed, but that also has its transformative impact here and now for individual, for society and ultimately for the communion of saints.⁷

1. Faith in the Holy Trinity in our time

The main challenge for Christians, whether Catholic or of different denominations, is the belief in three Persons (hypostases) who live in such complete unity that they are consubstantially one God – the Father, Son, and Holy Spirit. Our survey shows that various influences such as technology, science, and media are impacting and sometimes distorting the Christian faith. These influences allow for the spread of both valuable and non-valuable teachings, leading to confusion and ignorance among Christians. Additionally, there is a commercialization of faith, with many self-proclaimed prophets appearing, sometimes altering the presentation of who God is as a Trinity.

Who the Trinity is reveals the love we have received from God through Christ and the Holy Spirit. We will discuss the challenges of true faith in understanding God's manifestation of Himself, as expressed by M. John Farrelly. It is important not to place our Lord and God Jesus Christ to one side in the preaching and living of our Christian faith, because Jesus is the foundation of our understanding of the mystery of faith. In today's world, there are many distractions that can cause us to ignore God or manipulate our faith for selfish purposes. However, as Christians, we are called to expect the return of Jesus and to maintain our hope in God alone.

⁷ M.J. FARRELLY, *Belief*, 17.

2. The Motivation Today for Christian Belief

Our survey about faith in the Holy Trinity consists of collecting relevant information not only to prove the way the people of God believe, nor to refute or deny some facts about the way people believe, but rather to collect what people think about faith in the Holy Trinity. For, in today’s world, Christians have changed the motivation of their faith. If this is the way we are, how can we expect to wait on God or learn to have faith in the things we cannot have or see right away?

Here, we need to investigate how people of different ages understand the mystery of the Trinity—knowing that Dogmatic Theology deals with the mysteries of faith. In our present research, we do not intend to offer an educational format or a format that seeks insight into divine revelation; rather, we confine ourselves to a survey so determine how people may respond when asked about their faith in the Trinity. We aim, therefore, to examine the content of revelation through the viewpoints of respondents to a survey, and then forward these so that they become accessible and understandable to individual believers.

Our survey helps us to understand Christians’ thoughts about God the Father, the Son, and the Holy Spirit. John Farrelly proposed what he considered to be fundamental elements that help Christians become more familiar with the mystery of faith. The latter is nothing without Christ. Jesus Christ turns to anyone who follows him; and Jesus addresses that person. He came for this purpose, to be sought and found, and to be discovered as the one who seeks and finds in the manner of a Good Shepherd.

According to St. John, the first words Jesus pronounces during his public ministry are: “What do you want?” (John 1:38). These words are provocative to anyone interested in following Him. And in return to their willing answer to know where he is living and their desire to stay with him, Jesus gives them a challenging answer: “Come and see” (John 1:39). Christ remains the real foundation of our life and the reason for our life. Hence, our investigation is motivated by the above relevant words of our leading research scholars. The table below shows the profile of people with whom we came across; they are the people whom we

surveyed about the role of the Trinity in their belief. The Christians of different denominations and from different age groups, as shown below, are the ones we have tried to survey: the young, middle-aged and mature adults, in order to grasp any significant difference among the age groups concerning their faith in the Trinity.

Table 1: Profiles of Survey Respondents

Religions and Denominations ⁸	Age
Christian / Catholics	19 – 60
Christian / Evangelical Lutherans in Tanzania	19 – 30
Christian/ Methodists	24 – 50
Christian/ Assembly of the Ministry of the Holy Spirit	22 – 67
Christian/ Anglicans	19 – 32
Non-Christian/ Muslims	21 – 32
Non-Christian/ Jehovah's Witnesses	19 – 40

3. What do they know about the Trinity?

Our primary sources were interviews and questionnaires. We conducted open discussions with various groups in Morogoro, Tanzania, while staying on the main campus of Jordan University College. Typically, we initiated our inquiries by engaging with students at the college. We conversed in the manner of a survey with people of various religious persuasions, such as KKKT, Muslims, Methodists, Jehovah's Witnesses, Anglicans, and Catholics.

We noticed that maintaining a strong faith in Christ has become increasingly challenging as societal values change. The

⁸ The editor notes that we are subscribing to the directive issued by the Holy See in the year 2000 concerning the meaning of the word "church". This word applies to those Christian assemblies who have validly ordained bishops and have kept intact the Eucharistic mystery in all its integrity (see *Dominus Iesus*, n. 17).

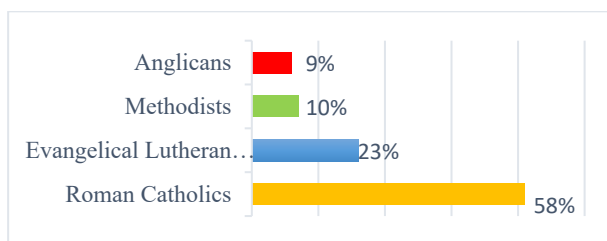
contemporary world seems more secular, and even intellectuals are often unaware of the foundations of faith, offering only superficial reflections. Many of the students with whom we spoke believe that God's teachings have little influence on the development of the mind, the economy, or technology. It seems to be commonly assumed that having faith is unrelated to leading a moral life. Consequently, this type of introspection weakens Christian faith in today's world. Nonetheless, as Christians, we hold various beliefs; and we always return to God, our source of inspiration. God's teachings come to us through our attentiveness to the biblical Word of God, to the sharing of convictions and principles on the part of those who have spiritual authority, and through the moral example of all who have a significant position in our lives.

Despite efforts by scholars like Lonergan, St. Edith Stein, Von Balthasar, Pope St. John Paul II, Pope St. Paul VI, Pope Benedict XVI, Scott Hahn, St. Therese of Lisieux, Bultmann, Barth, and Rahner to provide a satisfactory understanding of faith and responsible living, our survey brought to light that Christians are still searching for a more comprehensive knowledge of God. God remains a Mystery. People worship, praise, and pray to Him without fully comprehending Him. Our survey confirmed the words of St. Paul in 1 Cor. 13 that we shall only know him face to face when we are worshipping Him as members of the communion of saints.

According to our observation, the majority of Catholics have a good understanding of the meaning and impact of their belief in the Holy Trinity. Although it is challenging to explain, they still hold a strong belief in the unity of the Holy Trinity. The one theologian to whom Catholics and other Christians are exposed on a weekly basis is St. Athanasius of Alexandria since he was instrumental in the explanation of Jesus' consubstantiality with the Father at the Council of Nicaea, from which we have the essential elements of the Creed that at least our Catholic respondents were praying every Sunday. The more contemporary theologian to whom Catholics and many other Christians are exposed is St. Paul VI since his Credo of the People of God is a meaningful elaboration of the Nicene Creed.

According to the diagram below, we report that some other denominations have a scattered belief system, where some emphasize one divine person at the expense of others. This is not the true way of believing in the Holy Trinity. The unity of the Holy Trinity is essential and gives full meaning to faith in the Trinity. The diagram below illustrates the percentages of those surveyed who discussed and had faith in the Trinity.

Table 2 Number, by percentage, of the various Christian religions among the respondents



Faith and life in the Christian world of today must not be separated. Separating life and faith is a habit that puts faith on the back burner and so renders the person's lifestyle more and more secular.

Even if one does not believe in God, the true meaning of faith should typically be viewed as the cornerstone of one's understanding of God. Within this context, there must be a true correspondence between faith and the intention to do God's will in all circumstances, even if the daily cross that one carries seems intolerable. In the previous discussion, the miscellaneous group provided different answers about their grounds for believing in the Holy Trinity. Since it was clear that labeling individuals as adherents to the teaching of various contemporary theologians could be rather arbitrary given the fact that the respondents would never have been truly acquainted with their manner of theologizing (the respondents would never have known that they existed), the researcher decided that rather than forcing the opinions of respondents into categories such as the disciples of Bultmann, Barth, Rahner or Farrelly he should take note of the content of their

beliefs within the credal expressions that reflect God's revelation of himself. This is especially true since it was quite probable that the respondents were familiar with the credal expressions.

Through interviews and questionnaires with some of JUCo's Lutheran students, it was evident that Lutherans highly value the Word of God as the sole source of doctrine, teaching, and practice. This is not surprising if one were to read Luther's Large Catechism. Our respondents firmly believe in the Holy Trinity, God the Father, God the Son (Jesus Christ), and God the Holy Spirit, and – similar to other Christian denominations – Lutherans nurture the belief that the Trinitarian God is the Creator of the universe and Jesus Christ is the divine Lord and Savior. In the Catechism just referred to, Martin Luther excoriates all those who follow the Pope (i.e., Catholics) for believing that prayer and acts of charity are works that please God and so are meritorious. His point of view as he expresses repeatedly is that the one doing the good works is God. We please God when we abide in his Word and place our faith in his everlasting mercy and grace. To put it as Luther would put it, God created the person in his Image and Likeness, but doing good works to gain merit before God is not acting in his Image and Likeness.

Hence Lutherans believe that the Good News of Jesus Christ is the power of God for the salvation of all believers, offering reconciliation to God through Jesus's life, death, and resurrection.

Lutherans also acknowledge the role of the Holy Spirit in calling, gathering, enlightening, sanctifying, and preserving the entire Christian church on earth. "*When they had prayed, the place in which they were gathered together was shaken; and they were all filled with the Holy Spirit and spoke the word of God with boldness*" (Acts 4:31). They regard the Holy Scriptures of the Old and New Testaments as the written Word of God, recorded and announced by the authors under the inspiration of God's Spirit, focusing on Jesus Christ. They recognize the Bible as the inspired and authoritative source and norm of the church's proclamation, faith, and life. Problematically, anyone may interpret the Bible independently of those authorized by God to do so (i.e., independently of the Magisterium of the Catholic Church). The

Lutherans, however, accept the Apostles' Creed. Consequently, Lutherans profess the Trinity through the Scripture and the Creed, guided by the belief that they are sinful beings who need the empowerment of the Holy Spirit to lead a Christian life due to their inherent challenges and failures. *"Whoever speaks a word against the Son of Man will be forgiven, but whoever speaks against the Holy Spirit will not be forgiven, either in this age or in the age to come"* (Matt 12:32).

They believe that they are unable to free themselves from their sinful state and require a Savior to deliver them from the rightful punishment against their rebellion, which is death. Their worship centers around the life, sacrificial death, and resurrection of Jesus Christ, as detailed in the New Testament. They believe that their forgiveness and restoration as God's people are through the means of grace, particularly the Holy Scriptures (the Bible), Baptism, and Communion, as provided by God to bestow His gifts of forgiveness, everlasting life, and salvation from judgment.

Finally, Lutherans emphasize a growing personal relationship with Jesus Christ, empowered by the Holy Spirit, as a cornerstone of their faith. *"Who have been chosen and destined by God the Father and sanctified by the Spirit to be obedient to Jesus Christ and to be sprinkled with his blood"* (1 Pet 1:2). Because they recognize that they are sinful beings and the mystery of faith is impenetrable, they need the empowerment of the Holy Spirit, for even their own Christian life is a big challenge since they are doing what God forbids and failing to do the good he commands in all that they think, say and do. What we understand behind the above thinking is that they have followed what their teacher Martin Luther in his Large Catechism precisely quoted from St Paul: *"for I do not do the good I want, but the evil I do not want is what I do"* (Rom 7: 19). Martin Luther defined grace this way: "Grace means the favor by which God accepts us, forgiving sins and justifying freely through Christ".⁹ True Lutherans confess that it is by grace alone that we have been rescued from the curse and condemnation of sin (Rom 1:17 and Gal 2:16). A true follower

⁹ Luther's Works Vol.12, p. 376.

of Luther asserts justification by faith alone. In Martin Luther’s Large Catechism, we notice that he believes that God overlooks sin but does not take the sin away from the soul so as to make it pure, humble and holy. In his explanation of the First Commandment in his Large Catechism, he claimed that anyone who prays to God through the intercession of the saints is practicing idolatry. He believed salvation was a gift of God’s grace received through faith in Jesus Christ rather than human effort or merit. He did not believe that saints come to the help of those who are living on earth.¹⁰

4. Facts of Farrelly in our Time

Farrelly accords with the Gospel that the divine being itself is triune in nature. In other words, Farrelly agrees with St. John of Damascus.¹¹ His explanations are a bit idiosyncratic because his

¹⁰ St. Thomas More seems to have had Luther in mind when in his book *Sadness of Christ*, he presented Jesus’ acceptance of the ministry of an angel of consolation during his agony as an example of why we should accept the intercessory help of angels and saints (ed.).

¹¹ The editor notes that in a work that appeared during or after 743, St. John of Damascus offered an explanation of a doctrine that is known from its Latin roots as “circumincession” and from its Greek roots as “perichoresis” (De fide orthodoxa, 11, 8: PG 94, 827- 830). John points out that because the Father, the Son, and the Holy Spirit are not three gods, but one God, the Holy Trinity, the Persons exist “in” one another, not so as to be confused, but so as to adhere closely together in the manner expressed by the words of the Son of God when he said, “I in the Father and the Father in me” (Jn. 14:11).

Because the three divine Persons are united as one God, they have their circumincession, one in the other without any blending or mingling and without change or division in substance. Hence there is a co-eternity and identity – not a “similarity” – in substance, operation, and will; an identity, not a similarity, in power, virtue and goodness. By the consubstantiality of persons and their existence in one another, and by the indivisibility of the identity of will, operation, virtue, power, and love-in-act we understand that God is one. St. Thomas Aquinas subscribed to this doctrine. Thomas taught that the Father is his essence (the essence of Godhead); and the Father communicates that essence to the Son. Because the Father’s essence is in the Son, the Father himself is in the Son. Again since the Son is his own divine essence, he himself is in the Father in whom is the Son’s essence. The Holy Spirit is his own essence; and that essence is one with the Father and the Son (ST I, q. 42, a. 5). When Farrelly speaks of appropriations, he realizes that he

concept of appropriations seems to be reminiscent of St. Thomas' clear, concise and intelligent description of how each of the divine Persons remains really distinct from the others within the Trinitarian inter-relationships while constituting with the others one divine Being, that is, one God. A divine act attributed to the Holy Spirit, for example, is still an attribute that pertains to the Father and the Son.

