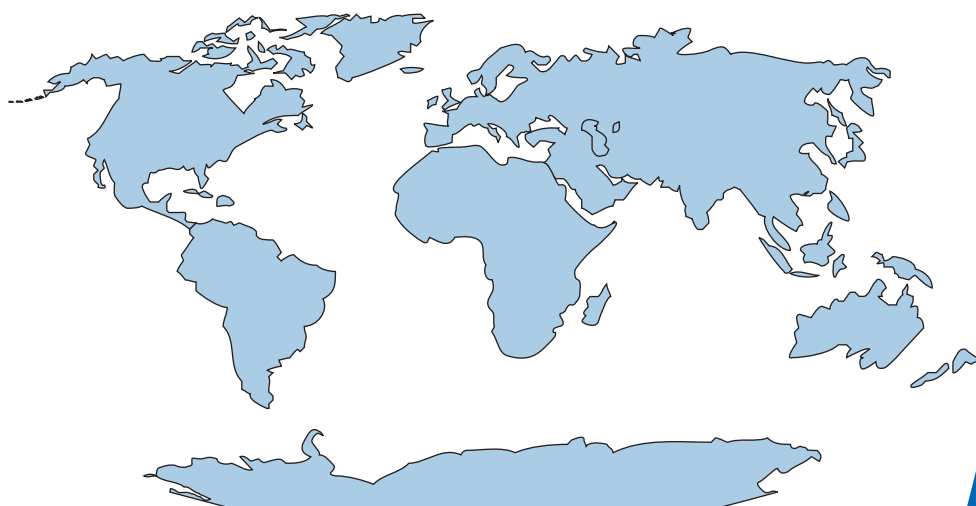


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**FACTORS INFLUENCING THE ADOPTION OF MANAGEMENT SUPPORT OF TQM IN SERVICE DELIVERY BY NGOS IN KENYA: CASE OF ACE AFRICA, BUNGOMA****Leonard Momos Juma<sup>1</sup> and Lylian Wafula Namukhasi<sup>2</sup>**Scholar<sup>1</sup>, Department of Business Administration and Management, Kibabii University, KenyaScholar<sup>2</sup>, Department of Extramural Studies, University of Nairobi, Kenya**ABSTRACT**

*This study sought to investigate the factors influencing the adoption of total quality management principles by NGOs in Kenya: case of ace Africa. The study specifically sought to determine the influence of management support in the adoption of TQM in NGOs. This study adopted a descriptive design. The population of study included all the staff of Ace Africa which was 199 (Ace Africa documents). The study collected primary data using questionnaire. A pilot test was conducted to test for validity and reliability of instruments. The quantitative data was analyzed using descriptive statistics which included frequency, percentages. Data was presented using frequency distribution tables. SPSS was used in the analysis of data. The study found that 84(43%) of the respondents strongly disagreed that there was employee involvement in the organization decision making process, 73(38%) strongly disagreed that there was employee motivation, The study also found that 103(53%) of the respondents said that the organization did not have effective framework for on Strategic planning which could influence the success of projects, moreover, 52(78%) strongly disagreed that the organization had staff with sufficient knowledge on TQM which is a major setback on adoption of TQM.*

*Keywords: Employee involvement; Motivation of employee; Strategic planning; TQM in Service Delivery*

**BACKGROUND OF THE STUDY**

Most institutions and organizations are trying to satisfy their customer's needs and expectations. This can only be achieved through, improvement in product quality, increased customer satisfaction, and continuous improvement towards world class organizations. These challenges prevailed upon institutions around the world to change their old traditional quality systems, and implement new quality approaches to deliver high quality goods and services.

The concept of TQM came into existence in 1970s when evolution of quality took a strategic shift from quality control to a strategic approach of quality to take care of the growing concern for quality. Quality management has evolved through Quality Inspection, to Quality Control, to Quality Assurance then to the current Total Quality Management (Kenya Institute of Management, 2009).

To be successfully implementing TQM an organization must concentrate on 8 key elements; Ethics, integrity, trust, training, teamwork, leadership, recognition, communication. Quality ensures things are done right the first time and defects and wastes are eradicated from operation. The simple objective of TQM is "do the right things, right the first time, every time." TQM is a way of managing to improve the effectiveness, efficiency, cohesiveness, flexibility and competitiveness of a business as a whole. As defined by British standard institution, TQM consists of "management philosophy and company practices which aim to harness the human and material resources of an organization in the most effective way to achieve the objective of the organization. (Chaston, 1994).

After World War II, Japan experienced a quality crisis and to construct the economy, the Japanese set out to improve quality. Starting 1960, the first quality circles were formed to promulgate quality improvements. TQM had advanced and developed through the influence of many differing factors. Mc Adam (2000) noted that the influencing development factors had transformed the TQM philosophy. Hence, it can be summarized, that throughout this development period, TQM has moved from a predominantly narrow and mechanistic approach to more subjective and broader organizational philosophy.

"If Japan be an example", Deming wrote "then it is possible that any country with enough people and with good management, making products suited to their talents and to the market need not be poor. Abundance of natural resources is not a requirement for prosperity. The wealth of a nation depends on its people, management and government, more than on its natural resources.

The problem is where to find good management. It would be a mistake to export American management to a friendly country." (Deming, 1996, p. 16) What contributed to the success of the quality concept in Japan is its national culture to which the idea of a quiet, gradually evolving quality was a more familiar concept than the American approach involving radical and dramatic quality improvements. Unlike many other management theorists, Peter Drucker particularly pointed out the importance and the role of a nation's business culture,

advising: “Don’t change corporate culture: use it”. The Japanese, being more than an instructive example of this (and many other areas), best demonstrated the importance of understanding and applying this. After the Second World War, they adopted Deming’s ideas in their organization and business system.

This resulted in the country becoming the global leader in quality (Kelly, 1997, s.111). Even before Deming, Japanese companies had the philosophy which essence was in gradual but constant business improvements taking one small step at the time. Total quality management is a system initially designed to implement kaizen, the Japanese business philosophy that covers three basic principles (Hindle, 2006, p. 89): From its appearance until nowadays, total quality management in Japan was more of a philosophy than a formal process (Janićijević, 2004, p. 184). One way or another, the kaizen philosophy is embedded into each human activity in Japan. As M. Imai said: “When applied to the workplace, Kaizen means continuing improvement involving everyone - managers and workers alike

The Japanese are so obsessed with high quality that they almost “celebrate” when they find an error, since it serves them as an additional incentive for further improvements (Raković, 2006, p. 42). However, sometimes the occurrence of an error with the Japanese may be fatal. When passengers of the Japan Airlines poisoned with food during a flight to Europe, the man responsible for catering at the Japan airport committed suicide (Smith, 2002, p. 488). Many similar examples can be found in different areas. “In US organizations, decisions are made primarily by people and usually only a few people are involved. Consequently, after the decision has been made, it has to be sold to others, often to people with different values and different perceptions of what the problem really is and how it should be solved. In this way, the decision making is rather fast, but its implementation is very time-consuming and requires compromises with those managers holding different viewpoints.

The decision that is eventually implemented may be less than ideal because of the compromises necessary to appease those with divergent opinions. It is true that decision responsibility can be traced to people, but at the same time, this may result in a practice of finding “scapegoats” for wrong decisions. In all, the decision power and the responsibility is vested in certain people in U.S. companies, while in Japan people share both decision power as well as responsibility.” (Wehrich, 1998, pp. 227–229) Since individualism and competitive spirit are key characteristics of the US culture, a separate law enacted in 1987 established the U.S. Malcolm Baldrige National Quality Award.

According to David & Gunaydin (1997), the advantage of TQM in construction sector has increased competition, improved product quality and reduced the cost of building. Thus, one of the key challenges for Saudi construction sectors is how to improve material properties to meet Saudi Standards and Quality Organization (SASO) through adopting TQM as an effective strategy. A research conducted in Saudi Arabia by Umair Mazher<sup>1</sup>, Behrooz Gharleghi<sup>1</sup>, Benjamin Chan Yin Fah, 2015 was to identify the main factors that affect the implementation of TQM approach in construction sector of Saudi Arabia. This research also aimed at investigating the fundamental elements of TQM at the top management in Saudi construction sectors and as well as to achieve the best implementation and high quality outputs.

In Libya, during the past few years, the manufacturing and business sector have developed due to Libya’s pivotal position in the global economy as an oil country. This development has led to the establishment and growth of manufacturing and business sectors especially after lift of The UN sanctions in 2003. At present, Libya is emerging from the revolution that overthrow Gaddafi regime in August 2011, which creates a competitive business environment and numerous business opportunities for new investments in different sectors of the economy.

Libyan Iron & Steel Company (LISCO) is one of the largest companies in Libya. It operates nine large plants with a capacity to produce about 1,324,000 Tonnes/year. The company is trying to cope with the severe competition with international firms in both developed and developing countries by implementing the latest quality philosophies and techniques. Keeping the above in mind, this paper aims to evaluate TQM implementations in Libyan Iron & Steel Company (LISCO), and identify factors that are critical for the implementation of TQM (Arshida, 2013)

In Rwanda for instance, a number of buildings have been reported to have collapsed due to quality issues, a building collapsed in Nyagatare District Eastern Province in 2013, killing six people and injuring 30 others. Report by RHA 2013, indicates that most of the buildings collapse due to poor supervision, poor construction procedures and poor inspection. A multistorey block at the University Of Rwanda College Of Science and Technology, formerly the Kigali Institute of Science and Technology (KIST), is out of bounds after it developed cracks in what appears to be a structural failure, (New times May 25, 2014).

To respond to these failures, most organizations have resorted to adopt and implement operations management strategies that have been seen to work elsewhere in as much as quality management is concerned. However, this has not been successful (Salaheldin, 2008). Following the challenges to the construction industry raised above, the Rwanda Housing Authorities recommended to construction companies to adopt and implement TQM.

The adoption of the TQM approach in the Rwandan market should enhance the project and task quality, increase productivity and profitability, employee and client satisfaction, and augment company reputation by being able to compete globally with high quality standards.

Rwanda has registered high achievements in all sectors of the economy since 1994. The construction industry as a distinct sector, which makes a significant contribution to Rwanda's GDP, serves as a central delivery mechanism in the generation and quality of all economic and social development activities in Rwanda. In recognition of this role the Government has committed to pursue policies that encourage and facilitate the growth of the sector. Report by Rwanda Bureau of standard 2011 shows that most organizations in Rwanda, especially the ones in service industry have in the recent past adopted quality programs. Most public companies have for instance adopted the ISO standards e.g. Bralirwa and Intersec security among others (RDB 2012).

In Kenya, organizations have been encouraged to adopt Total Quality Management (TQM) to ensure ability to meet customer demands as well as provide quality services in a manner that addresses their range of financial, environmental and social concerns (Oruma, 2014). A research by Agnes Chepkoech on factors influencing implementation of total quality management in manufacturing firms: a case of Bidco oil refineries limited, Thika Kenya found that correlation analysis showed there was positive linear correlation between Top Management Commitment and Implementation of TQM. The results of regression analysis showed that Top Management Commitment coefficient was significant in the model and thus Top Management Commitment affects Implementation of TQM and positive linear correlation between organization culture and Implementation of TQM.

### **STATEMENT OF THE PROBLEM**

The World Bank Report 2004, states that poverty presents itself in different forms including: inadequate food, lack of safe drinking water, poor or lack of sanitation facilities, health, shelter, education, information and access to services. NGOs have a role to work with the government ministries to ensure this precious needs are met, therefore, NGOs provides products and services to its beneficiaries in order to empower them, the quality of service is measured in terms of time and timeliness, completeness, courtesy, accuracy, and consistency and responsiveness of the service offered. The quality of product is measured in terms of serviceability, aesthetics, safety performance, reliability, conformance and durability. This products and services are meant to contribute to reduction of poverty. However, despite the increased number of Non-Governmental Organizations engaged in the fight against poverty in Kenya, there has been an upsurge in the poverty levels in the country, a situation complicated by the perennial drought and famine in arid and semi-arid areas (Omondi, 2008). The qualities of products and services provided by the NGOs are therefore questionable because of low impacts. The benefits of the adoption of TQM programs are improved quality of products, efficient production systems, improved performance and customer satisfaction (Evans, 2008; Evans and Lindsay, 2008; Yang, 2006). Therefore ACE Africa has implemented the TQM program in service delivery in Bungoma South Sub-County.

### **OBJECTIVES OF THE STUDY**

To establish how management supports, influence the adoption of TQM in the service delivery by Ace Africa.

### **RESEARCH QUESTION**

How does management support influence the adoption of TQM in service delivery by Ace Africa?

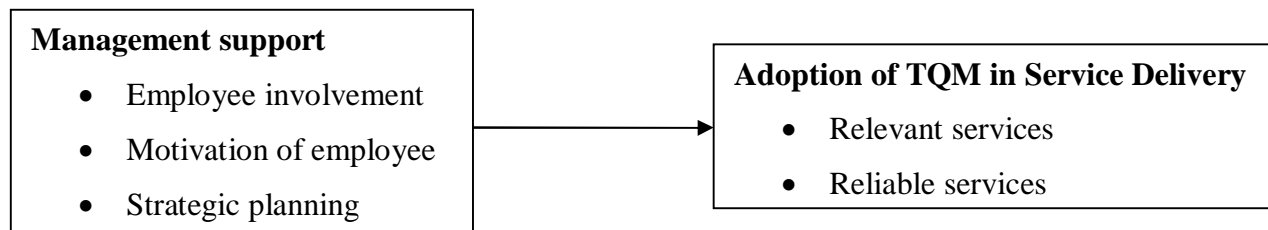
### **SIGNIFICANCE OF THE STUDY**

Poverty reduction programs should be life changing and achieving positives outcomes in the communities. TQM is one of the methods employed by institutions to improve services for the beneficiaries. Information from this study will therefore inform the County Staffs on best strategies to employ to enable them gain optimum positive feedback from employing TQM measures. Policy makers such as regulatory institutions in the community development project sector will gain insight from this study regarding challenges facing implementation of TQM in County projects. This will help inform the standards and quality assurance all the departments in NGOs. Information from this study will provide information to the beneficiaries on TQM of NGOs to enable them understand and appreciate measures taken by these institutions in line with TQM and institutional performance. To the researcher and academicians; information from this study may help them appreciate the contribution of various factors in successful adoption of TQM in NGOs in Kenya. This may create interest to students who would wish to carry further research on TQM and its implementation. The

information from this study may also form literature for other researchers in Kenya who are willing to carry out studies in the same area.

### CONCEPTUAL FRAMEWORK

The study was guided by a conceptual framework in a diagrammatic representation containing all variables and indicators



### LITERATURE REVIEW

#### Management support and adoption of TQM in service delivery

Involving employees entails seeking their input in decision making and ownership of the processes and products they are responsible for (Goetsch and Davis, 2013). Employees' involvement in every level should be encouraged. The involvement of the people in the organization will ensure the success of TQM program (Naidu, et al, 2006). The involvement of employees in making decisions that satisfy customers without constraining them with bureaucratic rules is fundamental for developing a quality culture (Evans and Lindsay, 2008). Employee involvement in a Total Quality environment is a tool for improvement. It enhances creativity and initiative, values necessary for TQM practice of continual improvement (Goetsch and Davis, 2013). Deming's (1986) 14th point of quality underscores the need to put everybody in the company to work to accomplish the transformation. This emphasizes the role of employee involvement in TQM programs implementation.

TQM supports the idea that quality is the responsibility of all employees and not just quality managers (Basu, 2004). Employees who are allowed to participate in decisions that affect their jobs and are empowered through delegation and training, make substantial contribution to the success of TQM programs (Evans and Lindsay, 2008; Goetsch and Davis, 2013; Shahraki, et al 2011; Yang, 2006). An employee who is involved in quality implementation in the organization will care as much or even more about the quality of the work than the supervisor (Goetsch and Davis, 2013). Facilitating employees' involvement is the responsibility of the management in total quality - environment. Employees should be physically, intellectually, and emotionally involved (Goetsch and Davis 2013).

The management must provide an open, non-threatening, and creative environment that encourages employee involvement; expects employees to think; recognizes employee value; and honours employee ownership of processes, products, and services (Goetsch and Davis, 2013). Employee participation and involvement is one of the fundamental human resource practices that help to achieve world class quality (Shahraki, et al, 2011). TQM means taking on greater responsibility (Snape et al, 1995). Therefore, for quality initiatives to work there must be sufficient participation of all employees in quality decisions (Shahraki *et al*, 2011). Studies done by Yang (2006) reveal that employee involvement has great influence on the implementation of TQM programs such as the adoption of new quality concepts, the set-up and practice of customer satisfaction systems, a change in culture, and quality control circle. The workforce may demonstrate resistance when total quality programs are "installed" without their involvement. This resistance is justifiable because TQM programs demands high level skills, abilities, quality attitude and commitment (Naidu et al, 2006). When managers give employees the tools to make good decisions and the freedom and encouragement to make contributions, they virtually guarantee that better quality products and production processes will result (Evans and Lindsay, 2008). In order to meet company's quality goals an organization requires an involved workforce (Evans, 2008). Quality should be understood in the same spirit and language both by the management and the employees, otherwise implementation becomes difficult (Janakiranan and Gopal, 2006). This congruence and unity is achieved if the workforce is fully involved in programs implementation. Juran (1989) indicated that the workforce should be involved in quality control through delegation as much as possible.

One of the major strategies of motivation and retention of employees in HRM is through the reward and compensation system (Noe et al, 2009). Retention of quality employees requires renewed approach to rewards as labour market remains competitive. A good compensation system has positive impact on implementation of TQM (Allen and Kilmann, 2001). Deming (1986), however, considers recognition rather than reward as

important. Rewards are viewed as being inhibitive of teamwork as it focuses on the individual (Snell and Dean, 1994). However, reward and recognition system should be such that it supports TQM. It should harness teamwork, commitment, involvement, and not individual (Yang 2006). Special recognition and rewards can be monetary or non-monetary, formal or informal, individual or group. Rewards should lead to behavior that increases customer satisfaction and quality. Recognition provides a visible means of promoting quality based on measureable objectives (Evans, 2008).

