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## Identifying Gender-Based Violence in Women from Aahh Laura Caller in the District of Los Olivos, Lima – 2021



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**ABSTRACT:** The research entitled "Identifying gender violence in women of the AAHH Laura Caller in the district of Los Olivos, Lima - 2021". It aims to identify gender violence in women of the AAHH Laura Caller in the district of Los Olivos, Lima - 2021. The methodology had a quantitative approach, since the data collected will be measured through statistical analysis. Likewise, the research design is non-experimental, descriptive. The sample consisted of 50 women to whom a questionnaire was applied. The results showed the existence of physical violence, since it has been possible to identify slapping, pushing or throwing an object for having done something wrong as violence. As for psychological violence, it was possible to identify that the partners of most of the women had threatened to harm them and their children. In relation to sexual violence, it has been identified that the women's partners forced them to have sexual relations in exchange for money or goods. The conclusion is that there is a lack of knowledge of what physical, psychological and sexual violence is, and that they may be in danger of suffering mistreatment in their future relationships.

**KEYWORDS:** gender violence, physical, sexual violence.

### INTRODUCTION

Gender violence is a very serious problem that has been increasing over the years, it is always present in our society with different degrees of intensity and violating human rights. Many women, for the simple fact of being women, are violated on a daily basis, in times when it is said to be peaceful.

In the past, women did not have the same rights as men, since it was erroneously believed that their only job was to take care of their children, take care of their husbands and take care of household activities, nor were their opinions taken into account because they were considered the weaker sex. As time goes by in history, women have been obtaining different rights such as employment, studying, voting in elections, etc. However, even in the 21st century, gender inequality is visible in our society and in some media certain behaviors are seen where sexism predominates (Alayo, 2018).

Female violence is present worldwide, regardless of social class, culture, religion, ethnicity, etc. Taking place in different spaces and maintaining a common root which is discrimination (Montes de Oca, 2014). Globally, according to WHO (2021) 1 in 3 women have suffered physical, sexual and psychological violence at some point in their lives, either by their partner or third parties.

In Peru, gender violence has been increasing considerably, in 2020, the Ombudsman's Office recognizes 132 cases of officially recognized femicides, 204 attempts and another 50 violent deaths of women that are under investigation. On the other hand, according to INEI data, recorded between January to December 2019, more than 5500 complaints of rape against women were collected, reporting that the rate of complaints of sexual abuse is an approximate 34 out of 100 thousand women, of the cases presented, 57.8% happen within the family.

That is why, given the data mentioned above, we observe that the rates of gender violence against women increase every year, therefore, we intend to know the existence of gender violence in the AAHH Laura Caller of Mz. A and B. of the District of Los Olivos, Lima - 2021, since in that place no statistical data were found that reveal the cases of violence that women must be suffering.

The research problem is: How does gender violence manifest itself in women of the AA HH Laura Caller in the district of Los Olivos, Lima - 2021?

## Identifying Gender-Based Violence in Women from Aahh Laura Caller in the District of Los Olivos, Lima – 2021

As justification for this research, we consider from a social point of view that gender violence in our society continues to present itself as one of the most outstanding problems today, to date it is known that the most prominent cases are mostly directed towards women, so that according to UN records (2021), in the world there are approximately 736 million women, including young women, adolescents and girls who have suffered both physical and sexual harm. As for the theoretical justification, the study was supported by the theories of different authors, referring to our research variable with the purpose that this study will help future researchers to continue studying the problem of gender violence. From a practical point of view, the results obtained will be of great help to professionals who deal with this problem, such as the Ministry of Women's Affairs, the Women's Emergency Center, psychologists, etc.

The general objective is to identify gender violence in women of the AAHH Laura Caller in the district of Los Olivos, Lima - 2021.

The following specific objectives were proposed: to identify physical violence in women of the AAHH Laura Caller in the district of Los Olivos, Lima - 2021; to identify psychological violence in women of the AAHH Laura Caller in the district of Los Olivos, Lima - 2021; to identify sexual violence in women of the AAHH Laura Caller in the district of Los Olivos, Lima - 2021.

Jaramillo and Canaval (2020) in their thesis entitled "Gender violence: An evolutionary analysis of the concept", conclude that gender violence violates human rights, affects the dignity, physical and psychological integrity of women, their freedom and autonomy.

Gallegos, et al. (2020). In their research entitled "Self-esteem and psychological violence against university women in their relationships". They concluded that psychological violence does not have much relationship with the level of self-esteem in women.

Jacobi and Urbano (2020) in their research on, "Gender violence and self-esteem in women in a populated center of Huancavelica-2020". They conclude that it is very necessary to carry out campaigns involving prevention and to know which are the most used measures for the prevention of gender violence and self-esteem of females.

Castillo, et al. (2017). In their research entitled. "Gender violence and self-esteem of women in the populated center Huanja - Huaraz, 2017". They conclude that physical aggression experienced by women in the aforementioned population, is the one that is evidenced with a higher level of frequency, being above sexual, economic and psychological. Females who have been victims of aggression, through their self-esteem, feel failed and belittled before the social environment, so that, at a high level of aggression of economic, physical sexual and psychological type, a lower level of self-esteem is evidenced.

Benavides (2018) developed a research on "Gender violence in women in the neighborhood of Palermo - Lima 2017". She concludes that gender violence is a structural and social problem that puts women in conditions of inequality and subordination. The Ministry of Women and Vulnerable Populations (MIMP) (2016 defines) violence as any act or behavior, focused on the female group and is aggravated by discrimination originating from the coexistence of different identities such as age, race, ethnicity, class, etc., which cause the demise, evil or psychological, sexual and physical suffering of an individual, either within a private or public environment. This violence takes place in a context of exclusion towards women, within the family environment or outside it.

Rivadeneira (2017) tells us that physical violence, is that act that involves the use of force towards other people, this leaves fully visible traces on the body being easy to detect the victims. This facilitates the fact that the victim becomes aware of the situation that is being presented in order to proceed with the respective complaints, as a measure of self-protection.

Fernandez (2020) considers psychological violence to be any aggression carried out without physical contact. It is evidenced verbally, using denigrating adjectives, humiliating, devaluing and belittling the woman. All these acts cause much damage to the victim on an emotional level, this type of violence can begin subtly and grow little by little so that the victim will not realize it until she is already under the control of her victimizer in a dependent way, with fear, and taking attitudes out of her will.

Martínez (2018) mentions that sexual abuse is the most serious form of violation of rights, since it involves the total invasion of the body, leaves psychological sequelae and affects the woman's life project.

## METHODOLOGY

### Type and design of research

This research is quantitative in approach, as Hernández, et al. (2014) mentioned that the data collected will be measured through statistical analysis, in order to test the hypothesis in order to implement behavioral models and test theories. Likewise, this approach follows a sequence and is evidential. Each stage is very important so we cannot avoid steps.

This work is of Basic type, since according to Cegarra (2014) research is considered so because it seeks to increase the knowledge of what is being investigated and is used to better understand how certain conditions influence the behavior of the phenomenon under investigation, it was not created to solve such social phenomena, but is concerned only with knowing, explaining and predicting a theory with little or no intention of applying its results. In short, this research served to broaden our knowledge of the phenomenon studied.

# Identifying Gender-Based Violence in Women from Aahh Laura Caller in the District of Los Olivos, Lima – 2021

## Design

It is a non-experimental - transversal, descriptive design, as Hernández, et al. (2014) mention that it is considered as such because it is not intended to manipulate the variable, only to observe the phenomena as they occur in their natural environment or reality and then analyze them. The researcher cannot influence the variables because they have already happened. At the same time, the data are collected at a single time or moment. Descriptive because it is intended to show the characteristics of a certain group.

## Population

According to Hernández, et al (2014), they indicate that the population is the total set of people to be studied, in which the units have characteristics or similarities in common and give rise to the research data. In this case, the population consisted of 50 women over 18 years of age from the AA HH Laura Caller in the district of Los Olivos.

## Sample

According to Hernández, et al (2014), the sample is made up of the population that will be part of the research, that is, the group or subset of people defined according to their characteristics related to the purpose of what we want to find out. In this study, the sample consisted of a total of 50 women from the AAHH Laura Caller of Mz. A and B. of the District of Los Olivos, all of whom are over 18 years of age.

## Sampling

Hernández et al. (2014) indicated that, in non-probability convenience sampling, the choice of the population sample will not depend on probability, but on the characteristics of the study. It is not based on probability formulas, but the samples are conveniently available to the researchers. In this case, the researchers carried out the sample, selecting the women of the AA HH Laura Caller of Mz. A and B. of the District of Los Olivos considering the accessibility and voluntary participation of the mentioned women.

## Data collection techniques and instruments

A survey was used as a technique for this research work, which was applied to women from the AA HH Laura Caller, in the district of Los Olivos, Lima. In order to identify gender violence against these women. According to Caro (2017). The survey is a technique in which you can obtain information about a subset of the population using a previously designed and structured questionnaire. The questionnaire, is composed in relation to the dimensions of the variable gender violence: "physical violence" made up of the questionnaire items from 1 to 3, "psychological violence" made up of items from 4 to 7 and, "sexual violence" made up of the questionnaire items made up of items from 8 to 10. With the purpose of identifying physical, psychological and sexual violence in women of the AAHH Laura Caller of the district of Los Olivos. According to López and Fachelli (2015) the questionnaire is a form with a series of ordered and coherent questions, which is intended to obtain objective information from a subset of the population. This instrument is elaborated with a series of items.

## Procedures

In order to obtain the information required for the research. Technological tools such as Google drive, Facebook, WhatsApp, etc. were used. It was not possible to conduct the survey in person because we are in a health emergency due to COVID. 19, and the only way to get in contact with the women of AA. HH Laura Caller was through the aforementioned means.

## Data analysis method

For data analysis, the SPSS statistical program version 25 was used, since this software allows us to create tables and graphs that have been previously tabulated by assigning a certain value to each alternative, which in this case is the Likert scale.

## Ethical Aspects

The following ethical aspects were determined: informed consent and confidentiality. In this regard, Gonzalo (2014) tells us that informed consent is a process by which the researcher explains in writing and verbally the agreements that the person participates voluntarily and with their consent in answering the questionnaire. Secondly, there is the ethical aspect of "confidentiality", where the identity of the people who participated in the study by providing their data will be protected. One of the ethical principles used is the principle of autonomy, which according to Martín (2014). It is defined as the ability to act freely and with conscience without being coerced by an external agent, it is based on Kant's philosophy which mentions that men should never be used as a means. On the other hand, there is the duty to assume the responsibilities of the actions done.

## RESULTS

The results showed the existence of physical violence, since slapping, pushing or throwing an object for having done something wrong was not considered violence. With regard to psychological violence, it was found that the partners of most of the women



## Identifying Gender-Based Violence in Women from Aahh Laura Caller in the District of Los Olivos, Lima – 2021

had threatened to harm them and their children. In relation to sexual violence, it has been identified that the women's partners forced them to have sexual relations in exchange for money or goods.

### DISCUSSION

According to the specific objective 1, which was to identify physical violence in women of the AAHH Laura Caller in the district of Los Olivos, Lima - 2021, through the application of a survey to women over 18 years of age in this human settlement, it has been possible to identify that slapping, pushing or throwing an object for having done something wrong is not considered violence. In addition, there is a lack of knowledge of what physical violence is, and they may be in danger of suffering mistreatment in their future relationships. Thus, Castillo, et al. (2017) in their research entitled Gender violence and self-esteem of women in the town of Huanja - Huaraz, 2017, which aimed to determine the relationship between gender violence and the level of self-esteem of women in the population of Huanja - Huaraz, 2017. The level of analysis was quantitative, cross-sectional correlational. Thus concluding that the physical aggression experienced by the females of the aforementioned population, is the one that is evidenced with a higher level of frequency, being above sexual, economic and psychological aggression. Women who have been victims of aggression, through their self-esteem, feel that they are failures and undervalued in their social environment, so that a high level of economic, sexual, physical and psychological aggression shows a lower level of self-esteem. Therefore, Maria (2020) tells us that any action that is generated by physical force or any kind of weapon or object that can cause both internal and external injuries is considered as physical violence, which results in aggressiveness.

As for specific objective 2, which was to identify psychological violence in women of the AAHH Laura Caller in the district of Los Olivos, Lima - 2021, it has been possible to identify that the partner of most of the women in this human settlement has threatened to harm her and her children, as well as making unpleasant comments about their physical appearance. In addition, there is a lack of knowledge of what psychological violence is, since some of them do not consider the fact that they are insulted, called names or compared to someone else to be violence. Thus, Gallegos, et al. (2020). In their research work entitled Self-esteem and psychological violence against university women in their relationships, whose objective was to measure and correlate the level of self-esteem and psychological violence against women in their relationships, using a non-experimental design methodology with a quantitative approach. They concluded that there is no significant relationship between the two variables, but important information was obtained on self-esteem, which can be low not only as a consequence of psychological violence. Therefore, Asensi (2016) defines within the context of gender violence, that physical harm brings as a consequence to psychological violence, indicating that this type of violence is caused by a history of aggression at the physical level and at emotional levels. This suggests that psychological violence, according to their evaluations and belonging to a process of violence, occurs as an effect of all types of aggression.

In relation to specific objective 3, which was to identify sexual violence in women of the AAHH Laura Caller in the district of Los Olivos, Lima - 2021, it has been possible to identify that the women's partners forced them to have sexual relations in exchange for money or goods. Thus, Donoso, et al. (2019) in their research work entitled adolescence in the face of gender violence 2.0: Conceptions and experiences. They proposed as an objective to observe the different attitudes based on the experience of adolescents. As well as their reactions to different types of violence. The level of research is an analysis collected from the surveys used as an instrument of data collection. They came to conclude that it is necessary to make women aware of the risk they run in the different social networks, to make adolescents aware of the consequences of these, and to motivate young people who accuse violent acts that even involves the family and their study center in question. Therefore, Martínez (2018) mentions that sexual abuse is the most serious form of violation of rights, since it involves the total invasion of the body, leaves psychological sequels and affects the woman's life project.

### CONCLUSIONS

It was possible to identify physical violence in the women of AA HH Laura Caller, from which it was determined that slapping, pushing or throwing an object for having done something wrong was not considered violence. In addition, there is a lack of knowledge of what physical violence is, and they may be in danger of suffering mistreatment in their future relationships.

Thus, psychological violence has been identified in the women of AA HH Laura Caller, from which threats and unpleasant comments about the physical appearance of the women by their partners were determined. Also, the lack of knowledge about the acts that are considered psychological violence.

It was also possible to identify sexual violence among the women of AA HH Laura Caller, where it was determined that some women are forced to have sexual relations in exchange for money or goods, and that there is also a lack of knowledge about any act that is considered sexual violence, such as groping and inappropriate touching.

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## Current situation of “One Commune One Product” (OCOP) Program implementation in Vietnam



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**ABSTRACT:** Vietnam has implemented the OCOP Program through the “One Commune One Product” initiative since 2006. This program, however, “bloomed” until 2018, thanks to the involvement of localities across the country. The OCOP Program aims at rural economic development and focuses on increasing internal strength and adding value to local products. Also, it is the solution and task in the implementation of the National Target Program on the New Rural Development. In this research, we are going to analyze the current situation of the OCOP Program implementation in Vietnam and from that, give some recommendations for enhancing the program's effectiveness.

**KEYWORDS:** the OCOP program, national program, Vietnam's rural economy, traditional values.

### 1. INTRODUCTION

Vietnam's economy has undergone both positive and negative shifts in recent years. Typically, the Covid-19 pandemic beginning in late 2019 has seriously affected the economy. Nevertheless, localities and citizens have made significant efforts to keep it under control, which can be seen as a hopeful sign for our country's steady economic recovery.

Nonetheless, Vietnam is transforming as it reduces the proportion of the agriculture sector and increases the proportion of supporting industries and service sectors. According to a 2018 report, the average agricultural land in Vietnam is 0.2856 hectares per person, meanwhile, the land productivity is only about 1,000 USD per hectare per year. This amount equates to 285 USD per person per year, which is a very low contribution from this sector. Despite that figure, it is hard to deny the importance of agriculture in boosting economic growth, not to mention Vietnam remaining one of the world's top exporting countries. This raises the issue of what the government needs to do to restructure the agricultural economy following the current industrialization trend, but still facilitate farmers to develop their local products' potential. As a result, the OCOP Program appeared. In Vietnam, the OCOP Program through the “One Commune One Product” initiative has been deployed since 2006. However, this initiative would not have been effective if it had not been for the involvement of localities across the country. The OCOP Program aims at rural economic development and focuses on increasing internal resources and adding values. Also, it is a program of economic development in rural areas and is the solution and task in the implementation of the National Target Program on New Rural Development. The core of this program is to improve agricultural and non-agricultural products and service-based products in each locality, creating a value chain involving the private (including enterprises, households) and collective economy sector. At the National Conference about implementing the OCOP Program for the period of 2018 - 2020, Deputy Prime Minister Vuong Dinh Hue emphasized that the OCOP Program is a program of rural economic development matching with each locality's internal development as well as its natural and cultural conditions. It is an important solution in restructuring agriculture and developing new-style rural areas. Products participating in this program are divided into six categories: Food; Drinks; Herbal; Fabric and garment; Souvenir – Interior – Decoration; and Tourism and Community tourism services. Moreover, to make an accurate assessment, the Prime Minister issued a set of criteria for evaluating and classifying these products, based on Decision No. 1048 / QDTTg dated August 21, 2019.

In this article, we will focus on examining how the OCOP Program is being implemented in some businesses that sell products made from rice and cereals such as Nhu Co Agricultural Youth Cooperative with Bac Kan Dry vermicelli, Long Lien Nghe An Production & Trading Co., Ltd. with Long Lien Dairy cereals or Nong Hong Quyen Scorched Rice Manufacturing Base with

## Current situation of “One Commune One Product” (OCOP) Program implementation in Vietnam

Scorched Rice with sticky rice, ...

The set of criteria is the basis for evaluating and classifying products in the OCOP Program, matching with the country's socio-economic conditions and in each period. For products processed from rice and cereals (in the Food Industry, Processed foods Group), the evaluation criteria have the same structure as the general one with three main parts:

Part A: Criteria on community strength (35 points), including Organization of production; product development; community power.

Part B: Criteria on marketing ability (25 points), including Marketing, product story.

Part C: Criteria on product quality (40 points), including Organoleptic, nutritional criteria, and uniqueness of the product; product standards; ability to export and distribute in the international market.

The OCOP criteria set with three parts mentioned above is also used to classify products. The maximum score for each product is 100 points and is classified into 5 categories. Specifically,

5-star grade: An average score of 90 -100 points. They are national products and can be exported.

4-star grade: An average score of 70 - 89 points. They are provincial-level products and can be upgraded to a 5-star grade.

3-star grade: An average score of 50 - 69 points. They are provincial-level products that meet the standards and can be upgraded to a 4-star grade.

2-star grade: An average score of 30 - 49 points. They have not been standardized and can be upgraded to a 3-star grade.

1-star grade: An average score is less than 30 points. They are products that initially join the OCOP Program and can be upgraded to a 2-star grade.

The details of the OCOP criteria set for assessing and classifying products made from rice and cereals are stated in Section 3, Appendix III of the Prime Minister's Decision No.1048/QĐ-TTg dated August 21, 2019, on issuing a set of Evaluation and Classification Criteria of the OCOP Program.

## 2. THE IMPLEMENTATION OF THE OCOP PROGRAM

*To conduct an assessment of recent implementations of the OCOP Program*, the article considers both the authority and the enterprise.

Regarding the authority, being aware of the benefits of the OCOP Program, all provinces and cities have provided the farmers with many training programs with an aim to spread the “One Commune, One Product” organized by the Department of Agriculture and Rural Development. In fact, some provinces have introduced policies to encourage participation in the OCOP Program. Resolution No. 09/2015/NQ-HĐND dated April 3, 2015, of the People's Council of North Province in Bac Kan approved the support rates for the development of rural production and services as a part of the National Target Program on New Rural Development period 2015-2020. Resolution No. 11/2015/NQ-HĐND dated April 3, 2015, of the People's Council in Bac Kan focuses on a number of policies to encourage companies to invest in agriculture and forestry in the province. In addition, the local government also cooperates with other departments to boost the OCOP Program. For instance, the authority of Nam Dan, Nghe An collaborates with the Institute of Policy and Strategy for Agriculture and Rural Development to conduct surveys and investigations, and develop a project for the “One Commune, One Product”.

As for the enterprise, there are many objective factors that have positive impacts on the economic participation in the OCOP Program, some of which include convenient transportation, large and fertile land, secure irrigation system, and relatively plentiful on-site raw materials from agricultural products. The application of technical facilities increasingly invested with technology machines is another factor that saves labor and increases output. However, in all production and business activities, the human factor usually contributes significantly to the success of the enterprise. With their hard-working and clever nature, Vietnamese workers have created indigenous agricultural products with high economic value.

Among the local businesses, the Nhu Co Agricultural Youth Cooperative established by the Youth Union of Nhu Co Commune in Cho Moi has the most outstanding results. Despite living in a mountainous area, the cooperative in Bac Kan started building a brand and approaching consumer markets from the beginning by expanding dry noodle production and packaging facilities with a capacity of 35 tons of products/year. Thanks to the advantages this province has in logistics and land, Quan Nguyet dry noodle has been recognized as an OCOP 3-star product in 2019. Similarly, Nghe An, which has the largest land area in the country, has made many products that achieved 3 stars in 2019, some of which contains Long Lien Dairy Cereals of Long Lien Nghe An Production & Trading Co., Ltd. and brown rice of Nguyen Thanh Cong households. There are also a number of organizations including intellectuals with high educational levels such as Chanh Nam Kim and Sen Que Bac Agricultural Cooperatives.



## Current situation of “One Commune One Product” (OCOP) Program implementation in Vietnam

However, before joining the “One Commune One Product - OCOP”, the research business groups have to face many difficulties and challenges that require solutions. To be more specific, the cost of production increases daily, while the access to credit and preferential credit under the Government's support policies faces many obstacles in procedures and lenders. Besides, the level of loan disbursement is relatively low compared to the requirements, so the credit policy has not yet reached the processing enterprises as well as farmers producing materials. Meanwhile, the link between enterprises themselves and other subjects in the industry undergoes significant difficulties. In detail, the enterprises have not yet closely linked with the production areas, causing an imbalance between demand and supply, while the number of relationships between businesses inside as well as outside the industry is limited. The shortage of skilled workers and the infrastructure is also one of the challenges.

All in all, before participating in the “One Commune One Product” Program, enterprises producing and processing foodstuffs from rice and cereals have many opportunities but also many challenges to overcome. By joining the OCOP Program, businesses will likely have a chance to promote their inherent potential as well as improve limitations, thereby boosting businesses development and bringing the products further into the current consumer market.

**Regarding the results of the implementation of the OCOP Program**, this article also considers two aspects: the research business group and the community side.

Regarding the business group, the OCOP Program has promoted the strength and the role of the community in preserving and developing local traditional products, especially ones processed from rice and cereals within a few years of implementation. One of the greatest successes in the OCOP Program is that the self-produced products made from rice and cereals and mostly consumed within the local area can now attract more consumers and even large supermarkets as Big-C thanks to the guaranteed quality through OCOP's three-star assignment. Typical products include Bac Kan rice cakes or Bac Kan dry vermicelli. Moreover, the OCOP Program has created the highest rating system for typical goods of each region in the country instead of pursuing a series of small quality criteria, thereby creating brands and identities for the products of each business.

On the community side, the OCOP Program has created a strong start-up movement, forming many fresh agricultural production areas, high-tech agriculture associated with product value chains. The OCOP Program was born at the same time as when industrialization 4.0 was accelerated in Vietnam. Since then, it has made huge contributions to economic restructuring in rural areas and become an essential solution in implementing the production criteria, income, and poor households in building new-style rural areas.

Considering the impacts of the OCOP Program on businesses as well as the community, there are both positive and negative sides.

On the one hand, the “One Commune One Product” Program (OCOP) has a great impact on Science and Technology (S&T). The application of S&T into processing and manufacturing fast food products instead of purely agricultural ones has contributed to enhancing the value of agricultural products, accelerating the industrialization and modernization of production and business activities. Many preferential business policies investing in science and technology have been issued by the Government. The system of production and business organizations in agriculture and rural areas continues to be renovated to become more suitable with the market mechanism. In addition, there are many typical models, creative ideas, and effective practices across the country in building new-style rural areas, which has positively contributed to the success of the National Target Program. More importantly, the OCOP Program helps to affirm brands and enhance the product by providing support with traceability and creating reputations in the market. Also, participating in promotional activities, introducing marketing, product consumption inside and outside the city are an opportunity to expand distribution channels and reach consumers. The third positive impact of the OCOP Program is promoting economic development. In other words, through the program, the farmers have exploited, maintained, and brought into play the potential values of trades, craft villages, traditional craft villages, and regional specialties. Last but not least, the OCOP Program also attracts investment and boosts start-up motivation, which can be exemplified by the increasing models and projects applying new technologies, production ideas to develop agricultural products. The investment attraction is also very potential because, in the meantime, many Japanese and Korean enterprises are planning to invest in Vietnamese agriculture, providing more advantages for Vietnamese enterprises in the field.

On the other hand, the actual implementation of the program also has many shortcomings as follows. First of all, some localities have not been able to take initiative in raw materials and processing technologies because the transformation of rural economic development is still slow. Secondly, many products participating in the program, despite good quality, have not yet provided enough required documents such as production and business plans and environmental protection plans. Meanwhile, the story representing the product is still sketchy and has not yet linked with the local history and the traditional culture. Thirdly, the development of start-up companies in the agricultural sector in recent years has faced many challenges, some of which includes low income and production critical thinking, and the limited specialized policies to support startups. Finally, the completion of

## Current situation of “One Commune One Product” (OCOP) Program implementation in Vietnam

evaluation documents and product classification still causes confusion, while the story of the product is simple and has not yet related to the local history and the traditional culture.

### 3. SOLUTIONS

Thus, it can be concluded that in the context of negative climate change directly affecting agricultural production, the degree of globalization and international trade competition is increasingly putting pressure on agricultural production in Vietnam. Although important achievements have been made in the areas of food security and agricultural exports, the challenges still remain. The current trend in the world shows that the application of Science and Technology into production is indispensable and plays a particularly important role. Therefore, in the coming time, the participating units still need help from the Government to continue implementing the support policies, thus creating a truly favorable environment for the OCOP Program to develop.

In order for the key products of the locality in general and the group of businesses producing products made from rice and cereals in particular to be effectively enhanced, in the near future, central tasks and solutions need to be carried out as follows:

Firstly, product promotion and publicity events must be organized methodically and on a large scale so that people across the country can easily recognize the products.

Secondly, advertising information about regional specialties should be included in tourism promotion programs, not only domestically but also internationally, in order to further strengthen production linkages in the value chain, thus practicing the overall marketing.

Thirdly, community awareness about the value of high-quality agricultural products should be raised so that people can be more active in production, and machinery and technology investment to meet the high requirements of the OCOP Program.

Fourthly, financial and credit institutions nationwide need to do their research to offer a credit program that directly supports the OCOP Program in less than no time. In addition, the administrative procedures to support producers need to be implemented efficiently. Likewise, state management staff need to be enthusiastic and knowledgeable enough to direct and promote proposals and initiatives on production and products from the bottom up.

Fifthly, the workforce must be retrained to boost labor productivity. Especially, they need to adapt to new production conditions when technology is applied in the production process.

Sixthly, it is necessary to promote connections among businesses, between businesses and scientists, between businesses and farmers, between manufacturing and shipping businesses, as well as between businesses and the government.

Last but not least, businesses need to have a scientific production strategy to avoid the case of overproduction without a good storage plan which can easily cause damage and unnecessary waste. Enterprises always need to have contingency plans, which means not limiting themselves with a few consumer partners, but actively linking and expanding networks with other consumer partners.

### 4. CONCLUSIONS

After studying and analyzing the group of Vietnamese local businesses that manufacture products processed from rice and cereals, it can be seen that apart from the difficulties and challenges, the research results also show great opportunities for these businesses. Also, that businesses have their products meeting OCOP Program standards helps elevate their product images and affirm their brands in the market. For each business meeting OCOP Program standards, it will be the driving force for many other businesses to follow in their footsteps.

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## Problems with the Procedure for Granting Annual Leave and Suggestions for Their Solution



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**ABSTRACT:** The article examines and analyzes the procedure for granting annual leave to employees, problematic aspects of the application of legislation in this area, and also proposes proposals for their elimination based on the experience of foreign countries.

**KEYWORDS:** Employee, Leave, Right To Annual Leave, Vacation Schedule, Work Year, Calendar Year, International Standards.

### INTRODUCTION

The right to rest and vacation, which is recognized as an integral part of human rights, is an integral part of the legal status of every employee and manifests itself as a guarantee provided by the state. Providing employees with annual leave is aimed at compensating for the physical and mental stress received in the process of work, as well as restoring new strength and resources to continue working and maintaining proper health.

The universal international instrument adopted by the United Nations enshrines Article 24 of the Universal Declaration of Human Rights that "Everyone has the right to rest and leisure, including the right to limit his working day and to leave." [1. 118]

Article 38 of the Constitution of the Republic of Uzbekistan strengthens the right of all employees to rest. As noted by President Sh. Mirziyoyev, our encyclopedia fully guarantees the personal rights and freedoms, political, economic and social rights of citizens in full compliance with the requirements of the Universal Declaration of Human Rights and other major international instruments.[2. 103]

### THE MAIN FINDINGS AND RESULTS

The right of employees to rest, in particular, leave, is enshrined in our national legislation. However, it is worth noting that today there are some theoretical and practical problems with the leave, its components, the use of leave, the procedure for granting annual leave. Also, we can not say that the existing international standards on the procedure for granting annual leave and foreign practice fully comply with the rules established by our national legislation.

The duration of the annual leave is not less than the period established by law, and represents a certain amount of time provided to employees for uninterrupted rest and restoration of working capacity while maintaining average wages and employment [3. 219].

According to Article 133 of the Labor Code of the Republic of Uzbekistan, all employees, including those working on a part-time basis, are granted annual leave with a place of work (position) and salary for rest and rehabilitation. All employees, regardless of the form of ownership and the permanent, fixed, seasonal nature of the employment relationship, have the right to receive paid annual leave.

Every employee who has concluded an employment contract and has established an employment relationship with the employer is entitled to annual leave established by law. The right of employees to annual leave does not depend on the place of work, the job performed, the form of ownership based on the economic activity carried out in the enterprise, the term of the employment contract, working hours, etc.

Part-time workers with the right to annual leave are workers who work both part-time and part-time, home workers, individuals working under individual labor contracts, employees sent to enterprises by local labor authorities at the expense of

## Problems with the Procedure for Granting Annual Leave and Suggestions for Their Solution

the minimum number of jobs, other persons working at the base, as well as persons sentenced to correctional labor on a general basis.

Article 139 of the Labor Code establishes the general rule for calculating the period of leave of an employee on the calendar. In accordance with this article, the duration of leave is calculated in calendar working days on a six-day working week. Holidays that are not considered working days coincide with the holiday period, these holidays are not taken into account in the calculation of the holiday period. This arrangement ensures that the holidays have the same duration in both the five-day and six-day work weeks. When calculating the total period of annual leave, additional leave is added to the annual main leave, including extended leave.

When summarizing the leave established by the legislation, their total duration should not exceed 48 working days. When calculating the duration of holidays in proportion to the time worked, their duration is determined for each full year of vacation. In this case, days equal to or more than 15 calendar days are considered as one month, and less than 15 calendar days are excluded.

According to Article 134 of the Labor Code, the period of annual basic leave is set at least 15 working days. Certain categories of employees are entitled to extended annual leave, taking into account their age and health, in particular, to persons under 18 years of age - 30 calendar days; Persons with disabilities of groups I and II - 30 calendar days of leave.

The legislation also provides for annual extended leave for certain categories of employees, taking into account the specifics and characteristics of their job responsibilities, as well as other circumstances. It should also be noted that the total and minimum duration of extended leave is set. Therefore, in addition to those specified in labor laws or other regulations, the terms of the employment contract may also provide for extended annual leave.

As a rule, annual basic leave is granted after six months of service for the first working year. The working year is calculated from the date of appointment under the employment contract.

Annual basic leave is granted at any time of the working year in accordance with the leave schedule for two and subsequent working years. The order of granting annual leave shall be determined in accordance with the schedule before the beginning of the calendar year. The schedule will be completed after the end of the semester, taking into account the number of newly hired employees during this period. The vacation schedule is approved by the employer in conjunction with the trade union committee or other representative body of the employees.

The legislation also allows for the division of the holiday into parts. At the request of the employee, it is permissible to divide the leave into parts on the basis of his written application. In this case, the part of the vacation used should not be less than 12 working days.

With the adoption of the Labor Code of the Republic of Uzbekistan, the legislation on holidays has entered a new stage of development. It can be said that this document reflects the current trends in the development of state and law, as well as the norms governing the types and conditions of leave, the conditions and procedure for granting leave, which meet the requirements of international standards. Since then, the process of harmonization of previously existing documents with the Labor Code has begun, as well as the adoption of new rules for the implementation of this code. However, today there is a need to develop norms that determine the conditions and procedure for granting leave on the basis of international standards and the experience of foreign legislation. The implementation of international labor standards in our country and the inclusion of new terms in the labor legislation, based on world experience, show the need for the adoption of a new version of the Labor Code in our country. The new version of the draft Labor Code of the Republic of Uzbekistan, developed by the competent authorities and submitted for public discussion, includes a separate paragraph entitled "Annual leave" (§ 4), which contains Articles 228-247. A comparative analysis of the norms governing the annual leave included in the draft of this document with the existing norms in the current Labor Code and the existing problems in practice, as a result of studying the experience of foreign countries, the following recommendations are made:

Article 16 of the Labor Code of the Republic of Uzbekistan (Employee's basic labor rights) states that leave provided by paid annual leave is the right of every employee. However, in practice, there are many examples of complete and partial waiver of the right to leave, denial or restriction of this right by the employer. Therefore, it is expedient to include the norms prohibiting the right to leave and restriction of this right in the chapter or paragraph "Labor leave". The strengthening of this right in this order is the experience of a number of foreign countries. In particular, the right to paid annual leave is enshrined in Article 149 of the Labor Code of Belarus (Right to Labor and Social Leave)[4], Article 31 of the Labor Code of Georgia (Period of Vacation) [5], Article 149 of the Latvian Labor Code (Paid Annual Leave)[6], Moldovan Labor Article 112 of the Labor Code (Annual paid leave) [7], Article 91 of the Labor Code of Tajikistan (the right to paid annual leave and social leave) [8]. For example, the Latvian Labor Code (Article 149) provides for the right of each employee to annual paid leave, and the Labor Code of Tajikistan (Article 91) provides for the right to annual paid leave if there are grounds provided for in this Code.



## Problems with the Procedure for Granting Annual Leave and Suggestions for Their Solution

“Right to leave” and “right to leave” are different. In particular, the conclusion of an employment contract by an employee with the employer creates his right to leave, and the length of the employee's working period creates his right to leave. The fact that the Labor Code of Moldova (Article 112) cannot be the subject of waiver, denial and restriction of the right to leave, the Labor Code of Georgia (Article 31) provides for the waiver or denial of the right to annual paid leave the terms of the employment contract are not valid. **Based on this experience and in order to ensure the use of employees' leave, it is proposed to supplement the Labor Code with an appropriate provision: “The right to paid annual leave cannot be waived, denied or restricted. Any agreement to deny this right in whole or in part is not valid”.**

An individual approach is required by the employer in calculating each employee's leave. Regardless of the time of the year in which each employee is hired, the norm stipulating that the working year, which is considered to be granted annual leave, is a period of work equal to the calendar year, must be strengthened by current legislation. Therefore, it is expedient to clarify the term “working year” in the Labor Code. Based on the study of Article 163 (Working Year)[9] of the Labor Code of Belarus and Article 124 (Working Year)[10] of the Labor Code of the Kyrgyz Republic, it is proposed to supplement the draft Labor Code of the Republic of Uzbekistan with the following provisions:

**“An annual leave is a period of work equal to one calendar year and is calculated for each employee from the time of employment”.**

The coronavirus pandemic, now known as COVID-19, which has complicated the economic, social and other sectors of the peoples of the world, has in practice created a number of problems in labor relations between employers and employees. “The coronavirus is not only a global health crisis, but also a serious crisis in the labor market and the economy,” said Gay Ryder, director-general of the International Labor Organization. [11] Problems with the regulation of working hours, working hours, vacations and remuneration of employees in connection with the declaration of quarantine or state of emergency in many countries around the world have shown shortcomings in the existing regulations. In this situation, there was a need to create a legal basis for the procedure for granting an employee annual leave by the employer, as an exception, without complying with the leave schedule. Therefore, it is proposed to include in the Labor Code of the new draft the following provision, which provides for the granting of leave by the employer in exceptional cases without complying with the leave schedule:

**“The employer has the right to grant annual leave to all or certain categories of employees in the event of unforeseen circumstances and in the event of sudden suspension of work due to lack of raw materials, energy supply, natural disasters, losses”.**

Today, due to the increase in the volume of work in practice, there is a recall of employees from early leave. Special attention should be paid to the protection of the rights and interests of the employee recalled from leave in the legislation. That is, failure to comply with the employer's request to recall the leave should not be considered a violation of labor discipline, and the unused portion of the leave should be given to the employee at another time during the year or added to the next year's leave.

Based on the study of international labor standards and the rules set out in the Russian Labor Code (Article 125) and the Labor Code of Kazakhstan (Article 95), it is proposed to introduce the following rules for recalling an employee from annual leave:

**“Withdrawal from leave is allowed only in cases where it is necessary to continue work in an unpredictable situation, which requires the written consent of the employee. The grounds, conditions and procedure for recall from leave shall be determined by a collective agreement and other local documents.**

**Failure to comply with the employer's request for recall from leave shall not be considered a violation of labor discipline.**

**Payment for unused leave due to recall is not refundable by the employee. An employee recalled from leave shall be paid on a general basis.**

**The unused part of the leave must be given to the employee at another time during the current working year or added to the leave for the next working year. Refusal to use the remainder of the leave by the employee is not valid”.**

### Conclusion

Currently, it is important to harmonize and improve the regulatory framework for the provision of annual leave to employees in accordance with international labor standards. In our opinion, in order to eliminate the existing problems in the practice of granting annual leave to employees, to protect their rights and interests, it is advisable to take into account the above suggestions in the next reading of the new draft Labor Code.