Appropriations refer to the identity of each divine Person as that person abides eternally in each of the other divine persons. The Holy Spirit proceeds from the Father and the Son and so by identity is the perfect goodness that comes forth from the Father and the Son. As Pope St. John Paul taught, the Spirit is Person-Love. He is only Person-Love by virtue of his eternal abiding in the Father and the Son. Perhaps Farrelly makes an axial shift of the traditional vocabulary, but the idea to which we just referred seems very close indeed to that of St. Thomas.

The genuine fulfilment of humanity is offered through Christ and the Spirit as an active fulfillment of the Father's will. The unification and consequent fulfillment of humanity is mediated by the Church, according to the Father's will. Our deepest identity and dignity lie in our orientation towards Eucharistic communion with God, and our hearts are restless until they rest in God. This salvation is bestowed upon those who have faith in God and His revelation, which culminates in Jesus Christ in union with the Church. Thus, it also reveals aspects of God himself and the Trinitarian relations between the Father, Son, and Holy Spirit. However, a comprehensive understanding of this concept is better suited for the study of the Trinity.

Given the challenges of the contemporary world, this approach more effectively demonstrates what salvation and revelation mean to Christians and provide a foundation for believing in Christ and His Church when believers take the Creed to heart. As Christians, all the aforementioned aspects are encompassed in a more comprehensive revelation of God through Jesus Christ and the Spirit in union with the Church that Jesus founded. Trinitarian

cannot ascribe a divine attribute to one of the Trinity unless it is an attribute that characterizes the entire Trinity.

spirituality is a crucial need in today's world, as the ultimate truth is not distant from us but rather touches us immediately and personally. It reassures us of God's love as the source of all that we are and the communion with God that we are offered, which we share even now through the Father's gift of the Son and the Spirit. The importance of all of this for our lives is beyond our full comprehension, except through the power of the Holy Spirit. This is what St. Edith Stein (i.e., St. Teresa Benedicta of the Cross) called "supernatural reason". Faith engenders it.

Even so, in this life, we cannot fully experience its significance. This gift and revelation of the mystery of the Trinity and its implications for our lives are significant today, as they provide the basis and direction for change. They give us the presence, motivation, power, and direction for change that is truly human and Christian and disposes one to participate in the divine nature (2 Pet. 1:4).

The first group of respondents consisted of Muslims and Jehovah's Witnesses. Muslims clearly, through our survey (Interview), told us that they know and recognize Jesus Christ as the Son of Mary and the greatest prophet in Christian belief. So, we did not go far because their answer was clear. The Trinity, for them, does not exist; God is unique and the creator of everything, including human beings. Thus, for them Jesus is a human being. Therefore, he is not God and has been created by God and sent as a prophet.

Furthermore, Jehovah's Witnesses believe in God as the Creator and Supreme Being. They are not Trinitarians. They accept only One God who revealed his name to Moses as YHWH in Hebrew. They reject the Trinity, which they consider unscriptural. They believe God is the Father, the Creator and the Invisible Spirit separate from the Son, Jesus Christ.

The second group, even those who were not precisely Lutheran, expressed beliefs that resemble those of Martin Luther. They did not, however, express, any scorn or disdain for the Catholic Church as Luther did. They did not really give priority – as Barth did – to everyone's obligation to hope that all will be saved. Indeed, Barth seems to take second place to

Edith Stein on this point since she explained in very pristine language the freedom of the Holy Spirit to influence the human person to forego any reluctance of the heart to accept God's mercy and salvation.¹²

The group of respondents about whom I am speaking are Methodists, Anglicans, and some other non-Catholic Christians whom we met during our survey. The interview was conducted with a sample of students from JUCo (12 people), and Bantu Secondary School (7 people). Most of them valued the mercy of God to his people as it is expressed in Sacred Scripture and believed that the word of God was the sure way to conversion. Therefore, baptism for some is the best way to enter into the Holy Scripture and accept it as the Word of God, as a sacred book.

The Bible communicates the meaning of the Christian faith. For the non-Catholic Christians in this group, the truth is essentially the Word of God, with the Gospel as the place of privilege in the Bible. Therefore, they even say that true religion must be based on the Gospel.¹³

The non-Catholic Christians seemed to believe in three essential beliefs: (1) They value the Bible as the ultimate religious truth and authority, able to be interpreted by any believer: they do not recognize the authority God has given to the Pope and the bishops with regard to what Catholics call the Magisterium. (2) Their belief in Jesus Christ obtains for them the grace of God, and the Holy Spirit strengthens them to preach the Good News. Therefore, they can find salvation. (3) They think that all Christians are free and can communicate directly with God the Father, God the Son and God the Holy Spirit. In a particular way, Lutherans emphasize that grace alone is sufficient to enjoy the new birth as

¹² Cf. J. GIBSON, "Philosophy's Point of Closure" in *Africa Tomorrow*, 17(1), 2015, 51-53.

¹³ Even K. Barth was criticized for his extreme way of thinking that the true religion is based on the Gospel. This thesis of Barth was a provocative thesis that has been widely misunderstood. A thorough reading of Luther's Large Catechism, however, brings to light Luther's insistence that the Word of God in the Bible is the fount of the living water of grace and salvation.

sons and daughters of the Lord God through the power of the Holy Spirit. Therefore, the Holy Spirit enables them to accomplish their baptismal mission; but as stated above Luther did not believe that God actually takes away sins so that a person can be holy in the pristine sense of the term.

The last group comprises those who follow in detail the Athanasian doctrine enshrined in the Nicene Creed and the updating and detailed elaboration of that Creed by Pope St. Paul VI in his Credo of the People of God. These are mostly Catholics. In our survey, we have taken the sample from the *Wawata chipukizi*¹⁴ of JUCO, and the Christians of *Mindu*.¹⁵

Catholics are proud to say and confirm their belief in the Holy Trinity. God is one in three persons. The Father is God as the Son and the Holy Spirit are. Most believe in the Holy Trinity even if they do not know how to explain it properly. The amazing thing is that they believe without so much reflection. They have listened and prayed meaningfully the Nicene Creed on Sunday and so exposed their minds and hearts to the wisdom of St. Athanasius, of St. Paul VI and all those other saints and doctors who have upheld this faith through the centuries.

Our Catholic respondents confirm the idea of the Church that faith precedes reason. Reason is only a help in actually understanding the mystery that God has revealed to us so that we may place our faith in Him. Even without the help of natural reason, they exercise what St. Edith Stein called “supernatural reason” by declaring their belief in the Trinity. Therefore, we know how highly the Church regards human reason because it is the task of humans to reflect and demonstrate with confidence the real existence of the God who reveals himself, to specify beyond doubt from divine signs the roots of the Christian faith, to express clearly the law which the Creator has imprinted in the hearts of men and women, and, finally, to come up with a very fruitful notion of what a mystery is.

¹⁴ *Wawata Chipukizi* are Catholic girls.

¹⁵ *Mindu* is an outstation of Mtakatifu Karolo Lwanga, a Catholic Church located in Morogoro, 22 kilometers outside the city with the same name.

Reason can perform these functions with assurance and integrity only when it is properly trained through regular participation in the liturgy, exposure to Catholic priests, deacons, and religious who can explain the faith with wisdom and insight, an in-depth reading of the Bible with help from Catholic bible scholars who are known for their fidelity to the Magisterium in their interpretations, and a thorough and complete reading of the Catechism of the Catholic Church. Coupled with the Bible and Church Tradition those Catholics who live by both faith and reason need to actively involve themselves in community projects that welcome people to pray in a Catholic manner and serve the neediest of the neediest with the Catholic spirit of loving trust in divine Providence, total surrender to what God wills, and cheerfulness in all social encounters so matter how difficult the other people may be. Catholic philosophy that is in complete harmony with the Papal magisterium is of paramount importance because it unveils the true meanings of formal declarations of Catholic doctrine and the accurate understanding of divinely revealed moral truths in order to be a true human person and a brother/ sister to Jesus.¹⁶

Therefore, Catholics believe in one God, who makes himself known to the world (revelation) as three distinct persons: God the Father, God the Son (Jesus) and God the Holy Spirit. This is known as the doctrine of the Trinity and is a fundamental belief for all Catholics¹⁷. The Church believes that the Trinity acts with unity of operation when the Father and the Son pour their divine love into the human heart by the gift of the Holy Spirit (Rom. 5:5). This is the love by which Catholics always perceive the other person no matter who that person may be as the brother or sister for whom Christ died. Roman Catholics faithful to the Nicene Creed and to the Credo of the People of God, universally believe with St. Athanasius and St. Paul VI, that the Father begets the Son eternally as the Word through whom he has created all that is.¹⁸ As Pope St. Paul VI expressed time and time again, the burning love that gives identity to the Seraphim is only a reflection of the love within the

¹⁶ Cf. L. FEINGOLD, *Faith*, 156.

¹⁷ Cf. A. NICHOLS, *Beyond*, 109.

¹⁸ Cf. M.J. FARRELLY, *The Trinity*, 135.

Trinity where the Father and the Son by the power of the Spirit express eternally to each other the fact that "I love you so completely that I intend to love you more."

5. Christian ignorance

Today, there is a tendency to view faith as unrelated to leading a good life. Faith is considered as a barrier to the human being's freedom. In the face of such reflections, Christian faith is destabilized by the world. However, as Christians, we have different beliefs, and we ultimately return to God as our starting point. Conversations with people have made it clear that many Christians with strong beliefs have questionable foundations. This uncertainty still exists in today's Christian world. The core concept of faith should be considered as the foundation of one's knowledge of God, even for those who may not believe in God. Faith in the triune God remains an incredible truth, even if challenging to accept. However, as Jesus points out, "*All things have been handed over to me by my Father, and no one knows the Son except the Father, and no one knows the Father except the Son and anyone to whom the Son chooses to reveal him*" (Matt 11:27).

The foundations of the Christian faith provided insight and influenced our leading scholars in our research. These Catholic scholars hold their own position of prominence, particularly those most aware of Church doctrine and Church ethics as it has been taught during the centuries. We would include, for example, those to whom the respondents are most exposed on account of the Creeds: St. Athanasius and St. Paul VI. Also to be included among those who are scholars within the household of the Catholic Faith are all of those whose hearts and souls were engaged in a truly Eucharistic relationship with Jesus: St. Teresa of Kolkata, Hans Urs Von Balthasar, Bernard Lonergan, Edith Stein (St. Teresa Benedicta of the Cross), Henri de Lubac, Pope St. John Paul II, Pope Benedict XVI and St. Therese of Lisieux. A perennially important educator in the Catholic Church through the recent centuries is St. Ignatius of Loyola. The youngest theologically astute person and one who has exercised scholastic brilliance in uniting together in a very healthy marriage the Real Presence of

Jesus in the Eucharist and the most advanced internet technology is Carlo Acutis who in September of 2025 will be canonized a saint.

All the groups surveyed, clearly demonstrated that Christians still follow the teachings of the twelve scholars just mentioned. Of particular consideration is the fact that those who pray and believe in the Creed, recognize that it expresses in a manner authorized by God himself the major tenets of divine revelation, and give first place to the Real Presence of Jesus in the Eucharist are still willing to follow as their primary scholar St. Athanasius of Alexandria. Catholics who believe in communion with Jesus Christ perceive the Eucharist as food necessary for eternal life.

Our investigation revealed that Christians embrace their relationship with their Creator on various levels. What's fascinating is that all the people we interviewed accept the Gospel of St. John and his three Letters as God himself has interpreted them through the Church magisterium. They believe that *unity in love is the best way, encompassing all believers in God to partake in the sacred love between the Father, the Son, and the Holy Spirit.*

According to Bultmann, a non-Catholic Christian, who seems guilty of reading the Bible sometimes as a secular book, the role of theology is to understand a "deeper meaning," a task he refers to as "demythologizing." Bultmann interprets the anticipated end of the world as reflecting "the judgment of God" on humanity for transforming the world into a place where evil spreads and sin reigns. The question a believer must ask Jesus, the divine judge, is where is this evil? Where does sin reign?

The hungry are not fed, those who are thirsty for understanding and friendship are ignored, the homeless continue to struggle, those who are sick and in prison look for consolation from their brothers and sisters in humanity and find none. Hence they draw forth the divine verdict from the Heart of Jesus: "Whatever you did not do to the least one, the one who is my brother, my sister, you did not do it to Me" (cf. Mt. 25:31-46). First and foremost, Jesus calls people to be in communion with Him in his love for the Father, in the gift of Himself to us in the Eucharist, and in our thoughtful love for Him in all those who come to us in the distressing disguise. We must repent of our disdain for the poor. Jesus calls us to join him

in obeying the Father's will even if it means carrying the daily cross.¹⁹

In addition, Barth shows himself to be a good student of Edith Stein in his primary focus on the hidden mystery of God. She explores numerous qualities that provide a deeper understanding of the concept of "*The Science of the Cross*." It strongly resonates with the internal tension in the mystery of God's humanity. Following the methodological rule to ensure the direction and universality of Christological thinking, Barth resembles Edith Stein when he seeks to demonstrate that God, in His eternal orientation towards humanity, is humanity's greatest "Lover."²⁰

Farrelly believes that what God offers through Christ and the Spirit, and what the Church mediates, is the true fulfilment of humanity. Our deepest identity and dignity are found in our communion with God. This salvation is given to those who believe in God and in what he has revealed, which reaches its fulfilment in Jesus Christ.²¹

The tendency for people to relativize truth under the pretext of subjectivity is prevalent. In the contemporary period, there has been an attempt to override God's authority by claiming a monopoly on knowledge. In this way of thinking, God becomes less known, and the human person becomes the cause of everything. This is the poetic manner of existing. This mind-set even influences today's Church, where truth becomes subjective, and the role of the Trinity diminishes in one's experience of God as Father, Son, and Spirit. However, truth is singular; the scripture never mentions truth in the plural. Regardless of our perspectives, emotions, and mental states, no concept should take precedence over the word of God who is really present among us in the Eucharist and in the poorest of the poor.