Ehigie and Akpan (2005) in their studies did not find a positive relationship between reward level and TQM implementation. However, they found that when rewards are accompanied by desirable leadership, the employees are motivated to support the TQM program. Thus, an alignment between reward systems and TQM programs implementation is necessary (Ehigie and Akpan, 2005). Deming (1986) advocates for award schemes as a way of recognizing outstanding performance or achievement. These awards may involve prizes with financial value but the purpose of these schemes is to provide public recognition. Goetsch and Davis (2013) say that employees need to be recognized for their contribution. Yang (2006) reveals that incentive compensation has greatest effect on many TQM programs such as the adoption of usage of SQC, customer service system, daily management, and culture change and development. The most successful compensation systems combine both individual and team pay (Goetsch and Davis, 2013). Rewards should be proportional to performance (Goetsch and Davis, 2013). Therefore, employees must cooperate and share knowledge so that the entire group can meet its performance targets. Group incentives include gain sharing, bonuses, and team awards (Noe et al, 2009). Extrinsic and intrinsic rewards are key to sustained individual efforts (Evans and Lindsay, 2008).

Quality organizations use quality measures such as customer satisfaction, defect prevention, and cycle time reduction to make compensation decisions (Evans and Lindsay, 2008). Compensation for individuals may be tied to the acquisition of new skills, often within the context of a continuous improvement program (Evans and Lindsay, 2008). Sincere non-monetary recognition is valued more by employee, than money or gifts, which can often create resentment (Evans and Lindsay, 2008). Deming (1986) focus on "pride and Joy" is reinforced by recognition of employees' efforts. Evans and Lindsay (2008) identify key practices that lead to effective employee recognition and rewards: giving both individual and team awards; involving all employees; tying rewards to quality based on measurable objectives; allowing peers and customers to nominate and recognize superior performance; publicizing extensively; and making recognition fun.

Leadership is possibly the most important element in TQM. It appears everywhere in organization. Leadership in TQM requires the manager to provide an inspiring vision, make strategic directions that are understood by all and to instill values that guide subordinates. For TQM to be successful in the business, the supervisor must be committed in leading his employees. A supervisor must understand TQM, believe in it and then demonstrate their belief and commitment through their daily practices of TQM. The supervisor makes sure that strategies, philosophies, values and goals are transmitted down throughout the organization to provide focus, clarity and direction. A key point is that TQM has to be introduced and led by top management. Commitment and personal involvement is required from top management in creating and deploying clear quality values and goals consistent with the objectives of the company and in creating and deploying well defined systems, methods and performance measures for achieving those goals. Top management support is the single most important factor needed for implementation of TQM for IS and better quality of services is presumed to be the most important benefit realized by the firm (Siddiqui and Rahman, 2006). However, it should be noted that sometimes, TQM is not directly absorbed by managers, but they tend to see it from the technical point of view, being aware only of the importance of its "hard" aspects (Psychogios and Priporas, 2007).

One way of seeing quality is to define it as conformity, consistency, or the reduction/absence of variation. This means that quality implies the existence of systematized planning, routine making and checks, capable of keeping processes within predetermined limits. Strategic quality plans are the glue that holds companies' quality effort together (Garvin, 1991). As is the case in any process instigated by management and put into action from the top down, planning follows a track. That is, there no place for out-of-the-box thinking, or seeking solutions that is not part of the plan. In this sense, quality management can be taken to mean rigorous planning and reduction of uncertainty.

The recourse to plans, programs, multi-point data checklists, or statistical control systems is the most visible part of quality's management by planning. The process of the planning itself enables organizations to identify their customers' needs and requirements, prioritize their requirements, make employees fully aware and become committed to the quality goals of their organizations (Harrington, 1997). Recently, it has been argued that Enterprise Resources Planning systems implementation can be successful if it is preceded by a TQM focus (Li

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## METHODOLOGIES

The study was conducted in Bungoma a Case of ace Africa. The study specifically sought to determine the influence of management support; Employee involvement; Motivation of employee; Strategic planning in the adoption of TQM in NGOs. This study adopted a descriptive design. The population of study included all the staff of Ace Africa which was 199 (Ace Africa documents). The study collected primary data using questionnaire. A pilot test was conducted to test for validity and reliability of instruments. The quantitative data was analyzed using descriptive statistics which included frequency, percentages. Data was presented using frequency distribution tables. SPSS was used in the analysis of data. The study found that 84(43%) of the respondents strongly disagreed that there was employee involvement in the organization decision making process, 73(38%) strongly disagreed that there was employee motivation, The study also found that 103(53%) of the respondents said that the organization did not have effective framework for on Strategic planning which could influence the success of projects, moreover, 52(78%) strongly disagreed that the organization had staff with sufficient knowledge on TQM which is a major setback on adoption of TQM.

## FINDINGS AND DISCUSSIONS

### Management support and the adoption of TQM principles in service delivery

This section looked at how management support influences the adoption of TQM principles, among the indicators to be discussed include; employee involvement, motivation and strategic planning.

### Employee Involvement

The researcher wanted to know the opinion of respondents about whether or not the involvement of the employees in the organization promoted service delivery. Therefore, respondents were asked to state how much they agreed or disagreed. The results are tabulated in table 4.4 below.

**Table 4.4 : Effective employee involvement**

Level of Agreement	Frequency	Percentage
Strongly disagree	84	43
Disagree	74	38
Neither agree nor disagree	16	8
Agree	17	9
Strongly agree	3	2
<b>Total</b>	<b>195</b>	<b>100</b>

Out of 195(100%), 84(43%) strongly disagreed, 74(38%) disagreed, 16(8%) neither agreed nor disagreed, 17(9%) agreed, while 3(2%) strongly agreed.

The results in table 4.4 shows that majority of the respondents 84(43%) strongly disagreed that there was employee involvement in the organization. A research done by Naidu, et al, (2006) stated that the involvement of the people in the organization will ensure the success of TQM program. Therefore, lack of involvement of employee will have negative consequences on the success of projects



### Employee Motivation

The researcher sought to know the opinion of respondents about whether or not the organization motivated the employees. Therefore, respondents were asked to state how much they agreed or disagreed with the statement that there was effective employee involvement. The results are tabulated in table 4.5 below.

**Table 4.5 : There is effective employee motivation**

Level of Agreement	Frequency	Percentage
Strongly disagree	73	38
Disagree	89	46
Neither agree nor disagree	15	8
Agree	14	7
Strongly agree	3	2
<b>Total</b>	<b>195</b>	<b>100</b>

Out of 195(100%), 73(38%) strongly disagreed, 89(46%) disagreed, 15(8%) neither agreed nor disagreed, 14(7%) agreed, while 3(2%) strongly agreed.

The results in table 4.5 shows that majority of the respondents 73(38%) strongly disagreed that there was employee motivation in the organization. A research done by Goetsch and Davis, (2013) shows that of employee motivation is an essential factor for the success of the project.

### Effective organization strategic planning

The researcher sought to know the opinion of respondents about whether or not the organization had a strategic plan. Therefore, respondents were asked to state how much they agreed or disagreed with the statement that there was effective strategic plan. The results are tabulated in table 4.6 below

**Table 4.6 : There is effective organizational strategic planning**

Level of Agreement	Frequency	Percentage
Strongly disagree	13	7
Disagree	52	27
Neither agree nor disagree	72	37
Agree	58	30
<b>Total</b>	<b>195</b>	<b>100</b>

Out of 195(100%), 13(7%) strongly disagreed, 52(27%) disagreed, 72(37%) neither agreed nor disagreed while 58(30%) agreed.

The results in table 4.6 shows that majority of the respondents 72(37%) neither agreed nor disagreed that the organization had an effective strategic plan. A research done by Evans and Lindsay, (2008) shows that lack of strategic plan can be detrimental in the success of the project.

### CONCLUSION AND RECOMMENDATION

A research done by Goetsch and Davis, (2013) showed that of employee motivation is an essential factor for the success of the project. Therefore, with lack of employee motivation, positive results can hardly be achieved. The results in table 4.6 which was on strategic planning showed that majority of the respondents 72(37%) neither agreed nor disagreed that the organization had an effective strategic plan. A research done by Evans and Lindsay, (2008) shows that lack of strategic plan can be detrimental in the success of the project. The results in table 4.7. shows that majority of the respondents 69(35%) disagreed that there was effective framework for staff needs assessment. As reported by Besterfield (2008), employee training plays an important role for organizations so as to improve employee skills and their work flow, as well as accelerating organizational performance that provide quality and customer satisfaction.

The role of management support in the adoption of TQM principles. The findings showed that the organization had opinions on strongly disagreeing the statements about the availability of management support.

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## **WOMEN ENTREPRENEURSHIP IN UNORGANIZED SECTOR: PROBLEMS AND CHALLENGES**

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### **ABSTRACT**

*Women entrepreneurs in India represent a group of women who are exploring new avenues of economic participation in productive activities to play a pivotal role in the development of the economy. In unorganized sector majority of businesses are traditional and related to primary sector. As the unorganized sector suffers from cycles of excessive seasonality of employment, the major problem faced by women engaged in business is seasonal work. In rural areas, the unorganized labor force is highly stratified on caste and community considerations. Workers in the unorganized sector are usually subject to indebtedness, exploitation significantly by the rest of the society, poor working conditions especially wages etc. Large scale ignorance, illiteracy, limited exposure to the outside world, inadequate and ineffective labor laws are also responsible for poor absorption in unorganized sector. The unorganized women in various sectors of economic and commercial activities like manufacturing, trading and service sectors face so many problems like unavailability of raw material, lack of funds, personal family problems etc. Women at small business are not professionally managed. Some of the common problems they face are male dominated society, dual commitment towards family and business, social restrictions, lack of education, lack of confidence, restricted mobility, lack of proper infrastructure such as space and electricity etc. These are the reasons for low productivity and profitability of business.*

*In today's scenario of business it is a big challenge for women in unorganized sector to establish themselves as a successful entrepreneur. The major challenges before them are family and social restrictions, problem of finance, lack of education, and training and knowledge. If the Government, NGOs, SHGs come forward to provide them a platform to overcome from these challenges, the unorganized women who have stiff potential for work can come forward and undoubtedly they can give a new direction to the Indian unorganized business in terms of productivity, growth and development.*

*Keywords: Business, Challenge, Entrepreneurs, Problem, Unorganized Sector*

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### **INTRODUCTION**

An entrepreneur is a person who undertakes the task of bringing together various resources and manages them to achieve desired results and take some share (Danabakyam & Kurian, 2012). An entrepreneur can also be defined as "the agent who buys means of production at certain prices in order to combine them into a product that he is going to sell at prices that are uncertain at the moment at which he commits himself to his costs". According to Schumpeter, "Entrepreneurship is based on purposeful and systematic innovation. It included not only the independent businessman but also company directors and managers who actually carry out innovative functions" (Schumpeter, 1959). Peter F. Drucker defined, "an entrepreneur is the one who always searches for change, responds to it and exploits it as an opportunity. Innovation is the specific tool of entrepreneurs, the means by which they exploit changes as an opportunity for a different business or different service" (Drucker, 1993). In the opinion of A.H. Cole, "Entrepreneurship is the purposeful activity of an individual or a group of associated individuals, undertaken to initiate, maintain or aggrandize profit by production or distribution of economic goods and services" (Cole, 1959). In a conference of Entrepreneurship held in United States, the term "entrepreneurship" was defined as, "Entrepreneurship is an attempt to create value through recognition of business opportunity, the management of risk-taking appropriate to the opportunity and through the communicative and management skills to mobilize human financial and material resources necessary to bring a project to fruition" (John and Stevenson, 1984).

The person who leads this activity that is entrepreneurship, is known as entrepreneur. Most entrepreneurs in India function in the unincorporated or unorganized (informal) sector which accounts for 99% of all firms (Table 1). Unincorporated and unorganized enterprises are firms of small size that are not covered by most employment and social protection laws. Data with gender classification for these small enterprises is obtained from NSSO surveys about every five years for manufacturing and service enterprises.

**Table – 1: Distribution of firms in India by status in 2006-2007**

Manufacturing			Services		
Firm type	Count in Thousands	Percentage of Total	Firm Type	Count in Thousands	Percentage of Total
Organized	140	1	Incorporated	68	1
Unorganized	17,068	99	Unincorporated	6,661	99

Source: Manufacturing: NSS 62nd and ASI, 2005-2006 Services: NSS 63rd, 2006-2007.

The number of female entrepreneurs has doubled over the past ten years to about 10 million outside the agricultural sector (Table 2) mostly due to the rise in enterprises without hired workers. Their share rose in all sectors, and women now account nearly half of total entrepreneurs without workers in manufacturing. In services and trade their shares have also grown but remained modest at about 10% of total.

**Table – 2: Female and Male Entrepreneurs in India**

Female Entrepreneurs in % of All Entrepreneurs				Count in Thousands					
	2000	2005-06	2010	2000		2005-2006		2010	
				Male	Female	Male	Female	Male	Female
<b>Entrepreneurs with Workers</b>									
Manufacturing	6	6	5	1,743	113	2,136	148	2,542	142
Trade	4	N/A	3	1,774	76	N/A	N/A	2,728	81
Services	6	8	6	1,402	95	1,885	158	2,762	188
<b>Entrepreneurs without Workers</b>									
Manufacturing	29	43	46	8,637	3,448	8,275	6,129	7,591	6,542
Trade	6	N/A	10	14,210	945	N/A	N/A	15,693	1,770
Services	6	9	8	8,623	598	11,702	1,153	13,874	1,282

Source: Various NSS rounds

## REVIEW OF LITERATURE

To study the profile, characteristics, problems and challenges before women entrepreneurs in unorganized sector of India the researcher has studied lot of secondary literature. Due to huge availability of literature in the form of books, journals, reports, website articles etc., only a few latest studies have been mentioned below in brief:

According to Bhatnagar (2011) initially presence of women was more in agriculture, forestry, fishing, plantation and allied activities. The seasonality of work in this sector and the lack of other avenues of work made them vulnerable. But now there is a shift in the trend. Today they are predominant in various industries such as garment textile, food and electronics.

Mahadev (2012) in Mumbai prominently observed that women faced various problems such as lack of finance, harassment by police and local politician, competition, labor turnover, lack of information along with gender related problems like underestimation by society, harassment by male entrepreneurs, managing family and business etc. Further she found that majority of small scale women entrepreneurs utilized household savings and borrowed funds from relatives and friends. Very few small scale women entrepreneurs took loans from banks. It was observed that there was lack of awareness among the respondents about government as well as banking schemes initiated to promote them. The study suggested to bridge the communication gap between banks and small scale women entrepreneurs through campaign for financial inclusion.

Palaniappan, *et. al.* (2012) analyzed the motivational factors and other factors that influence women to become entrepreneurs, the major strength and weakness of women entrepreneurs and the environmental opportunities and threats which promote the entrepreneurship, and to offer suggestions to promote women entrepreneurship of selected districts in Tamil Nadu. This study concluded that due to lack of training and education they are not able to survive in the market. Finance is also the major problem for women entrepreneurs.

Gawade (2013) visualized that rural entrepreneur is one of the most important inputs in the economic development of a country and of regions within the country. Rural entrepreneur uses the scarce resources in the most efficient manner thereby increasing profits and decreasing costs. Due to lack of education, majority of rural people are unaware of technological development, marketing etc. Shortage of finance and raw materials are main problems faced by rural entrepreneurs. Most of the rural entrepreneurs face peculiar problems like illiteracy, fear of risk, lack of training and experience, limited purchasing power and competition from urban

entrepreneurs. Promotion of rural entrepreneurship is a key to develop rural areas and backward towns. The problem is that most of the rural youth do not think of entrepreneurship as the career option. Therefore, the rural youth need to be motivated to take up entrepreneurship as a career, with training and sustaining support systems providing all necessary assistance.

D'Souza (2013) discussed on role of entrepreneur and challenges before the present youth in taking up such job in unorganized sectors as self-employment. It highlights about present scenario of unorganized sector, status, role of entrepreneur in creating interest for self-employment, challenges and problems faced in selecting self-employment.

Krishnamoorthy and Balasubramani (2014), identified the important women entrepreneurial motivation factors and its impact on entrepreneurial success. The study identified ambition, skills and knowledge, family support, market opportunities, independence, government subsidy and satisfaction are the important entrepreneurial motivational factors. The study also concluded that ambition knowledge and skill independence dimensions of entrepreneurial motivational has significant impact on entrepreneurial success.

### **WOMEN ENTREPRENEURS IN INDIA**

The Government of India has defined women entrepreneurs based on women participation in equity and employment of business entrepreneurs. Accordingly, a woman entrepreneur is defined as "an enterprise owned and controlled by a woman having a minimum financial interest of 51 per cent of the capital and giving at least 51 per cent of employment generated in the enterprise to women". "A woman entrepreneur is a person who is enterprising individual with an eye for opportunities, and an uncanny vision, commercial acumen, with tremendous perseverance and above all a person who is willing to take risks with the unknown because of the adventurous spirit they possess" (Chavan & Murkute, 2016). Women entrepreneurs are those women who generate business ideas, identify profitable business opportunities, assemble the necessary resources, combine the factors of production, undertake risks and use their business skills to operate the enterprise for the purpose of generating profit, income and growth.

### **UNORGANIZED WOMEN ENTREPRENEURS AND THEIR PARTICIPATION**

India being one of the fastest growing economies, the economic contribution of women is also growing at a steady pace. Most Indian women by and large undertake "productive work" under the economic compulsion but indirectly start playing important role in development of the country. A large number of women are involved in the unorganized sector. Women entrepreneurship in India represents a group of women who are exploring new avenues of economic participation. Women's emancipation and their participation in productive activities in economy plays important role in determining the level of development. It has been six decades since the process of the planned economic development of the Indian economy was set in motion. Over the years significant progress has been achieved by India. Despite numerous achievements there are glaring problems that have continued throughout this period viz. poverty and unemployment. In addition to these major problems there are other persisting problems as well such as imbalanced development, low levels of literacy and skill development, indebtedness, housing etc. In short the development experience of India has been a mix bag of opportunities as well as various kinds of neglects and deprivation. Women are the worst sufferers in this scenario.

