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Immigrants' Leisure Participation

The Mediating Effect of Community

Highlights

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Discovering Thoughts, Inventing Future



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## Immigrants' Leisure Participation and Acculturative Stress Management: The Mediating Effect of Community Embeddedness

By Hazreel Hasmi

*Abstract-* The increasing trend of migration has driven studies from multiple perspectives, including the conceptual lens of their mobility and professional activities. Another important dimension of immigrants' settlement is the role of leisure participation. One issue in immigrants' settlement is acculturative stress, an issue related to the difficulties immigrants face in their adjustment to the lifestyle of their host country. This paper explores the role of leisure participation by investigating a mediating effect of community embeddedness which assists immigrants to manage acculturative stress. Community embeddedness enables immigrants to adjust and develop emotional and functional connections to their new community and fosters their social integration. This mediator is likely to be related to leisure participation. Mediated regression analysis confirmed that leisure participation lessened two components of acculturative stress; immigrants' not feeling at home and perceived discrimination when mediated by community embeddedness.

*Keywords:* leisure participation; immigrants; acculturative stress; community embeddedness.

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IMMIGRANTS LEISURE PARTICIPATION AND ACCULTURATIVE STRESS MANAGEMENT THE MEDIATING EFFECT OF COMMUNITY EMBEDDEDNESS

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# Immigrants' Leisure Participation and Acculturative Stress Management: The Mediating Effect of Community Embeddedness

Hazreel Hasmi

**Abstract-** The increasing trend of migration has driven studies from multiple perspectives, including the conceptual lens of their mobility and professional activities. Another important dimension of immigrants' settlement is the role of leisure participation. One issue in immigrants' settlement is acculturative stress, an issue related to the difficulties immigrants face in their adjustment to the lifestyle of their host country. This paper explores the role of leisure participation by investigating a mediating effect of community embeddedness which assists immigrants to manage acculturative stress. Community embeddedness enables immigrants to adjust and develop emotional and functional connections to their new community and fosters their social integration. This mediator is likely to be related to leisure participation. Mediated regression analysis confirmed that leisure participation lessened two components of acculturative stress; immigrants' not feeling at home and perceived discrimination when mediated by community embeddedness. Immigrants' leisure participation also had a positive significant direct relationship with community embeddedness, suggesting that encouraging immigrants to participate in leisure activities is one way to build their sense of belonging in their new local community. These results suggest a means for future research to explain how leisure participation may assist immigrants to adjust to their new location. Such a framework has implications for leisure industry management.

**Keywords:** *leisure participation; immigrants; acculturative stress; community embeddedness.*

## 1. INTRODUCTION

Global migration is expanding significantly in the twenty-first century (Chan, 2018; Sanchez, 2019) with an estimated 272 million people world-wide living outside their place of birth (World Economic Forum, 2020). This figure is predicted to rise to 405 million by 2050 as a direct result of the effects of environmental changes, new global political and economic dynamics, and growing demographic disparities. These immigrants have left their country of origin and make up more than 3.5% of the world's population (World Migration Report, 2020).

Economic immigrants travel to another country in order to improve their standard of living due to insufficient job opportunities in their origin countries (William et al., 2019). These economic immigrants' functional adjustment is critical to multiple stakeholders,

including immigrants themselves, their receiving governments, and local communities. Immigrants are often used to resolve labour shortages, but governments try to maximise the influx of highly-skilled economic immigrants, while minimising the entrance of low-skilled migrants, refugees and asylum seekers (Fossland, 2012; Besharov et al., 2013; Chan, 2018).

Receiving countries benefit from migration through its stimulation of growth in terms of economic, educational, technological, infrastructural, and demographic factors (William et al., 2019). The importance of economic immigrants that could benefit the receiving countries has prompted this study's main objective, which is to investigate how to further enhance their settlement process.

Among the most active migration receiving countries, Australia is one of the four most important countries or regions, proportionally ahead of the United States, United Kingdom and Canada (Oudenhoven, 2006; Liu-Farrer, 2016). About 7.5 million people living in Australia in 2019 were born overseas which is just under 30% of Australia's resident population, and 76% of these immigrants are of working age (Australia Bureau of Statistic, 2019). From the top ten immigrants' origin countries, seven are non-English speaking countries which do not share the same culture with Australia. Immigrants from different culture and speak different language are likely to experience adaptation difficulties or known as acculturative stress (Walker et al., 2011; Lee et al., 2018) which will be further discussed later in this paper.

Australia depends heavily on migration for population growth and provision of workplace skills especially for South Australia as one of the most active receiving-state in Australia, yet still under-populated (Seetaram & Dwyer, 2009; Collins, 2013). From the statistics shown, it is evidenced that economic immigrants are vital for South Australia's economic and employment development where this study was conducted which in return to positively boost immigrants' arrival in this state.

Immigrants are usually studied from the perspective of their mobility and work-related activities (Bove & Elia, 2017) and the role of leisure in immigrants' settlement has been receiving much attention by scholars (Budruk, 2010; Walker et al., 2011; Cohen et

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al., 2015). The attention from researchers started to be acknowledged from a comprehensive review of leisure journal articles, from the concept inception through to 2005, which identified pioneer studies on migration and leisure (Floyd et al., 2008).

To further understand the significance of leisure in assisting immigrants' settlement, there is a need to include the elements of emotional connectedness to their new home and community. Leisure participation is likely to develop immigrants' attachment to place and community. Shinew and colleagues (2006, p. 405) argue that:

...Given that communities and neighborhoods are becoming progressively more diverse, leisure opportunities and events that help foster a sense of community and build social capital among residents will be important...

This notion is supported by Floyd and colleagues (2008, p.14) who noted the importance of studying immigrants' attachment to their new home and community:

...In particular, there is a need to know how leisure contributes to a sense of place and community where communities are forming and restructuring due to immigration...

This current research expands the theoretical discourse around the relationship between the migration experience and acculturative stress, in the context of the escalating rate of migration. More specifically, it examines the role that leisure plays in assisting economic immigrants to adjust effectively to their new home country, to integrate with the community and in relieving the acculturative stress.

Through a survey conducted with economic immigrants in South Australia, this paper explores the potential mediating effect of community embeddedness in the relationship between economic immigrants' leisure participation in assisting them to manage acculturative stress. To examine this relationship and the mediation effect, a conceptual framework is proposed and analysed to signal future research directions in the leisure and migration field. Therefore, the aim of this research is to examine the relationship between immigrants' leisure participation and acculturative stress mediated by community embeddedness.

## II. LITERATURE REVIEW

### a) *Acculturative stress*

Successful immigrant settlement is essential to both their own well-being and the benefits they can offer to host countries. However, immigration is by nature a disruptive life event. During the process of relocation, immigrants frequently experience a variety of complex emotions, including depression and the stress caused by settlement difficulties (Adler & Gielen, 2003; Driscoll & Torres, 2020). Furthermore, government immigration department requirements can make the settlement

process even more challenging. New economic immigrants often experience multiple difficulties associated with searching for employment, for example, visa policies, skills and qualifications mismatch with local standards, lack of work experience, language proficiency, local contacts and awareness of how to apply for jobs in the new country (Australia Bureau of Statistics, 2019). Thus, strategies to assist economic immigrants to overcome these challenges are essential to ensure effective settlement (Berry, 1997; Walker et al., 2011).

Integral to the migration experience is adjustment to a new culture – acculturation. Acculturation is defined as the process of adaptation, whereby two cultures, the immigrants' original culture and the host society's culture, are reconciled (Berry, 2006; Sam & Berry, 2006). Acculturation causes five general changes in immigrants' lives, including physical, biological, cultural, social and psychological (Berry, 2006; Benson & Osbaldiston, 2016). However, these changes may vary depending on the multiple acculturation strategies adopted by immigrants. There are four variations in how immigrants seek to engage in the process that includes assimilation; individuals do not wish to maintain their cultural identity and seek interaction with other cultures, separation; individuals prefer to maintain their original culture and wish to avoid interaction with others, integration; individuals have an interest in both keeping their original culture while having interactions with other groups, and marginalisation; individuals have little interest either in maintaining their original culture or in having relations with others from the new culture (Berry, 2006; Agergaard et al., 2015).

The third strategy, integration, is likely to have the most positive effect on immigrants' acculturation and leads to effective adaptation. This strategy can be successfully pursued if the host society supports cultural diversity and open settlement opportunities for immigrants (Agergaard et al., 2015; Burdsey, 2017). However, other variations of outcomes in the acculturation process have been reported, namely, behavioural shifts and acculturative stress (Berry, 2006). Immigrants who can change their behaviours to fit in with their new cultural environment experience less problematic acculturation and adapt more easily. However, in most cases, immigrants experience acculturative stress, causing them various difficulties and challenges (Berry, 2006; Agergaard et al., 2015).

Acculturative stress refers to a set of stress behaviours which occur during immigrants' acculturation, such as compromised mental health due to uncertainty, anxiety and depression. They might also suffer from feelings of '... heightened psychosomatic symptom[s]' (Berry et al., 1987, p. 492). The major causes of acculturative stress are language barriers, perceived discrimination, loss/nostalgia for their country of origin, and not feeling at home (Aroian et al., 1998;

Walker et al., 2011). These stressors negatively affect immigrants' life satisfaction, self-esteem, mental health, and socio-cultural adaptation (Kim et al., 2009).

The relationship between acculturation and acculturative stress has been increasingly investigated in the leisure field (Korpela, 2019). Leisure is likely to be one remedy for acculturative stress. Leisure participation can help immigrants to adjust to their new environment through subsequent greater social support and cultural understanding (Choi et al., 2008; Chai, 2009; Kim et al., 2011). Engaging in leisure activities offers a potential space for developing a comfortable life (Blackshaw, 2010). Studying the effects of immigrants' leisure participation is therefore important in understanding the role of leisure in the management of acculturative stress.

*b) Immigrants' connection to a community*

Another significant factor in understanding the role of leisure in assisting immigrants' settlement is the extent of their emotional connectedness to their new home and society. Leisure participation is likely to develop attachment to community (Stedman, 2006; Luo et al., 2019).

Community embeddedness (Mitchell et al., 2001), which involves bonding or social interaction between a person and their society, is a strong predictor of quality of life (Baker & Palmer, 2006; Treuren, 2009; Treuren & Fein, 2018) and is likely to reduce acculturative stress. Although the phenomenon of acculturative stress has been acknowledged in the migrant labour literature (e.g. Lee, 2013; Negi, 2013), further exploration is needed on the link between leisure participation and adjustment in assessing the development of community embeddedness. Therefore, it is important to investigate the development of immigrants' attachment to their new home and community through leisure.

*c) Conceptual framework*

To further understand the relationship between immigrants' leisure participation, community embeddedness and acculturative stress, the present paper develops and analyses a conceptual framework (see Figure 1) drawn from connections with the literatures discussed in this section.

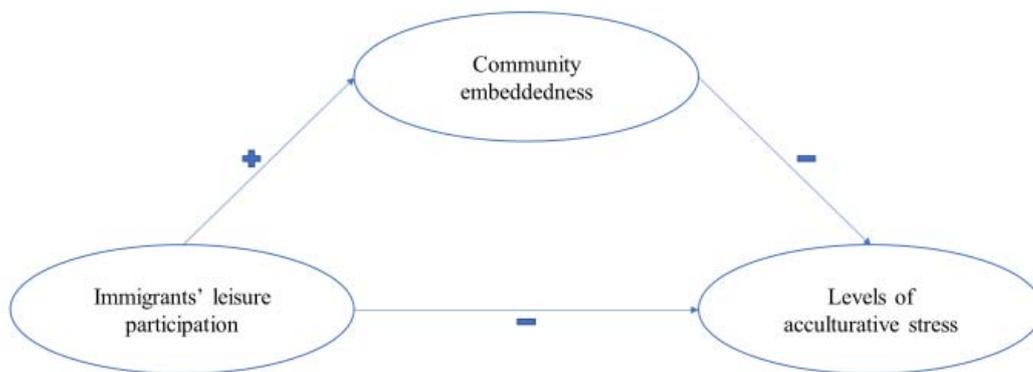


Figure 1: Conceptual framework

The framework is underpinned by the following research objectives:

- (1) To examine the effect of immigrants' leisure participation on reducing acculturative stress
- (2) To examine the effect of immigrants' leisure participation on developing community embeddedness
- (3) To examine the effect of immigrants' community embeddedness on reducing acculturative stress
- (4) To examine the mediation effect of immigrants' community embeddedness on the relationship between leisure participation and acculturative stress.

*Relationship 1: Leisure participation and acculturative stress.*

The main relationship in the proposed conceptual framework is between immigrants' leisure

participation and levels of acculturative stress. Participation in leisure activities acts as a means of escape from the stressful pressures of daily life, as a source of relaxation to alleviate stress (Suto, 2013; Lin et al., 2014), and a way to improve quality of life (Zhang et al., 2017; Xu et al., 2018).

As a sociological concept, leisure is integral to quality time spent with family, friends and the community, with concomitant social benefits (Gayo-Cal, 2006; Venkatesh, 2006; Xu et al., 2018). Undertaking leisure activities leads to social interaction and the development of social networks. Social support received during leisure participation can buffer stress, reduce the perception of discrimination, alleviate mental health problems (Sharaievska et al., 2010; Walker et al., 2011; Suto, 2013), create a sense of belonging (Groves, 2012), encourage cross-cultural social interaction (Stack

& Iwasaki, 2009; Kim, 2012; Yakunina et al., 2013) and promote family bonding (Stodolska & Livengood, 2006).

Leisure has also been shown to contribute positively to immigrants' settlement by promoting their self-esteem (Kim et al., 2005), improving their economic situation (Stodolska et al., 2007) and overcoming their language difficulties (Jiali Ye, 2005; Wolin et al., 2006). All these findings are aligned with Coleman and Iso-Ahola (1993), who were among the first researchers to theorise the beneficial role of leisure – that it can reduce life stress and consequently contribute to the maintenance of physical and mental health. Therefore, as depicted in the proposed conceptual framework, it is important to investigate the role of leisure participation in helping with immigrants' settlement.

#### *Relationship 2: Leisure participation and community embeddedness*

The second relationship in the proposed framework is the mediation of community embeddedness in the relationship between immigrants' leisure participation and their level of acculturative stress. Community embeddedness involves bonding or social interaction between immigrants and the community, away from the working environment (for example, leisure participation) (Treuren, 2009; Yang et al., 2011). The community embeddedness construct includes three dimensions: (1) degree of fit (an individual's compatibility and comfort within the community), (2) level of linkage (the extent to which an individual is linked to other people and activities in the community), and (3) sacrifice (perceived loss of the material or psychological benefits that may be forfeited by leaving the community) (Felps et al., 2009; Treuren & Fein, 2018). Participation in leisure activities creates social engagement (Arai & Pedlar, 2003; Kim et al., 2012) and has the potential to facilitate immigrants' attachment to their new local community (Tirone et al., 2010), which may enhance community embeddedness, buffer stress, reduce perceived discrimination and alleviate mental health problems (Choi et al., 2008; Jibeen, 2011; Walker et al., 2011).

Community embeddedness appears to have a significant negative relationship with acculturative stress and is a strong predictor of quality of life (Verile et al., 2019). Social interaction is demonstrated to enhance positive well-being, reduce stress (Jibeen, 2011;) and promote life satisfaction (Powdthavee, 2008). Other studies (Sirgy et al., 2010; Stronegger et al., 2010; Chieco et al., 2012) argue that community and residential well-being are determined by social interaction and participation in leisure activities. Nevertheless, understanding about the relationship between immigrants' leisure participation, community

embeddedness and acculturative stress need to be further explored. How immigrants become embedded in their new local communities requires further comprehension, and the present paper recommends further investigation into this process.

Understanding how immigrants experience social interactions in their daily lives is essential to identifying ways to enhance their community embeddedness (Ho & Hatfield, 2011). Defining this relationship offers the potential for further theory development, as well as practical benefit for both economic immigrants and their employers, through a better understanding of the importance of out-of-work activities for becoming embedded in the community and promoting well-being. The role of community embeddedness in promoting economic immigrants' quality of life leads to our inclusion of this construct in our conceptual framework. The framework anticipates that economic immigrants' leisure participation can be expected to increase community embeddedness and therefore play a role in reducing levels of acculturative stress.

### III. METHODOLOGY AND RESULTS

#### a) *Data collection*

The survey questionnaire was designed according to the research objectives, which emphasise the relationship between immigrants' leisure participation and their acculturative stress. The survey also includes the important mediator proposed in the conceptual framework – community embeddedness. The scale items used to measure each construct of the proposed research framework were selected based on a comprehensive review of the literature to identify valid and reliable extant measures.

This quantitative investigation employed samples from the population of South Australian economic skilled immigrants, recruited by using non-probability sampling methods, including accidental/convenience, purposive and snowballing (Chua, 2011). This approach was considered practical for this case, given that the immigrant population is massive and changes regularly (Collins, Onwuegbuzie, & Jiao, 2007).

The questionnaire was developed and administered in English. Immigrants with skilled-visas were assumed to have competent English proficiency as they need to achieve a satisfactory reading score on the IELTS (International English Language Testing System) before they can be granted a skilled visa to migrate to Australia (Australian Department of Immigration and Citizenship, 2011). This government requirement provided reasonable assurance of respondents' ability to comprehend the survey.

The survey starts with a section which was designed to gain information about respondents' most preferred leisure activities that they were actively involved in during their settlement. Respondents were also asked about their participation frequency. Six categories of leisure activities (i.e. social, cultural, sport, recreation, physical and hobbies) were comprehensively listed based on previous literatures (Gayo-Cal, 2006; Hills et al., 2000; Lloyd & Auld, 2002) and Australian leisure trends (Veal, 1992; Veal, Lynch, & Darcy, 2013). Respondents were allowed to choose multiple activities/events.

Based on previous literature, acculturative stress measurement items were divided into four dimensions, also known as stressors: language barriers, not feeling at home, feeling loss/nostalgia, and perceived discrimination (Aroian et al., 1998; Walker et al., 2011). Measurement items for community embeddedness were divided into three dimensions: fit to community, community-related sacrifice, and link to community. Fit to community represents immigrants' compatibility and comfort within the community. Community-related sacrifice represents immigrants' perceived loss of material or psychological benefits that would be forfeited by leaving the community. Link to community represents immigrants' connection with other people and activities in the community (Felps et al., 2009). Community embeddedness measurement items were designed to explore immigrants' attachment to the local community during their settlement. These questions were customised to suit this present study's setting and requirements. Some of the items needed rewording to make respondents understand that they needed to respond based on their psychological feelings towards the stressors. Respondents were asked to indicate their agreement to the statements on a five-point Likert scale (Likert, 1932).

The questionnaire was conducted through an online survey. The survey was distributed via Facebook, emails to the researcher's personal contacts, representatives/heads of migration departments and associations, and migration agents. A total of 481 responses was received (45% response rate). After an initial data screening process, a total of 395 usable cases remained, with the removal of unemployed respondents (n=29), incomplete responses (n=53), and outliers (n=4). Three other statistical procedures were then applied to this data analysis –descriptive statistics, Exploratory Factor Analysis (EFA), and mediation regression.

#### b) Results

Descriptive statistics were computed for all variables to enable identification of each variable. This section consists of respondents' socio demographic profiles, leisure participation data, descriptive statistics of variables, EFA findings, and mediated regression

findings. The results are presented in a quantitative form.

#### c) Socio demographics and leisure participation

The socio demographic results showed that the respondents were considered appropriate to serve this study's purpose, based on several factors. Most of the respondents were aged 26–45 years, representing 79% of the sample. Approximately 71% of the respondents were married/partnered, and the majority had completed a postgraduate degree. In terms of years of settlement (1–10 years), 10% of respondents represented each of the years. Approximately 67% were permanent residents and the rest had already been granted Australian citizenship. Seventy-five percent of the respondents were Asian, and the remaining percentage were immigrants from Africa and Middle East. This sample group served the purpose of the study in investigating immigrants who do not share the same culture with Australians. Almost 64% of them working full-time.

The majority of the respondents (68%) were involved in social leisure activities (e.g. eating out, pub/drinks, visiting friends/family, religious activities, and community activity), with cultural activities (e.g. library, museum, art gallery, concert, theatre, and ethnic events) and physical activity (e.g. fitness activities, weight training, aerobics, walking, running, and spa) in second and third positions. Social integration plays an important role in immigrants' leisure participation. They need to interact with people and gain social support in assisting them to overcome their settlement difficulties. Sixty-five percent of the respondents participated in their leisure activities regularly (i.e. at least once a week). Most of the respondents pursued their leisure during non-working days with friends (55%), spouse (48%), and family (39%).

#### d) EFA for community embeddedness and acculturative stress

EFA reveals the underlying factor structure of the constructs and the interrelationships among the variables. The appropriateness of data for factor analysis was tested using Keiser-Meyer-Olkin (KMO) and Bartlett's test of Sphericity (Bartlett, 1954; Kaiser, 1970). These tests were to establish the factorability value. Two important issues in determining the suitability of the data set for factor analysis are sample size and the strength of the relationship among variables (Pallant, 2013).

The analysis of the EFA for community embeddedness yielded one factor of community fit and sacrifice (see Table 1). The examination of the correlation matrix of community embeddedness scale revealed that all coefficients are above 0.3 except item CE02 and CE08. Besides revealing low loadings, these items asked respondents' opinion on weather and safety which are not related to their engagement with the community. Therefore, these items were eliminated.

After eliminating the low loading items, the test was performed again. The Keiser-Meyer Olkin value was .886, exceeding the suggested value of .6 (Kaiser, 1970) and Bartlett's test of sphericity (Bartlett, 1954),  $\chi^2(15) = 7044.030$ ,  $p < 0.001$ , also reached statistical significance, supporting the factorability of the correlation matrix.

The principle axis factoring performed on community embeddedness revealed only one relevant factor, as did the scree plot, contradicting the previous

literature (i.e. Mitchell et al., 2001), which reported two dimensions (i.e., fit to community and community-related sacrifice). This study decided to retain only one factor, renamed as community fit and sacrifice. Fit to community represents immigrants' compatibility and comfort within the community, and community-related sacrifice represents immigrants' perceived loss of material or psychological benefits, which may be forfeited by their leaving the community.

Table 1: Factor matrix of community embeddedness

Code	Items	Factor		Cronbach's alpha
		Community fit and sacrifice	Communalities	
CE04	I think of the community where I live as a home	.863	.745	.864
CE03	The community where I live is a good match for me	.852	.727	
CE01	I really love the community where I live	.784	.615	
CE07	People respect me a lot in the community where I live	.699	.489	
CE06	Leaving the community where I live would be very hard	.607	.369	
CE05	The community where I live offers the leisure activities that I like	.550	.303	

Extraction Method: Principal Axis Factoring.

Rotation Method: Oblimin with Kaiser Normalization.<sup>a</sup>

The analysis of the EFA for acculturative stress yielded four factors: language barriers, not feeling at home, feeling loss/nostalgia, and perceived discrimination (see Table 2). The examination of the correlation matrix of acculturative stress scale revealed that all coefficients were above 0.3 except item AS02, AS06 and AS09. These items were low loaded and redundant with other items in their designated factors, therefore deleted from the analysis. AS02 asked about the difficulties of undertaking daily activities because of language barriers, which is similar to item AS01 and AS03 in the same factor. Similar to AS06 that asked about respondents' feelings about missing home, this item was redundant with the other items in the same factor (i.e., loss/nostalgia). AS09 asked about spare time activities which, according to previous literature, was grouped in the loss/nostalgia dimension. Item AS09 was a positive statement and respondents' answers to this item was not consistent with the other negative items. Although reverse coding to this item was performed prior to EFA, the result still revealed low loading. Furthermore, this item did not seem to belong to the dimension and was therefore eliminated from the analysis. After eliminating the low loading items, the test was performed again. The Keiser-Meyer Olkin value was .783, exceeding the suggested value of .6 (Kaiser, 1970) and Bartlett's test of sphericity (Bartlett, 1954),  $\chi^2(36) = 18073.623$ ,  $p < 0.001$ , also reached statistical significance, supporting the factorability of the correlation matrix.

The principle axis factoring performed on acculturative stress unveiled four factors with eigenvalues more than 1 and close to 1, although the scree plot gives unclear evidence, prompting this study to refer to previous literature and the statistical results. The statistical result supports previous literature that has determined that acculturative stress has the four dimensions noted above.

Table 2: Pattern matrix of acculturative stress

Code	Items	Factor				Communalities	Cronbach's alpha
		Perceived discrimination	Loss / nostalgia	Not feeling at home	Language barriers		
AS12	I feel stress when local Australians treat me as an outsider	.977				.943	0.945
AS11	I feel stress when local Australians do not think that I really belong to the Australian community	.977				.924	
AS10	As a migrant, I feel stress if people treat me as a second-class citizen	.805				.735	
AS07	When I think about my past life, I feel emotional		.914			.869	
AS08	When I think about my past life, I feel sentimental		.909			.846	
AS05	I do not feel that South Australia is my true home			-.989		.884	
AS04	Even though I live and work here, it does not feel like my home country			-.706		.849	
AS01	I feel stress when local Australians have a hard time understanding my accent				.889	.856	
AS03	Talking in English takes a lot of effort for me and makes me feel stress				.640	.489	

Extraction Method: Principal Axis Factoring.