Truth is not an ideology or a theory but a person—Jesus Christ. As Jesus says, "*I am the way, the truth, and the life. No one comes to the Father except through me*" (John 14:6). An analysis of

¹⁹ Cf. P.W. CONGDON, *Rudolf Bultmann*, 9.

²⁰ Cf. G. BARTH, *The Humanity of God*, 224.

²¹ Cf. M.J. FARRELLY, *Belief*, 17.

twelve people showed that seven out of twelve placed great importance on truth, manifested in the reality of *Kerygma* through actions beyond the mythologization of words. These individuals align with the beliefs of Bultmann and Barth, which Popes St. John Paul II and St. Paul VI ultimately corrected²².

6. Relevant notifications

We have conducted surveys by means of questions with some youth (boys and girls) and adults (men and women) of JUCo²³. In

²² Rahner made the meaningful affirmation that the “*economic*” Trinity is the “*immanent*” Trinity. The love that expresses the essence of God within the Trinity so that each divine Person abides in the others as a love that can only be diffusive of itself is the same love that proceeds from the Triune God as a single will, a single act, a single power, a single goodness, a single operation in the Creation, Redemption and Sanctification of human persons as St. Thomas explained. *Trinity is the “economic” Trinity* in its dissemination of goodness beyond itself, particularly in the Paschal Mystery.

The editor notes that in *Foundations of Christian Faith*, 290, Rahner shows a theological relapse when he makes the remark, “For in and according to the humanity which we see when we say ‘Jesus,’ Jesus ‘is’ not God, and in and according to his divinity God ‘is’ not man in the sense of a real identification.” It is important to note here that “seeing the humanity” of Jesus is not seeing a human “nature”; rather it is seeing the divine Person of Jesus in his human visibility as the Word made flesh. This is what Rahner seems to doubt. Similarly, seeing Jesus according to his divinity is not seeing the divine nature; rather it is seeing Jesus – as St. Thomas the Apostle did in John 20:28 – in his divine Personhood as the one whom the Father has sent into the world. Rahner’s remark calls into question Thomas’ profession of faith in Jesus that we find in John 20:28. In an exchange with Cardinal J. Hoffner, Fr. K. Rahner wondered whether one could really say that Jesus is God and at the same time retain the ordinarily understood meaning of the word “is”. The exchange of remarks between Rahner and Hoffner took the form of a debate. In contrast to Rahner, Cardinal Hoffner offered a position which fully harmonizes with the teaching of the Church that has been discussed throughout this article. He confesses the faith of the Church that Jesus is the Son of God, God from God, light from light, true God from true God. Jesus’ identity, therefore, is that of a divine Person, the Word of God, who has united to himself a fully human nature. What the Cardinal said brings to light an important salvific fact: God acquired the Church by his own blood (Acts 20:28). St. Athanasius and St. Paul VI are correct. Cf. J. GIBSON, “Can God Really be in Pain?” *Africa Tomorrow*, 21(1-2), (June-December 2019), 97-140.

²³ Jordan University College.

the group of youth we have surveyed 14 girls and 10 boys, while in the group of adults (men and women), we have surveyed 7 men and 19 women. Additionally, we surveyed the Christians of St Charles Lwanga and Companions outstation of Mindu village. In Mindu; we talked to 23 Wawata²⁴, 13 Uwaka²⁵, 10 Viwawa²⁶ and the Choir which was practically a mixed group of 24 members 16 females and 8 male. As a result, we have discovered that Christians desire to live according to God’s will. This desire forms the basis of faith, ultimately leading to holiness.

Table 3 People surveyed – Do you believe in the Holy Trinity?

GROUP JUCO	Qt	YES	NO	I DO NOT KNOW
Girls	14	14	0	0
Boys	10	10	0	0
Men	7	7	0	0
Women	19	19	0	0
Total	50	50	0	0
Percentage	100%	100%	0%	0%
GROUP/ MINDU OUTSTATION	Qt	YES	NO	I DO NOT KNOW
Wawata	23	23	0	0
Uwaka	13	13	0	0
Viwawa	10	10	0	0
Choir	24	24	0	0
Total	70	70	0	0
Percentage	100%	100%	0%	0%

²⁴ Catholic women.

²⁵ Catholic men.

²⁶ Catholic Boys and Gils

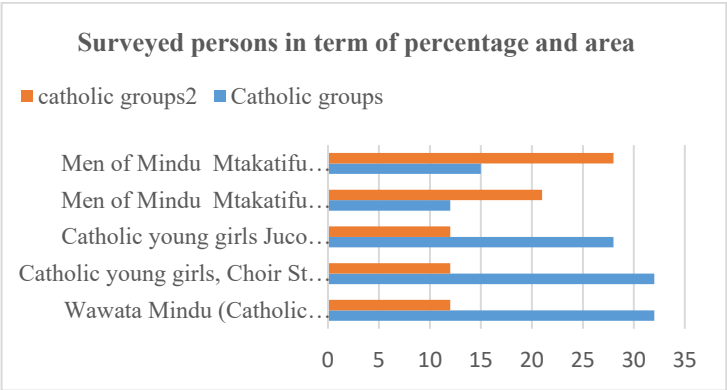
The theme of salvation seemed to lie at the foundation of the Catholic identity of those asked. They also seemed quite exposed to the Nicene Creed prayed every Sunday, the Creed that goes back to the profound insights of St. Athanasius about the divine identity of Jesus Christ.

For example, women in the *Mindu* area expressed their belief that “*Our God is the Father, the Son, and the Holy Spirit.*” These women did not express the same doubt as Karl Rahner in his discussion with Cardinal Hoffner. According to these women, without God in these three persons, we cannot inherit the Kingdom of God. Sanctification sets us apart from the world, separating us from sin and darkness. It is a fundamental attribute of God. “You shall be holy, for I am Holy” (1 Pt 1:16; Lev 21:8; Exod 19:6; 1 Pet 1:16). Jesus is the perfect example of consecration for the purpose of doing the Father’s redemptive will. “For once you were darkness, but now in the Lord you are light. Live as children of light, for the fruit of the light is found in all that is good and right and true” (Eph 5:8). As for the young girls in JUCo, they were inspired by the unity of Christianity worldwide. Some of them mentioned, “Think about it: worldwide we pray together, acknowledging God the Father, God the Son, and God the Holy Spirit. Only a madman would not encounter One God in three persons.”

The belief in the Trinity is central to Christianity. True faith is seen as the graced path to a deep understanding of the Holy Trinity. The experts we have consulted emphasize that a proper comprehension of the Trinity can only come through genuine faith. Without it, one may risk misunderstanding the mystery of faith and potentially exclude one of the three Persons within the concept of one God. Farrelly has emphasized that human understanding is different from purely intellectual knowledge, as it is in part influenced by emotions and will. Consequently, communion with God, with the Father’s essence as a divine being, which is the same essence as that of the Word and the Holy Spirit, is a path of fidelity, not just a mere understanding of the divine essence²⁷.

²⁷ Cf. M.J. FARRELLY, *The Trinity*, 176.

Table 4: Survey for Catholics per group and area
– all believed in the Trinity



All the people in this group have expressed their faith in the rinity, which they believe is the pinnacle of their belief. The conviction that God is One, and constitutes a unity of three divine Persons, is one of the essential doctrines of the Christian faith. This unity is inseparable because without unity, there is no love, and without truth, there is no unity. In Ephesians 4, two types of unity are mentioned: “the unity of the spirit” (verse 3) and “the unity of the Spirit that exists among all the children of God, as they are born of the same Father and belong to the same family.” This unity transcends denominational boundaries. The unity of faith is a goal that needs to be pursued. The teaching of the sacred doctrine must prevail over the various religious beliefs to which Christians are attached at the time of their conversion. All these divisions should give way to a single truth and doctrine, so that there will ultimately be only one faith, just as there is only one Lord.

7. Sharing what the Trinity is

The questions below served as the foundation for sharing by way of a survey and gathering data. Some interviewees preferred to maintain their anonymity, so we have organized the questions into four parts: the Father, the Son (Jesus Christ), and the Holy Spirit.

God the Father

1. Is God the Father the only and True God and has no association with another, or is Jesus the True God since he is God?

2) Did the Father alone create Heaven and Earth or did the Father create Heaven and Earth through Jesus Christ?

God the Son – Jesus

1) Does Christ have the same essence as God the Father?

2) Is Christ the only Son of God the Father?

God the Holy Spirit

1) Is the Holy Spirit God?

2) Is the Holy Spirit a divine person in the Godhead?

3) Should we pray to or worship the Holy Spirit?

Here below is the diagram that shows the reactions of Christians surveyed.

Table 4: The positive answers in the Holy Trinity from surveyed Christians



Conclusion

Our aim was to survey the faith of Christians in the Trinity. We have come to notice that all Christians surveyed believe in the Trinitarian doctrine, though for some it is difficult to explain the mystery in its real sense. It is therefore important to recognize that it is not easy to explain, but it is enough if people can believe properly. The people we surveyed admitted that God cannot be separated into three entities as if the original unity were to be dissolved. If you believe in God the Father, you must believe in God the Son, who is the gift of love to the human family, and God the Spirit, who gives strength to fulfil our Christian duty by a pouring forth into the heart the love of the Father and the Son (Rom. 5:5). As for Farrelly, he gives the full meaning of the human being’s existence as the gift of God through the unity of the Trinity.

Some believe in the reality of God the Father, God the Son and God the Holy Spirit, but each denomination has its own way of living the above reality. That is why Farrelly made an effort to give the value anew to the reality of the Trinity in its full communion. To think God is to think of God as One triune God.

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THEOLOGY/ PSYCHOLOGY

The Holy Spirit in the Life of Christians: A Research Survey for the Iringa Diocese

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Abstract

This article critically examines the teachings of St. John Paul II concerning the Holy Spirit in the lives of Christians. It underscores the vital role of the Holy Spirit in the hearts of believers and their active participation in experiencing the transformative power of the Holy Spirit. This article is set within its social and ecclesial milieu – namely, every time and every place – and the profound impact of the encyclical *Dominum et Vivificantem* on that milieu. Indeed, this paper recognizes the intensity of the love that the Holy Spirit engenders within the human heart of every person that God has created (Rom. 5:5). He is active in every place, in every time, in every heart. Pope St. John Paul’s insistence on the universal reach of the Holy Spirit to every time and every place is particularly present in his encyclical *Redemptoris Missio*, n. 28. The teachings of Jesus on the role of the Holy Spirit in the lives of the disciples in this world are not just relevant, but they offer a guiding light for

our situation, which is that of a people redeemed and yet seeking to respond faithfully to the grace of that redemption.

The teachings of St. John Paul II concerning the Holy Spirit remind all believers to grasp the essence of Jesus' farewell discourse and the influence of the Holy Spirit in their daily lives. The findings underscore the pressing need for catechesis on the Holy Spirit, the Lord, the Giver of Life: such a catechesis would inform and educate most Christians in the Iringa diocese. This need was revealed in a survey regarding the charismatic renewal, where promoters of the renewal clashed with their Priests and other faithful due to elements introduced by the Charismatics, leading to a lack of trust in one another. The study recommends that priests and lay faithful should actively foster stronger bonds, mutual respect, cordiality, and collaboration among the various forms of lay movements and associations.

Key concepts: The Holy Spirit – the Power of the Holy Spirit – the Charismatic Renewal

Introduction

In contemporary Christianity, there is a notable disparity between the claim of being a Christian and the experience of the presence of Christ.¹ Many individuals receive sacraments such as confirmation without recognizing the power of the Holy Spirit to establish the confirmands in their vocation to be Christians by means of his seven gifts.² The importance of the Holy Spirit in the lives of Christians and their understanding of their vocation and mission is explored through the lens of the teachings of Pope St. John Paul II. We keep in mind that Pope St. John Paul himself looked at the charismatic activity of the Holy Spirit through the lens of St. Thomas Aquinas, who points out that *all* charismatic activity corresponds to the Spirit's action in the hearts and souls of those who live the Beatitudes with extraordinary thoughtfulness. In his encyclical *Redemptoris Missio*, Pope St. John Paul declared that a fundamental condition for being a missionary, i.e., to live charismatically, is to be a saint. Holiness means fidelity to the

¹ D. DEWELTHE, *Power of the Holy Spirit*, 14–16.

² Cf. J. L. GRESHAM, *Holy Spirit 101 Present Among Us*, 11.

Beatitudes that form a person to be carriers of God’s love and joy. Both holiness and fidelity to the Beatitudes manifest the interior activity of God the Holy Spirit (*Redemptoris Missio*, n. 90, 91). Pope St. John Paul II here is describing the charismatic carrier of the Holy Spirit. When Jesus says, “Receive the Holy Spirit, he is saying, “Receive the gift that the Father and I intend to give you – the personal charism necessary to be a channel of my peace and forgiveness.”