One of the catalytic forces fostering initiative, promoting and maintaining economic activities and distribution of wealth is "Entrepreneurship". No country yet has achieved prosperity without entrepreneurship (Sudha, 2007). The economic development of a nation is sparked largely by its enterprising spirit. For effective economic development, new business in low-income areas must be started through local initiatives. Thus, entrepreneurship is crucial for maintenance of healthy economy. The researchers have suggested that presence of small scale, locally controlled enterprises can help to determine whether communities prosper or decline (Robinson *et. al.*, 2004). Entrepreneurs have potential of utilizing resources and creating employment opportunities. They are key persons of any country for promoting economic growth and technological change. They act as an engine of economic growth, job creation and prosperity of the society. Hence developing entrepreneurship in the country can help in solving the problems of regional imbalance, unemployment and optimum allocation of resources. (Tayappa & Gorakhnath, 2015) The key factors in determining the success of development is the position of women in the society. The socio-economic development of a nation cannot be fully realized as long as its women are confined to a subordinate position and their talents are unexplored.

Women with small families are likely to be entrepreneurs. Many women entrepreneurs belong to low income group. Many women become entrepreneurs because of economic necessity. Women are hardworking and self-confident. Women entrepreneurs are security oriented than growth oriented. Women prefer stabilized income and minimization of risk. Though the trend is changing still there are so many organizations owned by women

but run by men. In the field of technology women have made a conscious decision to set up technology based industries.

### ESTABLISHMENTS UNDER WOMEN ENTREPRENEURSHIP

The total number of establishments owned by women entrepreneurs was 8,050,819 out of which 5,243,044 constituting about 65.12 % of the total establishments were located in rural areas and the remaining 2,807,775 (34.88%) were located in urban areas. Further, about 6,697,354 establishments i.e., 83.19% operated without hired workers and 1,353,465 (16.31%) operated with hired workers. The percentage of establishments without hired workers in rural areas was 86.85% whereas, in urban areas, it was 76.33%. The number of women establishments involved in agricultural activities was 2,761,767 constituting 34.3 % of the total number of establishments owned by women. The details of top ten states in terms of percentage share in total number of women owned establishments in the country are mentioned in Table 3 where Uttar Pradesh stands at eighth position.

**Table – 3: State/ UT wise Distribution of Establishments under Women Entrepreneurship**

States	Percentage Share of Establishments
Tamil Nadu	13.51
Kerala	11.35
Andhra Pradesh	10.56
West Bengal	10.33
Maharashtra	8.25
Karnataka	6.78
Gujarat	6.57
Uttar Pradesh	5.99
Telangana	4.43
Odisha	3.10

Source: MSPI, All India Report of Sixth Economic Census, 2016, p 106

When we talk about distribution of the establishments run by women entrepreneurs in different states by their religion, the following table 4 given below shows that there are total 482379 establishments in Uttar Pradesh which are being run by the women entrepreneurs. Out of 482379, majority of establishments (271250) are being run by Hindus, 113940 by women who are Islamic by their religion. Only 52 establishments are being run by Parsi. (Table - 4)

**Table – 4: State/ UT wise Total Number of Establishments under Women Entrepreneurship by Religion of Owner**

State/UT	Hindu	Islam	Christian	Sikh	Buddhist	Parsi	Jain	Others	Total
J&K	5570	17977	87	300	1079	5	111	6163	31292
Himachal Pradesh	44627	649	121	585	1028	1	26	2136	49173
Punjab	42375	1955	740	52684	38	4	171	12954	110921
Chandigarh	4942	241	28	430	1	0	3	138	5783
Uttarakhand	24073	3586	145	496	183	2	83	2851	31419
Haryana	107667	3060	270	7595	13	7	379	5533	124524
Delhi	50622	7498	418	1472	131	12	391	9890	70434
Rajasthan	154476	29824	1086	1676	50	46	3212	57622	247992
Uttar Pradesh	271250	113940	4759	1495	131	52	1144	89608	482379

Source: MSPI, All India Report of Sixth Economic Census, 2016, p 116

After classifying total workers working with women entrepreneurs by their religion, it has been noted that in Uttar Pradesh there are 929105 workers in total out of which 485452 workers are employed under Hindu women entrepreneurs (that is the maximum number of workers), 214588 under Islamic entrepreneurs and 211499 under others. Very small number of workers are working under Christians, Sikhs, Biddhist, Parsi and Jains. This shows that maximum women entrepreneurs who have started their business are Hindu. (Table - 5)



**Table – 5: State/ UT wise Workers Employed under Women Entrepreneurship by Religion of Owner**

State/UT	Hindu	Islam	Christian	Sikh	Buddhist	Parsi	Jain	Others	Total
J&K	21313	27298	182	840	1453	10	249	17722	69067
Himachal Pradesh	58842	850	307	1106	1284	1	47	8086	70523
Punjab	79695	3146	1573	89437	89	4	719	41874	216537
Chandigarh	8117	443	42	110	1	0	7	541	10361
Uttarakhand	46798	5995	628	1099	220	9	177	11077	66003
Haryana	160724	4487	498	10123	18	18	844	31643	208355
Delhi	108811	15035	1120	3618	247	34	1220	29336	159421
Rajasthan	248944	48026	2668	3333	78	85	8369	127832	439335
Uttar Pradesh	485452	214588	9626	4257	232	141	3310	211499	929105

Source: MSPI, All India Report of Sixth Economic Census, 2016, p 117

In India all people are categorized majorly in Schedule Tribes, Schedule Casts, Other Backward Classes and others including General category. According to this categorization women entrepreneurs have also been distinguished and the total number of establishments run by them have also been classified by the social group of owner which has been shown in the table below in case of some specific states including Uttar Pradesh. The table shows that in Uttar Pradesh majority of women entrepreneurs come from OBC (221966), then from others (185909), from SCs (63094) and then from STs (11410 that is the least). (Table 6)

**Table – 6: State/ UT with Total Number of Establishments under Women Entrepreneurship by Social Group of Owner**

State/ UT	No. of Women Establishments by Social Group of Owner					Percentage Share of State/ UT in Women Establishments by Social Group of Owner				
	SC	ST	OBC	Others	Total	SC	ST	OBC	Others	Total
J & K	1829	2044	2576	24843	31292	0.19	0.36	0.08	0.77	0.39
H.P.	10645	2827	6781	28920	49173	1.09	0.5	0.21	0.89	0.61
Punjab	23991	826	14357	71747	110921	2.45	0.15	0.44	2.22	1.38
Chandigarh	2694	127	413	2549	5783	0.27	0.02	0.01	0.08	0.07
Uttarakhand	3953	1714	5732	20020	31419	0.4	0.31	0.18	0.62	0.39
Haryana	20850	1281	33542	68851	124524	.13	0.23	1.02	2.13	1.55
Delhi	10623	2075	10590	47146	70434	1.08	0.37	0.32	1.46	0.87
Rajasthan	27135	14988	114742	91127	247992	2.77	2.67	3.51	2.82	3.08
U.P.	63094	11410	221966	185909	482379	6.43	2.03	6.78	5.74	5.99

Source: MSPI, All India Report of Sixth Economic Census, 2016, p 118

The nature of operations performed by women entrepreneurs have been categorized as perennial, seasonal and casual. If the researched keeps an eye on the number of establishments especially in case Uttar Pradesh run by women entrepreneurs, it has been noticed that majority of establishments (432631) in the state of Uttar Pradesh are engaged in perennial operations, and the least in casual operations (7374). Only 42374 establishments are performing seasonal operations. The data clearly indicate that there is wider scope for the promotion of women entrepreneurs in Uttar Pradesh especially in case of perennial and seasonal activities. (Table 7)

**Table – 7: State/ UT wise Total Number of Establishments under Women Entrepreneurship by Nature of Operation**

State/UT	Perennial	Seasonal	Casual	Total
J&K	23264	7030	998	31292
Himachal Pradesh	36956	8800	3417	49173
Punjab	101598	6944	2379	110921
Chandigarh	5460	256	67	5783
Uttarakhand	27597	2865	957	31419
Haryana	101907	17538	5079	124524

Delhi	66544	2864	106	70434
Rajasthan	214987	29224	3781	247992
Uttar Pradesh	432631	42374	7374	482379

Source: MOSI, All India Report of Sixth Economic Census, 2016, p 113

As it is well known that finance is the life blood of all economic activities. In unorganized sector one of the major problem faced by the women to start their business is finance. At all India level there are various sources of finance for the support of entrepreneurs in rural as well as in urban areas such as self-finance, financial assistance from Govt. sources, financial institutions, money lenders, SHGs etc. In the states of India through these provisions women entrepreneurs can avail of fund for their business when they are in economic crisis. In Uttar Pradesh entrepreneurs give priority to self-financing (in case of 365439 establishments) as the major source of finance, then donations/ transfers from other agencies, then Government sources, borrowing from financial institutions, non-financial institutions and money lenders, and SHGs respectively. The table 6 shows that women entrepreneurs who are self-sufficient for raising funds for their business through self-financing are in majority in Uttar Pradesh. (Table - 8)

**Table – 8: State/ UT wise Total Number of Establishments under Women Entrepreneurship by Major Source of Finance**

State/UT	Self-Finance	Financial Assistance From Govt. Sources	Borrowing from Financial Institutions	Borrowing from Non-Institutions/ Money Lenders	Loan from SHGs	Donations/ Transfers from Other Agencies	Total
J&K	23527	1676	638	933	45	4473	31292
Himchal Pradesh	44084	1242	1351	38	131	2327	49173
Punjab	94246	1808	577	299	94	13897	110921
Chandigarh	5621	117	26	3	1	15	5783
Uttrakhand	27193	1046	582	71	122	2405	31419
Haryana	116069	1495	577	433	117	5833	124524
Delhi	59542	1148	322	239	111	9072	70434
Rajasthan	182371	7912	2599	1325	387	53398	247992
Uttar Pradesh	365439	14561	2565	2327	983	96504	482379

Source: MSPI, All India Report of Sixth Economic Census, 2016, p 115

## FACTORS INFLUENCING WOMEN ENTREPRENEURS

Many researches have focused that the major factors that influence women entrepreneurs in India are economic independence, establishing their own creative idea, establishing their own identity, achievement of excellence, building confidence, developing risk-taking ability, motivation, equal status in society and greater freedom and mobility. (Rao *et. al.*) Entrepreneurship enhances women's social and economic standing. The development of women entrepreneurship has also become an important aspect of our plan priorities. Several policies and programs are being implemented for development of women entrepreneurship in India. Despite of large number of schemes and programs being in vogue in several states of our country, the women entrepreneurs are still experiencing a plethora of problems which are indeed highly vexatious.

Large numbers of women have engaged themselves in self-employed activities of unorganized sector either as home workers or in any other micro entrepreneurial activity to support the income of their families. Many of them are engaged in tiny enterprises. The unorganized sector has increased tremendously over the years and has been absorbing excess labor force. There is absence of proper basic facilities for their progress.

## PROBLEMS FACED BY WOMEN ENTREPRENEURS IN THE UNORGANIZED SECTOR

Women face multiple problems while conducting their business. The problems experienced by respondents result in restricting their expansion. On occupational front it is seen that women entrepreneurs have confronted several problems while starting their business.

## PROBLEM OF FINANCE

The biggest problem faced by the respondents at initial stage is related to finance (Palaniappan, *et. al.*, 2012). Some women manage to get financial support from their family and friends whereas few of them start their business by taking material on credit basis. However there are some women who utilize their saving for business. Commercial banks are reluctant to lend loans to women. The negative attitude of banks is hesitating to

lend loans to women because they have fear of women leaving business due to family problems. So, financial constraints force them to enter in traditional business.

#### **LACK OF EXPERIENCE, TRAINING AND SKILL**

There are the women who have very little capital, experience, guidance and skill. They take whatever guidance is available from family, relatives or friends in selecting their business and some women try to imitate other women in locality who are already in business. They face problem in acquiring training (Vinay & Singh, 2015, p 46) either due to economic reason or due to non-availability of time. It is largely seen in case of tailoring business. In many cases, it has been clearly seen that access to more discerning markets has resulted in greater skill or training requirements, but unorganized sector operators who are not able to access training because of lack of motivation (D'Souza, 2013, p 3)

#### **PROBLEM OF ADVERTISING**

The respondents face problem in advertising their business in vicinity. They are hesitant and not bold enough to publicize their business among relatives and friends especially if it involves competition with fellow entrepreneurs.

#### **PROBLEM OF SPACE**

The respondents face problems when they do not find proper place for starting their business hence start at home.

#### **SEASONAL NATURE OF WORK**

In unorganized sector majority of businesses are traditional and related to primary sector. Thus, the major problem faced by women engaged in this business is seasonal work.

#### **PROBLEM OF MOBILITY**

Another important problem faced by women while conducting their business is mobility (Vinay & Singh, 2015, p 46). Women due to their family responsibilities and social restrictions are not free to go outside their house for longer period even for business purpose. Problem of mobility restricts women to local market and as a result the size of business remains small.

#### **Problem of Demand of the Product**

There are women who also face the problem of demand for their product because they run their business in nearby locality and cater to the local market. There are limited customers for their business. This results in shortage of work for respondents. They remain unemployed or under employed.

#### **IMPROPER INFRASTRUCTURE**

There are respondents who also face problems in conducting business due to improper infrastructure facilities (Priyadharshini A. & Wesley J., 2013) such as space, electricity, transportation etc. There are various businesses like clip and ring making business, beauty parlor, tailoring, printing press, storing left over fish, vegetable etc. for which electricity is essential. Long hours of power shutdown often interrupt their work which also affect their production and productivity.

#### **PROBLEM OF SHORTAGE OF RAW MATERIAL**

Women face problem of shortage of raw material in their business (Sunagara & Jigalur, 2013, p 62). Irregular supply of material for business creates constraint in smooth working of business. This is one of the reasons for low productivity and profitability of business. Most of the women engaged in outdoor business carry their business in rental place. These women have to face various problems related to rent, unhygienic place, harassment from neighbor etc.

#### **IRREGULAR WORKING HOURS**

Large number of women face problem of irregular working hours. It is found that some women work up to late night as they did not get time during day to complete their work on time.

#### **PROBLEM OF STORAGE**

Many women are engaged in production and trading business which is largely related to vegetable, fish, poultry, milk and catering business. These products are highly perishable and seasonal. They require proper storage facility. But women face problem of storage facility for their left-over goods. Due to lack of proper storage facility their goods get damage and they have to bear loss.

#### **LACK OF SOCIETAL COOPERATION AND FAMILY SUPPORT**

Women face problem of lack of cooperation from society and family support (Rani & Sinha, 2016, p 93) as well. The people try to discourage these women by showing pessimistic attitude towards them. These women

have to listen to depressing remarks and negative comments from their family members, friends and relatives in society.

### **PROBLEMS DUE TO RELIGION, CUSTOMS AND TRADITION**

Women face problems related to custom and tradition. Their religion, customs and tradition create problems for women entering in business. They impose stiff restrictions on them when they select their business and when they have to go out of their house for their business expansion through words of mouth. (Shyamala, 2016)

### **CHALLENGES FACED BY WOMEN ENTREPRENEURS IN INDIA**

Problems may be different from enterprise to enterprise, place to place and from time to time. Some of the problems may be common but some are more specific and related to the line of activity of the enterprise. Women entrepreneurs have to face so many problems which also act as challenges for them arose due to internal environment and some due to external environment.

### **CAPITAL INVESTMENT**

A major challenge that always hamper the path of success of the women entrepreneurs is their financial/economic status. They do not have sufficient funds that is required to be invested to start a business. So, they have to look for the opportunity which involves almost no money. Thus majority in unorganized sector is self-employed and is engaged in home-based business.

### **MANAGEMENT OF OWNED ENTERPRISES**

Generally women are hard workers but because of poor management the women owned enterprises are unable to reach the success. The studies have stated that women at small business are not professionally managed and here are some of the problems that effect women entrepreneurs. For women entrepreneurs, recruitment of trained and skilled people is a big challenge and even if they get skilled persons it is difficult to provide training to them.

### **DEPENDENCE ON STAFF AND INTERMEDIARIES**

They have to depend on office staffs and intermediaries, to get things done, especially, the marketing and sales side of business. Here there is more probability for business fallacies like the intermediaries take major part of the surplus or profit and sometimes they have to depend on the family members to run the organization.

### **FAMILY AND SOCIETY**

The biggest problem of women entrepreneurs is related with family and the society. Some of the common problems they face are male dominated society, dual commitment towards family as well as office, social attitude, lack of education, psychological problems having low self-esteem, lack of confidence (Sunagara and Jigalur, 2013, p 60), lack of ability to tackle the problems, restricted mobility in meeting suppliers and customers, and male-female competition (Pushpalatha, 2013).

### **EDUCATION AND COMMUNICATION**

In unorganized sector majority of women entrepreneurs are illiterate. They have not done even schooling. Consequently, their communication skills are very weak. In dynamic world of business, due to their uneducated characteristic and lack of communication they could not done well at their business sphere.

### **TRAINING**

There are lot of activities performed by the women entrepreneurs in the unorganisd sector such as tailoring, beauty parlor, *papad* making, pickle making, *kirana* store, general store, dairy, confectionary, dying, knitting, etc. It becomes very difficult for women to find out any trainer who can trained them in their specific operation/activity.

### **OBJECTIVE OF THE STUDY**

The main objective of the present study is to focus on the problems and challenges faced by women entrepreneurs in the unorganized sector in India and consequently giving suggestions for their promotion and development in the light of findings of this study.

### **RESEARCH METHODOLOGY**

This study is descriptive one and is based on secondary literature which has been compiled from secondary sources like books, journals, websites, government reports etc. after a deep insight into the secondary literature conclusion has been finalized and at last some suggestions for the upliftment of unorganized women workers have been placed.