## Problems with the Procedure for Granting Annual Leave and Suggestions for Their Solution

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## Influence of Organization and Leadership on Lecturer Performance



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**ABSTRACT:** This study aims to determine and analyze the influence of organization and leadership on lecturer performance. Based on the results of the discussion and testing, it can be concluded several things related to this research as follows: Simultaneously the variables of the school committee, organization, and leadership, simultaneously have a positive and significant effect on the performance of Lecturers of the Faculty of Economics, Sisingamangaraja XII University Tapanuli, marked by  $F_{count} = 29.324$  and  $F_{table} = 2.87$  in this case  $F_{count}$  is greater than  $F_{table}$  and the significant value is 0.00 less than the alpha value of 0.05. Partially, the school committee variable has no significant effect on the performance of the Lecturer of the Faculty of Economics at Sisingamangaraja XII Tapanuli University which is indicated by the  $t_{count}$  value for the school committee variable ( 1.180) is smaller than  $t_{table}(3.18)$  or sig value (0.246) is greater than alpha (0.025). Partially, organizational variables have a positive and significant effect on the performance of Lecturers of the Faculty of Economics, Sisingamangaraja University XII Tapanuli which is indicated by the  $t_{count}$  value for the organizational variable (6.096) which is greater than  $t_{table}$  (3.18) or the sig value (0.000) is smaller than alpha (0.025). ). Partially, the leadership variable has a positive and significant effect on the performance of the Lecturer of the Faculty of Economics, Sisingamangaraja XII Tapanuli University, which is indicated by the t-count value for the leadership variable (4.081) which is greater than  $t_{table}$  (3.18) or the sig (0.000) value is smaller than alpha (0.025). The  $R^2$  value obtained is 0.710 or 71.0% which shows the ability of the school committee, organization, and leadership variables in explaining the variations that occur in Lecturer Performance is 71.0%, while the remaining 29.0% is explained by other variables that not included in the model, for example curriculum, lecturer certification, school facilities and others

**KEYWORDS:** School Committee, Organization, Leadership, Performance

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### INTRODUCTION

Lecturers as educators are at the forefront of improving the quality of the nation's education, for that the government must be serious and continuously pay attention to various matters relating to the performance of lecturers so that lecturers can play a good role in improving the quality of the nation's education.

To improve the performance of Lecturers of the Faculty of Economics, University of Sisingamangaraja XII Tapanuli, the school carried out many programs and policies and utilized various available resources to improve the performance of Lecturers of the Faculty of Economics Unita, from many factors that could affect the performance of Lecturers. Organization includes reflection and desire, hope and aspiration to achieve an impactful result with work through the way that Lecturers take to produce the best. Organizations in schools are related to hierarchy, job security, openness and closure of schools to the community, work comfort and satisfaction of lecturers and other personnel.

A good organization will provide comfort for lecturers in carrying out their duties in schools with a good climate, the performance of lecturers will increase while a bad organization will certainly interfere with many things in the teaching and learning process and also in other work at school, the climate is not good will make the Lecturer less comfortable working and will certainly result in the low performance of the Lecturer. Likewise, leadership which is the ability to influence is needed in a school so that lecturers can and want to carry out various jobs well, with poor leadership, lecturers will not be able to achieve high performance in school.

From the background and phenomena presented above, the authors try to conduct research by discussing the above variables such as: Organization, leadership, and Lecturer performance, with the research title "Influence, Organization and leadership on the performance of Lecturers of the Faculty of Economics, Sisingamangaraja XII University Tapanuli"

## **Influence of Organization and Leadership on Lecturer Performance**

### **FORMULATION OF THE PROBLEM**

Based on the background described above, the problem is formulated as follows:

1. How is the influence of the Organization on the performance of the Faculty of Economics Unita
2. How is the influence of leadership on the performance of the Lecturer of the Faculty of Economics Unita
3. How is the influence of the school committee, organization and leadership simultaneously on the performance of the Lecturer of the Faculty of Economics Unita

### **RESEARCH PURPOSES**

This study aims to identify and analyze:

1. Knowing and analyzing how the organization's influence on the performance of the Faculty of Economics Unita
2. Knowing and analyzing how the influence of leadership on the performance of the Lecturer of the Faculty of Economics Unita
3. Knowing and analyzing the influence of school committees, organizations and leadership simultaneously on the performance of Lecturers of the Faculty of Economics Unita

### **LITERATURE REVIEW**

#### **Organization**

The existence of an organization cannot be separated from the influence of the internal environment of the organization and the influence of the external environment of the organization. Organizations or departments will not be dynamic and develop if the organization is not always open to its environment. Every organization always interacts with each environment, organizational climate internally, or interacts individually with its members. Organizations always want their position to exist in the midst of society. The existence of the vision of the organization or company in carrying out its programs shows that the organization shows the existence of harmony between fellow leaders and their subordinates.

According to Timpe (1993:4), the organization is a series of work environments that can be measured based on the collective and various people who carry out work within the organization and at the same time there is mutual influence between one another with certain goals. Meanwhile, according to Steers (1985: 120) that the organization is the characteristics or characteristics that are felt in the organization, there is a work environment that carries out tasks that tend to influence the behavior of everyone in the organizational environment.

From some of the opinions of these experts that the organization is more focused on the internal environment of the organization. The internal environment in the organization that has variations and various patterns of behavior, culture, attitudes and tendencies of employees or employees in carrying out their duties, as well as the organizational structure greatly affects the behavior and the organization.

#### **Definition of Leadership**

Echols and Shadiliy (1996:351) write that leader means leader, leadership means leader, leadership. The use of the term leader which has the meaning of leadership has become part of the terminology in the world of education, especially with regard to the duties and functions of the principal. Leaders and leadership when associated with the principal are the work patterns of someone who has the authority to become the leader of an educational institution. Therefore, discussing the problem of leadership (leadership) as a form of work done, cannot be separated from the discussion and the overall performance of the principal

Wahjosomidjo (2001:17), suggests that, through the communication process, toward the attainment of a specified goal or goals. Furthermore, Nawawi (1989:82), that in leadership the leader factor cannot be separated from the factor of the person being led, both are interdependent so that one cannot exist without the other. Leadership is a process of interaction between the two parties, namely the leader and the led in a human relationship. For this reason, views are often encountered that place the human relationship factor as the core of leadership.

The role of the principal as a leader in educational institutions is an effort that must be able to influence, encourage and mobilize all school members in an effort to achieve common goals.

Leadership is the way or effort of the principal in influencing, encouraging, guiding, directing and mobilizing lecturers, staff, students, parents and other related parties to work / participate in achieving the goals that have been set. In short, how do principals "make" others work to achieve school goals. (Depdikbud, 1999:12).

#### **Understanding Performance**

Performance (performance) is the result of work that is concrete, observable, measurable (Irawan, 1997:11). Observable and measurable work results indicate that the work results can be accounted for. According to As'ad (1987:47) performance is the

## Influence of Organization and Leadership on Lecturer Performance

level of success of a person in carrying out his job duties. Both understandings emphasize the success of a person in carrying out their duties, but it should not be ignored that human work does not always produce tangible forms. Furthermore, Meiyer (1983:156) says that job performance is a person's success in carrying out work. Success in the implementation of work is a form of one's performance in a job.

### RESEARCH METHODS

#### Research Location and Time

The location or place of research is the Faculty of Economics, University of Sisingamangaraja XII Tapanuli in November 2019

#### Population and Sample

Population is a group or collection of all elements or individuals who are sources of information in a research. The population in this study were all lecturers of the Faculty of Economics Unita totaling 40 people, and the entire population was sampled in this study or said to be a saturated sample.

#### Data analysis technique

1. F-Test (Simultaneous Test)
2. T test (Partial Test)
3. Multiple Linear Analysis

### RESULTS AND DISCUSSION

#### Data Descriptive Analysis

The data obtained from the results of descriptive analysis, shows the highest value (maximum), lowest value (minimum), average (mean) and standard deviation of each variable studied for the hypothesis, both independent variables, namely school committee, organization, and leadership. and the dependent variable is the performance of the Unita Faculty of Economics lecturer. The results of the descriptive analysis can be seen in table 1 below:

**Table 1. Analysis of Research Description**

Descriptive Statistics					
	N	Minimum	Maximum	Mean	Std. Deviation
Organization	40	13	25	19,95	2,417
Leadership	40	24	45	34,83	3,816
Performance Lecturer	40	28	44	33,73	3,987
Valid N (listwise)	40				

Source: Research Results 2019 (data processed)

From Table 1 above, it can be seen that the average variable X1 (Organization) is 19.95, the highest value is 25 and the lowest value is 13, while the standard deviation is 2.417. The average variable X3 (leadership) is 34.83, the highest value is 45 and the lowest value is 24, while the standard deviation is 3.816. The average variable Y (Lecturer Performance) is 33.73, the highest value is 44 and the lowest value is 28, while the standard deviation is 3.987.

#### Coefficient of Determination (R<sup>2</sup>)

The coefficient of determination aims to measure how far the model's ability, namely the variation of the independent variables, namely the school committee, organization, and leadership in explaining the variation of the dependent variable, namely the performance of the Lecturer of the Faculty of Economics Unita. The value of the coefficient of determination R<sup>2</sup> can be seen in Table 2:

**Table 2. Coefficient of Determinants (R<sup>2</sup> Test)**

Model Summary <sup>b</sup>					
Model	R	R Square	Adjusted R Square	Std. Error of the Estimate	Durbin-Watson
1	,842 <sup>a</sup>	,710	,685	2,236	2,708

a. Predictors: (Constant), Principal Leadership, School Committee, Organizational Climate

b. Dependent Variable: Lecturer Performance

Source: Research Results, 2019 (data processed)



## Influence of Organization and Leadership on Lecturer Performance

The R2 value obtained is 0.710 or 71.0% which indicates the ability of the school committee, organization, and leadership variables in explaining the variations that occur in Lecturer Performance is 71.0%, while the remaining 29.0% is explained by other variables that are not included in the model for example curriculum, lecturer certification, school facilities and others.

### Simultaneous Test (F Test)

To test this hypothesis, F statistic is used with decision criteria. If the value of Fcount is greater than Ftable, then H0 is rejected and H1 is accepted. Based on Table 3 below, it can be seen that Fcount = 29.324 and Ftable = 2.87 in this case Fcount is greater than Ftable and the significant value is 0.00 less than the alpha value of 0.05, so the decision taken is H0 is rejected and H1 is accepted. The acceptance of the alternative hypothesis shows that the independent variables of the school committee, organization, and leadership are able to explain the diversity of the dependent variable, namely the Performance of the Lecturer of the Faculty of Economics Unita (Y), so in this case the variables of the school committee, organization, and leadership simultaneously have a significant effect on the performance of the Lecturer of the Faculty of Economics Unita.

**Table 3. Simultaneous Test (F Test)**

ANOVA <sup>a</sup>					
Model	Sum of Squares	df	Mean Square	F	Sig.
1 Regression	439,943	3	146,648	29,324	,000 <sup>b</sup>
Residual	180,032	36	5,001		
Total	619,975	39			

Dependent Variable: Lecturer Performance

Predictors: (Constant), Principal Leadership, School Committee, Organizational Climate

Source: Research Results, (processed data)

### Partial Test (t Test)

Partial testing was carried out in two directions, using an alpha significance level of 2.5%. Hypothesis testing is done by comparing the value of tcount with the value of ttable with the decision criteria are:

If tcount < ttable H0 is accepted or H1 is rejected

If tcount > ttable H0 is rejected or H1 is accepted

Based on Table 4, it can be seen that the constant value is 2.322 and the coefficient value of each variable is 0.101 for X1 and 0.416 for X2. Then the regression model for this research is as follows:

$$Y = 2.322 + 0.986X_1 + 0.416X_2$$

Where :

Y = Lecturer Performance

X1 = Organization

X2 = Leadership

**Table 4. Partial Test (t Test)**

#### Coefficients<sup>a</sup>

Model	Unstandardized Coefficients		Standardized Coefficients	t	Sig.
	B	Std. Error	Beta		
(Constant)	2,322	4,106		,566	,575
Organization	,986	,162	,598	6,096	,000
Leadership	,416	,102	,398	4,081	,000

Source: Research Results, 2015 (processed data)

From Table 4. above, the following results are obtained:

1. The value of tcount for the Organization variable (6.096) is greater than ttable (3.18) or the value of sig (0.000) is smaller than alpha (0.025). Based on the results obtained, Ho is rejected and H1 is accepted for the Organization variable. These results explain that partially the Organization has a positive and significant effect on the performance of the Unita Faculty of

## Influence of Organization and Leadership on Lecturer Performance

Economics lecturers, or in other words that the Unita Faculty of Economics Organizations have a strong role in improving the performance of the lecturers, or in influencing the performance of the lecturers.

2. The tcount value for the leadership variable (4.081) is greater than ttable (3.18) or the sig value (0.000) is smaller than alpha (0.025). Based on the results obtained, Ho is rejected and H1 is accepted for the leadership variable, then partially leadership has a positive and significant influence on the performance of Lecturers of the Faculty of Economics, Sisingamangaraja XII Tapanuli University or in other words that leadership has a strong role in improving or influencing the performance of Lecturers of the Faculty of Economics. Unita.

## CONCLUSION

Based on the results of the discussion and testing in the previous chapter, it can be concluded several things related to this research as follows:

1. Simultaneously Organization and leadership, simultaneously have a positive and significant effect on the performance of Lecturers of the Faculty of Economics, Sisingamangaraja University XII Tapanuli, marked by Fcount = 29.324 and Ftable = 2.87 in this case Fcount is greater than Ftable and the significant value is 0.00 less than alpha value 0.05
2. Partially, organizational variables have a positive and significant effect on the performance of Lecturers of the Faculty of Economics, Sisingamangaraja University XII Tapanuli which is indicated by the tcount value for the organizational variable (6.096) which is greater than ttable (3.18) or the sig value (0.000) is smaller than alpha ( 0.025).
3. Partially the leadership variable has a positive and significant effect on the performance of Lecturers of the Faculty of Economics, Sisingamangaraja University XII Tapanuli, indicated by the t-value for the leadership variable (4.081) greater than ttable (3.18) or the sig (0.000) value smaller than alpha ( 0.025).
4. The R2 value obtained is 0.710 or 71.0% which shows the ability of the school committee, organization, and leadership variables in explaining the variations that occur in Lecturer Performance is 71.0%, while the remaining 29.0% is explained by other variables that not included in the model, for example curriculum, lecturer certification, school facilities and others

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## **Influence of Organization and Leadership on Lecturer Performance**

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## The Effect of Leadership Style on Employee Performance with Work Motivation as Intervening Variable



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**ABSTRACT:** The purpose of this study was to find out how the influence of leadership style on the performance of the Customs and Excise Supervision and Customs Service Office Employees Type C Kuala Tanjung and to find out how the influence of the leadership style on the performance of the Customs and Excise Supervision and Customs Service Office Employees Type C Kuala Tanjung. with Work Motivation as the intervening variable, this research was conducted at the Customs and Excise Supervision and Service Office Type C, Kuala Tanjung, Jalan Akses Road PT. Inalum Kuala Tanjung, Sei Suka District, Batu Bara Regency and the results of this study show. (1) It can be seen that the magnitude of the adjusted R square value is 0.679 or 67.9%. This shows that work motivation (Z) and leadership style (X) can explain employee performance (Y) by 67.9%, the remaining 32.1% (100% - 67.9%) is explained by other variables outside the model. this research. (2) The results of the t-test (partial) can be seen that the value of tcount (1.478) < ttable (2.045), as well as the significance value of 0.150 > 0.05, it can be concluded that the first hypothesis is rejected, meaning that the leadership style variable (X) is not positive and significant effect on work motivation (Z). (3) The results of the t-test (partial) can be seen that the value of tcount (7.772) > ttable (2.045), and the significance value of 0.00 < 0.05, it can be concluded that the second hypothesis is accepted, meaning that leadership style (X) has a significant effect on employee performance (Y). (4) The results of the path analysis show that the direct influence of leadership style (X) on employee performance (Y) is 0.849. Meanwhile, the indirect effect through work motivation (Z) is  $0.269 \times 0.407 = 0.109$ . From the calculation results obtained, it shows that the indirect effect through work motivation (Z) is smaller than the direct effect on employee performance (Y).

**KEYWORDS:** Leadership Style, Work Motivation, and Employee Performance

### I. INTRODUCTION

Human resource management is very necessary to regulate and organize every employee in each field. One of these tasks is carried out by the personnel field which is assigned to manage employees in certain fields and organize them. In the era of globalization, the field of personnel began to play a wider role for the selection, training, placement or promotion of employees.

The Customs and Excise Service Supervision and Customs Office of Middle Type C Kuala Tanjung conducts Monitoring the Development of Market Transaction Prices for Tobacco Products in the working area of the Customs and Excise Service Office of Middle Type C Kuala Tanjung. For the period September 2019 the Customs and Excise Supervision and Service Office of Intermediate Customs C Kuala Tanjung carried out from 03 September 2019 to 05 September 2019 with the designated areas including Tebing Tinggi Kota District, Pegajahan District, Teluk Mengkudu District, Dolok Merawan District, Syahbandar Cliff District. This activity was carried out in accordance with the Memorandum of Service of the Technical Director and Excise Facilities of DJBC number: ND-670/BC.04/2019 dated August 22, 2019. The activity was carried out by recording tobacco products that were on the display/storefront at the Retail Sales Place (TPE). covering modern stores or traditional stores by recording information on the selling price of cigarettes sold with those listed on the excise tape. On this occasion also the officers of the Customs and Excise Service and Supervision Office of Intermediate Customs C Kuala Tanjung socialized the circulation of illegal cigarettes with the slogan "Greeting Illegal Cigarettes". It is possible to provide maximum output from the potential of its human resources. Nowadays, employee performance is one of the motors in moving activities within the organization. This is important because every office has competitors, so each office will try to improve the performance of its employees so that they are not left behind by their competitors.

## **The Effect of Leadership Style on Employee Performance with Work Motivation as Intervening Variable**

Democratic leaders are very good, especially when applied in organizations that have critical members. However, we see in practice in the field, this type of democratic leadership also has weaknesses. Especially if an organization consists of members who think critically. The fact of leadership style here is explained that there is pressure given by superiors to complete all work on time so that it presents a rigid atmosphere, complaints occur because of discomfort in the office which is considered one of the authoritarian leadership styles.

A leader must be able to provide good work motivation for his employees. Work motivation will affect employees in carrying out their work processes in the office, so a good leadership style will not guarantee the success of an office if the employees do not have good motivation at work. The work motivation of employees will measure the work loyalty given by an employee to the office where he works. A leader must be able to establish good communication with his employees. Not only that, but there are times when employees in the office must also take part in the problems that are being experienced by the office.

### **Formulation of the problem**

In connection with the above, the problems to be answered in this study are:

1. Does Leadership Style Affect the Work Motivation of the Customs and Excise Supervision and Customs Service Office Type C Kuala Tanjung?
2. Does the leadership style affect the performance of the Customs and Excise Supervision and Excise Office Employees Type C Kuala Tanjung?
3. Does work motivation affect the performance of the Customs and Excise Supervision and Excise Office Employees Type C Kuala Tanjung?
4. Does the Leadership Style affect the Performance of the Customs and Excise Supervision and Excise Office Employees Type C Kuala Tanjung with Work Motivation as an intervening variable?

### **Research purposes**

The objectives of this research are:

- a. To find out how the influence of Leadership Style on Work Motivation of Customs and Excise Supervision and Customs Service Office Type C Kuala Tanjung.
- b. To find out how the influence of leadership style on the performance of the Customs and Excise Supervision and Customs Service Office Employees Type C Kuala Tanjung
- c. To find out how the influence of work motivation on the performance of the Customs and Excise Supervision and Customs Service Office Employees Type C Kuala Tanjung
- d. To find out how the influence of Leadership Style on the Performance of Customs and Excise Supervision and Excise Office Employees Type C Kuala Tanjung with Work Motivation as an intervening variable.

## **II. THEORETICAL BASIS**

### **Human Resource Management**

According to Handoko (2011: 3), human resource management is the withdrawal, selection, development, maintenance, and use of human resources to achieve both individual and organizational goals. According to Dessler (2015: 3), human resource management is the process of acquiring, training, appraising, and compensating employees and for managing labor relations, health and safety, and matters relating to justice. According to Simamora in Sutrisno (2015:5), human resource management is the utilization, development, assessment, remuneration and management of individual members of the organization or group of workers.

### **Leadership Style**

The leadership style generally assumes that the opinion of the crowd is better than his own opinion and that participation will lead to responsibility for its implementation. Another assumption is that participation provides an opportunity for members to develop themselves for their employees so that employees can continue to be innovative and creative (Rivai, 2014). These styles can vary on the basis of motivation, power or orientation to a particular task or person. Among several leadership styles, there are positive and negative leaders, where the difference is based on the way and their efforts to motivate their subordinates. If the approach in providing motivation is emphasized on rewards (both economic and non-economic), it means that a positive leadership style has been used. Conversely, if the approach emphasizes punishment or punishment, it means that he applies a negative leadership style. This second approach can result in acceptable achievements in most situations, but at the expense of human beings.



# The Effect of Leadership Style on Employee Performance with Work Motivation as Intervening Variable

## Employee Performance

Performance refers to the employee's achievement which is measured based on the standards or criteria set by the office. The definition of performance or work performance is defined as a person's success in carrying out a job. Bastian (2010:2) states that performance is a description of the level of achievement of the implementation of an activity/program/policy in realizing the goals, objectives, mission and vision of the organization contained in the formulation of an organization's strategic scheme (strategic planning). So, performance is the willingness of a person or group of people to carry out activities or perfect them in accordance with their responsibilities with the expected results.

## Work motivation

B. Uno Hamzah (2012:71) which states; "Work motivation is one of the factors that determine a person's performance, the size of the influence of work motivation on a person's performance depends on how much intensity of motivation is given. Human behavior is actually only the simplest reflection of their basic motivation. In order for human behavior to be in accordance with organizational goals, there must be a combination of motivation to fulfill their own needs and the demands of the organization. Human behavior is caused or initiated by motivation. According to Samsudin (2010: 281) suggests that motivation is the process of influencing or pushing from outside on a person or work group so that they want to carry out something that has been determined.

## III. RESEARCH METHODS

### Research Location and Time

This research was conducted at the Customs and Excise Supervision and Service Office Type C, Kuala Tanjung, Jalan Akses Road PT. Inalum Kuala Tanjung, Sei Suka Subdistrict, Batu Bara Regency. The time of this research began in January 2020 to August 2020.

### Population and Sample

The population is a generalization area consisting of objects or subjects that have certain qualities and characteristics determined by researchers to be studied and drawn conclusions (Sugiyono, 2017). In this study, the population was employees of the General Subdivision of Customs and Excise Supervision and Customs Service Office Type C Kuala Tanjung, which was as many as 30 people. Sample measurement is a step to determine the size of the sample taken in carrying out research on an object. To determine the size of the sample can be done with statistics or based on research estimates. This sampling must be carried out in such a way that a sample is obtained that can truly function or can describe the actual state of the population, in other terms it must be representative. Based on the number of populations in this study whose numbers did not reach the minimum number of Big Size Samples, the sampling technique used was the census method, which took the entire population to be used as samples in this study, which amounted to 30 employees of the General Subdivision of the Customs and Excise Supervision and Service Office. Middle Type Customs C Kuala Tanjung which will be used as the research sample.

### Data analysis technique

Data analysis is a desire to group, make a sequence, manipulate and abbreviate data so that it is easy to read and understand. In other words, data analysis activities are raw data that has been collected and needs to be categorized or divided into several categories or groups, abbreviated in such a way that the data can answer the problem according to the research objectives and can test hypotheses (Silaen and Widiyono, 2013).

1. **Classical Assumption Test**
2. **Simple Linear Regression Analysis**
3. **Hypothesis Test**

## IV. RESULT AND DISCUSSION

### Classical Assumption Test of Equation I

The testing of classical assumptions with the SPSS 25.00 program carried out in this study includes:

1. **Normality Test**

Normality test aims to test whether in the regression model, the confounding or residual variables have a normal distribution (Ghozali, 2016). Testing the normality of the data can be done using two methods, graphs and statistics. The normality test of the graph method uses a normal probability plot, while the statistical method normality test uses the one sample Kolmogorov Smirnov Test. Data that is normally distributed will form a straight diagonal line and plotting the residual data will be

## The Effect of Leadership Style on Employee Performance with Work Motivation as Intervening Variable

compared with a diagonal line, if the distribution of residual data is normal, the line that describes the actual data will follow the diagonal line (Ghozali, 2016). The test results using SPSS 25.00 are as follows:

**Table 1. Test One Sample Kolmogorov Smirnov Test**  
**One-Sample Kolmogorov-Smirnov Test**

		Unstandardized Residual	
N		30	
Normal Parameters <sup>a,b</sup>	Mean	.0000000	
	Std. Deviation	1.63295971	
Most Extreme Differences	Absolute	.140	
	Positive	.140	
	Negative	-.072	
Test Statistic		.140	
Asymp. Sig. (2-tailed)		.139 <sup>c</sup>	
Monte Carlo Sig. (2-tailed)	Sig.	.600 <sup>d</sup>	
	99% Confidence Interval	Lower Bound	.370
		Upper Bound	.830

a. Test distribution is Normal.

b. Calculated from data.

c. Lilliefors Significance Correction.

d. Based on 30 sampled tables with starting seed 1314643744.

**Source:** Data processed 4 (2020)

From the output in table 1, it can be seen that the significance value (Monte Carlo Sig.) of all variables is 0.600. If the significance is more than 0.05, then the residual value is normal, so it can be concluded that all variables are normally distributed.

### Simple Linear Regression Test

Simple linear regression test explains the magnitude of the role of leadership style (X) on work motivation (Z). Data analysis in this study used simple linear regression analysis using SPSS 25.00 for windows. The analysis of each variable is described in the following description:

**Table 2. Simple Linear Regression Results**

#### Coefficients<sup>a</sup>

Model	Unstandardized Coefficients		Standardized Coefficients			Collinearity Statistics	
	B	Std. Error	Beta	t	Sig.	Tolerance	VIF
1 (Constant)	8.030	2.546		3.154	.004		
Gaya_Kepemimpinan_X	.240	.162	.269	1.478	.150	1.000	1.000

a. Dependent Variable: Motivation\_Work\_Z

**Source:** Data processed (2020)

Based on these results, a simple linear regression equation has the formulation:  $Z = a + b_1X + \dots$ , so that the equation is obtained:  $Z = 8.030 + 0.240 X + \dots$

The description of the simple linear regression equation above is as follows:

- The constant value (a) of 8.030 indicates the magnitude of work motivation (Z) if the leadership style (X) is equal to zero.
- The regression coefficient value of leadership style (X) (b<sub>1</sub>) of 0.240 indicates the magnitude of the role of leadership style (X) on work motivation (Z). This means that if the leadership style factor (X) increases by 1 unit value, it is predicted that work motivation (Z) will increase by 0.240 units.

## The Effect of Leadership Style on Employee Performance with Work Motivation as Intervening Variable

### Coefficient of Determination (R<sup>2</sup>)

The coefficient of determination is used to see how much the independent variable contributes to the dependent variable. The greater the value of the coefficient of determination, the better the ability of the independent variable to explain the dependent variable. If the determination (R<sup>2</sup>) is getting bigger (closer to 1), it can be said that the influence of leadership style (X) is large on work motivation (Z). The value used to see the coefficient of determination in this study is in the adjusted R square column. This is because the adjusted R square value is not susceptible to the addition of independent variables. The value of the coefficient of determination can be seen in Table 4.9 below:

**Table 3. Coefficient of Determination**

Model Summary <sup>b</sup>					
Model	R	R Square	Adjusted R Square	Std. Error of the Estimate	Durbin-Watson
1	.269 <sup>a</sup>	.072	.039	1.662	2.026

a. Predictors: (Constant), Gaya\_Kepemimpinan\_X

b. Dependent Variable: Motivasi\_Kerja\_Z

Source: Data processed 4 (2020)

Based on table 3, it can be seen that the adjusted R square value is 0.039 or 39%. This shows that leadership style (X) can explain work motivation (Z) by 39%, the remaining 96.1% (100% - 96.1%) is explained by other variables outside this research model such as organizational culture, work discipline. and work environment.

### Classical Assumption Test Equation II

The testing of classical assumptions with the SPSS 25.00 program carried out in this study includes:

#### 2. Normality Test

Normality test aims to test whether in the regression model, the confounding or residual variables have a normal distribution (Ghozali, 2016). Testing the normality of the data can be done using two methods, graphs and statistics. The normality test of the graph method uses a normal probability plot, while the statistical method normality test uses the one sample Kolmogorov Smirnov Test. Data that is normally distributed will form a straight diagonal line and plotting the residual data will be compared with a diagonal line, if the distribution of residual data is normal, the line that describes the actual data will follow the diagonal line (Ghozali, 2016). The test results using SPSS 25.00 are as follows:

**Table 4. One Sample Kolmogorov Smirnov Test**

One-Sample Kolmogorov-Smirnov Test			
			Unstandardized Residual
N			30
Normal Parameters <sup>a,b</sup>	Mean	.0000000	
	Std. Deviation	.85389550	
Most Extreme Differences	Absolute	.121	
	Positive	.060	
	Negative	-.121	
Test Statistic			.121
Asymp. Sig. (2-tailed)			.200 <sup>c,d</sup>
Monte Carlo Sig. (2-tailed)	Sig.	.567 <sup>e</sup>	
	99% Confidence Interval	Lower Bound	.334
		Upper Bound	.800

a. Test distribution is Normal.

b. Calculated from data.

c. Lilliefors Significance Correction.

d. This is a lower bound of the true significance.

e. Based on 30 sampled tables with starting seed 624387341.

Source: Data processed (2020)

## The Effect of Leadership Style on Employee Performance with Work Motivation as Intervening Variable

From the output in table 4. it can be seen that the significance value (Monte Carlo Sig.) of all variables is 0.567. If the significance is more than 0.05, then the residual value is normal, so it can be concluded that all variables are normally distributed.

### 3. Multicollinearity Test

The multicollinearity test aims to determine whether there is a correlation between the independent variables in the regression model. The multicollinearity test in this study is seen from the tolerance value or variance inflation factor (VIF). The calculation of the tolerance value or VIF with the SPSS 25.00 program for windows can be seen in Table 5 below:

**Table 5. Multicollinearity Test Results**  
Coefficients<sup>a</sup>

Model		Unstandardized Coefficients		Standardized Coefficients	T	Sig.	Collinearity Statistics	
		B	Std. Error	Beta			Tolerance	VIF
1	(Constant)	5.449	1.578		3.452	.002		
	Gaya_Kepemimpinan_X	.696	.090	.849	7.772	.000	.928	1.078
	Motivasi_Kerja_Z	.375	.101	.407	3.724	.001	.928	1.078

a. Dependent Variable: Kinerja\_Pegawai\_Y

Source: Data processed (2020)

Based on table 5, it can be seen that the tolerance value of leadership style (X) is 0.928, work motivation (Z) is 0.928, all of which are greater than 0.10 while the VIF value of leadership style (X) is 1.078, work motivation (Z) of 1.078 where all of them are smaller than 10. Based on the results of the above calculations, it can be seen that the tolerance value of all independent variables is greater than 0.10 and the VIF value of all independent variables is also smaller than 10 so that there is no correlation symptom in the independent variables. So it can be concluded that there is no symptom of multicollinearity between independent variables in the regression model.

### 4. Heteroscedasticity Test

The heteroscedasticity test aims to test whether from the regression model there is an inequality of variance from the residuals of one observation to another observation. A good regression model is one with homoscedasticity or no heteroscedasticity. One way to detect the presence or absence of heteroscedasticity is the Glejser test, in the Glejser test, if the independent variable is statistically significant in influencing the dependent variable, then there is an indication of heteroscedasticity. On the other hand, if the independent variable is not statistically significant in influencing the dependent variable, then there is no indication of heteroscedasticity. This is observed from the significance probability above the 5% confidence level (Ghozali, 2016). Gelsjer test results from data processing using SPSS 25.00 show the results in table 6 below:

**Table 6. Glejser Test Results**

Model		Unstandardized Coefficients		Standardized Coefficients	t	Sig.
		B	Std. Error	Beta		
1	(Constant)	.726	.864		.841	.408
	Gaya_Kepemimpinan_X	.026	.049	.104	.525	.604
	Motivasi_Kerja_Z	-.036	.055	-.131	-.661	.514

a. Dependent Variable: Abs\_RES

Source: Data processed 4 (2020)

Based on table 6 shows the leadership style variable has a significance value of 0.604 greater than 0.050 and the work motivation variable (Z) has a significant value of 0.514 which is greater than 0.050 so it can be concluded that there are no symptoms of heteroscedasticity.

### Multiple Linear Regression Test

Multiple linear regression testing explains the magnitude of the role of leadership style (X) and work motivation (Z) on employee performance (Y). Data analysis in this study used multiple linear regression analysis using SPSS 25.00 for windows. The analysis of each variable is described in the following description:

## The Effect of Leadership Style on Employee Performance with Work Motivation as Intervening Variable

**Table 7. Results of Multiple Linear Regression Coefficients<sup>a</sup>**

Model		Unstandardized Coefficients		Standardized Coefficients	t	Sig.	Collinearity Statistics	
		B	Std. Error	Beta			Tolerance	VIF
1	(Constant)	5.449	1.578		3.452	.002		
	Gaya_Kepemimpinan_X	.696	.090	.849	7.772	.000	.928	1.078
	Motivasi_Kerja_Z	.375	.101	.407	3.724	.001	.928	1.078

a. Dependent Variable: Performance\_Employee\_Y

Based on these results, the multiple linear regression equation has the formulation:  $Y = a + b_1X + b_2Z +$ , so that the equation is obtained:  $Y = 5.449 + 0.696X + 0.375Z +$

The description of the multiple linear regression equation above is as follows:

- The constant value (a) of 5.449 indicates the magnitude of employee performance (Y) if the leadership style (X) and work motivation (Z) are equal to zero.
- The regression coefficient value of leadership style (X) (b<sub>1</sub>) of 0.696 indicates the magnitude of the role of leadership style (X) on employee performance (Y) with the assumption that the work motivation variable (Z) is constant. This means that if the leadership style factor (X) increases by 1 unit value, it is predicted that employee performance (Y) will increase by 0.696 unit value with the assumption that work motivation (Z) is constant.
- The regression coefficient of work motivation (Z) (b<sub>2</sub>) of 0.375 indicates the magnitude of the role of work motivation (Z) on employee performance (Y) with the assumption that the leadership style variable (X) is constant. This means that if the work motivation factor (Z) increases by 1 unit value, it is predicted that employee performance (Y) will increase by 0.375 unit value with the assumption that the leadership style (X) is constant.

### Coefficient of Determination (R<sup>2</sup>)

The coefficient of determination is used to see how much the independent variable contributes to the dependent variable. The greater the value of the coefficient of determination, the better the ability of the independent variable to explain the dependent variable. If the determination (R<sup>2</sup>) is getting bigger (closer to 1), it can be said that the influence of leadership style (X) is large on work motivation (Z). The value used to see the coefficient of determination in this study is in the adjusted R square column. This is because the adjusted R square value is not susceptible to the addition of independent variables. The value of the coefficient of determination can be seen in Table 8 below:

**Table 8 Coefficient of Determination Model Summary<sup>b</sup>**

Model	R	R Square	Adjusted Square	R	Std. Error of the Estimate	Durbin-Watson
1	.837 <sup>a</sup>	.701	.679	.885	1.895	

a. Predictors: (Constant), Motivation\_Work\_Z, Leadership\_Style\_X

b. Dependent Variable: Performance\_Employee\_Y

Source: Data processed (2020)

Based on table 8, it can be seen that the adjusted R square value is 0.679 or 67.9%. This shows that work motivation (Z) and leadership style (X) can explain employee performance (Y) by 67.9%, the remaining 32.1% (100% - 67.9%) is explained by other variables outside the model. this research such as organizational culture, work discipline and environment.

### A. Hypothesis Test

#### 1. t test (Partial)

The t statistic test is also known as the individual significance test. This test shows how far the influence of the independent variable partially on the dependent variable. In this study, partial hypothesis testing was carried out on each independent variable as shown in Table 4.15 below:

## The Effect of Leadership Style on Employee Performance with Work Motivation as Intervening Variable

**Table 9 Partial Test (t) Equation I**  
**Coefficients<sup>a</sup>**

Model		Unstandardized Coefficients		Standardized Coefficients	T	Sig.	Collinearity Statistics	
		B	Std. Error	Beta			Tolerance	VIF
1	(Constant)	8.030	2.546		3.154	.004		
	Gaya_Kepemimpinan_X	.240	.162	.269	1.478	.150	1.000	1.000

a. Dependent Variable: Motivation\_Work\_Z

Source: Data processed 4 (2020)

Hypothesis Testing the influence of the leadership style variable (X) on the work motivation variable (Z). The form of hypothesis testing based on statistics can be described as follows:

Decision Making Criteria:

- Accept H<sub>0</sub> If  $t_{count} < t_{table}$  or  $-t_{count} > -t_{table}$  or Sig value.  $> 0.05$
- Reject H<sub>0</sub> If  $t_{count} > t_{table}$  or  $-t_{count} < -t_{table}$  or Sig.  $< 0.05$

From table 9, the  $t_{count}$  value is 1,478. With  $\alpha = 5\%$ ,  $t_{table}$  (5%;  $n_k = 29$ ) the  $t_{table}$  value is 2,045.  $0.150 > 0.05$ , it can be concluded that the first hypothesis is rejected, meaning that the leadership style variable (X) has no significant effect on work motivation (Z). This study is not in line with Puput Karisma 2019 The Effect of Leadership Style on Employee Performance Through Work Motivation as an Intervening Variable at the Sidoarjo Regional General Hospital which obtained the results that leadership style had a significant effect on work motivation.

**Table 10. Partial Test (t) of Equation II**  
**Coefficients<sup>a</sup>**

Model		Unstandardized Coefficients		Standardized Coefficients	t	Sig.	Collinearity Statistics	
		B	Std. Error	Beta			Tolerance	VIF
1	(Constant)	5.449	1.578		3.452	.002		
	Gaya_Kepemimpinan_X	.696	.090	.849	7.772	.000	.928	1.078
	Motivasi_Kerja_Z	.375	.101	.407	3.724	.001	.928	1.078

a. Dependent Variable: Performance\_Employee Y

- Hypothesis Testing the influence of leadership style (X) on employee performance (Y)

The form of hypothesis testing based on statistics can be described as follows:

Decision Making Criteria:

- Accept H<sub>0</sub> If  $t_{count} < t_{table}$  or  $-t_{count} > -t_{table}$  or Sig value.  $> 0.05$
- Reject H<sub>0</sub> If  $t_{count} > t_{table}$  or  $-t_{count} < -t_{table}$  or Sig.  $< 0.05$

From table 10, the  $t_{count}$  value is 7.772. With  $\alpha = 5\%$ ,  $t_{table}$  (5%;  $n_k = 29$ ) the  $t_{table}$  value is 2.045. From the description it can be seen that  $t_{count}$  (7.772)  $> t_{table}$  (2.045), and the significance value is 0, 00  $< 0.05$ , it can be concluded that the second hypothesis is accepted, meaning that leadership style (X) has a positive and significant effect on employee performance (Y). This study is in line with Rani Mariam (2011) The Influence of Leadership Style and Organizational Culture on Employee Performance Through Employee Job Satisfaction as an Intervening Variable Study at the Head Office of PT. Asuransi Jasa Indonesia (Persero). Postgraduate Program at Diponegoro University Semarang which found the fact that leadership style has a significant effect on employee performance.