Rotation Method: Oblimin with Kaiser Normalization.<sup>a</sup>

The survey also asked four open-ended questions to support the overall findings. Almost half of the immigrants were involved in their own ethnic community events and leisure activities, indicating that immigrants' involvement in their own community and the local community is well balanced and that they adopted the 'integration' acculturation approach. Approximately 66% (positive responses provided by 261 respondents out of 395 total respondents) of them agreed that leisure involvement is beneficial, especially in facilitating social integration. However, they also agreed that they experienced various constraints preventing them from enjoying their leisure activities, including lack of time due to work and study, financial issues, and family commitments. Leisure is beneficial to immigrants in managing their acculturative stress and settlement, although settlement challenges can still limit their ability

to participate in leisure and heighten their stress. Findings on leisure constrains and settlement challenges will not be discussed further in this paper as it will be published in a different article.

#### e) Mediated Regression Analysis

The aim of the mediated regression analysis was to determine the relationships between the independent variable (immigrants' leisure participation) and the dependent variable (levels of acculturative stress) with mediating effect, the mediator being community embeddedness.

Table 3 presents the mediation regression results. The partial mediation effect of community embeddedness was found between the immigrants' leisure participation and not feeling at home type of acculturative stress (.267\*\*\*). The direct relationship

between leisure participation and not feeling at home stress was at .330\*\*\*. Therefore, when the community embeddedness mediator was added, the result decreased to .267\*\*\*. Leisure participation has a direct positive significant relationship with community embeddedness (.109\*). The community embeddedness

mediator has a negative significant direct relationship with the not feeling at home type of acculturative stress (-.584\*\*\*). The analysis showed that married and Middle Eastern migrants have the highest not feeling at home stress when participating in leisure.

Table 3: Mediation effect of community embeddedness to not feeling at home

IV	Not feeling at home	Community embeddedness	Mediated by community embeddedness
Leisure participation	.330***	0.109*	.267***
Community embeddedness	-0.584***		
Married			.355**
Middle East			1.553*

Another partial mediation effect of community embeddedness was found between immigrants' leisure participation and the perceived discrimination type of acculturative stress (.302\*\*\*) (see Table 4). The direct relationship between leisure participation and perceived discrimination stress was at .329\*\*\*, with the result decreasing to .302\*\*\* when the community embeddedness mediator was added. The community

embeddedness mediator has a negative significant direct relationship with perceived discrimination type of acculturative stress (-.448\*\*). African immigrants have the highest perceived discrimination stress when participating in leisure activities. By contrast, leisure participation has no significant direct relationship with language barriers stress and feeling loss/nostalgia stress, therefore no further examination was performed.

Table 4: Mediation effect of community embeddedness to perceived discrimination

IV	Discrimination	Community embeddedness	Mediated by community embeddedness
Leisure participation	.329***	0.109*	.302***
Community embeddedness	-0.448**		
African			1.987*

Figures 2 and 3 provide a clearer picture of the significant mediation relationship between leisure participation, community embeddedness, not feeling at home stress and perceived discrimination stress. This study's results show that immigrants' leisure participation has positive significant relationships with not feeling at home stress and perceived discrimination, although this is reduced when the community embeddedness mediator is included in the relationships. To confirm the significance of the mediation regression result, a Sobel test (Sobel, 1986) was conducted. For the mediation effect of community embeddedness for both relationships, the  $p$  value was at 0.03 ( $p < 0.05$ ). Therefore, these mediation relationships are considered significant.

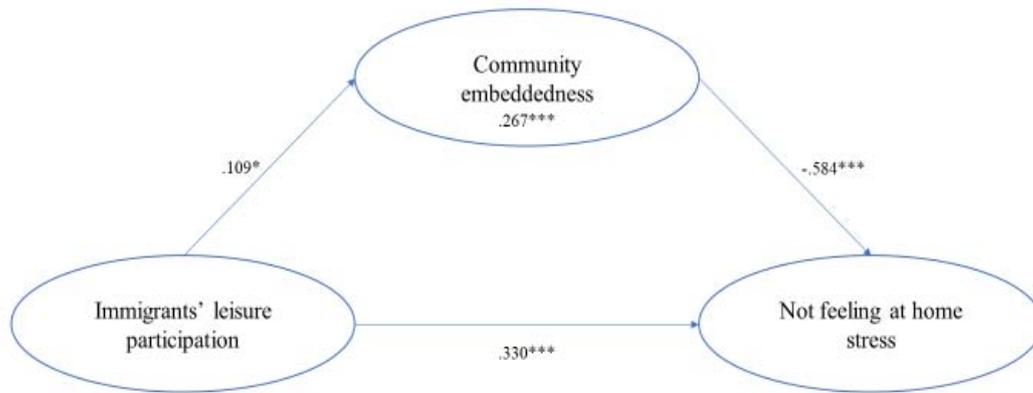


Figure 2: Mediation effect between leisure participation and not feeling at home stress

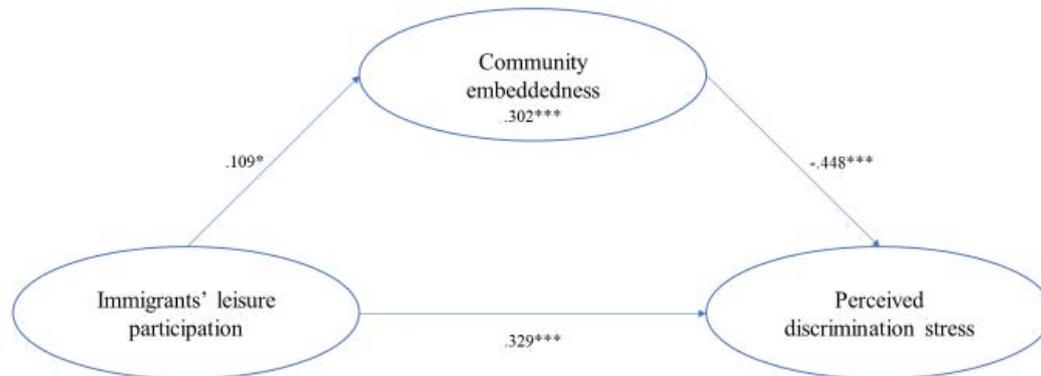


Figure 3: Mediation effect between leisure participation and perceived discrimination stress

#### IV. DISCUSSION AND CONCLUSION

The study offers a response to concerns about the adjustment difficulties of immigrants that lead to acculturative stress. The results from the mediation regression analysis addressed the four research objectives. This study has made a significant contribution by demonstrating that immigrants' leisure participation impacts significantly on their levels of acculturative stress and affects the development of community embeddedness. The study found that leisure participation is positively related to community embeddedness. The examination also confirmed that community embeddedness reduces not feeling at home and perceived discrimination stress. With the mediating effect of community embeddedness, leisure activities alleviated the stress associated with not feeling at home and perceived discrimination. Attachment to the society provides comfort to immigrants and helps prevent them from feeling discriminated against. Furthermore, social leisure was found to be the most beneficial approach for immigrants to reduce their stress, especially when

associated with their own ethnic community events (see Figure 4).

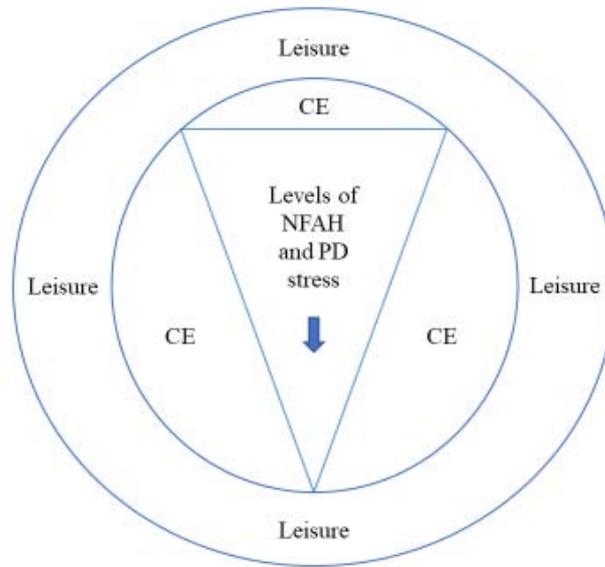


Figure 4: Effect of leisure on immigrants' acculturative stress

This study's findings accord with previous research that has recommended leisure as a means for immigrants to overcome the stresses associated with adapting to life in a new country. Smooth acculturation means that economic immigrants can settle in more quickly and achieve their goals more readily and is also beneficial to the receiving country's development (Burdsey, 2017). Leisure assists immigrants to experience feelings of being settled, promotes relaxation, improves well-being, and develops a sense of belonging (Lu & Hu, 2005; Lovelock et al., 2011; Wang & Sunny, 2011). Leisure is also a platform from which to learn about new cultures, promotes an active lifestyle, and encourages social networking (Venkatesh, 2006; Xu et al., 2018).

The relationship between leisure and social connection has been the major finding of this study. The benefits of social leisure include encouraging social integration and the promotion of cultural awareness, leading to community embeddedness and thus the potential to share the settlement experience with their own ethnic community (Stodolska & Walker, 2007; Kim, 2012; Yakunina et al., 2013; Hasmi et al., 2014). Another significant impact of immigrants' social leisure is cross-cultural interaction. Social leisure encourages integration between immigrants and others from different backgrounds and cultures (Kim et al., 2014). Cultural awareness is important in enabling immigrants to live harmoniously with others in a multicultural society and facilitates community embeddedness to strengthen immigrants' relationship with the new society (Jibeen, 2011; Hasmi et al., 2014; Verile et al., 2019). Cross-cultural interaction is more likely to be successful when immigrants practise assimilation and integration strategies during their acculturation process (Berry, 2006; Hixson et al., 2011; Benson & Osbaldiston, 2016).

Many immigrants experience language difficulties during their settlement. Previous studies have indicated that leisure reduces the problems associated with language barriers (Agergaard et al., 2015; Burdsey, 2017; Driscoll & Torres, 2020). Thus, the more frequently immigrants interact socially in leisure activities the greater the chance they must communicate with people and improve their language skills (Kim et al., 2012; Hasmi et al., 2014). However, without good English skills (in the Australian context and other English-speaking countries), the process would be meaningless, with poor English proficiency argued to be a leisure constraint. In this study, these caveats are less relevant, given that the respondents are mostly skilled visa holders. Their admission to Australia was based on their academic and employment qualifications, meaning that communicating in English was not a critical issue. Thus, the study indicated no significant relationship between immigrants' leisure participation and levels of language barrier stress.

Employment opportunity is another benefit of social leisure for immigrants. Immigrants are likely to meet people with the potential to introduce them to job opportunities. For most economic immigrants, the most important goal after relocating to a new country is finding a good job. Developing a strong social network increases their chances of getting a job (Hasmi et al., 2014; Verile et al., 2019).

This study contributes to the body of leisure knowledge in theory, practice, and methodology. The study validates the view that, in a South Australian context, a theoretical basis exists to support the practicability and utility of immigrants' leisure participation in assisting them to manage acculturative stress. The study also recognises the viability of community embeddedness in enhancing the

relationship between leisure and acculturative stress. The study has advanced existing knowledge regarding the predictive relationship between immigrants' leisure participation and acculturative stress with the mediation of community embeddedness. The results provide further scope for the exploration and understanding of the important relationship between leisure and migration.

From a practical perspective, this present study offers valid and reliable evidence that can be used by immigrant resource centres, migration departments, immigrant associations and other establishments that provide services to assist immigrants' early settlement. This study's findings may assist the organisations to identify elements of leisure participation that help immigrants to manage their acculturative stress with social integration. The relationships established in this study will provide these organisations with a tool which can be used to better understand how social leisure helps immigrants to alleviate acculturative stress. The study also allows such services to understand other settlement difficulties that hinder immigrants when attempting to participate in leisure activities. These organisations need to give more attention to immigrant settlement in the early years, especially through programs to encourage the social interaction of immigrants. Programs such as sporting events, social gatherings and outdoor recreational activities could help immigrants to feel welcome, learn about other cultures, become familiar with local systems and open more opportunities for employment.

As the field of leisure and migration research develops, the pathways and methods used to pursue future explorations will arrive at, and achieve, high levels of erudition and complexity. This study brings the field a step closer to understanding the relationships between immigrants' leisure participation and acculturative stress. The possible additional elements of attachment to community enhance the potential of immigrants' leisure participation in managing settlement distress. Further research on immigrants and leisure is recommended to obtain a more in-depth understanding of immigrants' settlement challenges and how leisure participation affects immigrants' adjustment. This research has established a framework for the future development of a research agenda of this kind.

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## The Future of Green Architecture in Saudi Arabia

By Faten Abdullah Bucklain

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**Abstract-** Architecture plays an important role in the Environment sustainability. Through the time with the development of technology, new architecture techniques have emerged to improve the environment and limit pollution. In Saudi Arabia, the government is trying to improve the architecture sector by builds new green buildings that are suitable to the region. This research will explain the characteristic of green architecture, techniques to use for environmental sustainability, green techniques in Saudi Arabia, and the future of green architecture in Saudi Arabia.

**Keywords:** *green architecture, sustainable buildings, sustainability, saudi architecture.*

**GJHSS-H Classification:** *FOR Code: 120199*



*Strictly as per the compliance and regulations of:*



# The Future of Green Architecture in Saudi Arabia

Faten Abdullah Bucklain

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## I. INTRODUCTION

The architectural sector in this day is no longer in isolation from the environmental pressing issues which they noticed it in the last few years, and it started threatening the world. Architecture Considered as one of the main consumers of natural materials such as land and materials, water, and energy. On the other hand, the large and complex construction industry operations produce large amounts of noise, pollution, and waste. However, the energy and water Consumption still the most prominent environmental-economic problems in the buildings due to its continuity throughout the period of the building operation.



Figure 2: Building life cycle

In the present era, the world began to recognize the close link between economic development and the environment. The traditional forms of economic development are restricted to overexploitation of natural resources and, at the same time, cause a lot of pressure on the environment, for the reason of the harmful

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pollutants and waste produced from it. Now a day, Architecture is facing the challenge of its ability to perform its developmental role towards the achievement of comprehensive sustainable development concepts. Architecture Sustainability and Environmental management and control became one of the most important competitive standards in the twenty-first century. Several approaches emerged to protect the environment through architecture; the most prominent was Green Architecture. Green architecture is a global movement toward Environment. Sustainability is a global concern; all of the countries must take care of the environmental condition and deal with it without affecting negatively on it. Saudi Arabia is one of these countries that supported the architects in this approach.



Figure 1: Saudi Arabia Map

### a) About Saudi Arabia

Saudi Arabia is a country locate in Southwest of Asia with 200 million square kilometers. It is the largest country in the Arabian Peninsula, and the second-largest geographically in the world. It's capital city is Riyadh. The Geography of Saudi Arabia is diverse, with forests, grasslands, mountain ranges and, most of its terrain consists of arid inhospitable desert or barren landforms.

The climate varies from region to region. Temperatures can reach over 110 degrees Fahrenheit in the desert in the summer, while in the winter temperatures in the north and central parts of the country can drop below freezing. Saudi Arabia gets very little rain, only about four inches a year on average (Saudiembassy).

This research will introduce you to green architecture; explain the different techniques and rating systems in green architecture, Also how these techniques can be applied in-country like Saudi Arabia and what is the future of this approach in Saudi Arabia.

## II. LITERATURE REVIEW

Green architecture or sustainable architecture appeared from ancient civilization as a result of human

adaptation to the environment, by using the local material, the way of using the material and dealing with the climate of the region. In Egypt, we can see how the ancient Egyptian civilizations used the local materials, mud, papyrus, timber, and bricks in labors homes while they used the natural stone and sculptured the mountains for their sacred architecture, such as temples. In Islamic architecture, many environmental processors used, for example, the use Almalgaf, domes, vaults, and courtyard, as well as timber in the mashrabiyya. These techniques were in the context of human adaptation to its environment. This trend was prevalent through ages) Al-Zubaidi و Shahin(2008 ، أبوحميد) (2011).



Figure 3: Traditional techniques -mashrabiyya



Figure 4: Traditional techniques - Almalgaf

A human never ignore the environment, but rather attempted to cope with the environment elements until the beginning of the industrial revolution. Since the invention of the steam engine by James Watt in 1761, it caused a serious coup and severe impact on people's lives as a whole and urban planning. A new period of human history began with a new character different from all preceded periods. With this huge development in all majors, many different materials and methods appear in construction Architecture, for example Curtin walls, cement, Asphalt, and other oil derivatives. Using many of this material was responsible for the environmental pollution, and changes. Because the architecture has a major impact and reasonability toward the environment. The advanced industrial countries develop new concept and techniques in the designing and construction of architecture. One of these concepts is the green architecture, this concept reflects the growing interest among architectural and economic development under environmental protection to reduce energy consumption, optimum utilization of natural resources and greater reliance on renewable energy(محمود).

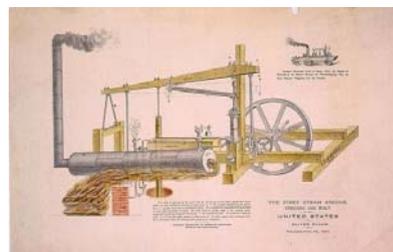


Figure 5: First steam engine

Green Architecture is an approach to architecture began in 1999, which aims to minimize the negative effects of human aims to, Energy and water conservation, minimize the waste, recycling, preserve the environment, the health of the population, and the economic benefit to provide operating expenses and long-term maintenance. Green Architecture is not only the construction of buildings according to certain environmental conditions or increase of green spaces, but rather, it intended to achieve compatibility between man, society, and the environment by linking three key elements (Efficient use of resources, Dealing with the prevalent climatic and geographical conditions and Response of the prevalent human, physical and social needs), While preserving the rights and needs of future generations (محمود).

According to Architect Ken Yeang "the green and sustainable architecture must correspond to the needs of the present without losing sight of the right of future generations to meet their needs as well".

Green architecture is a design process focused on the construction to be effective in terms of using resources, such as water and materials, reducing waste and environmental pollution. It is a High-efficiency system compatible with the vital surroundings with less negative effects. It is an invitation to deal with the environment in a better way to integrate with its determinants to Compensate for its deficiencies, repair its defects or take advantage of this environment and sources. This architecture term (Green) came from the plant that achieves success in its environment, taking full advantage of the surroundings to get its nutritional requirements. It did not creates with a full-fledged from its inception; rather as it increases in age it increases in length Until it reaches the phase stability. From this particular point, the green architecture coupled another term, which is (sustainable architecture and environmental architecture) these are two sides of the same coin. The first green building appears in china. It names TEDA H2 Low Carbon Building (المقدسة).

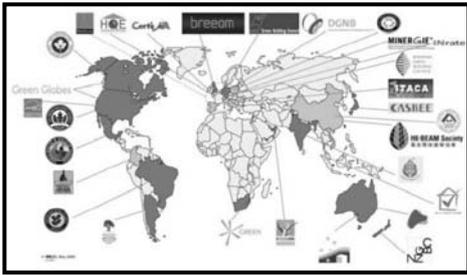


Figure 6: World Rating systems

There are more than ten rating systems of global standards granted certification for the fulfillment of the requirements and standards of green buildings, the most well-known:



- (LEED) or Leadership in Energy & Environmental Design, founded by the US Green Building Council (USGBC).



- BREEAM is the world's environmental evaluation method and rating system for buildings.



- Saudi Green Building Forum (SGBF), under the supervision of the General Presidency of Meteorology and Environmental Protection. (in progress)

These rating systems provide special Codes for green building design. The most known rating system is LEED. It consist of different types of rating system; each one has requirements that address a specific needs of building types to the LEED certification. The project designers should choose a rating system to guide them (LEED).



Figure 7: LEED rating types

Each system is a combination of different categories. Within each category, there are specific prerequisites which the projects must satisfy it, to earn points. These points that earned will determine the level of LEED certification for the building (LEED).

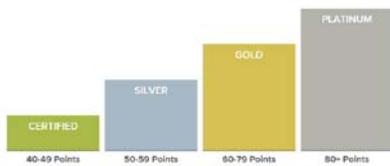


Figure 8: LEED levels of certificates

LEED provides four levels of certification. Each level has several of points. Receive. The Certification levels are explained in the figure above. LEED rating system is one of the global sustainable systems that are

always in improving toward sustainability of the building and environments (LEED).

a) Green building Techniques

The used techniques are differentiate from building to other depends on the type of the building and its users. The most important is to use a suitable technique to provide a very efficient green building. However, before deciding the method, the designer must take into consideration the microclimate of the area, site location, surroundings, environmental resources, building size, height, facilities, and the most important the occupancy of the building. However, There are some technology that can be used in any building (future) for example:



Figure 9: Green Architecture Features & goals

- The most basic is the orientation of the building to get the full advantage of the wind and sunlight.
- Using local materials to reduce transportation CO2 emission
- HVAC system to help you save energy and money without forgetting the importance of insulation to prevent Heating and cooling Leak.
- Green roof, especially in the flat slab buildings, will reduce the heat gaining through the roof, the plantation better to be native plants that canadapt to the climate of the area.
- Shading devise to minimize the sun's heat and glare by defusing the direct sunlight.
- Using solar panels to produce clean, sustainable energy.
- Eco-Friendly Lighting the LED and CFL these types are cost-effective because it last longer than the incandescent bulbs (future).



Figure 10: Average saving of green buildings

These are some of the basics and general green techniques. It can be used in homes and other buildings. However, the Green building can save up to 70% of solid waste, 50% of energy use, 40% water use and 35% of carbon emissions.

### b) Green Architecture in Saudi Arabia

Saudi Arabia like other countries its environments have Contaminated as a result of the Pollutants resulting from industrial development. Recently they notice the effects of the pollution on human health, performance, and production. Although the government is trying to support the green building approach, but it still in the development stage toward this approach. However, there is many Government organization and regulations that emerged during the past few years which support the green architecture in the country. Moreover, there are many green projects in the design stages, some of them have been built, for example (KAUST), Establishment of the first solar plant and the use of alternative energy for lighting tunnels and streets in Jeddah. On the other hand, there are two organizations of green technologies and environmental sustainability.



Figure 11: Pollution in Saudi Arabia

#### i. Green Building Chapter of the Saudi Council of Engineers (GGB)

Its non-profit organization was founded in 2013 by the Saudi council of engineers under the royal decree no. 36/m dated 1-12-2002. Its objectives are to promote and facilitate the concept and the awareness of green buildings in professional practice and knowledge transformation, and highlight the jobs and investment in engineering creativity and innovation, for health and safety and the environment for the benefit of humans and the environment and the economy in Saudi (مركز أبحاث البناء الأخضر).

#### ii. Saudi Green Building Forum (SGBF)

It's an organization founded under the appointment of King Abdullah bin Abdul-Aziz of Saudi Arabia Royal Decree No. 7095/MB dated 5/10/1431 A.H. it aims to promote the green building initiatives in the kingdom by developing laws and regulation to support this approach, develop green architecture criteria to be a guideline for designing the green building in Saudi Arabia, and do a workshop to educate the people (Forum).

Although we still in the initial stage but the country is in the right way toward sustainability. It is changing, and the architecture green technologies will improve by time.

### III. RESEARCH METHODOLOGY

This research consist of the case study method; this method can be quantitative or qualitative. In this

research, I will use the qualitative case study approach to examine in deeps different types of case studies to better understand the research. By analyzing some previews researches and observes information this research needs, to provide a will clear knowledge about the topic.

#### a) Case Studies

The research will clarify two case studies located in Saudi Arabia to show the developments of the green building approaches and techniques that suit Saudi Arabia's conditions. On the other hand, to give an idea about Government attention towards architecture and environment in the country. These two case studies are:

- The King Abdulla university (KAUST) very deep explanation of the green technology of the campus.
  - The King Fahd National Library in Riyadh.
- i. King Abdullah University of Science and Technology (KAUST)

KAUST is Located in Thule on Red Sea coast, north of Jeddah, Saudi Arabia. It's about 496,000square meters, one the largest university cities in the world. Designed by HOK Architects. KAUST campus earned a Platinum rating on the Leadership in Energy and Environmental Design (LEED) (Minutillo, 2010) (KAUST, Green Campus, 2015).



Figure 12: KAUST Exterior View



Figure 13: KAUST- Site Plan

#### A. Site plan

The site planning of the university campus was designed to respond directly to the climatic conditions and the surroundings. The buildings were arranged and grouped in particular places to improve and take full advantage of the microclimate and the site natural environment and to reduce the harmful effect of the sun and the heat of the climate (KAUST, Sustainable Site Planning, 2015).

B. Orientation

The overall campus was oriented to reduce the heat of the sun from east to the west in the morning and afternoon especially in summer. However, the height of the building is relatively short to allow the daylight to enter the interior spaces (KAUST, Sustainable Site Planning, 2015).

C. Roofing System

The design team decides to ingrate the building roofing system of the buildings to provide a concoction and shades between the buildings. these roofs include over 12,000 square meters of solar photovoltaic panels, which produce 3,300-megawatt of energy annually, while protecting the building from the solar gain. On the other hand, the campus atriums and courtyards were integrated to enhance the natural light and ventilation into the interior spaces (KAUST, Sustainable Site Planning, 2015).