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**CONCLUSION**

Entrepreneurship among women, no doubt improves the wealth of the nation in general and of the family in particular. The contribution of unorganized women to the economy is quite significant. Women entrepreneurs not only give employment to the people, they also enhance the economy to grow faster than before, this results the women entrepreneurship to be taken as a challenging career. But still, the problems and difficulties faced by unorganized women entrepreneurs are unnoticed. Lack of mobility and capital investment was the major problem of rural entrepreneurs. Besides this, women entrepreneurs face several obstacles. This is due to deeply rooted discriminatory socio-cultural values and traditions, embedded particularly in the policy and legal environment and in institutional support mechanisms. So, it is the responsibility of the country to make certain policies to help women to develop entrepreneurial skills and also to become flourishing entrepreneurs.

**SUGGESTIONS**

The mainstream of Indian economy has always been the unorganized sector. But there is absence of proper basic facilities for the progress and development of women entrepreneurs. To have successful women entrepreneurs in unorganized sector it is necessary to improve their working environment. Therefore, following efforts can be taken into account:

- To take a continuous attempt by the Government to encourage, motivate and co-operate women entrepreneurs through providing loans at concessional rate of interest.
- To spread information about policies, plans and strategies on the development of women in the area of industry, trade and commerce through some provisions made by the Government.
- Extension of better educational facilities and schemes for women by the Government.
- Training on professional competence and leadership skills, counselling through the aid of committed NGOs, psychologists, managerial experts and technical personnel on a large scale of existing women entrepreneurs to develop self-confidence for getting success.
- To provide basic understanding related to accounting, marketing, management skill etc. and also starting up training in entrepreneurial attitudes from schooling which may build up confidence in the upcoming generation to be a successful entrepreneur.
- Setting up of a women entrepreneur's Guidance Cell to handle the various problems of women entrepreneurs in unorganized sector all over the state.
- Focusing on developing essential infrastructural facilities to encourage the women.

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## **MICROFINANCING: A HOLISTIC APPROACH TOWARDS FINANCIAL INCLUSION**

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The world is marked with stark poverty. Economic imbalance is there throughout the world. Micro Finance is one tool to attack and alleviate poverty the world over. During the last two decades, substantial work has been done by bank and NGOs in developing and experimenting with different concepts and approaches financially include the poor. In the last 50 years the phenomenon of microfinance has expanded all over the developing world, leading to the creation of many microfinance institutions(MFIs) in a large number of countries in Asia, Latin America, Northern Africa and Eastern Europe. The rate of diffusion of microfinance has recently been impressive.

For small endeavors that a person wants to start in developing countries, the idea of securing a loan to start a business is not just difficult, it's next to impossible. This stark reality is faced by them in developing countries every day.

But this is another reality that in this world where all people—even in the most remote areas of the globe—hold the power to create opportunity for themselves and others.

This issue can only be tackled by Micro financing. Microfinance, widely acknowledged as an innovative tool to supply entrepreneurs of the developing world with access to credit, is now breaking new ground in the developing world.

A good definition of microfinance as provided by Robinson is “ Microfinance refers to small-scale financial services for both credits and deposits – that are provided to people who operate small or microenterprises where goods are produced, recycled, repaired, or traded; provide services; work for wages or commissions; gain income from renting out small amount of land, vehicles, draft animals, or machinery and tools; and to other individuals and local groups in developing countries, in both rural and urban areas”.

For several decades, many countries, including India, provided with subsidized credit for the poor. But the only tangible outcome perhaps was the increase in Non- performing Assets (NPA). Then came the realization that the core issue for the poor was access to credit rather than the cost of credit. In fact one of the contributions of microfinance can possibly be the “end of interest rate debate”. Microfinance has proved time and again that it is access and not interest rates that are a constraint for the poor. Another discovery followed, that the poor can and will save, and can indeed use a wide range of financial services such as remittances facilities and insurance products. The most well know and cited international example of a microcredit institution is the Grameen Bank in Bangladesh. But there are numerous others like Kiva, an international nonprofit microfinance organization, has been tackling this issue head-on since 2005.

The provision of micro-finance involves initiatives on the part of state and non state organizations, in making available very small amounts of credit to poor clients. There is an acute need among the poor for credit that often forms the deciding line between their survival and their succumbing to poverty. This need for credit is both for consumption as well as for production. In other words, credit is sought for basic requirements such as food, as well as for income generation activities. The rationale of micro-finance is based on the hypothesis that the poor can be relied upon to return the money that they borrow. Moreover, the repayment will also be on time. It has been proved that the poor are capable of thrift and savings. It is these existing requirements and conditions that are tapped by micro-finance initiatives

The need of the poor for credit is not new. So far, this need has been met largely by informal sources such as moneylenders, support by kith and kin, friends, employers and landlords. Borrowing from these informal sources often involves exploitative rates of interest and results in strengthening of systems of oppression. The formal sources of credit in India have been banks and poverty alleviation programs promoted by the government. The track record of these formal sources has not been positive. Micro-finance, in the form in which it is being promoted currently, circumvents the drawbacks of both the formal and the informal systems of credit delivery. Special consideration should be also be made for gender empowerment. The condition of women in many low income countries is actually very bad, not only for economic reasons but also for religious and cultural beliefs

### **REACHING AND EMPOWERING WOMEN**

Since women and women-run enterprises yield benefits for their families, micro credit is seen as a tool to empower women. Among the real and potential clients of micro-finance, women are seen as the most reliable in

terms of repayment and utilization of loans. The gender dimension of micro-finance is based on the understanding that the entire household benefits when the loans are given to women.

The Ownership of land and capital in the developing country had tended to be heavily biased in favor of the male members of the family. Now women represent a very high proportion of microfinance customers in most countries: women's access to credit has certainly had the effect of reducing gender differentials in intra household welfare. The various factors showed that that as women were able to make significant contributions to the family economy, they were also less subject to domestic violence. On the other hand, it has been discovered that in some cases husbands initially became more and more violent as as their wives became mobile and autonomous. This increase in abuse somehow reflected the men's effort to maintain their power. Hence in short run there is no linear connection between access to credit and empowerment, but in the long run we can expect a self enforcing positive relation.

Moreover, there is also considerable evidence that fertility rates tend to go down with greater empowerment of women. Micro finance programs can encourage women to experiment just with new kinds of home-based enterprises that do not interfere with domestic responsibilities.

In conclusion the impact of excess to credit on women's condition is still unclear. Different studies have achieved mixed results about the effect of microfinance on women's autonomy, self determination, independence and capacity to define their own goals and achieve them. Many studies have found that even if women's access to resources is far more likely to translate into changes intra-household relations and at a much slower pace in public forms of change. Unfortunately the obstacles to women's empowerment lie not just on the lack of financial resources but mostly on cultural ideologies.

Anyway, there are some cases that can suggest optimistic trends: in Philippines women clients of the Opportunity Micro Finance Banks have been elected to the local government.

It is proved that there is a positive relationship between the access to credit and women's empowerment in a study by Schuler et al. conducted in rural Bangladesh. They have investigated whether the increasing possibilities for women to obtain a credit, thanks to the spread of microfinance, could be related to a decrease in domestic violence on women, used as an indicator of women empowerment.

Over the past three decades, women and their credit needs have been explicitly addressed by women's organizations like Self Employed Women's Association (SEWA) in Ahmedabad, Gujarat, and Working Women's Forum (WWF) in Chennai, Tamil Nadu, and Annapurna Mahila Mandal in Mumbai, Maharashtra. Their efforts have resulted in far-reaching changes in the lives of their women clients. Even so, today, micro-finance is perceived as a paradigm shift in the quality of micro-finance delivery. Further, the push has come internationally, from donor agencies, UN organizations, and the World Bank, all of whom are advocating micro-finance as the banner under which development can be achieved and poverty can be eradicated worldwide.

The only means of drawing greater number of women into the banking system is through micro financing; If the trends in bank credit to and deposits from women analyzed and juxtaposed the same with the figures for men in order to understand the degree of absolute and relative financial exclusion of women, it may be noted that the (group) credit to SHGs may not be entirely credit to women but it is principally credit to women and hence, can be clubbed together with individual credit to women for arriving at a proxy for total bank credit to women.

On the bank credit front, there was an evident disparity between women and men. On an average, there were 21 loan accounts per 10,000 women as against 118 loan accounts per 10,000 men in 2007 (Table 1). Further, the average amount of credit outstanding per woman in 2007 was Rs. 1,139 as compared to Rs. 5,652 per man (Table 2). These statistics need to be contrasted with the fact that women constituted half (48.4 per cent) of the total population making 93 women per every 100 men in the country in the same year. If we considered deposits, the proportion worked out to be much higher (Tables 1,2). During the six-year period considered in these Tables, there appeared to be a change towards reducing the gender gap but even then, women's access to basic banking facilities remained at disquietingly low levels.

**Table-1: Loan and deposit accounts per 10,000 persons, for women and men**

Year	Loan accounts per 10,000 persons		Deposit accounts per 10,000 persons	
	Women	Men	Women	Men
2001	2	19	2149	5731
	(11)		(37)	
2007	21	118	2123	5858
	(18)		(36)	

**Notes:** 1. Figures in brackets indicate percentage share of accounts of women to those of men.  
2. Loan accounts for women for 2007 includes individual loan accounts for women and loans accounts of SHGs.

**Source :** Basic Statistical Returns, various issues,

**Table-2: Amount of credit and deposits per capita, for women and men**

Year	Credit per capita		Deposits per capita	
	Women	Men	Women	Men
2001	625	4290	3219	10669
	(15)		(30)	
2007	1139	5652	5310	17721
	(20)		(30)	

**Notes:** 1. Figures in brackets indicate percentage share of amount of women to that of men.  
2. Credit amount for women for 2007 includes individual credit to women and credit of SHGs.

**Source:** Basic Statistical Returns, various issues, .

Source: www.rbi.org

### REACHING THE POOREST

Micro finance is essentially driven towards including the poorer sections of the population into the ambit of banking, it is useful to compare the supply of micro finance to the number of poor across regions in order to judge the effective spread of micro finance. We find taking this indicator too, the spread of micro finance works out to be the largest in the Southern region and the smallest in the Central region. We find that the number of SHGs (formed on a cumulative basis) per 1,000 poor persons in the Southern region was about four to five times more than the corresponding figure in other regions. Given that an SHG normally comprises 15 members and that about 60 per cent of SHGs in the country have members from families belonging to the Below Poverty Line (BPL) category (as found by NCAER, 2008), we can estimate that even for the Southern region, only about one third of its poor population is covered by SHGs. Further, in the case of Tamil Nadu, the coverage of poor persons by SHGs is only about 8 per cent. Here, however, we need to remember that there are arguments from scholars that the official poverty line under-estimates the number of poor persons in the country (Swaminathan, 2000). In this case, the coverage by SHGs of poor persons is expected to be even narrower.

**Table-3: Cumulative number of and bank credit to SHGs per person below poverty line, 2005**

Region	Cumulative number of SHGs per thousand persons below poverty line	Cumulative bank credit to SHGs per person below poverty line (Rs. '000)
Northern region	8	24
North-Eastern region	10	28
Eastern region	5	13
Central region	3	10
Western region	5	16
Southern region	36	252
Tamil Nadu	9	37
India	9	48

**Note:** Figure for population below poverty line is taken from NSSO for the year 2004-05. The comparison here assumes that the cumulative number of SHGs were all functional in 2005.

**Source:** NABARD (2006), GOI (2007).

### CONCLUSION

Despite having a wide network of rural bank branches in the country and implementation of many credit linked poverty alleviation programmes, a large number of the very poor and largely women continue to remain outside the fold of the formal banking system. Various studies suggested that the existing policies, systems and procedures and the savings and loan products often did not meet the needs of the hardcore and asset less poor. Experiences of many anti-poverty and other welfare programmes of the state as well as of international organisations have also shown that the key to success lies in the evolution and participation of community based organisations at the grassroots level. A series of research studies and some action research projects carried out by National Bank for Agriculture and Rural Development (NABARD) led to the evolution of "Self-Help Groups (SHG) - Bank Linkage" model as a cost effective mechanism for providing financial services to the unreached and underserved poor. Besides SHG-bank linkage programme, a number of NGOs had started experimenting with various initiatives like replication of Grameen, networking with NGOs and financing through SHGs" federations and co-operatives to take financial services to the poor and women clientele. Since

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different structures and organisations are operating under diverse legal framework and have been adopting varied approaches, it is increasingly being felt that a suitable national policy framework is essential for an orderly development of the Micro Finance sector.

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- [www.Kiva.org](http://www.Kiva.org)
- <https://www.nabard.org/auth/writereaddata>

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**A STUDY TO IDENTIFY THE VARIABLES IMPACTING HUMAN RESOURCE MANAGEMENT IN HOSPITALS: A PAPER BASED ON REVIEW OF LITERATURE**

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**ABSTRACT**

*The prosperity of a business or industrial undertaking depends upon the efforts of the human beings employed in it. If every employee is suited to his job, then it is seen that they efficiently, enthusiastically and actively promote the interests of the business and helps it to prosper to its fullest extent. The human resource in an organization needs to be skillfully used. Thus this paper makes an attempt to identify the variables that influences the human resource practices in an organization, more specifically in the hospitals and healthcare sector. The paper identifies 12 variables which have an impact on the human resource management of the organization which in turn influences the organizational performance.*

*Keywords: Human Resource practices, hospitals, health care sector, organizational performance, variables.*

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**INTRODUCTION**

Human Resource (HR) Management is the management process of an organization's workforce or human resources. It is responsible for the attraction, selection, training, assessment, and rewarding of employees, while also overseeing organizational leadership and culture and ensuring compliance with employment and labor laws. In circumstances where employees desire and are legally authorized to hold a collective bargaining agreement, HR will also serve as the company's primary liaison with the employees' representatives (usually a trade union).

HR is a product of the human relations movement of the early 20th century, when researchers began documenting ways of creating business value through the strategic management of the workforce. The function was initially dominated by transactional work, such as payroll and benefits administration but due to globalization, company consolidation, technological advancement, and further research, HR now focuses on strategic initiatives like mergers and acquisitions, talent management, succession planning, industrial and labor relations, and diversity and inclusion.

In startup companies, HR's duties may be performed by trained professionals. In larger companies, an entire functional group is typically dedicated to the discipline, with staff specializing in various HR tasks and functional leadership engaging in strategic decision making across the business. To train practitioners for the profession, institutions of higher education, professional associations and companies themselves have created programs of study dedicated explicitly to the duties of the function. Academic and practitioner organizations likewise seek to engage and further the field of HR as evidenced by several field-specific publications.

In the current global work environment, all global companies are focused on retaining the talent and knowledge held by the workforce. All companies are focused on lowering the employee turnover and preserving knowledge. New hiring not only entails a high cost but also increases the risk of the newcomer not being able to replace the person who was working in that position before. HR departments also strive to offer benefits that will appeal to workers, thus reducing the risk of losing knowledge. Proper methods of selection, training and motivation, division of responsibility, distribution of roles, incentive for better work, opportunities for promotion and professional advancement, effective design of health teams are all fundamental techniques of personnel management which could contribute to the efficiency of health service delivery.

This paper is an effort to identify the variables which impacts the human resource management of the hospitals which is essential for improving its organizational performance. The variables have been identified by reviewing various related articles and papers which have been published in the past.

**OBJECTIVES**

1. Review of Existing Literature to look at the present scenario of HRM in hospital.
2. To identify variables from existing literature which influences HRM practices in the Hospitals.

**RESEARCH DESIGN**

The study mainly involves a Descriptive Research as in this study an effort has been made to give a description of the factors that influences the Human Resource practices. This study can also be called an Ex Post Facto Research since in this study the researcher has no control over the variables and can only report the state of affairs that has happened.

This study is based on Secondary Data and 15 literatures have been reviewed from various publications, websites, books etc. From this secondary data, the variables which have an influence on the human resource practices in hospitals have been identified.

## REVIEW OF LITERATURE

**Christopher J. Mansfield** in his paper "*Human Resource Management in Hospital Administration: Issues, Values & Authors in Recent Literature*" has highlighted that personnel costs represent approximately half of hospital budgets. Successful competition for patients and physicians is not only dependent upon capital assets but upon human resource assets as well. How the industry acquires, develops, and uses human resources is critical not only to cost but to quality as well.

Further the paper also highlights the problems of human resource management in hospitals which can provide great opportunity and challenges for academicians. Perhaps new outlets are needed to encourage contributions, regular special sections of existing journals or a new journal specifically for human resource management in hospitals might meet that need.

**Karen M. Conrad, Kendon J. Conrad and Jane E. Parker** in their paper "*Job Satisfaction among Occupational Health Nurses*" have studied and described job satisfaction among occupational health nurses.

They compared the groups, occupational health nurses which were significantly more satisfied with compensation, creativity, and independence. Hospital nurses were significantly more satisfied with advancement, authority, co-workers, responsibility, security, and technical supervision. Examination of the occupational health nurses scores only, revealed that they were least satisfied with advancement and technical supervision, they were most satisfied with social service, moral values, and achievement

**Ann Scheck McAlearney** in the study "*Leadership Development in Healthcare: A qualitative study*" finds evidence that healthcare organizations experience major challenges in designing and delivering leadership development programs. In healthcare organizations, as in other industries, the leadership challenges are immense. Similar to other organizational leaders, healthcare executives are expected to lead their organizations and their employees with integrity, honesty, energy, and enthusiasm. However, healthcare leaders must also respond to the distinct features of their industry as they attempt to promote excellence in quality of care, patient satisfaction, and relationships with physicians and communities. Considering the nuances of the different leadership development challenges and aspects of organizational commitment to leadership development described in this paper can help healthcare organizations striving to develop better leaders and attempting to maximize overall organizational performance.