- Hypothesis Testing the effect of work motivation (Z) on employee performance (Y)

The form of hypothesis testing based on statistics can be described as follows:

Decision Making Criteria:

- Accept H<sub>0</sub> If  $t_{count} < t_{table}$  or  $-t_{count} > -t_{table}$  or Sig value.  $> 0.05$
- Reject H<sub>0</sub> If  $t_{count} > t_{table}$  or  $-t_{count} < -t_{table}$  or Sig.  $< 0.05$

From table 10, the  $t_{count}$  value is 3.724. With  $\alpha = 5\%$ ,  $t_{table}$  (5%;  $n_k = 29$ ) the  $t_{table}$  value is 2.045. From the description it can be seen that  $t_{count}$  (3.724)  $> t_{table}$  (2.045), and the significance value is 0.001  $< 0.05$ , it can be concluded that the third hypothesis is accepted, meaning that work motivation (Z) has a significant effect on employee performance (Y). This research is in



## The Effect of Leadership Style on Employee Performance with Work Motivation as Intervening Variable

line with Puput Karisma 2019 The Effect of Leadership Style on Employee Performance Through Work Motivation as an Intervening Variable at the Sidoarjo Regional General Hospital who found the fact that work motivation had a significant effect on employee performance.

### 2. Path Analysis

In order to prove that whether a variable is capable of being a variable that mediates the relationship between the independent variable and the dependent variable, the direct and indirect effects of the independent variable on the dependent variable will be calculated. If the indirect effect of the independent variable on the dependent variable through the intervening variable is greater than the direct effect of the independent variable on the dependent variable, then that variable can be a variable that mediates between the independent variable and the dependent variable (Ghozali, 2016). To perform the calculation directly and indirectly, it is carried out from the following standardized coefficients of regression equations I and II:

**Table 11. Value of Standardized Coefficients Equation I**

Coefficients <sup>a</sup>			
Model	Unstandardized Coefficients		Standardized Coefficients
	B	Std. Error	Beta
1 (Constant)	8.030	2.546	
Gaya_Kepemimpinan_X	.240	.162	.269

a. Dependent Variable: Motivation\_Work\_Z

**Table 12. Value of Standardized Coefficients Equation II**

Coefficients <sup>a</sup>			
Model	Unstandardized Coefficients		Standardized Coefficients
	B	Std. Error	Beta
1 (Constant)	5.449	1.578	
Gaya_Kepemimpinan_X	.696	.090	.849
Motivasi_Kerja_Z	.375	.101	.407

a. Dependent Variable: Performance\_Employee\_Y

- a. Path analysis hypothesis test, namely the influence of leadership style (X) on work motivation (Z) and multiplied by the effect of work motivation (Z) on employee performance (Y). The form of hypothesis testing based on statistics can be described as follows:

Decision Making Criteria:

1. Accept H<sub>0</sub> If indirect effect > direct effect.
2. Reject H<sub>0</sub> If indirect effect < direct effect.

## V. CONCLUSION

1. Based on the results of data analysis, it can be concluded that the leadership style (X) of the employees of the Customs and Excise Supervision and Customs Service Office Type C Kuala Tanjung descriptively is in the low classification. This can be seen from the leadership style variable (X) has no significant effect on work motivation (Z). In this study the leadership style (X) is not good, therefore there is a need for encouragement to increase employee work motivation (Z) to the maximum by improving or changing the leadership style model. This is because in influencing employee performance there must be high work motivation from within employees such as work methods and the level of persistence and level of effort owned by employees as well as the motivation given by a leader so that it has an impact on employee performance.
2. Based on the results of data analysis, it can be concluded that the leadership style (X) on the employees of the Customs and Excise Supervision and Excise Service Office Type C Kuala Tanjung is in high classification or has an effect on employee performance (Y), where leadership style (X) has a significant effect on employee performance (Y) due to a good leadership style (X) and according to employee expectations.
3. Based on the results of data analysis, it can be concluded that the work motivation (Z) of the employees of the Customs and Excise Supervision and Customs Service Office Type C Kuala Tanjung is descriptively classified as high or can improve employee performance (Y). This can be seen from work motivation (Z) which has a significant effect on employee

## The Effect of Leadership Style on Employee Performance with Work Motivation as Intervening Variable

performance (Y), so employees need to be given supporting factors such as work motivation that has been given so far in order to further improve employee performance (Y).

4. From the test results using the path analysis test, it can be concluded that the indirect effect through the work motivation variable (Z) is smaller than the direct effect on the employee performance variable (Y).
5. Based on the results that have been described, the following conclusions can be drawn: The leadership style variable significantly affects work motivation. Given good motivation, employees will judge more leaders. The higher the motivation given, the better the leader in applying the leadership style. These results prove that the first hypothesis is accepted and proven. The leadership style variable has a significant influence on employee performance. Based on these results, it can be concluded that leaders who apply a good leadership style will improve employee performance well. These results prove that the second hypothesis is accepted and proven. Motivation has a significant influence on employee performance. This proves that providing high motivation will improve employee performance in doing a job. These results prove that the third hypothesis is accepted and proven. As an intermediary variable, motivation has a partial indirect effect which is proven to be able to mediate the variables of leadership style and employee performance. These results prove that the fourth hypothesis is accepted and proven.

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## Consumer Protection Law for Advertising Damage Based on the Value of Justice in Indonesia



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**ABSTRACT:** Advertising is a means to offer a product or goods made attractive and influencing consumers based on norms in accordance with the Consumer Protection Act, but in practice, advertisements are often found that are detrimental and misleading consumers. The responsibility of the state in providing legal protection to consumers is a non-negotiable obligation. The existence of justice based on Pancasila which is conceptualized into legal principles is a condition sine qua non, because it contains moral and ethical values that direct the formation of laws that meet philosophical, sociological and juridical value.

**KEYWORD:** Law, Protection, justice, Value, Indonesia

### INTRODUCTION

The existence of a nation when it enters the stage of a welfare state like the Indonesian state, therefore, demands for government intervention through the formation of laws that protect the weak are very strong. During this period, the state began to pay attention to, among other things, the interests of labor, consumers, small businesses and the environment. In fact, consumer protection is a consequence of technological and industrial advances,<sup>1</sup> Due to the development of industrial products on the one hand, on the other hand, consumers need protection.<sup>2</sup> Actually the consumer protection legal system is the same, as evidenced by the inclusion of several related laws, including the law in the field of employment (Law Number 13 year 2003 concerning Manpower) and the environment in the General Elucidation of Law Number 8 year 1999 concerning Consumer Protection.

The significance of regulating consumer rights in Indonesia through Law Number 8 year 1999 concerning Consumer Protection is part of its implementation as a welfare state, because the 1945 Constitution of the Republic of Indonesia (hereinafter abbreviated as UUD NRI year 1945) Apart from being a political constitution, it can also be called an economic constitution, namely a constitution that contains the idea of a welfare state that has grown and developed due to the influence of socialism since the 19th century.<sup>3</sup>

The existence of economic development and development in general and in particular in the field of industry and national trade has resulted in various variations of goods and/or services being consumed. On the one hand, this condition benefits consumers because the consumer's needs for the desired goods/or services can be fulfilled and the freedom to choose various types and quality of goods/and or services is increasingly wide open according to the wishes and abilities of consumers..<sup>4</sup>

The tight competition changes behavior towards unfair competition because business actors have conflicting interests between them. Prasasto Sudyatmiko, presented 4 (four) examples of elements that influence unhealthy business behavior, namely conglomeration, cartel/trust, insider trading and unfair/cheat competition. Although not always against the law, This

<sup>1</sup> Dahlan, A. (2014). Mengagag Negara Kesejahteraan. *el-Jizya: Jurnal Ekonomi Islam*, 2(1), 1-22.

<sup>2</sup> Tumbel, T. G. M. (2020). Perlindungan Konsumen Jual Beli Online Dalam Era Digital 4.0. *Lex Et Societatis*, 8(3).

<sup>3</sup> Riwanto, A., & Gumbira, S. W. (2017). Politik Hukum Penguatan Fungsi Negara Untuk Kesejahteraan Rakyat (Studi Tentang Konsep Dan Praktik Negara Kesejahteraan Menurut UUD 1945). *Jurnal Hukum dan Peradilan*, 6(3), 337-360.

<sup>4</sup> Quintarti, M. A. L. (2020). Perlindungan Hukum Bagi Konsumen Akibat Produk Makanan Yang Tidak Memenuhi Standar Mutu Menurut Undang-undang Republik Indonesia Nomor 8 Tahun 1999. *Jurnal Inovasi Penelitian*, 1(4), 859-864.

## Consumer Protection Law for Advertising Damage Based on the Value of Justice in Indonesia

conglomeration tends to give birth to injustice in the midst of society, among others, because it can give birth to monopolistic practices and fraudulent business practices. Insider trading is an act that straddles the principle of equality in obtaining the opportunity to access a company. There are at least 4 (four) forms of actions that are born as a result of the unhealthy business practices mentioned above, namely, raising prices, lowering quality, dumping, and falsifying products.<sup>5</sup>

The role of economic actors has a very significant place in the development of the country in general. Meanwhile, the position of consumers is also economic actors, which is expected to strengthen our efforts to build the form of society that we hope for, namely one that is advanced, independent, prosperous, and just. However, in reality, consumers in modern society will be faced with several problems, including:

1. Modern business demonstrates the capacity to maintain mass production of new goods due to advanced technology and efficient research and management;
2. The number of goods and services marketed is substandard, dangerous or useless;
3. Inequality of bargaining position is a serious problem (freedom of contract);

The concept of absolute sovereignty of consumers rests on the ideal of perfect competition, but competition continues to decline so that the power of consumers in the market becomes weak. The goods are increasingly sophisticated, causing consumers do not know it.<sup>6</sup>

These facts and circumstances have caused consumers to fully trust business actors. Therefore, today's technology is increasing, causing consumers to be unable to make choices of increasingly sophisticated goods and consumers do not know it<sup>7</sup>. Moreover, people are only tempted by advertisements of a certain product which sometimes mislead and harm consumers. Thus, there is a need for legal protection for consumers, because the absence of consumer protection is part of the symptoms of countries that lose in free trade.<sup>8</sup>

Intense competition can change behavior towards unfair competition because business actors have conflicting interests between them. This unfair competition in turn can harm consumers (Sutantra, 2001: 1). The growth and development of the goods and services industry on the one hand brings positive impacts, among others, which can be mentioned the availability of needs in sufficient quantities, better quality, and the existence of alternative choices for consumers to fulfill their needs. However, on the other hand there are negative impacts, namely the impact of the use of technology itself and business behavior that affects the consumer community. Therefore, consumer protection, the key to which is that consumers and business actors need each other.

Efforts to increase the dignity of consumers need to increase awareness, knowledge, care, ability and independence of consumers to protect themselves and develop the attitude of responsible business actors. Based on these considerations, legislation is needed to realize a balance in protecting the interests of consumers and business actors so as to create a healthy economy.

The existence of legal instruments that protect consumers is not intended to kill the business of business actors, but on the contrary, consumer protection can encourage a healthy business climate that encourages the birth of companies that are strong in facing competition through the provision of quality goods and/or services. And does not harm consumers. Therefore, in Indonesia all economic policies, including the reconstruction of the Consumer Protection Act (Law Number 8 year 1999) must be based on the principles of Pancasila, so that the state does not lose control in and remains focused on efforts to protect consumers as part of the responsibility of the state for the welfare of the people. Pancasila as an ideology has the main character as a national ideology, because it must be explored and formulated for the benefit of building the Indonesian nation state. With a solid national ideology, all social, cultural, and political dynamics can be directed to create positive opportunities for the growth of the nation's welfare.

Systematic consumer protection in Indonesian law is reflected in Law Number 8 of 1999 concerning Consumer Protection. This motivation is motivated by the understanding that the philosophy of national development includes the development of laws that provide protection for consumers to form a complete Indonesian human being.

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<sup>5</sup> Sukarmi, S. (2021). Putusan Kppu Sebagai Dasar Dalam Gugatan Kelompok (Class Action) Atas Pengembalian Kerugian Konsumen Akibat Pelanggaran Persaingan Usaha Tidak Sehat. *Arena Hukum*, 14(1), 112-129.

<sup>6</sup> Jhoni, J. (2018). Perlindungan Hukum Terhadap Konsumen Akibat Bahan-Bahan Berbahaya Pada Makanan. *Jurnal Hukum Tri Pantang*, 4(1), 45-64.

<sup>7</sup> Rohman, S. N. (2015). *Tinjauan Yuridis Perlindungan Konsumen Dalam Pencantuman Label Produk Makanan Sesuai Dengan Undang-Undang No. 8 Tahun 1999 Tentang Perlindungan Konsumen* (Doctoral dissertation, Universitas Pembangunan Nasional Veteran Jakarta).

<sup>8</sup> Lumolos, H. D. (2019). *Upaya Hukum Konsumen Kepada Pelaku Usaha Akibat Barang Yang Digunakan Dalam Keadaan Rusak Menurut Undang-Undang Nomor 8 Tahun 1999 Tentang Perlindungan Konsumen*. *Lex Privatum*, 6(8)

## Consumer Protection Law for Advertising Damage Based on the Value of Justice in Indonesia

Based on the description of the background, the problems in this study can be formulated, namely: How is the concept of consumer legal protection against harmful advertising based on the value of justice?

### RESEARCH METHODS

The method used in this study is a type of normative legal research method,<sup>9</sup> with approach *statue approach, philosophical approach and conceptual approach*.<sup>10</sup> The collection of legal material sources consists of primary legal materials, secondary legal materials and tertiary legal materials, using a qualitative descriptive analysis.<sup>11</sup>

### RESEARCH RESULTS AND DISCUSSION

The development of industry and trade due to the free market has caused various problems in Indonesia, both from an economic and legal perspective, including the development of advertising for a product which has a great influence on consumers, which causes losses on the part of consumers, where the advertisement of a product being marketed is misleading. nor harm consumers.<sup>12</sup>

Consumer protection efforts are an effort to ensure legal certainty from arbitrary actions that may harm consumers because it is in the interests of business actors. It is necessary to increase the dignity of consumers, it is necessary to increase the awareness, knowledge, care, ability, and independence of consumers to protect themselves and to develop the attitude of responsible business actors. This partiality to consumers is actually a manifestation of the people's economy and realizing justice.

These consumer rights consist of consumer rights as human beings (who need to live) and consumer rights as legal subjects and citizens (sourced from law or law) and consumer rights as parties to contracts (in contractual relationships). with the manufacturer). In a legal sense, what is meant by rights are legal interests that are protected by law, while interests are demands that are expected to be fulfilled. Interest essentially contains power that is guaranteed and protected by law and implements it.<sup>13</sup> Consumer empowerment is intended because it is not easy to expect the awareness of business actors who generally carry out economic principles to get the maximum profit possible with the minimum possible capital. The need to reconstruct the consumer protection law which consists of 15 chapters and 65 clause, none other than the weak position of consumers compared to the position of producers, resulting in an imbalance of rights and obligations resulting in injustice.

The provision of protection to consumers also aims to maintain the existence of consumers themselves as a potential in economic development, which means protecting consumers is the same as maintaining production continuity. This means that in addition to the socio-economic aspect, consumer protection also includes development aspects, the essence of which is expected to protect consumers is the goal for the welfare of the results of economic development..<sup>14</sup> In fact, the position of society as a consumer is impossible to ignore, if the issue of consumer protection which clearly concerns the livelihood of many people does not receive enough attention, it is a matter of great surprise.<sup>15</sup>

Along with the function of the state as the organizer of public welfare, in an effort to realize consumer protection, the government plays a central role, namely that the government must be able to work towards the realization of the protection of the interests of consumers properly through the creation of a favorable climate, the fulfillment of consumer rights both through the making of regulations. -good regulations and implement these regulations as well as possible as a law enforcement function. And don't get the impression that obeying the applicable law will actually bring you losses and on the contrary it is more profitable if you act against the law.

Taking into account and elaborating from the basic idea of the Pancasila Welfare State Law as conceptualized in the 1945 Constitution of the Republic of Indonesia with the normative idea of regulating consumer protection in the consumer protection

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<sup>9</sup> Benuf, K., & Azhar, M. (2020). Metodologi Penelitian Hukum sebagai Instrumen Mengurai Permasalahan Hukum Kontemporer. *Gema Keadilan*, 7(1), 20-33.

<sup>10</sup> Christiani, T. A. (2016). Normative and Empirical Research Methods: Their Usefulness and Relevance in the Study of Law as an Object. *Procedia-Social and Behavioral Sciences*, 219, 201-207.

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<sup>12</sup> Laila, K. (2017). Perlindungan hukum terhadap konsumen atas iklan yang melanggar tata cara periklanan. *Jurnal Cakrawala Hukum*, 8(1), 64-74.

<sup>13</sup> Sigit Sapto Nugroho, (2020), *Pengantar Hukum Indonesia*, Lakeisha, Klaten, hal 32

<sup>14</sup> UTAMI, P. (2011). *Implementasi Pasal 4 Angka 1, 4 & 8 Undang-Undang Perlindungan Konsumen No. 8 Tahun 1999 Terhadap Konsumen Korban Konversi Gas Elpiji (Studi di Malang Raya)* (Doctoral dissertation, University of Muhammadiyah Malang).

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## Consumer Protection Law for Advertising Damage Based on the Value of Justice in Indonesia

law, it can be understood that the absence of Pancasila principles results in a provision in a rules lose their meaning or even their philosophical meaning.<sup>16</sup>

The existence of the Pancasila principle which is conceptualized in legal principles is a *conditio sine quanon*, because it contains moral and ethical values that direct the formation of laws that meet philosophical values with a core sense of justice and truth, sociological values that are in accordance with the cultural values prevailing in society, as well as juridical values in accordance with applicable laws.<sup>17</sup>

Consumer protection settings in UUPK based on the legal principles of the implementation of consumer protection as contained in 2 clause, which consists of the principle of benefit, the principle of justice, balance and legal certainty. According to the explanation UUPK, then what is meant by:

1. The principle of benefit is intended to secure that all efforts in implementing consumer protection must provide the maximum benefit for the interests of consumers and business actors as a whole. Asas keadilan dimaksudkan agar partisipasi seluruh rakyat dapat diwujudkan secara maksimal dan memberikan kesempatan kepada konsumen dan pelaku usaha untuk memperoleh haknya dan melaksanakan kewajibannya secara adil;
2. The principle of balance is intended to provide a balance between the interests of consumers, business actors, and the government in material and spiritual terms.;
3. The principle of consumer safety and security is intended to provide guarantees for security and safety to consumers in the use of, and utilization of goods and/or services consumed or used;
4. The principle of legal certainty is intended so that business actors and consumers obey the law and obtain justice in carrying out consumer protection and the state guarantees legal certainty.

These five legal principles of consumer protection if adapted to the principles of Pancasila which are sourced from its five precepts, then Pancasila which contains five (5) principles, the substance of each of the principles of Pancasila from the first principle (1) is containing ethics, the second principle (2) is the principle of humanity, the third principle (3) nationalism, the fourth principle (4) populist/democracy, and the fifth principle (5) social justice. Thus, the common thread of conformity, with regard to and elaboration between the contents of the principles of Pancasila and the legal principles of consumer protection, is as follows:<sup>18</sup>

1. The ethical principles of the first precepts of Pancasila on the legal principles of consumer protection are contained in the principles of consumer safety and security;
2. The principle of humanity in the second principle of Pancasila on the legal principle of consumer protection is contained in the principle of balance;
3. The principle of nationalism in the third principle of Pancasila on the legal principle of consumer protection is contained in the principle of benefit;
4. The principle of populist/democratic in the fourth principle of Pancasila on the legal principle of consumer protection is contained in the principle of legal certainty;
5. The principle of social justice in the fifth principle of Pancasila on the legal principle of consumer protection is contained in the principle of justice.

Taking into account the substance of clause 2 of the Consumer Protection Act including the explanation above, it is reflected that its formulation refers to the philosophy of national development, namely the development of Indonesian people as a whole which is based on Pancasila as the philosophy of the Republic of Indonesia. Furthermore, the five principles mentioned in 2 clause. According to Radbruch, the Consumer Protection Act is in accordance with the substance of the law, according to Radbruch, in the form of justice, benefit and legal certainty as 3 (three) basic legal ideas or 3 (three) basic values that can be equated with legal principles, as stated by Gustav Radbruch, the substance can be divided be: (1) the principle of benefit which includes the principle of consumer safety and security; (2) The principle of justice which includes the principle of balance and; (3) The principle of legal certainty.<sup>19</sup>

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<sup>16</sup> Serlika Aprita, S. H. (2019). *Penerapan Asas Kelangsungan Usaha Menggunakan Uji Insolvensi: Upaya Mewujudkan Perlindungan Hukum Berbasis Keadilan Restrukturatif Bagi Debitor Pailit dalam Penyelesaian Sengketa Kepailitan*. Pustaka Abadi.

<sup>17</sup> Nugroho, S. S. (2016). Grounding Pancasila Law as the Future of National Law Basis. *Law Research Review Quarterly*, 2(2), 147-166.

<sup>18</sup> Holijah, H. (2015). Keadilan Bagi Konsumen: Membedah Undang-undang Republik Indonesia Nomor 8 Tahun 1999. *Nurani: Jurnal Kajian Syari'ah dan Masyarakat*, 15(1), 01-26.

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## Consumer Protection Law for Advertising Damage Based on the Value of Justice in Indonesia

These three principles, there are difficulties to realize simultaneously. What is often in the spotlight is the issue of the principle of justice which, according to Friedman *every function of law, general or specific is allocative*.<sup>20</sup> In accordance with the fifth principle of Pancasila, which is the most special and especially social justice for all Indonesian people, is the goal of the other five precepts.

As for justice, according to Radbruch's perspective, which teaches that we must use the principle of priority where the first priority always falls on justice, then benefit, and finally legal certainty.<sup>21</sup> However, it is a case of priority, meaning that legal objectives are prioritized according to the case at hand. Meanwhile, according to John Rawls' theory of justice,<sup>22</sup> stated that there are 3 (three) things that are solutions to the problem of justice, namely:

1. Principle of greatest equal liberty, this formulation refers to Aristotle's formulation of similarity, therefore equality in obtaining and using it is based on natural law. This is inherent in the notion of equal, namely equal degrees between fellow human beings, so that the concept of justice applied is the concept of social justice;
2. The difference principle, this formulation is a modification or balance to the first formulation which requires equality for everyone if it benefits everyone;
3. The principle of fair equality of opportunity, namely economic inequalities must be arranged in such a way as to provide opportunities for everyone to enjoy them. Dengan konsep keadilan tersebut, John Rawls, membagi keadilan kedalam:
  - a) Formal justice, applying the same justice to everyone in accordance with the sound of the rules;
  - b) Substantive justice, justice is more than just formal justice, because applying the law means seeking essential justice, and in carrying out substantive justice it must be supported by a sense of social justice, justice that contains rights and obligations that are acceptable to the general public.

With this theory of justice from John Rawls, it can be stated that justice as equality with no exchange of freedom or welfare of one person (individual) with the welfare of others is allowed. Basic freedoms must be distributed equally and must not be sacrificed for the sake of economic achievement, because injustice exists in the society at the bottom, and justice depends on freedom, equality and human rationality to achieve social justice by prioritizing the weak or disadvantaged.<sup>23</sup>

This opinion is in line with the objectives to be achieved in consumer protection for the fulfillment of consumer rights. Providing protection to consumers is the same as providing protection to the community, because all humans are consumers. Thus the achievement of justice is the main of all goals to be achieved, and the highest justice is social justice for all humans. The concept of justice to be achieved is the fulfillment of the purpose of consumer protection in Indonesia as a human respect for human dignity as consumers.<sup>24</sup>

## CONCLUSION

Based on the results of the discussion of the problems described above, it can be concluded that the existence of Pancasila principles which are conceptualized into legal principles is a condition sine qua non, because they contain moral and ethical values that direct the formation of laws that meet philosophical, sociological values. and juridical.

Actually, there is a compatibility between the principles of Pancasila and the legal principles of consumer protection in Law Number 8 year 1999 concerning Consumer Protection. As for the application of the principles of Pancasila in the legal principle of consumer protection, it requires the reconstruction of the protection law, especially with regard to legal protection against harmful advertisements based on the values of justice of Pancasila.

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## Establishment of Elements and Principles of High Reliability Organizations in Neonatal Intensive Care Unit of de Soyza Maternity Hospital, Colombo, Sri Lanka.



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### ABSTRACT

**Introduction:** “High Reliability Organizations (HRO)” is an innovative safety management concept.

An effort to transform a health care setting in Sri Lanka to a HRO – management structure is worthwhile to experience the outcomes of this model in Sri Lankan hospital context.

**Objective:** To establish a HRO - management structure in the Neonatal Intensive Care Unit of De Soyza Maternity Hospital Colombo.

**Design:** Pre / post interventional study design was used. Functional status of HRO structure in the NICU was assessed; using 5 HRO principles (ie. Pre occupation with failure, Resistance to simplify, Sensitivity to operations, Commitment to resilience and Deference to expertise) and 5 HRO elements (ie. Process auditing, Rewarding, Avoidance of quality degradation, Risk perception, and Command and control), at pre and post interventional levels.

### Methods:

Practice of HRO principles was assessed using a Self - Administered Questionnaire with a rating scale, with the participation of all the NICU staff. Practice of HRO elements was assessed by a facility survey using a check list.

Intervention consisted of a managerial plan with activities to establish the HRO concept.

**Results:** Results showed a statistically significant increase of “response scores” of participants towards HRO structure and the facility survey showed the establishment of planned activities.

**Conclusion:** It was concluded that implementation of this plan, is gradually establishing the HRO management structure in NICU of DMH.

**KEYWORDS:** High Reliability Organizations, Neonatal Intensive Care Units.

### INTRODUCTION

High Reliability Organizations (HRO) operate under hazardous environments, while sustaining optimum safety. They are accepted globally as, organizations with comparatively error-free operations.<sup>(1)</sup> Quick identification of unsafe situations, careful analysis, identification of weaknesses, and prevention of adverse events are the main strategies executed by HROs. These organizations are known to maintain safety far better than health care.<sup>(2)</sup> Therefore, Health care worldwide has been adopting the principles of HROs as an innovative safety management practice.<sup>(3)</sup>

HRO concept is operationalized through five “HRO Principles” namely; 1. Pre occupation with failure; 2. Resistance to simplify; 3. Sensitivity to operations; 4. Commitment to Resilience and 5. Deference to expertise.<sup>(2)</sup> Development of these basic principles improves the “Collective Mindfulness” among employees in daily operations,<sup>(4)</sup> which leads to improved reliability.

Five “HRO Elements” have also been described namely; 1. Process Auditing; 2. Implementing rewarding systems; 3. Avoiding quality degradation; 4. Risk Perception and 5. Command and Control. They are incorporated into assessments of hospitals practicing the HRO concept.<sup>(1)</sup>

In Sri Lanka, static Neonatal Mortality Rates and essential & emergency new born care<sup>(5)</sup> are compelling further improvement of Neonatal Intensive Care Units. Teaching Hospitals providing tertiary level maternity services; such as De Soyza Maternity Hospital

## **Establishment of Elements and Principles of High Reliability Organizations in Neonatal Intensive Care Unit of de Soyza Maternity Hospital, Colombo, Sri Lanka.**

(DMH), Colombo also did not show much improvement of perinatal deaths during the last decade<sup>(6)</sup>. Further, international experience shows that applying HRO principles is operationally and physically feasible and highly effective in enhancing reliability of clinical services<sup>(7)</sup>

### **OBJECTIVE**

To establish a High Reliability Organization (HRO) - management structure in Neonatal Intensive Care Unit of De Soyza Maternity Hospital.

### **DESIGN**

Pre / post interventional study design was used in this research project which was conducted in the Neonatal Intensive Care Unit, De Soyza Maternity Hospital, Colombo. Total study period was one year from June 2018 to June 2019 and implementation of the interventional plan was carried out over a period of three months.

Study was conducted in 4 stages; Pre Intervention Assessment, Development of HRO – Transformation Plan, Implementation of HRO Transformation Plan and Post Intervention Assessment. Functional status of HRO structure which was described under five HRO principles<sup>(2)</sup> and five HRO elements<sup>(1)</sup> was assessed at pre and post interventional levels.

### **METHODOLOGY**

#### **1. Pre Intervention Assessment**

Descriptive cross sectional study was carried out, involving the total staff of NICU as the sample. They were; Consultant neonatologists (N=2), Medical Officers (N=7), Nursing Officers (N=29) and minor staff (N=2). Sample size was 40.

A Self - Administered Questionnaire (SAQ) was used to assess the practice of “HRO Principles”. Facility Survey was carried out in the NICU using a Check List to assess the availability and practice of “HRO elements”. Descriptive quantitative data analysis was carried out.

#### **2. Development of HRO – Transformation Plan**

Literature review was carried out to prepare the Conceptual Framework. Interventions were developed targeting the first stage of the conceptual framework. (Annexure: 1 Figure -1)

Establishment of “HRO elements” is expected to achieve other levels on step wise manner. Therefore, Interventions were developed to establish “HRO elements”.

Two Focus Group Discussions (FGD) were conducted to develop the package of interventions. First one was held to brainstorm and list out activities which are relevant to different “HRO elements” and could be implemented in an NICU setting. Recommendations for NICU settings in the national Quality guidelines - 2010 were also included.

Focus group consisted of 10 participants. They were; the deputy director of the hospital, the medical officer – quality management, a matron, a nursing officer - infection control, two consultant neonatologists in NICU, two medical officers in NICU and two in - charge ward sisters in two sides of NICU. Second FGD was held with the same participants to finalize the plan. The package of interventions developed is summarized in figure 2.

## Establishment of Elements and Principles of High Reliability Organizations in Neonatal Intensive Care Unit of de Soyza Maternity Hospital, Colombo, Sri Lanka.

Figure 2: HRO Interventions

<b><u>HRO Interventions - NICU</u></b>	
1.	<b><u>Process Auditing:</u></b> HRO meeting once a month. Review on Reporting of Adverse events/ Medical errors/Near Misses, Deaths; Infection control; Handing over /Taking over, Drug supply, Equipment testing, Infrastructure testing, Work Improvement, Rules and procedures.
2.	<b><u>Rewarding:</u></b> in the HRO meeting. Recognition and Documentation of Rewarding for Participation in review meetings & training, Adverse Events reporting, Risk identifications, Risk mitigations.
3.	<b><u>Avoidance of Quality Degradation:</u></b> A. Provision of ICU equipment: ECG monitor, Ventilators, Defibrillator, Nebulizing machine, Pulse Oxymeter, Sucker machine, Ambu – bag, Laryngoscopes , Blood gas analyzer, ICU beds, Medical Gases B. Emergency tray with essential supplies, solutions and drugs, available for every bed. C. Making a checklist for the emergency tray items available and maintained once a day. D. List of contact numbers of all relevant health personnel and services in emergency situations. E. 24 hour consultant coverage. F. Medical Officers and Nursing Officers duty roster. G. Maintenance of handing over/ Taking Over register
4.	<b><u>Risk perception</u></b> Training to improve behavior of risk perception (to have high estimates of risk probability and impact given the same information).
5.	<b><u>Command and control system</u></b> Migrating decision making: Authorization of the front line staff on early detection of subtle changes of unsafe conditions. Redundancy of people and hardware: Selected tasks are always performed by two members. Selected hardware always requiring back – up systems. Developing situational awareness: Recognition of the elements in the environment, Comprehension of their meaning and relationships, and Prediction of their status in the near future. Formal rules and procedures: Admission and discharge policy. Hand Off policy Infection control policy Training: HRO theory, Quality & safety, Communication, Handoffs, Team work, Mindfulness.

### 3. Implementation of HRO Transformation Plan

Activities in the plan were implemented for a period of three months. Preparation of supportive material (eg: posters, registers, charts, check lists and inventories), conducting training programmes, preparing work schedules, providing guidance and logistic management were done to facilitate the process. Training was focused on HRO concept and mindfulness. Establishment of a focal point, scheduling monthly HRO meetings and presentation of HRO statistics in the hospital perinatal meeting were designed for project sustainability.

### 4. Post Intervention Assessment

After three months of implementation, the descriptive cross sectional study was carried out with the participation of the same sample, using the same SAQ; to assess the practice of “HRO principles”. Responses were compared with the pre intervention responses. Post intervention facility survey was carried out at the NICU, using the same check list, to assess the availability and practice of “HRO elements”. Descriptive quantitative data analysis was carried out and results were compared with the results of first assessment.

## **Establishment of Elements and Principles of High Reliability Organizations in Neonatal Intensive Care Unit of de Soyza Maternity Hospital, Colombo, Sri Lanka.**

### **Development, Validation and Pretesting of Study Instruments**

SAQ, Check list and FGD guide were prepared by the principle investigator (PI) with the consensus of the expert panel. Expert panel consisted of the supervisor, two consultant administrators and two consultant community physicians.

Statements in rating scales found in literature were incorporated into the SAQ, to assess the practice of “HRO principles” among participants. Check list was newly developed using the “HRO elements” which need to be demonstrated in HROs, to identify their availability and practice in the study setting.

Study instruments were validated in the FGD with the same sample of focus group members, for face validity and content validity.

Face validity was assured using a validation tool with a rating scale (not agreed; moderately agreed; agreed; highly agreed). Variables namely; concept, relevancy, formatting, clarity of language and depth of assessment, of each statement, with regard to each statement in the SAQ and each item in the check list were assessed.

Content validity was assured using a validation tool with a rating scale (“relevant & representative”; Not “relevant & representative”) with regard to the statements in the SAQ and the items in the check list.

SAQ was developed in English and translated into Sinhala and Tamil languages, using forward and backward translations. Pre testing was done with a similar group of participants in the NICU of Castle Street’s Hospital for Women, Colombo for face validity and reliability.

### **ETHICAL APPROVAL**

Ethical approval was obtained from the Faculty of Medicine, University of Colombo.

### **DATA COLLECTION**

Data was collected, for pre and post assessments, with the assistance of a trained data collector.

SAQ was grouped into 4 groups and named as; consultants, medical officers, nursing officers and health assistants. They were handed over to all the staff members in 4 groups in NICU; with the information sheet, consent form and an envelope; verbal instructions were provided by the PI; to complete the SAQ individually, put it in the envelope, seal and hand it over to data collectors. Consent forms were collected from consented participants. Same procedure was carried out for both pre - test and post - tests.

Facility Survey was carried out with the check list, by a team which consisted of the PI, Consultant neonatologists, Matron, Sister in charge of NICU and MO - Quality Improvement. Information confidentiality and security were maintained.

### **DATA ANALYSIS**

Data were quantitatively analyzed using the Statistical Package for Social Sciences (SPSS) version 21. Same sample of participants were used for both pre and the post tests.

1. Mean Response score (in the 10 point scale) of each category of staff for each HRO principle, was calculated (Table 2).
2. Results were compared using paired sample t – test to test the significance (Table 2).
3. Three categories were described (in the 10 in the scale) as;
  - I. lowest category (if mean response score is between 0 – 3)
  - II. middle category (if mean response score is between 4 – 7)
  - III. highest category (if mean response score is between 8 – 10)
4. Frequency distribution of the staff, among these three response score categories 5 “HRO principles” in pre & post tests were also calculated to identify any shifting of participants among different categories. (Graph 1).

### **RESULTS**

In this interventional pre / post research project; 1. Demographic characteristics of the staff of NICU, 2. Distribution of “means of response scores” of consultants, medical officers and nursing officers on five HRO principles in pre and post - tests, 3. Frequency distribution of staff, in different “response - score categories”, on five HRO principles in pre and post - tests, and 4. Practice of HRO elements in pre & post - tests, were analyzed and results were compared to see any significance.



**Establishment of Elements and Principles of High Reliability Organizations in Neonatal Intensive Care Unit of de Soyza Maternity Hospital, Colombo, Sri Lanka.**

Study had a response rate of 92.5%. In the study group, seventy one percent were Nursing Officers (NO); 18.4% were Medical Officers (MO); 5.3 % were Consultants and 2.6% were Health Assistants (HA). Majority were less than 30 years and 95% were females. (Table 1)

**Table 1: Distribution of demographic characteristics of the staff of NICU.**

Characteristic N= 38	Frequency	Percentage
<b>Age (years)</b>		
< 30	23	60.5
31 - 40	9	23.7
41 – 50	5	13.2
51 -60	1	2.6
<b>Total</b>	<b>38</b>	<b>100</b>
<b>Gender</b>		
Male	2	5.3
Female	36	94.7
<b>Total</b>	<b>38</b>	<b>100</b>
<b>Staff category</b>		
Consultants	2	5.3
Medical Officers	7	18.4
Nursing In charge	1	2.6
Nursing officers	27	71.1
Health Assistants	1	2.6
<b>Total</b>	<b>38</b>	<b>100</b>

Means of the response scores, in the rating scale (0 - 10) in both pre and post tests were above average (> 5.5) for all categories of staff in both pre and post - tests.