D. Paving color and use of Shade

The choosing of the color and the material of paving was very accurate to fit the harsh climate of the region. They use light-colored Local stone which reflects the heat instead of absorbing it. The Shades espaliers to reduce the heat and improves the comfort of the user (KAUST, Sustainable Site Planning, 2015).

E. Building material

Choosing Building materials for a large project like King Abdullah University Play an important in building sustainability. The designing team selected materials to limit the negative effects of and to the Environment. It includes, Local recyclable concrete and steel, Interior finishes and furniture with high levels of recycled content (carpet tile, ceiling tiles, gypsum board, paints, millwork, adhesives), all the wood is from sustainability managed forests and more than 75% of the construction waste was recycled. On the other hand, the university has made a sustainable recycle Program to guaranties that natural resources are not wasted. It will includes many materials for recycling like glass, metals, plastic, electronics, paper, compact fluorescent lights and more (KAUST, Building Materials, 2015).

F. Water conservation

Collecting storing the rainwater to be used in irrigation of green spaces in KAUST, which don't require additional water. Selected of native plants large amounts of water to survive, this will minimize the overall water Consumption. The wastewater (gray water and black water) will be recycled by the wastewater treatment the plant (WWTP) that located to the south side of the campus to be use in irrigation needs such as Golf Course Irrigation (KAUST, Water Conversation, 2015).



Figure 14: KAUST- Planting organization Zones

G. Energy Efficiency and Renewable Energy

1. Solar Towers and existing Wind situation

With placing two iconic solar towers on the campus to create a difference in the passive pressure will create a by using the sun and the dominant winds conditions from the northwest and winds blowing in from the Red Sea, to provide a constant air waft along the shaded areas.



Figure 15: KAUST Solar Tower

The solar tower skin consists of two curtain wall layers, the outer layer is completely transparent to allow observation of a maximum amount of solar energy. Whereas the internal layer consists of a tinted glass that characterized with it extremely absorbent surface to gathers the solar energy for maximizing the hot air inside the tower, while the hot air transfer to the top and move out of the tower through the shaft, it is replaced with cooler air from the courtyard. These effects of these techniques will provide a comfortable atmosphere for the occupancy of the campus (KAUST, Energy Efficiency and Renewable Energy, 2015).



Figure 16: KAUST- Green technologies

## 2. Natural Daylight

Saudi Arabia Climate needs a dedicated balance to control the solar heat gain and at the same time allow enough light to enter into the occupied spaces, to ensure this in the campus they utilizes many different systems such as, dynamic exterior louvers, fixed exterior louvers, overhangs, skylights, mechanical shading systems, and atria to ensure that this balance is achieved.

## 3. Renewable Energy

The sun conditions in Saudi Arabia offer an opportunity to utilize solar power more than any other place. The huge roofing system of the campus buildings designed to contest of a large number of solar thermal arrays to provide the hot water to all buildings. Moreover, solar photovoltaic to produce electrical power to the whole campus. On the other hand, these future arrays can be added to supply the increase of energy load. This energy production from clean energy sources will save almost 1,700 tons of carbon emissions per year (KAUST, Energy Efficiency and Renewable Energy, 2015).

### H. Ventilation and lighting

The designer takes into consideration the Natural daylight, natural ventilation, exterior views, and indoor air quality to ensure a comfortable, productive, and healthy environment for the campus occupancy. As result of the extremely sun heat in this region, the defuse daylight is preferred to minimize the sun heat in the entire campus. The exterior and interior spaces will consist of CO2 monitoring sensors to ensure the high quality of veneration, because of the increase of CO2 level cloud affects the production of the building users. The ventilation rates are more than 30% of the standards ventilation in the buildings to granite the good and fresh air all over the campus. Also, they use construction methods that reduce negative effects of the airborne, for example, the installation of MERV 13 and 14 filters (figure 18) in the heating ventilation air-conditioning (HVAC) systems to ensure removing the particles in the ventilation stream inside the buildings. Also, the Walk-off grates (figure 17) were installed to clean foot at all buildings entrances to ensure that the sand, dust and particles will not transfer from outside of the buildings(KAUST, Ventilation and Lighting, 2015).



Figure 17: MERV Filters



Figure 18: Walk-off grate

### I. Recycling and Composting

The campus and community of King Abdullah University implemented an inclusive program for recycling paper, corrugated, cardboard, glass, plastics, and metals. All the campus residents will have integral chutes on all floors to collect all the organic waste and convert it into natural fertilization for re-use to improving the soil. Provide outdoor recycling bins distributed in the dense pedestrian areas (KAUST, Recycling and Composting, 2015).

## IV. KING FAHD NATIONAL LIBRARY

KFNL is Located in Riyadh, Saudi Arabia. It's about 87,000square meters, Designed by Gerber Architekten. (archdaily, 2014)



Figure 19: King Fahd National Library

This project is a renovation of King Fahad National Library. It is one of the important culture centers in Riyadh. The building was completed on 2013. It's one of the most important urban development and culture projects. This building was challenging to design within the existing Surrounding buildings and respect the culture. The design functions as the powerful force behind a piece of urban development and rearrangement.(archdaily, 2014).

The design represented the national library as a new building to attract people to the central knowledge center. The most essential change was in the building façade, changing the classic façade of the stone dome and arches, to a new cubic modern attractive skin. This skin was carefully designed to fit the environment and culture conditions(Tobojini, 2014).



Figure 20: KFNL- building Skin Layers

The skin consists of curtain wall covered with white fabric units interconnected together with roped stainless-steel. This unites frequently repeated to form an attractive pattern. The white fabric material is a local Tents fabric; also, the design of the skin units is similar to the tents which give the feeling of belonging to the Saudi culture (Tobojini, 2014)(archdaily, 2014).



Figure 21: KFNL - Section

This huge transferring of the façade design effect the interior spaces positively. It provides natural daylight that the library needs, however minimizing the heat gain and glare by defusing the sunlight through the creative skin (archdaily, 2014).



Figure 22: KFNL- interior views

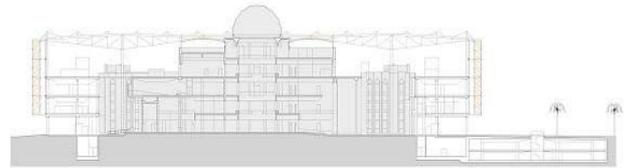
Also, the use of LED light to save energy and to provide a good light radiation. Using local plants (Palm tree).



Figure 24: KFNL- native Plants



Figure 23: KFNL- lighting



King Fahad Library section

Figure 25: KFNL - Section



Figure 26: KFNL-Old Building

In these previews case studies, the green techniques were used to fit Saudi Arabia region. Because the most majority problem is to provide natural daylight without entering the sun's heat to the spaces, so the use shading devices but in different forms. Also, the use of local materials which can be very helpful for the environment and, at the same time reducing the cost. Using the native plant can help in water conservation. For KAUST. They use more advanced techniques to increase energy-efficiency. However, all the buildings satisfied the user's needs and environmental sustainability from one side or more.

## V. CONCLUSION

The world is always in constant evolution. This evolution brings new technologies and methods for humans. With this evolution, there are side effects that could harm humans. The people must take care of the new technologies and try to invent sustainable systems to grant a healthy life for the future generations.

Architecture plays a big role in this evolution, and it affects the sustainability of the world positively if it used in the right way, and vice versa. Architecture is improving, and new techniques discovered. Thus, the green architecture techniques will be improved. Although there will be several types of Green building technologies, but it doesn't matter, what matter is the result of using these techniques. Sometimes using these techniques in specific conditions could have a negative effect on the environment and the people living within this environment.

In Saudi Arabia, the future of green architecture is very bright due to the government financial and moral support. This will improve the green building and

maximize the number of it in the country for the next years. The growth in this sector will provide environmental sustainability and guarantee a healthy life for the citizens and future generations.

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# The Sustainability Dimensions: A Territorialized Approach to Sustainable Development

By Maria Coronato

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**Abstract-** The paper proposes the territory as the fourth dimension of sustainable development. Research starting from three dimensions of sustainable development - economic, social, environmental - highlights the difference between the spatial approach and the territorial approach in sustainable development practices. The paper shows that to include in the development approach the morphological (hilly, mountain, plain), functional (metropolitan or non-metropolitan city, cross border region), traditional (port city, financial city, industrial city), government (National strategy, special laws, etc.), governance (formal and not formal network, institutional/ noninstitutional body) aspects, leads to different development results than not including them. This evidence shows to distinguish development practices from sustainable development practices as emerged from recent Territorial Impact Assessment studies in which policies, through the territorialization of the results, guide planning actions: (local) planning actions selected on (general) policy objectives create the conditions for adaptation (about planning) and mitigation (about policies) of human actions on the environment, thus being able to speak of sustainable development.

**Keywords:** *sustainable development, territorial approach, the territorial capital, territorial diversity, sustainability.*

**GJHSS-H Classification:** *FOR Code: 300903*



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# The Sustainability Dimensions: A Territorialized Approach to Sustainable Development

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## I. INTRODUCTION

The Environment understood as a complex of natural and anthropogenic elements, is a complex and multilevel system where economic, social, and ecological dimensions, assessed at local scale, produce effects at global scale. Alterations of the local environmental system require global policy actions (i.e., Sustainable Development Goals – Agenda 2030) to be planned at a local scale based on of territorial specificities. However, sometimes the answers to the main local environmental problems appear 'out of reach' concerning to the political and programmatic intervention capacities of local communities. The transcalarity that characterizes environmental problems requires that environmental issues must be addressed looking a global scale, even if the impacts are measured mainly at the local level (Kennet, Gale de Oliveira, Heinemann, 2010).

The question between “adaptation” and “mitigation” policies concerning the multidimensionality of environment (from local to the global scale and vice versa). These expressions are mostly used about climate change policies but can also be used to a much broader scale that encompasses the whole set of

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environmental policies. If it is, in fact, true that the mitigation of human impacts is the main goal to which the environment (ecological, social, and economic dimension) must strive by policy choices, it is by adaptation actions a local scale that this result can be achieved. Adaptation and mitigation are, therefore, not alternative or conflicting approaches. Rather they represent complementary aspects of a comprehensive and more successful policy that addresses the issues of the environmental system as a whole. If mitigation has a longer time to action and requires a globally coordinated approach to gradually reduce and ultimately control human impacts on the environment, it is the adaptation that acts primarily at the local level (from national to lower), and it can be modulated according to the territorial context taking into account the “territorial diversity”. If the adaptation measures (assessed at local scale) are not well implemented, the mitigation costs and time-line (assessed at global scale) will be greater, and the consequences on the entire environmental system will be more serious.

Based on these considerations, the most recent positions on sustainable development have been formed. It is generally defined as development able to satisfy the needs of the current generation without compromising the satisfaction of future generations (WCED, 1987). This position requires global policies for planning and evaluation, capable of looking at the whole at the parts (social, ecological, and economic) of the system. Closely connected to this position are intra-generational equity which implies equal access to resources (both environmental, economic and social/cultural) by all the citizens of the planet, without distinction concerning to the place where they live; and intergenerational equity, which implies equal opportunities for resources for current and future generations.

The link between environment and development is therefore based on endogenous resources (Spinelli et al., 1994), a "bottom-up" development that considers the territory as the starting point of a systemic analysis where the economy, society, ecology form a unicum that interacts with the rest.

Finding adequate and compatible solutions between environmental and development is the goal of sustainability. Strong and animated is the clash between the theorists of 'weak' sustainability (Solow, 1987), who believe that to guarantee the needs of future

generations, it is necessary to leave a share of natural capital/artificial capital no less than the current one. It is therefore believed that the loss of natural capital can be compensated for by human made capital. The total replacement of fossil sources with renewable ones is hypothesized, but for this purpose the infrastructures will have to be adapted to allow energy already produced from renewable sources to compete with traditional ones (technocentrism). On the other hand, the 'strong' approach to sustainability (ecocentrism) excludes the substitutability of natural capital with that produced by man. Continuing an economy can be considered sustainable if the 'environment' loss is counterbalanced by an increase in the stock of material infrastructure (machinery or other artificial/physical capital). Some authors such as Ekins et al. (2003) think that strong sustainability is also justified based on some fundamental differences between the human made capital and the natural capital in relation to the reproducibility of the former and the irreversibility of the consumption of the latter. A possible balance between these two "forms" of sustainability is achieved by resorting to the concept of "critical" natural capital, that is, that part of natural capital that plays an irreplaceable role compared to other types of capital (Turner, 1993; de Groot, 2003). It is a question of identifying the critical level of natural capital to be preserved and the quantity of manmade capital that can act as a substitute for natural capital, called "sustainability limit".

A combination of man-made capital and natural capital together with the resources (material and immaterial), the production factors, skills, knowledge available on the territory constitute the so-called territorial capital (Camagni, 2009). The European Commission also has defined territorial capital as the complex of elements (tangible and intangible) available to the territory, which can constitute strengths or real constraints in relation to the aspects taken into consideration. Therefore, each region has a specific territorial capital able to generate a higher return for specific types of investment. Territorial development policies must first and foremost support and preserve the territorial capital localized (European Commission, 2005). Further evolutions on the subject lead to define territorial capital as a complex of elements (material and immaterial) available to the territory for its development: these elements can constitute strengths or real constraints depending on the aspects taken into consideration. Knowing the territorial capital of each territory helps to identify the types of investments with the highest return (Prezioso, 2019).

An approach to sustainability based on territorial capital asks to assume new parameters to calculate sustainable development, overcoming only the economic, social, and ecological aspects. If the term "capital" carries with it the idea of the necessary goods

used to pursue pre-established objectives, the "territorial" attribute recalls the role of the territory as a factor for a bottom-up development, built on local potential and "territorial diversity", and that takes into account the multidimensionality of the relationships that are intertwined in the territory taking in charge geography, history, culture, population identity, skills and vocations present and regional territorial function (economic and political).

Assuming the concept of territorial capital based on the reasoning offers the advantage of being able to embrace different elements of the environment (in a broad sense) and to know and define (and therefore govern) adaptation and mitigation actions.

In a dynamic vision, there is a stock of territorial capital which must therefore be maintained, innovated, developed, and transmitted to future generations in the same logic adopted for sustainable development. In other words, territorial capital must be conceived not only as an endowment of a certain territory, which is only the starting point of the analysis, but also as an investment to build future choices according to a sustainable approach.

## II. DO SPATIAL OR TERRITORIAL APPROACH TOWARD SUSTAINABLE DEVELOPMENT? A TERRITORIAL EVIDENCE FROM THE USE OF TERRITORIAL IMPACT ASSESSMENT

Territorial Impact Assessment is defined as an ex-ante mechanism that can be used to identify the potential impacts of political choices to assess better actions for specific territories about different territorial capital.

In 2007 the European Commission declare the Territorial Impact Assessment (TIA) as a tool to support policy/decision making without however ever replacing it. A tool therefore able to support an efficient legislation (national and regional) considering at one time the several interaction among sectoral policies in relation to the territorial capital.

To this end, the European Committee of the Regions (CoR) in 2015 included the TIA among the tools in use and useful for the action of the European Commission by inserting the territorial dimension in the Better Regulation package (EC, 2015) and the European Parliament (2015) calls for its systematic application to the urban dimension so that sectoral policies are correctly addressed to towns, cities, and larger functional urban areas, taking into account, as a matter of priority, three elements: balanced territorial development, territorial integration, and territorial governance, looking at the role of territorial areas on economic growth, job creation, sustainable development.

The four TIA models currently to the attention of the European Commission (2020)<sup>1</sup> have the purpose of declining the policy action about the territorial specificity so as to measure the ex-ante impact assessment of anthropic actions, estimating the interdependence relationships between socioeconomic, cultural, and environmental variables, adding them to traditional indicators of well-being (GDP, employment, productivity) (Faludi, 2016). Including the territorial specificity in the analysis is the crucial difference between a spatial approach and a territorial approach. The first considers a general solution to a political question; the second suggest solutions on the base of territorial diversity (Table 1).

Planning on the base of base of territorial specificity (also looking the functional relationships, Coronato 2019) can understand the development potential of each territory and which governance mechanism and planning actions is better on the base of the territorial typology (e.g., mountain areas, internal area, coastal areas, metropolitan city, protected area, islands, etc.) to increase the efficiency of investments (infrastructural, technological, production, etc.) (Prezioso, 2020).

A recent Italian research<sup>2</sup> used the STeMA TIA model (Prezioso, 2020) to measure the territorial cohesion of the Italian regions and provinces, links the policy choices with development actions to implement at a local scale. The added value brought by the model was that it distinguishes the ex-ante time (before the policy choice) from the ex-post (following the policy choices) and from the ex-post territorialization analysis showing how the same policy action (selected ex-ante) produces different results (between ex-post and ex-post territorialized) on the basis of territorial diversity (morphological, functional components, etc.).

The STeMA methodology analyzed the Italian regions and provinces in light of the objectives of the Europe 2020 strategy: smart growth, sustainable growth, inclusive growth, adding a fourth component to assess the economic efficiency of investments. The methodology identified 7 Systemic Territorial Functional Typologies (STFT) (Prezioso, 2019a) which combine 5 types of settlement system, 4 large geomorphological units (mountain / hill / valley / plain) and related sub-units:

1. MEGA and metropolitan systems with high urban influence and transnational/national functions that can facilitate cooperation between cities (or city parts) at regional, national and transnational levels.

2. High urban influence systems with transnational/national specialized functions that can facilitate urban–rural cooperation between authorities in interconnected areas at regional, national and transnational levels.
3. High urban influence systems without specialized functions and with few transnational/national functions that can facilitate urban–rural cooperation between authorities in interconnected areas at regional, national and transnational levels.
4. High urban influence systems without specialized functions and transnational/national functions, thus not able to facilitate urban–rural cooperation between authorities in interconnected areas at regional, national and transnational levels.
5. Low urban influence systems with regional/local specialized functions that can facilitate urban–rural cooperation between authorities in interconnected areas at regional, national and transnational levels.
6. Low urban influence systems with regional/local functions that can facilitate urban–rural cooperation between interconnected areas at regional and local levels.
7. Low urban influence systems without specialized functions and transnational/national functions, thus not able to facilitate urban–rural cooperation between authorities in interconnected areas at regional, national and transnational levels.

The evidence of the research, of which the case of the Umbria Region is reported below (Coronato, 2020), shows that the territorial dimension, together with ecological, economic and social aspects, adds information on the measure of the efficiency of policy choices to achieve the sustainable development.

<sup>1</sup> EATIA, STeMA, ESPON TIA Quick Check, TEQUILA

<sup>2</sup> Project Title "Territorial Impact Assessment of the Territorial Cohesion in the Italian regions. Place Evidence Model for Assessing Policies Devoted to Green Economy in Internal Area and Metropolitan Inner Peripheries" (PRIN 73 PI Maria PREZIOSO – 20155NXJ8T – SH3),

Table 1: Spatial and Territorial Approach: an example

Policy question	Spatial Approach	Territorial Approach			
	Policy choices	Territorial Analysis	Answer	Analysis	Policy choices
Low Third educational level	Increase the educational supply	Which is the territorial system where implement the policies to increase the education score?	It is an internal area where insist only primary and secondary educational supply	The territory don't supply an high level education. The areas in "internal" so it is not connect with the main city. The average age is high and the economic specialization is the manufacturing	Support the e-learning
	Economic support to the family	What is the average age of the resident?	60 years old		Increase the physical accessibility of the area
	....	What is the main economic specialization of the area?	Artisanship		Increase the supply to Life Long Learning
	....	....	....		....

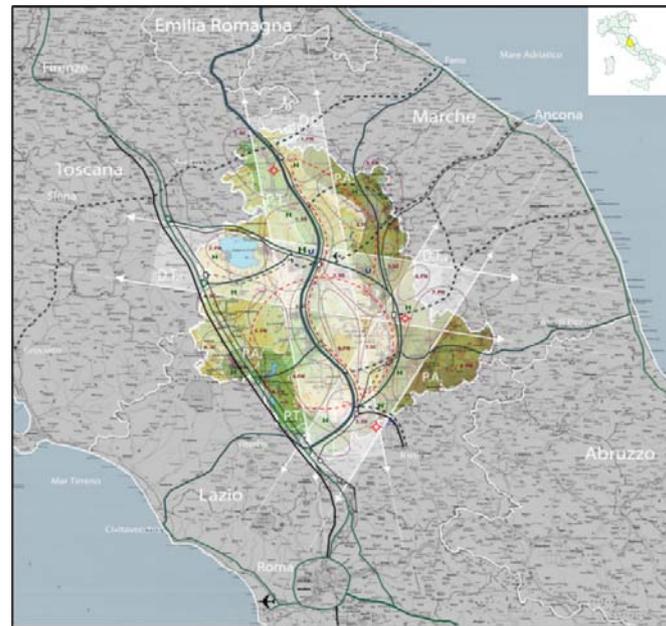
### III. DO SPATIAL OR TERRITORIAL APPROACH TOWARD SUSTAINABLE DEVELOPMENT? A TERRITORIAL EVIDENCE FROM THE USE OF TERRITORIAL IMPACT ASSESSMENT

Umbria is a region of central Italy, located in the heart of the peninsula, called "the green heart of Italy". It has an area of 8,456 km<sup>2</sup> (of which 6,334 in the province of Perugia and 2,122 in the province of Terni) and a population of 878 540 inhabitants. It is the only Italian region not bathed by the sea and borders on Abruzzo, Lazio, Marche and Tuscany regions.

Umbria has been included in the "Snodo 2 territories" (MIT, 2014) aimed at realizing a partnership system among Abruzzo, Lazio, and Marche regions (so-called Macroregion of the 'Italia di Mezzo') for the establishment of a cooperative macro-region. In this framework, in implementation of the program dedicated to "Snodo 2 territories", the Macroregion of the 'Italia di Mezzo' has to support both the networking and enhancement of naturalistic and environmental resources for tourism purposes and the development of sustainable widespread cities. The Umbria Region is, in fact, characterized by a "widespread" settlement model with a greater concentration in urban and peri-urban areas with consequences that impact the organization, and management of services (transport, health, education, etc.), in particular the network ones. However, the urban sprawl of the Umbria Region is a potential development opportunity for the regional "internal areas" by adapting the quality and quantity of essential services (school, health and transport) to generate that turnaround (including job demand) that in recent decades has led to a demographic escape from these areas (so-called: marginal) to better-served

territories. In this regard, Umbria Regional Law n. 10/2015 sets the criteria for rationalizing services in line with the associated forms of the municipalities (Union of Municipalities by the Delrio Law) around which area characterized by different levels of the spatial periphery gravitate (DPS 2014).

The Umbria Region is therefore inserted in the urban and infrastructural context of central Italy, according to a reticular model that integrates the different networks (transport, people, things, information, the network of energy infrastructures, hygiene, and health), exceeding the vision of the "City Region" by focusing on the cooperation mechanisms, especially of the transregional areas. The territorial and political approach turning towards a new territorial model of multilevel polycentrism in which the two anime - "Umbria, a joint territory" (geographic and infrastructural point of view) and "Umbria, the green region of Italy"- work cohesively and integrated as planned into Territorial Strategic Plan - DST (2008). This approach also takes into account the main morphological and environmental aspects of the regional territory (Tevere Valley, Apennines) and the settlement and production structure of the territory. In this regard, the transport infrastructures are to be implemented in relation to the role of Umbria in the national context (Figure 1).



Legend	
Longitudinal direction North – South	DL
System of the East-West transversal lines	DT <sub>1</sub> ; DT <sub>2</sub>
Tevere Project	PT
Appennine Project	PA
Center of roadband connection	

(Source: Territorial Strategic Plan (DST, 2008), Plan's Cartography)

Figure 1: Territorial Strategic Plan

In the national context, the Umbria Region presents itself as a hub and as such has the role of communicating the vital areas of the country-system preserving own identity (DST, 2008, p. 1). For this purpose, the infrastructure project "Snodo 2 territory" connects the Tyrrhenian (Civitavecchia hub), Adriatic (Ancona hub) to the Orte-Ravenna central route, directly connecting to Corridor 1 Berlin-Palermo on which other systems such as the Quadrilatero Umbria - Marche for the strengthening of the transversal infrastructure connections between the two regions. Umbria Region is also affected by an interregional territorial platform, called the "Central Apennines", which concerns the Terni area and its connections with Rieti province and Abruzzo Region, which the Ministry of Infrastructures includes among those of a strategic nature and which it develops along the road links of the Terni-Rieti and the Terni-L'Aquila railway line, bringing together urban systems and territories rich in environmental and cultural values (DST, 2015, p. 4).

However, Umbria is affected not only by physical but also ecological infrastructure projects (e.g. "The Tiber and its tributaries" project) and by the network of rural villages or thematic trails, as well as by the reorganization of Umbrian cities into networks built around specific themes or projects. With reference to

the role of Umbria in the national context, the traditional image of Green Umbria or "Umbria, the green heart of Italy" has been replaced with "Umbria sustainability laboratory" which places at the center of territorial and development policies the environmental quality and landscape.