**PC Smith and M Goddard** in their paper "*Performance Management and Operational Research: A marriage made in heaven?*" have set out a simple framework with which to examine the performance management process. It examines the organizational context within which performance management is undertaken, and notes that it becomes most important within hierarchical organizations that allow considerable autonomy amongst devolved units. The paper argues that performance management should embrace four broad functions:- Formulation of strategy, Development of performance measurement instruments, Interpreting such measures, Encouraging appropriate organizational responses to performance information

**Clint Chadwick, Larry W. Hunter and Stephen L. Walston** in their literature "*Effects of Downsizing Practices on the Performance of Hospitals*" has emphasized that downsizing is not generally followed by improved organizational performance. Using a sample of hospitals that recently downsized, the author evaluated the effects on performance of the human resource management (HRM) practices used in layoffs. Strategic HRM theory suggests that practices can have an impact on performance outcomes. It was found that, showing consideration for employees' morale and welfare during downsizing is positively related both to perceived success of downsizing and to financial performance following layoffs. Advance notice of layoffs is positively related to subsequent financial performance, but the provision of extended insurance to laid-off employees is negatively related to financial performance. Planned redesign of work structures is positively related to perceived success, but has neutral to negative effects on financial performance.

**David E. Guest & Christopher Woodrow** in the study "Exploring the Boundaries of Human Resource Managers' Responsibilities" addresses two longstanding challenges for human resource (HR) managers; how far they can and should represent the interests of both management and workers and how they can gain the power to do so. The aim of this article has also been to explore how far it is realistic for contemporary HR managers to pursue ethical goals. The workers' interests should be accorded some primacy so that workers' well-being is reflected in the way they are treated and workers are not viewed simply as means to achieving



other ends. The HR practices should be designed to promote workers' quality of working life and well-being rather than organizational goals. The HR Managers might do this through seeking a 'strong' HR system, through alliances for policy formulation and implementation, by seeking opportunities to promote worker well-being and more generally by seeking to make ethical choices whenever the opportunity arises.

**Robert D. Oexman, Tami L. Knotts, Jeff Koch**, in their paper "Working While the World Sleeps: A Consideration of Sleep and Shift Work Design" have emphasised on the evolution of society and economic pressure that has provided the impetus for operating on a 24-hr basis in many industries. This has occurred with relatively little attention toward sleep deprivation and related problems facing shift workers and the organizations employing them. This paper discusses the move towards shift work and some sleep problems associated with it. The authors have also suggested some alternative schedules for shift work implementation like Fixed or Rotating Schedule, Straight shifts & Oscillating shift

In the paper the authors also highlights the fact that a lack of attention to the sleep needs of employees lead to higher absenteeism, a decrease in health (with an increase in healthcare costs), lower employee morale, an increase in accidents, and a decrease in productivity. The consequences associated with sleep problems may be even greater than those associated with drug and alcohol abuse on the job.

**Tuomas Korhonen Teemu Laine Petri Suomala**; in their paper "Understanding performance measurement dynamism: a case study" elaborates on the notion of performance measurement (PM) dynamism. The paper's argument is based on a literature review and an interventionist case study. PM dynamism was found to occur at four different levels: in setting the role of performance measures for decision making in general, in the use of measures, in the selection of measures and within the components of single measures. The use of up-to-date measures, a major implication of understanding PM dynamism more thoroughly, could lead to more efficient strategy implementation and enactment at different levels. this study presents the practice of PM dynamism, which is expected to help managers identify the needs of their PMSs to change on the micro-level as well as in broader directions.

According to authors **Kent V. Rondeau and Terry H. Wagar** in the paper "Managing the consequences of hospital cutbacks: The role of workforce reduction practices", in recent years, hospitals have witnessed unprecedented downsizing of their workforces. It is generally assumed that planned workforce reductions can have deleterious consequences on an organization's human resources. Scholars and practitioners alike have identified a number of humane or progressive approaches that are widely considered to be effective for organizations undergoing down sizing. This study examines the impact that workforce reduction approaches have on perceptions of organizational performance in a large sample of Canadian hospitals undergoing workforce reductions.

The result of this study provides some evidence that the approach taken to reduce the workforce matters with regards to organizational efficiency and employee satisfaction. When considering both small and large employee cutbacks, hospitals that had implemented a more progressive approach to workforce reductions based on employee participation in the reduction strategy, management communication of the workforce reduction, fairness of the strategy, considerate treatment of victims as well as survivors, early warning systems, a longer period of notification, and a larger array of support programs for those who have been downsized, had higher scores on both the overall hospital efficiency and overall employee satisfaction indices.

Researchers **Michael A. West, James P. Guthrie, Jeremy F. Dawson, Carol S. Borrill and Matthew Carter** in "Reducing Patient Mortality in Hospitals: The Role of Human Resource Management" have examined the potential contribution of organizational behavior theory and research by investigating the relationship between systems of human resource management (HRM) practices and effectiveness of patient care in hospitals. Relatively little research has been conducted to explore these issues in health care settings. The study was conducted in a sample of 52 hospitals in England and the relationship between the HRM system and health care outcome was examined. The research reveals that, after controlling for prior mortality and other potentially confounding factors such as the ratio of doctors to patients, greater use of a complementary set of HRM practices has a statistically and practically significant relationship with patient mortality. The finding of the study suggests that 'high involvement' policies and practices (i.e., an emphasis on training, performance management, participation, decentralized decision making, involvement, teams, and employment security) may be successful in contributing to high-quality healthcare.

**Bruno Marchal, McDamien Dedzo, Guy Kegels**: in their study "A realist evaluation of the management of a well performing regional hospital in Ghana" offers an interesting approach to evaluation of interventions in complex settings, but has been little applied in health care. This study was conducted in a well performing

hospital, Central Regional Hospital (CRH) in Cape Coast, Ghana and shows how such a realist evaluation design can help to overcome the limited external validity of a traditional case study. The authors found that the human resource management approach (the actual intervention) included induction of new staff, training and personal development, good communication and information sharing, and decentralized decision-making. 3 additional practices were identified: ensuring optimal physical working conditions, access to top managers and managers' involvement on the work floor. Teamwork, recognition and trust emerged as key elements of the organizational climate. Interviewees reported high levels of organizational commitment. The analysis unearthed perceived organizational support and reciprocity as underlying mechanisms that link the management practices with commitment. The study suggests that a well-balanced HRM bundle can stimulate organizational commitment of health workers.

**S. Douglas Pugh, Joerg Dietz, Jack W. Wiley and Scott M. Brooks** in their study "Driving Service Effectiveness through Employee-Customer Linkages" describes the basic linkage model that connects employees and customers in service organizations. It describes the contexts in which employee opinions are most strongly related to customer outcomes and identify the eight practices that have been found to be important drivers of customer satisfaction. They are: Customer Orientation and Service Quality Emphasis, Management Support, Hiring, Training, Rewards and Recognition, Teamwork, Support Systems, Customer Feedback.

Authors **Stephen M. Crow, Sandra J. Hartman & Steve W. Henson** in the study "An Expedited Model for Health Care Administration Programs at the graduate level" have developed a theoretical model for health care administration programs at the graduate level. The model development was prompted by recently-expressed concerns that the training available to managers and executives in health care fields is encountering a number of problems: it is typically lengthy and expensive, and involves too many prerequisites. In terms of content, the training available may be too narrowly focused on performing functions, such as accounting, rather than managing the functions.

This paper documents the efforts of the researchers to develop, a theoretical model for a graduate program for health care leaders. The model program would be lean (33 course hours) and focused on subject matter that has a direct bearing on effective leadership skills for health care settings.

Researchers **Nadia de Gama, Steve McKenna, Amanda Peticca, Harris** in their study "Ethics and HRM: Theoretical and Conceptual Analysis. An Alternative Approach to Ethical HRM Through the Discourse and Lived Experiences of HR Professionals" have connected the thinking and lived experiences of HR professionals to an alternative ethics. 40 Canadian HR Professionals and Managers have been interviewed during the survey. During the study the authors recognized that HR practitioners and managers are often confronted with and conflicted by actions and decisions that they are required to take, therefore opening possibilities and hope for an alternative ethical HRM.

**Pankaj Tiwari & Karunesh Saxena** in their study "Human Resource Management Practices: A Comprehensive Review" have shown that to effectively manage the human resources, the organizations have to implement innovative HRM practices. The organizations which implements such practices with dedication, remains ahead of their competitors because such practices affects other variables such as competitive advantage, job satisfaction, financial performance, employee turnover, service quality, employee commitment etc. in a positive manner and leads to overall corporate performance. While designing and implementing such practices, one important thing is to be kept in mind that the HRM practices should be analyzed from time to time and it should be updated accordingly. Line managers should be involved in designing HRM practices and survey should be conducted among employees to know their opinion about HRM practices. This will help the organization to take corrective actions at the right time.

#### VARIABLES DISCUSSED AND IDENTIFIED FROM REVIEW OF LITERATURE

Based on the Review of Literature, the following Variables have been identified with regards to the HR Practices:

Sl. No	Variables	Discussion	Authors
1	Investment in Human Resource Development	It is important to invest in the human resource as they contribute to improve quality of service in the hospitals. HRM in Hospitals is also an opportunity as well as challenge to the academicians for further research	Christopher J Mansfield
2	Job Satisfaction	Different set of factors have a great impact on the Job Satisfaction of the employees, specially the	Karen M Conrad, Kendon J Conrad

		clinical employees like Occupation Health Nurses. They can be grouped as- Compensation, Creativity & Independence. Authority, Responsibility and Supervision. Social Service, Moral Values and Achievement.	and Jane E Parker
3	Organizational Leadership Development	Healthcare organizations can strive for developing better leaders which shall maximize overall organizational performance. Hence there is also need for Leadership Development Programmes in the Hospitals	Ann Scheck McAlearney
4	Developing Performance Management System (PMS)	It is important to examine the Performance Management Process in a Hospital. Formulation of proper performance management strategies, developing performance instruments and proper interpretation of such measures are quite essential for developing an effective PMS	PC Smith and M Goddard
5	Strategic HRM & Downsizing	Strategic HRM has a direct impact on the organizational effectiveness of a hospital. But factors like Downsizing and lay off might bring down the morale of the employees and can affect organizational performance as a whole.	Clint Chadwick, Larry W. Hunter and Stephen L. Walston
6	Ethical HRM	In the present day scenario, an improved quality of work life is important for motivation of employees as well as for their better performance. The hospital management should try to develop ethical goals for the HR managers so that they can work on the well being and welfare of the workers.	David E. Guest , Christopher Woodrow
7	Work Shift and Performance	Properly scheduled work shifts are essential for better performance of the employees. Sleep deprivation of workers will lead to their inefficiency and hence will bring down their performance curve.	Robert D. Oexman,Tami L. Knotts, Jeff Koch
8	Performance Measurement Dynamics	Performance Management plays an important role in decision making as well as selection of Performance Management measures and components	Tuomas Korhonen Teemu Laine Petri Suomala
9	Congruence, Trust, Accessibility	Involvement of workers, mutual trust, team work and recognition for work and access to top managers has a direct positive impact on performance of the employees and improved organizational climate	Michael A. West, James P. Guthrie, Jeremy F. Dawson, Carol S. Borrill and Matthew Carter
10	Employee Opinion	Employee opinion gives a sense of belongingness to the employees and hence has a direct positive impact on customer outcomes.	S. Douglas Pugh, Joerg Dietz, Jack W. Wiley and Scott M. Brooks
11	Training and Development	Healthcare management trainings are important for developing effective leadership in hospitals. Technical and specific trainings are also essential for the career development of the employees.	Stephen M Crow, Sandra J Hartman and Steve W Henson
12	Innovative HRM Practice, Competitive Advantage, Financial Performance	It is essential for the hospitals to implement innovative HRM practices as these practices have positive influence on competitive advantage and better financial performance of the hospital. It also reduces employee turnover. HRM Practices should be analyzed and updated from time to time.	Pankaj Tiwari, Karunesh Saxena

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**CONCLUSION**

This paper highlights the different variables which make an impact on the human resource management of the organizations, more specifically hospitals. The articles and other studies related to the human resource management (HRM) practices have been reviewed in this paper. The literature review reveals that there are many variables which influence the HRM practices in an organization and that the researchers in due course have conducted many theoretical, empirical and exploratory studies across a variety of sample to check the influence of these variables. It is quite evident from the findings that the human resource management of the hospitals is influenced by many variables like job satisfaction, organizational leadership development, training and development, performance management, congruence, trust, accessibility, work shifts, employee opinions, innovative and ethical human resource practices etc. In the present day scenario, it is essential that the hospitals should invest in the human resource as they would contribute in delivering quality service which would lead to better organizational performance.

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**EFFECTS OF DIFFERENT SOCIO-ECONOMIC AND DEMOGRAPHIC FACTORS ON THE  
CHANGE OF FOREST COVER IN ASSAM**

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**ABSTRACT**

*Decrease in the forest cover or deforestation, worldwide continues at a net rate of 5.2 million hectares a year, posing a serious threat to human communities and natural ecosystems at the outset of the 21<sup>st</sup> century. Deforestation is directly attributed to humans' cleaning land for agriculture, building roads, logging and extending forest products. While patterns of deforestation vary, its four main essential causes have been summarised in the phrase, 'people, poverty, plunder and policy'.*

*In the present article, the problem of deforestation in the state of Assam has been addressed and a statistical analysis is made of the same. Firstly a comparison of the annual deforestation rates of the different district of Assam has been done. In what follows a model, describing the deforestation of Assam is considered in the form of a Multinomial Linear Regression model. In the model, while forest covered area is considered as the dependent variable, the explanatory variables are : growth in population, growth in agricultural production, development of roads, economic growth and the awareness level of the people of Assam. It is hypothesized in this paper that the explanatory variables under consideration may have both positive (increase in deforestation) and negative effects (decrease in deforestation), which simultaneously affect deforestation. Theory of multiple regression is used as a descriptive tool to summarize and decompose the linear dependence of deforestation on socio-economic variables and also it is used to infer the relationship between deforestation and the socio-economic variables under study. Regression analysis, in the present study reveals that development of roads is a significant driver of deforestation in Assam while awareness level helps in increase of the forest area. Additional step includes the calculation of the descriptive statistics of all the variables- dependent as well as independent to characterize a general form of deforestation and the socio-economic and demographic variables.*

*The study is based on secondary data from different government sources (State/Central) for the period 2001 to 2015 and the computer (mathematical) package MATLAB is used to analyse the data.*

*Keywords: Deforestation rate, multinomial linear regression, explanatory variables, dependent variable, OLS,*

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**1. INTRODUCTION**

Forests play a fundamental role in combating rural poverty, ensuring food security and providing people with livelihoods. And they deliver vital environmental services such as clean air and water, the conservation of biodiversity and combating climate change. World deforestation, mainly the conversion of forest area to agricultural land, has decreased over the past ten years but still continues at an alarmingly high rate in many countries. Globally, around 13 million hectares of forests were converted to other uses or lost through natural causes each year between 2000 and 2010 as compared to around 16 million hectares per year during the 1990s. The world's total forest area is just over 31 percent of the total land area. The net annual loss of forests in 2000-2010 is equivalent to an area about the size of Costa Rica[1]. These forests facilitate the conservation of ecological balances, biodiversity, enhance the quality of environment by checking soil erosion, water retention and conservation, regulate water cycle, act as a carbon sink which balances the carbon dioxide and oxygen in the atmosphere and facilitate in reduction of the greenhouse gases effect, etc. Thus less precipitation; higher temperature; greater flooding; loss of food; medicine and fuel; exacerbating climate change; declining crop yields; loss of vital soil nutrients and degradation of surrounding ecosystems; spreading tropical diseases; reduced quantities of safe water; loss of aesthetic value and natural beauty are the critical impacts of deforestation.

Policy makers, scientists and the public are increasingly concerned about deforestation and its negative consequences. Population pressure, poverty and weak institutional framework have often been viewed as the predominant underlying causes of forest depletion and degradation in developing countries. Deforestation is directly attributable to humans clearing land for agriculture or pasture, building roads, logging, and extracting forest products. These direct causes of deforestation are themselves symptoms of underlying demographic, social, and economic interactions. While patterns of deforestation vary, its four main essential causes have been summarized in the phrase, "people, poverty, plunder, and policy"[2]. The relationships and interactions among these forces are often very complex, challenging our ability to understand this critical phenomenon.

### 1.1 Deforestation in Assam

The state of Assam falls in the tropical climate belt in the north eastern region of India. The state is well known for its rich flora and fauna. Out of 15,000 flowering plants reported from India, 5000 grow in this region[3]. The forest areas form a network of habitat patches in the primarily agricultural landscape of Assam. These forests fall in one of the two mega biodiversity hot spots identified in India, viz., the Western Ghats and the Eastern Himalayas. According to India State of Forest Report, 2015, the recorded forest area of Assam is 276232 km<sup>2</sup>, which constitutes 34.21% of the total geographical area of the state[4]. While the same report states that in 2007, the percentage of forest covered area was 35.30.

Increasing population pressure and demands for agricultural land are the prime drivers in addition to other proximate drivers of deforestation in Assam. The shrinkage of forest cover has affected the climate of Assam adversely. The rainfall has become erratic, the temperatures have risen and in many places, the sign of desertification has set in. Because of the loss of water retention capacity of the soil, rain in the upper reaches of the rivers have led to heavy soil erosion, leading to siltation of the river beds thereby causing flash floods. Such floods destroy more forest, creating a vicious cycle, and destroying a large number of varieties of precious flora and fauna, including medicinal plants. The consequent floods carry any fertile top soil to fertilise the flooded land, by depositing only sand and silt destroy the quality of the soil. Annual floods also cause widespread loss of life, livelihood and property. The conflict between man and animals is becoming commonplace in Assam as deforestation increases. Change in the forest cover in this region as per the Forest Service of India Assessment 2015 is attributed mainly due to encroachment of forest land, biotic pressure, rotational felling in tea gardens and shifting cultivation. Positive changes in few districts is mainly due to plantations within and outside forest areas.

It is therefore of prime concern to analyze forest cover changes in the region, assess the rate of change and extent and to identify the factors which can be quantified that contribute to the change in forest land.