There is a statistically significant increase in the practice of all five “HRO principles among Medical Officers and Nursing Officers after the intervention. However, there was no statistically significant improvement of practice of HRO principles among consultants. (Table 2)

**Table 2: Distribution of Means of response scores (0 -10) of consultants, medical officers and nursing officers on five HRO principles in pre and post tests.**

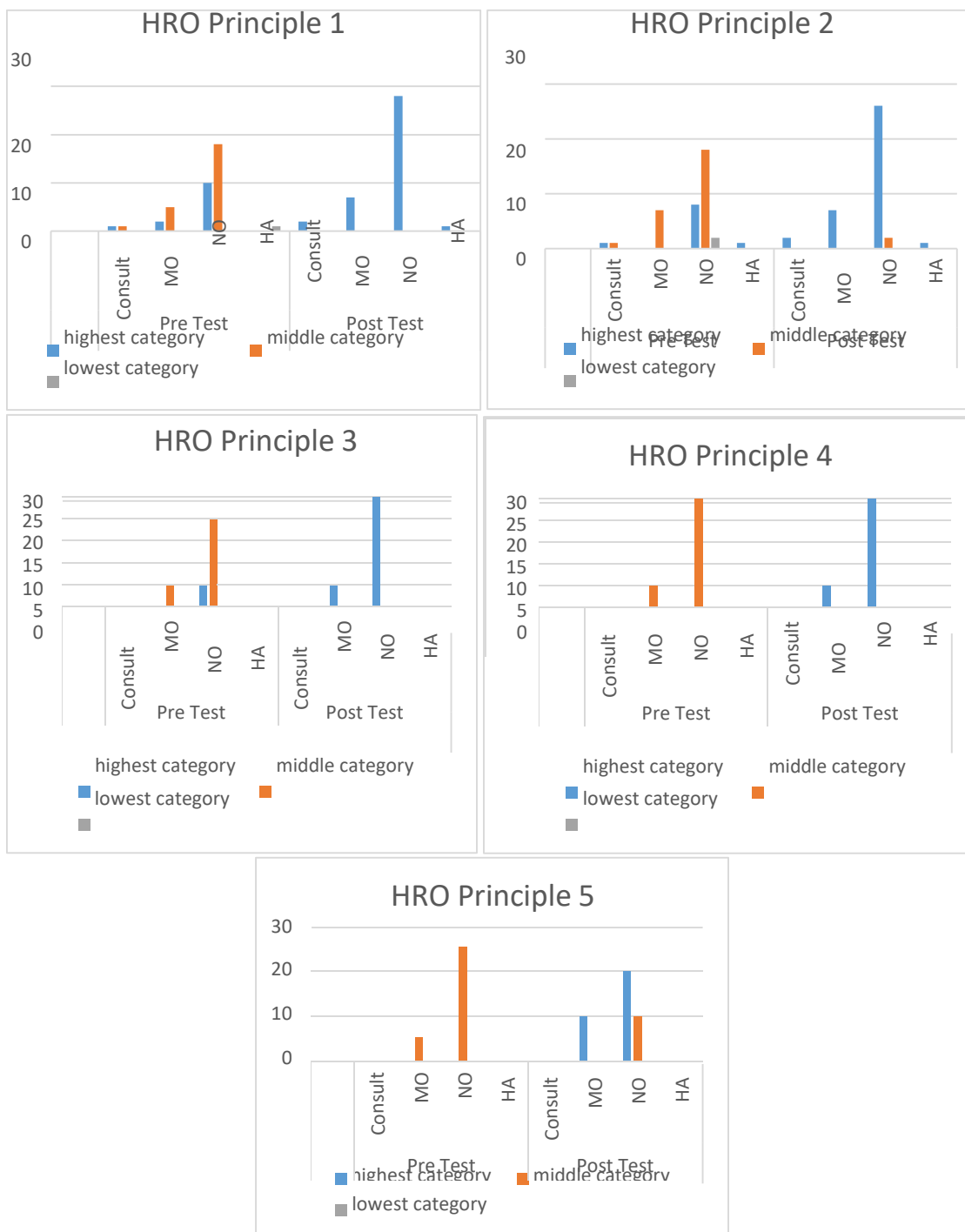
Staff Category	HRO principle	Pre test N =27		Post test		Significance		
		Mean	Std. Deviation	Mean	Std. Deviation	t	df	Sig (2 tailed)
Consultants	I	7.17	1.18	8.83	0.26	1.667	1	.344
	II	6.00	3.30	8.00	0.47	1.000	1	.500
	III	5.89	00	7.89	0.16	18.000	1	.035
	IV	7.25	00	9.13	0.19	15.000	1	.042
	V	7.5	0.35	8.25	0.35	1.500	1	.374
Medical Officers	I	6.14	2.15	8.48	1.15	6.173	6	.001
	II	5.18	1.67	7.48	0.98	6.124	6	.001
	III	5.38	3.60	7.67	0.42	22.961	6	.000
	IV	6.82	6.343	8.68	2.29	4.639	6	.002
	V	7.29	1.77	8.36	1.81	5.738	6	.001

**Establishment of Elements and Principles of High Reliability Organizations in Neonatal Intensive Care Unit of de Soyza Maternity Hospital, Colombo, Sri Lanka.**

Nursing Officers	I	6.46	1.09	8.70	0.69	10.651	26	.000
	II	5.94	1.59	7.58	0.54	5.946	26	.000
	III	6.20	1.01	7.81	0.34	9.775	26	.000
	IV	6.39	1.07	8.85	0.32	12.259	26	.000
	V	6.03	1.18	7.89	0.60	9.357	26	.000

Majority has improved their practice in HRO principles from lower response – score categories to higher response – score categories. (Graph 1)

**Graph 1: Frequency distribution of staff, in different response - score categories, on 5 -HRO principles in pre and post tests**



## Establishment of Elements and Principles of High Reliability Organizations in Neonatal Intensive Care Unit of de Soyza Maternity Hospital, Colombo, Sri Lanka.

Results of the facility survey (Figure 3) showed that almost all the “HRO elements” which were not available in the initial survey were functional in the subsequent survey.

There is a mechanism established for; process auditing, rewarding, formulating policies; and continuous training on risk perception, situational awareness, HRO concept, and quality improvement.

**Figure 3: Practice of HRO elements in pre & post - t**

HRO Element	Activity	Pre assessment	Post assessment
Process auditing	HRO meeting	Not available	Functional
	<ul style="list-style-type: none"> <li>✓ death review</li> <li>✓ Infection control review</li> <li>✓ adverse events review</li> <li>✓ drug review</li> <li>✓ Work Improvement plans</li> <li>✓ equipment testing</li> <li>✓ Infrastructure testing</li> </ul>		
Rewarding	In HRO meeting	Not Available	Functional
Risk perception	Training on risk perception	Not Available	Functional
Situational awareness	Training on Situational Awareness	Not available	Conducted
Formal Rules	Written policies	Not available	Infection Control policy Handoff policy
Training	Training on HROs	Not available	Conducted

### DISCUSSION

Health care worldwide has been adopting the model of High Reliability Organizations, as an innovative safety management practice.

Considering the above fact, this research project was conducted to experience the applicability of this concept in a Sri Lankan acute care setting.

Pre and post assessments were carried out using two data collecting techniques to increase the validity of information. Weick and Sutcliffe in 2005 <sup>(8)</sup> have also used “rating scales” and “check lists” to identify hospitals performing as a HRO. Using a rating scale and a check list in this study is comparable to their study. However, literature shows different rating scales developed and validated by researchers individually for such assessments. <sup>(8,13)</sup> The current study has obtained inputs from many such validated rating scales when developing its SAQ to improve validity.

Robert et al in 2003 identified five “HRO elements”. These elements have been incorporated into the assessments of hospitals practicing HRO concept. <sup>(1,3)</sup> Same five basic elements were incorporated into the check list of this study to improve content validity. Further, the items in the check list of this study have directly covered all the HRO elements. In contrast, check lists found in other studies <sup>(10)</sup> have focused more on the establishment of different hospital processes which would improve their reliability and safety. Yet, improving reliability is not directly comparable to establishment of the concept of HRO. Accordingly, check list developed for this study is straight forward, concise and directly measures the functionality of HRO elements.

Assessing basic principles, with or without basic elements of HRO is one method to decide the level of establishment of HRO structure. <sup>(1)</sup> Output and outcome analysis by benchmarking the performance is an alternative method. <sup>(9)</sup> However, HRO transformation is a long process and HRO concept is a new model to Sri Lanka. Therefore, this study focused more on establishment of the process in the way of improving the physical setting and modifying the cognitive and affective aspects of employees. Outcome and impact indicators would be incorporated gradually.

## **Establishment of Elements and Principles of High Reliability Organizations in Neonatal Intensive Care Unit of de Soyza Maternity Hospital, Colombo, Sri Lanka.**

Establishment of HRO elements was recognized as the first stage in the conceptual framework. Therefore, Interventions were developed based on the HRO elements. Here, several feasible evidence based activities were incorporated<sup>(10)</sup> which included new concepts such as collective mindfulness<sup>(11)</sup> to improve long term outcomes.

If “collective mindfulness” is suddenly implemented it would increase recognition and reporting all the unsafe conditions, exceeding the capacity of addressing them.<sup>(12)</sup> Hence this project was planned to introduce the concept gradually. Emphasis was made to ensure project sustainability and continuous improvement.

When measuring the effectiveness, mean responses on every HRO principle in both pre and post tests were above average as in a similar study done in an A&E unit in 2018 in Sri Lanka. In that study, Malawige<sup>(13)</sup> has taken a mixture of staff and found; means of 4.29; 4.37; 4.69; 4.47 and 4.21 for 1 - V principles respectively. Malawige<sup>(13)</sup> has also received the mean responses on every HRO principle in the positive half of the rating scale (>3 of 6 point scale) which is similar to the current study. It could be due to the fact that critical care settings such as NICUs and A & E units take all the possible measures to improve safety and reliability, even though they are exactly not aligned with the HRO principles.

Malawige<sup>(13)</sup> has received the highest mean value for “Sensitivity to operations” while in the current study, Nursing officers has said that it was the second highest principle practiced. However, Consultants and Medical Officers have said that it was the least practiced. One reason for the discrepancy could be that she has calculated the mean for the total study population which had a mixture of all categories. Malawige<sup>(13)</sup> has got the least value for “Difference to expertise”. In contrast, in the current study, both consultants and Medical Officers have said “Difference to expertise” was the highest practiced which is completely the opposite. However, Nursing Officers have said that it was, the one before the last. One cause for this difference could be the same reason of neutralizing the opinion of one category with the opposite opinion of other categories.

Chassin & Loeb<sup>(3)</sup>; have assessed the hospital performance against “HRO principles” and found that; Hospitals accept failure as “unavoidable” as opposed to “preoccupation with failure”; Hospitals have “simplified observations” due to; the rarity of adverse events and higher confidence on safety systems; Hospitals “fail to be sensitive” because employees are not well sensitized; Hospitals do not show “resilience” efficiently; “Reporting errors” are not seen as valuable; employees are reluctant to expose mistakes; “alarm signals” of devices are poorly designed; Rigid “hierarchical structure” and “seniority model” prevent the most expert individual to implement remedies. Likewise, these researches say that HRO principals are not usually noticeable in hospital settings. Similar indicators used in the SAQ in this study have shown that there is a gap between what is existing and what needs to be achieved.

Chassin & Loeb<sup>(3)</sup> have developed a frame work with three major incremental strategies to progress towards high reliability; 1. “Leaders commitment to zero harm”; 2. “Culture of safety and staff training” and 3. “Process improvement tools” such as lean management, six sigma and total quality improvement. Chassin & Loeb<sup>(3)</sup> have used indicators such as; adverse events, hospital acquired infections, medical errors, errors during handoffs, wrong side surgeries, fire breaks, patient falls etc. to assess HRO concept which are actually of output and outcome indicators requiring a considerable time duration to show a significant result.

According to Hines et al<sup>(7)</sup>, changing the culture and processes to decrease system failures needs a stepwise process. The basic steps described by Hines et al.<sup>(7)</sup> are; 1. Change internal and external environments; 2. Respond to them; 3. Plan improvement initiatives; 4. Adjust the work pattern of employees; and 5. Implement initiatives in selected settings and spread continuously. This process again needs a fair amount of time and leadership commitment to achieve objectives.

Panagos et al<sup>(10)</sup>, say that; creating a safety culture; involvement of all management levels; improvement of communication; monitoring adverse events; strengthening information technology; incident reporting and analysis; non-punitive approaches; staff engagement; use of quality improvement methodologies; and shared mental model tools; are required in the transformation. Indeed, current study also has incorporated several such feasible evidence based activities into this plan.

Weick et al,<sup>(11)</sup> have described a “Process of collective mindfulness in organizing for high reliability”. Weick et al,<sup>(11)</sup> say that HROs focus on failure; reliability; attention to design and procedures, redundancy, decentralizing decision-making, continuous training and strong culture of collective mindfulness for risk identification. This study plan too has absorbed some new concepts from such studies to improve long term outcomes.

However, as HRO transformation is a long term process, in this study of short duration, it was focused more on establishment of the process to have a cultural change. Outcome and impact indicators would be incorporated gradually in this continuous quality improvement effort.

## **Establishment of Elements and Principles of High Reliability Organizations in Neonatal Intensive Care Unit of de Soyza Maternity Hospital, Colombo, Sri Lanka.**

Hales &Chakravorty<sup>(12)</sup>say that “Soft systems method” using “mindfulness technique” is an effective method to create HRO structure. Anyway, Hines et al <sup>(7)</sup>say; if “collective mindfulness” is suddenly implemented it will increase recognition of all the risks and go beyond the capacity of solving. Therefore, transformation of culture should be implemented gradually. Therefore, this project planned to introduce the concept gradually.

Chassin& Loeb<sup>(2)</sup>in their model with 3 domains have explained 4 stages of maturity (ie: Beginning, Developing, Advancing and Approaching) describing a series of actions during implementation. This study too needs to be monitored over a sufficient time as it passes through all these stages.

All categories of staff accepts that all 5 HRO principles are being established at an almost similar degree in the NICU.However, a statistical significance is seen with the responses of medical officers and nursing officers and not with the responses of consultants. The very low number of consultants (N=2) might have resulted in this unexpected observation.

Further, this study too needs to be monitored over a sufficient period of time as it passes through different stages of evolution. As HRO transformation needs a considerable period of time and effort, it is needed to facilitate and monitor the process in a sustainable manner.

### **CONCLUSION**

This interventional research project identified a gap in the current functional state of NICU, DMH against the concept of High Reliability Organization. The managerial plan developed and implemented in this setting showed a significant level of transformation of the study setting to a HRO management structure. The interventions used in this project can be recommended for any other health care setting as an introductory initiative of the HRO concept.

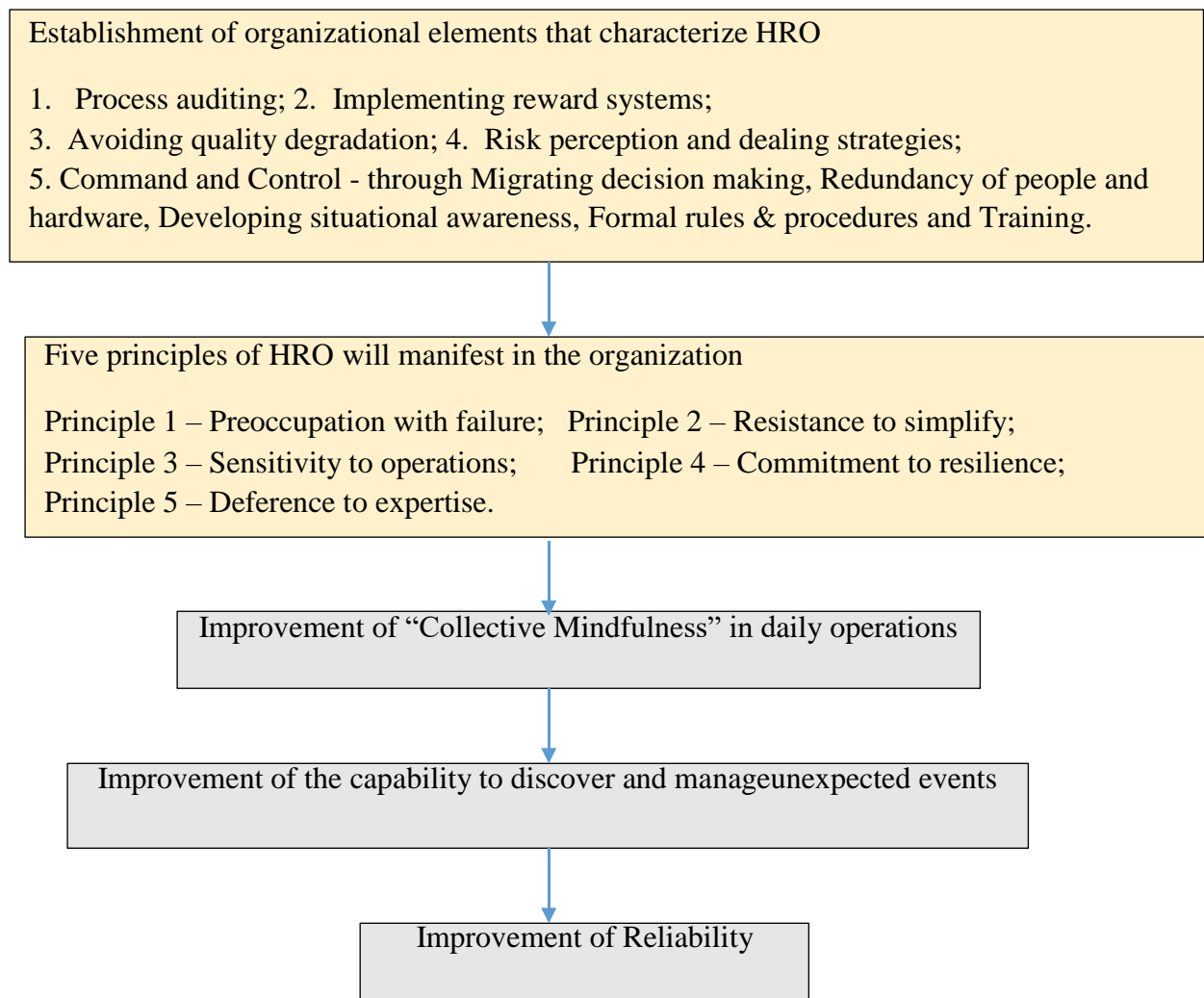
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**Establishment of Elements and Principles of High Reliability Organizations in Neonatal Intensive Care Unit of de Soyza Maternity Hospital, Colombo, Sri Lanka.**

**ANNEXURE 1**

**Figure 1: Conceptual framework.**



**ANNEXURE 2**

**Validation Tool**

**1. Face Validity**

“The degree to which an assessment/test subjectively appears to measure the variable/construct that it supposed to measure”

Agreement that each statement in the SAQ appears to measure the relevant principle of HRO and each item in the Check List appears to measure the relevant element of HRO.

Criteria	Not agreed	Moderately agreed	Agreed	Highly agreed
Concepts				
Relevancy				
Formatting				
Clarity of language				
Depth of assessment				



**Establishment of Elements and Principles of High Reliability Organizations in Neonatal Intensive Care Unit of de Soyza Maternity Hospital, Colombo, Sri Lanka.**

**2. Content Validity**

“How well each statement in the SAQ and each item in the Check List measure the construct”; done by subject matter experts; To measure the degree of relevancy & representativeness of each statement/item.

Each expert rater in the judging panel responds to the following question for each item.

**Is the particular HRO principle – measured by this statement in the SAQ?**

**Is the particular HRO element – measured by this item in the Check List?**

Participants: 6 experts in the subject matter.

Principle	Statement in SAQ	Relevant & Representative	Not Relevant & Representative
1.	1. 2. 3. 4.		
Element	Item in the check List	Relevant & Representative	Not Relevant & Representative
1.	1. 2. 3. 4.		

## The Influence of Leadership Styles and Work Motivation on Employees Performance of Islamic Banks



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**ABSTRACT:** This paper aims to determine the influence of leadership style and work motivation on employee performance at Bank Mandiri Syariah Palu Indonesia. This study employed a quantitative study, and the data were collected through a survey. There were 48 samples in this study. We used the saturation sampling technique to determine the samples because all populations were recruited for the samples. The data were analyzed using multiple linear regression analysis. The results show that leadership style and work motivation simultaneously affect employee performance at the Bank Mandiri Syariah Palu Indonesia. Among those variables, leadership style has a more significant effect on employee performance. In contrast, work motivation has less influence on employees' work performance, but it still plays a role in the employees' work performance. Our study contributes to better strategy in managing leadership and works motivation to enhance employees' work performances within Islamic banking industries.

**KEYWORDS:** leadership style, work motivation, employee's performances, Islamic banks

### I. INTRODUCTION

In today's human civilization, all aspects of life cannot be separated from the organization. Organizing is human nature, which means humans are social creatures, and they will not be able to live without other humans [1]. Humans need a community to interact in order to fulfill their needs. Humans usually play a collective role in an organization. When humans are organized, they will interact and become part of the organization where they work, which is a place to harmonize and balance the mission of struggling to prosper their lives [2].

In achieving goals, every organization needs resources to achieve them. These resources include natural, financial, scientific and technological, and human resources. Among these resources, the most important resource is human resources [3]. Human resources are a central instrument in organizations and companies. In order for management activities to run well, companies must have knowledgeable and highly skilled employees and efforts to manage the company as optimally as possible so that employee performance increases.

Employee performance is the result or achievement of an employee's work which is assessed in terms of quality and quantity based on work standards determined by their organization [4]. Good performance is an optimal performance, namely performance that is in accordance with organizational standards and supports the achievement of organizational goals. A good organization is an organization that strives to improve the ability of its human resources because it is a crucial factor in improving employee performance [5].

To achieve organizational goals, employees are required to maximize their performance. Performance is the result of work that has a strong relationship with the organization's strategic objectives, customer satisfaction and contributes to the economy [6]. Thus, performance is about doing work and the results achieved from that work—performance is about what is done and how to do it [7].

There are some negative factors that can reduce employee performance, including the decreased desire of employees to achieve work performance and lack of punctuality in completing work. To avoid the negative factors, employees should obey their organizational rules, pay attention to their environmental pressures, and cooperate with coworkers [8]. In this context, the role of a leader is crucial, and the leader should build the spirit of his employees to achieve company goals [9].

## **The Influence of Leadership Style and Work Motivation on Employees Performance of Islamic Banks**

Organizational leaders have different leadership styles in managing their employees to increase their employees' work performances. Every leader has a strong motivation to ensure his/her employees work with maximum outcomes. A leader's success also depends on his ability to apply a suitable leadership style and the ability to motivate employees to work hard in achieving organizational goals. When an organization has good leadership quality, the organization will achieve its goals quickly.

The relationship between leadership style and work motivation on employees performance within banking industries is limited to study. This study, therefore, conducted research within a national bank branch in Indonesia to understand how the leadership style and work motivation affect employees' performance. Our study contributes to better implementation of leadership style and works motivation in enhancing employees' performance. Our study also contributes to an understanding of bank management of leadership and employees performance within government banking industries in Indonesia.

## **II. LITERATURE REVIEW**

### **A. Leadership Styles**

Every leader basically has different behavior in leading his followers. The leadership behavior is called the leadership style [10]. Leadership style is a way for leaders to manage their subordinates which are expressed in behavior or personality patterns.

A leadership style is also understood as a behavioral norm used by a person when that person tries to influence the behavior of others [11]. Therefore, efforts to harmonize perceptions between those who will influence and those whose behavior will be influenced are very important. There are three leadership styles: authoritarian, democratic, and freestyle (the *laissez faire*) [12].

#### **Authoritarian Leadership**

The authoritarian leadership style is based on absolute and total power, where a leader concentrates all decisions and policies taken from him in full. All division of tasks and responsibilities is held by the authoritarian leader, while the subordinates only carry out the tasks that have been given.

Authoritarian leadership is also called dictatorship or directive leadership [13]. A leader who adopts the leadership style usually makes decisions without consulting the employees. Authoritarian leadership is based on power or strength inherent in the leader's personality [14]. Authoritarian leadership can be seen from its characteristics, including (a) relying on the strength or power inherited by the leader, (b) considering himself the most powerful, (c) considering himself the most knowledgeable about all issues, other people are considered not to know, (d) decisions that are taken unilaterally, do not recognize compromise so that he does not want to accept suggestions from subordinates, even he does not give the opportunity to subordinates to give suggestions, opinions or ideas, (e) hard in dealing with principles, (f) far from subordinates, (g) prefer subordinates who are abs (as long as you are happy), (h) orders are given by force, (i) supervision is carried out strictly so that orders are actually carried out.

#### **Democratic Leadership**

Democratic leadership is the style of the leader who gives broad authority to subordinates [15]. Whenever there is a problem, the leader always involves subordinates. In a democratic leadership style, the leader provides more information about the duties and responsibilities of his subordinates. In this style, employees have great opportunities for self-development. As such, everyone who is led by this type of leader employee has self-motivation to develop. A leader with a democratic style gives more freedom and flexibility to his subordinates and followers to express their opinions, suggestions, and criticisms and always adheres to democratic values in general.

#### **Liaises Faire Leadership**

The leader usually exhibits a passive style and behavior and also often avoids responsibility [16]. In practice, the leader only submits and provides the instruments and resources needed by his subordinates to carry out a job and to achieve the goals set by the leader. A leader with *laize faire* style is indeed among his subordinates, but he does not provide motivation, direction, and guidance, and all work is handed over to his subordinates.

A leader with *Liaises Faire* Leadership style will leave the decision to the wishes of the group; what is good according to the group is the decision. Its implementation also depends on the will of the group. In general, the *laissez-faire* type is run by leaders who do not have technical expertise. The *laissez-faire* type has the following characteristics [17]: (a) giving full freedom to subordinates to take actions that are deemed necessary in accordance with their respective fields of duty, (b) the leader does not actively participate in group activities, (c) all work and responsibility is delegated to subordinates, (d) unable to carry out

## The Influence of Leadership Style and Work Motivation on Employees Performance of Islamic Banks

good coordination and supervision, (e) does not have authority so that he is not feared let alone respected by subordinates, (f) practically the leader does not carry out leadership, he is only a symbol.

### B. Leadership in Islamic Perspectives

Imamah or Islamic leadership is a concept contained in the Qur'an and As-Sunnah, which covers human life from personal, two, family and even human beings or groups [18]. This concept includes both ways of leading and being led for the implementation of Islamic teachings to ensure a better life in this world and the hereafter as the goal. Islamic leadership, it is the nature of every human being that at the same time motivates Islamic leadership.<sup>1</sup> Allah entrusts humans to be Allah's vicegerents (representatives of Allah) on earth, which is conveyed in the word of Allah SWT in Surah Al-Baqarah 2: verse 30, which states as follows:

"Remember when your Lord said to the Angels: "Indeed I want to make a caliph on earth." They said: "Why do you want to make (the caliph) on earth a person who will make mischief on it and shed blood, even though we always glorify you by praising you and purifying you?" God said: "Indeed, I know what you do not know."

The Qur'an verse above shows the caliph is the representative of God on earth (khalifa fil ardl). The caliph is a human figure who is equipped with the advantages of reason, mind, and knowledge to regulate. The term or the words of this caliph became popularly used after the Messenger of Allah died. In other terms, leadership is also contained in the sense of "Imam", which means religious leaders and spiritual leaders who are imitated and implemented by their fatwas.

The concept of trust given to humans as leaders occupy a central position in Islamic leadership. Logically, if the concept of the caliphate or leader mandate given to humans requires a good relationship or interaction between humans and the trustee (God) [19], namely: (1) doing all God's commands, (2) staying away from all His prohibitions, (3) being happy (sincerely) accept all His laws or provisions. In addition to the relationship with the trustee (God), also build good relationships with fellow human beings and the environment entrusted to him.

Suppose we pay attention to the theories of the function and role of a leader initiated and put forward by scholars. In that case, we will only find that leadership is a concept of interaction, relations, authority processes, and activities to influence, direct, and coordinate only horizontally [20]. The Islamic concept, leadership, is interaction, relations, authority processes, and activities to influence, direct, and coordinate horizontally and vertically [21]. Management theory argues that the function of a leader is as a planner and decision-maker (planning and decision-maker), organizing (organization), leadership and motivation (leading and motivation), supervision (controlling), and others.

Based on the description above, it can be emphasized that Islamic leadership is a process or ability of others to direct and motivate the behavior of others, and there is a cooperative effort in accordance with the Qur'an and Hadith to achieve the desired goals together.

## III. METHODOLOGY

The approach used in this study is a quantitative approach because this research is focused on knowing the effect of leadership style and work motivation on employee performance. We distributed questionnaires to 48 respondents in a branch of Bank Mandiri Syariah in Palu city, Indonesia. The questionnaire used five Likert scales [22]. The data were analyzed using a statistical package for social studies (SPSS) [23]. Data analysis was carried out through several stages, including validity, reliability, multiple regression test, and classical assumption test.

## IV. RESULTS

### A. Respondents Demography

Our research was conducted at Bank Mandiri Syariah branch in Palu city, Indonesia. The survey questionnaires were distributed to employees of the bank consisted of 48 employees. The description of the survey questionnaires and samples are as follows:

**Table 1. Description of Questionnaire**

Number of Samples	Questionnaire Distributed	Returned Questionnaire	Questionnaire Processed	Percentage
48	48	48	48	100%

The number of samples used in this study was 48 employees of the bank. The respondents' descriptions are as follows:

<sup>1</sup>Veithzal Rivai, dkk, *Pemimpin*, 27.

## The Influence of Leadership Style and Work Motivation on Employees Performance of Islamic Banks

**Table 2. Respondent Characteristics**

No	Gender	Amount	Percentage
1	Male	18	37,5%
2	Female	30	62,5%
Jumlah		48	100%

### Validity and Reliability Test

The questionnaires were considered valid when the measuring instrument used to obtain data is valid. In contrast, a reliable questionnaire is reliable when used to measure data many times, producing the same data. The validity of the questionnaires are shown in the following table 3 below.

**Table 3. Instrument Validity Test Results**

Variable	Statement Items	Corrected Item total Correlation	R Kritis	Description
Leadership Style (X1)	1	0,675	0,30	Valid
	2	0,584	0,30	Valid
	3	0,715	0,30	Valid
	4	0,683	0,30	Valid
	5	0,520	0,30	Valid
	6	0,623	0,30	Valid
	7	0,743	0,30	Valid
	8	0,641	0,30	Valid
	9	0,604	0,30	Valid
	10	0,631	0,30	Valid
Work Motivation (X2)	1	0,519	0,30	Valid
	2	0,540	0,30	Valid
	3	0,508	0,30	Valid
	4	0,427	0,30	Valid
	5	0,624	0,30	Valid
	6	0,536	0,30	Valid
	7	0,582	0,30	Valid
	8	0,634	0,30	Valid
	9	0,698	0,30	Valid
Employee Performance (Y)	1	0,678	0,30	Valid
	2	0,672	0,30	Valid
	3	0,648	0,30	Valid
	4	0,646	0,30	Valid
	5	0,614	0,30	Valid
	6	0,676	0,30	Valid
	7	0,609	0,30	Valid
	8	0,601	0,30	Valid
	9	0,684	0,30	Valid
	10	0,777	0,30	Valid

The table above shows that the calculated values in the Corrected Item Total Correlation column for each of the three variables above are stated as valid statements because the  $r_{count}$  is greater than 0.30. The reliability test result using SPSS (Statistical Packaged For Social Sciences) version 21 produced the Cronbach's Alpha ( $\alpha$ ) statistical test. A questionnaire is considered reliable if it has Cronbach's Alpha ( $\alpha$ ) more than 0.60. The following table 4 shows reliability test results.

## The Influence of Leadership Style and Work Motivation on Employees Performance of Islamic Banks

**Table 4. Instrument Reliability Test Results**

Variable	Reliability Coefficients	Cronbach Alpha	Description
Leadership Style (X1)	10 Item	0,896	Reliable
Work Motivation (X2)	9 Item	0,847	Reliable
Employee Performance (Y)	10 Item	0,905	Reliable

The table above shows that each variable has a Cronbach's Alpha ( $\alpha$ ) of more than 0.60 ( $\alpha > 0.60$ ), which means that all variables, namely X1, X2, and Y are reliable. Thus data processing can be continued to the next level.

### B. Multiple Linear Regression Analysis

Multiple linear regression analysis is a non-parametric statistical tool that functions to analyze the relationship and relationship between two or more different research variables, namely the dependent and independent variables [24]. It requires data consisting of several groups of measurement observations. Furthermore, from the results of this multiple regression analysis, it will be known whether there is a partial and simultaneous influence on the variables of Leadership Style (X1), Work Motivation (X2), and Employee Performance (Y). Based on the results of data processing using SPSS 21 for Windows, the results of multiple regression analysis are as follows.

**Table 5. Multiple Linear Regression Analysis Results**

Model		Coefficients <sup>a</sup>						
		Unstandardized Coefficients		Standardized Coefficients	t	Sig.	Collinearity Statistics	
		B	Std. Error	Beta			Tolerance	VIF
1	(Constant)	14.337	5.649		2.538	.015		
	LEADERSHIP STYLE	.532	.151	.560	3.525	.001	.494	2.026
	WORK MOTIVATION	.165	.195	.135	.848	.401	.494	2.026

a. Dependent Variable: EMPLOYEE PERFORMANCE

The multiple linear regression analysis results in the table above were then entered into the multiple regression equation models is  $Y = 14,337 + 0,532x_1 + 0,165x_2$ . The multiple linear regression equation above shows that the two independent variables (Leadership Style and Work Motivation) positively impact the dependent variable (Employee Performance). The above calculation results show that there is a positive constant of 14.337 which means that employee performance was increased by 14.337 if the variables of leadership style and work motivation are constant or zero (0). The leadership style regression coefficient (X1) of 0.532 was positive. The positive value (+) on the leadership style variable has a unidirectional meaning. An increase in one unit of the leadership style variable (X1) increased employee performance by 0.532 if other variables were held constant. The regression coefficient of work motivation (X2) of 0.165 was positive. The positive value (+) on the work motivation variable had a unidirectional meaning. An increase in one unit of work motivation variable (X2) increased employee performance by 0.165 if other variables were considered constant.

### C. Hypothesis Testing Results

#### Simultaneous F Test

To test the hypothesis, we used testing results that aim to know whether the independent variables contribute significantly to the dependent variable.

**Table 6. F Test Result (Simultant Test)**

		ANOVA				
Model		Sum of Squares	df	Mean Square	F	Sig.
1	Regression	381.588	2	190.794	17.627	.000 <sup>b</sup>
	Residual	487.078	45	10.824		
	Total	868.667	47			

a. Dependent Variable: EMPLOYEE PERFORMANCE

b. Predictors: (Constant), WORK MOTIVATION, LEADERSHIP STYLE



## The Influence of Leadership Style and Work Motivation on Employees Performance of Islamic Banks

Based on the results of the ANOVA test (Analysis of Variance), or the F test, the Fount value of 17.62 > Ftable 3.20 with a Sig value of 0.000 was smaller than alpha of 0.05. Thus, these results meant that the variables of leadership style (X1), work motivation (X2), and employee performance (Y) simultaneously had a significant effect on increasing employee performance.

### Partial T-Test

A partial t-test was used to test whether the independent variable really contributes to the dependent variable. The following is the T-test results in the coefficients table.

**Table 7. T-Test Result (Partial Test)**

Model	Coefficients							
	Unstandardized Coefficients		Standardized Coefficients Beta	t	Sig.	Collinearity Statistics		
	B	Std. Error				Tolerance	VIF	
1	(Constant)	14.337	5.649		2.538	.015		
	LEADERSHIP SYLE	.532	.151	.560	3.525	.001	.494	2.026
	WORK MOTIVATION	.165	.195	.135	.848	.401	.494	2.026

a. Dependent Variable: EMPLOYEE PERFORMANCE

Based on the results of the statistical calculation of the T-test of the two independent variables included in the regression model, it can be seen that the Leadership Style (X1) obtained tcount 3.52 > table 2.01 and has a significant value (sig) 0.001 in the coefficients table with a value of (significant level) 0.05. The means was 0.001 < 0.05. This value means that the Leadership Style variable (X1) has a significant influence on Employee Performance (Y). The magnitude of the effect can be seen in the Beta column. The magnitude of the influence of the X1 variable on the Y variable is 56%.

Work Motivation (X2) obtained a count value of 0.848 < table 2.01 and a significant value (sig) 0.40 greater than the value of 0.05. It means 0.40 > 0.05. This value means that work motivation (X2) has an effect but is not significant on employee performance (Y). The magnitude of the effect can be seen in the Beta column. The magnitude of the influence of the X2 variable on the Y variable is 13.5%.

### Coefficient of Determination

The coefficient of determination analysis was conducted to find out how big the percentage of independent contribution (X) to the dependent variable (Y). From the results of calculations through the statistical measuring tool SPSS 21 For Windows, the coefficient of determination value is obtained as follows:

**Table 8. Model of Summary**

Model Summary				
Model	R	R Square	Adjusted R Square	Std. Error of the Estimate
1	.663 <sup>a</sup>	.439	.414	3.28998

a. Predictors: (Constant), WORK MOTIVATION, LEADERSHIP STYLE

b. Dependent Variable: EMPLOYEE PERFORMANCE

The output display of SPSS Model Summary R<sup>2</sup> is 0.414. This means that changes influence the variation of changes in the Employee Performance variable (Y) in the independent variable consisting of Leadership Style (X1), and Work Motivation (X2) of 41.4%. While the rest (100% - 41.4% = 58.6%) so, 58.6% is influenced by other factors not examined outside of this study.

## DISCUSSION

The results of the test using multiple regression analysis with the help of SPSS 21 for Windows, the influence of leadership style and work motivation on employee performance at Bank Mandiri showed that it simultaneously had a positive influence on employee performance decisions. Likewise, the influence of each variable partially has an influence with a different magnitude

## The Influence of Leadership Style and Work Motivation on Employees Performance of Islamic Banks

of influence. For example, based on the Anova test data analysis results, with the results of Fount  $17.62 > F_{table} 3.20$  with a Sig value of 0.000, which is smaller than alpha of 0.05. Thus, this result means that the Leadership Style (X1) and Work Motivation (X2) variables simultaneously have a significant effect on Employee Performance (Y).

### The Influence of Leadership Style on Employee Performance.

Based on the results of statistical tests, the value of count is  $3.52 > t_{table} 2.01$  and has a significant value (sig) of 0.001 in the coefficients table with a value of (significant level) of 0.05. It means  $0.001 < 0.05$ . This value means that the Leadership Style variable (X1) has a significant influence on Employee Performance (Y). The magnitude of the effect can be seen in the Beta column. The magnitude of the influence of the X1 variable on the Y variable is 56%. These results can illustrate that respondents (employees) view that the leadership style possessed by a leader has been able to significantly influence employee performance.

In accordance with the respondents' answers, 28 respondents or 58.3%, agreed with the statement that my leader did not prohibit his subordinates from working in teamwork. There were also 27 respondents or 56.3% who agreed with the statement that my leader was happy to receive suggestions from his subordinates. This can be considered as an incentive for employees to improve their performance.

The results of the study are in line with research conducted by Rakhmat Nugroho, which shows that the leadership style variable has a positive and significant effect on employee performance.<sup>2</sup>

### The Effect of Work Motivation on Employee Performance

Based on the results of statistical tests, the t-count value was  $0.84 < t_{table} 2.01$ , and the significant value (sig) 0.40 was greater than the -0.05 value. It means  $0.40 > 0.05$ . With this value, it means that the work motivation variable (X2) does not have a significant effect on employee performance (Y). The magnitude of the effect can be seen in the Beta column. The magnitude of the influence of the X2 variable on the Y variable is 13.5%. These results can provide an illustration that respondents (employees) view that the work motivation given by the leadership has not been able to influence employee performance significantly.