The existing projects have a supra-municipal dimension, often macro-regional, which aims to increase attractiveness (in terms of services and job opportunities) by investing in border areas to combat external migration to Tuscany, Latium and Marche according to a multilevel reticular polycentrism oriented not only to physical and/or ecological infrastructures but also to improve the organizational and service delivery levels - also using soft governance mechanisms (Coronato and AI, 2019) - to reach European targets by increasing the level of territorial cohesion within the region whose main strategic objectives are (DPS, 2015 p. 13 and 14):

- Counter the risk of regional isolation;
- Encourage forms of coordination between the centers (community of municipalities, consortia, thematic networks);
- Encourage the qualification and environmental, landscape and social sustainability of interventions

in city networks, with particular regard to the enhancement of cultural heritage, residence, services of collective interest, public spaces;

- Improve cross-connections between centers, strengthening the network system between urban nodes of different rank, with particular regard to local settlement systems in marginal areas;
- Implement integrated territorial projects (mobility, soil protection-energy distribution);
- Encourage the establishment of business networks and production consortia;
- Strengthen communication and information networks technologically (broadband network).

Based on these regional strategic objectives, starting from the status quo (ex-ante), the STeMA methodology was questioned by selecting possible development actions. From the comparison between ex-ante and ex-post it was possible to evaluate whether the selected action triggered a development process or not. Finally, the analysis was carried out with territorialization, that is, it was assessed whether the development triggered by the selected policy action would bring a real advantage for the territory<sup>3</sup> under study.

The table below (Table 2) summarizes the results of the query divided by the 4 STeMA determinants. For each determinant, the ex-ante and ex-post results were reported in the two approaches,

spatial and territorial. While the spatial approach measures the distribution by class of indicators such as quantities used by the model; the territorial approach weighs (evaluates) the same indicators as before according to the territorial typology of the study area (for example: city with metropolitan function, capital city, province, rural area, hilly area, etc.). To clarify this aspect<sup>4</sup>, it is enough, among other things, to think of the distribution of digital services: having a scarce supply of digital services in a metropolitan city like Rome, government headquarters, where service companies reside, with a high educational and healthcare offer, etc. it requires a more urgent intervention than the same result but obtained in a poorly urbanized rural town. With the same result, the spatial approach indicates that there is a need to invest in infrastructures to provide digital services; the territorial approach gives us the size of the problem according to the territorial typology of the area affected by the problem and consequently provides elements of support to the political decision maker in relation to the resources to be invested.

The choices made have led to an improvement in both approaches compared to ex ante but it is the positive increase in territorialization that confirms the goodness of the choices in relation to the area of study and how incisive the intervention must be depending on the territorial typology in which it will have to take place.

Table 2: Spatial and territorial approach used in Umbria Region by STeMA<sup>5</sup>

STeMA Determinants	Spatial approach used in Umbria Region		Territorial Approach used in Umbria Region	
	En ante	Ex post	Ex ante	Ex post
SMART GROWTH	C →	B	E →	D
SUSTAINABLE GROWTH	B →	A	D →	C
INCLUSIVE GROWTH	C →	B	E →	D
RESOURCH AND FUNDS	D →	C	F →	E

Spatial approach class break A=very high; B= high; C= low; D: Very low;

Territorial Approach class break A= Absolute; B= Very high; C= High; D= Medium; E=Low; F= very low

#### IV. A NEW DIMENSION OF SUSTAINABILITY: TERRITORIAL SUSTAINABILITY

In relation to these aspects, the content and objectives of territorial planning have significantly changed. A planning understood as a policy of controlling and guiding the organization of space as a physical entity - land use, organization of transport

systems, public services - has gradually been replaced by a concept of planning as a tool for achieving better distribution of resources among the groups settled on the territory: this implies the consideration of the effects that a decision (or a set of decisions) can produce on the conditions of well-being of the population living in a specific spatial reality (Prezioso, 1995 and 2003; Conti, 2012).

<sup>3</sup> STeMA methodology classified the Province of Perugia as Low Urban influence Systems in 4 different morphological typologies, with transnational / national specialized functions able to make rural cooperation between interconnected areas at regional, national, transnational level Transnational or National functions” and the Province of Terni as Low Urban influence Systems territories in 4 different morphological typologies, with regional / local functions, not able to make rural cooperation between interconnected areas at regional, local level Regional / Local functions

<sup>4</sup> The whole analysis is in Prezioso 2019 and 2020

<sup>5</sup> The different number of class break (four in the spatial approach; six in the territorial approach) depends on the fact that the territorial approach takes into account the territorial systems listed by the STeMA methodology (Prezioso, 2019b)

This new approach to the environment and planning (territorial in the strict sense in a more broad context of "resources") has innovated the dimensions that measure sustainable development.

The need to reconcile economic growth and equitable distribution of resources arises from the awareness that economic growth alone would soon cause the collapse of natural systems. Hence the need to combine the three dimensions of development:

- Environmental sustainability is understood as the ability to preserve the three functions of the environment over time: resource supplier, waste receiver, and direct source of utility. Within a territorial system, environmental sustainability means the ability enhancing the environment as a "distinctive element" of the territory, while ensuring the protection and renewal of natural resources and heritage.
- Economic sustainability - can be defined as the ability of an economic system to generate lasting growth of economic indicators. In particular, the ability to generate income and work for the livelihood of populations. Within a territorial system,

economic sustainability means the ability to produce and maintain the maximum added value within the territory by effectively combining resources, to enhance the specificity of local products and services;

- Social sustainability can be defined as the ability to guarantee conditions of human well-being (safety, health, education) equally distributed by class and by gender. Within a territorial system, social sustainability means the ability of the subjects to intervene together, effectively, on the basis of the same concept of the project, encouraged by consultation between the various institutional levels.

Sustainable development is generally defined as the point of equilibrium (of intersection) between the economic, social and environmental systems, underlining with this only two of its dimensions are privileged, sustainable development does not occur (but development from a perspective conservationist, ecologist or merely socio-economic). Table 3 shows some examples of intersectionality ( $\cap$ ) among the policies attributable to the various dimensions of sustainability.

Table 3: The intersectionality of policies: an example

Development				
Environmental Sustainability	$\cap$	Economic Sustainability	$\cap$	Social Sustainability
Reduction of environmental loads Protection of biodiversity	$\cap$	Sustainable use of resources Growth	$\cap$	Health
Clean energy	$\cap$	Employment Fight against poverty Supply of territorial services	$\cap$	Education Inclusion Accessibility
Sustainable use of resources	$\cap$	Mitigation and adaptation	$\cap$	Access to the resource
.....	$\cap$	.....	$\cap$	....

The actions resulting from the intersectoral policies do not provide us with the size of the intervention because they miss any information related to the territorial capital. For this reason, seems appears appropriate to add the territorial dimension to the others, so to analyze in terms of policy actions - on the one hand -, and territorial capital on the other, the complex of economic, ecological and social relations that site. This scope is necessary to apply a systemic, trans-scalar, flexible and dynamic vision that, through policies, moves between the various levels of programming, from local to global, from adaptation (local) to mitigation (global). Policies relating to climate change, energy, services of general interest, territorial and maritime planning, environmental protection although they have elements attributable to each of the classic dimensions of sustainability (impact in terms of emissions, employment, growth, industry, wealth, etc.) for their transversal policy action converge in territorial sustainability and suggest the use of forms of macro-regional, sometimes trans-regional or cross-border cooperation and increasingly flexible governance

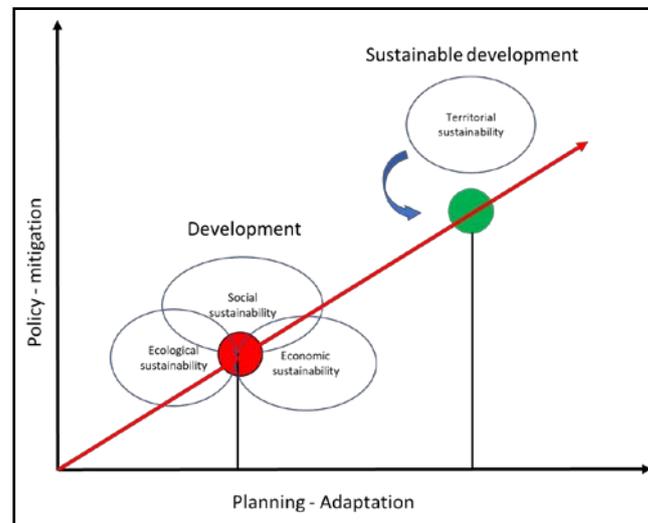
mechanisms ("soft governance"). Only with the addition of the territorial dimension can we truly evolve towards a new approach to development - a sustainable development - to be planned to increase the internal resilience of the systems by investing in local territorial capital.

The four dimensions are closely interrelated by a multiplicity of connections and, therefore they must not be considered as independent elements, but must be analyzed in a systemic vision, as elements that together contribute to the achievement of a common goal: sustainable development. This means that every programming intervention must take into account the reciprocal interrelationships. If planning choices favored only some of the dimensions, sustainable development would not occur. The intersectoral nature of environmental policies therefore makes it necessary to work simultaneously on all dimensions of sustainability until a balance is found between the parties. If it is true that the "sustainability limit" is given by a balance between the dimensions of sustainability where the economic, ecological, and social dimensions pertain to

policy objectives (growth, employment, reduction of environmental loads, clean energy, safety, education, etc.), it is the territorial dimension that through systemic territorial relations (metropolitan city, metropolitan area, internal area, marginal area, etc.), programming, capacity building, local resources can find efficient and sustainable solutions. Including the territorial dimension in the local planning process is useful to achieve the global policy objectives.

To represent the dimensions of sustainability on a Cartesian level by placing Planning - Local Adaptation

on the x-axis, and the Policy Process - Global Mitigation on the y-axis, the more the local planning is consistent with global objectives, the more the mitigation effect increases globally (policy goal). In a spatial vision, development is obtained from a balance between economic, social and environmental sustainability. Still, as the evidence shows (CFN. Tab 2), the same actions produce different effects depending on the reference territory. To become sustainable, development must, therefore integrate the territorial component (Figure 2).



(Source: Author's elaboration)

Figure 2: The territorial approach toward the sustainable development.

## V. CONCLUSION

The environmental and economic crisis and social poverty is central in the international policy objectives. It requires finding systemic and intersectoral solutions able to protect the scarce resources available by providing local-scale (adaptation) actions capable of generating a development process of a long term, which even on a global scale, generates positive (mitigation) impacts. This awareness strongly pushes us to think according to a territorial approach to planning the quantitative measure of a phenomenon needs to be territorialized, taking into account functional territorial systems. This highlights the difference between a spatial approach and a territorial approach to planning/policy. Finding a balance between the parts of the system and at the same time, considering the territory as a distinctive element of the analysis is also the basis of the transition from development to sustainable development, which in line with the declarations, is intergenerational and intragenerational. The non-territorialization of planning/policy choices generates uncertainty about the consumption/use of natural, economic and social resources, producing a loss of territorial capital that is difficult to reproduce. The

mitigating impacts are nothing more than the sum of individual local adaptation actions. Acting locally by implementing suitable and specific adaptation actions for each territory (territorial approach) to achieve the global policy (impact mitigation) makes it possible to talk about sustainable development.

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## A Study on Market Opportunities & Consumer buying Behaviour towards Indian Handicraft Products

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**Abstract-** India has an extremely rich craft tradition, recognized by its unique aesthetic and mythological emotions expressed through artistry. The history of Indian Handicrafts dates back to one of the earliest civilizations of the world. It is now home to more than 7.3 million artisans residing mostly in rural or semi urban areas of India. This study will give a clear perception of the target consumers behaviour towards purchasing Indian handicrafts and would help stakeholders involved in Indian handicraft sectors to leverage on the critical findings stated in this study and devise a holistic marketing platform to explore the mentioned market opportunities of Indian Handicrafts. Certain critical challenges faced by this sector is inefficient institutional framework, relevant education, low capital, and deprived exposure to new technologies, no access to market intelligence. The paper also highlights critical constraints found during market research from consumer end and also suggests strategies which can be adopted.

**Keywords:** indian handicraft sector, market potential, consumer behaviour, handicraft marketing model, indian artistry, rural marketing.

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# A Study on Market Opportunities & Consumer buying Behaviour towards Indian Handicraft Products

Sana Mushtaq Shaikh

**Abstract-** India has an extremely rich craft tradition, recognized by its unique aesthetic and mythological emotions expressed through artistry. The history of Indian Handicrafts dates back to one of the earliest civilizations of the world. It is now home to more than 7.3 million artisans residing mostly in rural or semi urban areas of India. This study will give a clear perception of the target consumers behaviour towards purchasing Indian handicrafts and would help stakeholders involved in Indian handicraft sectors to leverage on the critical findings stated in this study and devise a holistic marketing platform to explore the mentioned market opportunities of Indian Handicrafts. Certain critical challenges faced by this sector is inefficient institutional framework, relevant education, low capital, and deprived exposure to new technologies, no access to market intelligence. The paper also highlights critical constraints found during market research from consumer end and also suggests strategies which can be adopted. The study also focuses on strategic collaboration of artisans with designers, tourism industry, CSR, tech start-ups, NGOs, market research firms, SHG associations can bring the much awaited change in this unorganised yet unexplored and lucrative sector of India. It will help artisans be in line with changing market trends and mould their artistic creativity as per the demand coming from target segments. In a nutshell, this study will bring in the lost enthusiasm in age old handicraft products and showcase the way to built a holistic model with a objective to explore the untapped potential of this sector and bring in a sustainable platform for Indian artisans who are unnoticedly responsible to preserve and pass our age old ancestral artistry skill to future generations.

**Keywords:** indian handicraft sector, market potential, consumer behaviour, handicraft marketing model, indian artistry, rural marketing.

## I. INTRODUCTION

Handicraft refers to unique artistry work done by skilfully using hands and simple hand tools. It has ability to take back to the ancient roots and experience the incredible culture and traditions of a particular origin. It's a unique way to preserve and exhibit one's ancient traditions. India being so incredible and diverse possess a long rich history which dates to one of the oldest civilizations which goes back to 5000 BC when handicrafts revolved around depicting religion and culture. Today plethora of arts and crafts we spot in museums dates back to around 3000 BC when Indus-Valley Civilisation took place. The Vedic Age witness

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development of handicrafts in form of textiles, stone, metal, pottery, wood, painting. The Indian craftsmen evolved their artistry in Gupta period (320-670 AD) into woodcarving, sculpture, stone carving, jewellery-making and weaving. In later stages Indian handicrafts consistently evolved with time showcasing its flexibility viz-a-viz maintaining its unique patriotic and aesthetic attributes within its artistic expression.

Backed by such long rich heritage; India is home to about 7.3 million artisans (2018 data) residing in mostly rural and semi urban areas and identified as second major sector in terms of rural employment after agriculture. Indian artistry is facing challenges with technological and industrial revolution but still has not loosen its shine and is distinctive Indian traditioned attributes is significantly enchanted globally like hand-knotted rugs, embroidered & crocheted homeware, handcrafted jewellery, silk apparels textiles, scarves, shawls, leather as well as range of decorative handcrafted articles.

Today, there is huge gap in perception of handicrafts with respect to urbanization. In rural areas still handicraft is a legacy which is shared among generation after generation as a sense of preserving their ancestral culture and emotions attached to it. While, in urban areas handicraft is a symbol of luxury and classy style. There is a significant shift witnessed in consumer preference where there is a strong demand provides functional attributes along with emotional attributes in a product or a service. This is where Indian handicraft sector can leverage and upscale to make it a profitable livelihood for Indian artisans along with promoting and preserving our rich ancestral artistic skills.

Despite such huge potential, Indian handicraft export data reflects India is lagging behind in terms of fulfilling global demand. Westernisation and industry made cheap products are flooding market taking over aesthetic handicraft products. Rural artisans whose livelihood depends on their artistry work is not able to sustain as the income is very low. This has also resulted in migration of younger generation to other source of livelihood; leaving the burden of preserving such unique artistry work for elder craftsmen. This discrepancy needs a quick attention so that we don't lose our age-old historical artistry skills. Also, one huge challenge which

prevails in this sector is the gap between what market actually demands and what Indian artisans pursue in making handicraft products. For example: A working class woman would not prefer heavy jewellerys instead would go for something which is light, descent and connects with age old artistry work. As mentioned earlier, now people are looking for products which satisfies both functional needs and give them sense of pride of promoting and taking ahead Indian artistic legacy. Some other limitations which acts as significant hurdles in development of Indian handicrafts sector i.e. keeping up with globally accepted quality parameters and consistency with each handicraft products as there is no check and control mechanism which artisans follow w.r.t raw material procurement, standard practices to maintain its quality and integrity.

There is immense potential for start-ups, fashion designers, MNCs, NGOs to intervene and provide market linkage, help educating and updating artisans, up scaling and fulfilling handicraft products to lucrative international demand and a huge opportunity lies in domestic market by helping artisans design such products which is in-line to market trend while holding its strong ancestral artistry emotions. Apart from private interventions; there is a need for government to take effective steps to promote and upscale Indian handicrafts to generate livelihood for millions of Indian artisans as well as preserve our age old handicraft skills. With digitization being a buzz word; there is an e commerce or digital wave coming in through different startups like Crafts bazaar, Craftsvilla, Engrave which has shown a promising path to provide a stable and lucrative market for Indian handicrafts.

## II. LITERATURE REVIEW

Amir (2013) rightly mentioned Indian handicraft as an exhibit of rich Indian culture which includes social, religious, historical and mythological emotions preserved and expressed through artistry. As per Abraham (1964); man's connection with art and craft dates back to the period when human civilization began. He created stone weapons for protecting himself against wild animals in forests and hunt for food. The art of bamboo baskets, cotton weaving, pottery, stonework are few eminent ancient arts of India. Venkateswarlu, Rao, & Reddy (2018) indicated that there are various states of India such as Tripura, Gujarat, Kashmir, Maharashtra, Manipur, Uttarakhand, Tamil Nadu, Rajasthan, Kerala, well known for its handicrafts. Each offers a wide plethora of handicrafts from respective states. Pani & Pradhan (2019) suggested that there are various attributes of tribal handicrafts especially like its aesthetic appeal, natural design and dyes used, simplicity, its artistic expression, deep connection with ancient culture and eco friendliness etc are some influencers for overall preference of consumer. The

attribute like aesthetic and simplicity is also stated in the study of Planning commission of India (May, 2006) "Designing is a very vast subject and has different meanings for item to item, source to source and product for academic and practical purpose separately. The designing can be categorized in five types viz.: Natural design, Decorative & Stylish Design, Structural Design, Geometrical Design, Abstract Design."

M., Hawley, & Frater (2018) proposed that there is a whole new flow of trend where more and more people seek for such products which not only is exclusive and premium quality but also connect with the story of artisan and community from which it originates. Study conducted by Silver & Kundu (2013) also suggested that handicrafts are also used as a symbol of royalty and perseverance of age-old tradition. Pani & Pradhan (2016) connoted factors such as simplicity, aesthetic appeal, eco-friendly, creative expressions influences the buying decision of consumer. The Indian Handicraft Industry is responsible for the livelihood of more than 7.3 million Indian artisans as per KPMG report (2011-12) and is the second major employment sector after agriculture in India, have low per capita investment, high involvement of women and weaker section people & produces the product which is eco-friendly (Yadav & Bhat, Handicraft Sector: The Comforting Sector of Employment Review, 2017). In addition to this, study conducted by Mohin-ud-din (2014) reflected that the sector is economically imperative from the point of low capital investment, high ratio of value addition, and high potential for export and foreign exchange earnings for the country. Bhushan (2014) pointed the success and affluence of Indian Handicraft industry in terms of global market depends greatly on the degree of connection between artisans' work and preference and choice of the consumer in existing global market. P.V.Rajeev (2013) signified the importance of keeping in line with existing market trend and moulding artistic creativity with moderate prices, design, style, looks etc. considering the changing of time, marketing pattern in an acceptable and preferred form is crucial for artisans in today's market.

However study conducted by Seth (2018) pointed out that Indian Handicraft sector has suffered due to being highly unorganized sector, with the additional constraints of lack of education, low capital, and deprived exposure to new technologies, no access to market intelligence, and a poor institutional framework. As per Bhattacharyya & Datta (2016) indicated that the channel mediators, like middlemen, retailer or distributor try to capitalize and earn substantial profit at the cost of the craftsmen. On the other hand, (Rawat, & Srivastav, 2016; Bhat, 2015) suggested globalization is resulting into commoditizing of handicraft products thereby leading to a significant surge in facing high competition from all around world particularly China and other Asian countries. Also, Rao,

Meesala, & H (2017) indicated that handicraft products face a detrimental competition with machine made cheap products w.r.t utility value and price affordability. Vadakepat & Khateeb (2012) proposed that for handicrafts to sustain competition from cheap machine made and fake antique products, it has to derive strategic by taking into consideration market threats to its pure creativity model.

A study conducted by Jain & Sharma (2015) suggested that there was no significant impact of government handicraft supporting policies and schemes on Artisans perception to earn livelihood from handicraft work which shows that there is much need of Government intervention in this sector. Funds offered under the Deen Dayal Hathkargh Protsahan Yogana (DDHPY) scheme has not significantly disbursed among artisans (Fiber2Fashion, 2010). Jadhav (2013) expressed concern that keeping next artistic generation engage in this sector is itself a struggle for Indian artisans as to earn their livelihood they have to forcefully shift to alternate occupation leaving their artistry unproductive. As per Yasmin (2013) there are certain states in India whose population majorly depends on handicrafts such as J & K where major issues is power supply, raw materials, lack of market linkage, labour. The employment growth rate has stepped down from 19.06% in 1990s to mere 0.25% in 2008. Pitchai & Akilandeewari (2014) suggested that government should do periodical censuses and survey of artisans to gauge the current status of the sector and derive impactful schemes for uplifting artisans.

A study conducted by Yadav & Bhat (2016) connoted that Indian handicraft Industry can potentially collaborate with Tourism Industry which will be a win-win promoting situation for both industries as it will result in increased diversification of tourism products such as home-stays, cultural experiences and help promoting responsible tourism in the respective area. Meanwhile, Mukherjee & Bhattacharya (2016) implied that artisans will get more potential customers which will encourage them learn tourists preferences and mould their products in a way to achieve sustainable business. Ghose (2012) indicated that development of international markets for home accessory products and an amplified interest in rich Indian handicraft products exhibiting its age-old culture and traditions have opened up new-market opportunities for artisans. Conducting more regular national and international level handicraft exhibitions and festivals and encouraging FDIs with designers and artisans can be fruitful for the sector (G, 2019). Kapur & Mittar (2014) suggested that there can also be a collaborative innovation between designer and craftsmen which will give craftsmen an edge to market trend and also strategic design innovation which fit in the social, economic, ecological and cultural aspects.

A study conducted by Kumari & Srivastava (2016) recorded plethora of Indian handicrafts like

Saharanpur for its wooden articles, Pashmina shawl of Kashmir, the North Western state of Rajasthan for Jaipuri quilts, Punjab for Phulkari, Jodhpur for wrought iron product, Gujarat for embroidered handlooms etc. This unorganized and fragmented sector needs a unified and accountable platform where in artisan's products are accessible to million of potential customer all over globe by a simple click. That's where E-tailing or E-retailing comes as a promising marketing channel for Indian handicrafts to reach ever rising demand in foreign countries in fashion industry, home décor market etc. Shah & Patel (2016) proposed a cluster level approach wherein NGOs or SHGs form their own website to sell handicraft at mass level or there could be Corporate level support under CSR could help form handicraft e commerce platform. Ratnesh & Kumari (2020) quoted CSR models adopted by Jindal Steel and Power Ltd. and Tata Steel Ltd which empowered tribal handicrafts of Jharkhand is one such successful CSR example. This will provide artisans with sustainable business and there won't be a need for artisans to leave artistry and do some random work for earning livelihood. Senapati & Agasty (2015) found a linkage of market research firms and Indian artisans for demand driven data will give to connect and get grip of global market trend and make product in line with the trend. Nagori & Saxena (2012) highlighted that handicraft marketing can be considered under rural marketing and thereby can utilize hub-spoke model, retailer model etc for its distribution. Dash (2011) suggested a need of strategic positioning of handicraft products is crucial on marketing front. This can be done by categorization of products-based export on domestic market, ease of storage, utility potential or decorative value and modernity or traditional orientation. Ghosal & Prasad (2019) also mentioned the need of strategic digital marketing of handicraft products to increase visibility and provide an online global market for artisans to sell their product. Anupama (2018) indicated digitalization will give one single platform for customers, traders, investors and scholars including the media gives access in locating craft persons (map assisted) and retail outlets for hand crafted products. Apart from this, a study conducted by Dey (2018) suggested a holistic managerial support is required to make this sector in an organized form as when a handicraft product is escalated at global level its brand image and management is considered significantly along with how well the business is managing its risk.

An empirical study conducted by Venkataramanaiah & Kumar (2011) faculty of IIM Indore suggests implementing cluster model to handicraft sector is the need of hour as it will help address specific barriers and will help achieve an organized structure for artisans which is missing in this fragmented sector. It will give ease to provide training and buy raw materials in bulk to give economies of scale which will make this sector profitable and reduce migration rate. As per

McDonald (2007) study indicated that for government focusing one individual while designing and implementing development policy is very difficult and when cluster model exist it's easy to develop and intervene for government to address and make a profitable occupation for artisans.