In this article our objectives are to I) find the annual rate of deforestation of the different districts of Assam for the period 2001 to 2015. II) determine the significance and magnitude of demographic and socioeconomic factors on deforestation in Assam by fitting a Multiple Linear Regression model for the period 2001 to 2015.

To put this in perspective, the rates of deforestation in the different districts of Assam are calculated in Section 2. A multivariate linear regression model is described in Section 3. Explanatory variables, incorporated in the model in Section 3 are defined in Section 4. The problem of estimation and the problem of hypothesis testing is described in Section 5. In Section 6, the data and the data sources for deforestation and the explanatory variables are discussed. The OLS estimates of the model under consideration are presented and a Statistical analysis is made in Section 7. Finally, the article is concluded with some observations and analysis about the deforestation model in Section 8.

## 2. RATE OF DEFORESTATION IN DIFFERENT DISTRICT OF ASSAM

Annual deforestation rates for the different districts of Assam are quantified by using the formula [5] given below

$$\text{Deforestation rate} = \frac{\log F_{t2} - \log F_{t1}}{t2 - t1} \times 100,$$

Where F indicates the area under forest in square kilometres and 't1' and 't2' indicates time-1 and time-2 respectively.

Different authors utilize different formulae to calculate the annual rate of change of forest covered area (or its opposite, the annual rate of deforestation) and use different terms to describe it. In particular, we are using the formula above as it can depict a clear picture of deforestation situation of any region. The formula gives a rate which is positive for region where there is a decrease in forest area and a negative rate for region, where there is a increase in forest covered area. Similarly deforestation rate zero indicates no change in forest covered area.

Following tabulation gives the annual deforestation rates of different districts of Assam, as obtained by using the above formula, for the period 2001 to 2015.

**Table-1: Annual rate of deforestation in different districts of Assam (Period: 2001-2015)**

DISTRICT	RATE OF DEFORESTATIO
Barpeta	1.938995
Bongaigaon	0.588278
Cachar	-0.26676

Darrang	0.006579
Dhemaji	-0.7319
Dhubari	0.74811
Dibrugarh	-0.09914
Goalpara	-0.14998
Golaghat	-0.43475
Hailakandi	-0.46768
Jorhat	-0.12972
Kamrup	0.002172
Karbi Anglong	0.007012
Karimganj	-0.99374
Kokrajhar	0.64762
Lakhimpur	-0.45037
Morigaon	-0.73958
North Cachar Hills	-0.00291
Naogaon	0.003909
Nalbari	-0.15854
Sibsagar	-0.19003
Sonitpur	0.338634
Tinsukia	-0.01598

It is seen from the above table that rate of deforestation is highest in Barpeta district for the period under consideration while it is minimum in Karimganj district of Assam.

Fig-1 below gives a diagrammatic representation of the information related to the annual rate of deforestation of Assam.

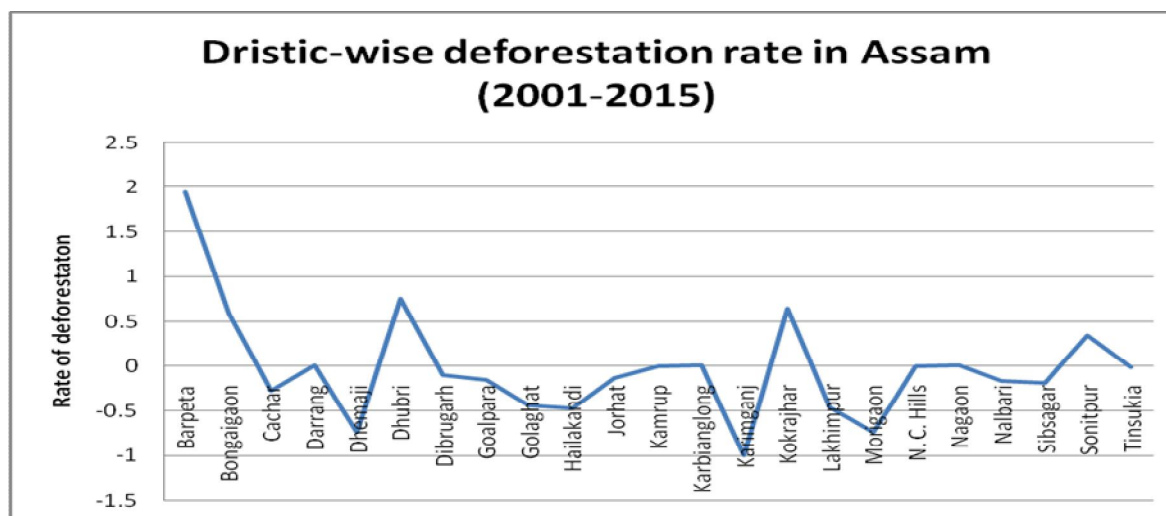


Fig-1: Deforestation Rate of different districts of Assam. Period: 2001-2015

### 3. MODEL TO REPRESENT DEFORESTATION

Deforestation is a complex process where different causal factors have their roots in different sectors. While it seems that direct causes such as agriculture/pasture expansion and forest products consumption/export are driving deforestation [6], it is the underlying causes such as population and economic growth, which influence the direct causes of deforestation. Hence, in this paper we propose a multinomial linear regression model which takes into consideration the demographic and socioeconomic factors, namely population growth, economic growth, agricultural growth, development of road and awareness level of the people of Assam as the drivers of deforestation in the state. We have used multinomial regression here as a descriptive tool to summarize and decompose the linear dependence of deforestation on socioeconomic variables and also it is used to infer about the relationship between deforestation and the socioeconomic and demographic variables.

We consider here, the forest covered area as the dependent variable because an increase in forest area indicates afforestation while a decrease leads to deforestation. Thus, considering the forest covered area as the dependent variable and population growth, agricultural growth, GDP, road length and literacy rate as the explanatory variables, the proposed model can be described as follows

$$Y_i = \beta_0 + \beta_1 X_{1i} + \beta_2 X_{2i} + \beta_3 X_{3i} + \beta_4 X_{4i} + \beta_5 X_{5i} + e_i,$$

where,  $Y$  denotes the dependent variable,  $X$ 's are the explanatory variable,  $\beta$ 's are the partial regression coefficient and  $e$  is the stochastic disturbance term.

The model assumes that there is normal distribution of the dependant variable for every combination of the values of the independent variables. The model further assumes that the mean of the error term  $e$  is always 0, the variance of  $e$  is constant, the value of  $e$  for any individual in the sample is uncorrelated with the value of  $e$  for any other individual, and finally that  $e$  has a normal distribution.

#### 4. DESCRIPTION OF THE EXPLANATORY VARIABLES

The explanatory variables under consideration may have both positive (increase in deforestation) and negative effects (decrease in deforestation), which simultaneously affect deforestation. These effects of each variable have been considered in our proposed model. A brief discussion on the dual effects of the variables on deforestation are outlined below

**I. Population Growth:** An increase in population density, whether due to natural increase or migration, heightens the probability of deforestation in any given area. For each additional person, there are additional resource demands (food, fuel wood, shelter, land, etc.), resulting in increased pressure on forest resources. According to

Malthusian proposition a rise in population growth will increase deforestation because of the demand of land for shelter and illegal logging for income generation[7]. In economic terms, decreased real wage rates and forest conversion costs due to increased labour supply and higher prices of agriculture land and agricultural products due to increased demand of both, create economic incentives to expand agriculture into forest areas leading to deforestation[8]. On the other hand Boserup hypothesis states that increase in population growth leads to negative or no effect on deforestation. According to the Boserup argument, more people mean more creativity and ideas leading to development of new technologies to cope with resource scarcity, and higher labour absorption capacity in the agricultural sector[9]

**II. Agricultural growth :** Two significant sources of agricultural growth are the expansion of agricultural areas and intensification of agricultural practices. Expansion of agriculture increases deforestation. But, increased agricultural production can also be achieved by agricultural intensification such as increased use of fertilizer, pesticides, irrigation

facility and new hybrid varieties[9]. Similarly, improved technology often makes it possible to develop marginal lands for crop production, and thus reducing the pressure on forest land for extension of agriculture. Therefore, intensification decreases deforestation and the net effect of agricultural growth will depend upon combined effect of expansion and intensification of agriculture.

**III. Economic Growth :** According 'Immiserization theory', [10], "those who are poor and hungry will often destroy their immediate environment in order to survive. They will cut down forests; their livestock will overgraze lands; and they will overuse marginal lands". Economic growth creates ample off-farm employment opportunities away from the frontiers that divert the farmers from clearing the forests[11]. Besides, availability of capital helps in better forest management and creates awareness among citizens for forest preservation. Hence, an increase in income due to economic growth is expected to reduce deforestation. In contrast, the rising economic growth can also have detrimental effects on deforestation. The amount of local capital available for investment in forest regions (for logging) increases with economic growth leading to deforestation[12]. Economic growth also increases demand for agricultural and forest products, both for domestic consumption and export. Expansion of agricultural area and logging is necessary to meet these increased demands, thus deforestation increases.

Because growth in agriculture is taken as an independent variable to study the effect of the agricultural sector on deforestation, the growth rate of Gross Domestic Product excluding the contribution of agriculture is used as an explanatory variable to capture the effect of economic growth on deforestation.

**IV. Construction of Road :** Road construction increases deforestation both directly and indirectly. The direct cause is the conversion of forest area for road construction and the movement of machinery. Indirectly, increased accessibility

reduces transportation costs, raises land prices (speculation), and makes feasible the extraction of forest and production of cattle and agricultural products in fringe areas around the road[13]. Road construction, however,



may reduce deforestation by better forest management and patrolling in areas that could otherwise be illegally logged if there is the availability of other means of transportation (such as waterways). Further, road construction around townships located away from forest areas will not have much detrimental effect in increasing deforestation.

In this study, paved roads length is considered as an explanatory variable.

**V. Literacy Rate :** Awareness level of people is expected to help in reducing deforestation and education is a way of making people aware. Education level might play a role in curbing the clearance of forest. Education can make the people aware of the dangerous effects of deforestation. Even a little education may decrease forest clearance because it is easier for individual to acquire information about new farm technologies from outsiders in order to intensify agricultural production and thereby curb deforestation.

As an index of awareness level, we have considered the literacy rate as an explanatory variable, in our study.

## 5. THE PROBLEM OF ESTIMATION AND TEST OF SIGNIFICANCE

The Ordinary Least Square (OLS) technique is used to fit the model described in Section 3. The OLS estimates of the slope coefficients  $\beta$  are given [14] by the following matrix equation,

$$\hat{\beta} = (X'X)^{-1} X'Y$$

It is the great virtue of the multiple regression analysis that it has the ability to sort out the separate effects of different factors (independent variables) precisely when the numerous variables are affecting the result. The slope estimates, also called *partial regression coefficients*  $\beta$ 's provide this information. It represents the expected change in the dependent variable with the change in each of the independent variable.

The hypothesis we consider in this situation is that the socioeconomic and the demographic factors under consideration have both positive or negative effects on the change of forest covered area/deforestation of Assam.

Statistically, this hypothesis can be stated in terms of the partial regression coefficients  $\beta_i$  ( $i = 1, 2, 3, 4, 5$ ), and is equivalent to the null hypothesis :  $\beta_i = 0$  against the alternative :  $\beta_i \neq 0$ , for  $i = 1, 2, 3, 4, 5$ . To test these hypotheses, the appropriate test statistic is given by,

$$t = \frac{\hat{\beta}_i - \beta_i}{\sqrt{\frac{\sum e_i^2}{n-k} \times a_{ii}}}, \text{ t follows student-t distribution with } (n-k) \text{ degrees of freedom and}$$

$\hat{\beta}_i$  = coefficient about which the hypothesis is to be tested

k = no. of variables in the model,

$\sqrt{a_{ii}}$  = ith diagonal element in  $(X'X)^{-1}$

$\sum e_i^2$  = error of estimate

= Actual value – estimated value

In addition, to know to what extent the line is good fit to observe the true relationship, the value of  $R^2$  is used.  $R^2$  is the measure of goodness of fit, also known as *Coefficient of Determination*. It shows the percentage of the total variation in the dependent variable, which can be explained by the independent variables.

## 6. NATURE OF DATA AND DATA SOURCES

The present study is based on secondary data from different trustworthy sources. The data on forest covered area, in the state of Assam, for the period under study (2001-2015) are obtained from the Forest Survey of India (FSI), Dehradun. The bi-annual State of forest reports, published by FSI, have been considered for this purpose. The data for Gross State Domestic product at factor cost by industry of origin at current prices, the data for agricultural production and the data for population are obtained from the National Accounts Division of Ministry of Statistics and Programme Implementation, Govt. of India. The data on road lengths of Assam has been recorded from the government website [www.assamgovt.org](http://www.assamgovt.org). Due to the non availability of reliable data of the literacy rates for all the years under study, the rates have been estimated with the help of the Exponential Growth model.

## 7. STATISTICAL ANALYSIS

The statistical analysis is made in two ways : Descriptive statistics and multinomial regression analysis.

### 7.1 Descriptive statistics

Descriptive statistics are used to characterize in a general form of deforestation or the forest covered area and the socio-economic and demographic factors under consideration. It includes the measurement of central tendency, dispersion and Karl Pearson's correlation coefficients. Table 2 and Table 3 shows the descriptive statistics of forest covered area, deforestation, population size, agricultural production, GDP and road length of Assam. The descriptive statistics for the estimated data on literacy rates are not given.

**Table-2: Descriptive statistics of different variables.**

Variables Statistics	Forest Covered Area (In sq. km )	Deforestation (In sq. km )	Population Size	Agricultural Production (in lacs)	GDP (In lacs)	Road Length (In km)
Mean	27682.88	59	29384500	997131.83	2223044.83	34141.16
SD	65.7015	90.55	1595675	207917.71	850686.34	1562.22
Min	27623	-66	26700000	703010	1238127	33000
Max	27826	200	32069000	1268802	3442531	37134

**Table-2: Karl Pearson Correlation Coefficient between dependent and independent variables**

Variable	Correlation Coefficient
(Y, X <sub>1</sub> )	0.845554095
(Y, X <sub>2</sub> )	0.743015406
(Y, X <sub>3</sub> )	0.868720348
(Y, X <sub>4</sub> )	0.686902343
(Y, X <sub>5</sub> )	0.854630783

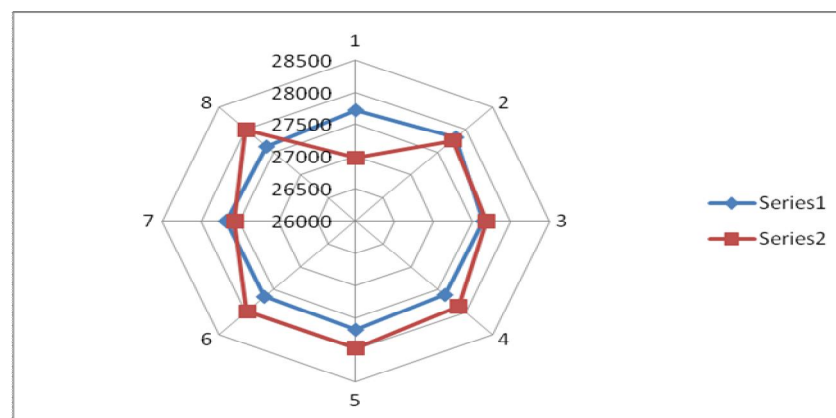
### 7.2 Multinomial regression analysis

The regression model proposed in Section 3 has been analysed by using the mathematical computer package MATLAB. The study has revealed the following results regarding the significance of the relationship between the dependent and the independent variables.

R <sup>2</sup>	$\beta_i$	t - statistic
0.8713	-28.3946	8.2319
	3.59363E-05	2.8032
	17.0012	7.0976
	-389.2283	12.865*
	1378.6054	14.4451*

The result of the linear regression analysis shows that the independent variables road length and literacy rate have significant effect on the deforestation of Assam. It is clear from the analysis that for a positive change in the road length there is a decrease in the forest covered area, implies an increase in deforestation. On the other hand, literacy rate and deforestation vary in the opposite direction.

Again the value of R<sup>2</sup> being high, we can infer that the proposed model gives a good fit. A comparison of the actual data (observed) on forest covered area and the estimated figures, as given by our study is made and is represented diagrammatically (Radar Plot) in Fig. 2.



**Fig.-2: Diagrammatic representation of Observed and Estimated data.**

## 8. CONCLUSIONS

Above study examines the effects of economic, social and demographic variables on deforestation in Assam. In the study the infrastructural development and education have appeared to be the important explanatory variables. Though the population growth, economic growth and agricultural growth are also some important drivers of deforestation, their influences on deforestation have not properly come out in the study.

In Assam, the problem of deforestation or degradation of forest is quite acute. Total area under forests has been gradually declining in Assam due to its total mismanagement. The forest is a living organism and like other organism it needs proper and adequate care and congenial conditions for growth. The forest is a slowly growing organism and thus requires tender and adequate treatment. The ill treatment that have been meted out to the forest in Assam, subverting the forest management for the last two decades, have denuded the forest cover in the state at a large scale. Managing a living organism is quite difficult. Without having any fencing, the forests are open to grazing, pilferage, poaching and biotic interference. All these have made the forest management a difficult task, particularly in the days of lawlessness.

In spite of all odds, the present situation demands a strict adherence to the forest management policy.

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## RURAL ENTREPRENEURSHIP THROUGH DAIRY FARMING IN GOA

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### ABSTRACT

*The present study attempts to identify the potential for starting small dairy farming business as entrepreneurial activity and assess the market potential in Goa. It tries to find out the problems faced by the entrepreneurs in dairy business. Since Goa is enjoying high per capita income and rising inflow of tourist, demand for milk is showing an increasing trend. But the production and supply of milk within the state is falling short. Therefore, in addition to Goa State Co-operative Milk Producers Union Ltd (Goa Dairy), milk is purchased from neighbouring states. Though the government has started various schemes to make dairy farming a lucrative employment option still youth are not attracted to this activity. Therefore, undertaking awareness drives, providing animal care services and good breed cattle together with the use of technology can to some extent make dairy a preferred employment avenue for the youth in rural areas.*

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### INTRODUCTION

Milk is very essential for human beings. It is a rich source of nourishment as well as an important ingredient for preparing different food items. Globally, India is the leading producer and consumer of milk products. In India, milk production was carried on a limited scale and mostly labour was used as compared to machinery in the western countries. But after the White Revolution under the guidance of Dr. Verghese Kurien the scenario of milk production changed in India. The dairy products were manufactured on large scale with the help of co-operatives.