## CONCLUSION

Based on the results discussed above, we concluded that the leadership style and work motivation significantly influence employee performance at Bank Mandiri, with a score of 56%. Partially, the work motivation variable has a positive but not significant effect on employee performance, with a score of 13.5%. Meanwhile, simultaneously, both independent variables of Leadership Style and Work Motivation significantly affect Employee Performance. Our findings contribute to better strategy in managing leadership and work motivation to enhance employees' work performance within banking industries.

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## Gastrointestinal Complications in Sarscov-2 Infection: An Integrative Review



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**ABSTRACT:** The novel coronavirus causes varied symptomatology and several complications, among them, stand out those of the gastrointestinal tract. In order to discuss gastrointestinal complications in SARS-COV-2 infected patients and their outcomes, we've developed an integrative literature review, using Pubmed and BVS databases. The following descriptors were used: covid-19, Sars-cov-2, gastrointestinal Tract, and Complications. The selected studies presented patients with covid-19 and gastrointestinal complications. The majority of the 13 articles included were case reports, in Europe, mostly men at the age of 60 or more. As for complications, ischemia, gastrointestinal bleeding, and pneumatosis, arterial narrowing and thrombosis stands out. In diagnoses, commonly exam was the reverse polymerase-transcriptase chain reaction; treatment varied between conservative and surgical resection. It's evident the importance of good practice, early diagnosis and treatments, avoiding at its most the worsening of the condition. However, whereas is such a recent subject matter, further studies need to be made.

**KEYWORDS:** SARS Virus. Intestinal Diseases. Coronavirus Infections, Gastrointestinal complications, Gastrointestinal Tract.

### I. INTRODUCTION

The new coronavirus (SARSCoV-2) is a positive single-stranded, enveloped RNA virus. It had its first reported case in Wuhan, Hubei Province, People's Republic of China<sup>1</sup> at the end of 2019 and, since then, it has spread rapidly and overwhelmingly, configuring a pandemic. Currently, more than 72,196,732 cases have been reported worldwide, including 1,630,521 deaths of individuals with COVID-19<sup>2</sup>. Brazil is one of the countries that have suffered from the effects of this disease, totaling 6,970,034 cases and 182,799 deaths<sup>3</sup>. Furthermore, its clinical manifestations vary significantly, from asymptomatic individuals to those with complications that go beyond classic symptoms such as fever, headache, myalgia, respiratory secretions, diarrhea<sup>4</sup>, since in addition to its tropism for the airways and lung tissue, complications have already been described kidney, liver and gastrointestinal tract (GIT).

Upon entering the individual's body, the virus binds to the angiotensin 2 converting enzyme (ACE2) receptor, allowing access to the target cell and its replication. Thus, it is capable of triggering an immune response in the host, with the first symptoms and clinical manifestations, including those related to GIT, appearing. This is because cells that have these receptors are led to produce inflammatory mediators, activating immune cells, which release cytokines (such as interleukin [IL]-2, IL-6, IL-17 and tumor necrosis factor [TNF]), that act on the local and systemic manifestations of COVID-19<sup>5</sup>. Furthermore, this receptor is found on alveolar cells, but also on epithelial cells throughout the TGI<sup>6</sup>. Thus, SARS-CoV-2 can cause digestive symptoms by direct viral invasion into target cells and/or immune-mediated tissue and target organ damage.

The most frequent complications related to the gastrointestinal tract are intestinal ischemia, gastrointestinal bleeding and intestinal pneumatosis, in addition to arterial narrowing and thrombosis. Therefore, treatment can be a conservative or surgical approach, which may or may not lead to death.

In view of these considerations, it is considered relevant to seek theoretical support for a better understanding of the fact, and therefore, this review aimed to discuss the main complications in the gastrointestinal tract in patients with COVID-19, as well as the possible associated outcomes.

# Gastrointestinal Complications in Sarscov-2 Infection: An Integrative Review

## II. METHODS

An integrative literature review was conducted, according to the reference of Mendes, Silveira and Galvão<sup>7</sup>. Initially, the research question was elaborated and, subsequently, the search for articles in the PubMed and BVS databases was carried out. The descriptors used were: covid-19, sars-cov-2, gastrointestinal tract and complications, found in MeSH. There was no temporal delimitation, as the theme is an emerging pandemic; with regard to language, the delimitation was for articles in English, Portuguese and Spanish. As inclusion criteria, the following were delimited: studies of the type report or case series, cross-sectional, cohort, retrospective that reported the occurrence of gastrointestinal complications in adult patients infected by sars-cov-2. Studies that did not demonstrate the occurrence of gastrointestinal complications in patients infected with sars-cov-2, articles not available in full, research carried out on experimental models, as well as those developed in special populations such as children, pregnant women or the elderly, were excluded. Afterwards, the initial reading of the title and abstract of the articles was carried out to select those that met the inclusion criteria and, then, to carry out the full reading and collect the data relevant to the research.

## III. RESULTS

It were found 113 articles in PubMed and 84 in the BVS, after removing the duplicates there were 183 in total, for title and abstract analysis, after this step 164 were excluded for not meeting the inclusion criteria, leaving 13 studies for full reading, data collection and analysis, as shown in Figure 1.

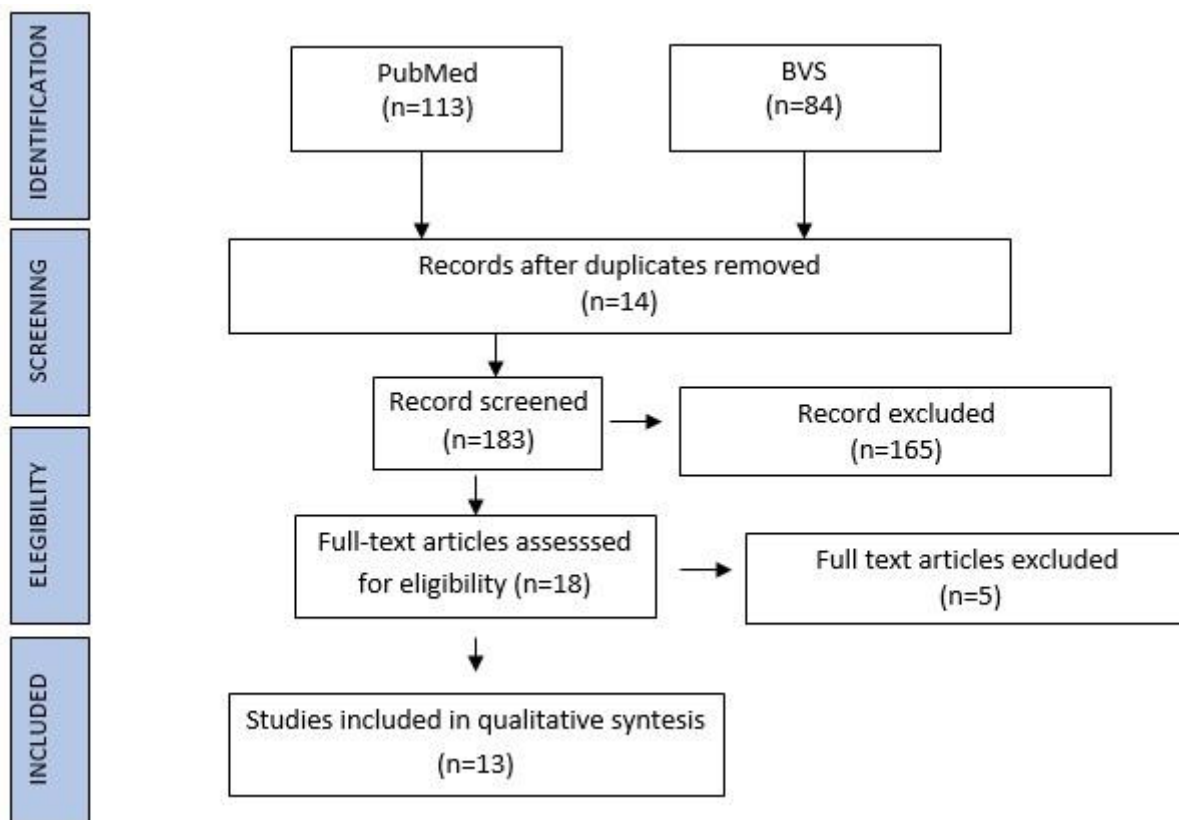


Figure 1 – Flowchart of study selection

Among the studies included, most were presented as a case report (69% - 9 articles), three studies are retrospective and one article as a case series. The main region of occurrence of the studies was Europe, with 10 studies from this continent, followed by two Asian studies, one from China and one from Qatar, and a North American study. A total of 176 patients were included in the studies, of which the majority were female (n=119). Regarding age, in six studies the patients were over 60 years old, in three over 50 and in 2 over 40, one study did not report the age of the patients.

Azouz et al.<sup>8</sup> presented the case report of a 56-year-old patient who progressed to an intestinal resection of 2 meters of small bowel. The patient was admitted with an acute ischemic stroke due to right middle cerebral artery occlusion. An angiotomography was performed and showed lesions suggestive of COVID-19, a diagnosis confirmed by PCR+. Later, the patient progressed to abdominal pain and vomiting. A CT scan confirmed a thrombus in the aortic arch associated with occlusion of the superior mesenteric artery, with no signs of aortic atherosclerosis. With these findings, the patient underwent an endovascular

## Gastrointestinal Complications in Sarscov-2 Infection: An Integrative Review

thrombectomy and laparotomy, requiring bowel resection. The authors report that patients with COVID -19 are predisposed to thromboembolic diseases due to their state of excessive inflammation, hypoxia and in some cases disseminated intravascular coagulation, in addition, they point out that recent studies have shown that the virus targets endothelial cells, which results in endothelial dysfunction.

Another case report, this one carried out in Italy, with a 59-year-old male patient, who needed bowel resection, in this case 15 centimeters of the small bowel were resected due to ischemia. The patient, hypertensive, arrived with fever, progressive dyspnea and a confirmed diagnosis of bilateral interstitial pneumonia caused by COVID-19. On the fifth day after admission, he had worsening acute abdominal pain with nausea and grade 3 arterial hypertension (160 / 115mmHg). Blood tests showed a 30-fold increase in D-dimer levels, leukocytosis and lymphopenia. A contrast-enhanced CT scan of the chest and abdomen revealed classic features of COVID-19: air fluids in the small intestine, mesenteric edema, and free peritoneal fluid. Through an emergency laparotomy, a segmental ischemia of the small bowel was found; then performing resection with subsequent lateral anastomosis. Peritoneal fluid was analyzed using PCR for COVID-19, with a negative result. The patient died due to multi-organ failure on the fourth postoperative day<sup>9</sup>.

According to Cheung<sup>10</sup>, reporting a case that occurred in the United States, a 55-year-old male patient, diagnosed by PCR +, had high-grade narrowing of the proximal superior mesenteric artery, in addition to multifocal alveolar opacities; he performed a 20 cm resection of necrotic small intestine and administration of heparin due to hypercoagulation.

Another case report, carried out in Italy, with a 62-year-old female patient with low rectal cancer (under treatment, with chemotherapy and radiotherapy, and previously laparoscopic low anterior resection, hand-stitched coloanal anastomosis and loop ileostomy protection) and no comorbidity, diagnosis by PCR +, portrayed bowel ischemia and vaginal cervix fistula; performed abdominoperineal resection and colostomy for reconstruction of the posterior vaginal wall<sup>11</sup>.

As for Kieley<sup>12</sup>, in a case report study, carried out in Dublin (Ireland), a 47-year-old male patient with a history of sleep apnea and anxiety (treatment with fluoxetine) had the diagnosis from CRP+, presented irregular opacities bilaterally in the chest by means of radiographic examinations, and treatment with augmentin (amoxicillin with clavulanate) and clarithromycin. On day 8 of symptoms, the patient had mild abdominal distension with diarrhea. The patient showed resistance to enteral feeding, and a starchy material was aspirated into the nasogastric tube. Contrast-enhanced computed tomography (CT) showed small bowel distension along with pneumatosis, fluid and free air in the cavity, and gas in the portal vein. The diagnostic hypothesis was of extensive mesenteric ischemia, which, as mentioned above, had complications of intestinal pneumatosis and acute abdomen, it was decided not to perform laparotomy, since the procedure would be small bowel resection, this being a very definitive decision and with poor prognosis according to the authors. Therefore, anticoagulant (heparin) was administered, since, in the article, the authors emphasized the use of anticoagulants (conservative approaches) when the patient was absent. signs of systemic deterioration. In addition to heparin, thromboplastin was administered together with the crystalloid solution, dobutamine (after removal of the nasogastric tube). The patient remained hemodynamically stable and an abdominal CT was performed after 4 days (on the 12th day of the patient's ICU), showing complete resolution of the intestinal pneumatosis, return to enteral feeding, extubation on the following day, and hospital discharge on the 14th day.

Another case report, carried out in Bergamo, Italy, with a 62-year-old male patient, diagnosed by CPA. On physical examination, the patient had a tense abdomen with tenderness to palpation, with no signs of peritonitis. Her symptoms worsened with acute abdominal pain associated with hypotension. CT showed, as a complication, active bleeding due to a ruptured aneurysm in the pancreaticoduodenal column, and, in addition, the patient had ulcerations in the ascending colon. As treatment, a selective embolization for the aneurysm was performed, with hospital discharge after 13 days without symptoms. However, 2 days later the patient was readmitted with repeated episodes of rectal bleeding. Abdominal CT and colonoscopy were performed, which showed edema and hyperemia of the submucosa of the ascending colon with ulcerations. Oxygen therapy, hydroxychloroquine, darunavir/cobicistat, in addition to the use of methylprednisolone, piperacillin and tazobactam were used, mainly due to the case of pro-inflammatory hypercoagulation and the reduction of ACE-2 receptors. The patient was still in the hospital at the time of article submission, but showed clinical improvements<sup>13</sup>.

In Paul<sup>14</sup>, there is a case report, carried out in Doha, Qatar, presenting a 66-year-old male patient with no previous comorbidities, admitted to the emergency department with fever, cough and loss of taste and smell in the last few three days, diagnosed from PCR+. She presented rapid deterioration of the condition, requiring admission to the Intensive Care Unit (ICU). After 13 days of hospitalization, associated with the pulmonary condition, he presented complications with bleeding from the gastrointestinal tract, with episodes of melena and intense bleeding from the rectum with the release of clots. During sigmoidoscopy, large clots, multiple ulcerations and regions of ischemia were found in the sigmoid colon. We opted for treatment with conservative support associated with blood transfusion. The authors' conclusion was that the patient had



## Gastrointestinal Complications in Sarscov-2 Infection: An Integrative Review

coagulopathies, and had thromboembolic complications. After 40 days of hospitalization, the patient was discharged from the hospital.

Another case report, carried out by Meini<sup>15</sup>, in Florence - Italy, with a 44-year-old male patient, diagnosed by PCR+, with fever of 39°C, productive cough and chest pain. He underwent a series of tests, including contrast-enhanced computed tomography of the lung, without pulmonary findings, but as a collateral finding in the lower image, free intraperitoneal bullae and air collection in portions involving mainly the cecum and right colon were found, compatible with intestinal pneumatosis (intraural bowel gas). The patient was treated with ciprofloxacin and metronidazole and within a few days he was asymptomatic and the tests were repeated, showing no further changes. The authors' conclusion was that the complication was of multifactorial etiology, however, it was probably associated with the damage of the intestinal wall and the intestinal microbiota generated by SARS-CoV-2 and they believe that the involvement of the colon testifies to the significant role of SARS-CoV-2 in the TGI, suggesting that clinicians should always focus on this device during history taking and physical examination.

In a letter to the editor, also carried out in Bergamo, Italy, a 62-year-old male patient, the diagnosis obtained a PCR- of nasopharynx and bronchoalveolar lavage, however, positive for PCR ISH (in situ hybridization) in the intestinal mucosa, enabling a direct visualization of the virus in the tissue where the virus has established itself. The patient has comorbidities associated with obesity, hypertension, type 2 diabetes mellitus and liver cirrhosis. Laboratory tests revealed leukocytosis, marked levels of C-reactive protein, increased levels of D-dimer, in addition to changes in renal function and liver markers. It presented as a complication ischemia of the small intestine, in addition to thromboembolic filling defects in the inferior vena cava and superior mesenteric vein, being used as treatment the resection of the small intestine. The patient died about 12 hours after surgery due to refractory septic shock. The conclusion of the case was that the patient was in a state of hypercoagulation, with numerous coagulopathies<sup>16</sup>.

A case series carried out in China, with 6 patients, three males and three females, with a mean age of 68 years, reported that patients were admitted to the hospital with pneumonia as associated with COVID-19 (diagnosis by PCR+), fever, shortness of breath, infiltrate on chest X-ray and bleeding in the upper gastrointestinal tract, two of them with hematemesis and four had melena. Of the six patients, five were receiving supplemental oxygen and one patient with an endotracheal tube. All underwent conservative treatment with a positive response within 24 hours (drip of proton pump inhibitor, blood transfusion - performed in four patients who needed it, and frequent monitoring of vital signs), without endoscopy, with all cases having satisfactory resolution. As endoscopy was not performed, the authors state that the exact cause of gastrointestinal bleeding is uncertain, but they believe it is related to coagulation changes that occur in patients with COVID-19. They reinforce that as the patients in this case series evolved well in the first 24 hours, endoscopy can be discarded, but in case of lack of response in this period, it may indicate the need for endoscopy for correct resolution<sup>17</sup>.

A retrospective study in the United States, with 141 patients, with a mean age of 64 years, 41 males and 100 females and diagnosed using PCR+, identified 57% of patients with some type of abdominal-pelvic findings, with 53.8% of this number reporting abdominal pain, while those who did not obtain findings, abdominal pain occurred in 73.8% of patients. The 57% patients with abdominal-pelvic findings had: hepatomegaly (5%), periportal edema (1.2%); biliary dilation (10%); changes related to the gallbladder (15%); pancreatic duct dilation (3.8%); changes related to the spleen (8.8%); changes related to the kidneys (20%); changes related to the gastrointestinal tract (31.2%); changes related to the urinary bladder (22.5%); related to pelvic organs (5%); vascular changes (7.5%); peritoneal changes (23.8%); soft tissue changes (13.8%); retroperitoneal lymphadenopathy (5%); bone changes (6, 2%). Of the abdominopelvic changes, abnormalities in the gastrointestinal tract were the most common (31%), with abdominal pain as predictors of abdominopelvic findings. Low hemoglobin, younger ages, and statistically male gender were also independent predictors of such findings. In addition, this study correlated abdominopelvic findings as suggestive (64% of patients) pneumonia at the base of the lung caused by the coronavirus. In this study, 18% of the patients had solid organ infarction or vascular thrombosis related to the state of hypercoagulation, this study also correlated low hemoglobin levels with a more severe clinical picture in the coronavirus framework<sup>18</sup>.

Another retrospective study carried out by Norsa<sup>19</sup>, in Bergamo, Italy, with seven patients, showed that the main complication was intestinal ischemia. Two of them showed ischemic colitis with wall edema involving the entire large intestine and four of them had ischemia involving the small intestine, in addition to thromboembolic filling defects in the inferior and superior vena cava and mesenteric. D-dimer was tested in six patients, showing to be elevated in all of them. Thus, showing that gastrointestinal complications are signs of poor prognosis in patients with COVID, it was reported that four of them died, and mortality was 1.7 times higher than in the pre-COVID period-19. The authors' conclusion was that, in addition to the increased mortality rate, most patients had a state of hypercoagulability (D-dimer being the best marker for this state), which revealed a sign of poor prognosis. Furthermore, it was highlighted that the down-regulation of the angiotensin-2 converting enzyme (which

## Gastrointestinal Complications in Sarscov-2 Infection: An Integrative Review

has proven to be a receptor for SARS-CoV-2) could be a hypothesis for the vascular damage caused and this receptor was found in the gastrointestinal epithelium of patients. Therefore, they suggested the prophylactic use of anticoagulants and computerized tomography as early as possible when there are suggestive symptoms.

In Strasbourg, France, a retrospective study was carried out with 13 patients, 6 women and 7 men, with a mean age of 64 years, all diagnosed using PCR+. Two scenarios were found: patients hospitalized for an acute abdominal condition where a COVID-19 co-infection was detected (group A) and patients hospitalized for a severe COVID-19 infection with a digestive complication that required emergency surgery (group B), with patients in the first group recovering better, with a lower mortality rate. The main pathologies found in group B were: perforated duodenal ulcer, sigmoid colon ischemia, retro and intraperitoneal hematoma. All cases of acute abdomen underwent surgery and there was only one death in each group. In this way, the authors stated that the acute abdomen generated from severe COVID-19 infection is a predictor of worse prognosis<sup>20</sup>.

It is important to highlight that with regard to diagnosis, ten studies reported having performed the polymerase-reverse transcriptase chain reaction (RT-PCR) test with a positive result. One article describes that the RT-PCR result was negative, but in the analysis of the intestinal mucosa it was possible to detect the virus, and two studies do not describe the diagnostic confirmation methodology for covid-19.

As for complications, six studies reported the occurrence of intestinal ischemia, affecting a total of 16 patients, of which 5 required surgical resection, with a part of the intestine being removed, and eight died. Three studies reported the occurrence of gastrointestinal bleeding (n = 8 patients), which was treated with a conservative approach, without the need for surgical procedures, none of which evolved to death. Intestinal pneumatosis was a condition reported in two patients in two studies, none of which progressed to death. Other complications described were arterial narrowing and thrombosis.

### IV. DISCUSSION

Although COVID-19 is a new disease, much has been described about its pathophysiology and affected systems, due to its great impact on the world population. Regarding the gastrointestinal tract, many studies, including literature reviews<sup>21</sup> and systematic reviews<sup>22</sup>, have described the occurrence of symptoms such as diarrhea, abdominal pain, nausea, vomiting, anorexia and gastrointestinal bleeding, in addition to classic symptoms that include fever, dry cough and dyspnea.

However, complications involving the gastrointestinal system are still being studied, as there are more and more reports in patients with COVID-19. Thus, complications such as thrombosis and arterial narrowing, gastrointestinal ischemia and pneumatosis have already been described, but there is still a lot to discover about this subject, which makes some data inconclusive.

### V. CONCLUSIONS

In order to respond to the proposed objective, all the complications evidenced in the different articles were analyzed, and it can be pointed out that the new coronavirus (SARSCoV-2) produces repercussions throughout the body, among which complications involving the gastrointestinal system are pointed out. Those include intestinal ischemia, gastrointestinal bleeding, arterial narrowing, thrombosis and intestinal pneumatosis – the predominant in the analyzed studies.

It is observed that most of the diagnosis is made possible through the examination of the polymerase-reverse transcriptase chain reaction (RT-PCR), and that the treatment can have a conservative or surgical approach, depending on the case. Furthermore, the occurrence of gastrointestinal disorders associated with the infection is associated with a poor prognosis.

We emphasize the importance of an effective clinic, which will detect symptoms early, with the aim of offering fast and safe treatment.

The studies are not conclusive and much remains to be investigated in this regard to determine effective conduct, especially with regard to the methodologies used in the studies and the risks of bias present. However, it is considered that the integration of knowledge from studies can greatly contribute to quality health care.

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## Perceived Health Concerns During COVID 19 Crisis Amongst Jamaicans



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### ABSTRACT

**Aim:** The COVID-19 pandemic is an unprecedented global crisis affecting several countries, including Jamaica. The risk perception of a crisis is shaped by both real hazards and perceived threats. Therefore, a cross-sectional research survey was conducted in August 2020 to evaluate Jamaicans' perceived health concerns during COVID-19.

**Methods:** A cross-sectional randomized online questionnaire survey was sent to a total of 268 participants. As a result, 92 people (34%) responded to the online questionnaire survey in August 2020, and SPSS analyzed the data.

**Results and Discussion:** Out of 92 respondents, 78% were females, 22% were males, and more than 70% of participants were over 35 yrs. old. 52% of participants perceived the country was not prepared for a crisis such as COVID-19. The biggest concerns during this crisis were family health (39%), economic hardship (28%), societal health (20%), and personal health (13%). In personal health, the majority of Jamaicans were concerned about physical and mental health during this crisis.

**Conclusion:** The responding and understanding of the ongoing COVID-19 pandemic are functions of both natural threats and perceived risks. The interaction of physical health and risk perception is complex and dependent on understanding the crisis, uncertainty, and destructive potential. The results suggest a crisis burden on mental health in addition to physical health; therefore, an effective campaign should be planned to prevent a deepening mental health crisis. This research study suggests a potential burden on societal health in healthcare delivery systems and other public health services. The awareness program should be promoted to motivate and help the Jamaicans to handle the crisis. The policymakers should consider working with government, science, and faith-based institutions to develop a multidisciplinary framework to control the COVID-19 pandemic's negative impact on Jamaican society.

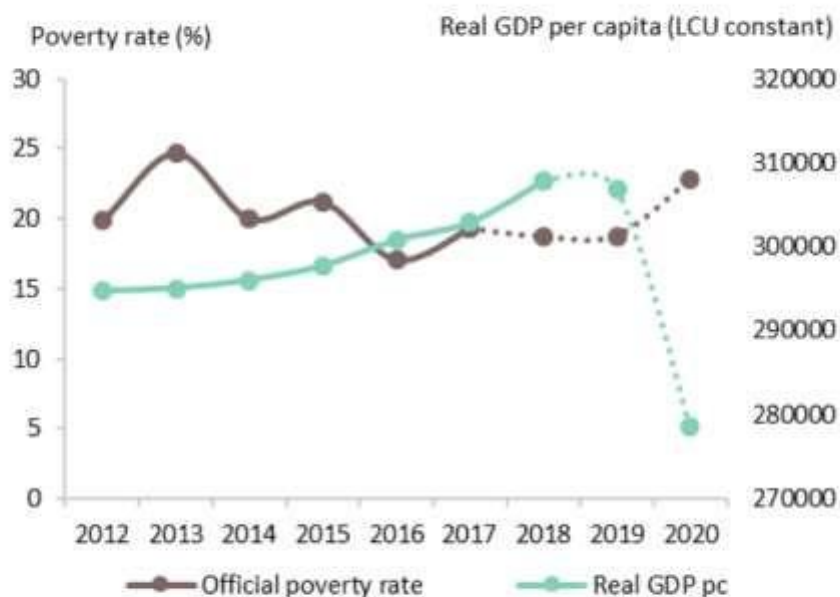
**KEYWORDS:** Mental health, COVID-19, pandemic, healthcare crisis

### BACKGROUND

COVID-19 pandemic needs no introduction. COVID-19 has affected millions of people across the world, and hundreds of countries are in crisis. No other single crisis in the current living generation has affected people's lives as COVID-19. Therefore, all information, including scientific and social relevance in addition to clinical and medical understanding, is crucial to guide public health policies. There has been a massive disruption of day-to-day human lives, including churches, schools, businesses, and any social gatherings during their lifetime. Understanding people's perceptions of the risks and their reaction to the crisis such as COVID-19 is essential to design meaningful and practical solutions.<sup>1</sup>

Jamaica, one of the most popular English-speaking Caribbean countries, is a common tourist destination for decades. In 2019, over 4 million tourists visited the country, double the number of tourists compared to 2000. In 2019, Jamaica earned 3.5 Billion US dollars from tourism. Due to COVID-19 and its related restrictions, tourism dropped to one million affecting hotels and restaurants businesses with 30% decline in the revenue. According to World Bank, this may have abolished the progress made in poverty reduction over some years.<sup>8</sup> (Figure 1)

Figure 1- Actual and projected poverty rates and real GDP per capita



Source: Statistical Institute of Jamaica and World Bank staff calculations.

In addition to the extraordinary nature of economic hardship and peril of millions of Jamaicans livelihood, Jamaicans have endured physical and mental health sufferings. Societal and cultural norms sway the risk perception during a health crisis of any kind. The risk perception can impinge on risk management because of psychological extrapolation.<sup>6,7</sup>

Even a small cultural factor can influence the management of crises and emergencies.<sup>3</sup> Many social and cultural norms can affect the way people perceive risk during a crisis. Public health compliance is significantly correlated with individual and hence the community risk perception. Thus, both socio-cultural context and individual knowledge shape the perceived risk.<sup>14</sup> This relates to protection-motivation theory (PMT).

According to PMT, disease prevention and health promotion are affected directly by perceived risk and therefore affect response efficacy, self-efficacy, and supplementary adaptive behaviors<sup>4</sup>. While vigorous and efficiently working healthcare system and a successful COVID-19 vaccination campaign are crucial and essential, health messaging, communication, knowledge building, and adoption of non-pharmacological interventions are similarly and strategically important. The Jamaican ministry of health has advocated.<sup>5</sup> Various measures during this crisis that is considered universal. These involve hand washing, wearing face masks, and keeping physical distance during any interactive dealings in public and private setup. The success of these measures is directly correlated to individual and collective understanding of the significance of the measures.<sup>2</sup> The biological threat of the pandemic and its trajectory depends on the country’s social and cultural makeup.<sup>15</sup> To successfully implement public health protocols, assessment of accurate risk perception is critical.<sup>4</sup> According to the psychometric paradigm and subjective-expected approach, the public view of the risk is a factor for successful public health protocol implementation.<sup>10</sup> These risks are categorized under unknown risks and are described as new, non-observable, relatively less quantifiable, unknown to science with delayed effects.<sup>16</sup>

COVID 19 cases in Jamaica over time (Oct 2020 to Sept 2021)<sup>10,11</sup>

	Population	Total cases	Total deaths	case per 100,000	Fully vaccinated percentage
Jamaica As of Oct 8, 2020	2.9 million	6408	101	218	None (No vaccines available)
Jamaica As of Sept 1, 2021	2.9 million	68482	1549	2323	4.9%

# Perceived Health Concerns During COVID 19 Crisis Amongst Jamaicans

## METHODS AND MATERIAL

Between May 2020 and August 2020, we conducted a cross-sectional survey in a representative sample of the Jamaican population 15 years and over. A randomized online questionnaire survey was sent to 268 people, out of which 91 people (34%) responded. Various social media platforms such as WhatsApp, Facebook, LinkedIn, and Public Health Literacy webinar attendees were utilized to collect the participants' responses. Thus, the participants were a representative sample of the Jamaican population. The survey was administered in a web-based browser using Survey Monkey and the average time to complete the survey was less than three minutes to complete. There was no financial incentive offered to the participants. The questionnaire was designed in English, the official and the primary language in Jamaica. The survey questions were not intrusive nor collected any information that reveal the identity of the participants. The Questions were designed to measure affective, cognitive, and temporal-spatial behaviors of the participants' towards the risk perception of COVID 19. No individual COVID 19 disease status nor other biological markers of health were collected. The data was analyzed using Statistical Package for The Social Sciences (SPSS).

### Categories used in the thematic analysis:

Categories used	Item question used
Demographic variation by age and gender	Samples stratified by age and gender
Personal knowledge	Do you believe your country was prepared by COVID-19?
Social amplification	What is your biggest health concern about your personal health? What is your biggest health concern about your loved ones?
Overall Perceived risk	What is the biggest concern during this crisis? Which one of the public health issues your country is not doing well?
Trust in the institutions	Who do you think should be leading the crisis?

## RESULTS AND DISCUSSION

The descriptive data of the results are presented below. The gender difference in the participants was a significant finding, such that 78% were females (Chart 1). This finding correlates with other studies on risk perception on COVID 19 that women are more likely to react to public health concerns and adopt precautionary behavior than men during the COVID-19 pandemic.<sup>12</sup> Over 75% of participants were 35 yrs. And over (Chart 1) suggesting relatively older population participation in the survey. This finding correlates with another study on risk perception on COVID, signifying perception of risk severity increases with age.<sup>13</sup> 70% of the participants had a bachelor's degree or higher educational background.

In response to the category of personal knowledge of this crisis – do you believe your country was prepared for the COVID-19 pandemic; Jamaicans were divided equally, 50% saying yes, 50% saying no. Next, in response to the category of social amplification - what is your biggest concern about your health during the crisis; Jamaicans were concerned about physical health (38%), mental health (30%), emotional health (16%), and social health (14%) (Chart 5). In response to the second measure of social amplification – what is your biggest concern about the health of your loved ones during the crisis; Jamaicans were relatively more concerned about the physical health of loved ones (48%), followed by mental health (28%), and emotional health (14%) (Chart 6). In response to the category of overall risk perception – what is your biggest concern during this time; Jamaicans were concerned about family health (38%), economic hardship (27%), social health (20%), least concerned about personal health (13%) (Chart 7). Finally, in response to the second measure of overall risk perception – which one of the public health issues your country is not doing well; more than 50% of Jamaicans responded to multiple public health issues such as domestic and physical abuse, sexual abuse, child abuse, mental health concerns, and economic hardship.

In response to the category of trust in the institutions, 81% of participants responded that all institutions, including science, public policy, and faith-based institutions, should lead the COVID-19 crisis as a team (Chart 8). This aligns with socio-cultural norms of the communities that respect and supports the framework of collective efforts in resolving crises such as infectious disease outbreaks.<sup>12</sup>



# Perceived Health Concerns During COVID 19 Crisis Amongst Jamaicans

Chart 1:

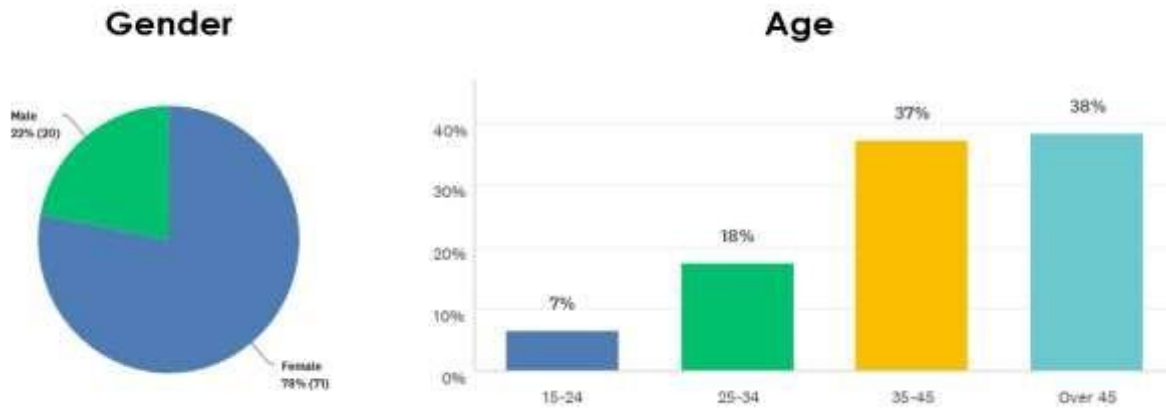


Chart 2:

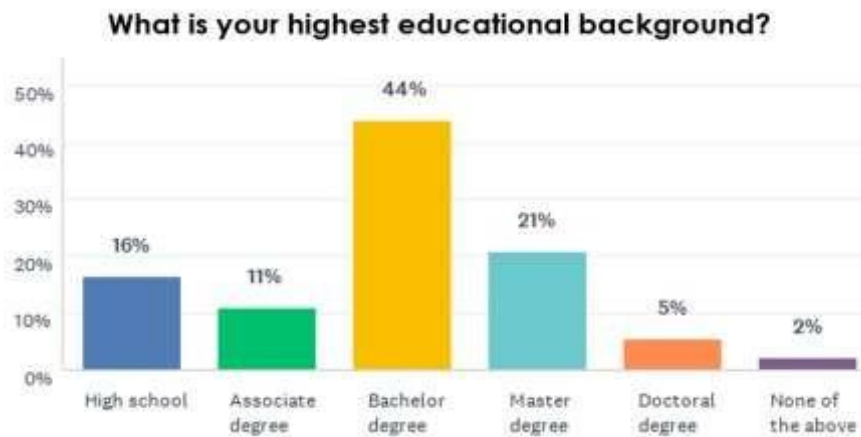


Chart 3:

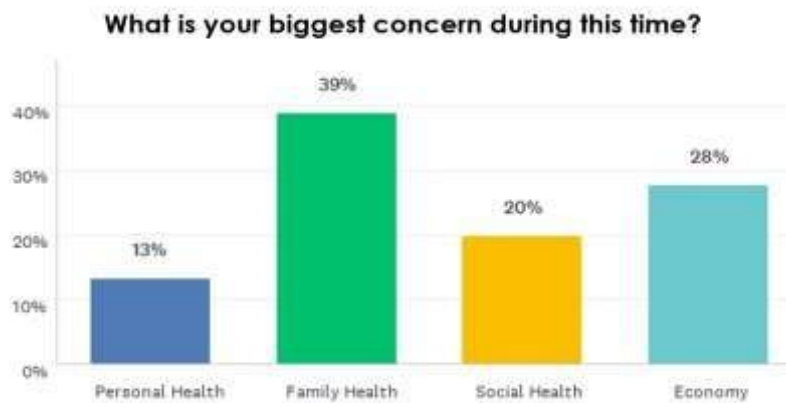
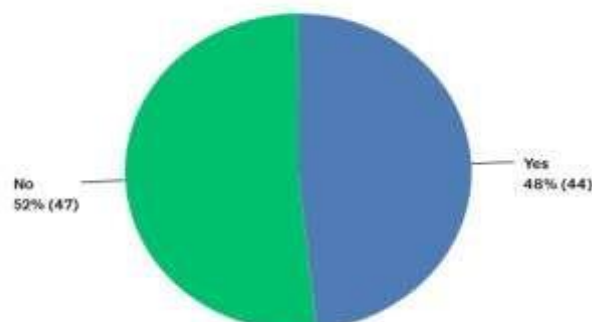


Chart 4:

Do you believe your country was prepared for a crisis such as COVID-19?



## Perceived Health Concerns During COVID 19 Crisis Amongst Jamaicans

Chart 5:

What is your biggest concern about your personal health during this crisis?

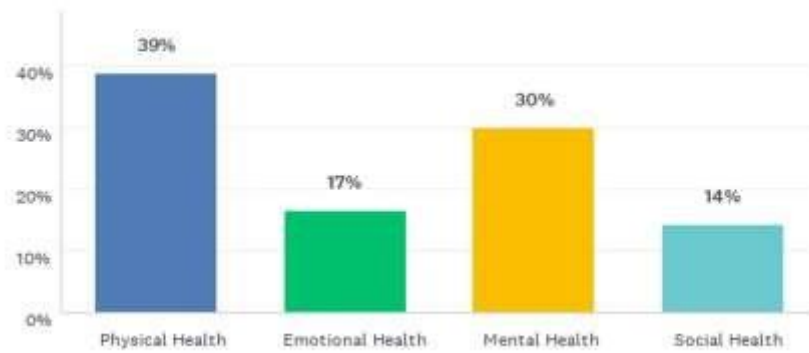


Chart 6:

What is your biggest concern about the health of your loved ones?