This paper aims to examine the effects of the Holy Spirit in the community life of Catholics in the Iringa Diocese with a special focus on the Charismatic Movement and its place in Christian life.³

1.1 The Background of the Study

The teachings of Pope St. John Paul emphasized the importance of receiving the Holy Spirit, based on the instructions of Jesus about the need for a new birth of water and the Spirit to enter the Kingdom of God.⁴ The Pope stressed the need to reawaken and deepen the faith professed by the Church in the openness of the conscience to the interior presence of God and the willingness to respond to the divine interior presence with a holy freedom to live according to the Holy Spirit’s gifts. We are to be persons of the

³ The Catholic Diocese of Iringa is one of the thirty-five dioceses of the Catholic Church in Tanzania. Its headquarters are in the Iringa region; the cathedral is dedicated to the Sacred Heart of Jesus. Ecclesiastically related to the Archdiocese of Mbeya from the 21st of Dec. 2018, its bishop is Romanus Elamu Mihali, who has succeeded Tarcisius Ngalalekumtwa in the year 2025. On the 3rd of March, 1922, the Apostolic Prefecture of Iringa was established, and on the 8th of January, 1948, it was promoted to the status of the Apostolic Vicariate of Iringa. It was made a diocese on the 25th of March, 1953. The Ordinaries of the Diocese have been Francesco Alessandro Cagliero, I.M.C. † (1922-1935), Attilio Beltramino, I.M.C. † (1936-1965), Mario Epifanio Abdallah Mgulunde † (1969-1985), Norbert Wendelin Mtega (1985-1992), Tarcisius Ngalalekumtwa (1992-2025), and Romanus Elamu Mihali (2025-). In 2023, the Diocese of Mafinga was formed after with the partition into two dioceses authorized by the Holy See. There are 2,172,101 inhabitants in the Diocese of Iringa, of which Catholics constitute 530,094, i.e., 24.4% residing in twenty-eight parishes, with ninety-nine priests, covering eighty-one provinces. There are eighteen monks on average, each serving 5,354 people. Currently, there is 1 deacon, 155 Brothers and 599 Sisters.

⁴ Cf. DeV 1.

Beatitudes living according to the grace we have received in confirmation.⁵

Vatican II highlighted the necessity for a new study of the doctrine of the Holy Spirit, which Pope St. Paul VI further emphasized.⁶ The reality of reawakening and deepening the attentiveness of the people of God to the Holy Spirit's interior activity through the Charismatic Renewal movement is being examined, as well as exploring the impact of the new study and devotion to the Holy Spirit in the lives of Christians in the Iringa diocese. The role of the Holy Spirit in uniting people and fostering communion of life and love with God and other believers through baptism is acknowledged. Additionally, the teachings of Pope Francis on human communion with the Creator, i.e., the Trinitarian God, through the outer ecosphere – our physical environment within which we live – and the inner ecosphere – the mother's womb where we first had our being – shall receive consideration within the general disposition of that charismatic activity that the Church calls gratitude – this is central to everyone's spiritual life.

The Church is seen as a communion of persons, and the role of the Holy Spirit is emphasized in bringing unity out of the diversity. The divisions between various groups, such as rich and poor,

⁵ The editor notes that according to the quite perceptive St. Thomas Aquinas in his *Summa Theologiae* (ST), the Holy Spirit's gifts that link to the Beatitudes are: (1) the Fear of the Lord and the poor in spirit (ST IIa-IIae, q. 19, art. 12)

(2) Piety and the meek (ST IIa-IIae, q. 121, art. 2)

(3) Knowledge and those who mourn (ST IIa-IIae, q. 9, art. 4)

(4) Fortitude and those who hunger and thirst for righteousness (ST IIa-IIae, q. 139, art. 2)

(5) Counsel and the merciful (ST IIa-IIae, q. 52, art. 4)

(6) Understanding and the pure of heart (ST IIa-IIae, q. 8, art. 7)

(7) Wisdom and the peacemakers (ST IIa-IIae, q. 45, art. 6)

(8) All the gifts of the Holy Spirit are necessary for those who are persecuted for righteousness' sake (ST Ia-IIae, q. 69, art. 3, reply to obj. 5). According to Pope St. John Paul II's teaching on a number of occasions, all charismatic activity proceeds from within the heart and soul of the person who is living the Beatitudes.

⁶ Cf. General Audience of 6 June 1973: insegnamenti di Paolo VI XI 1973, 477.

educated and uneducated, clergy and lay faithful, arise from a context that illustrates the need for solidarity where, according to Pope St. John Paul II, "all are responsible for all".⁷ The faithful's privilege of having Jesus in their hearts through the Eucharist is a fundamental reason for gratitude in the Catholic Church. However, concerns are raised about the apparent distance of the Eucharistic Jesus for many Catholics and their reliance on external symbols of faith while still seeking solutions from non-religious sources.⁸ The need for the spirituality of the indwelling of the Holy Spirit to enrich other forms of divine presence is emphasized for a significant change in the lives and missions of Christians. The impact of the Holy Spirit in addressing various forms of bondage, a word subject to a mélange of interpretations, is experienced by individuals, including Christians. We intend to touch upon this subject.

The rejection of the cross in Christian life and the need to integrate Christian theology, formation, liturgy, prayer, and devotion to the Holy Spirit, a gift given to the Apostles at a cardinal moment in the Church's history, when the One giving it has pierced hands and feet are discussed.⁹ The researcher aims to examine how unity among the faithful is facilitated by the indwelling of the Holy Spirit and the relevance of the new study on the Holy Spirit in the teachings of the charismatic renewal at the Iringa diocese. This article focuses on the debate surrounding the outpouring of the abundant Holy Spirit and aims to identify the arguments given by both sides.¹⁰ The need for more studies on the Holy Spirit and His impact on devotion is highlighted in response to the existing theological debates.¹¹

⁷ Cf. JOHN PAUL II, *Christifideles Laici*, no. 32; *Sollicitudinis Rei Socialis*, no. 38.

⁸ Cf. B. I. UGWU, *The Holy Spirit in Catholic Theology and Life*, 201.

⁹ The Holy Spirit should not only be at the driving seat of theology, but of every aspect of Christian life, Cf. ELOCHUKWU, E. UZUKWU, *God, Spirit, and Human Wholeness*: 218

¹⁰ Cf. O'GORMAN, *Papal Teachings: The Church by Mother*, 173.

¹¹ Cf. ST. PAUL VI, General Audience, 6 June, 1973. Devotion refers to an earnest attachment to a thing, a cause, or a person which entails a deep dedication or even consecration to the object of one's devotion. It is the

1.2 Research questions

While researching the Catholic Charismatic Renewal within the Iringa diocese, several challenging questions have been identified. These questions pertain to the role and impact of the Holy Spirit from within the Trinitarian unity, by the teachings of the Catholic Church.

The central question involves understanding why the Catholic Charismatic Movement faces more criticism than other movements and associations. Another question is that of who belongs.

In the Year of the Holy Spirit preceding the year 2000, Pope St. John Paul invited four people who were considered among the most charismatic Catholics in the world: none of them were part of the Renewal. One was Jean Vanier, the founder of L'Arche located in 28 countries located in Africa, Asia, North America, South America and Europe. His charism was to establish homes for the physically and mentally disabled where everyone lives as brothers and sisters, all with the peace and joy of the family. Pope St. John Paul declared on 19 June 1997:

Today's occasion is a fitting opportunity to express the Church's gratitude for a work that supports persons with disabilities in a much-valued Gospel style which offers an original social service and at the same time an eloquent Christian witness...

Today, as an important recognition is conferred on Jean Vanier and the Community of L'Arche, let us thank the Lord for inspiring and fostering in his Church concrete signs of hope which show how it is possible to live the Gospel Beatitudes in everyday life, even in situations that are sometimes complex and difficult...

As I warmly congratulate Mr. Jean Vanier, I hope that the work founded by him – as a whole and in every community – will always be accompanied by the light and strength of the Holy

affection, dedication, attachment and consecration, built on faith and love for Him who is God. Many Catholics are not brought up with the attentiveness and habit of personal or public devotion to the Holy Spirit. See also. C. DEHINE, "Devotion and Devotions" 283.

Spirit, to respond fittingly to the Lord’s plan, thus alleviating the suffering and needs of so many brothers and sisters.¹²

Chiara Lubich, the foundress of Focolare was another charismatic leader present at the assembly with the Pope on the eve of Pentecost in the Year of the Holy Spirit. On the occasion of Jean Vanier’s death, her brothers and sisters in the Focolare Movement – a movement known internationally for its aspiration to a united Church and a united world with a singular emphasis on the fact that cultures, from God’s point of view, still form a single family – reminded the world of the charismatic witness of Jean Vanier in words he had addressed to Pope St. John Paul when he met the Pope on the eve of Pentecost, Year of the Holy Spirit. The Filipino people reminded the world that Vanier had said this:

[Your Holiness], welcoming people with disabilities from different Christian traditions, welcoming Muslims, Jews and Hindus too, we have discovered how much the poor can unite us. Men and women belonging to different churches and different religions have helped us discover the mystery of our common humanity. We discover how, if we welcome a poor person, they lead us to the God of love, they lead us to Jesus.¹³

The Focolare leaders of the Philippines reminded the world of what Vanier had said at a meeting intended to help eliminate poverty and marginalization in Europe:

Jean Vanier began by quoting the Gospel: “Jesus said, ‘The Kingdom of God is like a marriage feast’ where everyone was too busy to attend. So the king sent his servants into the byways to seek out the lame and the helpless. And this is what I’ve tried to live all my life”. Vanier dedicated himself particularly to those with intellectual disabilities, whom he defined as “the most oppressed people”. “They have changed me,” he declared, “I have seen that the Kingdom of God is theirs”.¹⁴

¹² (ST.) JOHN PAUL II, *Address of his Holiness Pope John Paul II for the Ceremony Conferring the International Paul VI Award on Mr. Jean Vanier*, 19 June 1997.

¹³ As cited in FOCOLARE, *Jean Vanier: the poor are the Church’s Real Wealth*, 12 May 2019. <https://newcityph.net>

¹⁴ As cited in FOCOLARE, *Jean Vanier: the poor are the Church’s Real Wealth*, 12 May 2019. <https://newcityph.net>

We return to the eve of Pentecost, Year of the Holy Spirit, 1998. Pope St. John Paul was introducing into the hearts of all who were listening a serious attentiveness to the place of the Holy Spirit in the interior life of each and every Christian.

Whenever the Spirit intervenes, he leaves people astonished. He brings about events of amazing newness; he radically changes persons and history. This was the unforgettable experience of the Second Vatican Ecumenical Council during which, under the guidance of the same Spirit, the Church rediscovered the charismatic dimension as one of her constitutive elements: “It is not only through the sacraments and the ministrations of the Church that the Holy Spirit makes holy the people, leads them and enriches them with his virtues. Allotting his gifts according as he wills (cf. 1 Cor 12:11), he also distributes special graces among the faithful of every rank.... He makes them fit and ready to undertake various tasks and offices for the renewal and building up of the Church” (*Lumen gentium*, n.12)...

Today, I would like to cry out to all of you gathered here in St Peter's Square and to all Christians: Open yourselves docilely to the gifts of the Spirit! Accept gratefully and obediently the charisms which the Spirit never ceases to bestow on us! Do not forget that every charism is given for the common good, that is, for the benefit of the whole Church.

By their nature, charisms are communicative and give rise to that “spiritual affinity between persons” (*Christifideles laici*, n. 24) and that friendship in Christ which is the origin of “movements”. The passage from the original charism to the movement happens through the mysterious attraction that the founder holds for all those who become involved in his spiritual experience. In this way movements officially recognized by ecclesiastical authority offer themselves as forms of self-fulfillment and as reflections of the one Church.¹⁵

We are privileged within this research to remind the reader that in fact during this same assembly of Pentecost Eve, 1998, in the presence of Jean Vanier, Chiara Lubich, Kiko Arguello (the founder of the Neocatechumenate) and Monsignor Luigi Giussani

¹⁵ (ST.) JOHN PAUL II, *Speech of the Holy Father Pope John Paul II Meeting with Ecclesial Movements and New Communities*. 30 May 1998.

(the founder of *Comunione e Liberazione*), the Pope had insightful words to say about the Charismatic Renewal:

The vigor and fruitfulness of the Renewal certainly attests to the powerful presence of the Holy Spirit at work in the Church in these years after the Second Vatican Council. Of course, the Spirit has guided the Church in every age, producing a great variety of gifts among the faithful. Because of the Spirit, the Church preserves a continual youthful vitality. And the Charismatic Renewal is an eloquent manifestation of this vitality today.¹⁶

Another question revolves around the level of familiarity Church leaders and the faithful have with Church documents such as *Dominum et Vivificantem* and exhortations of the sort that Pope St. John Paul II gave on the Eve of Pentecost in the Year of the Holy Spirit on the 30th of May 1998.

A third question arises about the importance St. Thomas Aquinas gave to the links between each gift of the Holy Spirit and each of the Beatitudes proclaimed by Jesus in the Sermon on the Mount. Many overlook Pope St. John Paul’s reverence for the theological insights about the Holy Spirit and so neglect completely everything St. Thomas said in *Summa Theologiae*, IIa-IIae, questions 19, 121, 9, 139, 52, 8, 45, and Ia-IIae, question 69.

These questions have prompted a comprehensive analysis of the targeted area across different segments of the community, including priests, religious individuals, and lay faithful. The results will hopefully guide an effective resolution of the study’s intended objectives.

2. The Holy Spirit in the life of Christians: pastoral implications in the Iringa Diocese

2.1 The Beliefs and Practices in Different African Cultures and Traditions

In order to gain a comprehensive understanding of the impact of the Holy Spirit on the Christian life, it is important to gather

¹⁶ (ST.) JOHN PAUL II, *Speech of the Holy Father Pope John Paul II Meeting with Ecclesial Movements and New Communities*. 30 May 1998.

empirical social scientific information which in the present research amounts to a survey of the respondents' observations.

The findings of this research are intended to provide a clear picture of the advantages and challenges of the Charismatic Catholic Renewal from the perspective of those who responded. These findings – if not simply the result of spurious variation – can also serve as a smorgasbord of insights that can be critically analyzed for the utility of a proposal for a pruning following the teachings of Pope St. John Paul II.

Before analyzing the data collected in the field, it is important to depict beliefs and practices in African religions and traditions. This will help readers understand the sociocultural realities that influence Africans' religious world and perhaps affect their interaction with the Holy Spirit. Additionally, understanding these realities is important because it pertains to people who call themselves charismatic and as such may exert influence on the teachings of the Church.