A study conducted by All India Artisans and Craftworkers Welfare Association (AIACA) suggest that there are innovative collaborations and ventures like Etsy, Sanskriti, Fab-India, Craftsvilla etc in the handicraft market, leading to sustainable fashion. As per CSR (2017) report, these ventures target to specific but significant barrier existing in this sector and it seem to be benefitting artisans, the environment along with businesses enhancing scalability. Pande (2017) connoted that contribution of Private Sustainability Standards (PSS) can help handicraft sector match international compliances with respect to quality, eco-labelling, raw material usage, protocol followed etc which can introduce handicraft firmly to International trade.

### III. OBJECTIVES OF THE STUDY

1. To gain insights on market opportunities of handicraft products and especially Indian-made.
2. To analyse the attributes that customer prioritizes while purchasing handicraft decisions.
3. To understand challenges faced by customers while purchasing handicrafts and suggest a holistic model to build a holistic handicraft marketing platform in India.

### IV. RESEARCH METHODOLOGY

The market research was conducted with a random population sample of 399 residing in Tier-I and Tier-II cities of India as handicraft comes under luxury segment due to its premium price and symbol of royalty there is a huge demand of Indian handicrafts in these cities. The research tool used is questionnaire designed to gauge potential market opportunities & consumer buying behaviour towards Indian handicraft products.

The market research is descriptive in nature and helps to describe the attributes of identified target groups from the study using IBM SPSS statistics software.

*Null Hypothesis (Ho):* There exists no correlation between the variables.

*Alternate Hypothesis (H1):* There exists a correlation between the variables.

*Variables in study:* Age, Gender, Source of awareness, frequency of buying handicraft products, preferred source to buy handicrafts, most preferred category of handicraft, attributes prioritized while shopping handicrafts, constraints faced by customers while purchasing handicrafts, doorstep delivery preference.

*Data Interpretation done by:*

1. Cluster Analysis
2. Discriminant Analysis

## V. FINDINGS

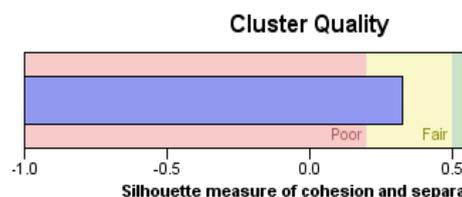
As per the market research conducted for the study; total 399 responses were recorded through online survey out of which 67.8% of respondents were from 18-25 age group showcasing the interest of millennials in preserving and exhibiting Indian handicrafts, while the study conducted was on PAN India level.

As per the research, 83.4% of respondents were highly interested in handicraft products while rest of the respondents who showed less interest; reflected some significant constraints faced while purchasing handicraft products such as availability (34.8%), authenticity (25.8%), pricing (31.8%), quality(30.1%) ,after sales service(16.7%) and others.

Also, one stimulating insight from the research was to know that more than half of the total respondents (i.e.54.8%) were interested in receiving handicraft products at door steps which reflects the urge of shifting the selling of handicraft products from offline mode to e commerce mode while rest of the respondents still consider to physically touch and experience the handicraft articles before making a purchasing decision.

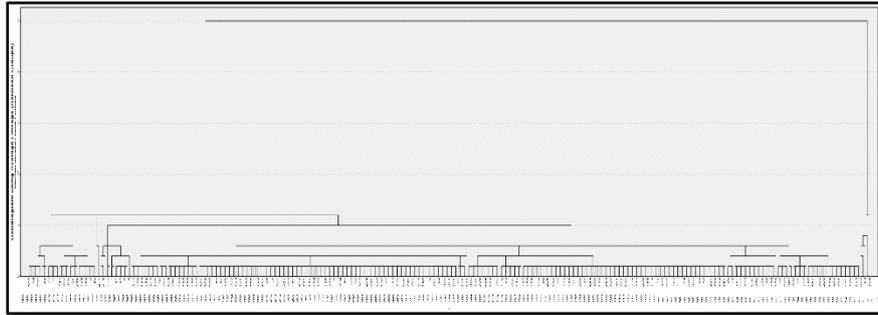
To have a detailed analysis of the primary data collected, lets classify target segments with the help of cluster analysis followed by discriminant analysis which will give a deep understanding of factors that distinguishes the target segment clusters which will be then used to suggest a holistic marketing model for Indian handicrafts.

*Cluster Analysis:* As Indian handicraft consist of unique artistry which revisits our ancient roots. Every single article of this artistry consist of a strategic mix of functional attributes complemented with emotional attributes. Therefore it becomes necessary to classify the sample population based on psychological and behavioural aspects which is done by following cluster analysis.



The Silhouette approach measures the quality of clustering. Here, the cluster quality is near to fair which shows a significant separation between resultant

cluster therefore the sample considered is relevant to perform interpretation further.



Validation: As per the above dendrogram of cluster analysis, there are two clusters identified in this study.

Table 1.1: Final Cluster Centers

Key Factors	Cluster 1	Cluster 2
Interest in handicrafts	1.60	1.23
Source of awareness about handicrafts	4.20	4.45
Frequency of buying handicrafts	2.80	3.11
Prioritizing purchasing location for handicrafts	1.60	1.76
Door-step delivery preference	11.00	2.0
Specifically interested in Indian handicrafts	1.60	1.34
Prioritizing Attributes- price, quality, availability	1.99	2.98

(Note: As per the criteria, K-Mean value > 0.5 it means that the value is significant for that particular cluster)

There are two clusters in terms of different factors influencing their purchasing decision:

**Cluster 1:** Factors like delivery at door steps, Indian made specific handicrafts influences the most. These people prefers doorstep delivery which suggest the difficulty of reaching out to offline stores because of hectic lifestyle and also inclination towards online purchasing .So cluster 1 can be named as online purchasing consumers.

**Cluster 2:** The source of knowing about handicraft products, purchasing location, attributes like price, quality, availability etc influences the purchasing decision. These people are the ones who prefer purchasing offline which means they are interested in buying handicrafts after having physical touch and experiencing the product. So cluster2 named as offline purchasing consumers.

**Discriminant Analysis:**

**Purpose:** As per the analysis, there is no significant separation between two cluster i.e. for both clusters all the factors influence in some or the other way but the intensity of its influence is different which is rightly suggested in discriminant analysis.

The pre requisite for discriminant analysis is cluster analysis. However during interpretation because of huge responses there was fair significant difference between two clusters as per K Mean values. As per the magnitude of the value we named:

- Cluster1 as Online purchasing consumers group
- Cluster 2 as offline purchasing consumer group.

Therefore, discriminant analysis will analyse differentiating factors that will result into clear distinguished target groups.

Table 1.2: Eigenvalues

Function	eigen-value	% of variance	cumulative %	canonical correlation
1	0.813	100.00	100.00	0.670

Canonical correlation helps to identify and measure association between set of variables. Here as the canonical correlation value is >0.5 it significant goodness of fit as variance is high.

Table 1.3: Structure Matrix

Dicriminant Factors	Discriminant Loading values
Specific preference to Indian handicrafts	0.657
Age group preference	0.622
Preference for handicraft purchasing location	0.367
Gender preference	0.163
Frequency of purchasing handicrafts	-0.124
Awareness about handicraft products	0.058
Doorstep delivery preference for handicraft products	-0.049
Prioritizing Attributes- Quality, accessiblity, price	0.031

Structure matrix is also called as Discriminant loading where value > 0.5 is considered to be good discriminant factor. So, following are the factors which can act as good discriminators for differentiating between above stated clusters are:

1. Indian made purchasing handicraft products preference.
2. Age group of target segment
3. Gender group

Table 1.4: Unstandardized Canonical Discriminant Function Coefficients

Factors	Coefficient value
Preference for handicraft purchasing location	0.502
Specific preference to Indian handicrafts	1.606
Age group preference	0.680
Gender preference	0.621
(Constant)	-5.726

A part from the discriminant factor identified above; as per Canonical Discriminant Coefficients (Unstandardized) Preference for handicraft purchasing location can also be a potential discriminator for the two groups or clusters.

## VI. CONCLUSION

To explore this huge market potential of Indian handicrafts; there is a need of holistic marketing model which should serve all the critical factors which influences one's decision to purchase handicrafts products. As per the analysis done in this research study:

- Handicraft purchasing location is one of the most critical factor as it reflects the traceability and credibility of handicraft product and gives a sense of trust and assurance that a particular handicraft is reliable in terms of quality, price, source etc.
- With the increase sense of patriotism, nationwide pride and a satisfaction to preserve and promote the aesthetic culture and traditions of India; there is a high preference to handicrafts especially designed by Indian artisans.
- There is a positive drive in today's millennials to include Indian handicrafts in their lifestyle where they seek for such products which not only is unique and high quality but also comes with story of artisan and community from which it originates, thus

looking as a symbol of simplicity, aesthetic appeal, eco-friendly, creative expressions, royalty.

- With gender sensitizing society, it is evident in the study that more number of males have shown interest in purchasing Indian handicrafts along with females reflecting a need to come up with variants of handicrafts with not only focuses to lure females but also males.

The study also indicated significant shift in consumer preference where there is a strong demand for functional attributes along with emotional attributes in a product or a service. Start-ups, fashion designers, MNCs, NGOs, SHG associations to intervene and provide market linkage, help educating and updating artisans to design such products which is in-line to market trend while holding its strong ancestral artistry emotions. Apart from private interventions; there is a need for government to take effective steps to promote and upscale Indian handicrafts to generate livelihood for millions of Indian artisans as well as preserve our age-old handicraft skills.

Also, another finding from this study was the demand for doorstep delivery online model of handicrafts. With digitization being a buzz word; there is an e-commerce or digital wave coming in through different startups like CraftsBazaar, Craftsvilla, Engrave which has shown a promising path to provide a stable and lucrative market for Indian handicrafts. It will not

only complement the hectic lifestyle of target customers but also would solve one of the biggest constrain in this sector i.e. lack of accessibility of handicraft products because of its fragmented nature.

This conclusive study would help the above stated stakeholders involved in Indian handicraft sectors to leverage on the findings stated above and devise a holistic marketing platform to explore the mentioned market opportunities of Indian Handicrafts.

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# Operations of State Joint Local Governments Accounts Arrangements in Nigeria: An Empirical Study

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**Abstract-** The Constitution of the Federal Republic of Nigeria 1999, as amended, contains some provisions for the state joint local government accounts between the state and local governments alike. The issue of state joint local government accounts has been a thorny concern in local-state government relationship in the fourth republic. This situation also brought to the fore the question of local government autonomy. The experience with many Local Government Areas was that their states starve them of the statutory grants, and in the process denying them the opportunity of rendering essential services as required. The study engaged in Cooperative Federalism. Franklin D. Roosevelt was the proponent of Cooperative Federalism Theory in the early part of 1930s and acknowledges a need for cooperation between all levels of governments. The study utilized both primary and secondary sources of data. Data gathered were analyzed using descriptive and content analysis.

**Keywords:** *democratic; development; finance; good governance; local government; state government; state joint local government accounts.*

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*Strictly as per the compliance and regulations of:*



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# Operations of State Joint Local Governments Accounts Arrangements in Nigeria: An Empirical Study

Bolanle Waliu Shiyabade

**Abstract-** The Constitution of the Federal Republic of Nigeria 1999, as amended, contains some provisions for the state joint local government accounts between the state and local governments alike. The issue of state joint local government accounts has been a thorny concern in local-state government relationship in the fourth republic. This situation also brought to the fore the question of local government autonomy. The experience with many Local Government Areas was that their states starve them of the statutory grants, and in the process denying them the opportunity of rendering essential services as required. The study engaged in Cooperative Federalism. Franklin D. Roosevelt was the proponent of Cooperative Federalism Theory in the early part of 1930s and acknowledges a need for cooperation between all levels of governments. The study utilized both primary and secondary sources of data. Data gathered were analyzed using descriptive and content analysis. The study revealed that principles guiding the operations of state joint local government accounts were needed to be strictly followed in allocating revenue to the local governments in order to ensure effective delivery of service at the grassroots. The authors concluded that it's very necessary for the local government managers to ensure transparency and accountability in governance in order to enhance rural infrastructures like the construction and maintenance of rural roads, markets, schools, health centres, etc to the people at the grassroots in Southwestern Nigeria.

**Keywords:** *democratic; development; finance; good governance; local government; state government; state joint local government accounts.*

## I. INTRODUCTION

Local government finance is one of the aspects of public finance. It deals with the generation of revenue, expenditure and utilization of financial resources in order to bring the impact of government closer to the people at the grassroots. Put differently, finance is essential in enabling local governments transform the lives of the rural dwellers through the provision of social service and rural infrastructures like the construction and maintenance of rural roads, markets, schools, health centres etc. Despite the fact that the funding of local governments in Nigeria is an important aspect of fiscal federalism and intergovernmental relations, it has suffered setbacks,

thus, circumventing development at the grassroots. This ugly trend is usually associated with or provoked by certain underlying factors like overdependence on statutory allocations from the Federation Account, corruption, tax evasion from citizens at the grassroots, creation of non-viable local government councils in terms of the capacity to generate finance internally and effectively utilize it for development purposes, and lack of financial autonomy.

The introduction of State Joint Local Governments' Account implies that the revenue allocated to the Local Governments Areas (LGAs) of a state from the Federation Account should be pooled together and shared among the LGAs. Local governments are the third tiers administrative structure created in Nigeria to decentralize governance, bring government closer to the people at the grassroots and render social service (Agba, Ogwu & Chukwurah, 2013). All of these are pivotal in engendering national development. Thus, they are said to be in a vantage position to aggregate and articulate the needs of the majority of Nigerians and facilitate rural development through the application of needed financial and human resources in their operations.

Thus, Ojugbeli and James, (2014), tandem with Asaju, (2010) that:

The issue of state joint local government accounts has been a thorny concern in local-state government relationship in the fourth republic. This situation also brought to the fore the question of local government autonomy. The experience with many Local Government Areas was that their states starve them of the statutory grants, and in the process denying them the opportunity of rendering essential services as required.

The submission is corroborated by the fact that State Governments have compounded the financial problem of local governments by failing to pass on to local governments the federal allocation that has been passed through them as provided for by section 149 (5) of the 1979 constitution of the Federal Republic of Nigeria. In addition to "diversion" of local government funds, state governments have also failed to contribute their own share to the local governments as required by section 149(6) of the same constitution (Aghayere, 1997).

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In other words, various strategies and approaches have been adopted or used by government for the purpose of good governance, and in their efforts at distributing government resources to reach the people at the grassroots and the process of disbursement of the accruable funds, as allocated from the Federation Account. In this respect, beneficiaries at local councils more often get grossly as some state governments deduct certain percentage before the release of the balance to their local councils. Others simply hold on at will while the local government which is statutorily established is continually being saddled with financial responsibility by the federal and state governments but with limited autonomy (Ahmed, 2015).

Joint account between state and local government in Nigeria has created a lot of crisis in the development of local area with the frequent deduction and misappropriation of local government fund by the state. This is because the federal government was statutorily obliged to pass allocation for the local government units to the supervising state government for distribution to them, whereas most of the state governments often misappropriated the allocation for their respective local councils. Also, the amount which a local government can spend on a particular project is regulated and monitored by the state government (Ojugbeli & James, 2014). Some of the Governors see local government as an extension of their political and administrative domain. The financial transaction (budget) of local governments must be approved by the House of Assembly which still lies within the purview of the state parliament.

The introduction and the subsequent implementation of the state joint local government account system in Nigeria following the restoration of civil rule in 1999 had largely constituted and generated a lot of controversies in the polity, such as the allegation of indiscriminate deductions from the statutory allocation of the local government by the state government and its concomitant effect on local councils service delivery to the grassroots. All these had in the main painted an ugly, hideous and parlous picture of the system of financial administration as it affects the local council's administration in Nigeria. Nigeria's fiscal federalism structure involves the allocation of expenditure and tax-raising powers among the three tiers of government. That is, it deals with financial relationship between and among existing tiers of governments. Fundamentally, it deals with the system of transfers of grants and the federal government shares its revenue with the state and local governments. Nigeria has embraced this system of transfers over the years.

Since the majority of the local councils lack the capacity to raise Internally Generated Revenue (IGR) to a reasonable level, it has to depend upon the federal allocation for her performance. The inability of the councils therefore to generate revenue meant for its

continued functions and operations had largely contributed to its total reliance and dependence upon the federal statutory allocation to remain relevant as a tier of government in the Nigeria federal system. For effective performance, the local government will not only be assigned functions, but fund enough to enhance its service delivery to the clientele. The lack of adequate fund affects the operation of the local councils, invariably painting a very ugly picture of the system. This is probably why Nwaka (2006:20) argued that:

The provision of 20% for local governments in the revenue allocation formula of the federation's account remains a tragic reminder of the lack of political will to appropriately address the problem of local representations and effective delivery of services. As the government that has the most direct and immediate impact on the people, it stands to reason that adequate funding should ordinarily be guaranteed for this tier of government. Many local governments are rural based and naturally has limited capacity for internally generated revenue. It is expected that local government should actually be the engine of growth for local economics but regrettably the hegemonic central of the revenue from the federation account by the state government and the federal government is not indicative of a genuine desire to strengthen the local government to meet the high expectation of the mass of the people.

The argument above supports adequate funding for the local government, which is a positive step towards improving the financial base of the local councils in the federation. Onah (2004) observed that "the local governments are heavily deprived of funds which they could use in development pursuit is no longer news. The skewed administration of the state joint local government accounts in favour of the state totally explains the deprivation. The local government due of the federal allocation is tampered with by the state, and in some states, the revenue-yielding resources are also taken over by the state".

Ojugbeli and James (2014) argued that the issue of joint account had facilitated all manner of deductions from council allocation. Consequently, this brings inefficiency to the local government system, obstructs local governments from taking quick decisions, and disallows them from embarking on useful projects as well as rescuing mission of any epidemic diseases which might break out in their areas (Lamidi & Fagbohun, 2013). Joint account system as a financial policy of the local government was given birth to in the 1979 Constitution following the nationwide local government reforms of 1976. The system was subsequently abolished in 1989 by the General Ibrahim Babangida administration due to its wrong implementation by the state governments. It later in 1999, following the restoration of civil rule in Nigeria,

finds its way back into the constitution. The implementation became problematic as various hawks, i.e., state governments turned it into a money-making venture. This attitude, therefore, became pathological as local government productivity and performance were negatively affected.

Adeyemi (2013) observed that the essence of creating local government is to provide services using human and financial resources at its disposal to facilitate development at the grassroots. Similarly, coupled with the fact that local governments are financially autonomous, there is nothing like trespass from their higher governments as it is the case with Nigerian local governments (Onah, 2004). This makes local governments in advanced nations of the world to be buoyant and discharge their statutory functions with zeal. Whereas in Nigeria, the local government councils are being enslaved by the state governments (Ahmed, 2015).

## II. STATEMENT OF THE PROBLEM

The intergovernmental fiscal relations between the states and local governments in Nigeria have undoubtedly generated controversies bordering on the cardinal principle of federalism, which include fairness, equity and fiscal autonomy. However, in spite of the various numerous on intergovernmental relations, appreciable level of attention has not been paid to the fiscal relationship between states and local government councils in Nigeria. Local government councils being the nearest to the people at the grassroots are expected, *ipso-facto*, to be the most import platform for service delivery. This crucial task, therefore, requires adequate funding and fiscal autonomy, which is largely absent in the prevailing intergovernmental arrangement in Nigeria.

In many ways, state joint local government accounts have hindered the responsiveness of successive governments in Nigeria most especially at the local level. This is because of the tendency of the state government to interfere in the appropriation and execution of projects and programmes of the local government through the operation of joint account. This has resulted in poor service delivery at the local government as well as the failure of the state government to provide and improve basic amenities for the people within the state. The 1976 Local Government Reforms stipulated that there should be state joint local government accounts in order for the state government to have access to the financial activities of the local government and to ensure the resources available for the local government for provision of infrastructural facilities are adequately and equitably distributed, thereby curing the developmental challenges in multiple proportion to reduce, curb and promote responsive governance in concrete term.

The articulation of all the financial problems of the local government precipitated the idea of having a

joint account system for the Unified Local Government System in Nigeria under the supervision of the state government. Successive governments in Nigeria embarked on various amendments for the constitutional provision that legalizes the state and local government Joint Allocation Account Committee (JAAC) which has hindered the proper funding and autonomy for local government in the country. Despite these, joint account appears to be one of the major obstacles facing local government as well as the issue of local government autonomy. This study, therefore, intends to investigate the operations of the state-local governments' joint account in the selected states and local governments in Southwestern Nigeria. Though, there are interactions between local government and other levels of government in a federal system of government. Unfortunately, this relationship has not been cordial because local governments complain about undue interference from state governments.

For the most part, the excessive control by the state governments in the operation of the state joint local government accounts have not provided healthy development just as it also undermines democratic principle of relationship between the local governments and citizens. It also leads to inefficient public administration services and erodes the overall interaction between the state and society. It also promotes lack of respect, trust and tolerance of the local governments in the entire country. The condition that local government budget must be placed before the state government and State Houses of Assembly gives room for undue control of policies of the local governments while most state governors appears to administer local governments as extensions of their executive domain.

The study examines the provision of the constitution that established state joint local government accounts and assesses the extents and effect of overlapping of functions of the state and local government on service delivery, (if any). The study also investigates the constitutive effect of the state joint local government accounts efforts at blocking loopholes that can prevent dearth of resource available to government at the grassroots for the provision of public goods. Adeyemi (2013) has discussed various issues that brought about conflict between local governments and other levels of government, especially about issues relating to fiscal control of local government funds, but not much work has been carried out in providing empirical solutions to how such relationships have impacted on effective service delivery. This paper therefore attempts to examine the operations of State Joint Local Government Account (SJLGA) in the area of service delivery focusing on the Southwestern part of Nigeria.

### III. RESEARCH HYPOTHESIS

The hypothesis formulated for the purpose of this study is:

$H_0$ : The operation of state joint local government accounts has no significant impact on transparency and accountability in governance Southwestern Nigeria.

$H_1$ : The operation of state joint local government accounts has significant impact on transparency and accountability in governance Southwestern Nigeria.

### IV. METHODOLOGY

The study basically covers Osun State. Multistage sampling techniques were employed for this study. At the first stage, Osun State is categorized into three Senatorial Districts i.e. Osun West Senatorial Districts, Osun East Senatorial Districts and Osun Central Senatorial Districts. At the second stage, one Local Government Area (LGA) was selected from each of the three senatorial districts using simple random sampling technique, totaling three local governments. The selection of these local governments is premised on their geographical proximity to one another. In the third stage, at the state level, the study was conducted in selected ministries such as Finance, Works, and Local Government; and other governmental departments like Budget Office, Office of Auditor-General for Local Governments, Local Government Service Commission, and Office of Public Account Committee in the House of Assembly. At the Local Government level, the study was conducted in Finance, Administration and Works Departments. The ministries, offices and departments selected at the state and local government levels are critical to service delivery and financial administration. In the last stage, stratified random sampling techniques were used to select staff on grade levels 09-11, 12-14 and 15-17 in state ministries and offices as well as in the selected departments of the local governments. Data on variables such as State/Local fiscal relations and the attendant service delivery were sourced through questionnaire administration.

### V. CONCEPTUAL CLARIFICATIONS

#### a) Federalism

Wheare (1963) as quoted by Adeniji (2013) opined that in a federated state, each level of government should have sufficient resources to prosecute its statutory functions without necessarily resorting to meeting the other tiers of government for assistance. The views were further expatiated thus:

*If state authorities, for example, find that the services allotted them are too expensive for them to perform, and (hence) they call upon the federal authority for grants and subsidiaries to assist them, they are no longer co-ordinate with the federal government but subordinate to it. It follows, therefore, that both state*

*and federal authorities in a federation must be given the power in the constitution, each to have access to and control its own sufficient financial resources. Each must have a power to tax and borrow for the financing of its own services by itself (Wheare, 1963).*

Wheare (1963), who is regarded as the father of federalism sees it as the method of dividing powers so that general and regional governments are each within a sphere, co-ordinate and independent. He argued further that is a system of government in which the governmental functions and powers of the state are shared between the federal government and the constituent units — they are co-ordinate in powers.

In summary, Wheare submitted that there are four basic attributes of federalism:

- Clear-cut division of governmental powers and responsibilities between levels of government;
- Existence of a written Constitution spell-out clearly the division and from which both the central and other levels of government derive their powers and authorities;
- Independent judiciary to arbitrate in cases arising from (a); and
- A fiscal arrangement which embraces non-subordination and independence of either level of government among the federating units.

Smith defined federalism by placing emphasis on division of power, limitation of such powers, diversity and decentralisation of administration. In actual fact, these features are pillars of true federalism. Morrison (1979) viewed federalism as a political system in which there are constitutionally and practically independent levels of government which taken together constitute a national political system and constitutionally, entrenched system with at least two tiers of government, each of which has elements of true autonomy from the other. The governments at each level are primarily accountable to their respective electorates.