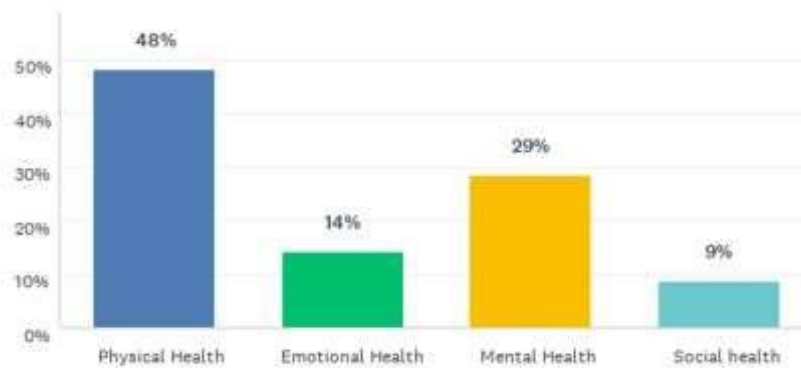


Chart 7:

What is your biggest concern during this time?

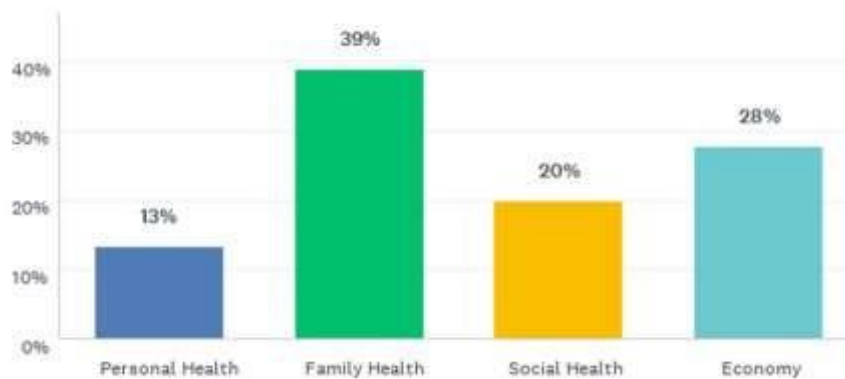
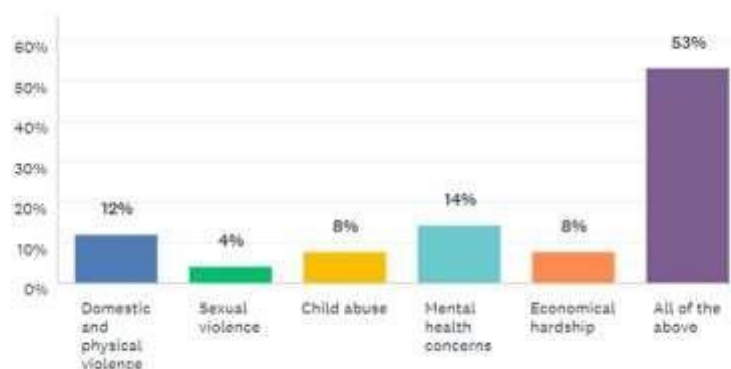


Chart 8:

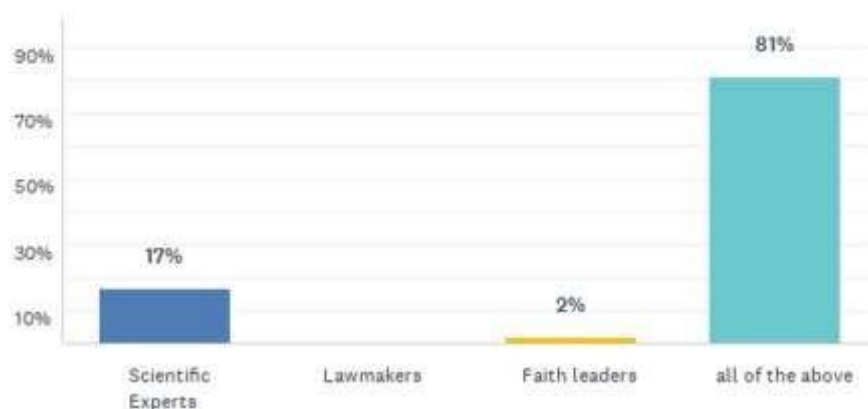
Which one of the Public Health Issues your country is not doing well?



## Perceived Health Concerns During COVID 19 Crisis Amongst Jamaicans

Chart 9:

### Who do you think should be leading in a crisis such as COVID-19?



There were several limitations to this study. Since this is a cross-sectional survey, this is a snapshot of the sampled population at one particular point in time, hence does not assess change in risk perception and behavior change in the same people over time. The second limitation is that this is a descriptive insight in the risk perception, hence no correlational nor causal effects can be determined. The third limitation is the lack of a larger sample of Jamaicans, particularly the vulnerable segment of the population.

### CONCLUSION

The responding and understanding of the ongoing COVID-19 pandemic are functions of both natural threats and perceived risks. The interaction of physical health and risk perception is complex and dependent on understanding the crisis, uncertainty, and destructive potential. The results suggest a crisis burden on mental health in addition to physical health; therefore, an effective campaign should be planned to prevent a deepening mental health crisis. This research study suggests a potential burden on societal health in healthcare delivery systems and other public health services. The awareness program should be promoted to motivate and help the Jamaicans to handle the crisis. The policymakers should consider working with government, science, and faith-based institutions to develop a multidisciplinary framework to control the COVID-19 pandemic's negative impact on Jamaican society.

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## Prevalence and Outcome of Obstructed Labour at a Tertiary Institution



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**ABSTRACT:** Obstructed labour is a common preventable causes of both maternal and perinatal morbidity and mortality in developing countries affecting 3-6% labouring women globally and accounts for an estimated 8% of maternal deaths in Sub-Saharan Africa and South Asia.

**Objective:** To determine the prevalence and outcome of obstructed labour in the Gynaecology and Obstetrics Department at a tertiary hospital in Northern Uganda.

**Method:** This was a retrospective chart review of pregnant women admitted in labour and delivered by caesarean section from 1<sup>st</sup> January 2016 to 31<sup>st</sup> December 2017 at a Lira Regional Referral Hospital, a tertiary institution in Lango Sub region. Data was analysed using Statistical Package for Social Sciences version 16.0.

**Results:** A total of 808 medical charts of mothers with obstructed labour were retrieved, evaluated and included in this review out of 12,189 deliveries during the study period, giving a prevalence of 6.6%. Majority (77%; 622/808) mothers admitted with diagnosis of obstructed were referred in from peripheral facilities. Over half (53.4%) of the women were in the age group of 20 to 29 years. Over 53%, were prime gravidae and were twice more likely to undergo C/S due to obstructed labour than multigravidas (OR 1.8; 95% CI 1.5-2.2). Only 49.2% had documented cause of obstructed labour, with Cephalo-pelvic disproportion being most common (17.5%), malposition/mal-presentation (14.6%), and macrosomia (3.6%). Partograph was used in only 46.6% (374) women who had obstructed labour. The commonest maternal complication observed were Sepsis (11%), PPH (5.2%), uterine rupture (4%) and burst abdomen (3%) which led to prolonged hospital stay and loss of fertility to some.

Mode of delivery in the 808 reviewed charts was caesarean section, 90.3% of babies were born alive, while 8.5% (69) were born dead, (1.2%) had early neonatal, and 40.2% were referred Paediatric Neonatal Intensive Care Unit (NICU) because of low APGAR score.

**Conclusion:** The prevalence of obstructed labour among women delivered by Caesarean section was high compared to the global average. Majority of the women were referrals from the peripheral health centres and associated with life threatening complications and even death. Young age and prime gravida is associated with obstructed labour and high caesarean section rates. The obstruction in multigravida could be due to secondary cephalo-pelvic disproportion as majority of the babies were in normal range weight. Low use of Partograph to monitor labour was evident among women who had obstructed.

**KEYWORDS:** Obstructed labour, Caesarean section, Maternal and Perinatal outcome.

### I. INTRODUCTION

Obstructed labour is still a common preventable causes of maternal and perinatal morbidity and mortality [1, 2, 3]. It affects 3 – 6% of labouring women globally per year [4]. Obstructed labour and its complications in Sub-Saharan Africa, and South Asia accounts for an estimated 8% of all maternal deaths. Most of the deaths from obstructed labour are associated with haemorrhage, infections, metabolic and electrolyte derangements [5]. In Uganda, obstructed labour accounted for 26% of maternal deaths in a study conducted in Gulu, Northern Uganda [6]. In Uganda, low uptake of antenatal care services, poor quality intra-partum care, inadequate knowledge and skills are some of the predisposing factors to obstructed labour [7]. The common causes of obstructed labour are cephalo-pelvic disproportion (CPD), fetal malposition and mal-presentation [8, 9, 10,

## **“Prevalence and Outcome of Obstructed Labour at a Tertiary Institution.”**

1]. In few cases soft tissue obstruction in maternal passage like pelvic tumours or congenital malformation of fetus like hydrocephalus can also lead to obstructed labour [11]. Apart from maternal death, it is associated with high perinatal death, a number of debilitating and distressing maternal morbidities, which include genital sepsis, uterine rupture, vesico-vaginal fistula, gynaetresia, amenorrhea, impaired fertility [1].

In the case of this study area, there was no data even though the problem is believed to be common. Therefore, this study was of paramount importance to fill the gap regarding the inadequacy of information about the problem, identifying specific cause of obstructed labour, scaling up evidence based intervention and measuring the progress in improving maternal child health. It also helps the policy makers to plan and implement evidence-based action to reduce the problem. Therefore, this study was planned to assess prevalence of obstructed labour at the tertiary hospital. The data obtained from this study will also assist policymakers, planners, and other collaborators in the health sector to formulate appropriate strategies and interventions to tackle the problem.

## **II. MATERIALS AND METHODS**

This was a retrospective chart review of women admitted on the Maternity Ward, a diagnosis of obstructed labour was made and subsequently delivered by caesarean section between January 2016 and December 2017 at Lira Regional Referral Hospital. Lira Regional Referral Hospital is a tertiary health care facility and provides specialist health care services to the eight districts of Lango Sub-region. It has an annual delivery of over 60,000. Data was analysed using Statistical Package for Social Sciences version 16.0.

All clinical charts of women with gestational age of 28 weeks and above or birth weight of more than 500gm with diagnosis of obstructed labour and were delivered by caesarean were reviewed. Two research assistants (midwives) were trained on the purpose of the study, objectives, procedures and the data collection tools before the commencement of the study by the Principal investigator. Questionnaires were pre-tested and adjustments accordingly. Patient records, operation theatre notes; and theatre and labour ward registers were reviewed retrospectively to gather information about the obstructed labour. All the relevant information such as age, parity, previous obstetric history, causes, and complications, maternal and neonatal outcome were collected. Gestational age was calculated on earlier dating with LMP or ultrasound where available

The data was analysed with Statistical Package for Social Sciences (SPSS version 16.0) to describe frequencies of variables, their percentages were calculated and associations were assessed. Mean and standard deviations was computed for quantitative variable like frequency, age, gestational age, parity and perinatal outcome. Data was displayed in tables and figures. Significance level was considered at P value < 0.05 at 95% confident interval.

### **A. Ethical Consideration:**

Approval was obtained from, Research Ethical Committee of Lira Regional Referral Hospital. Names of the participants were not used in the study and confidentiality of the patient information was maintained.

### **B. Inclusion criteria:**

All deliveries conducted in the obstetrics and gynaecology department with Gestational age from 28 weeks and above or birth weight greater than 500gm. and delivered at LRRH by caesarean section were included.

### **C. Exclusion criteria:**

Women whose gestational age was less than 28 weeks, women admitted postpartum and those who were discharged before delivery or delivered by spontaneous vertex delivery.

### **D. Definitions**

For the purpose of this study the following definitions were applicable.

**Obstructed labour:** Failure of descent of the fetal presenting part for mechanical reasons in spite of adequate uterine contractions and not managed timely [12].

**Diagnosis of obstructed labour:** This was made from history and clinical examination; by the presence of one major criterion and one or more of the minor criteria. Major criteria: presence of bandl's ring, cervical oedema, moulding grade III. Minor criteria; fetal and maternal distress and dehydration, prolonged labour and abnormal vaginal discharge.

**Neglected obstructed labour:** Labour with no advance of the presenting part of the fetus despite adequate uterine contractions if left untreated for thirty or more minutes from the time of diagnosis [12].



## “Prevalence and Outcome of Obstructed Labour at a Tertiary Institution.”

### III. RESULTS

#### A. Prevalence And Associated Risk Factors Of Obstructed Labour

The total number of deliveries from January 1st 2016 to December 31st 2017, was 12,189 of which 2600 were by caesarean section and 808 cases were diagnosed to have obstructed labour. The percentage incidence of obstructed labour was 6.6% of the total deliveries and 31.1% of the total caesarean section. This was comparable to a study in Ethiopia [13] but lower than that reported in western Uganda [7, 14] and in other studies [11, 15, 16] in some African countries. This may be due to the fact that it is a referral facility and geographically accessible which increases referral cases and the finding also agree with this assumption because 53.4% of cases of obstructed labour were referrals in. The Caesarean section rate was 21.99% of total deliveries; a rate high than the expected [17, 18].

**Table I: Prevalence of obstructed labour**

	2016	2017	Total
Total number of deliveries	7288	4901	12189
Total number of vaginal deliveries	5724	3865	9589
Total number of caesarean deliveries	1564 (22.4%)	1036 (21.4%)	2600 (22.0%)
Total number of Obstructed labour	495 (31.9%)	313 (30.2%)	808 (31.1%)
Prevalence of obstructed labour	6.82%	6.39%	6.6%

**Socio-demographic characteristics of the mothers with obstructed labour:** Table II shows the socio-demographic characteristics of 2600 women, who underwent caesarean section during the study period. The mean age of study participants delivering at LRRH by caesarean section was 24.6 years with standard deviation of 5.9; and a the minimum and maximum of 13 and 49 years respectively as in other studies [10, 20]. More than half (63%) of the study population were 24 years and below and teenage mothers contributed to 30.5% (Table II) of the obstructed labour.

The mean age of the mothers with obstructed labour was 23.65 years which was significantly lower than the mean age of 25 years for those without obstructed labour ( $t=5.461$ ;  $df=2598$ ,  $p=0.000$ ). Mothers aged  $\leq 24$  years were twice more likely to undergo caesarean section due to obstructed labour than those aged  $\geq 25$  years (OR 1.5; 95% CI 1.3-1.8).

**Table II: Socio-Demographic Characteristics/Associated factors**

Characteristic	Total Number (n, %)	Obstructed labour (no. & % of total)
Age group of the mother (Years)		
13-19	598 (23.0)	245 (9.4)
20-29	1467 (56.4)	430 (16.5)
30-39	496 (19.1)	124 (4.8)
$\geq 40$	39 (1.5)	09 (0.3)
Parity		
0	1117 (43.0)	428 (16.6)
1-4	1099 (42.3)	277 (10.7)
5-9	380 (14.6)	101 (3.9)
$\geq 10$	04 (0.2)	02 (0.1)
Mothers Referred in Referral from CEMONC Site	1172 (45.1)	432 (36.9)
Partograph plotted	1008 (38.8)	375 (37.2)
Repeat Caesar section	469 (18.0)	55 (11.7)

## “Prevalence and Outcome of Obstructed Labour at a Tertiary Institution.”

**Obstructed labour and associated factors:** A total of 1172 or 45.1% who had Caesarean section were referrals in to LRRH and 53.4% (431) of those referred in had obstructed labour and this constituted 28.5% of the total deliveries by Caesarean section. Mother referred in were 52.13 times more likely to have obstructed labour than those not referred in (P value 0.000) and at an increased risk of 1.852 (95% CI: 1.565-2.191. Of the total mothers, 7.3% or 190 of who had Caesarean section due to obstructed labour were from other CEMONC sites within the region (Table II). More than 1/2 (429; 53.4%) of the obstructed labour occurred within the facility (LRRH). This may reflect the quality of intrapartum care, but also that the institution is a training ground with students of different categories.

Obstructed labour was more prevalent in the teenage mothers, prime para and those referred to the facility (Table II). Teenage mothers with obstructed labour comprised of 30.5% of the total mothers with obstructed labour and had caesarean section and 9.4% of the total caesarean section deliveries which is higher than the global figures of 3-6% [12, 20]. There was a 1.5 times increased risk of obstruction in prime gravid than in multigravida and the relationship was statistically significant ( $p \leq 0.0001$ ).

Less than half of mothers who had obstructed labour had a Partograph started to monitor labour (Table II). Mothers who were not monitored on a partograph were more likely to have obstructed labour than those monitored on the partograph (OR 1.6; 95% CI 1.4-1.9;  $p < 0.000$ ) showing that the partograph used appropriately reduces the occurrence of obstructed labour.

Obstructed labour was the main indication for Caesarean section accounting for 31.0% (table III) of the total Caesarean section done. The 10 most indications for Caesarean section are shown in the table III and these accounted for 93.2% of the caesarean sections. The causes of obstructed labour are shown in table IV, were documented in only 397 (49.1%) cases out of the 808 Caesarean section performed for obstructed labour. Among the mothers were the cause of obstructed labour were documented, 187 (23.1%) were due to CPD, 161 (6.2%) due to mal-presentation/malposition, 40 (5.0%) due to big baby and 08 (1.0%) due to cervical dystocia and fetal anomaly to 1 (0.1%).

**Table III: The Ten most common indication for caesarean section**

Indication	Number (n=2600)	Percentage
Obstructed labour	808	31.1
Prolonged labour	381	14.7
Cephalopelvic disproportion	267	10.3
2 or more Caesarean Scars	228	8.8
Malpresentation/Malposition	178	6.8
Fetal Distress	173	6.7
APH	135	5.2
Oligohydramnios	99	3.8
Preeclampsia/Eclampsia	84	3.2
Big baby	70	2.3
Others	177	6.8

### **B Outcome of Obstructed Labour**

Emergency operations accounted for 97.2% (2526) of the operations and these included 95.1% (2473) emergency Caesarean section, 23 (0.9%) repair of uterus, 10 (0.4%) TAH, 18 (0.7%) STAH and 2 (0.2%) exploratory laparotomy for postpartum haemorrhage (Table IV).

**Obstructed labour and uterine rupture:** Uterine rupture was one of the common complications of obstructed labour and 76.1% of ruptured uterus occurred in mothers with obstructed labour with the Odds ratio of 7.331; (CI: 3.362-12.675; P value 0.000). The percentage of ruptured uterus in mothers with obstructed labour was three times more than in the general population of mothers who had caesarean section. There were 28 primary hysterectomies from obstructed labour or its complications, 21 of these from obstructed labour and others postpartum for mostly for puerperal sepsis. Thus, for every 24 mothers who had obstructed labour, one had a ruptured uterus, but the ratio is 1 in 264 in the general population who underwent Caesarean section which is more than ten times lower. The operations done for ruptured uterus are given in table IV, and the results are comparable with other studies [11, 22].

## “Prevalence and Outcome of Obstructed Labour at a Tertiary Institution.”

**Table IV: Outcome of obstructed labour (n=2600)**

	Total within Caesarean section (n; %)		Total of Obstructed Labour	
	(n=2600)	(%)	(n=808)	(%)
<b>Causes of obstructed labour</b>				
Cephalo-pelvic disproportion Malposition/Mal-Presentation			187	
Big Baby	267	10.3		7.2
Cervical Dystocia			161	
Fetal Anomaly	178	6.8	40	6.2
Ruptured Uterus	110	4.2	09	1.5
Others	60	2.3	01	0.4
	04	0.3	35	0.1
	46	1.8	411	76.1
	2183	84.0		15.8
<b>Hysterectomy</b>	40 ((1.5%))		25	62.5
<b>Interventions</b>				
EMCS	2473	95.1	773	31.3
Laparotomy with				
Uterine Repair	23	0.9	16	69.6
TAH	10	0.4	09	9.0
STAH	18	0.7	12	66.7
Maternal Death	13	0.5	09	0.3
<b>Post Caesar Complications</b>	232	8.9	158	6.1
Burst abdomen	42	1.6	23	0.9
Puerperal sepsis	131	5.0	93	3.6
PPH	59	2.3	42	1.6

**Obstructed labour and Repeat caesarean section scar:** Obstructed labour also occurred in mother with previous caesarean section scars to a tune of 6.8% in mothers who underwent caesarean section and 2.1% of the total deliveries. Mothers with previous caesarean Section scar were more likely to have obstructed labour than the general population (p value 0.000), though previous caesarean Section did not increase the risk of obstructed labour (CI: 0.244 (0.181-0.327)).

**Obstructed labour and the interventions:** The commonest type of intervention was emergency caesarean section [20] as depicted in table IV (95.1%) of the mothers with obstructed labour, followed by laparotomy with hysterectomy and laparotomy with uterine repair. For mothers who had obstructed labour, post caesarean section laparotomy was done for 34 (4.3%) mother who had obstructed labour and puerperal sepsis, 18 mothers with burst abdomen and puerperal sepsis and 6 mothers with PPH. This increased hospital stay, but also loss of fertility potential in these mothers.

**Overt Post-operative complications** occurred in 232 (8.9%) mothers who had obstructed labour and these included pyrexia, wound infection, burst abdomen with deep wound sepsis, PPH, and puerperal sepsis. Long term complication like vesical vaginal fistula was recorded in one case while others were transfused either intra or the post-operative period. Many of the mothers had more than one complication in the postnatal period [20].

**Obstructed labour and maternal death:** There were 13 maternal deaths among the total Caesarean sections and 9 of these followed obstructed labour. Thus, obstructed labour accounted for 69.2% of the total maternal deaths and mothers with obstructed labour were eight times (OR: 8.904; CI: 5.044 (1,549-16.428; p value 0.003) more likely to die than the rest who had caesarean section. Five were due to haemorrhagic shock in the intrapartum period and three due to septicaemia from overwhelming deep wound sepsis and one from postpartum haemorrhage.

**Obstructed Labour and Fetal Outcome:** Perinatal outcome is shown in table V. There was a 1.2 increased risk of mothers with obstructed labour to deliver a baby with low Apgar score than to deliver dead babies and was not statistically significant implying there were other contributing factors to the low apgar score. Many of the neonates had more than one complications and a high number needed admission to NICU. Complications noted among live births were birth asphyxia, meconium aspiration syndrome, septicaemia, convulsions.

**Table V: Obstructed labour and Fetal outcome**

	Total Number of births		Obstructed Labour	
Fetal outcome	(n=2600)	(%=100)	(n=808)	(%=31.1)
Live births	2375	91.3	727	27.96

## “Prevalence and Outcome of Obstructed Labour at a Tertiary Institution.”

FSB	146	5.6	59	2.28
MSB	49	1.9	12	0.46
NND	30	1.2	10	0.40
APGAR Score				
Zero (0)	198	7.6	72	2.8
Poor (1-4)	159	6.1	57	2.2
Intermediate (5-7)	748	28.8	267	10.3
Normal (8-10)	1495	57.5	412	15.8
Fetal weight				
≤999g	07	0.3	01	0.0
1000-1499g	21	0.8	01	0.0
1500-2499g	213	8.2	24	0.9
2500-4000g	2311	88.9	774	29.8
≥4100	48	1.8	08	0.3
Admission to NICU	152	5.9	53	2.0

### IV. DISCUSSION

The prevalence of obstructed labour in this study was 6.6% among the total deliveries which was comparable with other studies [13, 8, 3] but higher than the global prevalence of obstructed labour of 3-6% [20], and other studies done in the country and other areas [7, 11, 20, 23] of the total hospital deliveries. The highest number of obstructed labour was found in the age group 20-29 years which is comparable to other studies [3]. This high trend in prevalence may overestimate the actual incidence in the community since this was a tertiary centre and with a high number of referrals from the lower facility; but also a training centre.

Obstructed labour occurred largely in prime-gravida (23.0%), those 24 years and below, which is comparable to studies done in South West and Eastern Uganda [7, 23], showing that the main cause of obstruction is primary cephalo-pelvic disproportion, though other studies show a higher prevalence of obstructed labour in multigravida [3]. The large number of multiparous women with obstructed labour could be due to secondary contracted pelvis adult malnutrition, larger size of babies in subsequent pregnancies and decrease abdominal and pelvic muscular tone causing abnormal feto-pelvis axis. This could cause mal-presentation as seen in this study as the second most common cause of obstruction. In the present study, less than half (49.1%) of those with obstructed labour had the cause of obstruction documented and the commonest causes of obstructed labour were cephalo-pelvic disproportion (23.1%), mal-presentation/ malposition (6.2%), macrosomia (5.0%), dystocia (1.0%) and fetal abnormality (0.1%); similar to other studies [9, 13, 1, 11, 23]. The fact that most babies were in the normal range of 2500-4000 grams (Table V) signifies a contracted pelvis or malposition/Mal-presentation were the main reasons for the obstructed labour than fetal size which is consistent with a study conducted in Ethiopia [13].

Caesarean section was the only mode of delivery [13, 1] performed and laparotomy for complications of obstructed labour. Caesarean section was done for 772 (96.3%) of the mothers with obstructed labour, followed by laparotomy with hysterectomy in and laparotomy with uterine repair (Table IV). The incidence of ruptured uterus is high and shows late arrivals [3] or poor intrapartum care. Maternal complications reported were also higher. Wound infection was the commonest complication of caesarean section, which may be due to prolonged labour and repeated vaginal examination due to non-use of the Partograph for timed examinations. Other common complications included pyrexia, genital sepsis, PPH, uterine sub-involution, and fertility loss due to hysterectomy; which was then accompanied by psychological stress.

Various studies have reported obstructed labour to be a major cause of maternal and perinatal mortality. In this study, maternal and perinatal mortality and morbidity was high. Following obstructed labour there were a high number of maternal death compared to non-obstructed caesarean section. Maternal mortality in the study group was 9/808 in obstructed labour (13/2600 Caesarean section), due to PPH and sepsis mainly [3].

Regarding the perinatal outcome, 727 (91.4%) were live births, higher than in other studies [23] with a perinatal mortality of 8.6% with 58 (5.9) still birth, 9 (0.9%) early neonatal deaths, and 12 (1.9%) macerated birth. Complications noted among live births were birth asphyxia, meconium aspiration syndrome, septicaemia, neonatal Jaundice, which was comparable to other studies [9, 23].

## “Prevalence and Outcome of Obstructed Labour at a Tertiary Institution.”

This study also showed obstructed labour to be one of the major causes of poor perinatal outcome with low first minute Apgar score, high admission to NICU, prolonged hospital stay, and perinatal death.

### Limitation of the study

The retrospective nature of the study and lack of some data due to incomplete or inadequate recording of certain variable.

There was no assessment of health care providers' knowledge and attitude on why there was low usage of the partograph even when it is the admission tool to labour suite; there was an increased number of institutional cases of obstructed labour due to lack of adequate monitoring.

The causes of obstruction were not documented in majority of the deliveries, making it difficult to coin appropriate interventions.

## V. CONCLUSION

Obstructed labour is totally preventable but unfortunately it is a major cause of maternal and perinatal morbidity and mortality in resource limited environment; and the prevalence is still high. Maternal death, post-operative pyrexia and sepsis, loss of fertility and prolonged hospital stay were some of the most common complications faced by the mothers with obstructed labour. Poor referral system or late referral, non-functional comprehensive obstetric health facilities, inadequate intrapartum labour care with non-use of the partograph during labour produced many cases of obstructed labour. Good early childhood nutrition, education of primary health care providers on dangers of obstructed labour, use of the partograph during active labour, functional emergency obstetric units and early referral with a functioning referral system are suggested to reduce the prevalence of obstructed labour. This study revealed that there was a high prevalence of obstructed labour but the cause of obstruction was poorly documented that would guide in formulating interventions to prevent obstruction. Early recognition and safe abdominal delivery can reduce the maternal and perinatal morbidity and mortality.

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## The Ground Water Quality Analysis Agro based Industrial Area of Materwadi (Rajaramnagar) Village in Dindori Block, Dist. Nashik of Maharashtra, India



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**ABSTRACT:** The ground water analysis has been done during the on season and off season of the sugar industry. The samples collected from 30 sampling stations were analyzed in the laboratory. The analysis reveals that the pH, TDS, DO, COD, BOD of water increasing due discharge effluent in the catchments of the sugar industry area. Most of the parameters indicated that these industrial effluents disturb the ground water quality and responsible for deteriorating soil conditions. From the analysis it is reported that there is a requirement of the careful supervision, constant monitoring and periodical analysis of the chemical parameters to safeguard the ground water resources and to minimize environmental pollution nearby the agro-based industries like sugar factory.

**KEYWORDS:** Ground water, Water quality, Environmental pollution.

### 1. INTRODUCTION

Water is important natural asset for human being. The contamination of surface and subsurface water is serious problem among the nations. Various studies have been pointed out that the adjoining areas of the Industries contaminating the ground water resources. The Central Groundwater Board, Nagpur has undertaken specific ground water pollution studies in different parts of Maharashtra to study the impact of natural and manmade activities on the ground water quality. Few cases of groundwater contamination in Beed district due to sugar industry have been recorded. (Machale, 2010) Ground water analysis report near to areas Sangamner Bhag Sahakari Sakhar Karkhana and Mangalam industries located near Sangamner city in Ahmednagar district of Maharashtra has brought out the facts that the damage to the ground water in the areas is due to the percolation of the effluent generated from these industries. The ground water quality around Mangalam industry has also been affected with conductivity ranging between 11000 to 54000 mmhos cm<sup>-1</sup> at 25°C and TDS, 4800-20000 mg/L with very high concentrations of cations and anions. The BOD and COD have gone as high as 450 and 1678 mg/l respectively. TDS, TH, Ca, Mg, Cl and NO<sub>3</sub> content are above maximum permissible limit of BIS for drinking water in 50% of samples. Thus, this case has proved that the agro base industries are significantly responsible for the contamination of groundwater both biologically and chemically in rural part of Maharashtra by deteriorating the quality of water. (Pondhe, 2005). Various studies have pointed out that disposal of wastewater from industries in open space and abandoned dug wells have thus caused the pollution of groundwater in some rural part (Chaterji et.al., 1964; Vishwnathiah et.al., 1977; Ubale et.al., 2000; Wagh et.al., 2000; Shakhare et.al., 2005; Pondhe, 2005). On this background to analyze the impact of the Kadwa sahakari sugar industry effluent on the adjoining areas of the Materwadi (Rajaramnagar) village in Dindori Block, Dist. Nashik Maharashtra (India) have been selected for the present study.

### 2. STUDY REGION

The Nasik district stretches between Latitude: 19° 58' 0" N (deg min sec), 19.9667° (decimal), 1958.00N (LORAN) Longitude: 73° 49' 0" E (deg min sec), 73.8167° (decimal), 07349.00E (LORAN) Elevation: 601 metres (1972 feet) .The Industrial Area of Materwadi (Rajaramnagar) village in Dindori Block, Dist. Nashik Maharashtra (India) has been selected for the present study.

**The Ground Water Quality Analysis Agro based Industrial Area of Materwadi (Rajaramnagar) Village in Dindori Block, Dist. Nashik of Maharashtra, India**

**3. MATERIALS AND METHODS**

For the purpose of study of groundwater quality of this region, the samples were collected during on and off season from the adjoining areas of the sugar industry. Water samples were collected from different above mentioned places using spot sampling procedure [De, 1988] in previously washed and dried plastic cans. The temperature, pH and DO of the samples were noted at sampling point itself. The physical and chemical parameters such as Conductivity, Turbidity, TDS, Chloride, TH, Calcium, Magnesium, Sodium, K, Cl<sup>-</sup>, SO<sub>4</sub><sup>2-</sup>, PO<sub>4</sub><sup>2-</sup>, NO<sub>3</sub><sup>-</sup>, COD, BOD etc. were analyzed using volumetric and spectrophotometric methods (NEERI 1981, Trivedy and Goel 1986, APHA 1992,. Some of the values obtained from the analysis compared with WHO standards acceptable permissible limits and ICMR Standards acceptable permissible limits. (Please see Table No.1)

<b>Table :- Water Quality Standards for Drinking</b>		
(Source - Central Board for the prevention and control of water pollution, New Delhi) <sup>12</sup>		
Parameters	WHO standards acceptable permissible limits	ICMR Standards acceptable permissible limits
Turbidity NTU	5	10
pH	<8	7-8.5
Conductivity micromohas/cm	1500	1500
TDS mg/1	1000	500
Total hardness mg/1	300	300
Alkalinity mg/l	200	200
Chloride mg/1	70	75
Calcium mg/l	250	250
Magnesium mg/l	30	50
Nitrate mg/1	50	45
Sulphate mg/1	250	150

**4. RESULT AND DISCUSSION**

The variations in analyzed physical and chemical characteristics discussed along with the standard values in as follows.

**4.1 pH-**pH is the measurement of free acidity or alkalinity of water solution, hence it is an important factor for water analysis. In the present investigation the range of pH of water during October 2009 to March 2010 was found to be in between 7.0 to 7.9 at all 30 sampling station. The maximum pH values were recorded high from December to end of March (In this period Effluent Treatment Plant is functioning) months. pH is minimum in months of April to September (7.0 to 7.4) which slightly increased in monsoon months. The changes in pH together with conductivity of water body indicate the presence of certain pollutants. (Pawar *et. al.* 1985). ( Please see Graph No.1)

**4.2 Conductivity:** It is ranged from minimum 492 μ mho /cm to 3890 μ mho /cm maximum, showing large measure of soluble ions which is confirmed by the presence of other metals and chlorides as well as other parameters. The average conductivity is changed in the off season ,it ranging from 496 μ mho /cm to 3575 μ mho /cm .The conductivity is remain high due to effluent remain in stagnant condition as well the wells aside to the sugar factory shows high results.(Approximately250 meter away ) (Please see graph.3)

**4.3 TDS:** Total dissolved solids were recorded in the range between 267 to 2558 mg/l at the various sites during on season. The Values changes slightly in the off season of the factory. The range of these value is 302 to 2323. The minimum values were recorded during May to October and maximum in November to April months. ( Pls.see Graph No.2)

**4.4 DO:** The concentration of DO regulates the distribution of flora and fauna. Seasonally the concentration of DO was more during monsoon rainfall. The range is 4.3 to 7.6. The DO values are slightly alkaline during summer i.e.2.6 to 7.1.It is due to Caco<sub>3</sub> used in the Pan boiling unit to obtain white color to sugar crystal and to maintain pH of waste water in ETP plant. [Young, Y.G.,. 2008].

## **The Ground Water Quality Analysis Agro based Industrial Area of Materwadi (Rajaramnagar) Village in Dindori Block, Dist. Nashik of Maharashtra, India**

**4.5 COD:** Chemical oxygen demand is a method to determine the organic load of water body i.e. susceptible to oxidation. COD as a result of pollution is largely determined by the various organic and inorganic materials (Calcium, magnesium, potassium, sodium, etc.). (Raymahashay, B.C., (1986). The level of chemical oxygen demand seems to be the appropriate indices for assessing the pollution level of water bodies (Jakher, 2003). The high COD values are found mainly in water, which may be due to the mixing of domestic and industrial waste (Mariappan,V., 2007). The COD values are ranging from 3.3 to 23 mg/l in the on season as well it is pertaining to note that these values are not going to change in the off season. These values were ranging between 7.8 to 25 mg/l. The result clearly indicated the prescribed limit of COD is 4 mg/l as per USPH Standards for drinking water. The 90% of water samples shows high COD and remaining is below the standard limit. Similar trends were also observed at Raghograh in M.P. (Megha Rai and Shrivastava, 2006). (Graph No.4)

**4.6 BOD:** The BOD values is ranging between 2.8 to 10.2 in the on season of the sugar factory . These values increasing towards 3.2 to 13.3 winter season. Because of the growth of the micro-fauna in the water.

**4.7 Total Hardness:** It is the sum of the polyvalent cations present in water. The ions such as calcium and magnesium in combination with bicarbonates, carbonates, sulphide, sulphates and other anions make the water hard. Hard waters are believed to be more productive than soft waters. Hard waters may also create problems to human health causing gastritis (Acosta-Martinez V., T.M. Zobeck, and Vivien Allen (2004).The range of total hardness varied from 83 mg/l to 510 mg/l at different sampling stations during on season because of mixing of various types of effluents from distillery and effluent plant. The hardness reduced up-to 84 to 317 mg/l in the off season. Total hardness was found to maximum in the month of February as 510 mg/l. Hardness of water affects on health of human being. The water with hardness has potential to produce high crop yield. The successful experiments have been recorded by Kranti Sugar factory of the Sangli district (Kranti Sugar Industry Report 2007).

**4.8 Chloride:** It is one of the most important parameter in assessing the water quality. It is of the opinion that higher concentration of chlorides indicates the higher degree of organic pollution, major components of organic load were TRO,  $MgSO_4$ ,  $H_2SO_4$  etc used in the laboratory. Seasonally, chloride was found to be high during summer season because of cleaning of machinery and low during rainy season (Y.G Young, 2008).Level of chlorides are important in detecting the contamination of ground water by waste water. The chloride content was found to be ranged between 83 mg/l to 510 mg/l in on season.

**4.9 Sulphate:** In the present study the sulphate concentration observed in the range from 18 mg/lit to 94 mg/lit during the study period. It fall within the BIS permissible limit of 400 mg/lit.Sulphate if it exceeds the maximum allowable limit than it causes a laxative effect on human system. Sulphate content is found variable in all seasons. This is in the confirmation with results obtained at Jodhpur.

### **4.10 Calcium and Magnesium:**

From the hardness values, it has been assumed that carbonates and bicarbonates of calcium and magnesium are the major contents causing hardness which may be due to the natural accumulation of lime by rock soil interaction kinetics or direct pollution by the industrial and domestic waste water. High content of calcium and magnesium ions are significant and which make possible classification of water samples and to assess the soil lithology present in the study area (Mariappan,V.,et al 2005).In the present study the values of calcium ranges from 25 mg/l to 95 mg/l at various sampling sites as well the values remains same throughout year. Magnesium ranges from 03 to 24 mg/l. in on season decline towards 3.6 to 13.3 in the off season of the sugar factory.

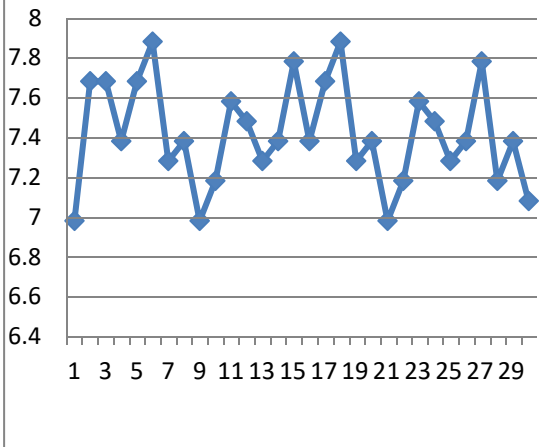
**4.11 Phosphates & Nitrates-** The Values of the Phosphate is 0.11 to 0.66 in all season in the early period of the sugarcane crushing increasing towards 0.12 to 0.85 in the of season. The analysis for the Nitrate is not detected primary investigation but the summer sample shows that 0.01 to 1.03. Phosphates & Nitrates responsible for the salinity of the soil in the nearby areas.