2.1.1 The Existence of Witchcraft and its Outcome

In many African societies, belief in witchcraft is prevalent. This belief can lead to a complex relationship between the concept of a higher power and the Triune God, since some individuals may perceive a dichotomy in the involvement of a supreme being in their lives. While some view God as an active force, others consider God to be detached from human concerns.¹⁷ The belief in witchcraft is often associated with the idea that certain individuals possess supernatural abilities to cause harm, acting in opposition to societal values. Witches are commonly thought to operate covertly, drawing their powers from malevolent spirits.¹⁸

¹⁷ V. PELT, *Bantu Customs in mainland Tanzania*, 47.

¹⁸ Cf. M.F.C. BOURDILLON, *Witchcraft and Society*, in *African Spirituality*, 176. The belief in witchcraft varies among individuals, with some rejecting its existence despite evidence and confessions, while others acknowledge its impact on various aspects of life, including death. This differing perspective is evident in the testimony of a Charismatic Renewal adherent who claimed to have practiced witchcraft, engaging in harmful activities such as causing illness, curses, and even death.

Witches are humans thought to possess intermediating power; they are called the owners of the world because their power to intercede surpasses that of the ancestors or the divinities. However, their power is ambiguous and dangerous and must be controlled. Throughout Africa, misfortune is ultimately explained as the work of witchcraft, and witches are often seen as forces of evil.¹⁹

Witchcraft, an enduring part of modern life, remains prevalent in some communities, including those following Christian beliefs. Witchcraft is often associated with jealousy, hatred, and lack of charity. Gossiping and insults are viewed as destructive actions that create tension and insecurity within communities, leading to illness and fear of death.

The belief in witchcraft includes the concept of the evil eye being cast by someone, leading to suspicion of innocent individuals and causing them harm. In some societies, there are individuals suspected of causing harm. There are also cases of innocent people being suspected by sorcerers, leading to disruption in their lives. This can lead to division, hatred, and conflict within the community. Many people fear being possessed by evil spirits, and religious scriptures warn against idol worship.²⁰ The prophet Ezekiel emphasizes the importance of spiritual purity (Ezek 36:25-27). All the recent Popes have highlighted the need for conversion and openness to the Holy Spirit.

2.1.2 The Existence of Different Spirits in Africa

In African culture, various types of spirits exist, including heroes, half-gods, non-ancestral spirits, visual spirits, principal evil spirits, milonga spirits, and spirits of the dead, known as viz or

¹⁹ Cf. A. MCKENNA, "African Religions," <https://www.britannica.com/topic/African-religions/Mythology>, accessed on 8/5/2014.

²⁰ Cf. B. BUJO, *The Impact of Our Father on Everyday Life*, 98. Bujo speaks about those who are sentenced to death by a punishment for serious crime, typically murder and corporal violence. Those who are physically punished suffer this penalty as a means of discipline or control. The fifth commandment is concerned for all human life since each man, even the vilest criminal, is the image of God. Bujo insists that a human being, especially a Christian, is not an absolute judge, only God knows the man's heart and is the judge with the last word. On this point Bujo is following St. Thomas, who followed the Gospels. Indeed, this is the constant teaching of the Church.

minimum. These spirits serve different functions and hold varying significance in African belief systems.²¹

The spirits dwell in water, rivers, trees, intones on the mountains, and in the forest. Spirits may hover around where a person dies by accident. Some people possess a snake, which is honored as a deceased chief. It is believed that living beings can also have the magic power of temporally metamorphosing into animals such as leopards, lions, and hyenas. Among the Safwa, there are Bunyago sorcerers, who claim that they can change themselves into animals and then harm other people with their possessions. A diviner (mwaguzi) can discover the cause of unfortunate events and indicate what should be done accordingly.

Some people believe that illness can be treated with medicine from hospitals, while others believe that illnesses caused by sorcery can be cured by magical protection. "Mlozi" is someone whose profession is to harm others using magical means. Some individuals spend a lot of time in prayer, asking for assistance from Jesus in their daily lives.²²

2.1.3 Prophecy in the Church of Africa Today

The term prophet holds a significant place in traditional African religion, and it has become widely used by individuals who identify as prophets and pastors at the present time. However, their approach to preaching and proclamation often diverges from biblical teachings. Some individuals have pointed out that modern prophets may misuse the name of Jesus by engaging in practices similar to those of witch doctors, such as making prophecies about witchcraft and engaging in activities related to witchcraft. Additionally, many modern prophets emphasize themes such as prosperity, exploitation, and injustice while downplaying traditional biblical priorities.²³ This has led to concerns about the loss of the true significance of the cross among Christians.

Modern prophets tend to focus on blessings, prosperity, and worldly success, often neglecting themes such as sin, confession,

²¹ V. PELT, *Bantu Customs in mainland Tanzania*, 49.

²² J. MBITI, *Introduction to African Religion*, 190–191.

²³ Cf. W. NGOWI, *Thus Says the Lord*, 360.

repentance, and obedience. This contrasts with the teachings of traditional biblical prophets. There are also concerns about the authenticity of their revelations and prophecies. Consequently, there is a need for discernment and scrutiny when evaluating individuals who claim to be prophets in the contemporary world.

It is important to note that Jesus did not explicitly identify Himself as a prophet, aside from some proverbial statements.²⁴ On more than one occasion, Jesus revealed himself as God. At times, he connected himself to the name of God, YHWH. In John 8:58, for example, he declared: "Before Abraham was, I AM." He accepted from others the worship that can be rendered only to God: this is the case when the Apostles welcomed him back into their boat after he walked over the water and helped Peter to do the same; it is also what happened at the end of the conversation with the man born blind in John 9, a man whom Jesus cured.

However, even though there were people like St. Thomas who recognized Jesus to be their Lord and their God (cf. Jn. 20:28), many other people saw in Jesus merely a prophet due to His powerful words and deeds. They were attentive to the fact that Jesus emphasized promises of salvation and taught with authority, placing greater emphasis on blessings, but at the same time reserving a harsh judgment for those who neglected to attend to the needs of the hungry, the thirsty, the naked, the homeless, the sick and the imprisoned. Nevertheless, there are ongoing challenges in guiding the faithful and addressing false teachings propagated by self-proclaimed prophets through various media platforms.

Our present article alludes to the differences between the responses of lay people in the Church and the teachings of Church leaders, particularly concerning traditional customs like divination and charms. These customs are often rooted in the desire for protection from evil, witchcraft, spirit possession, and the pursuit of prosperity. The influence of Protestant Churches and the rise of movements like the Charismatic Renewal within the Catholic Church add further complexity to addressing these challenges. It is

²⁴ W. NGOWI, *Thus Says the Lord*, 201.

crucial for Church leaders to carefully navigate these dynamics and prevent potential extremes in response to these influences.²⁵

2.2 Organization of the work on the ground

The rise in popularity of the Catholic Charismatic Renewal in the Diocese of Iringa is a significant development brimming with opportunities and challenges. It has attracted many admirers while also facing resistance from some parish priests who accuse them of disobedience, inciting division, provoking confusion, and sowing seeds of doubt among the faithful. Our research gives consideration to the historical development and present-day characteristics of the Catholic Charismatic Renewal in the Diocese of Iringa.

A descriptive survey design was employed, and the opinions of the CCR members were sought regarding its origins and progress. The sample size was 107, including 40 Catholic Charismatic Renewal members, 15 Parish Council members, 10 Priests, 20 faithful who are not in the movement, 20 sisters, 1 Mother Superior, and 1 Bishop. The historical background of the Diocese is detailed in the third footnote above and underscores the importance of this research in understanding how the CCR may find its place within the hierarchical order of the diocese.

2.3 Collection of views according to the surveys

In this section, the researcher collected the views of different respondents, and simultaneously, she tried to interpret them. Because the data were collected individually in various places and dates, the table joined them together and explained the experience of each group as it was reported. The narrative summary method was employed to establish a data base for analysis of the responses offered by those who participated in the survey.

²⁵ L. MAGESA, *Laurenti Magesa Anatomy of Inculturation*, 60.

**Research conducted at Kihesa Parish, Mshindo Parish and
Irene Center 18 –22/04/2024**

Table 2.1 Awareness of *Dominum et Vivificantem*

Group	QT	Y	N	H	NH
Bishop	1	1	0	0	0
Priests	10	2	4	4	0
Sisters	20	2	18	0	0
Charismatic	55	0	52	3	0
Non-Charismatic	20	0	3	0	17
Mother Superior	1	0	1	0	0
Total	107	5	78	7	17
Percentage	100.00%	4.67%	72.90%	6.54%	15.89%

Source: Field Research Data: April, 2024.

QT–Number of Respondents, *Y* – Yes, they know of it, *N* – No, they do not know of it, *H* – Yes, they heard of it, *NH* – No, they never heard of it

The encyclical *Dominum et Vivificantem* is very significant for all Christians so that they learn who the Holy Spirit is in his identity as God and in his particular mission in the interior life of all individuals. Table 2.1 above shows that the document *Dominum et Vivificantem* is not known among the faithful, the priests and the Sisters and the members of the Renewal. As shown, only 4.67% know of the document, 72.90% do not know of it, 6.54 have just heard of it, and 15.89% have never heard of it. The researcher admits that the teachings on the power of the Holy Spirit do not come only from the encyclical *Dominum et Vivificantem*. What he said in his General Audiences during the Year of the Holy Spirit (1998) and on the Eve of Pentecost during that year are quite instructive. His teachings are significant in the modern world. The Pope insisted that we are called to draw near to the Holy Spirit as

the giver of Life in our own age.²⁶ He called all of us in quite a forceful manner to be docile to the Holy Spirit and to the charisms he wishes to impart to all for the common good. The respondents indicate that they do not have the means to gain access to what the Pope has said and written.

Table 2.2 Are there any benefits of the charismatic style of worship for the Catholic Church?

	QT	Y	N	Don't Know
Bishop	1	1	0	0
Priests	10	6	4	0
Sisters	20	10	6	4
Charismatic	40	40	0	0
Non-char.	23	14	6	3
Par. Counc.	15	12	3	0
Total	109	83	19	7
Percentage	100%	76.2%	17.4%	6.4%

Source: Field Research Data: April, 2024.

Table 2.2 above clarifies that most faithful are aware of the benefits of charismatic renewal. Those who agreed with the benefits were 76.15%, and those who disagreed were 17.43%; hence, no one learned about the benefits of being Charismatic by hearing it from friends or from normal conversation. However, 6.42% don't know if there are benefits or not.

²⁶ JOHN PAUL II, *Dominum et Vivificantem*, No. 1.

Table 2.3 Charismatic Existence in the Diocese: Did the Bishop authorize it?

Surveyed	NARRATIVE SUMMARY
Bishop 1	The Bishop affirmed that he authorized it and assured the charismatic groups that they would have proper spiritual guides.
Priests 10	They said the charismatic groups were authorized by the Magisterium of the local Church without complete catechesis from the Priests who could guide them, and they found the laity had not kept the fast and abstinence laws that are obligatory in the Church.
Sisters 20	The Sisters affirmed that the bishop authorized them as long as they had guidance, but the charismatics refused to follow it.
Charismatic 55	Some said they have guidance from the bishop, but there are things written there that the expertise regarding the Creed must interpret.
Non-Charismatic 20	They all said they did not know if the bishop allowed the Charismatics in the Church.
Mother Superior 1	The Mother Superior verified the charismatics' legal presence in the Diocese of Iringa. The problem is that the directory made by the bishop nowadays is not found. It needs to be renewed. There is also a need for catechesis.
Total: 107	

Source: Field Research Data: April, 2024.

All categories affirmed that the Magisterium knows about the presence of the Charismatic Renewal in the diocese of Iringa.

	Y	N	H	Don't know
Bishop 1	1	0	0	0
Priests 10	10	0	0	0
Sisters 20	20	0	0	0
Charismatic 55	55	0	0	0
Non-charismatic 20	9	3	3	5
Mother Superior 1	1	0	0	0
Total: 107	96	3	3	5
100.00%	89.72%	2.80%	2.80%	4.67%

Table 2.4: Are there any Challenges to the Charismatic Renewal in the Diocese?

Source: Field Research Data: April, 2024.

In Table 3.4 above, people expressed their feelings on the challenges of the charismatic renewal in different ways: The charismatics experience the challenges in their way, and those who are not charismatic in their own way. So, 89.72% agreed on the presence of challenges, 2.80% affirmed that there is no challenge to the Charismatic Renewal, 2.80% said they are just hearing about the challenges from others, and 4.67% verified that they do not know about any challenges facing charismatics.

Table 2.5: Are there any differences between the Charismatic Renewal and the Pentecostal Church?

Group	QT	Y	N	Don't know
Bishop	1	1	0	0
Priests	10	4	6	0
Sisters	21	5	15	0
Charismatic	40	40	0	0
Non-Charismatic	20	3	14	3
Parish Council	15	12	3	0

Total	107	65	38	3
Percentage	100.00%	61.32%	35.85%	2.83%

Source: Field Research Data: April, 2024.

The table above 2.5 clarifies the respondents’ opinions about the issue of whether there is a difference between the Catholic Charismatic Renewal and Pentecostal-Charismatics. Out of 107, 61.32% affirmed that they are different in their teachings. The Charismatics themselves underlined that other churches do not have the catechism and documents of the Councils. 35.85% disagreed, saying that what the Charismatics are doing shows no difference from other denominations. 2.83% said they don’t know whether there are differences or not.