In the views of Jinadu (1979), federalism was conceived as a form of government that was purposely designed to cope with the twin, but difficult task of maintaining unity while at the same time preserving diversity. According to Akinyemi (1979), federalism is characterised by co-operation, negotiation and conflicts among the diverse peoples in the federation. It recognises the existence of multiple units of government having concurrent jurisdiction, co-ordinate and independent of one another— each tier of government has the final say on matters within its own sphere of authority. In a simple form, federalism implies a political system in which sovereignty is statutorily shared between and among the central government and the constituent units.

Elazar (1981) stated that federalism is a generic term for what may be referred to as self-rule or shared-rule relationships. It is a system of government in which

there is division of powers between the federal government and the other level(s) of governments. Here, the federal government co-exists with other levels of government and each holds a degree of independence. It is a shared-rule because the entire administration is not concentrated in the hands of only one government but shared by all the federating units. In addition, it is a self-rule because its administration is at the pace any particular government desires and implements its independent programmes without interference.

According to Inman (2007), the word 'federal' has come to represent any form of government that brings together, in an alliance, constituent governments each of which recognizes the legitimacy of an overarching central government to make decisions on some matters once exclusively the responsibility of individual member states. As a multi-level governance structure, federalism, through its decentralisation attribute, creates opportunities for 'separate self-sustaining centres of power, prestige and profit' with a high likelihood of translating into sustainable development. Essentially, the third tier of government in particular is expected to bring the needed development to the grassroots in the country.

#### b) *Intergovernmental Relations (IGR's)*

The concept of intergovernmental relations has its origin in the United States of America (USA) in the 1930s during the New Deal Era in which the central government disagreed with Wheare's rigid dual federalism as unworkable in meeting the welfare needs of the citizenry. According to Wright (1980), the New Deal spawned a large part of what is today known as intergovernmental relations. The New Deal foundation hinged on the Security Act of 1935 which promoted IGR activities. An Advisory Commission on Intergovernmental Relations (ACIR) was formed in 1959 in the United States for the purpose of monitoring the operations of the American federal system.

It is significant to note that the pattern of IGR does not necessarily convey impression of cooperation, acceptance, smoothness and cordiality of relationship among different units of government but may as well be hostile, confrontational, bitter and uncooperative (Olugbemi, 1980 as cited in Shiyabade, 2016). Supporting this view, Omoleke (2000) argued that IGR encompasses not only cooperation among the constituent units of government but also recognises conflict, rivalry and competition. By this assertion, it follows, therefore, that the seeming conflict arising from administrative and fiscal matters in the relationship is not unexpected.

Intergovernmental relations is a complex network of transactions among the constituent governments of a federation and interacting units are partners in a common venture even though they are not equals. The relations are voluntary and of mutual benefit

to the parties involved but such relationships are marked more by cooperation than by conflict more so that the memorandum of understanding are jointly designed and agreed upon.

Similarly, Adamolekun (1981 & 2002 as cited in Shiyabade, 2016), also refers to IGR as a term commonly used to describe the interactions between the different levels of government within the state. He clarified further that such interactions among tiers of government should operate within the principle that the parties are coordinate and none is subordinate to the other in the course of the operation of the relationship. In addition, the parties involved should have independent control of its financial resources to perform its exclusive functions. Notwithstanding pockets of conflicts (administrative and fiscal) that characterise the relationship, IGRs create avenues for the different levels of government to cross-fertilise ideas and policies. The interdependence exposes the governmental units to effect amendments of certain decisions in the overall interest of the governed.

Okoli, *et al.* (2004) share the above views when he referred to intergovernmental relations as the activity of the different layers of government which cuts across each other's domain of specified authorities and which (they) interact cooperatively and conflictually to achieve parochial and collective objectives of the division and the general government. In addition, Aremu (1980) also submitted that without prejudice to the legal division of powers, it is not conterminous with operating responsibilities as the levels of government interpenetrate one another in many places and ways (Omoleke, 2000).

However, it is amazing that there has never existed any established or celebrated state-local or national-local clash as regularly witnessed in national-state relation. This is not to assume that frictions do not exist among these tiers of government but essentially, the third tier of government seems to be incapacitated to challenge the authorities of the other upper levels of government that have been conventionally and constitutionally arranged above local governments in Nigeria.

It is the consensus of opinion that if Nigeria is to strike a healthy developmental balance at the local government level, the relationship between the states and local governments should be re-defined such that full autonomy is granted. The continuous erosion of the rights of local governments on the collection of certain revenues is another area of friction in intergovernmental relations in Nigeria. There have been complaints by some local governments requesting the federal government to allow the former to collect certain revenue in line with the principle of true federalism. It is this severe erosion of the fiscal autonomy of local governments combined with other institutional and structural problems that have continued to render local

governments functionally impotent in the areas of revenue generation and effective service delivery (Schlachter, *et al.* 2013 as cited in Shiyabade, 2016).

c) *Intergovernmental Fiscal Relations in Nigeria (IGFR's)*

Scholars and practitioners had at different times expressed their views about the concepts of intergovernmental fiscal relations. Finance is regarded as the most vital policy issue in IGR (Olowu, 2002 as cited in Shiyabade, 2016). Realising its importance, Awa (1976) similarly expressed the view that transfer of funds is crucial to the achievement of the social purposes of the nation at different levels of government. Financial relationships also exist between the states and local governments in term of the annual budgets of local government which requires the approval of the state government and state house of assembly before it can be executed. In fact, the state government sets out guidelines for the preparation of such annual budgets in which the expenditures above certain limits requires approval (Ayoade, 1978 and 2005 as cited in Shiyabade, 2016). Moreover, local government autonomy is not absolute. The third tier of government retains functional and fiscal relations with the higher tiers of government. The state government relates with local governments as follows:

- i. Allocate 10% of its internally generated revenue to the local governments within the state;
- ii. Enact through the State House of Assembly (SHOA), a law providing for the structure composition, revenue, expenditure and other matters, such as staffing, meetings and other relevant matters provided such laws are not in conflict with the constitution or any existing federal legislation;
- iii. Establish a joint planning board, through a law enacted by the State House of Assembly to require each local government within the state to participate in the economic planning and development of the local government area;
- iv. Establish the office of the state's Auditor General for Local Governments for enhanced public probity and accountability at the local government level through the regular auditing of the accounts of all the local governments within the state; and
- v. Offer advice, assistance and guidance (but not control), as and when necessary, to local governments in the state.

Recalling the constitutional status of local governments vis-à-vis the power of the State House of Assembly (SHA), poor allocation commonly experienced by the urban local governments (Zero Allocation) is expected to be compensated by the State in the form of 'equalization' transfers to the affected local governments with a view to raising their fiscal capacities and per capita expenditures (Ayoade, 1978 and 2005 as cited in Shiyabade, 2016).

Local governments, being a creation of the state government, exercise only such powers permitted by the state government. Following the introduction of a Republican Constitution in 1963, the Bins' Revenue Commission was appointed in 1964 to review intergovernmental fiscal relations. However, in 1988, the National Revenue Mobilisation, Allocation and Fiscal Commission (NRMAFC) was inaugurated under the chairmanship of General Theophilus Yakubu Danjuma (Rtd) not only to among others, monitor activities involved in the state-local fiscal relations but ensure adherence to the guidelines on revenue sharing formula. As part of the powers and functions of the NRMAFC, it is saddled among others with the following functions:

- i. Monitoring the accruals and disbursement of revenue from the federation account, the state joint local government accounts, the various special purposes accounts and such accounts that may from time to time be established or designated by the Commission with the approval of the federal government; and
- ii. Ensuring full compliance with established revenue sharing arrangements as well as full public accountability for all funds so allocated to various governments and/or agencies involved in the disposition of the federation account.

The political arrangement in Nigeria recognises local government as a separate tier of government both during the pre and post-independent Nigeria. However, up till date, local governments lack the essential enabling authority to exercise discretionary powers over its fiscal resources. Meyer as quoted by Hume and Martins (1961) stated that of course, the backbone of local government is financial autonomy. As soon as local governments have to live on income derived primarily from the federal government, the future of local governments will be bleak. It is assumed here, that without financial independence at the local government level, the machineries of government at the grassroots will continue to be weakened. In this wise, financial autonomy entails tax jurisdiction, authority to disburse revenues without undue control from any tier of government.

d) *State Joint Local Governments Account*

The Nigeria economy is currently and largely driven by the public sector. As a result, the pace of economic and social development at both the urban and rural areas is dictated by the government. The state and local government councils in their jurisdictions are expected to be a vehicle for rural development and transformation since they are closer to the grassroots than the federal government. Based on this reason, the 1999 Constitution of the Federal Republic of Nigeria made provision for the operation of state joint local governments account system. Section 7(1) states that:

The system of Local Government by democratically elected Local Government Councils is under this Constitution guaranteed; and accordingly, the Government of every State shall, subject to section 8 of this Constitution, ensure their existence under a Law which provides for the establishment, structure, composition, and finance of such councils". Section 7(6a) the National Assembly shall make provisions for statutory allocation of public revenue to local government councils in the Federation; and Section 7(6b) the House of Assembly of a State shall make provisions for statutory allocation of public revenue to local government councils within the State.

Furthermore, Section 162(6) establish a special account called "State Joint Local Governments Account System" into which shall be paid all allocations to the local government councils of the State from the Federation Account and from the Government of the State. Section 162(7) stipulates clearly that "Each State shall pay to local government councils in its area of jurisdiction such proportion of its total revenue in such terms and in such manner as may be prescribed by the National Assembly". Section 162(8) states that "the amount standing to the credit of local government councils of a State shall be distributed among the local government councils of that State in such terms and in such manner as may be prescribed by the House of Assembly of the State."

The essence of the above constitutional provisions is perhaps to make the local government council a tool for rural development in Nigeria, since it is very close to the people at the grassroots. The state governments are supposed to be supervising the activities of the local government councils in their various areas of jurisdictions, to ensure probity and accountability in the management of local government revenue for effective rural development and transformation. This poses a great challenge to sustainable development of the rural areas in Nigeria (Ajayi, 2000).

The operation of State joint local government accounts System as provided by the 1999 Constitution leaves much to be desired, as state governments in Nigeria have seen this as an opportunity for diverting the local government statutory allocations from the federation account into their own uses carefully hidden under special deductions. Instead of acting as a check to the efficient management of the funds accruing to the local government councils from the federation account, the states are rather deducting local government funds recklessly through the Joint Allocation Account Committee (JAAC) system.

According to the Nigerian Union of Local Government Employees (NULGE) in their Memorandum to the National Assembly Constitutional Review Committee (2012) as quoted by Adeniji (2013), it was

argued that the major challenges and problems to rural development in Nigeria is the ambiguity of the constitution, federal system of governance and leadership style. However, Section 7 of the 1999 Constitution is full of contradictions. It is under this ambiguity that state governments hide to manipulate the local government councils by aborting democratic government through the suspension of elections and imposing caretaker administration, thereby usurping the statutory functions of the local government council, as well as plundering and tampering with the statutory allocation due the local government from the federation account to the extent that only 20–25 per cent of statutory Allocation gets to the local government councils, due to illegal and sundry deductions by state governments (NULGE, 2012).

According to Section 162(6–8) of the 1999 Constitution of Nigeria, it provides that State Joint Local Governments Account (SJLGA) is a special account maintained by each state government "into which shall be paid allocations to the local government councils of the state from the federation account and from the government of the state." The account is meant to be a mechanism that can implement the notion of 'fiscal federalism' at the local government level in Nigeria. This section of the Constitution also provides for how public revenue shall be collected and distributed among the three tiers of government in the country.

## VI. THEORETICAL REVIEW

The theoretical framework adopted for this study is cooperative federalism. Franklin D. Roosevelt was the proponent of Cooperative Federalism Theory in the early part of 1930s and acknowledges a need for cooperation between all levels of governments. The framework is particularly suitable as it explains how a particular level of government tends to exert its influence on other levels of government in order to achieve its aims, objectives and programmes which later resulted to crisis among levels of governments under the federal system of government (The concept of federalism in which federal, state and local governments interact cooperatively and collectively to solve common problems, to improve on standard of living for common people and to provide public goods, rather than making policies separately but more or less equally or clashing over a policy in a system dominated by the federal government). Cooperative federalism theory rejects that federal, state and local government must exist in separate spheres and is defined by four elements:

- a) Determine how the different levels of government could and should cooperate.
- b) Federal and state agencies typically undertake government functions jointly rather than exclusively.
- c) The federal and states routinely share power.

d) Power is not concentrated at any government level or in any agency of government. The fragmentation of responsibilities gives people and groups access to many venues of influence.

One of the primary features of a federal system of government is the allocation or assignment of functions between the component units (levels or tiers) of government. This also forms the basis for the determination of revenue rights and the delimitation of tax powers, which constitute the genesis of intergovernmental fiscal relations. Most constitutional arrangements in federal systems adopt the classification of residual legislative list, as it in the case in Nigeria. The basis of this classification can be historical, political or economic, among other considerations (Naidu, 2006). The central focus of this paper is on the state joint local government accounts arrangement and challenges of service delivery in Southwestern Nigeria. It is on the basis of this fact that the study is hinged on Cooperative Federalism Theory.

a) *Relevance and Application of Cooperative Federalism Theory*

This theory contributes to the analysis and understanding the operations of state joint local government accounts by providing a system-based explanation on the operations, principles and arrangements cum intergovernmental relations among the tiers of government under federalism system of government. By implication, a proper (or otherwise) point should be made that intergovernmental relations is by no means the exclusive preserve of federal systems although some scholars have used the term in a manner suggesting or definitely implying that. Some forms of intergovernmental relations exist in a unitary system. However, given the nature of a federal arrangement (its relative amenability to intergovernmental conflicts), and intergovernmental relation seems more topical under a federal arrangement (Nwabueze, 2004). Terms such as cooperative federalisms and interdependent federalism are sometimes used to describe this network of relationships in a federal system.

The ascendancy of intergovernmental relations in federal systems has tended to render anachronistic the classical notion of dual federalism in which levels of government exist and operate in an autarkic manner. Watt (1970) advocated absolute autonomy of the component parts but contemporary scholars and practitioners alike have found cooperation among levels of government indispensable if the smooth running of a federal system is to be guaranteed.

Intergovernmental relation deals with all the ramifications of relations between and among units and sub-units in any system of government. These are legal/institutional framework which is regulated easily, most visible and sets limits to interaction; the interpersonal dimension – less visible; and the political

environment which incorporates the societal forces and pressures that influence the behaviour of factors, as well as the political economy, and determine to a large extent, the failure and success of the legal and interpersonal dimension. The point should be made, however, that in a federal system of government, the network of interactions is more complex.

Before we shift our focus to the various patterns of interactions the following question needs to be addressed: what are the forces or factors necessitating cooperation among levels of government? Erero, (1998) have discussed a number of these factors. The compelling ones are:

- i. It is not always possible to divide the jurisdiction of federal and state governments into watertight compartment in which case their functions sometimes overlap;
- ii. The relative constitutional inflexibility in federal systems has prompted the various levels of government to search for flexibility through collaboration;
- iii. The provision of concurrent powers in a federal system makes cooperation necessary;
- iv. In areas where courts have restricted the exercise of either federal or state power, cooperation becomes necessary;
- v. The need for some level of equalisation of the range and quality of public services available to all citizens has prompted some federal governments to provide grants to units which sometimes produce federal–state projects or programmes. This requires cooperation;
- vi. Natural disaster such as drought, flood or other occurrences which are beyond the financial strength of a lower unit government usually compels unit to solicit for federal or state government assistance;
- vii. The action of a state government may adversely affect citizens of other states. In this regard inter–state cooperation would be necessary;
- viii. Joint economic planning is usually undertaken by the federal and state governments. This is necessary to ensure national economic integration; and
- ix. Inter–state and/or cooperation may be required to put, in place, a project which would generate benefits for citizens in more than one states.

All these forces have made intergovernmental relation in a federal system mandatory for the smooth operations of governments. Strong tendency towards rigid constitutionalism would not help resolve the above issues and even when some are eventually resolved, many resources (time and finance) would have been avoidably wasted. Thus, intergovernmental relations provide the mechanism through which intergovernmental conflicts are resolved. Since interactions, among levels of government, just like

individuals, sometimes involve conflict, a network of formal and informal relationships is needed to ensure cooperation and resolution. Tenacity to rigid constitutionalism would often aggravate rather than mitigate such conflicts. Thus, intergovernmental relations through which federalism is made to work and the rigidity of the written constitution are by passed.

## VII. PRINCIPLES GUIDING THE OPERATIONS OF STATE JOINT LOCAL GOVERNMENT ACCOUNTS ARRANGEMENTS IN SOUTHWESTERN NIGERIA

This section considers whether principles guiding the operation of State Joint Local Government Accounts arrangements were adhered to. The first statement tested was that there were established principles (indices) that guided the operations of Joint Account as presented in table 1(a & b). Considering the statement, 32.4% of the respondents strongly agreed, 43.4% of the respondents agreed, 3.4% of the respondents selected undecided while 11.7% said they disagreed and 9.1% of the respondents maintained strongly agreed. With over 75% of the respondents identifying with the claim, it can be arrived that there were enough awareness of established principles guiding the operation of Joint Account by the state and local governments. Therefore, majority of the state governments were expected to follow these principles (indices) in the operation of joint account.

The principle such as *NEEDS* is considered before disbursing revenue to local government from the joint account, this assertion wanted to know whether the principle of *NEEDS* is considered by state government. Responding, 23.4% of the respondents strongly agreed that the principle of *NEEDS* was considered, while 36.1% of the respondents attested that they agreed with the claim. 35.9% of the respondents went for both strongly disagree and disagree and 4.6% of them were undecided. Much needs not to be said that the data shows that the principle of *NEEDS* was considered with 59.5% favouring the statement; therefore, one can conclude that there is compliance with this principle.

In addition, data generated on whether or not the state government has the power to influence the local government projects tends to confirm the statement raised. With 38.6% strongly agreed, 34.5% of the respondents claimed they agreed, meanwhile 15.9% of the respondents said they disagreed with the assertion and 6.9% of the responses claimed they strongly disagreed. This distribution confirms that state governments do interfere in the development of local government projects, therefore hindering service delivery at the local level.

There was strict adherence to allocation principles in appropriating proceeds of joint account in Nigeria was presented as an assertion to the

respondents. Out of the respondents, 23.4% strongly agreed, 34.5% of the entire respondents agreed. Whereas 22.1% claimed to be disagreed, also 9.7% of the respondents maintained strongly disagree as against 10.3% undecided. This by implication means state governments of selected states considered allocation principles as stipulated by the proceeds of joint account but this does not guarantee effective service delivery as it was deduced state governments interfere in the management of local government.

The next assertion was that population is important in the allocation of revenue to local government. Out of which, 45.5% of the respondents strongly agreed, 40.7% of the respondents maintained agreed, 6.2% of the responses were for disagreed, 2.1% of them said they strongly disagreed with the same assertion and the respondents that were undecided were 5.5%. This means majority of the respondents agreed that population is a vital criterion when allocating revenue to local governments.

Equality principle was the most important consideration in allocation of revenue was asked from the respondents as an assertion. Reacting to this claim, 20.7% of the respondents strongly agreed, 42.7% the respondents claimed they agreed with the statement while 21.4% and 0.7% of the answers disagreed and strongly disagreed respectively, and 14.5% were undecided. With this array of data, equality principle is apparently the most important consideration in allocation of revenue among local governments. This is as a result of the fact that 63.4% of the respondents were for both strongly agreed and agreed, but despite the fact that equality principle was adopted as criteria for allocation of revenue, the state government still interferes in the administration of local government as was confirmed in the analysis above.

This study also confirmed that school enrolment was as important as other principles of revenue allocation. This was shown in percentage presented in table 1(a & b), where it was asserted that school enrolment is highly important in the allocation of local government revenue, as 23.5% of the respondents strongly agreed, 46.9% of the responses agreed, 10.3% of the respondents were apparently undecided on the claim postulated. Both strongly disagreed and disagreed are 4.1% and 15.2% respectively.

Internally generated revenue was a key factor in revenue allocation to local government as one of the principles criteria for revenue allocation to local government and it was sourced from the respondents to respond. Responding to this statement, 34.5% said they strongly agreed, 44.8% said they agreed, 6.2% were undecided, 11.7% said they disagreed while 2.8% said they strongly disagreed. This distribution confirms that internally generated revenue is a key factor considered by the state governments in revenue allocation to local governments. This was expected to provoke a drive for

revenue generation by the local governments and in turn will ensure availability of funds for projects in order to ensure effective service delivery at the grassroots which was the backdrop of this study.

It was also asserted that landmass is a determining factor in the allocation to local government. This assertion lead to mixed reactions from the respondents in this manner; 23.5% for strongly agreed, 51% agreed, 7.6% undecided, 10.3% disagreed and 7.6% strongly disagreed in that order. By implication, landmass was considered as a factor in allocating revenue to local government. Therefore, local governments with huge landmass are expected to get more revenue so that delivery of effective service can be evenly distributed across such local governments.

The state is duty bound to remit into local government account a specified percentage of the state

internally generated revenue and this was presented as disposition on the subject matter of this study to the respondents. The responses of the respondents show that 35.2% of the respondents maintained strongly agreed that states are duty bound to remit into local governments accounts a specified percentage of the state's IGR, 42.1% said they agreed with the assertion, 6.2% of the respondents were undecided on the claim while both 11.7% and 4.8% of the respondents said disagreed and strongly disagreed respectively. This means states are expected to remit the legally specified percentage of their IGR to local governments. This will provide additional revenue to the local governments, thereby enhancing service delivery at the local level.

*Table 1(a): Principles guiding the operations of State joint local government accounts arrangements in Southwestern Nigeria*

Assertions	Responses	Frequency	Percent	Cumulative Percent
1. There are established principles (indices) that guide the operations of Joint Account	Strongly Agree	141	32.4	32.4
	Agree	189	43.4	75.9
	Undecided	15	3.4	79.3
	Disagree	51	11.7	91.0
	Strongly Disagree	39	9.0	100.0
	Total	435	100.0	
2. Principle such as <i>NEEDS</i> is considered before disbursing revenue to local government from the Joint Account	Strongly Agree	102	23.4	23.4
	Agree	157	36.1	59.5
	Undecided	20	4.6	64.1
	Disagree	126	29.0	93.1
	Strongly Disagree	30	6.9	100.0
	Total	435	100.0	
3. The state government has the power to influence the local government projects	Strongly Agree	168	38.6	38.6
	Agree	150	34.5	73.1
	Undecided	18	4.1	77.2
	Disagree	69	15.9	93.1
	Strongly Disagree	30	6.9	100.0
	Total	435	100.0	
4. There is strict adherence to allocation principles in appropriating proceeds of Joint Account in Nigeria	Strongly Agree	102	23.4	23.4
	Agree	150	34.5	57.9
	Undecided	45	10.3	68.3
	Disagree	96	22.1	90.3
	Strongly Disagree	42	9.7	100.0
	Total	435	100.0	
5. Population is important in the allocation of revenue to local government	Strongly Agree	198	45.5	45.5
	Agree	177	40.7	86.2
	Undecided	24	5.5	91.7
	Disagree	27	6.2	97.9
	Strongly Disagree	9	2.1	100.0
	Total	435	100.0	

*Table 1(b):* Principles guiding the operations of State and Local Government Joint Accounts arrangements in Southwestern Nigeria

Assertions	Responses	Frequency	Percent	Cumulative Percent
1. Equality principle is the most important consideration in allocation of revenue	Strongly Agree	90	20.7	20.7
	Agree	186	42.8	63.4
	Undecided	63	14.5	77.9
	Disagree	93	21.4	99.3
	Strongly Disagree	3	.7	100.0
	Total	435	100.0	
2. School enrolment is highly important in the allocation of local government revenue	Strongly Agree	102	23.4	23.4
	Agree	204	46.9	70.3
	Undecided	45	10.3	80.7
	Disagree	66	15.2	95.9
	Strongly Disagree	18	4.1	100.0
	Total	435	100.0	
3. Internally Generated Revenue is a key factor in revenue allocation to local government	Strongly Agree	150	34.5	34.5
	Agree	195	44.8	79.3
	Undecided	27	6.2	85.5
	Disagree	51	11.7	97.2
	Strongly Disagree	12	2.8	100.0
	Total	435	100.0	
4. Landmass is a determining factor in the allocation to local government	Strongly Agree	102	23.4	23.4
	Agree	222	51.0	74.5
	Undecided	33	7.6	82.1
	Disagree	45	10.3	92.4
	Strongly Disagree	33	7.6	100.0
	Total	435	100.0	
5. The state is duty bound to remit into local government account a specified percentage of the state Internally Generated Revenue	Strongly Agree	153	35.2	35.2
	Agree	183	42.1	77.2
	Undecided	27	6.2	83.4
	Disagree	51	11.7	95.2
	Strongly Disagree	21	4.8	100.0
	Total	435	100.0	

The summary of the distribution of the responses to the ten items of the questionnaire in term of principles/indices guiding the operations of state joint local government accounts arrangements in Southwestern Nigeria is displayed in table 2. On the average, 30.1% and 41.7% of the respondents strongly agreed and agreed respectively with the fact that there are some important principles/indices guiding the operations of state and local governments which according to this study are germane to ensuring effective delivery at the grassroots. Against this position, 15.5% and 5.4% averagely accumulated for disagreed and strongly disagreed while undecided maintained 7.3% averagely. With over 71% submitting that principles guiding the operations of state joint local government accounts were needed to be strictly followed in allocating revenue to the local governments in order to ensure effective delivery of service at the grassroots.