Dairy farming offers huge opportunities to the entrepreneurs especially in rural areas. Agriculture was the main occupation of people. Along with agriculture, people were maintaining cattle so that they get milk for domestic use. Milk production was on limited scale and wholly for self-consumption purpose. Later on slowly milk production started increasing as the government took effective measures to improve milk production. After independence, there was boost to the co-operative sector and dairy co-operative is presently highly successful in India. Milk products such as ghee, butter and other products were brought in the market by AMUL.

### REVIEW OF LITERATURE

**Chand, Swami & Tipnis (2015)** attempted to study the factors influencing the performance of dairy farming and examined the sector's potential. It was found that though India is leading milk producer in the world, its dairy industry is facing number of problems like low yield of milk giving animal, huge number of unproductive animals, under nutrition, improper use of inputs etc.

**Chander (2014)** study found that while pursuing animal husbandry in an organic way there exist several challenges like existence of communicable diseases, fodder shortage, lack of knowledge regarding certification, slack domestic demand, stringent export norms etc. It stressed co-ordinated initiatives by the international organisations and the Government of India to stimulate organic animal husbandry.

**Kishor, Bithal, Joshi, Shah & Saini (2016)** study attributed the progress in dairy farming to the rise in productivity of bovine herds and a decrease in male bovines together with rising number of marginal and sub-marginal farmers involved in dairy activities.

**Maji, Meena, Paul & Rudroju (2017)** analysis reveal that farmers have huge avenues for dairy farming given the inherited advantages enjoyed by India like local traditional knowledge, rich flora and fauna, abundant labour together with untapped domestic market. Therefore, creating awareness among public and setting up institutions that train and certify organic products must be given priority by the government.

**Rajeshwaran & Naik (2016)** study while analysing the positive and negative aspects of sudden boom in the growth rate of milk production in 2014-15 in India found that Rajasthan and Madhya Pradesh had larger share in the increase. Therefore, they emphasized that in order to have a more widespread coverage of areas the policies adopted by these states should be studied separately.

**Kumar, Parapurathu & Joshi (2013)** study attribute the remarkable progress in the production and yield of milk to technological development, improved herd quality, expansion of irrigation facilities and co-operatives. The study has highlighted continued investment in veterinary care facilities, strengthening co-operatives and

grass root delivery of various services required by the dairy sector as prerequisite for sustained growth of dairy sector in the country.

**OBJECTIVES OF THE STUDY**

1. To identify the potential of starting small dairy farming business as entrepreneurial activity and assess the market potential.
2. To study the problems faced by the entrepreneurs in dairy business.
3. To examine the role of government in promotion of dairy business in rural areas.
4. To suggest remedial measures for promoting entrepreneurship in rural areas through dairy farming.

**RESEARCH METHODOLOGY**

The research paper is based on primary and secondary data. Informal interview was conducted of dairy farmers in Bicholim taluka. Information was gathered from the Department of Animal Husbandry, Government of Goa through their websites and Booklets published about various schemes. The authors are also well-versed with the techniques of dairy business as milk business was carried out by traditional methods for several years. The experiences of the milk business has been shared in the paper.

**PRODUCTION OF MILK IN INDIA**

Milk production and per capita availability of milk has grown over a period of time in India.

**Table No.1: Milk Production in India**

<b>Year</b>	<b>Milk Production ( million tons)</b>	<b>Per Capita Availability( grams/day)</b>
2000-01	80.6	220
2001-02	84.4	225
2002-03	86.2	230
2003-04	88.1	231
2004-05	92.5	233
2005-06	97.1	241
2006-07	102.6	246
2007-08	107.9	252
2008-09	112.2	258
2009-10	116.4	273
2010-11	121.8	281
2011-12	127.9	290
2012-13	132.4	299
2013-14	137.7	307
2014-15	146.3	322
2015-16	155.5	337

Source: Dept. of Animal Husbandry, Dairying and Fisheries, Ministry of Agriculture

From table no 1 it is observed that there has been continuous increase in the production of and per capita consumption of milk in the country. In 2018, milk production is expected to increase by 4.4 percent to 167 million metric tons. Also it is expected that with the rising incomes, growing urbanization and changes in the composition of population, demand for milk products like ghee, butter etc. will rise.

**MILK PRODUCTION AND MARKETING IN GOA**

Milk business was carried by the people on a limited scale in every village of Goa. Many people in villages had agricultural land and they were cultivating manually till recently. Each family of farmer was having cattle's along with other animals. Paddy cultivation was the main produce cultivated by the farmers in villages of Goa. Along with paddy cultivation farmers also had milk business but on a limited scale.

After Goa's liberation, the market started expanding and hotels and restaurants became main consumption centers for milk. People who were doing milk business were supplying milk to hotels. They were getting business daily as the transaction of business were maintained on daily basis. Some milk producers besides supplying milk to hotels were also supplying in residential houses which was on monthly basis. The monthly earnings was considered as savings.

Milk was supplied in hotels in the morning and afternoon and revenue collection was made during evening time on daily basis. This money was spent on cattle feed and maintenance. Whenever the hotels were closed especially on Sunday, milk producers were under pressure as the cost of feed was fixed. But once in a week they were bearing the losses and also on the first of every month they had to supply milk free and in return they were allowed to eat in the hotel. In villages, the demand for milk was limited. Hence they had to depend on urban areas.

When Goa Dairy was established, milk producers got relief as milk was sold to dairy co-operatives. They had collection centers in rural areas or village wise and started collecting the milk from respective villages. This solved the problem of distribution of milk. The rate which is quoted by the dairy is generally less than the rate quoted by the hotels or residential houses. But there is guaranteed market and there is no tension for the milk producers about unsold milk production.

When dairy started in villages many farmers started business of milk by maintaining the cattle's. In the meantime, the government also started various schemes to promote dairy business in Goa. They started to give advance subsidy for purchasing cows and buffaloes through Rural Development Agency, Later on, Animal Husbandry Department started their schemes for purchase of Jersey cows. Cows are purchased from Belgaum, Kolhapur and Dawangiri cattle market.

Goa State Co-operative Milk Producers' Union Ltd (Goa Dairy) is the highest body consisting of 175 Dairy Co-Operative Societies having 18,000 farmer families as members which forms about 60 % of milk producers in the state. The average milk collection which was stagnated at 36,000 litres/day has gone up to 65,000 litres/day by Goa Milk Producers Union Limited, due to purchase of total 8,619 numbers of animals (from November 2012 till November 2016) under Kamdhenu (Sudharit) Scheme (Economic Survey Government of Goa, 2016-17).

It is important to have sufficient stock of livestock in the state to maintain regular supply of milk and meat products considering high per capita income and rising number of tourists. It is reported that the absolute number of cattle and buffaloes as well as the proportion of cattle and buffaloes in Goa is declining.

Farmers in Goa find it difficult to get good quality green as well as dry fodder. Since less people are dependent on agriculture, there is shortage of green fodder. Most cattle owners seem to have small number of animals and own small size of land. There is difficulty in getting good veterinary services. Also there is problem of land for grazing. The problem persists because of saline soil and high cost of fencing and labour charges.

Though the demand for milk is increasing in the state, it is found that the production and supply of milk within the state is falling short. Therefore, in addition to Goa State Co-operative Milk Producers Union Ltd (Goa Dairy), there are nearly 30 private sector/co-operative milk suppliers from other states. The Goa Dairy purchases milk from local dairy farmers and neighbouring states.

Following table shows the production of milk in the state of Goa.

**Table No. 2 : Milk Production in Goa**

Year	Milk production ( million tons)	All India (1000 tonnes)
2000-01		
2001-02	45	84406
2002-03	46	86159
2003-04	48	88082
2004-05	57	92484
2005-06	56	97066
2006-07	57	102580
2007-08	58	107934
2008-09	59	112183
2009-10	59	116425

2010-11	60	121848
2011-12	60	127904
2012-13	61	132431
2013-14	68	137685
2014-15	67	146314
2015-16	54	

Source: Dept. of Animal Husbandry, Dairy and Fisheries, Ministry of Agriculture

Table No. 2 shows slow increase in the milk production in the state.

### **DEMAND FOR MILK IN GOA**

Agriculture was the main occupation of the Goan people till liberation. Very few mining industries were operating in Goa. The real development started in Goa after liberation. Infrastructure development, telecommunication, education, trade and commerce, mining etc. were started on a large scale. Development in trade and commerce led to the expansion of markets in towns and cities.

Agriculture was the main occupation and mining was the main industry providing large scale employment in rural areas. During 1980's, the government for the first time considered tourism as one of the industry that can have potential to provide employment. Since then the government concentrated on promoting tourism and related industries. In order to accommodate huge tourist inflow, the government started providing licenses to hotels on a large scale.

The demand for milk started increasing with the arrival of tourists. Today besides Goa Dairy, the SUMUL dairy has also started in Goa. Also AMUL, Wana, Nandini milk are sold in the Goan market. The milk produced in Goa is limited despite of presence of two dairies existing in Goa. As per NABARD estimates, Goa's milk demand is 4,32,000 litres per day while the supply in the state is around 1,40,000 per day and the balance is met from other states.

### **SCHEMES STARTED BY THE GOVERNMENT TO PROMOTE DAIRY FARMING**

Some of the schemes implemented by the government to promote dairy farming are as follows:

#### **1. Kamdhenu Scheme (SUDHARIT)**

The objective of this scheme is to help farmers to get financial assistance for the purchase of cross bred cows and improved she buffaloes for dairy unit. The pattern of assistance is 75 percent subsidy on the cost of animal and for SC/ST / Dhanger community it is 90 percent. The government also bears the transportation cost of Rs 1,500 per cow for bringing them from the market to dairy farm. Animal purchased under this scheme should be insured for minimum period of 3 years under the comprehensive insurance policy.

#### **2. Purchase of Dairy Equipment**

30 percent of the cost of plant and machinery will be granted as subsidy subject to a maximum of Rs 4.50 lakh to any individual for setting up of a new dairy farm, expansion of existing dairy unit and purchase of modern dairy equipments, for existing dairy units and renovation for existing cattle shed. The beneficiary can start the unit with his own finance or by taking loan from financing institution. For milk machine subsidy is 30 percent of the cost of the milking machine the plant and machinery include cattle shed, cow dung pit, store room, milking machine, water pump with other accessories and plumbing, chaff cutter and other items which includes cow chains, ghamelas, buckets, milk cans, milking pails, spades etc.

#### **3. Cattle Feed Subsidy**

This scheme is applicable to all the milk producers from Goa State who are members of the dairy co-operative societies. Farmers shall be paid @7.72 of the cost of milk supplied to dairy co-operative societies in the state of Goa, the Goa state co-operative Milk producers Union Ltd or any other Dairy Union in the state authorized by the state government, by members of the various registered dairy co-operative societies in the state of Goa, as feed subsidy.

#### **4. Incentive to Milk Producers**

The composite subsidy @ 40 percent ( incentive on milk @ 32.28 and cattle feed @ 7.72) on the proceeds of milk supplied to dairy co-operative societies in the state of Goa, the Goa State Co-operative Milk Union Ltd. or any Dairy authorized by the state government shall be paid on monthly basis.



**5. Breeding and Rearing of Cows/ Buffaloes /Calves schemes**

The scheme is designed for breeding of local cows/ buffaloes and rearing of cross breeds/ improved buffaloes calves. The scheme consists of two parts. The first part consists of three phases. The first phase deals with the artificial insemination of the local cows and buffaloes. The second phase is the confirmation of pregnancy and feeding incentive and third phase deals with rearing of the calf from birth to 27 months. It also includes the cross-bred calves born out of artificial insemination to local cows, buffaloes and improved buffaloes calves brought along with animals under Kamdhenu scheme or Western Ghat scheme or Modern dairy scheme or other existing schemes.

Besides this, subsidy is also provided for green fodder cultivation, infrastructure development schemes etc.

**PROBLEMS FACED IN THE DAIRY FARMING BUSINESS****1. Getting of Good Cows/ Buffaloes**

It is very important to have good milch cows or buffaloes. In Goa, the jersey cows are not available. It has to be purchased from Belgaum, Kolhapur or Dhawangiri cattle market. The market rate is very high of milch cows.

**2. Transportation Cost**

After purchase of cows, they have to be shifted from that market to Goa. The government pays only Rs.1,500 per cow which may not be enough. Hence, the purchaser has to incur additional transport cost.

**3. Change in the Temperature Affects Milk Production**

At the time of purchasing the cow, the seller gives the guarantee of milk but when they are brought from neighbouring places like Belgaum or Kolhapur it affects the milk production because of the change in temperature. Normally cows are giving more milk in cold temperature but in Goa the temperature is dry and hot.

**4. Availability of Labour**

In Goa, getting labour is difficult and if at all labor is employed then the salary or wages paid are quite high. Earlier family members used to assist in doing the work of dairy but now it becomes difficult due to small size of families.

**5. Requires Huge Land**

For starting dairy activities huge land area is required. Majority of the farmers have small land. Therefore, carrying dairy farming may be practically challenging.

**6. Co-operation From The Government Authorities**

Though the government has designed schemes for promoting dairy farming in Goa it is important to get through the eligibility norms of the scheme.

**WHY YOUTH ARE NOT ATTRACTED TO DAIRY FARMING BUSINESS IN GOA**

In fact the dairy farming business is very profitable and the government provides various incentives through different schemes. If anyone takes up seriously then dairy farming can be considered as a good business. But it has been observed that the dairy business is not growing or the youth are not attracted towards the dairy business due to following reasons:

**1. Educational Qualifications**

Most of the rural areas have access to education and children from the rural areas are going for higher studies. Highly educated person thinks of job employment rather than starting their own business and if at all, they think of their own business, then starting of milk business may not be suitable according their qualification. Hence educated people prefer job rather than undertaking business.

**2. Milk Business is very Risky Business**

In business there is risk involved. Risk differs from business to business. However, in milk business greater risk is of the milch cows or buffaloes which are brought from outside state. They have to give good milk and if they do not yield then it is loss. Hence there is very high risk in milk business. Some cows do not give milk if their calve is dead. Hence keeping the calves alive is very important.

**3. Craze For Government Jobs**

In Goa, mostly educated youth prefers government jobs, as government jobs are more secured and give guaranteed return. Holidays, leaves and good pay attracts youth towards government jobs. Therefore they do not find dairy as viable income generating activity.



**4. Social Status**

Youth who start dairy business think that they are not getting or they will not get good social status. The work of dairy is normally manual work and related to cleaning of cow dung, washing of milking animals, taking care of the calves and supplying milk to dairy societies. Hence today youth are not interested in doing this type of work and they think that doing this type of work is sub-standard.

**5. Continuous Work and No Rest**

In dairy business, there is continuous work and no rest for the person who starts dairy business. He cannot take holidays and go for outings. The work starts from early morning and full day is occupied with work. Hence youth may not like to work for the whole day.

**CONCLUSION**

Since Goa is having high per capita income and rising inflow of tourist, demand for milk is showing an increasing trend. But the production and supply of milk within the state is falling short. Therefore, in addition to Goa State Co-operative Milk Producers Union Ltd (Goa Dairy), milk is purchased from neighbouring states. Though, the government has started various schemes to make dairy farming a lucrative employment option still youth are not attracted to this activity. Therefore undertaking awareness drives, providing animal care services and good breed cattle together with the use of technology can to some extent make dairy a preferred employment avenue for the youth in rural areas.

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## IN DEFENSE OF THE CONTRIBUTION OF QUALITATIVE RESEARCH TO THE BODY OF KNOWLEDGE

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### ABSTRACT

*A discussion of methodology reflects the epistemological stance chosen for the overall research process. Methodology brings our philosophical standpoint and method together. The methodology gives shape to what is studied (the research problem) and how it is studied (the methods) and it indicates the relationship between the investigator and research participants through planned course of action. The choice of the research methodology and data collection tools are also influenced by research questions that seek to gain insight and construct explanations on the phenomenon under study. Quantitative or positivist research deals with observation, experience, and experiment to determine guidelines and concepts that can be replicated. Qualitative or interpretivist research on the other hand, focuses on understanding, interpretation, and social meaning that are gathered through the interaction of the researcher and the research subjects resulting to a great deal of data from a relatively small number of subjects. It is for this latter understanding that this research paper defends the use of qualitative research, despite the heavy criticism it has endured as a tool of research. Critics have dismissed it as a scientific research method for its lack of theory testing, validity and reliability, with some antagonists implying that it does not qualify to be a methodology in its own right, and that it is inferior to a study with bigger samples. This research justifies the use of qualitative research methods since they are used to comprehend people's motivations and actions, and the larger framework within which they work and live; a process that cannot be achieved through quantitative research. In addition, qualitative data analysis is grounded on assumptions that realism is socially constructed as a positioned action that locates the observer in a world, and which comprises a group of interpretive activities that make the world visible. Through a review of past research and the grounding on which qualitative research rests this paper will take a protagonist view of the topic under study to advance its continued use as a scientific research tool.*

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### 1. INTRODUCTION

In research methodology plays a key role in what is studied and how it is studied and the relationship between the researcher and the respondents. Generally, research seeks to understand a phenomenon or to find answers to the research inquiry through a planned course of action. Hesse-Biber and Leavy (2011, p. 6) describe methodology as "... the bridge that brings our philosophical standpoint (on ontology and epistemology) and method (perspective and tool) together". Research questions that seek to gain insight and construct explanations on the phenomenon under study are important in the choice of the research design.