2.3 Interpretation of the findings

In general, the findings obtained in this study revealed that the Charismatics have no problems if they follow the directives of those in authority and stay within their Catholic Identity.²⁷ Because the purpose of the Catholic Charismatic Renewal is the pursuit of spiritual perfection, it is by living the fruits of the Holy Spirit, such as the Spirit of love, the Spirit of obedience to the authority of the church, the Spirit of preaching the good news (the hunger and thirst for righteousness that expresses itself in acts of mercy/ compassion, purity of heart in what one thinks, says and does, and the spirit of peacemaking, forgiveness and reconciliation, that brings the unity that such international charismatic leaders as Chiara Lubich and Jean Vanier desired so ardently. This interpretation can be divided into benefits, challenges, and remedies:

2.3.1The benefits of the Charismatic Renewal in the Diocese of Iringa

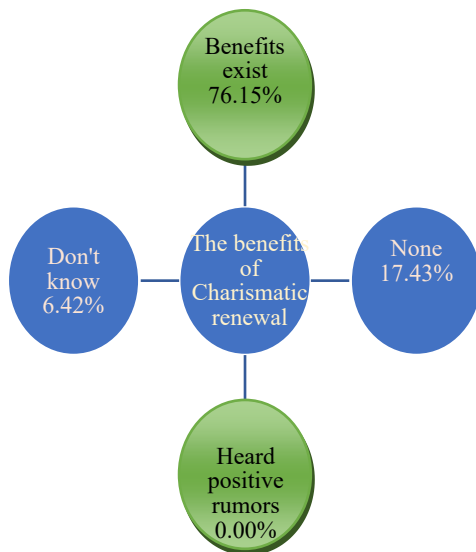
Almost all groups that responded to the survey replied in the same way. The bishop said the Charismatics who follow the Church's teachings know the Church's needs. The priests recognize the benefits of the Charismatic Renewal according to their own Catholic spirituality as priests. Some realize that the Charismatic Renewal is a crucial tool in evangelizing the Church because they

²⁷ Cf. The Bishop’s participation in the survey, 18/04/2024.

are the ones transformed by faith, so they help strengthen the faith of others.²⁸

Figure 3.1 summarizes in pictorial fashion how people acknowledge the advantages of the Charismatic Renewal in the diocese. However, as shown in the interpretation, everyone appreciates the movement from different vantage points. There are 76.15% who agree that there are benefits, 17.4% affirmed that they don't see any of the benefits, and 6.42% said they don't know whether there are benefits or not.

Figure 3.1 The benefits of the Charismatic Renewal



Source: Field Research Data: April, 2024. Comments from the priests.

Some priests commended the charismatic renewal on their offerings at the Presentation of Gifts (*Zaka* and *Sadaka*), saying that Catholic Charismatics know how to make offerings to God from the bottom of their hearts. One joked that nowadays, if the

²⁸ Cf. An interview with one priest in Iringa 18/04/2024.

priest finds that the faithful are not offering much, they try to invite the Charismatics to preach on offerings (*utoaji*).²⁹ Some Sisters commented that most of their relatives had terrible behaviors, but today, they have completely changed due to their engagement in the Charismatic Renewal.³⁰ One Priest insisted, "If you want to be in this movement, you have to be all in all surrendered to Jesus."³¹ The bishop affirmed that the one who denies the principles of the charismatic movement lacks catechesis and the formation of charismatic theologians (technicians). The Charismatic Renewal is one and the same as the objectives of the Church: the conversion, sanctification and salvation of every human being.³²

Most of the faithful who joined the Charismatic Renewal confessed their lives had been changed. They have experienced the power and illuminating truth of the Holy Spirit, and their prayer life finds its living water in the depths of their souls. They experience deep joy and peace, which they had never experienced before. One said he gained inner strength to love and dedicate himself enthusiastically as the brother of Jesus.³³ One from the

²⁹ Cf. The interview with one priest in Iringa 18/04/2024.

³⁰ Cf. Interview with sisters 18/04/2024.

³¹ Cf. The interview with one priest in Iringa 18/04/2024.

³² Cf. GAZETI LA UENEZAJI INJILI TANZANIA: "*Kongamano la Roho Mtakatifu Iringa*," 3. Today we can experience his outpouring, his power and his gift in the very same way they were experienced and recognized by the early Christians. The proof of the authenticity of all this depends primarily on a study of its effects on people's lives. Its aim is not to provide religious experiences but to help people to live a renewed and effective Christian life, serving the mission of the Church. Emphasizing the essential role of the Holy Spirit, the catholic Charismatic Renewal remains essentially Christ-centered. It seeks to clearly proclaim Jesus as Savior and Lord of all and teaches that to know Him is the human being's only path to true fulfillment and peace. This new life in Christ is to be lived out in the community of the Church and to be carried forth into the world.

³³ I can only stand in awe and give glory and thanks to Almighty God as I look back at my life before and after the Retreat. It makes me wonder what kind of a priest I would be if I had not gone through the CCR. God has been good to me. I would like to encourage my fellow priests not to despise this spiritual renewal but learn from it so that we can guide our

Charismatic Renewal said most people enjoy the service in the Charismatic Renewal, which they do not get when they go to the parish.³⁴

2.3.2 The Implementation in the Service of the Charismatic Renewal

The CCR is committed to leading people into deep, profound, and personal conversion with their Savior Jesus through the anointing power of the Holy Spirit, charisms, and the grace of Pentecost. The CCR draws people to be committed to holiness, encouraging and fostering religious vocations and leading people to baptism in the Spirit.³⁵ The charismatics have made an outstanding contribution to the Church through their acts of compassion, which is the best way of promoting the Gospel and making their religious contributions. The Charismatics are gifted with talent; in this way, they should be humble, following the virtues of the Virgin Mary (Luke 1: 46) and that of Christ (Phil 2: 6-11), who humbled themselves and became obedient.³⁶

The particularly Catholic Charismatic way of living the universal call to holiness was an occupation of an international leader in the Catholic Charismatic Renewal, (Rev.) Robert Faricy, S.J. He was the spiritual director of the Catholic Charismatic Renewal in Italy for the first 11 years of its existence. He made a very astute observation: what Charismatics call Baptism of the Spirit is identical with what St. Ignatius of Loyola called Consolation without Preceding Cause.

St. Ignatius is responsible for founding the order to which both Pope Francis and Father Faricy belonged, the Jesuits. Since our research is not concerned with a detailed inquiry into Baptism in

Christian brothers and sisters on the path to holiness. I have come to know and understand the power and the role of the Holy Spirit, who is the third person of the Holy Trinity. I am now aware that I must be docile to the Holy Spirit if I want to be a good Priest. The Holy Spirit teaches everything to the one who allows Him to do so.

³⁴ Cf. The interview with one priest in Iringa 20/04/2024.

³⁵ Cf. BENEDICT XVI, *The New Evangelization for the Transmission of Christian Faith*, 2011.

³⁶ Cf. From the Bishop Interview at Iringa on 18/04/2024.

the Holy Spirit, I shall summarize the evidence that Faricy gives in order to anchor us in the true meaning of the Baptism in the Spirit.³⁷

2.3.3 The Transformed Life by the Power of the Holy Spirit

St. Ignatius indicates that there are requirements for the soul that prepares itself for Baptism in the Spirit. The issue of the illumination by the Spirit and the ensuing, peace, joy and zeal, i.e., the issue of Baptism in the Spirit, is precisely the issue that arises when the person has spent some days contemplating Jesus with a solemn request: that he or she may know Jesus more in order to love Him more and follow Him faithfully.

St. Ignatius called this type of prayer “contemplation”. He was indicating that there must be a docility to God the Holy Spirit if one is going to know Jesus, love Him and follow Him with ever more ardor and fidelity. Here is what St. Ignatius said for those who are contemplating the life of Jesus with the special request that I just mentioned:

It belongs to God our Lord to give consolation to the soul without preceding cause, for it is the property of the Creator to enter, go out and cause movements in the soul, bringing it all into love of His Divine Majesty. I say without cause: without any previous sense or knowledge of any object through which such consolation would come, through one’s acts of understanding and will.... .. When the consolation is without cause, although there be no deceit in it, as being of God our Lord alone, as was said; still the *spiritual person* to whom God gives such consolation, ought, with much vigilance and attention, to look at

³⁷ It was a recent issue of *Africa Tomorrow*, the June-December 2020 issue, 22(1-2), that conveyed an important recap of the spiritual requirements for receiving the Baptism in the Spirit and the distinction between the Charismatic Movement in the Pentecostal denominations in contrast to the Catholic Church. See P. CHAMI, “Contribution of the Catholic Charismatic Renewal to the Universal Church and to the Church in Tanzania”, *Africa Tomorrow*, 22(1-2), (June-December 2020), 159-224. Chami cites Faricy: cf. R. FARICY, “Baptism in the Holy Spirit: My Experience”, Rome: CHARIS Web TV, Catholic Charismatic Renewal International Service, 2008. Pope Paul III gave full papal approbation for the Spiritual Exercises in 1548 when St. Francis Borgia was acting as the Jesuits’ third Superior General. Chami, “Catholic Charismatic Renewal”, *Africa Tomorrow*, 22(1-2), 179.

and distinguish the time itself of such actual consolation from the following, in which the soul remains warm and favored with the favor and remnants of the consolation past; for often in this second time, through one's own course of habits and the consequences of the concepts and judgments, or through the good spirit or through the bad, he forms various resolutions and opinions which are not given immediately by God our Lord, and therefore they have need to be very well examined before entire credit is given them, or they are put into effect.³⁸

One cannot help but notice that the one who receives this consolation—the one who receives baptism in the Spirit—is a “*spiritual person* to whom God gives such consolation”. To put it within the framework of the Exercises, a person praying for the grace to be disposed to the Baptism in the Spirit should already have made a life confession of all their sins, even the sins already forgiven – this is not because one doubts the forgiveness, but it fortifies the person's resolution to resist sin in the future. Another requirement is that the person should already have contemplated Jesus as one who has a special charism to give him or her, and the person is ready to accept it wholeheartedly by resisting all temptations to sensuality and carnal and worldly love with the following words:

Eternal Lord of all things, I make my oblation with Your favor and help, in the presence of Your infinite Goodness and in the presence of Your glorious Mother and of all the Saints of the heavenly Court; that I want and desire, and it is my deliberate determination, if only it be Your greater service and praise, to imitate You in bearing all injuries and all abuse and all poverty of spirit, and actual poverty, too, if Your most Holy Majesty wants to choose and receive me to such a life and state.³⁹

The transformed life by the power of the Holy Spirit refers to the spiritual change that occurs in the life of the person when they invite Jesus Christ into their heart and allow the Holy Spirit to work

³⁸ ST. IGNATIUS OF LOYOLA, *Spiritual Exercises*, trans. by E. Mullan, S.J. Rome: German College, 1909, 77-78.

³⁹ *Spiritual Exercises*, 31.

within them.⁴⁰ As you can see from the prayer that one makes, a prayer of promise to remain docile to the Holy Spirit no matter how painful it may be, the Baptism in the Spirit is an occasion of interior joy precisely because one is with Jesus who within his Sacred Heart experiences the Holy Spirit's fire transforming intolerable pain into the love that saves.

Paul expresses well, especially in 2 Corinthians 12, the grace of Baptism in the Spirit. In Galatians, he expresses the same when he affirms that he is living a life which is not his: "I live yet not I, but Christ lives in me (Gal 2:20)." Anyone who remains docile to the power of the Holy Spirit is called a Charismatic.⁴¹ The disciples are never stated to have received baptism in the name of Jesus Christ. Still, their lives are electrified after receiving the Holy Spirit in the new and distinctively Christian way in the sacrament of confirmation on the day of Pentecost (Acts 2:3).⁴² With the resurrection, the fullness of salvation planned by God for us has begun to exist; the Spirit of God is so united to us that we have undergone a transformation (1 Cor 13:12; Heb 9:24). A human being can now be present in the Spirit to others in the way God is.⁴³ This is precisely the kind of transformation that Jean Vanier experienced and so Pope St. John Paul II expressed his joy when speaking of Jean Vanier.

On this note one must also recall that docility to the Holy Spirit means honoring the desire of Jesus and the Church that all believers

⁴⁰ Cf. B. E. HINZE, – D. DABNEY, *Advents of the Holy Spirit*, 46. That is why in order to be the sons and daughters of God one must be baptized, whereby baptism involves a surrender of one's life to God and a wholehearted acceptance of the gift of the Holy Spirit. Evidently, people are called Christians because they have been anointed in the sacrament of confirmation. It is through the power of the Holy Spirit that one allows Christ to be with him/her. When one is led by the power of the Holy Spirit is when can allow Christ to be with him/her and his or her life changes completely. The outcome, then, is that one can bear the fruit of love, joy, peace, patience, kindness, goodness, faithfulness, gentleness and self-control (Gal 5:22).

⁴¹ Cf. B. E. HINZE, – D. DABNEY, *Advents of the Holy Spirit*, 47.

⁴² C. F. D. MOULE, *The Holy Spirit*, 85.

⁴³ B. GAYBBA, *The Spirit of Love, Theology of the Holy Spirit*, 156.

receive the Eucharist daily (St. Paul VI, *Mysterium Fidei*, n. 66). The Charismatic must seek to be in daily communion with Jesus.

To be filled by the Holy Spirit is to be controlled or dominated by the presence and power of the Holy Spirit (Eph 5:18). Unfortunately, many people of God do not enjoy the unlimited spiritual wealth at their disposal because they are not filled with the Holy Spirit.⁴⁴ Many Christians have failed to manifest the Holy Spirit received during baptism and confirmation because their lifestyles do not allow the Holy Spirit to do His work effectively (1 Thes 5:19).⁴⁵ They have not fulfilled the requirements mentioned above for living within the Baptism in the Spirit. The Christians indeed have more equipment and technology for evangelizing the world and are better-trained personnel. However, one of the great disasters of the present hour is that Christians often lack the fullness of the Spirit necessary for true dependence on the power of God for their ministry.⁴⁶ They are not yet a people of the Eucharist.