*Table 2:* The principles guiding the operations of State joint local government accounts arrangements in Southwestern Nigeria (Summary)

Assertions	Strongly Agree (%)	Agree (%)	Undecided (%)	Disagree (%)	Strongly Disagree (%)	Total (%)
Assertion 1	32.4	43.4	3.4	11.7	9.1	100
Assertion 2	23.4	36.1	4.6	29	6.9	100
Assertion 3	38.6	34.5	4.1	15.9	6.9	100
Assertion 4	23.4	34.5	10.3	22.1	9.7	100
Assertion 5	45.5	40.5	5.5	6.2	2.1	100
Assertion 6	20.7	42.7	14.5	21.4	0.7	100
Assertion 7	23.5	46.9	10.3	15.2	4.1	100
Assertion 8	34.5	44.8	6.2	11.7	2.8	100
Assertion 9	23.5	51	7.6	10.3	7.6	100
Assertion 10	35.2	42.1	6.2	11.7	4.8	100
Average 1	30.1	41.7	7.3	15.5	5.4	100
Average 2	71.8		7.3	20.9		100

Source: Field Survey, 2016.

## VIII. HYPOTHESIS TESTING

Sequel to the foregoing analysis, this study further subjected this claim to chi-square testing so as to measure the operation of state joint local government accounts and the challenges of service delivery, using null hypothesis of this study as the inferential test guide. It tested whether there was a significant effect between state - local government joint account and service delivery at the local level. Table 3 shows the chi-square values used to test the hypothesis.

Using chi-square test to test the hypothetical statement the following parameters are provided:

Chi-square ( $\chi^2$ )<sub>Cal</sub> is given as: 
$$\frac{\sum [o_i - e_i]^2}{e_i}$$

Where  $o_i$  is the observed frequency and  $e_i$  is the expected frequency

*Decision rule:*

If  $\chi^2_{Cal} < \chi^2_{Tab}$  reject  $H_{1_1}$  and accept  $H_{0_1}$  and

If  $\chi^2_{Cal} > \chi^2_{Tab}$  reject  $H_{0_1}$  and accept  $H_{1_1}$

Degree of free = 3-1=2

$\chi^2_{Tab}$  @ 5% level of significant = 5.99

$\chi^2_{calculated} = 88.42$

Since  $\chi^2_{calculated} > \chi^2_{tabulated}$ , we reject  $H_{0_1}$  and accept its alternative hypothesis.

Therefore, we infer that state joint local government accounts has significant impact on transparency and accountability in governance Southwestern Nigeria ( $\chi^2 = 88.42$ ,  $p < 0.05$ ).

The null hypothesis and alternative hypothesis are stated as:

$H_0$ : State joint local government accounts has no significant impact on transparency and accountability in governance Southwestern Nigeria.

$H_1$ : State joint local government accounts has significant impact on transparency and accountability in governance Southwestern Nigeria.

Table 3: Chi-Square ( $\chi^2$ ) Table

Items	Chi-square $\chi^2$	df	p-value	Chi-square Table Value $\chi^2_{\text{tab}}$ at 5%
H <sub>0</sub> - State joint local government accounts has no significant impact on transparency and accountability in governance Southwestern Nigeria	88.42	2	0.000	5.99
H <sub>1</sub> - State joint local government accounts has significant impact on transparency and accountability in governance Southwestern Nigeria				

Source: Field Survey, 2016.

## IX. CONCLUSION

The study concluded that state joint local government accounts has significant impact on transparency and accountability in governance Southwestern Nigeria, specifically in the enhancement of rural infrastructures like the construction and maintenance of rural roads, markets, schools, health centres, etc to the people at the grassroots in Southwestern Nigeria. The operation of joint account has come a long way since 1963, 1979 and 1999 Constitution of FRN which has been used as a mechanism to supervise, inspect, audit, checks and balances to ensure probity, transparency and accountability in the local government financial activities. In addition, this study found out that the operation of State joint local government accounts has not helped the financial crisis in the Nigerian local governments in order to perform their statutory functions by enhancing sustainable rural development through the provision of essential services to improve the standard of living of the rural populace, but the realisation of these benefits at each local government would transform to national development.

## X. RECOMMENDATIONS

In respect of the findings from the study, state joint local government account system has not lived up to expectation. From the way it has operated, it has failed to achieve its objectives. It has been over manipulated, over-deducted and over diverted to the favour of state governments and to the detriment of local government councils. This paper therefore puts forward the following recommendations on the principles guiding the operations of State Joint Local Governments Account arrangements and tackles its aforementioned challenges.

- i. There is urgent need to ensure independence of local government, via constitutional amendment. The sub-sections on SJLGA should be replaced with (a) direct allocations to local government

- ii. It is suggested that the fundamental principles guiding the operations of State Joint Local Governments Account arrangements should be more considered in the distribution of revenue to local governments in Nigeria so as to enhance rural development and good governance that will deliver the dividends of democracy to the grassroots people, thereby enhancing rural development.
- iii. Finally, it becomes important that the doctrine of state joint local government accounts should be abolished through constitutional amendment in order to annihilate all the sharp practices perpetuated by state governments through the joint account. The provision of section 162(6-7) of the 1999 Constitution which created the Joint Account Allocation Committee (JAAC) system operated by the state and local governments in Nigeria should be amended to grant financial autonomy to the local government and to be more responsive to rural developments.

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# Skill Development and Motivational Enhancement to Change Drinking Behavior in Sabah Borneo

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**Abstract-** Alcohol is the third highest risk factor for disease prevalence in the world and threatens the quality of life of people and societies. Consumption of alcohol is a challenge in a few of the native communities of Sabah and Sarawak with the highest prevalence of risky drinking in Malaysia. This study aimed to compare drinking refusal self-efficacy (DRSE) and quality of life (QOL) between the experimental group and the control group before and after the Motivational Enhancement Intervention (MEI); and to compare DRSE and QOL of the experimental group before and after the MEI. A quasi-experimental design was used to assess the effectiveness of MEI at baseline and three months follow-up by using pretest and posttest design. A total of 56 villagers in the West Coast Division of Sabah participated in this study. Purposive sampling by using Alcohol Use Identification Test (AUDIT) was applied to select hazardous and harmful drinkers between age 18 to 56 years old.

**Keywords and phrases:** *drinking refusal self-efficacy; alcohol consumption; quality of life; motivational enhancement; indigenous communities.*

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# Skill Development and Motivational Enhancement to Change Drinking Behavior in Sabah Borneo

Asong Joseph <sup>α</sup> & Nanthakumar Tamilselvam <sup>ο</sup>

**Abstract-** Alcohol is the third highest risk factor for disease prevalence in the world and threatens the quality of life of people and societies. Consumption of alcohol is a challenge in a few of the native communities of Sabah and Sarawak with the highest prevalence of risky drinking in Malaysia. This study aimed to compare drinking refusal self-efficacy (DRSE) and quality of life (QOL) between the experimental group and the control group before and after the Motivational Enhancement Intervention (MEI); and to compare DRSE and QOL of the experimental group before and after the MEI. A quasi-experimental design was used to assess the effectiveness of MEI at baseline and three months follow-up by using pretest and posttest design. A total of 56 villagers in the West Coast Division of Sabah participated in this study. Purposive sampling by using Alcohol Use Identification Test (AUDIT) was applied to select hazardous and harmful drinkers between age 18 to 56 years old. Data was analyzed by using IBM SPSS version 26.0. The result found a significant difference in DRSE and QOL in the intervention group before and after MEI. A significant difference in these measures was also found between the intervention and control groups after MEI. The study results are significant to provide direction for the next action plan for intervention purposes aimed to increase the ability to resist drinking alcohol in various situations and to improve the QOL among the indigenous communities of Sabah.

**Keywords and phrases:** drinking refusal self-efficacy; alcohol consumption; quality of life; motivational enhancement; indigenous communities.

## I. INTRODUCTION

Alcohol is the third highest risk factor for disease burden globally (WHO, 2018). Alcohol is one of the most popular psychoactive substances in the world (Morgan et al., 2013). The harmful use of alcohol ranks among the top five risk factors for disease, disability, and death throughout the world (WHO, 2018). Alcohol has been linked to more than 200 diseases and injury conditions (WHO, 2014; Rehm et al., 2012). Alcohol has effects on every organ in the body but these effects depend on the individual's Blood Alcohol Concentration (BAC) over time (Zakhari, 2006). The BAC level and the individual's reaction to the BAC is

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influenced by their gender, age, weight, metabolism, frequency of drinking, the duration of drinking, amount of alcohol and the amount of food in the stomach prior to drinking (WHO, 2015).

According to the World Health Organization (WHO, 2011) and National Institute on Alcohol Abuse and Alcoholism (2018), there were more than 2 billion people worldwide consuming alcoholic beverages and 76.3 million had an alcohol use disorder. Malaysia is reported to be the tenth largest consumer of alcohol in the world (Arshad et al., 2015; WHO, 2011). Each year, Malaysian adults spend a total of USD 500 million on alcohol (WHO, 2011). Mutalip et al. (2014) reported that one in two current drinkers in Malaysia engaged in harmful drinking patterns. The highest prevalence of alcohol consumption in Malaysia is found among 18 to 39-year-olds which found 49.5% of all the risky drinkers. Sabah is reported as having a higher prevalence of high-risk drinkers with 18.4%, after Kuala Lumpur (20.3%) and Sarawak (19.7%). Some groups of the indigenous communities in Sabah (such as Kadazandusun, Murut, Sungai, and Rungus) consider alcohol to be part of everyday life and a way to maintain their culture (Joseph et al., 2020; Lasimbang et al., 2015; Jamali et al., 2009). Various forms of traditional liquor are easily available and can be bought at a house whose owner had been producing them in small quantities, at the village sundry shops and at restaurants or eating stalls (Jamali et al., 2009).

Drinking alcohol is known to have some benefits such as helping to celebrate and socialize, and enhancing the joyfulness of ceremonies (Fortin, et al., 2015; Hoops, 2011; Jamali et al., 2009). It is also used as part of social, business, and family life, an enjoyable and habitual accompaniment to food and celebrations. In Sabah, alcohol is considered to be a part of traditional culture, especially for some indigenous groups (Shoesmith et al., 2016; Lasimbang et al., 2015). Some indigenous communities in Sabah, such as Kadazandusun, Murut, Sungai, and Rungus (Jamali et al., 2009), consider alcohol to be part of everyday life and is one key factor in maintaining the culture and traditions (Jamali et al., 2009). Drinking alcohol to the point of intoxication has never been part of any tradition among these indigenous groups (Asmat, 2018). This abuse of alcohol can destroy the aim of the indigenous

group cultures and traditions, where it was used to welcome people as well as enjoying ceremonies.

The government of Malaysia has acknowledged the harmful effects of alcohol on the community and has introduced various strategies to address these problems. However, it needs the voluntary people to go to the rehab center or hospital for further treatment, while people will only go to the hospital or rehab center when they are sick. According to Di Clemente et al. (1999), motivation is a key factor in alcohol use disorder treatment by influencing clients to seek, comply and complete treatment for long-term successful reduction or cessation in their drinking. Motivational interviewing (MI) (Miller et al., 2012) is a person-centered counseling style aimed at helping clients to explore and resolve ambivalence for change. This method works on facilitating and engaging motivation within the client in order to change behavior. This approach is an evidence-based communication style that highlights the importance of motivation, ambivalence, and resistance for behavior change.

The Motivational Enhancement Intervention (MEI) by Joseph et al. (2019) aimed to reduce the negative impact of drinking behavior for individuals and communities. The MEI is designed to enhance participants' motivation to change their drinking behavior. It uses multimethod approaches including focus group discussion and peer support groups to increase participants' motivation to change their drinking behavior. The module provides guidelines, suggested activities, planning templates and information regarding alcohol related benefits and harm.

The MEI method combines Motivational Interviewing (MI) (Miller, 2012) with the brevity of less intensive intervention. The intervention comprises 4 sessions over 12 weeks, each running for between 60 to 90 minutes. In the first session, the facilitator works on identifying and naming ambivalence using the Diamond Dialogue tool, building motivation for change and constructing a decisional balance for a change. During session 2, the facilitator concentrates on developing a change plan with the participant. This involves setting behavioral goals and strengthening the participants' commitment to change by using MI approaches that are appropriate for the participants' stage in the change process. It also entails helping the participants develop a specific plan for change (e.g., what he or she will do, how he or she will do it, and who can help).

During sessions 3 and 4, the facilitator focuses on reviewing participants' progress and renewing motivation and commitment. This involves discussing and overcoming challenges and solving ambiguities as well as exploring the level of self-strength that the participant has about changing their desired behavior. Termination of the treatment and future plans are also discussed at the end of session 4, which incorporates a summary of the treatment progress. The facilitator

reviews motivational themes, summarizes the participants' stage of change, elicits self-motivational statements for maintaining change, and explores future areas of change and resources for help.

## II. OBJECTIVES

1. Comparing the drinking refusal self-efficacy of the experimental group before and after the Motivational Enhancement Intervention implementation.
2. Comparing the drinking refusal self-efficacy between the experimental group and the control group before and after the experiment.
3. Comparing the quality of life between the experimental group and the control group before and after the experiment.
4. Comparing the quality of life of the experimental group before and after the Motivational Enhancement Intervention implementation.

## III. HYPOTHESIS

*H1a:* There is no significant difference in drinking refusal self-efficacy between the experimental group and the control group before the experiment.

*H1b:* There is a significant difference in drinking refusal self-efficacy between the experimental group and the control group after the experiment.

*H2:* There is a significant difference in drinking refusal self-efficacy of the experimental group before and after the Motivational Enhancement Intervention implementation.

*H3 a:* There is no significant difference in the quality of life between the experimental group and the control group before the experiment.

*H3 b:* There is a significant difference in the quality of life between the experimental group and the control group after the experiment.

*H4:* There is a significant difference in the quality of life of the experimental group before and after the Motivational Enhancement Intervention implementation.

## IV. METHOD

### a) *Participants and Location*

Purposive sampling was used to select hazardous and harmful drinkers from the Sabah indigenous communities. According to Babor et al. (2001), hazardous and harmful drinkers are recommended for brief education and short intervention to reduce alcohol-related harm. Understanding the impacts of drinking style on alcohol-related harm will indeed help to promote effective approaches for further study. Assessment through Alcohol Use Identification Test (AUDIT) was performed to identify participants who scored between 8 to 15 (hazardous drinker) and 16 to 19 (harmful drinker) based on AUDIT. Data has been collected during a community meeting, 'Leaders United

Event of indigenous people of Sabah' at Partnership of Community Organization (PACOS-Trust)) located in Penampang, Sabah. PACOS-Trust is a community-based organization dedicated to the support of indigenous communities in Sabah. A sample of 171 respondents from the Sabah indigenous communities represented by the Sabah West Coast Division were screened and only 56 villagers who were at the level of hazardous and harmful drinkers were eligible and had agreed to participate in the assessment.

#### b) *Materials and Procedures*

There were three measurements used in this study. First, Alcohol Use Identification Test (AUDIT) by Saunders et al. (1993) was used to identify the drinking pattern of participants. The AUDIT consists of a 10-items self-report tool that measures the amount and frequency of alcohol consumption (item 1 to 3), alcohol dependence (item 4 to 6), and alcohol problems related to alcohol consumption (item 7 to 10). Scores range from 0 to 40, and the generally accepted cut-off point of the scale to identify potentially hazardous alcohol intake is 8. For the purpose of this study, those who scored between 8 to 19 on AUDIT were eligible to participate in this study. Second, Drinking refusal self-efficacy questionnaire-revised (DRSEQ-R) was modified by Oei et al. (2005) to measure the participant's ability to resist drinking alcohol in various situations. It consists of a 19-item self-report questionnaire that uses a 6-point scale response with the following choices from 1 (I am very sure I would drink) to 6 (I am very sure I would NOT drink) with a higher score reflecting their DRSE. The measure incorporates three subscales reflecting drinking refusal self-efficacy relating to social pressure (item 1 to 5), emotional relief (item 6 to 12) and opportunity to drink (item 13 to 19). This DRSEQ-R new factor structure with confirmatory factor analysis found the DRSEQ-R Alpha reliability to range from .87 to .94, and test retest reliability range from .84 to .93 (Oei et al., 2005). An example item for DRSEQ-R is "When I am out for dinner ...".

Third, Personnel wellbeing index - Adult (PWI-A) which was developed by the International Wellbeing Group of Australia (Cummins et al., 2013) to measure an individual's quality of life in accordance with his or her wellbeing. The PWI-A contains 8-items of well-being assessed by the PWI-A which are: standard of living; personal health; achieving in life; personal relationships; personal safety; community-connectedness; future security; spirituality and religion. This widely used 8-question survey has an 11-point response set. The possible responses are anchored on each end with the responses completely dissatisfied at the zero points and completely satisfied at the 10-point end of the scale. The Cronbach alpha for the PWI-A, in Australia and overseas, is stated to be between 0.70 and 0.85 (Cummins et al., 2013).

This study started with screening by using AUDIT to select participants which have scored between 8 to 19 on AUDIT or were known as hazardous and harmful drinkers. Those who were eligible and agreed to participate were then asked to complete the consent form and answer a set of questionnaires. A set of the questionnaire consists of demographic questions, DRSEQ-R and PWI-A was given for the pretest propose. Participants then went through the Motivational Enhancement Intervention (MEI) which aimed to increase their DRSE and to improve their QOL. Posttest data were collected at baseline and three months follow-up. The internal consistency of the DRSEQ-R as measured using Cronbach's alpha was .862 while PWI-A was .931.

#### c) *Data Analysis*

Data was analyzed by using IBMSPSS.26.0 according to the objectives of this study. Statistic descriptive was used to measure the demographics of participants. The participants were characterized by using basic frequencies and means, while baseline characteristics of the experimental and control groups were compared using a non-parametric test. Non-parametric statistics such as Mann-Whitney U Test and Wilcoxon Signed-Rank Test were used to test the hypothesis. The Mann-Whitney U test was used to measure the comparison of drinking refusal and quality of life between experimental groups and control groups before and after the experiment. The Wilcoxon Sign Rank Test was used to measure the comparison of drinking refusal self-efficacy and quality of life before and after the intervention of the experimental groups.

## V. RESULT

The results and discussions are reported according to the objectives of this study as follow:

*The differences in drinking refusal self-efficacy and quality of life between the experimental group and the control group before the Motivational Enhancement Intervention Implementation.*

The results of Mann Whitney U test for the pretest in drinking refusal self-efficacy and quality of life of the participants in the experimental and control group is not significant with drinking refusal self-efficacy ( $U = -.295, p > .05$ ) and quality of life ( $U = -.222, p > .05$ ). The mean rank of the pretest drinking refusal self-efficacy score of the experimental group control group was 29.14 and 27.86 respectively. Meanwhile, the mean rank of the pretest quality of life score for the experiment group and control group was 29.98 and 28.02 respectively. The close mean rank of the groups in the pretest indicated that before the implementation of the MEI Module, the experimental and control groups had somewhat equal pretest in drinking refusal self-efficacy and quality of life levels. Therefore, the hypothesis H1a

and H3a were supported. The summary of the results showed in Table 1.

**Table 1:** Results of the Mann Whitney U Test to Compare the Group Pretest Drinking Refusal Self-efficacy and Quality of Life Scores

Scale	Group	N	Mean Rank	U	Sig
Drinking refusal self-efficacy	Experimental	28	29.14	-.295	.768
	Control	28	27.86		
Quality of life	Experimental	28	29.98	-.222	.825
	Control	28	28.02		

*The differences in drinking refusal self-efficacy and quality of life between the experimental group and the control group after the Motivational Enhancement Intervention Implementation.*

The results of Mann Whitney U test for the posttest in drinking refusal self-efficacy and quality of life of the participants in the experimental and control group showed a significant difference drinking refusal self-efficacy ( $U = -3.829$ ,  $p > .05$ ) and quality of life ( $U = -2.208$ ,  $p > .05$ ). The mean rank of the posttest drinking refusal self-efficacy score of the experiment group was 20.16, while the participants in the control group had a posttest drinking refusal self-efficacy score mean rank of 36.84. The mean rank of the posttest quality of life score of the experiment group was 33.30,

while the participants in the control group had a posttest quality of life score mean rank of 23.70. The close mean rank of the groups in the posttest indicated that before the implementation of the MEI Module, the experimental and control groups had no equal posttest in drinking refusal self-efficacy and quality of life levels. Therefore, hypothesis H1b (there is a significant difference in drinking refusal self-efficacy between the experimental group and the control group after the experiment) and H3b (there is a significant difference in the quality of life between the experimental group and the control group after the experiment) were supported. The summary of the results showed in Table 2.

**Table 2:** Results of the Mann Whitney U Test to Compare the Group Posttest Drinking Refusal Self-efficacy and Quality of Life Scores

Scale	Group	N	Mean Rank	U	Sig
Drinking refusal self-efficacy	Experimental	28	20.16	-3.829	.000
	Control	28	36.84		
Quality of life	Experimental	28	33.30	-2.208	.027
	Control	28	23.70		

*The differences in drinking refusal self-efficacy and quality of life of the experimental group before and after Motivational Enhancement Intervention implementation.*

Wilcoxon Signed-Rank Test was used to test the difference in drinking refusal self-efficacy and quality of life of the experimental group before and after the Motivational Enhancement Intervention (MEI) module. The result of the Wilcoxon Signed-Rank Test for the pretest and posttest in drinking refusal self-efficacy and quality of life of the participants in the experimental group showed significant differences in drinking refusal self-efficacy ( $Z = -3.846$ ,  $p < .05$ ) and quality of life ( $Z = -2.369$ ,  $p < .05$ ). The results explained that the MEI

Module has successfully increased drinking refusal self-efficacy and quality of life of participants. Therefore, the hypothesis H2 (there is a significant difference in drinking refusal self-efficacy of the experimental group before and after the Motivational Enhancement Intervention implementation) and H4 (there is a significant difference in the quality of life of the experimental group before and after the Motivational Enhancement Intervention implementation) were supported. The summary of the results showed in Table 3.

**Table 3:** Result of the Wilcoxon Signed-Rank Test to compare Pretest and Posttest of the Experimental Group in Drinking Refusal Self-efficacy and Quality of Life

Scale	Treatment	N	Median	Z	Sig	Hypothesis
Drinking refusal self-efficacy	Before	28	43.00	-3.846	.000	Supported
	After	28	34.00			
Quality of life	Before	28	59.00	-2.369	.018	Supported
	After	28	62.00			

## VI. DISCUSSION

The aim of this study is to examine the effectiveness of the Motivational Enhancement Intervention (MEI) Module towards the intervention group. Specifically, this study addressed increasing drinking refusal self-efficacy and quality of life of indigenous communities of Sabah. Discussion is presented according to the research objectives.

*Objective 1: Comparing the drinking refusal self-efficacy of the experimental group before and after the Motivational Enhancement Intervention implementation.*

*Objective 2: Comparing the drinking refusal self-efficacy between the experimental group and the control group before and after the experiment.*

The result of 12 weeks Motivational Enhancement Intervention (MEI) Module implementation showed a significant difference in drinking refusal self-efficacy (DRSE) of the experimental group before and after the experiment. This study also showed that there is no significant difference in drinking refusal self-efficacy between the experimental group and the control group before the experiment, however, there is a significant difference found after the experiment. It explains that the MEI has succeeded in improving participants' ability to refuse from drinking in a hazardous and harmful way. On the other hand, this study explains that participants were able to refuse from drinking in hazardous and harmful way when they were with someone (e.g. friends, spouse, family member), or while doing some activity (e.g. watching television, reading, having lunch/dinner, after sport, at club/pub), or in emotionally problem (e.g. stress, down, anxiety, upset, angry, worried, sad, nervous). This concept also refers to the concept introduced by Oei et al. (2005) that explains the DRSE as an ability of individuals to resist drinking in various circumstances.

DRSE is highly related to alcohol consumption which can influence the drinking pattern of an individual. It is an important variable to be included in intervention when it focuses on reducing hazardous and harmful drinking patterns (Oei et al., 2006). DRSE as a predictor of alcohol consumption (Oei et al., 2006) and it was negatively related to both volume and frequency of

drinking (Hasking et al., 2002). DRSE is related to self-awareness which represents the ability to control or limit drinking (Foster et al., 2014). The individuals with high self-awareness are predicted to have less drinking (La Brie et al., 2008). Based on these findings, this study can explain that participants who have high DRSE will automatically reduce their alcohol consumption which ranges from hazardous and harmful risk to low risk of alcohol consumption. This supported the study finding which showed the increase of DRSE before and after the MEI Module implementation.

Increasing DRSE among the indigenous communities of Sabah becomes an interesting focus in this study as alcohol plays an important role in these communities. Among the indigenous communities of Sabah, alcohol is considered as a key ingredient in their happiness and overall well-being that used to improve their social connectedness and social activities, whereas without alcohol their life is so uninteresting (Shoesmith et al., 2018). It can be explained by using action-network theory (ANT) by Law (1991). According to ANT, alcohol is a part of the network of relationships in the indigenous communities of Sabah. In fact, these communities enjoy alcohol when being in a community gathering, family parties and even consume more during festive seasons, weekends and when with peer groups (Jamali et al., 2009). It is explained that alcohol is an agent in the social setting of drinking culture which participates in social interaction and working with people to create joyfulness.