**4.12 Sodium and Potassium-** the Analysis for the Sodium is 46 to 541ppm increasing towards the 80 to 528. There is no significant change has been observed in case of sodium. The Potassium value are ranging between 1.5 to 11.03 in the on season. Further in the off season it is ranging between 1.3 to 8.1 which is quite high than permissible limits.

**The Ground Water Quality Analysis Agro based Industrial Area of Materwadi (Rajaramnagar) Village in Dindori Block, Dist. Nashik of Maharashtra, India**

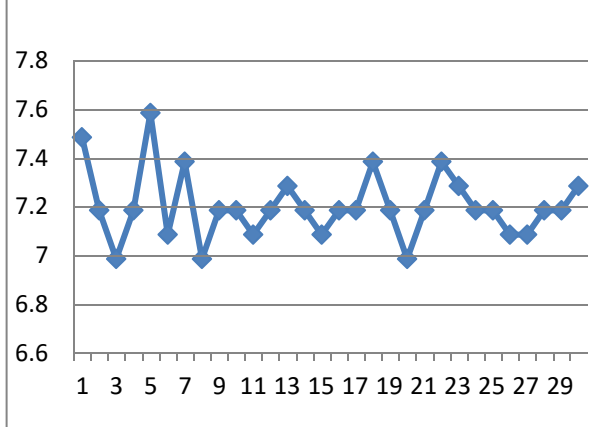
**Graphs of the Some Chemical Parameters-**

Groundwater analysis in Sugar industry on Condition

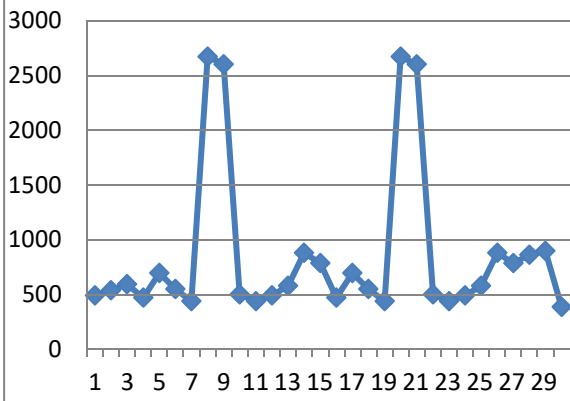


pH values -7.0 to 7.9 Graph No.1

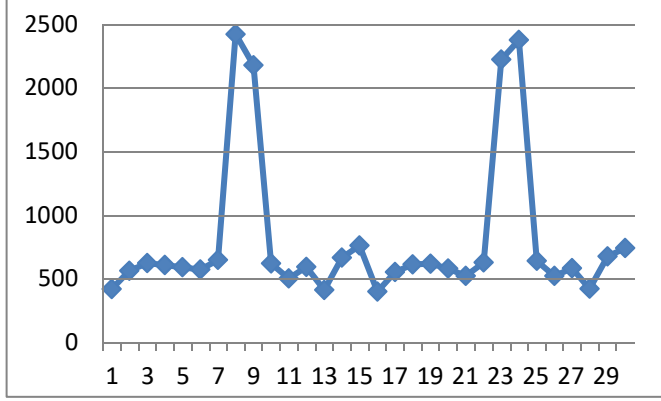
Groundwater analysis in Sugar industry off Condition



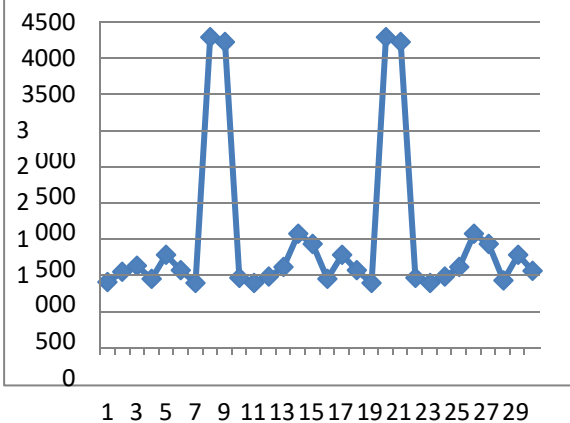
pH values -7.0 to 7.4 Graph No.1



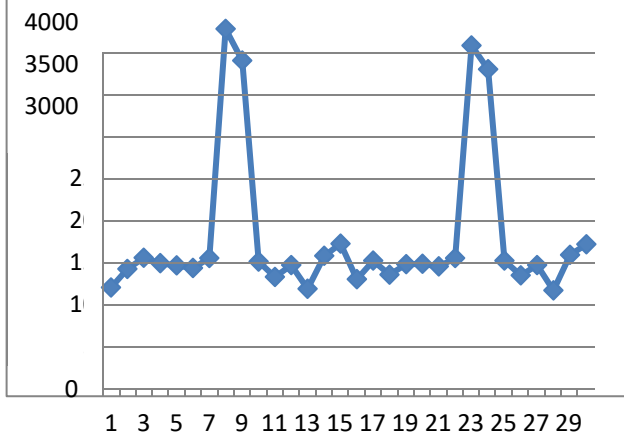
Total Dissolved Solids -267 to 2558 mg/l Graph No.2



Total Dissolved Solids -302 to 2323 mg/l Graph No.2

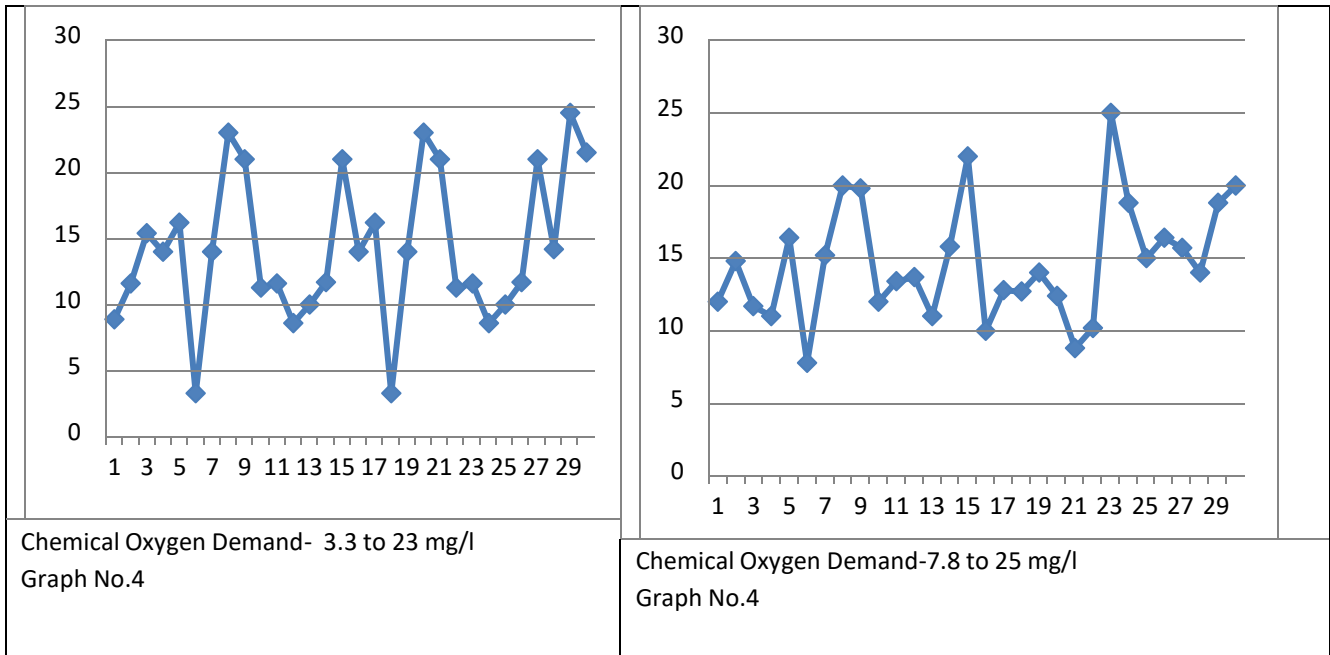


Electrical Conductivity 492 µ mho /cm to 3890 µ mho /cm Graph No.3



Electrical Conductivity-496 µ mho /cm to 3575 µ mho /cm Graph No.3

**The Ground Water Quality Analysis Agro based Industrial Area of Materwadi (Rajaramnagar) Village in Dindori Block, Dist. Nashik of Maharashtra, India**



## 5. CONCLUSION

Application of water quality index technique for the overall assessment of the water body is a useful tool. A physico-chemical parameters including TDS, Total hardness, Chloride, Calcium, Magnesium, Sulphates showed variation in respective sampling points. The wells nearby 500 meter to the sugar industry showing high values for the analysis. While the values of the samples approximately on the 750-1000 meter wells within the normal range. Some higher values for electrical conductivity, total hardness and Total dissolved solids reported high during summer. This may be due to the fact that these parameters are concentrated in summer season because of volume of water is less and lower values for these parameter indicated that they were diluted in the rainy season.

To summarize the base line result of a present investigation, it clearly indicated that ground water of this area is not highly contaminated but there is indication of increase in pollutant load and it may be due to the discharge of industrial effluents into the river bed and other land sites which may get percolated into the ground and finally affected the ground water. Hence, prevention of ground water pollution due to any cause is very important. Therefore constant monitoring of water is required to prevent health hazards in the area for safe water supply and hygienic waste disposal should receive priority into these areas. The study indicated that some water sampling sites observed that the water with more chlorides, high hardness, more turbidity to affect its potability. Therefore it is necessary to check on that water in not potable, It is necessary to control the incoming Industrial waste by redesigning the infrastructure to protect the water resources from rivers and surrounding areas.

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## The Comparison of Students' Motivation between Participation in Formal Education and In Music Activities



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**ABSTRACT:** This study compares different types of regulation that motivate school students to participate in their formal education and in music entertainment. The framework of self-determination is used in this study to convey various forms of regulation that play important roles in driving students to take action in both settings. A survey result based on 207 student respondents in Thailand revealed that although it is not uncommon to anticipate that there could be a variety of reasons for establishing this educational participation, ranging from extrinsic controls to intrinsic values, the students were more likely to be extrinsically and personally pressured in their formal study, compared to participating in music. On the other hand, they were prone to be more intrinsically driven when joining in music activities than studying.

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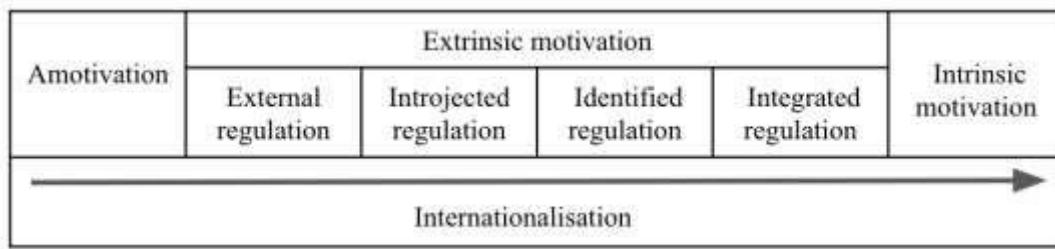
### INTRODUCTION

Many high school students in many countries, particularly Thailand, aspire to be artists, singers, and musicians in the music industry. This educational objective was established for a variety of reasons, ranging from financial security to the intrinsic value of personal fulfillment. However, while interest in music is increasing, research has shown that students feel pressured in their formal education and study of academic subjects, especially with online learning at this present time (Mullenburg & Berge, 2005).

Psychologists have discovered that different types of motivation produce different outcomes in terms of learning and pleasure in learning (Williams et al., 1999). As shown in Figure 1, motivation can be classified into three types: amotivation, extrinsic motivation, and intrinsic motivation (Vallerand, et al, 1992). First, amotivation refers to a lack of motivation to complete a particular task. Such motivation encourages students to stay away from school. On the other hand, positive control is believed to be sustained by intrinsic motivation, in which a person acts just for the sake of enjoyment and interest, without setting an external goal in place (Lin et al., 2003). There is a clear association between this type of motivation and academic success, a greater sense of fulfillment, and perseverance, among other things (Gottfried, 1985; Gottfried, 1990). As a result, educators and teachers are increasingly concerned about how to encourage students' intrinsic desire in the classroom. Learning outcomes are likely to be better for learners who are intrinsically motivated, as opposed to those who aren't (Hein et al., 2004). Other types of incentive such as money, family expectations and grades are extrinsic in nature and are used to motivate people to take action. However, it has been demonstrated to have a negative impact on education (Lin et al., 2003). Research reveals that extrinsic incentive leads to lower academic performance, a lack of enthusiasm to learn, increased dropout rates, and unhappy mental states (Cabus & De Witte, 2016).

Taking extrinsic motivation into account, the theory of self-determination divides it into four categories: external, introjected, identified, and integrated regulations (Deci & Ryan, 2012). First, external regulations exist when one acts in response to external triggers such as money, grades, respect, rewards, praise, and so on. As a result, these tend to detach from one's own interests. It has a strong influence as a temptation. Second, introjected regulations concern personal guilts that arise when a specific action is withdrawn. Further, a person chooses to do something because of concern for their parents, close friends, teachers and other family members if the action is missed. Simply said, the feelings and expectations of others influence one's decision to carry out specific responsibilities. Third, when one is motivated by identified regulations, he or she recognizes the significance of an action and evaluates it as worthwhile, leading him or her to engage in it. Finally, when the value of a task is closely aligned with one's personal identity, life goals, and determination, one is thought to be motivated by integrated regulations (Markland et al., 2005).

## The Comparison of Students' Motivation between Participation in Formal Education and In Music Activities



**Figure 1: Types of motivation according to Self-Determination Theory**

According to recent educational research, internal controls consisting of identified regulation, integrated regulation, and intrinsic motivation produce more positive learning outcomes (Deci & Ryan, 2012). As a result, it is critical to assist students in recognizing the significance of their studies and how they can help them achieve their life goals. Furthermore, it is critical to help learners understand who they are and what they are intrinsically interested in, as these will help them find enjoyment in their education. This study is therefore being conducted to investigate various forms of motivation that drive high school students to participate in music in general, and singing in particular, according to the self-determination theory. Furthermore, it seeks to determine which types of motivation are potentially beneficial for making such a decision.

### METHODOLOGY

A questionnaire was created that included six statements that represented amotivation, external regulation, introjected regulation, identified regulation, integrated regulation, and intrinsic motivation. It was distributed anonymously as an online survey to school respondents in Thailand. There were 207 responses in total retrieved from the data collection. In the questionnaire, the respondents were asked to rate their level of agreement in two different scenarios: one with their formal study at school and the other with their enjoyment of music. The influence of the six types of regulation on students was represented as mean scores from 5-Likert scaling responses ranging from strong disagreement to strong agreement. The comparison of the mean scores was analysed using a paired t-test at the significance level of 95%.

### RESULTS

In Table 1, the comparative results of self-determination levels between formal study and music are shown. Five critical issues emerge from the findings. First of all, although the respondents seem to disagree with amotivation in both settings, the mean score of formal study is statistically greater than that of music, at the significance level of 95%, meaning that they are likely to find no motivation to study than to participate in music. Furthermore, when considering external regulation, another alarming warning appears. This is because the respondents are likely to be extrinsically driven to study, compared to participating in music, as the mean of the former is statistically greater than the latter, at the significance level of 95%.

**Table 1: Comparison of the level of self-determination between formal study and music**

	Study	Music	P-value
Amotivation	2.32	1.98	0.00
External regulation	3.84	2.19	0.00
Introjected regulation	3.49	2.13	0.00
Identified regulation	3.19	1.98	0.00
Integrated regulation	3.19	3.75	0.00
Intrinsic motivation	3.11	3.88	0.00

Third, with regard to introjected regulation, it is believed that the lower the mean score, the better the result. However, in the formal study setting, students are more likely to hold this form of regulation in a statistically greater level than in the setting of music participation. Turning to the remaining warning signs, both integrated regulation and intrinsic motivation show a similar

## **The Comparison of Students' Motivation between Participation in Formal Education and In Music Activities**

trend. Both of them are considered highly internalised which are beneficial from educational and psychological points of view. The findings reveal that both forms of motivation are statistically greater in the participation of music, compared to formal education. Finally, the only type of regulation that is pleasing in the formal study setting compared to its counterpart is identified regulation. The mean score is shown to be much higher and statistically significant.

### **DISCUSSION**

This study points out concerns for educators, teachers, and parents that the school respondents found more positive in music participation than studying in a formal setting. Both regulations that seem to be less beneficial in education (i.e. extrinsic and introjected regulations and those that are more beneficial (i.e. integrated and intrinsic motivation) are more suitable in music participation. In other words, participating in music involves less external and personal pressures, while maintaining a greater level of internal satisfaction. Of course, music can be enjoyable. However, it is important for educators, teachers, and parents to be thinking about how to help their children to enjoy learning more. The only positive result in this study is the mean score from identified regulation. However, it is not surprising because this form of regulation is about the future of their education. The participants may realise that at least education will help them find a good job in the future. This is why the mean score of this form is greater in study.

When considering formal education, various forms of motivation can exist (Baker, 2004). According to self-determination theory, there are at least six types of motivation that can lead to a critical decision. First and foremost, when it comes to furthering one's education as a goal, many people who have no particular interest in studying may be unmotivated to do so. This may force them to make decisions based on the opinions of others. Some may even choose their studies at random, without regard for their personal interests or the potential consequences. It is unrealistic to expect students to be intrinsically motivated by joy and mere interest in the subject in educational settings. Of course, external factors have an impact in various ways.

However, this study found that when students discover the purpose and significance of the profession they are interested in (identified regulation), they are more likely to be intrinsically motivated. Furthermore, if they know who they truly are, what they genuinely want to do, what their personality is, and so on, the external goal of becoming a doctor will be closely integrated with their own identity (integrated regulation), potentially leading to pleasure in learning. This is supported by the fact that there were positive correlations between these three types of motivation, particularly intrinsic motivation and integrated regulation, in this cohort.

As a result, it is strongly advised that parents and teachers assist their children in discovering the meaningful purpose and significance of their formal education. Meanwhile, it is critical to help students understand who they are and what they enjoy. The sooner they discover this hidden value, the easier the path to a satisfactory education will be. Allowing students to choose their formal education based on parental expectations, social influences, and financial incentives is not regarded as beneficial. Instead of looking outward, they need to look inward and seek to understand and know who they are in order to move in the direction that will make them the best version of themselves.

### **CONCLUSION**

This study contrasts various types of regulation that encourage school students to participate in formal education and music entertainment. In this study, the framework of self-determination is used to convey various forms of regulation that play important roles in motivating students to act in both settings. Self-determination theory presents types of regulation that drive one to take action, consisting of amotivation, extrinsic motivation (i.e. external, introjected, identified, and integrated regulations), and intrinsic motivation. A survey of 207 Thai students revealed that, while it is not uncommon to anticipate that there could be a variety of reasons for establishing this educational participation, ranging from extrinsic controls to intrinsic values, students were more likely to be extrinsically and personally pressured in their formal study. On the other hand, they were more likely to be intrinsically motivated when participating in music activities rather than studying. As a result, parents and teachers are strongly advised to assist their children in discovering the meaningful purpose and significance of their formal education. In the meantime, it is critical to assist students in understanding who they are and what they enjoy.

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## Euthanasia – Meaning, Types and Its Indian Framework



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**ABSTRACT:** Euthanasia refers to the act which shortens or terminates life painlessly in order to end suffering where there is no hope of recovery. This paper covers the meaning of Euthanasia differentiating it from suicide. It also gives insight about the different forms or practices of Euthanasia depending to the situation or circumstances prevailing India is a democratic country having different cultures practiced. Viewing different thoughts, practices and history of Euthanasia in cultures of Hindu, Muslim and Christianity gives the significance of Euthanasia in Indian framework.

**KEYWORDS:** Euthanasia, Mercy killing, suicide, forms of Euthanasia, Indian framework, Hindu, Muslim and Christianit.

### INTRODUCTION

Every human being strives to live and achieve greatest height in their life. They wish to enjoy their life and build relationship with people around, before the death comes to them. Death is not termed to be positive, especially when it happens unnaturally. Everyone in the world desires to live rather than die. Though this entirely is true, still we get to hear about the cases of suicide. Hence there are people who along with the wishes of living also sometime wishes to die by using unnatural means of dying<sup>(1)</sup>. This is also termed as abnormal as wishing to die is way away from normal thoughts of normal human beings<sup>(1)</sup>. When we talk about the desire to die, there are also certain cases where the person's life is ended by others on the request of the deceased. This is mainly in the case of the people who are suffering from terminal illnesses or suffering pain which is beyond their capacity to bear. People call it as Mercy killing, which is also known as Euthanasia<sup>(1)</sup>. Euthanasia has become the controversial issue, as it talks about issues which are ahead of our fundamental rights, morals, values and beliefs of the people. It states that, people who are severely handicapped or are suffering terminal illness should have the right to choose to live or die, though the same don't apply to the people who are sufficient and with sound mind<sup>(1)</sup>.

### MEANING AND TYPES OF EUTHANASIA

The word "EUTHANASIA" comes from two Greek words, "eu" which means "good or easy" and "thanatos" which means "death"<sup>(1)</sup>. Hence it means "good or easy death"<sup>(1)</sup>. It is also known as "mercy killing"<sup>(1)</sup>. It refers to act which shorten or terminate life painlessly in order to end suffering where there is no hope of recovery<sup>(2)</sup>. It is the act of ending one's life by a lethal injection or suspension of medical treatment<sup>(3)</sup>. Encyclopedia of 'Crime and Justice', explains euthanasia as an act of death which will provide a relief from a distressing or intolerable condition of living<sup>(1)</sup>.

According to the World Medical Association euthanasia means, "Deliberate and intentional action with a clear intention to end another person's life under the following conditions:

- The subject is a competent informed person with incurable illness
- Who voluntarily asked for ending his life
- The person who is acting knows about the state of this person and about his wish to die and is doing this action with an intention to end life of this person
- The action is done with compassion and without any personal profit"<sup>(13)</sup>

## Euthanasia – Meaning, Types and Its Indian Framework

### TYPES OF EUTHANASIA

#### 1. Active or Positive

Active euthanasia is a deliberate action to end the suffering of the patient and painlessly putting them to death for merciful reasons<sup>(4)</sup>. Here the euthanasia is practiced actively by the doctor administering lethal dose or medication to the patient<sup>(1)</sup>. It is mostly found where the caretaker of the patient understands the suffering of the patient due to incurable disease and out of their love decides to release the patient from misery<sup>(5)</sup>. Active euthanasia is legally prohibited as compared to Passive euthanasia depending on the situation and the case<sup>(5)</sup>.

#### 2. Passive or Negative

Passive or Negative euthanasia is speeding up the death by changing in the level and form of support offered to the patient<sup>(6)</sup>. This is in the view of letting the nature take its course in the death of the patient<sup>(6)</sup>. It is usually done by removing the treatment that was sustaining the life of the patient and hence the patient dies as a result of it<sup>(6)</sup>. It is passive as in the doctor is not actively killing the person; they are simply passively not saving the patient<sup>(7)</sup>. Simply practiced by removing life supporting device such as respirator or ventilator, stopping medications and medical procedures, removing the feeding tube, etc<sup>(6)</sup>. Sometime, when the patient is declared critical with no hopes to recover, the family members request the doctor to discharge the patient. The doctor discharges the patient on the request of the family and the patient dies in few days. Some family are not in a position to afford treating the patient and hence taken out of the ventilator. This is termed as an omission to struggle rather than an act<sup>(5)</sup>.

#### 3. Voluntary

When the euthanasia is practiced directly with the consent of the patient on the request of the patient, it is called Voluntary euthanasia (1). It means the intentional administration of lethal drugs to terminate the pain suffered by the patient, the pain which is incurable and unbearable by the patient, that means the termination of life is thoroughly concerned on medical grounds (8). It is primarily concerned with the right of choice of the patient to end their life which in turn is beneficial for them and everyone else (1). In voluntary euthanasia, it is necessary that the request to end the life should be made by the person himself suffering from intolerable pain or terminal illness. This request should not be influenced or coerced by any family members or their caretakers around (5). The idea of voluntary euthanasia is based on the principle of self-determination and right to self-autonomy which talks about value, worth, respect, rights, freedom and decision making capacity (5). If an individual has decision making capacity, he also has the right to take decision on how and when he shall die. Refusing voluntary euthanasia is a form of domination, as the person is not respected for their views and being controlled by others (9). Voluntary euthanasia is also based on the Utilitarian principle. The purpose is to let the patient die peacefully and end the pain. It will be cruel to let people suffer the unbearable pain and hence the patient should be released of the pain<sup>(5)</sup>. Though this act is legally wrong but morally it is right.

#### 4. Involuntary

In Involuntary euthanasia, the patient is not in the condition to request for ending their life, here the patient's life is brought to an end without their personal wishes or request<sup>(5)</sup>. The motive is to release the patient from suffering pain and terminal illness but without any request or decision from the patient to end their life<sup>(5)</sup>. This case is mostly when the patient loses all physical and mental functioning leaving only their biological body alive. Somewhere there is no hope of recovery of the patient in this case. Involuntary euthanasia is also based on utilitarian principle, promoting social welfare<sup>(5)</sup>. This is only done when the person is incapable of making own decision. The aim is to provide social benefits rather than more harm to the patient and caretakers around<sup>(5)</sup>. The individual who is suffering from persistent suffering and incurable disease and who wants to die but are unable to do so, they would be able to do it with the assistance of a doctor injecting dosage of drugs, though there are various cases against doctor charging them for murder or shortening the patient's life<sup>(5)(10)</sup>.

#### 5. Non-Voluntary

Non-Voluntary euthanasia is ending the life of a person who is not in the position to request or is not mentally competent to take decision of ending his life<sup>(1)</sup>. Hence it involves someone else to take decision for the patient whether to end the patient's life. This decision is mostly taken by their close family members<sup>(1)</sup>. This is mostly done when the patient is completely unconscious or incapable of doing anything and when the patient has left no wish to live or given any further directions of living his life. It may be because of no opportunity to do so, or may have never anticipated such accident in their life<sup>(1)</sup>.



## Euthanasia – Meaning, Types and Its Indian Framework

### EUTHANASIA IN INDIA

If we glance to the history of India, we would see a lot of instances where the right to die or end one's life was known to people and was practiced amongst human civilization<sup>(1)</sup>. In ancient Greece and Rome time, Euthanasia was a common practice as people helped others to die, mostly in the cases of severe birth defects and elderly people with pain and sufferings<sup>(1)</sup>. Many ancient texts or the holy book has mentioned about suicide or self-harm. The history of Vedic age in India has also mentioned about suicides committed on religious grounds. The common example of Suicide committed by Sati has been followed throughout by all the females after the death of their spouse. Ramayana, the famous holy writings also has witnessed the suicide of Sita. Similarly, Mahabharata and other religious writings have witnessed the suicide or decision of death taken by an individual them<sup>(1)</sup>. Most people believe that the doctor should not accept the request of death from the patient or anyone, as it disturbs the natural death process. They believe the soul and body gets separated in unnatural time, going against the nature, which then damages the karma of both the patient and the doctor<sup>(1)</sup>. Ancient people also believe on the teaching of Ahimsa which means not doing harm to anyone. Somewhere Euthanasia is against ahimsa and hence it should not be followed<sup>(1)</sup>. However, some group of people also believes that by helping the person to end their suffering and painful life is a good deed which fulfills the moral obligations<sup>(1)</sup>. As mentioned in Manu script, there was the practice of Mahaprastha or Renunciation, where the person suffering from incurable disease or who meets with a great misfortune start with a journey of departure which at the end result into death of that person<sup>(12)</sup>.

Knowing Euthanasia in India requires observing the belief system and practices followed by different cultures especially Hindu, Muslim and Christianity.

#### Hindu culture:

In Hindu culture, the teaching is to respect all forms of life and an unfavorable attitude towards killing anyone; hence the practice of Euthanasia was not accepted in the society<sup>(11)</sup>. The Hindu culture believes that the person who is suffering pain has to wait till the right time come for their death<sup>(11)</sup>. The caretakers should reduce the pain and suffering, but has no right to end anyone's life<sup>(1)(11)</sup>. The person who suffers is serving their karma as the suffering is the consequence of negative behavior<sup>(11)</sup>. The person is required to be calm at this stage of their life and face the suffering with the aim of moving towards liberation or moksha<sup>(11)</sup>. As discussed earlier the teaching of Ahimsa is strong rooted in Hindu culture, hence Euthanasia being against ahimsa is not accepted in the culture<sup>(1)(11)</sup>. However, there is a practice called as Somnvasi, where the person who is old and weak, wait till the death arise by refusing the intake of food and water; and prepare for their own funeral rites<sup>(11)</sup>. We have earlier mentioned of Sati which was thoroughly followed by the Hindu culture. They believe that the women who burn herself with her husband body on the funeral receive the status of goddess and become the ideal female<sup>(1)(11)</sup>. Some suicide was committed after the death of their loved ones as a mean of self-punishment for the crime committed<sup>(11)</sup>.

#### Muslim Culture:

In Muslim culture, the belief system follows that it is an individual's responsibility to take care of their health and seek immediate medical intervention whenever need arises<sup>(11)</sup>. They also believe that if there are sufferings in the world, God has also provided with the capacity to find the cure or solution to it<sup>(11)</sup>. Hence the practice of Euthanasia is not supported in the culture, in fact it is considered as an act of violation and rebellion against God's nature<sup>(11)</sup>. There are other views which are followed and accepted by the people practiced as a defense of their faith. Laying their lives or becoming a suicide bomber for their faith and culture are considered as martyrs<sup>(11)</sup>. In technologically advanced societies, Euthanasia is practiced in the case of terminally ill patients by withdrawing the life-sustaining mechanisms, considering the family and community values<sup>(11)</sup>.

#### Christianity Culture:

Christian culture considers taking one's life a self-murder<sup>(11)</sup>. They also believe that the physician should not interfere with the patient's spiritual journey by hastening the dying process<sup>(11)</sup>. John Paul II (1993) in Veritatis Splendor convicted euthanasia as an "intrinsic evil" and later repeated it as an act of violation of the law of God. He added that no one is allowed for the killing of an innocent human being whether it be the fetus, new born baby, an adult or an old person even though they are suffering from an incurable pain or disease. He also added that no one is even permitted to ask for the act of killing for the self and others and neither they are allowed to give consent for such request (Declaration on euthanasia (CDF 1980). The authority itself should not support or permit such an action as life is a God's gift and practicing euthanasia is taking away the rights of the god and giving it to human person (Brown 2007, 252)<sup>(11)</sup>. The people in this culture respect the redemption provided by the death of Jesus and somewhere people should experience the value of suffering done by Jesus<sup>(11)</sup>. Human beings should find meaning in suffering and at the same time also alleviate it or find possible treatment method for it<sup>(11)</sup>. In some peoples' view allowing a person to die can be morally right as this act has an intention to relieve pain. The patient's wish and readiness for death must be considered

## Euthanasia – Meaning, Types and Its Indian Framework

(Kelly 1994, 349f) <sup>(11)</sup>. On the contrary some people have views that helping someone to die by the health practitioners or someone else should be morally wrong and be considered as an act of killing an innocent person (Kelly 1994, 350) <sup>(11)</sup>. On debate of this point some catholic moral theologians expressed that the distinction between killing and allowing a person to die is not sufficient to make all acts of Euthanasia morally wrong. This is then to be decided using proportionalism method weighing the good and bad consequences occurring from the action. Hence, according to the Christian moral demand, actively and mercifully assisting the process of dying rather than letting the person suffer in pain is acceptable (Kelly 1994, 350f) <sup>(11)</sup>.

### CONCLUSION

There are different views in each culture and also different views of people within the culture. Though Euthanasia is morally justifiable, its practice is yet not legalized. In a recent judgments provided by the Supreme Court, Passive Euthanasia is legalized and permissible under supervision of law in exceptional circumstances, but yet other types of Euthanasia are not permitted under the law in India.

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## An Evaluation Study of The Role of Government in Community Based-Tourism Development



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**ABSTRACT:** Supporting community based-tourism (CBT) is a development strategy for local government to use tourism to improve local people's livelihoods. Here local government takes over the agenda for the community and supplies updates and resources on development but leaves the decision making to the community itself. However it is not just the government that designs CBT strategies, the existing literature shows that members of academia and international organizations have been carrying out, publishing and analyzing CBT case studies, thus providing more insight as to why CBT fails or succeeds in communities. In general, the tourism transformation achieved by government may not always be satisfactory to the community as opposed to academia, international organizations, or the community itself. As each community is unique, the present study examines the general attitudes of 535 respondents about government performance in CBT from 40 different countries. The respondents are divided into four groups according to the respondents' work experience with academia, government, international organizations, and the community. The results show that the government group sees themselves as the least productive, whereas the international organization group paradoxically sees the government's ability in CBT as the most favorable. The outcome of this study provides a general overview of the capabilities and limits of government in CBT development which may be of use to communities and stakeholders that are considering becoming involved in such transformations.

**KEYWORDS:** Community Based-Tourism (CBT); Government; Community Development; Community

### 1. INTRODUCTION

The concept of CBT can be traced back to the 1950s, when the United Nations advocated this as a project that local government could be involved in to help develop their own communities. As this method became more popular, scholars, government, and international organizations would continue to write new CBT guidelines. From the literature review carried out for this study and outlined below, in this situation local governments would cooperate with non-government organizations (NGO) to formulate plans and guidelines for local communities to take part in tourism transformation programs. The problem is that CBT transformation has been recorded as causing negative impacts that are irreversible. From the literature review some 80% of the transformations have led to an unsustainable community, which leads the wider community to lose trust in the government and become dependent on external funding. Transforming a community into a tourist destination has its socio-economic benefits, but to reduce the risk, the involvement of academia and international organizations in addition to local government could bring better results than just relying on local government due to their greater expertise and experience in CBT development. This study evaluates local government's involvement in CBT development projects from the perspective of 535 respondents that have worked in academia, the government sector, an international organization, or a local community. The outcomes of this study will assist community members to better make decisions if their location should undergo community tourism transformation with the assistance of local government.

### 2. LITERATURE ON CBT AND REVITALIZATION

The concept of CBT is often misunderstood as being tourism that takes place in small or rural communities (Kontogeorgopoulos et al., 2014). But the primary purpose of such tourism transformation is in fact to build up local communities where management and ownership is controlled by local people instead of foreign cooperation anywhere (Kaur et al., 2016). The role of local government in CBT is to support community engagement and public affairs through neighborhood empowerment and

## **An Evaluation Study of The Role of Government in Community Based-Tourism Development**

local government reform (DCLG, 2006). Although CBT mostly takes place in less developed places and is targeted to alleviate poverty and other problems, the concept of CBT shares similarities with the business concept of strategic destination branding and destination marketing (Tasci, 2011). Government and other agencies have the ability to modernize communities (Branden and Mayo, 1999), causing their culture to lose authenticity. Kretzman and McKnight (1993) think that the reason communities fail to develop can be because developers, government or NGOs presume that a troubled neighborhood can be improved by constantly pouring resources into it, not changing its fundamentals. Paradoxically, in not doing so the community's mindset can be changed so that they come to believe they themselves are the victims of the government despite all the money flowing in, and they become dependent on third party aid, instead of searching for methods to become self-sustaining.

One common stage in tourism development is the government's involvement in attempting to reform the community through gentrification. This can redevelop a poor or old community into a wealthier one, reformation of the community can bring better living conditions, and in the process, increase the real estate value of the neighborhood. It can rejuvenate locations with population shortages by attracting middle-class people into the community. Gentrification improves peoples' quality of life by rebalancing (Duany, 2001). Newcomers from the middle-class help blend and mix in with the lower class, because this means that there are more educated people, taxpayers, and consumption rates for the community (Duany, 2001; Byrne, 2003).

However, the phenomenon of physical renovation and social upgrading creates problems of displacement (Kerstein, 1990). Since it is a reinvestment of capital at the urban center for the purpose of producing space for the wealthy class rather than for the current occupants in that space (Smith, 2000). The phenomenon of physical renovation and social upgrading creates problems of displacement (Kerstein, 1990). Gentrification makes it more difficult for the poor that are struggling to afford houses (Green and Goetting, 2010). Overpricing, misplacement, and discrimination are the common drawbacks of gentrification (Kerstein, 1990; Newman and Wyly, 2006), but the benefits for the city outweigh the costs faced by the unfortunate poor (Sumka, 1990).

### **3. WHEN GOVERNMENT FAILS ITS COMMUNITIES**

Even without tourism transformation there are existing records where local government's involvement in community development projects has created more problems. This is because, even if the government is responsible and accountable for running the country province or local area, modern developments are fast, complex, diverse, and difficult to micromanage from the center (DCLG, 2006). The role of government and external agencies is to understand and listen to the community's problems. Programs which ignore the community and are in favor of raising the economic status of a few run the risk of demoralizing the community well-being and other social structures (Wilkinson, 1979). Kretzman and McKnight (1993) mentioned that there are risks that the community will see themselves as a client and accept the status of their own neighborhood. A recurring problem with community development is that most development programs are designed and funded by external parties, and once the funding flow and outside assistance stops, the community will have a hard time to maintain its standards, therefore it is necessary for the developers to stay for a reasonable time span and monitor the community periodically so it can keep up its standards (World Wildlife Fund, 2001). Wilkinson (1979) stated that even though economic development should have high priority for the sake of the improvement of the delivery of social services, if resources and services are not evenly distributed this can result in a decline in community activities and well-being in uneven regions.

Meanwhile, resources given to troubled communities can lead to further over-reliance; local community leaders have in the past highlighted their problems when demanding more resources from NGOs and other aid sectors, yet the community leaders do not reflect on their own strengths that would allow them to change. The local community's relationship with their neighbors weakens as the locals cling on to the funders, experts, and social workers instead. The reliance on NGOs and funders deepen the cycle of dependency, and the programs tend to end when funding is short. It has been observed that communities that are helped and have overly relied on this help will always become worse and more intractable than other communities. This end product is the major cause of the sense of hopelessness in low-income neighborhoods (DCLG, 2006).

The DCLG has analyzed past unsuccessful community development case studies in the UK and found that the errors are often related to the following issues: (1) Little awareness that individual concerns can be affected by joint actions; (2) The disadvantaged are often the ones that suffer from poor infrastructure and cannot clarify their needs to authorities; (3) When groups are dominated by strong individuals who keep the power of decision making to themselves; (4) When community organization fails to adapt to change or misses funding opportunities; (5) When community leaders or representatives are not properly elected, causing unbalanced partnerships; (6) Different interests among groups and the inability to compromise leads

## An Evaluation Study of The Role of Government in Community Based-Tourism Development

to poor decision making results; (7) When parts of the local population refuse to be involved due to prejudice and discrimination problems among the group; and (8) When public agents or governmental departments are unaware of community insights and this leads to passive resistance to development.