The Christians are supposed to be filled with the Spirit in the sense that they are continuously being filled because they are not filled once and for all like a bucket but are to be filled constantly (Eph 5: 18). The fact that the gift of the Spirit is a grace that God gives every day is what we mean by the sacramental character of confirmation. After the resurrection and ascension of Jesus, the apostles had a powerful experience that completely transformed them: the sacramental experience of Pentecost. The Spirit gives them the ability to bear witness to Jesus with boldness.⁴⁷ This ability is constantly renewed every day by the grace of confirmation.

2.3.4 Experiencing the Power of the Holy Spirit in Prayer

At this point, it may be helpful to say a word about the difference between the Pentecostal form of charismatic activity and

⁴⁴ B. GRAHAM, *The Holy Spirit Activating God's Power in your Life*, 74.

⁴⁵ Karismatiki Katoliki Tanzania: 54.

⁴⁶ Cf. B. GRAHAM, *The Holy Spirit Activating God's Power in your Life*, 75.

⁴⁷ Cf. JOHN PAUL II, *Redemptoris Missio*, no 43.

that of Catholicism.⁴⁸ It is quite evident from the beginning that, sadly, they do not have the ordained clergy necessary to hear the life confessions of those preparing for Baptism in the Spirit. They are usually unfamiliar with the promise to imitate Jesus in bearing poverty, wrongdoings and insults so as to be closer friends to him. Again, they do not have recourse to ordained ministers to receive the sacrament of confirmation: hence, the grace of Pentecost can seem to exceed their grasp.

All of this is historically evident in the origins of the Pentecostal movement. In Topeka, Kansas, on 1 January, 1901, at Bethel Bible School, Agnes Ozham asked an ex-Methodist Charles Parham to be prayed for in order to receive the fullness of the Holy Spirit. Her request actually resembles the request that the bishop (or priest) makes to God before sealing the candidates for confirmation in the gift of the Holy Spirit.

Immediately after being prayed over, Agnes began speaking in tongues—witnesses seem to have believed that she was speaking a known language. Ozman's experience confirmed Parham in his conviction that the visible sign of one's baptism in the Spirit is that of glossolalia—speaking in tongues. Parham is credited not only with this theological insight but, with this insight as a keystone, the founding of what is known as the Pentecostal movement. This event moved the rest of the students at Bethel to pray for the grace to receive the same baptism in the Spirit. Critics, however, began calling the Bible School the "Tower of Babel." It became difficult to distinguish between a gift of the Spirit and mere, nonsensical babbling. Indeed this can be a complaint of some Catholic charismatics when their particular group emphasizes speaking in tongues so exclusively that those who do not speak in tongues seem "less" charismatic than the others.

Parham shifted the focus to the gift of healing. Mary Arthur, the wife of a prominent citizen of Galena, Kansas, claimed to have been healed under Parham's ministry; and in January of 1903, the

⁴⁸ What follows is a synopsis from what we learn from P. CHAMI, "Catholic Charismatic Renewal", *Africa Tomorrow*, 22(1-2), 193-195. Chami lists major sources for those who intend to research the Pentecostal movement.

Joplin, Missouri, News Herald reported that 1000 had been healed and 800 converted.

After receiving a baptism in the Spirit, an African-American participating in Parham's assemblies, Lucy Farrow, disclosed to him that she felt called to the ministry of holiness in Los Angeles. Farrow joined another African-American, William Seymour, to help her found the Asuza Street mission in Los Angeles. Under the leadership of William Seymour and his wife Jennie, this mission drew thousands of people from all over the United States and made the Pentecostal Assembly a well-known national institution.

Races and cultures were fully integrated in the Azusa Street mission. It became a home for the immigrants and the poorest of the poor.

The Azusa Street Revival is usually considered to be the beginning of the contemporary Pentecostal Movement. By 1909 those who had considered Azusa Street to be their spiritual home began going on mission to the far reaches of the globe.

Today there are more than 500 million Pentecostals and charismatics associated with Pentecostals throughout the world. The people still do not participate in the sacraments of reconciliation and of the Eucharist. They continue to live without the sacrament of confirmation. Their focus is on Baptism in the Spirit, speaking in tongues and the gift of healing. They are to be found in Botswana and South Africa, Egypt, Syria, Palestine and in a number of other countries in Asia, Europe and the Americas. We pray for the day when all of us may be sacramentally united within the living waters of grace and the ardent love of the Holy Spirit.

While the lack of overt witness to the grace of God in the sacraments can be a source of confusion, the appeal to the poor seems to have an effect similar to that of the movement began by the Catholic Charismatic Jean Vanier as described above. In many places of the world where people put into action charity towards the poor, it is remembered what Pope Benedict XVI once said: In the least of Jesus' brothers and sisters, there is a second real presence of Jesus. Whatever we do to them, we do it to Jesus, in other words, to God himself.

2.3.5 The Holy Spirit within the interior of the soul

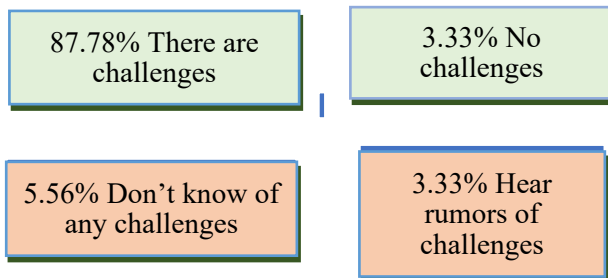
St. Paul says, “The Spirit helps us in our weakness, for we do not know how to pray as we ought. Still, the Spirit Himself intercedes for us with sighs too deep for words” (Rom 8:26). Pope Benedict XVI reflects like that when the Apostle says, we do not know how to pray as we ought because we want to pray, but God is far, we do not have the words, the language, to speak with God, not even the thought. According to Pope Benedict XVI, this absence of words, even the desire to enter into contact with God, is a prayer that the Holy Spirit understands, carries, and interprets within the interiority of God.

Our weakness becomes true prayer and contact with God through the Holy Spirit.⁴⁹ This activity of the Holy Spirit within the soul and within the eternity of Trinitarian love that establishes us as souls of prayer is precisely what we mean when we say that the Holy Spirit is the Paraclete: He is the one to be invoked when we do not know how to pray as we ought.

Pope Benedict’s words resonate with those of St. John Paul II in the concluding paragraphs of *Dominum et Vivificantem* when he affirms that the Holy Spirit the Paraclete helps us in our incapacity, illuminates our minds and warms our hearts, guiding us to turn to God (1 Cor 2:12-13).

2.3.5 The Challenges to the Charismatic Renewal in Iringa Diocese

Figure 3.2 The Challenges to the Charismatic Renewal



Source: Field Research Data: April, 2024.

⁴⁹ Cf. BENEDICT XVI, *General Audience*, 2012.

Figure 3.2 shows that 87.78% agreed that, indeed, there are challenges, 3.33% claimed that the Charismatics do not face challenges, 3.33% said they hear from others that there are challenges, while 5.56% verified that they don't know about any difficulties that Charismatics may be facing.

Some faithful were of the opinion that the centers of the Charismatic Renewal are like hospitals because they are full of sick people searching for help to be healed. After all, people are so ignorant that they believe that witchcraft causes every sickness they have. Due to this challenge, the bishop declared the Church's teaching that anyone who fears the Lord can pray for the sick who can then get well; but concerning the anointing of the sick, it is taught that but sacramental healing is the work of priests.⁵⁰ Some offered a criticism that resembles what follows:

Charismatics hold vigils in the church all night, but at the end of the morning, they leave without participating in the Holy Mass; what does this mean? During their conferences, all Christians come to participate, but few come to attend Mass in the Church; by doing this, the church should pay attention to the fact that people can deal with small things and forget the main liturgical actions. Others are proud and display that they are higher than the engine. When there are patients who pray without going to the hospital, and if the patient dies, they say it is God's will. If they encounter things like lizards, birds, and snakes, they say they're demons, curses or mistakes. Were those insects not created by God to live?⁵¹

Most of the faithful claimed that the problem with the Charismatic Renewal is that they think they are more Christian and closer to God than anyone else in the Church.⁵² Some gave the criticism that the charismatics do not listen to the leaders of the

⁵⁰ Cf. Interview with the Bishop at Iringa on 18/04/2024.

⁵¹ Interview with the Sisters, 19/04/2024.

⁵² Cf. Interview with the faithful who are not charismatic members, 21/04/2024.

Church.⁵³ Some faithful believe that the Church embraced the Charismatic movement to attract more people to Catholicism by revitalizing their faith through music, dance, and preaching about finding comfort in times of trouble. One of the faithful concentrated on the observation that all charismatics have histories of problems, and no one who has no preoccupation with problems has joined them.⁵⁴

Others have concluded that many people joined this Renewal, to get relief from the hardships encountered in life, similar to the Samaritan woman at the well who found in Jesus someone who understood her complicated heart, the woman with the hemorrhage who found a cure in touching Jesus' garment, and the Canaanite woman who needed help with her child. This issue has been a subject of research for Fr. Titus Amigu, who says: "Many are joining this group due to insufficient knowledge of the faith and psychological problems. Many problems related to healing are physiological and psychological in nature."⁵⁵

Some of the physicians were surprised and shocked by the actions of some of the charismatic individuals who were fasting for three days without eating or drinking, and damaging their health for no reason.

Another observation from a priest was that, in African tradition, people tend to believe in witch doctors, diviners, sorcerers, and spirits, and they have had their own ways of solving the problems

⁵³ Cf. Interview of the faithful who are not charismatic members 21/04/2024. See also the book of Laurenti MAGESA, *Anatomy of Inculturation*, 61.

⁵⁴ Some of the Sisters testified that after seeing people leading themselves randomly, the bishop wrote a document warning them to live the teachings contained in the Code of Faith; but they refused to read the guide. As a result, many of the Charismatics do not follow the teachings of the Catholic Church, that is, they have tended to reject the teachings about the Virgin Mary, and they accuse others of not having the Holy Spirit. Some give the opinion that they see others who are not in that movement as witches, so they use salt to pour in their areas and bring discord.

⁵⁵ Cf. T. AMIGU, *Uponyaji na Unenaji wa Lugha*, 26-63.

concerning the attack of the spirits. The Charismatic Renewal attracts so many people because they speak the same thing (the social psychological phenomenon of “group think”).⁵⁶ In certain parishes, the priest wondered about their mode of prayer and said that, for the charismatics, a prayer without tears for them is not a prayer; this is not the teaching of the Church.⁵⁷

The main question, which was the main focus of the research, was whether people are aware of the document of the Church on the Holy Spirit, that of *Dominum et Vivificantem*. In this question, the researcher received silence. Those surveyed certainly could not have been aware that for the Eve of Pentecost in the Year of the Holy Spirit, Pope St. John Paul had chosen Jean Vanier and three other charismatic leaders in the universal Church to give their witness about the activity of the Holy Spirit in their lives. We have already noted that none of the four were themselves members of the renewal.

Most of the priests from Iringa affirmed that they knew the document in English and the guidance of TEC, even though just four showed it. They know a lot about the books of Fr. Titus Amigu on the Charismatic and African Tradition.⁵⁸ It is doubtful that they knew of the testimony of the charismatic leaders Jean Vanier, Chiara Lubich, Kiko Aguello and Monsignor Luigi Giussani on the Eve of Pentecost, 1998.

2.3.6 The Position of Pope John Paul II on the Holy Spirit Giver of Life

Pope John Paul II brings to our attention the fact that the Church, from the beginning, has proclaimed her faith in the Holy Spirit as the Giver of life, the one in whom the mysterious Triune God communicates himself to human beings, constituting in them the source of eternal life.⁵⁹ This faith needs to be continually revived and deepened in the consciousness of the People of God (2

⁵⁶ Cf. The interview with one priest in Iringa 22/04/2024.

⁵⁷ Cf. The interview with one priest in Iringa 22/04/2024.

⁵⁸ Interview with a Priest regarding the Charismatic renewal 22/04/2024.

⁵⁹ Cf. SECOND VATICAN COUNCIL, *Dei Verbum*, 1.

Cor 13:13).⁶⁰ Pope St. John Paul II declares that, through the resurrection of Christ, the Church proclaims life, which is stronger than death. At the same time, she bears witness to him who gives this life. The Church not only proclaims the Holy Spirit who gives life but also cooperates with him in giving life. United with the Holy Spirit, the Church is supremely aware of the reality of the inner man, what is most profound and essential in man, because it is spiritual and incorruptible (1 Cor 2:10).

In this way, man lives in God, and by God, he lives according to the Spirit and sets his mind on the things of the Spirit.⁶¹ The faithful are called to realize that, in every celebration of the Eucharist, His coming, His salvific presence, is sacramentally realized.⁶² God wishes all men to be saved and to come to the knowledge of the truth (1 Tim 2:4). The Redemption includes all humanity and, in a certain way, all of creation. Only the Holy Spirit convinces concerning sin and evil in order to restore what is good in man and the world to renew the face of the earth. Therefore, He purifies the person and the world from everything that disfigures man, from what is unclean. He heals even the deepest wounds of human existence; He changes the interior dryness of souls, transforming them into the fertile fields of grace and holiness. What is problematic, He softens; what is frozen, He warms; what is wayward, He sets anew on the paths of salvation.⁶³

2.4 The Summary of the Findings

The data were gathered based on the research study questions. Thus, the results were based on the respondents' replies to the questionnaires or to the interviewer's questions. The following summarizes the information obtained from the findings.

⁶⁰ Cf. SECOND VATICAN COUNCIL, *Dei Verbum*, 2.

⁶¹ Cf. JOHN PAUL II, *Dominum et Vivificantem*, 53.

⁶² This is what the Epiclesis before the Consecration expresses: Let your Spirit come upon these gifts to make them holy, so that they may become for us the body and blood of our Lord, Jesus Christ, Eucharistic Prayer II. Also, in Dv 62.

⁶³ Sequence *Veni, Sancte Spiritus*; cf. the closing paragraphs of the encyclical.