This study found that there is a contradiction about drinking alcohol in these communities. These communities drink alcohol to maintain their culture but somehow, they also realize the negative effects caused by alcohol in their community. It can be explained by the theory of cognitive dissonance (Festinger, 1957) that clarifies the contradiction between their belief and current action. This situation explains the dissonance that happened when they want to maintain their culture of drinking but at the same time, they also want to avoid the negative consequences of alcohol. According to Festinger (1957), the greater the dissonance in someone, the more he or she will be motivated to resolve it. On the other hand, the greater the dissonance

of alcohol use between current beliefs and actual behavior of the participants in this study, the more they are motivated to resolve it. This contributes to greater success in DRSE in this study because the MEI Module is working on resolving ambivalence by changing action (drinking behavior) to fit with their current belief (thinking that their drinking pattern causes harm). Besides, the use of the MI approach is also playing an important role in resolving ambivalence that leads participants to change (Miller & Rollnick, 1991) by enhancing participants' motivation to change their drinking behavior.

*Objective 3: Comparing the quality of life between the experimental group and the control group before and after the experiment.*

*Objective 4: Comparing the quality of life of the experimental group before and after the Motivational Enhancement Intervention implementation.*

The results clearly showed that the quality of life (QOL) of participants in the experimental study have been increased after the Motivational Enhancement Intervention (MEI) Module implementation. Besides, there was no significant difference in the quality of life between the control group and the experimental group before the experiment. However, a significant difference in the quality of life was found between the control group and the experimental after the experiment. It explains that the MEI has succeeded to improve the well-being of the indigenous communities of Sabah after the 3 months follow-up. It can conclude that participants who are able to refuse from drinking in a hazardous or harmful way in various situations, would be beneficial to reduce the risk of drinking as well as improving their QOL. A similar result was also found in previous studies which stated that participants who reduced their alcohol consumption were reported with high QOL (Walters et al., 2009; Deappen et al., 2014; Frischknecht et al., 2013).

Quality of life becomes an individual umbrella in the concept of human beings. This concept is defined as a complete physical, mental and social well-being (WHO, 1985). The ability of an individual to develop and improve QOL will significantly impact his or her health and well-being (Yamaguchi, 2015). In conclusion of this study, people who able to refuse from drinking in risky behavior (hazardous and harmful pattern), would also be able to avoid alcohol-related harm and it significantly impacts on their life satisfaction which includes standard of living, health, life achievement, personal relationships, safety feeling, being part of community, security, and religion. This study area is important to measure social health, emotional health, and relationships with other people and our environment, including values and attitudes (Educanda, 2018). It also helps to reduce the tendency of an individual to be involved in substance abuse.

Overall results of this study supported previous findings that found the brief motivational intervention to enhance motivation showed effective to change drinking behavior (DiClemente et al., 1999; Saunders et al., 1993; Babor et al., 1992; Miller et al., 1991). In fact, this study has proven that the adaptation of Motivational Enhancement Therapy (by DiClemente et al., 1999) with Motivational Interviewing approach (by Miller et al., 1991) that have suited the culture of indigenous communities of Sabah showed effective to increase readiness to change, drinking refusal self-efficacy. At the same time, it's also succeeded in reducing the risk of drinking and alcohol-related harm as well as improving well-being in life satisfaction among hazardous and harmful drinkers.

## VII. CONCLUSION AND DIRECTION FOR FUTURE RESEARCH

This study has shown a significant difference in drinking refusal self-efficacy (DRSE) and quality of life (QOL) in the intervention group before and after motivational enhancement intervention (MEI) implementation. A significant difference in these measures was also found between the intervention and control groups after the implementation of MEI. Those results are significant to provide direction for the next action plan for intervention purposes which aimed to increase the ability to resist drinking alcohol in various situations and to improve the QOL among the indigenous communities of Sabah. This finding adds evidence-based data to the existing literature that by enhancing motivation to change drinking behavior in the intervention succeed to increase drinking refusal self-efficacy and quality of life of the participants.

This study proposes some directions for future research. First, a support group at the community level would be an interesting topic to be studied. The support group at the community level would be able to help the community with alcohol problems to provide supportive care and make it sustainable. Future research may include collaborative networks between professional or stakeholder groups in the community-based intervention to reduce alcohol-related harm. The research should focus on modifying drinking cultures that could affect change in local policies, structures, and systems, for example improving local policies on alcohol, strengthening collaborative networks between professional or stakeholder groups, or involving local communities in efforts to achieve change. Ensuring the sustainability of the effectiveness program requires changes in behaviors and social structures to be embedded in local policies, cultures, and practices. Therefore, collaborative networks between professional and stakeholder groups can be powerful mechanisms to address alcohol problems in communities as well as making its sustainable program. Follow-up intervention

after 3 months would also be interesting to study to examine the sleeper effect after the termination of the intervention.

#### a) Ethics Approval

This study was given ethical approval by the Ethics Committee at Universiti Malaysia Sabah with ethical approval code JKEtika3/17(3).

#### b) Conflict of Interest

Author has declared that no competing interests exist.

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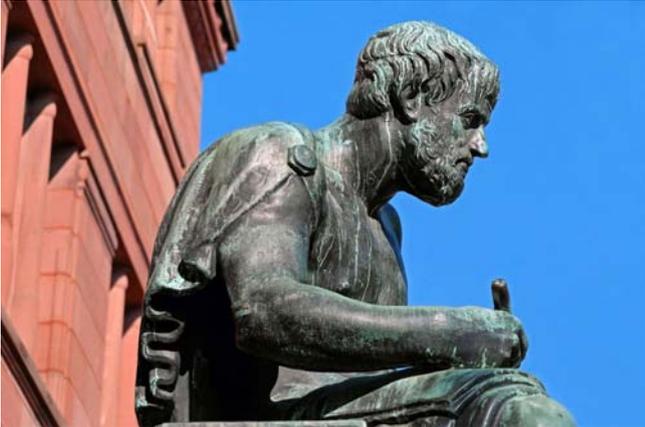
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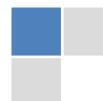
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Techniques for writing a good quality homan social science research paper:

**1. Choosing the topic:** In most cases, the topic is selected by the interests of the author, but it can also be suggested by the guides. You can have several topics, and then judge which you are most comfortable with. This may be done by asking several questions of yourself, like "Will I be able to carry out a search in this area? Will I find all necessary resources to accomplish the search? Will I be able to find all information in this field area?" If the answer to this type of question is "yes," then you ought to choose that topic. In most cases, you may have to conduct surveys and visit several places. Also, you might have to do a lot of work to find all the rises and falls of the various data on that subject. Sometimes, detailed information plays a vital role, instead of short information. Evaluators are human: The first thing to remember is that evaluators are also human beings. They are not only meant for rejecting a paper. They are here to evaluate your paper. So present your best aspect.

**2. Think like evaluators:** If you are in confusion or getting demotivated because your paper may not be accepted by the evaluators, then think, and try to evaluate your paper like an evaluator. Try to understand what an evaluator wants in your research paper, and you will automatically have your answer. Make blueprints of paper: The outline is the plan or framework that will help you to arrange your thoughts. It will make your paper logical. But remember that all points of your outline must be related to the topic you have chosen.

**3. Ask your guides:** If you are having any difficulty with your research, then do not hesitate to share your difficulty with your guide (if you have one). They will surely help you out and resolve your doubts. If you can't clarify what exactly you require for your work, then ask your supervisor to help you with an alternative. He or she might also provide you with a list of essential readings.

**4. Use of computer is recommended:** As you are doing research in the field of homan social science then this point is quite obvious. Use right software: Always use good quality software packages. If you are not capable of judging good software, then you can lose the quality of your paper unknowingly. There are various programs available to help you which you can get through the internet.

**5. Use the internet for help:** An excellent start for your paper is using Google. It is a wondrous search engine, where you can have your doubts resolved. You may also read some answers for the frequent question of how to write your research paper or find a model research paper. You can download books from the internet. If you have all the required books, place importance on reading, selecting, and analyzing the specified information. Then sketch out your research paper. Use big pictures: You may use encyclopedias like Wikipedia to get pictures with the best resolution. At Global Journals, you should strictly follow [here](#).



**6. Bookmarks are useful:** When you read any book or magazine, you generally use bookmarks, right? It is a good habit which helps to not lose your continuity. You should always use bookmarks while searching on the internet also, which will make your search easier.

**7. Revise what you wrote:** When you write anything, always read it, summarize it, and then finalize it.

**8. Make every effort:** Make every effort to mention what you are going to write in your paper. That means always have a good start. Try to mention everything in the introduction—what is the need for a particular research paper. Polish your work with good writing skills and always give an evaluator what he wants. Make backups: When you are going to do any important thing like making a research paper, you should always have backup copies of it either on your computer or on paper. This protects you from losing any portion of your important data.

**9. Produce good diagrams of your own:** Always try to include good charts or diagrams in your paper to improve quality. Using several unnecessary diagrams will degrade the quality of your paper by creating a hodgepodge. So always try to include diagrams which were made by you to improve the readability of your paper. Use of direct quotes: When you do research relevant to literature, history, or current affairs, then use of quotes becomes essential, but if the study is relevant to science, use of quotes is not preferable.

**10. Use proper verb tense:** Use proper verb tenses in your paper. Use past tense to present those events that have happened. Use present tense to indicate events that are going on. Use future tense to indicate events that will happen in the future. Use of wrong tenses will confuse the evaluator. Avoid sentences that are incomplete.

**11. Pick a good study spot:** Always try to pick a spot for your research which is quiet. Not every spot is good for studying.

**12. Know what you know:** Always try to know what you know by making objectives, otherwise you will be confused and unable to achieve your target.

**13. Use good grammar:** Always use good grammar and words that will have a positive impact on the evaluator; use of good vocabulary does not mean using tough words which the evaluator has to find in a dictionary. Do not fragment sentences. Eliminate one-word sentences. Do not ever use a big word when a smaller one would suffice.

Verbs have to be in agreement with their subjects. In a research paper, do not start sentences with conjunctions or finish them with prepositions. When writing formally, it is advisable to never split an infinitive because someone will (wrongly) complain. Avoid clichés like a disease. Always shun irritating alliteration. Use language which is simple and straightforward. Put together a neat summary.

**14. Arrangement of information:** Each section of the main body should start with an opening sentence, and there should be a changeover at the end of the section. Give only valid and powerful arguments for your topic. You may also maintain your arguments with records.

**15. Never start at the last minute:** Always allow enough time for research work. Leaving everything to the last minute will degrade your paper and spoil your work.

**16. Multitasking in research is not good:** Doing several things at the same time is a bad habit in the case of research activity. Research is an area where everything has a particular time slot. Divide your research work into parts, and do a particular part in a particular time slot.

**17. Never copy others' work:** Never copy others' work and give it your name because if the evaluator has seen it anywhere, you will be in trouble. Take proper rest and food: No matter how many hours you spend on your research activity, if you are not taking care of your health, then all your efforts will have been in vain. For quality research, take proper rest and food.

**18. Go to seminars:** Attend seminars if the topic is relevant to your research area. Utilize all your resources.

Refresh your mind after intervals: Try to give your mind a rest by listening to soft music or sleeping in intervals. This will also improve your memory. Acquire colleagues: Always try to acquire colleagues. No matter how sharp you are, if you acquire colleagues, they can give you ideas which will be helpful to your research.

**19. Think technically:** Always think technically. If anything happens, search for its reasons, benefits, and demerits. Think and then print: When you go to print your paper, check that tables are not split, headings are not detached from their descriptions, and page sequence is maintained.



**20. Adding unnecessary information:** Do not add unnecessary information like "I have used MS Excel to draw graphs." Irrelevant and inappropriate material is superfluous. Foreign terminology and phrases are not apropos. One should never take a broad view. Analogy is like feathers on a snake. Use words properly, regardless of how others use them. Remove quotations. Puns are for kids, not grunt readers. Never oversimplify: When adding material to your research paper, never go for oversimplification; this will definitely irritate the evaluator. Be specific. Never use rhythmic redundancies. Contractions shouldn't be used in a research paper. Comparisons are as terrible as clichés. Give up ampersands, abbreviations, and so on. Remove commas that are not necessary. Parenthetical words should be between brackets or commas. Understatement is always the best way to put forward earth-shaking thoughts. Give a detailed literary review.

**21. Report concluded results:** Use concluded results. From raw data, filter the results, and then conclude your studies based on measurements and observations taken. An appropriate number of decimal places should be used. Parenthetical remarks are prohibited here. Proofread carefully at the final stage. At the end, give an outline to your arguments. Spot perspectives of further study of the subject. Justify your conclusion at the bottom sufficiently, which will probably include examples.

**22. Upon conclusion:** Once you have concluded your research, the next most important step is to present your findings. Presentation is extremely important as it is the definite medium through which your research is going to be in print for the rest of the crowd. Care should be taken to categorize your thoughts well and present them in a logical and neat manner. A good quality research paper format is essential because it serves to highlight your research paper and bring to light all necessary aspects of your research.

## INFORMAL GUIDELINES OF RESEARCH PAPER WRITING

### **Key points to remember:**

- Submit all work in its final form.
- Write your paper in the form which is presented in the guidelines using the template.
- Please note the criteria peer reviewers will use for grading the final paper.

### **Final points:**

One purpose of organizing a research paper is to let people interpret your efforts selectively. The journal requires the following sections, submitted in the order listed, with each section starting on a new page:

*The introduction:* This will be compiled from reference matter and reflect the design processes or outline of basis that directed you to make a study. As you carry out the process of study, the method and process section will be constructed like that. The results segment will show related statistics in nearly sequential order and direct reviewers to similar intellectual paths throughout the data that you gathered to carry out your study.

### **The discussion section:**

This will provide understanding of the data and projections as to the implications of the results. The use of good quality references throughout the paper will give the effort trustworthiness by representing an alertness to prior workings.

Writing a research paper is not an easy job, no matter how trouble-free the actual research or concept. Practice, excellent preparation, and controlled record-keeping are the only means to make straightforward progression.

### **General style:**

Specific editorial column necessities for compliance of a manuscript will always take over from directions in these general guidelines.

**To make a paper clear:** Adhere to recommended page limits.



### *Mistakes to avoid:*

- Insertion of a title at the foot of a page with subsequent text on the next page.
- Separating a table, chart, or figure—confine each to a single page.
- Submitting a manuscript with pages out of sequence.
- In every section of your document, use standard writing style, including articles ("a" and "the").
- Keep paying attention to the topic of the paper.
- Use paragraphs to split each significant point (excluding the abstract).
- Align the primary line of each section.
- Present your points in sound order.
- Use present tense to report well-accepted matters.
- Use past tense to describe specific results.
- Do not use familiar wording; don't address the reviewer directly. Don't use slang or superlatives.
- Avoid use of extra pictures—include only those figures essential to presenting results.

### **Title page:**

Choose a revealing title. It should be short and include the name(s) and address(es) of all authors. It should not have acronyms or abbreviations or exceed two printed lines.

**Abstract:** This summary should be two hundred words or less. It should clearly and briefly explain the key findings reported in the manuscript and must have precise statistics. It should not have acronyms or abbreviations. It should be logical in itself. Do not cite references at this point.

An abstract is a brief, distinct paragraph summary of finished work or work in development. In a minute or less, a reviewer can be taught the foundation behind the study, common approaches to the problem, relevant results, and significant conclusions or new questions.

Write your summary when your paper is completed because how can you write the summary of anything which is not yet written? Wealth of terminology is very essential in abstract. Use comprehensive sentences, and do not sacrifice readability for brevity; you can maintain it succinctly by phrasing sentences so that they provide more than a lone rationale. The author can at this moment go straight to shortening the outcome. Sum up the study with the subsequent elements in any summary. Try to limit the initial two items to no more than one line each.

*Reason for writing the article—theory, overall issue, purpose.*

- Fundamental goal.
- To-the-point depiction of the research.
- Consequences, including definite statistics—if the consequences are quantitative in nature, account for this; results of any numerical analysis should be reported. Significant conclusions or questions that emerge from the research.

### **Approach:**

- Single section and succinct.
- An outline of the job done is always written in past tense.
- Concentrate on shortening results—limit background information to a verdict or two.
- Exact spelling, clarity of sentences and phrases, and appropriate reporting of quantities (proper units, important statistics) are just as significant in an abstract as they are anywhere else.

### **Introduction:**

The introduction should "introduce" the manuscript. The reviewer should be presented with sufficient background information to be capable of comprehending and calculating the purpose of your study without having to refer to other works. The basis for the study should be offered. Give the most important references, but avoid making a comprehensive appraisal of the topic. Describe the problem visibly. If the problem is not acknowledged in a logical, reasonable way, the reviewer will give no attention to your results. Speak in common terms about techniques used to explain the problem, if needed, but do not present any particulars about the protocols here.



*The following approach can create a valuable beginning:*

- Explain the value (significance) of the study.
- Defend the model—why did you employ this particular system or method? What is its compensation? Remark upon its appropriateness from an abstract point of view as well as pointing out sensible reasons for using it.
- Present a justification. State your particular theory(-ies) or aim(s), and describe the logic that led you to choose them.
- Briefly explain the study's tentative purpose and how it meets the declared objectives.

#### **Approach:**

Use past tense except for when referring to recognized facts. After all, the manuscript will be submitted after the entire job is done. Sort out your thoughts; manufacture one key point for every section. If you make the four points listed above, you will need at least four paragraphs. Present surrounding information only when it is necessary to support a situation. The reviewer does not desire to read everything you know about a topic. Shape the theory specifically—do not take a broad view.

As always, give awareness to spelling, simplicity, and correctness of sentences and phrases.

#### **Procedures (methods and materials):**

This part is supposed to be the easiest to carve if you have good skills. A soundly written procedures segment allows a capable scientist to replicate your results. Present precise information about your supplies. The suppliers and clarity of reagents can be helpful bits of information. Present methods in sequential order, but linked methodologies can be grouped as a segment. Be concise when relating the protocols. Attempt to give the least amount of information that would permit another capable scientist to replicate your outcome, but be cautious that vital information is integrated. The use of subheadings is suggested and ought to be synchronized with the results section.

When a technique is used that has been well-described in another section, mention the specific item describing the way, but draw the basic principle while stating the situation. The purpose is to show all particular resources and broad procedures so that another person may use some or all of the methods in one more study or referee the scientific value of your work. It is not to be a step-by-step report of the whole thing you did, nor is a methods section a set of orders.

#### **Materials:**

*Materials may be reported in part of a section or else they may be recognized along with your measures.*

#### **Methods:**

- Report the method and not the particulars of each process that engaged the same methodology.
- Describe the method entirely.
- To be succinct, present methods under headings dedicated to specific dealings or groups of measures.
- Simplify—detail how procedures were completed, not how they were performed on a particular day.
- If well-known procedures were used, account for the procedure by name, possibly with a reference, and that's all.

#### **Approach:**

It is embarrassing to use vigorous voice when documenting methods without using first person, which would focus the reviewer's interest on the researcher rather than the job. As a result, when writing up the methods, most authors use third person passive voice.

Use standard style in this and every other part of the paper—avoid familiar lists, and use full sentences.

#### **What to keep away from:**

- Resources and methods are not a set of information.
- Skip all descriptive information and surroundings—save it for the argument.
- Leave out information that is immaterial to a third party.



**Results:**

The principle of a results segment is to present and demonstrate your conclusion. Create this part as entirely objective details of the outcome, and save all understanding for the discussion.

The page length of this segment is set by the sum and types of data to be reported. Use statistics and tables, if suitable, to present consequences most efficiently.

You must clearly differentiate material which would usually be incorporated in a study editorial from any unprocessed data or additional appendix matter that would not be available. In fact, such matters should not be submitted at all except if requested by the instructor.

**Content:**

- Sum up your conclusions in text and demonstrate them, if suitable, with figures and tables.
- In the manuscript, explain each of your consequences, and point the reader to remarks that are most appropriate.
- Present a background, such as by describing the question that was addressed by creation of an exacting study.
- Explain results of control experiments and give remarks that are not accessible in a prescribed figure or table, if appropriate.
- Examine your data, then prepare the analyzed (transformed) data in the form of a figure (graph), table, or manuscript.

**What to stay away from:**

- Do not discuss or infer your outcome, report surrounding information, or try to explain anything.
- Do not include raw data or intermediate calculations in a research manuscript.
- Do not present similar data more than once.
- A manuscript should complement any figures or tables, not duplicate information.
- Never confuse figures with tables—there is a difference.

**Approach:**

As always, use past tense when you submit your results, and put the whole thing in a reasonable order.

Put figures and tables, appropriately numbered, in order at the end of the report.

If you desire, you may place your figures and tables properly within the text of your results section.

**Figures and tables:**

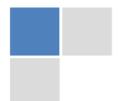
If you put figures and tables at the end of some details, make certain that they are visibly distinguished from any attached appendix materials, such as raw facts. Whatever the position, each table must be titled, numbered one after the other, and include a heading. All figures and tables must be divided from the text.

**Discussion:**

The discussion is expected to be the trickiest segment to write. A lot of papers submitted to the journal are discarded based on problems with the discussion. There is no rule for how long an argument should be.

Position your understanding of the outcome visibly to lead the reviewer through your conclusions, and then finish the paper with a summing up of the implications of the study. The purpose here is to offer an understanding of your results and support all of your conclusions, using facts from your research and generally accepted information, if suitable. The implication of results should be fully described.

Infer your data in the conversation in suitable depth. This means that when you clarify an observable fact, you must explain mechanisms that may account for the observation. If your results vary from your prospect, make clear why that may have happened. If your results agree, then explain the theory that the proof supported. It is never suitable to just state that the data approved the prospect, and let it drop at that. Make a decision as to whether each premise is supported or discarded or if you cannot make a conclusion with assurance. Do not just dismiss a study or part of a study as "uncertain."



Research papers are not acknowledged if the work is imperfect. Draw what conclusions you can based upon the results that you have, and take care of the study as a finished work.

- You may propose future guidelines, such as how an experiment might be personalized to accomplish a new idea.
- Give details of all of your remarks as much as possible, focusing on mechanisms.
- Make a decision as to whether the tentative design sufficiently addressed the theory and whether or not it was correctly restricted. Try to present substitute explanations if they are sensible alternatives.
- One piece of research will not counter an overall question, so maintain the large picture in mind. Where do you go next? The best studies unlock new avenues of study. What questions remain?
- Recommendations for detailed papers will offer supplementary suggestions.

**Approach:**

When you refer to information, differentiate data generated by your own studies from other available information. Present work done by specific persons (including you) in past tense.

Describe generally acknowledged facts and main beliefs in present tense.

## THE ADMINISTRATION RULES

Administration Rules to Be Strictly Followed before Submitting Your Research Paper to Global Journals Inc.

*Please read the following rules and regulations carefully before submitting your research paper to Global Journals Inc. to avoid rejection.*

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*Written material:* You may discuss this with your guides and key sources. Do not copy anyone else's paper, even if this is only imitation, otherwise it will be rejected on the grounds of plagiarism, which is illegal. Various methods to avoid plagiarism are strictly applied by us to every paper, and, if found guilty, you may be blacklisted, which could affect your career adversely. To guard yourself and others from possible illegal use, please do not permit anyone to use or even read your paper and file.



CRITERION FOR GRADING A RESEARCH PAPER (COMPILATION)  
BY GLOBAL JOURNALS

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Topics	Grades		
	A-B	C-D	E-F
<i>Abstract</i>	Clear and concise with appropriate content, Correct format. 200 words or below	Unclear summary and no specific data, Incorrect form  Above 200 words	No specific data with ambiguous information  Above 250 words
<i>Introduction</i>	Containing all background details with clear goal and appropriate details, flow specification, no grammar and spelling mistake, well organized sentence and paragraph, reference cited	Unclear and confusing data, appropriate format, grammar and spelling errors with unorganized matter	Out of place depth and content, hazy format
<i>Methods and Procedures</i>	Clear and to the point with well arranged paragraph, precision and accuracy of facts and figures, well organized subheads	Difficult to comprehend with embarrassed text, too much explanation but completed	Incorrect and unorganized structure with hazy meaning
<i>Result</i>	Well organized, Clear and specific, Correct units with precision, correct data, well structuring of paragraph, no grammar and spelling mistake	Complete and embarrassed text, difficult to comprehend	Irregular format with wrong facts and figures
<i>Discussion</i>	Well organized, meaningful specification, sound conclusion, logical and concise explanation, highly structured paragraph reference cited	Wordy, unclear conclusion, spurious	Conclusion is not cited, unorganized, difficult to comprehend
<i>References</i>	Complete and correct format, well organized	Beside the point, Incomplete	Wrong format and structuring



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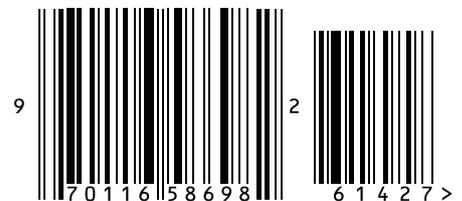


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