The reason why the poor remain poor is due to the trap of low or negative economic growth rates, they need to use all their income to merely stay alive on account of having almost no savings (Sachs, 2005). Poverty does not necessarily have to be associated with low incomes, inadequate resources such as lack of clean water, food, shelter, and other basic needs are all a form of poverty. It is a multidimensional problem and requires collective solutions, because eliminating poverty is just as relevant to development. Sachs (2005) mentioned that it is a misconception that laziness or government corruption is the main reason the poor stay poor, in fact the people suffering in poverty most often happen to live in geographically isolated regions and are vulnerable to disease and natural hazards

CBT has the ability to allow communities to grow and be more independent from external parties. While in some situations, communities would be better off without the government's interference. But without the government's support in building infrastructure and funding, community development is difficult to startup on its own. To examine this conundrum, the present study surveyed 535 online respondents with a CBT background to evaluate the overall performance of local government's involvement in CBT projects.

### 4. METHODOLOGY

As each community and government is unique in its own cultural and practices, an online questionnaire is preferred to collect respondents' overview of their evaluation of their own government. The targeted respondents are chosen based primarily on their work experience with the government and community. Furthermore, since there are also CBT guidelines written by academia and international organizations, respondents that have experience in working with these groups and have backgrounds in community development could provide a third party perspective for comparison. The survey design is based on a content analysis of 30 tourism plans written by governments and NGOs as seen in Table 1. The plans are chosen based on their step-by-step guidelines for promoting tourism to the community. These plans and guidelines were gathered and analyzed through the word cloud program, MAXQDA, to find the common traits of the government's role in CBT programs. The word cloud analysis shows that the most frequent phrases are action plan, community development, decision making, economic growth, international tourism, local communities, natural resources, private sector, product development, sustainable development, tourism planning, and monitoring. These keywords are used as key indicators for the survey items. Further observation shows how in the majority of the guidelines the procedure for CBT development involves 1) planning, 2) plan execution, and 3) monitoring and evaluation. The survey items are based on a 7-point Likert scale (1=Strongly Agree; 7= Strongly Disagree) to evaluate the local government's involvement, CBT operation stages, community understanding, and work interest between local government and its community, which can be found in Table 2.

**Table 1: 30 CBT guidelines designed by the local government and NGOs**

Community-Tourism Guidelines	Year	Designed for Communities
BLM (Bureau of Land Management)	2019	USA
City of Sydney	2013	Sydney
COBATI (Community Based Tourism Initiative)	2015	Uganda
DCLG (Department of Communities and Local Government)	2001	London
DED (Department of Economic Development)	2018	Dubai
DEH Department for Environment and Heritage	2004	Australia
DCRD (Department of Rural and Community Development)	2016	Ireland
DTTAS (Department of Transport, Tourism and Sport)	2018	Ireland
EPGC (The Economic Planning Group of Canada)	2013	Canada
ESRT & WWF Vietnam	2013	Vietnam
European Parliament	2015	Europe
FI (Friends- International)	2018	-

## An Evaluation Study of The Role of Government in Community Based-Tourism Development

INTERREG IVC, European Union, & National Institute for Research and Development in Tourism	2014	Europe
Mairie de Paris	2016	Paris
MBIEDOC (Ministry of Business Innovation & Employment and Department of Conservation)	2019	-
MFCG (Ministry of Finance and Corporate Governance)	2015	Antigua and Barbuda
MTCE (Ministry of Tourism and Creative Economy)	2012	Indonesia
MTE (Ministry of Tourism and Entertainment)	2015	Jamaica
NTD (National Department of Tourism)	2016	South Africa
Republic of Rwanda	2009	Rwanda
REST (Responsible Ecological Social Tour)	2003	-
SADC (South Africa Development Community)	2012	South Africa
TFTC (Task Force on Travel & Competitiveness)	2012	USA
The Mountain Institute	2013	-
TIES (The International Ecotourism Society)	2007	Cumberland
TSPC (The Tourism Strategic Planning Committee)	2019	USA
USAID (United States Agency for International Development)	2006	Australia
WALGA (Western Australian Local Government Association)	2019	-
WEF (World Economic Forum)	2020	-
WWF (World Wide Fund for Nature)	2001	-

**Table 2: The data categories examined through the survey questionnaire used for the study**

Characteristics	Items	Response Type	Results
<b>Demographics</b>	Gender	Dichotomous	Table 3 Table 4 Figure 5
	Age	Ordinal	
	Country of origin	Ordinal	
	Length of experience*	Ratio scale	
	Type of work	Nominal	
<b>Community understanding aspect</b>	Wants	Interval	Figure 2
	Needs	Interval	Figure 3
<b>Work Interest</b>	CBT planning	Interval	Figure 4
	CBT execution	Interval	
	CBT monitoring and evaluation	Interval	
<b>Overall reputation</b>	Local government's interest with communities	Interval	Table 6
	Communities' interest with local government	Interval	
<b>Overall reputation</b>	Government Involvement	Interval	Table 7

As a descriptive quantitative study, data analysis was carried out via IBM SPSS Statistic 21 (Statistical Package for the Social Sciences). The data analysis process first went through a filtering process to check if the data collected is viable. This process is composed of missing value, normality, and outlier statistics. These three steps filter and check for data irregularity. Descriptive research attempts to determine or describe what a situation is, and descriptive analysis for sociology utilizes the respondents' point of view to understand and explain the research question (Bryman and Cramer, 1996; Hair et al., 2010; Kline., 2015). Missing data models are run to see if the collected data is suitable for multivariate analysis use (Hair et al., 2010; Field, 2013). There are situations where missing data affects patterns or relationship results, hence the need to maintain the original value as



## An Evaluation Study of The Role of Government in Community Based-Tourism Development

much as possible (Groves et al., 2011; Kline, 2015). The process includes checking for data entry errors, deleting individual respondent cases from the list if there are some answers left blank (Hair et al., 2010; Kline, 2015), and is followed by a diagnostic test for the level of randomness.

### 5. RESULTS

During the spring of 2021, 535 targeted respondents from academia, CBT, government and community development related online fora and groups were contacted (see Table 3 and Table 4). Data are screened based on the respondents work experience with any of the four groups (can overlap): government sectors (422), local community (385), academia (374), and international organizations (339). Some respondents may have had overlapping experience in more than one group, which was helpful in adding weight to this study. The concept is to compare each group's evaluation of their local government's role from their point of view. At the same time, the result of the whole group could help gain a better understanding of the general perceived evaluation of government performance in CBT. In total there are 40 countries recorded, with the United States taking the majority of 15.7% (84). Followed up by Australia at 12.8% (69), Denmark 12.5% (67), Canada 12.1% (65), Germany 12.1% (65), and Nigeria 9.1% (49). Together these countries add up to 74.5% of the total. The next 25.5% is made up of Zambia 4.2% (23), New Zealand 3.5% (19), United Kingdom 3.5 (19), Colombia 2.8% (15), and Mexico 2.4% (13). The remaining 28 countries contributed 8.9% (47). In addition, the demographic data show that age groups 45-54 (170, 32%) and 55-64 (169, 32%) provide the majority of the respondents, followed by 35-44 (110, 21%). The age distribution is followed by the gender distribution male 53% to female 47%. It can also be noted that the older age ranges may have higher experience with and interest in community development than the lower ones. The diversity of the respondents' overall demographic data allows a better analysis of government and CBT evaluation.

**Table 3: Demographics of respondents (n=535)**

Characteristics		N	%
Gender	Male	283	52.89
	Female	252	47.1
Age Group	18-24	28	5.23
	25-34	35	6.54
	35-44	110	20.56
	45-54	170	31.77
	55-64	169	31.58
	65-74	20	3.73
	75+	3	0.56
Work Experience	Academia	374	60.1
	Government	422	52.71
	International Organization	339	50.65
	Local Community	385	61.49

**Table 4: Length of work experience with different groups (n=535)**

	Local Community (385)	Local Government (422)	Academia (374)	International Organization (339)
Less than a year	56	68	52	68
1-2 years	98	92	135	102
3-5 years	91	107	127	59
6-9 years	43	85	40	71
10 or more years	97	70	20	39

The types of experience of the respondents of CBT development varies, and some participants have multiple types of experience in different sectors. As shown in Figure 5, those who shared involvement with the local communities have high work

## An Evaluation Study of The Role of Government in Community Based-Tourism Development

experience with 'rural and communities development' (93), 'children, equality, disability' (84), and 'culture, arts, sport, and media' (60). Whereas those who have experience with international organizations have a high amount of experience in 'children, equality, disability' (51), 'environment, climate, and communications' (44), and a tied score for both 'business, enterprise, and innovation' (43) and 'rural communities development' (43). The participants with local government & NGO involvement show also in 'children, equality, disability' (97), 'environment, climate, and communications' (70), and 'education' (64). Lastly, the types of experience that academics have ranges from 'business, enterprise, innovation' (66), 'education' (60), to 'further education, research, science' (47).

The type of experience reflects on the current trend of work distribution among sections of the community and points out which work is more emphasized by each group. People who worked with academia have to be related with business as they need to see how academic research innovation can contribute to community development. All three international organizations, the local communities, and government & NGOs share high experience on the subject of children, disability, and equality. This may suggest that the three groups are currently in the business of defending children, the disabled, and other equality issues in the CBT arena. The international organizations and government & NGOs are both working on the community's environment; this could be because environment and climate as a whole affect groups outside specific communities at the macro scale, and therefore should be more in the hands of a larger organization. Meanwhile, people who worked for the local communities logically demonstrated high effort in working for their development.

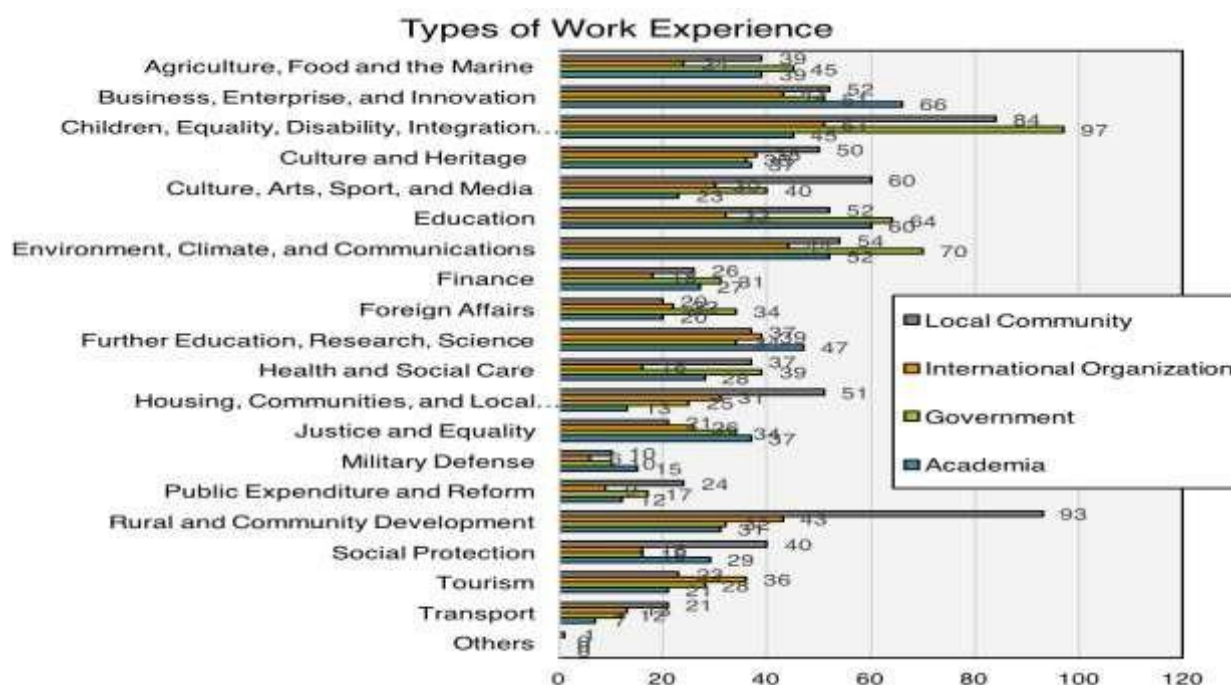


Figure 5. Type of Work Experience

Table 6 presents the overall opinions of all respondents regarding their group faction. The reliability analysis shows the item-total correlation and determines if the removal of the item would improve the corresponding alpha values [38]. The alpha score determines if any item were to be removed; the remaining items would still remain at an alpha score above 0.88, a higher score than the acceptable 0.70 standard. The mean score analysis shows that the respondents had strong positive attitude towards local government's involvement in community development projects (2.701). Respondents display strong positive views (2.378) on how local government knows what the local community wants but has less understanding of local needs (2.815). This suggests that local government is aware of the situation of the community for development project. The government's CBT operation is based on its planning (3.088), execution (3.239), and monitoring (3.14). These evaluations of government capability indicates the fairly positive impact the government has on the community, but suggests that although the local government's role does bring changes to development, their power is limited.

The government's interest in working with local communities scored 2.856, and 2.734 if vice-versa. A possible explanation could be because the government are the providers and are in charge of multiple communities, thus making them less keen in cooperating with locals in development projects. Or possibly because complying with the demands of communities

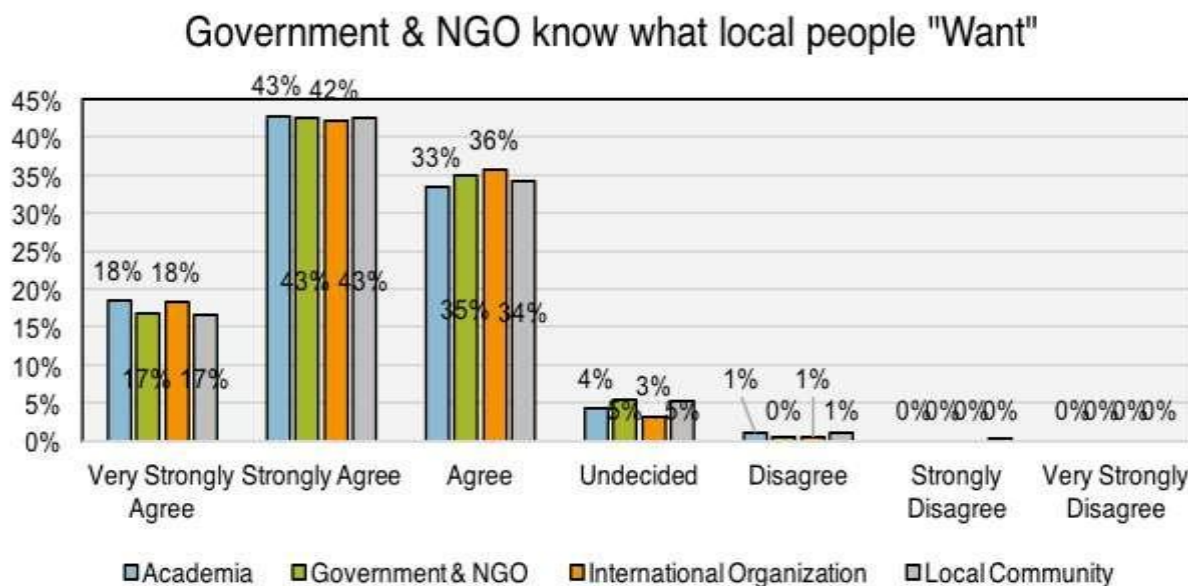
## An Evaluation Study of The Role of Government in Community Based-Tourism Development

could hinder CBT development progress, thus explaining why the government interest in the community is not higher than the reverse situation. Nevertheless, the overall evaluation of government involvement shows a positive score of 2.701; this positive outcome reinforces the concept discussed in the literature that reaching out to local government may be the most practical way to administrate CBT ventures in the initial stage.

**Table 6: Reliability test result of overall respondents (n=535)**

Variable name and description	Mean (SD)	Items-total correlation	Alpha if items deleted
<b>Understanding of Community</b>			
Government know what local community 'Want'	2.378 (0.861)	0.456	0.883
Government know what local community 'Need'	2.815 (1.095)	0.284	0.884
<b>CBT Operation Stages</b>			
Government's Community Planning Capability	3.088 (1.167)	0.325	0.884
Government's Action Plan Execution Capability	3.239 (1.258)	0.363	0.883
Government's Capability in Monitoring and Reviewing Community Development	3.14 (1.126)	0.342	0.884
<b>Work Interest Between Community and Government</b>			
Government's Interest in Working with Local Community in Community Development	2.856 (1.025)	0.336	0.884
Local Community's Interest in Working with the Government in Community Development	2.734 (0.948)	0.253	0.885
<b>Overall Government Evaluation</b>			
Government Involvement is Helpful	2.701 (1.102)	0.264	0.885

In addition to the results summarized in Table 6, Figures 7-14 compare the question items against each group. This allows further perception of government involvement in CBT from different point of views. Figure 7 demonstrates how much the government & NGOs understand local people's desires. This is depicted in relation to local community (2.32), government and NGOs (2.3), academia (2.26), and international organization (2.25). With a high approval rate of 94%-96% from each group in acknowledging that the government understands what its communities want.



**Figure 7. Government & NGOs know what Local People Want**

In contrast with *want*, Figure 8 checks if the government & NGOs understand the *needs* of the local people. The average of each group are local community (2.84), government and NGO (2.82), academia (2.81), and international organization group

## An Evaluation Study of The Role of Government in Community Based-Tourism Development

(2.79). The overall ratings show 71%-75%, 20%-22% undecided, and 5%-7% disapproval. Notice the difference between 'undecided' gap for Figure 7 and 8. This may suggest that in the difference between 'want' and 'need', the government may have heard the voices of their people, but to the local communities, the government does not feel that they are well understood.

### Government & NGO know what local people "Need"

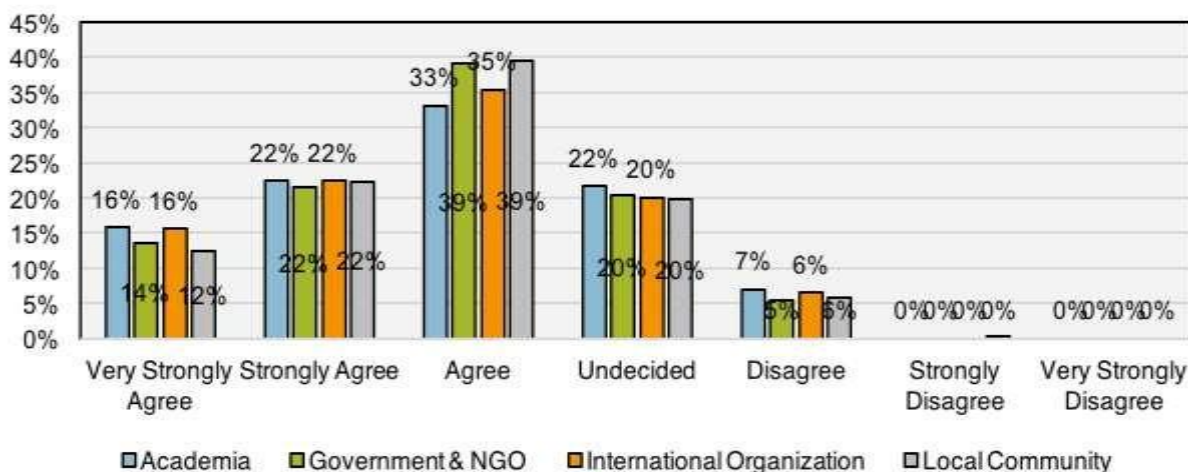


Figure 8. Government & NGOs know what Local People Need

CBT stages are commonly divided into three phases; planning, execution, and monitoring. The evaluation of the government & NGOs' planning process shown in Figure 9 shows an approval rate of 62%-65% and 70% from the international organization group. The average scores are local communities (3.06), government and NGO (3.06), academia (2.97), and international organizations group (2.89). The outcome suggest that both local community and the local government group have a mutual understanding of the effectiveness of government' planning. Possibly suggest that both parties may have agreed and negotiated beforehand the plans and expectation of CBT.

### Government & NGOs' Productivity in CBT "Planning"

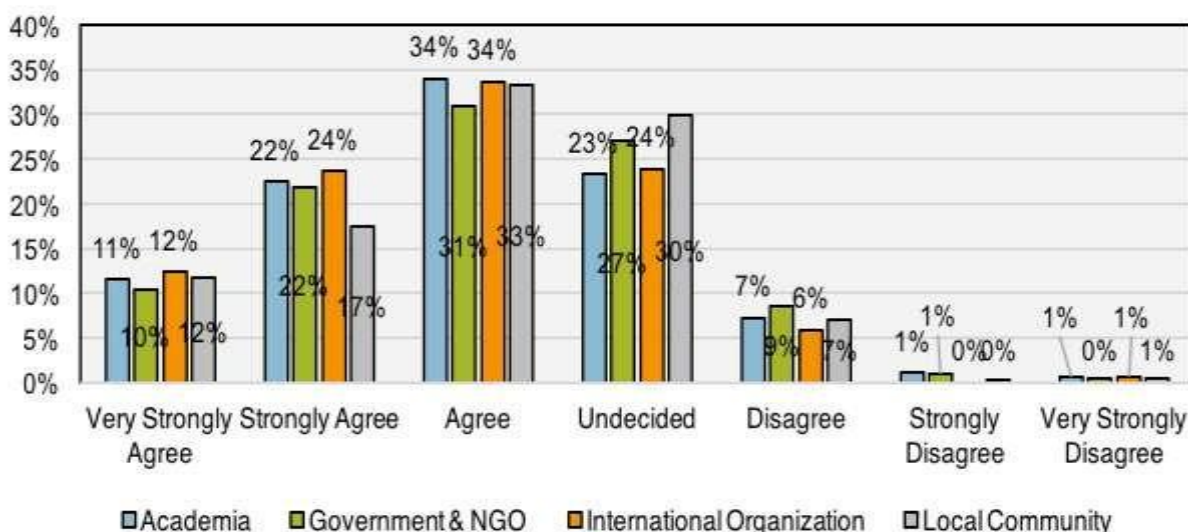


Figure 9. Government & NGOs' Productivity in CBT Planning

The execution stage is when the government and NGO take action in constructing their infrastructure, training, and marketing for CBT to operate. It is at this stage the people see the capabilities and support of their government. Figure 10 displays an approval rate of 67%-70%, 14%-15% were undecided, and 16%-19% disapproved. The average scores are local communities (3.12), government and NGO (3.15), academia (3.1), and international organizations group (3.05).



### Government & NGOs' Productivity in CBT "Execution"

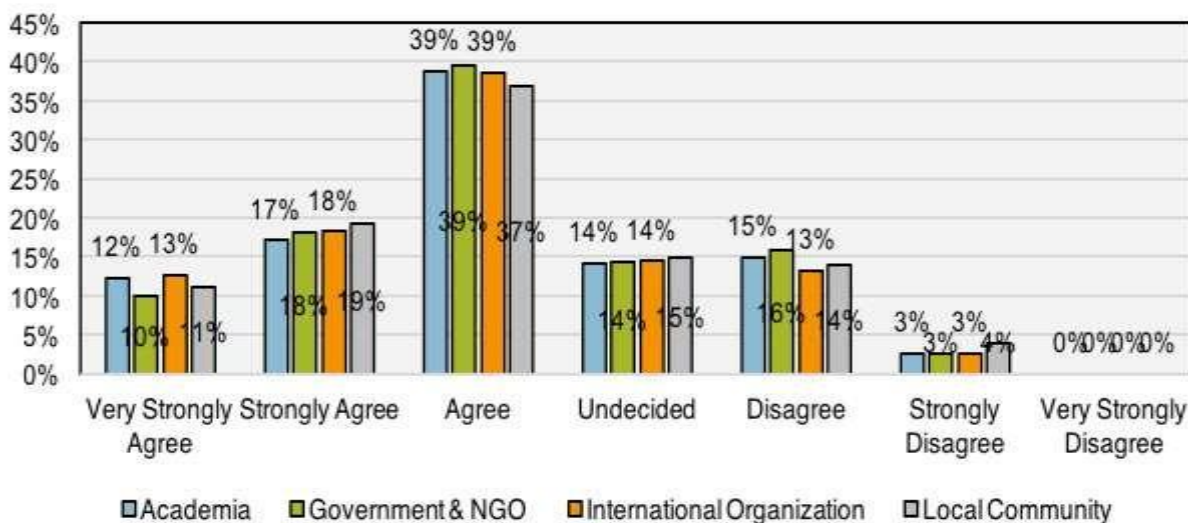


Figure 10. Government & NGOs' Productivity in CBT Execution

As for government & NGOs' monitoring and review evaluations (Figure 11), the general approval rate indicates a range of 72%-75%, 15%-16% uncertainty, and 10%-12% disapproval. The average scores are local communities (2.94), government and NGO (3.03), academia (2.95), and international organizations group (3.03). This suggests that the role of government & NGOs may not always be to support local people, because the communities are within the government control and are constantly being monitored anyway.

### Government & NGO's Productivity in "Monitor and Review"

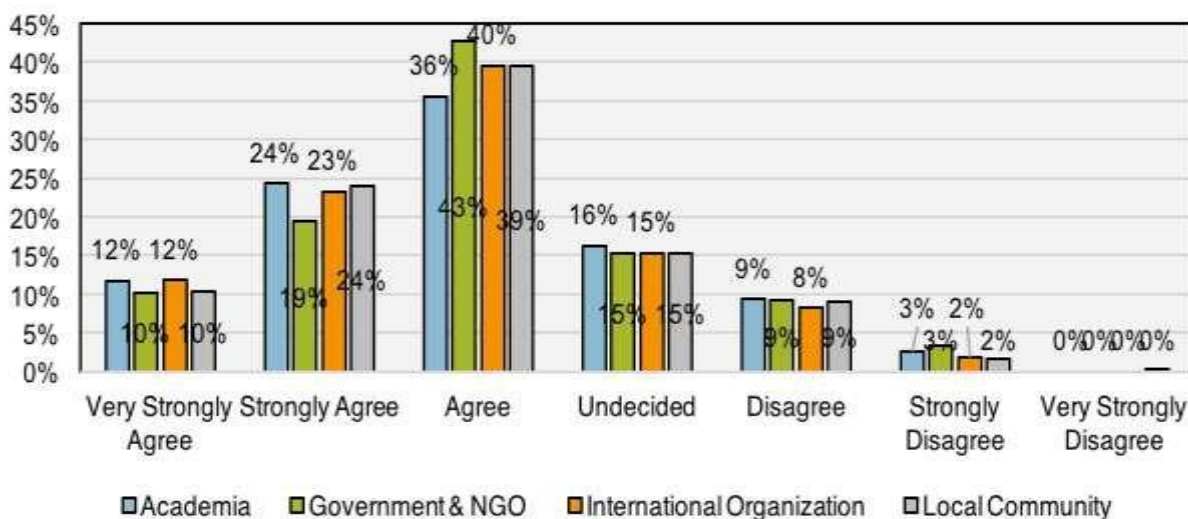


Figure 11. Government & NGOs' Productivity in CBT Monitoring and Review

In Figure 12, government & NGOs interest in working with local people in CBT development projects has an approval rate of 72%-76%, 18%-23% uncertainty, and a 5%-7% disapproval rate. The average scores are local communities (2.82), government and NGO (2.74), academia (2.75), and international organizations group (2.66).

### Government & NGO have Strong Interest in working with "Local People"

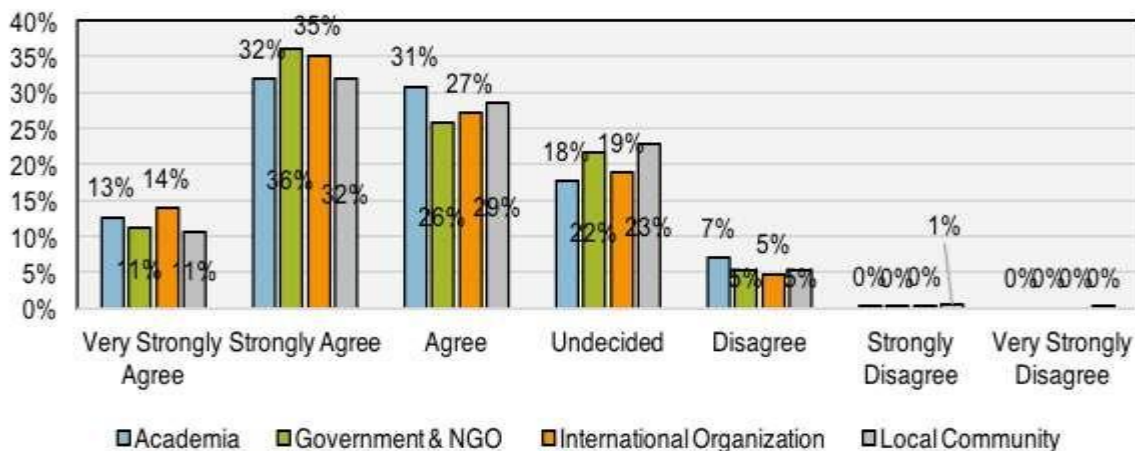


Figure 12. Government & NGO Interest in Working with Local People in CBT Development

In Figure 13, the local community’s interest in working with government & NGOs show an approval rate of 77%-80%, undecided at 15%-18%, and 4%-5% disapproval. The average scores are local communities (2.69), government and NGO (2.67), academia (2.67), and international organizations group (2.62).

### Local People have Strong Interest in working with "Government & NGO"

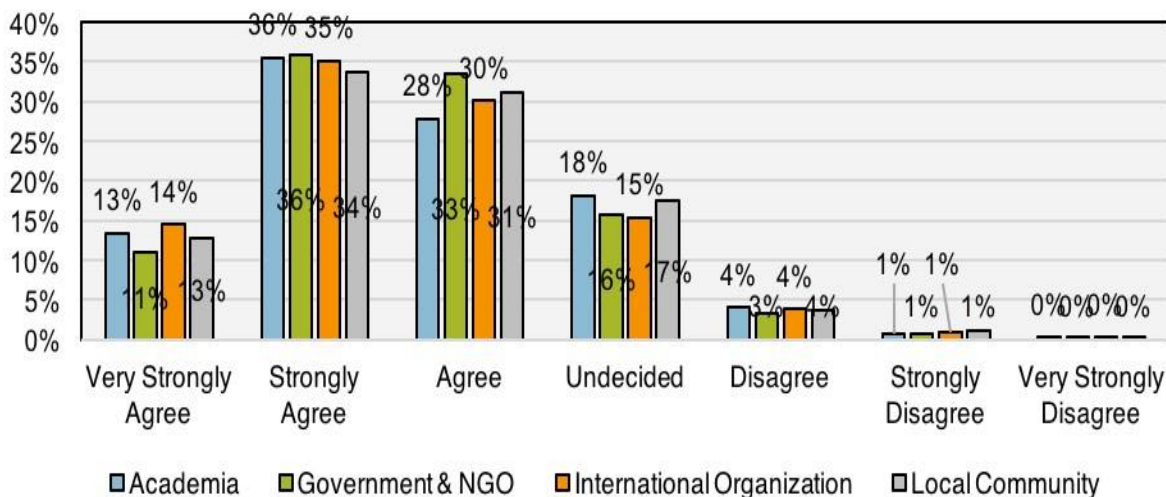


Figure13. Local People’s Interest in Working with Government & NGOs in CBT Development

Figure 14 displays the helpfulness evaluation of government & NGOs involvement in CBT. The average scores are local communities (2.54), government and NGO (2.61), academia (2.57), and international organizations group (2.57). The helpfulness ratio shows 75%-79% to 11%-13% undecided, and 1%-2% opposing, an average of 2.64. Almost a quarter claimed this group as very helpful. The results show a higher positivity by government & NGOs than academia for overall CBT evaluation.



### Helpfulness to CBT: Government & NGOs' Involvement

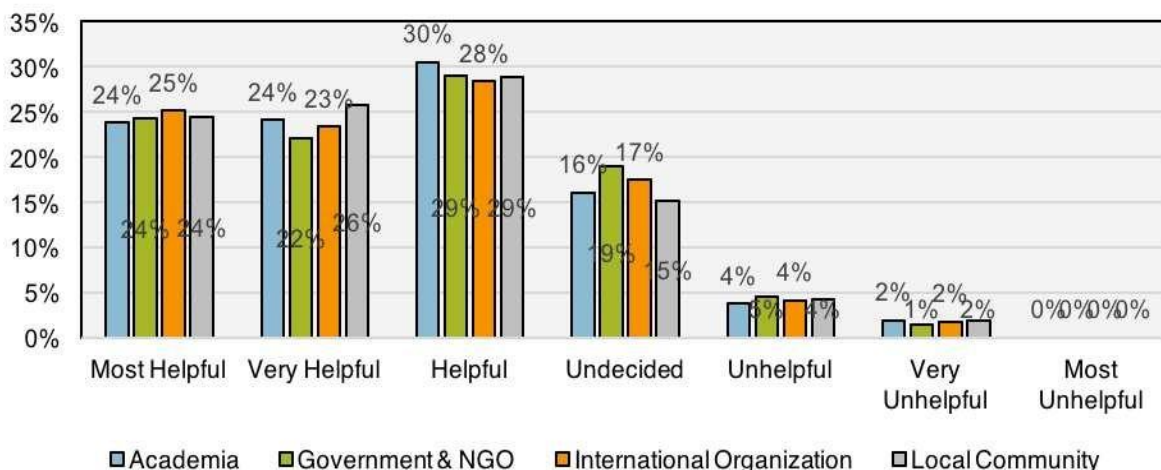


Figure14. Helpfulness in CBT: Government & NGOs Involvement

### 6. DISCUSSION

From the data, the community and government groups tend to have similar score on most of the questionnaire items. The understanding of the community’s want and needs for instance showed how both local community and government groups rated 2.3 and 2.8 for want and needs. This indicates that the government does indeed know less about the needs of the community than it perhaps should. The CBT operation stages are positive though but are at a scale of 3; planning (3.06), execution (3.1), and monitoring (3.0). This could suggest that both local community and government group sees the government’s capability to support CBT operations as adequate and even slightly above average. The possible reason for this suggests that the government’s resource is only limited, and thus during each operation, covering the basic infrastructure and training would be enough to administrate CBT projects. The work interest between government and local community shows how the government group perceived the government to be more passionate in mutual work interest (2.74 and 2.67) than the local community group (2.82 and 2.69). This result may suggest that the government may have perceived local people to have a higher desire to work with their government as they have the power and resources to provide for the community. However why the wiliness of locals to work with the government is not higher may probably be due to local belief that the government, while it could provide the necessary support for CBT projects, this might not be at a satisfactory level or wat for that the community. In turn, this may be supported by the difference between average wants and needs discussed above.

The academic and international organization groups provide a third party neutral perspective on the relationship between local government and local community. Although all four groups are similar, the academic and international organization groups perceived most factors as being stronger than either the government or community groups. Furthermore, the international organization shows the strongest sense in believing that the government knows the wants (2.25) and needs (2.79) of community. CBT operation stages evaluation graded by academia and international organizations showed a better outcome than either government or community groups. This might suggest that, from the exterior point of view, the government’s role in CBT operations should be more efficient than expected. The international organization group perceives the work interest between both government and local community to be the strongest among all groups (2.66 and 2.62). In summary, the results show how third parties such as academia or international organizations can overestimate the government’s capability in CBT operations. On the contrary the government group evaluated itself as the weakest in CBT operations, implying that the respondents’ understanding of the government structure flow may have interior issues that hinder their progress.

### 7. LIMITATIONS

Further study should compare the academic and international organizations’ CBT evaluation, as these two groups are also known to publish CBT guidelines and these can be found in the existing literature. A qualitative method through focus groups or interviews with government representatives may provide further insights on the relationship between government and community.

## An Evaluation Study of The Role of Government in Community Based-Tourism Development

### 8. CONCLUSIONS

This study examines local government involvement in CBT development from the perception of respondents with work experience in the government, community, academia, and international organization sectors. CBT is a trending alternate method for communities to become sustainable on their own through maximizing tourism revenue. From the literature, the role of local government is to design plans and guidelines to introduce tourism to its community members. At times, the government will collaborate with NGOs to tailor specific instructions for a particular community. This study gathered various guidelines written by different governments and NGOs, and through MAXQDA word cloud software, the outcome showed that most frequent phases in this are action plans; community development; decision making; economic growth; international tourism; local communities; natural resources; private sector; product development; sustainable development; tourism planning; and monitoring. These keywords were used as key indicators for questionnaire design. Further observation reveals that these keywords are often mentioned with community's understanding of the bond between locals and government. The guidelines may have different strategies but the majority had three common instructions for building CBT: 1) planning, 2) plan execution, and 3) monitoring and evaluation.

After this content analysis, an online survey was distributed and collected in the Spring of 2021 to fora and groups in the field of CBT and community development. Work experience with either local government, community, academia, or international organization was a major factor in filtering the data, as these respondents present more insights on the involvement of government in CBT development. A 7-point Likert scale was used for the respondents to evaluate if their government understands the people's want and needs, and the findings show governments have a higher understanding of local community's wants (2.37), but a lower understanding of the people's needs (2.81). The three stages of government's CBT development capabilities are evaluated, with planning (3.08), execution (3.23), and monitoring (3.14) being the results. The government's work interest with the local community (2.85) is not as high as the local community's interest with the government (2.73). The community's overall evaluation of the government's involvement (2.7) in CBT projects is positive.

The results of this study show that the perspective of local community groups tends to rate the government understands and capability of CBT projects as mildly positive. The respondents that worked in the government sector rated the government's capabilities as the weakest among all other groups, yet the international organization group rated the opposite. This phenomenon could be explained by how third parties evaluated the closeness of the relationship between government and its communities. Whereas those that are involved understand the limits of the government sector with regard to development. The reason that government fails in CBT development can be due to how this sector tends to emphasize the tourism revenue rather than catering for social issues (Wilkinson, 1979; DCLG, 2006). The work interest between government and local community is expected to be stronger by third parties; this existing gap could reinforce the concept by Kretzman and McKnight (1993) that where the community would see themselves as clients in relying on government support, the government instead sees distributing resources to communities as an obligation.

However, for CBT to be a functional enterprise, community participation and involvement is necessary, if a community lacks the motive to participate in CBT transformation, the program may not be suitable for the community in the first place. On the other hand, CBT needs startup funding for initial development, thus community members might see the government as difficult if the community's proposals are constantly rejected. Rather than pushing and marketing the community for tourism profit, the government's role should be more open and welcoming for the community to approach them to discuss about plans and funding. Doing so allows the government to place themselves as investors and enables their observation of the community willingness for CBT development when they have to decide if further support is needed.

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