2.4.1 The suggestions on what should be done

From the outset it should be recognized that the researcher chose the kind of research method that is proper to psychology, sociology and the other social sciences. This means that the first order of business is to replicate this research with other groups within the Diocese of Iringa and within other Tanzanian dioceses. It could have happened, for example, that one or more bishops made the encyclical *Dominum et Vivificantem* more readily available to the faithful of his diocese. It could also have happened that particular bishops were or are more familiar with the Catholic Charismatic Renewal, Baptism in the Holy Spirit, Consolation without Preceding Cause, the role of a life confession and the practice of receiving Holy Communion on a daily basis – just as the Reverend Father Peter Chami, the author referred to in this research, is aware of it in his priestly service within the Dodoma Archdiocese.

According to the bishop, a charismatic must live within the teachings of the Sacred Scriptures and Church Tradition as the Magisterium has consistently interpreted them through the centuries. With the approval of several Popes, the *Spiritual Exercises* of St. Ignatius continues to be, one might say, the Church's manual for the discernment of spirits. Discernment of charisms belongs to this manual. Pope St. John Paul II's teachings on the Holy Spirit and his encouragement of the Charismatic Renewal is very helpful in this regard.

On the part of the priests, they suggested that the challenges facing the Charismatic Renewal are connected to the manner by which it entered into the Diocese. When the Charismatic Renewal entered Tanzania, it was not accepted until today. Some places do not receive the CCR. Most of them have developed without permission and exceptional guidance from Church leaders until the guidelines from TEC, which came to be issued in 2016. As a result, Charismatics have many Catholic elements that do not seem Catholic.⁶⁴ The Charismatic Renewal seems to have begun in Tanzania at a time when the priests and the religious were not

⁶⁴ Cf. From priests' interview at Iringa on 19/04/2024.

aware of the contours of the movement, so they lacked extensive preparation for guiding the movement.

The big job now in Iringa is giving them the guidance they need while remaining faithful to the words of St. John Paul II: “Be docile to the Holy Spirit.” These words are addressed to everyone, clergy, Brothers, Sisters and lay people.

This cannot be done if the priest is not in their midst.⁶⁵ This is true not only for the charismatic but even for other apostolic associations.⁶⁶ Being close to the laity, the priest will learn a lot and help settle into a system that makes sense.⁶⁷

The Catholic Charismatic Renewal helps a person to know his faith better by the power of Christ on the Cross. Listening to Jesus’ declaration that He is anointed, and that his anointing comes with a particular mission – that of being the Messiah – in Luke 4:18-19 brings great joy and illumination concerning one’s own anointing in the Spirit (confirmation). It should be remembered that the Holy

⁶⁵ Priests, therefore, must take the lead in seeking the things of Jesus Christ, not the things that are their own. They must work together with the lay faithful and conduct themselves in their midst after the example of their Master, who among men came not to be ministered unto, but to minister, and to give his life as redemption for many (Mt 20:28). Priests must sincerely acknowledge and promote the dignity of the laity and the part proper to them in the mission of the Church. And they should hold in high honor that just freedom which is due to everyone in the earthly city. They must willingly listen to the laity, consider their wants in a fraternal spirit, and recognize their experience and competence in the different areas of human activity, so that together with them they will be able to recognize the signs of the times. While trying the spirits to see if they are of God, priests should uncover with a sense of faith, acknowledge with joy and foster with diligence the various humble and exalted charisms of the laity. *Presbyterium Ordinis* (1965). Resource Library. The Holy See. http://www.vatican.va/archive/hist_councils/ii_vaticancouncil/document/s/vat-II_decree_19651207_presbyterorum-ordinis_en.html (accessed, Oct 29, 2015).

⁶⁶Cf. interview with priest at Iringa on 19/04/2024.

⁶⁷Interview with priest at Iringa on 19/04/2024. This means that instead of abandoning false traditions, they have continued to confuse the Faith. Faith in Jesus has no root, but he clings to his original (false) beliefs .

Spirit is not brought by Charismatics, but we have Him in us to bring us renewal and get rid of habits by the sacrament of Baptism and by the capacity to live the Beatitudes given by the seven gifts in Confirmation.

Pope Francis affirms that, in the modern world, the Catholic faith is challenged by the spread of new religious movements, some of which tend to a fundamentalism that is not Catholic. Pastors must recognize that if the baptized lack a sense of belonging to the Church, this is also due to specific structures and the occasionally unwelcoming atmosphere or to an administrative way of dealing with problems, whether simple or complex, in people's lives.⁶⁸

2.4.2 Pastoral Implication of the Charisms in the Life of the Faithful

Whether one belongs to the Renewal or not, there may be a lack of clarity about the fact that the charisms are associated with the vocation that God offers to every human being. Charisms are for everyone. Significant theological work has been done to develop a deeper theological understanding of the charisms in the life of the Church during Vatican II.⁶⁹ There are several lists of charisms in the epistles of the New Testament (1 Pet 4; Eph 4, Romans 12, 1 Cor 12-14) where Paul teaches that these manifestations of the Spirit are given to each believer for service to the body of Christ.⁷⁰ The Scripture specifies the charisms in all their diversity.⁷¹

As one can easily detect, St. Paul emphasize the charism that supersedes all the rest and gives life to all the rest when he speaks of love (1 Cor. 13). The newest Doctor of the Church, St. Therese of Lisieux has given the most penetrating summary of charisms in the discovery of her own vocation: "In the heart of the Church, my Mother, I shall be Love." Pope Benedict added: "It is the charism

⁶⁸ Cf. FRANCIS, Apostolic Exhortation *Evangelii Gaudium*, 63.

⁶⁹ P. NJIRU, *Charisms and the Holy Spirit's Activity in the Body of Christ* 2002.

⁷⁰ Cf. *Doctrinal Commission of the International Catholic*, 45-46.

⁷¹ Charismata of "apostolate", "teaching", governing". Apostles: 1 Cor. 12:28; Ef. 4:11; Prophets: 1 Cor. 12: 28; Eph 4: 11; Pastors: Eph 4:11; Acts 20, 28; Teachers: 1 Cor. 12, 28; Rm. 12, 7; Ef. 4, 11; Love: 1 Cor 13

of each of us to help our brother and sister become love in the heart of the Church."

Rooted theologically in baptism and confirmation, the laity shares directly in the mission of Christ and is called to go forth and proclaim Christ in the world. Their call to evangelize is no longer considered a sharing in the call of the hierarchy to the mission.⁷² From this point of view, the council rediscovered the charismatic dimension of the Church, which became particularly relevant to the laity.⁷³ The acceptance and use of the charisms of the Spirit are essential for effective evangelization.⁷⁴ Just as the laity have the right and duty to evangelize, they also have the right and duty to use their charisms for the sake of evangelization.⁷⁵ The laity needs the assistance of the pastors and clergy of the Church to use the charisms that God gives them.⁷⁶ The laity and the priests of the Church are supposed to work together.⁷⁷ They, in fact, have several responsibilities regarding the charisms of the laity. Bishop T. Ngalelekumtwa, in his guidance for the charismatic renewal, strongly stressed the close relationship with the charismatic renewal, saying:

⁷² Cf. SECOND VATICAN COUNCIL, *Lumen Gentium*, 12.

⁷³ Cf. SECOND VATICAN COUNCIL, *Apostolicam Actuositatem*, 3.

⁷⁴ Cf. SECOND VATICAN COUNCIL, *Apostolicam Actuositatem*, 3.

⁷⁵ Cf. M. THELEN, Sacred Heart Major Seminary. The hierarchy cannot ignore the Spirit's activity in the lives of the faithful but must carefully discern the laity's charisms and retain what is good. Precisely because the council teaches that the mission of the Church does not depend solely on the clergy, it is regarded as a noble duty on the part of the pastors to help the faithful recognize their ministries and charisms so that they can work well together for the mission.

⁷⁶ SECOND VATICAN COUNCIL, *Lumen Gentium*, 30. "For their pastors know how much the laity contributes to the welfare of the entire Church. They also know that they were not ordained by Christ to take upon themselves alone the entire salvific mission of the Church toward the world. On the contrary they understand that it is their noble duty to shepherd the faithful and to recognize their ministries and charisms, so that all according to their proper roles may cooperate in this common undertaking with one mind."

⁷⁷ Cf. SECOND VATICAN COUNCIL, *Presbyterorum Ordinis*, 9.

The fire of Pentecost has been kindled by the Spirit himself. We cannot turn it off, and it is forbidden to turn it off (1 Thess 5:19). We have to protect that fire so that it can give life and love and illuminate the hearts of all believers. Let's be neighbors with our charismatics so that they can live the awakening and reap abundant fruits in our Catholic Church. Let us assure our believers that the Catholic Church lives in the Holy Spirit, so they have no reason to look for him elsewhere where it is no wonder he is not there.⁷⁸

2.4.3 Personal Evaluation and Contribution to the Research Work

The Charismatic members should not regard others who are not charismatic as lacking the power of the Holy Spirit. The non-Charismatics should not regard those who are charismatic as if they are outside the heart of the Church. The Holy Spirit operates universally within all people.

Never forget that our task is not to judge who is or is not an authentic charismatic; this is not our task. This is a temptation in the Church, from the beginning: I belong to Paul – I belong to Apollos – I belong to Peter (cf. 1 Cor 1:12). No, this is not right. Rather, we are called to provide support and advice to bishops and priests by accompanying all groups and the varied realities that make up the Charismatic Renewal. People who experience renewal thoroughly know how to smile.⁷⁹

Some charismatic members must recognize and respect the church hierarchy because the Church, by nature, is charismatic and structured by Jesus Christ through apostolic succession. The power of the Orders, Magisterium, and authority are ordered towards the building up of the Mystical Body of Christ.⁸⁰ Those gifted with extraordinary powers like healing and speaking in a tongue must use them prudently under full communion and obedience to the authority of the Church.⁸¹ Meanwhile all must realize that their

⁷⁸ T. NGALALLEKUMTWA, *Ukarismatiki Katoliki*, 4.

⁷⁹ POPE FRANCIS, *Address to the Participants in the Meeting Organized By the Catholic Charismatic Renewal International Service – Charis*, Paul VI Audience Hall, Saturday, 4 November 2023.

⁸⁰ Cf. J.F GALLAGHER, *Charism*, 461-462.

⁸¹ Cf. CIC 1172, CCC 1673.

personal vocation carries a grace and a charism that contributes to the common good of the Church. It is fascinating that in many countries of the world, married couples yearn to hear 1 Corinthians 13 on their wedding day because they realize that love for them is a charism of the Holy Spirit.

By their ordination, the ordained ministers have sacred and efficacious power to celebrate sacraments by the power of the Holy Spirit. Those who exercise sacred power are the first and chief members uncompromisingly because it is through them the divine Redeemer as the King, the Priest and the teacher is revealed as Mediator; and it is through them that Jesus gives sacramental grace.⁸² The priests have been marked with the indelible character conforming them to Christ, the priest, and their hands have been consecrated that whatever they bless may be blessed, whatever they consecrate may become God, the Body and Blood of Jesus and so is sacred and holy.⁸³ Something to remember is that:

Every worldly priest hinders the growth of the Church; every saintly priest promotes it. If only all priests realized how their holiness makes the Church holy and how the Church begins to decline when the level of holiness among the priests falls below that of the people.⁸⁴

Conclusion

Pope John Paul II considered the Charismatic Renewal to be a tremendous spiritual resource for the church. Within the Charismatic Renewal, the Catholic Fraternity has a specific mission recognized by the Holy See. The encyclical *Christifideles Laici* reminds the pastors of the Church that even if they may face possible and reasonable difficulties as a result of such associations or movements, they cannot renounce the service that they can provide by means of their authority, not simply for the security of the Church but also the well-being of the lay associations themselves.⁸⁵

⁸² Cf. PIUS XII, *Encyclical Letter on the Mystical Body*, 40.

⁸³ Cf. PIUS XII, *Encyclical Letter on the Mystical Body*, 77.

⁸⁴ Cf. F. SHEEN, *The Priest Is Not His Own*, 77.

⁸⁵ Cf. JOHN PAUL II, Apostolic Exhortation, *Christifideles Laici*, 31.

Pope St. John Paul II emphasized that all priests and lay faithful must promote and nourish stronger bonds, common respect, cordiality, and collaboration among the various forms of lay associations (Romans 12:10).⁸⁶

Cardinal Suenens, in his support of the Charismatic Renewal, used to say that talking about the power of the Holy Spirit only through books is not enough. He believed that having a dogmatic faith without personal experience is empty, and personal experience without connection to the faith of the Church is blind.⁸⁷ It is important to remember that the Vatican II Council affirmed the legitimacy of ordinary and extraordinary charisms (1 Cor. 12).⁸⁸ Those responsible for the Church should evaluate the authenticity and proper use of these gifts through their position, not to suppress the Spirit, but to discern and hold on to what is good (1 Thess. 5:12, 19-21).⁸⁹ The Church should not condemn the charisms, since they are part of our apostolic faith's heritage. The Catholic Church, indeed, realizes that she is a gift that Jesus, by the power of the Holy Spirit at work in the depths of his suffering on the Cross, has given to all humanity as a saving gift of love.

⁸⁶ Cf. JOHN PAUL II, *Discourse at a Meeting of the Church in Loreto*, 964.

⁸⁷ Cf. L. SUENENS, *Renewal and the Powers of Darkness*, 83.

⁸⁸ Cf. C. B. DONOVAN, "STL Apologetics - Doctrine - Canon Law - Eastern Churches - General – History Liturgy Charismatic Renewal General,"

<https://www.dsj.org/wp-content/uploads/2013/06/charismaticrenewal.pdf>, 16/04/2024.

⁸⁹ Cf. C. B. DONOVAN, "STL Apologetics - Doctrine - Canon Law - Eastern Churches - General - History - Liturgy Charismatic Renewal – General,"

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