Quantitative research also referred to as empirical or positivist research deals with observation, experience, and experiment to determine guidelines and concepts that can be replicated (Myers, 2009). Qualitative or interpretivist research on the other hand, focuses on understanding, interpretation, and social meaning that are gathered through the interaction of the researcher and the research subjects (Hesse-Biber & Leavy, 2011).

### 2. QUALITATIVE RESEARCH

The interpretive view presupposes that access to reality that is itself socially construed is primarily done through social interactions to access members' shared meaning, language, experiences and consciousness (Myers, 2009). Qualitative methods that maybe used to gather data include: case study, focus group discussions, in-depth and semi structured interviews, observations, critical incidences and secondary data. Each of these methods is discussed in detail in the subsequent sections. While quantitative research involves statistical sampling techniques, establishes representation of a sample to the population and revolves around some form of measurement, the qualitative research focuses on what the participants' behaviour means to them, necessitating the researcher to get close to them and learn their inner culture, thoughts and experiences (Ghauri & Gronhaug, 2010; Myers, 2009). Thus, cases are never really defined or bound until data gathering and analysis are completed, because the research questions and the researcher's insight guide the research.

Veal (2005) described a qualitative approach as a method that involves collecting a great deal of data from a relatively small number of subjects. Qualitative research uses methods and techniques to gather data and seeks to conduct a reasonable analysis of the data, grounded on assumptions that realism is socially constructed (Johnston, 2010). Denzin and Lincoln (2011) view qualitative inquiry as a positioned action that locates the observer in a world, and which comprises a group of interpretive activities that make the world visible. Data

collected this way are used to comprehend people's motivations and actions, and the larger framework within which they work and live (Myers, 2009).

The primary purpose of using qualitative research is to elicit stakeholders' opinions, feelings, experiences and understanding of the subject under study, with the aim of allowing the participants' flow of ideas, experiences and thoughts. This is best done by giving the respondents open room for expression through open-ended questions and focus group discussions.

## 2.1 Case studies

Yin (2008) defined the case study as a research approach that seeks to answer the 'how' and 'why' questions, while accommodating instances when the researcher has limited power over the flow of information. The case study approach therefore necessitates an emphasis on the research topic. The study makes use of numerous sources of data, but the more telling sources are from documents and interviews. Similarly, Creswell, Hanson, Plano and Morales (2007) viewed case study research as an investigation of multiple bounded systems conducted over time through detailed, in-depth interviews that involve several sources of rich in-context data. In business research, case study research is preferred over other methods when the research topic or setting is a challenging phenomenon, and when areas being studied are numerous and difficult to measure (Ghauri & Gronhaug, 2010).

Case study has been criticised as a scientific research method for its lack of theory testing, validity and reliability, with some antagonists implying that it does not qualify to be a methodology in its own right, and that it is inferior to a study with bigger samples (Flyvbjerg, 2011). Table 1 depicts five common misunderstandings that are sometimes attributed to the case study approach, and the corrected or revised view. The corrected view of the misunderstandings argues that case study can be used as a method to gather and analyse data either on its own or in combination with others.

**Table-1: Case study misunderstandings**

Misunderstanding	Revised view
1. General theoretical knowledge is better than concrete case knowledge	Predictive theories and universals cannot be found in the study of human affairs. Concrete case knowledge is therefore more valuable than the vain search for predictive theories and universals.
2. One cannot generalise on the basis of a single case; therefore, the case study cannot contribute to scientific development.	One can often generalise on the basis of a single case, and the case study may be central to specific development via generalisation as a supplement or an alternative to other methods. But formal generalisation is overvalued as a source of scientific development, whereas "the force of example" and transferability are underestimated.
3. The case study is most useful while generating hypotheses (that is, in the first stage of a total research process), while other methods are more suitable for hypotheses testing and theory building	The case study is both useful for generating and testing of hypotheses but is not limited to these research activities alone.
4. The case study contains a bias toward verification—that is, a tendency to confirm the researcher's preconceived notions.	The case study contains no greater bias toward verification of the researcher's preconceived notions than other methods of inquiry. On the contrary, experience indicates that the case study contains a greater bias toward falsification of preconceived notions than toward verification.
5. It is often difficult to summarise and develop general propositions and theories of specific case studies	It is correct that summarising case studies is often difficult, especially the case processes. It is less correct as regards to case outcomes. The problems in summarising case studies, however, are due more often to the properties of reality studied than to the case study as a research method. Often it is not desirable to summarise and generalise case studies. Good studies should read as narratives in their entirety.

Adapted from: Flyvbjerg (2011 p. 302)

## 2.2 Focus groups

Focus group (FG) discussions involve putting together eight to twelve participants and then introducing a topic of discussion, with all members of the group being encouraged to take part. Eight to twelve members is a small enough group to allow all members to actively participate in the discussion, yet big enough to produce adequate data because “a large group offers fewer participants a chance to speak, and may encourage some to hide in the crowd and withhold participation” (Fern, 2001 p. 38).

FGs allow shared opinions of a particular defined subject that is of interest to a group of individuals who have had certain shared experiences (Myers, 2009). The aim of the FGs is to answer the ‘how’ and ‘why’ questions that produce rich, multifaceted, nuanced and even challenging explanations of how people attribute meaning to, and construe their understandings (Kamberelis & Dimitriadis, 2011).

To conduct a successful FG discussion, an interviewer has to possess rich interview skills so as to elicit opinions, attitudes and beliefs held by members of a group. Such skills include being sensitive to others’ views, being quick to spot issues that deserve further clarification, and being able to keep all participants attentive and responsive and to avoid wasting time (Myers, 2009). When using focus group discussions, a contribution by one individual usually triggers a chain of reactions from the others, which then sparks diverse, spontaneous and less conventional ideas. Members of the group then express themselves freely, flexibly and confidently with the excitement increasing as the discussion progress. A lot of data is produced that should be recorded by taking notes, audiotaping or even video recording.

When well done, data generated from FGs are rich and descriptive because ideas build and people work to explain why they feel the way they do. FG discussions bring synergy in the conception and dynamism of ideas’ while generating data that can complement that produced from individual interviewing. The FG discussions also present ideal sources of data on how diverse groups in a community perceive their status or challenges (Murray, 1998). FG discussions have several advantages, as shown in Table 2.

**Table-2: Advantages of group discussion**

<b>Synergism</b>	Combined effect of the group produces a wider range of information, ideas etc.
<b>Snowballing</b>	A comment by an individual often triggers a chain of responses from other respondents.
<b>Stimulation</b>	Respondents become more responsive after initial introduction and are more likely to express their attitudes and feelings as the general level of excitement increases.
<b>Security</b>	Most respondents find comfort in a group that shares their feelings and beliefs.
<b>Spontaneity</b>	As individuals are not required to answer specific questions, their responses are likely to be more spontaneous and less conventional.
<b>Serendipity</b>	The ethos of the group is likely to produce wider ideas and often when least expected.
<b>Specialisation</b>	The content allows a more trained interviewer to be used and minimises the possibility of subjectivity.
<b>Scientific scrutiny</b>	The nature of the inquiry allows a closer scrutiny in the technique by allowing observers or by later playing back and analysing recording sessions.
<b>Structure</b>	Discussions afford more flexibility in the topics that can be covered and in the depth in which these are treated.
<b>Speed</b>	Given that several individuals are being interviewed at the same time, this speeds up the process of collecting and analysing the data.

Adapted from (Fahad, 1986, p. 322).



FG discussions also have potential disadvantages: doubts about validity, interviewer variability, degree of freedom, sample size, too much interaction, and self-appointed leaders who may influence others' opinions (Fahad, 1986). To counteract this situation, the researcher needs to have the capacity to address some of the issues that may arise at various stages of the discussion.

### **2.3 Interviews**

In depth interviews involve the collection of data by asking the respondent questions and seeking deep information. This is usually achieved through probing to clarify and establish more meaning to the topic under study. According to Baker and Foy (2008), semi-structured questionnaires comprise a mixture of open and closed questions that represent a middle ground between fully structured and unstructured interviews. This mixture is important because it accommodates new issues and themes that may arise, and ensures that the researcher can identify ideas that the study intends to research. Baker and Foy (2008) note that the semi-structured questionnaire is a useful method “ . . .when sampling a population to ensure that one has the necessary factual information for determining its representativeness, for ensuring that quotas have been filled, when the primary purpose is to get a feel for attitudes, opinions, etc. . .” (p. 229). Semi-Structured interviews allow the researcher to keep a focus on the topic. The semi-structured questionnaires should be used through a combination of pre-conceived questions, and ad-hoc probing questions that are attuned to the concerns of the respondents.

### **2.3 Critical incidents**

Critical incidents is a form of data collection and analysis, in which participants are encouraged to cite instances in which something deemed unusual or extremely important had happened to them. These incidents provided systematic ways for demonstrating the importance that respondents ascribed to events, for analysing developing patterns, and for drawing tentative conclusions (Kain, 2004).

### **2.4 Observation**

Observation entails listening to people, watching their behaviour and noticing natural settings in a way that allows some type of learning. This prompts intellectual inquiry into the meaning and possible analytical interpretation of observed behaviour. Baker and Foy (2008, p. 147) argue that observation “avoids the possibility of distortion that may arise when people are asked to report their own behaviour”. This is because the researcher has a first-hand experience of the phenomenon under study.

During data collection, observations can be made in areas such as: equipment, interactions among the employees, between employees and the employer, the general set-up, and, customer service habits, behaviours, set-ups and interrelationships. The aim is usually to produce data that can be used to compare with that gathered through interviews and other methods.

### **2.5 Secondary data research**

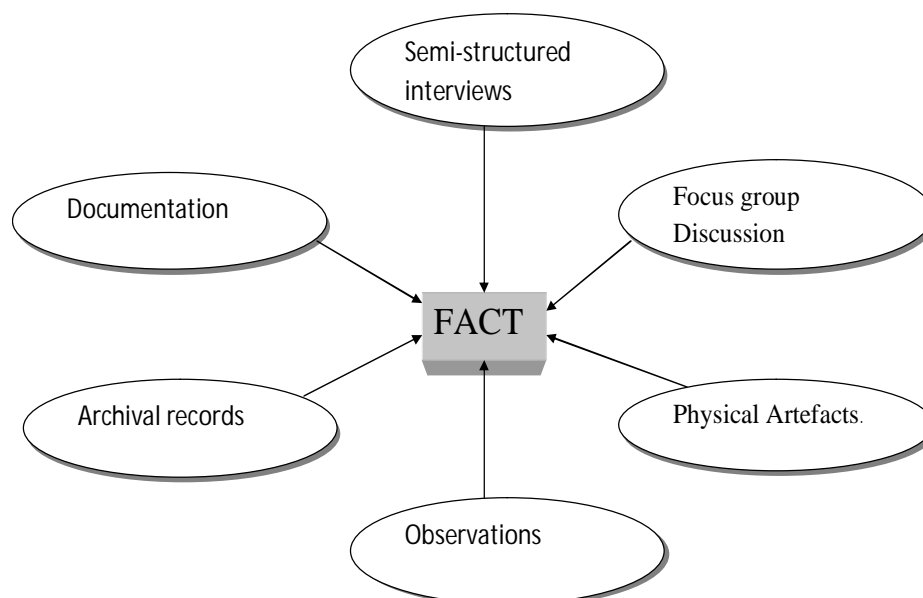
Doing a thorough secondary data research involves examining documents that relate to the topic under this study. These documents can be retrieved from government ministries, libraries, organisations that related to the research and from other relevant institutions. The data gathered from the documents provide background information about past processes, figures and systems used. Archival research includes items such as annual reports, newspaper clippings, organisational charts, exam reports and meeting minutes. These are necessary to supplement primary data and to help in research questions formulation (Myers, 2009).

In the use of documentation, caution must be observed to gauge the quality of the information by retrieving only those sources that are deemed useful to the study. Baker and Foy (2008) advise that, because the quality of information is variable, a researcher needs to be guided by rules of evidence. For instance, secondary data gathered by international organisations and governments are usually of a high quality because they are compiled by experts using rigorous methods; these can be used for cross-cultural comparison with similar information from multiple countries (Ghauri & Gronhaug, 2010). Other data, like those found in international journals of research, have gone through peer-review scrutiny before being published, making them reliable.

However, the main disadvantage with secondary data is that it has been collected for another study with different research problems, objectives and limitations, and it may not always be suitable for the current problem. It is important, therefore, for the researcher to identify in the research problem what is already known and what is needed to further the research (Ghauri & Gronhaug, 2010). Another possible disadvantage is that the authenticity of the findings is affected by the length of time since the data were collected, the place of collection in relation to the location of the study, and the methods of data analysis.

## 2.6 Multiple sources of data

In order to gather all requisite and to authentic different sources, qualitative research, involves collecting data from several sources such as in-depth interviews, FG discussions, observation and secondary data. This is in line with six types of data recommended by Yin (2004): archival records, direct observation, documentation, interviews, and physical artefacts that bring a contextual understanding by relying on multiple sources. The diagram below demonstrates the convergence of data from multiple sources, in an effort to obtain factual information. Using multiple sources generates more and diverse data and is rated more highly in terms of overall quality than a single source (Yin, 2004).



**Figure-1: Multiple sources of evidence**

Source: (Yin, 2004).

Despite the advantages associated with multiple sources, Ghauri and Gronhaug (2010) have identified three challenges of using multiple sources:

1. It can be very difficult to establish if the data from different sources are consistent or not.
2. Sometimes the different methods lead to different results.
3. Some researchers emphasise one method over the other.

Notwithstanding these challenges multiple sources of data is ideal because data from many sources of information allows for a degree of confirmation of findings, plus contributing new ideas and renewed insights.

## 2.7 Qualitative data analysis

Qualitative studies involve collecting a great deal of data from respondents, which necessitate a reduction and editing to make them manageable and meaningful. The large amounts of data from several sources make the analysis and organisation of that information critical (Johnston, 2010). At the end of data collection the researcher scrutinises the raw data, using interpretations and clarifications to establish causal relations, and then presents a report of the findings, drawing conclusions that are supported by evidence.

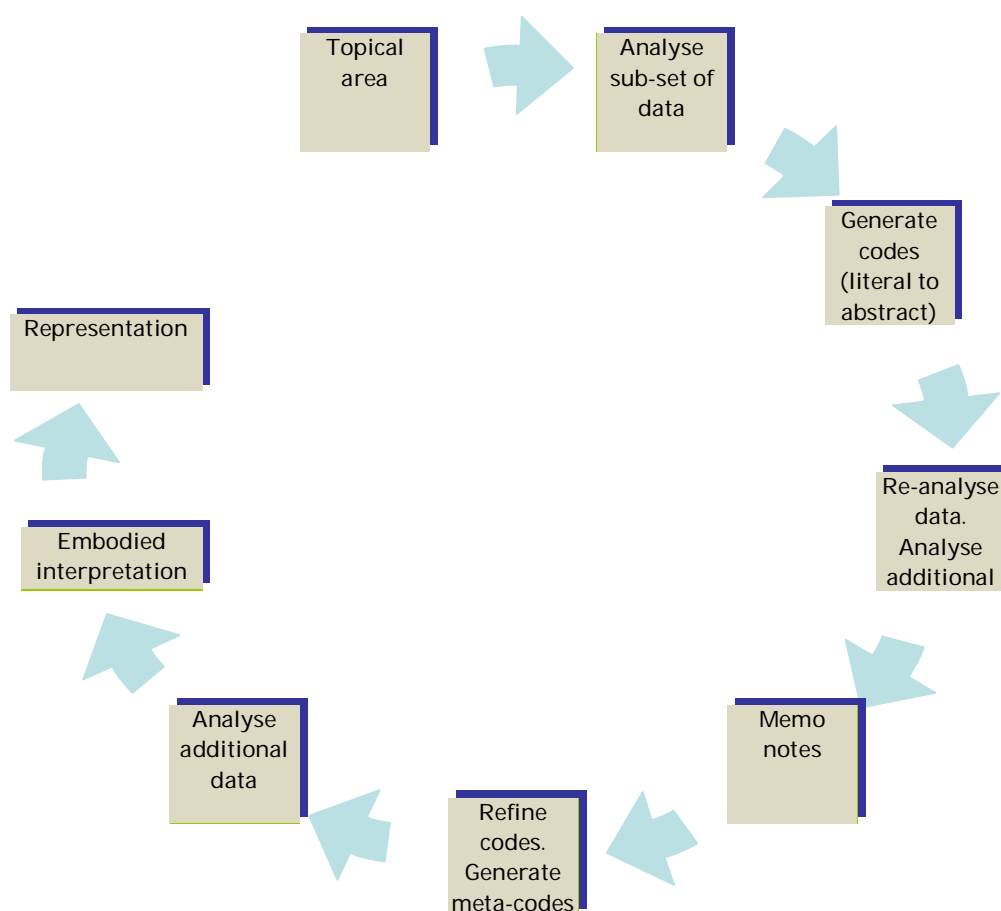
In analysing qualitative data, it is sometimes difficult to make a clear delineation between data gathering and analysis because some preliminary analysis and interpretation occurs during data gathering (e.g. making sense of and recording observations), and sometimes analysis reveals the need to double and seek more data. Ghauri and Gronhaug (2010, p. 197) observed that in qualitative research "... data collection and analysis are often conducted together in an interactive way where collected data are analysed, initiating new questions, and initiating further data collection".

### 2.7.1 Content analysis

In qualitative research such as case studies, there tends to be significant amounts of data because respondents are given some scope to express themselves freely; this amount of data can overwhelm the researcher in his/her attempt to analyse it (Ghauri & Gronhaug, 2010). To deal with this, content analysis is applied to seek structures and consistencies in the data collected (Myers, 2009). Devlin (2006, p. 198) summarised the steps in a content analysis below:

- 1) read through all the written responses
- 2) create a condensed list of the responses
- 3) create a list of categories (no more than six or seven)
- 4) develop an operational definition for each category
- 5) conduct inter-rater reliability analyses on a sample of each category.

Codes function as shorthand strategies to distinguish, label, compile and consolidate data to make it easy to manage information for the purpose of interpretation. Hesse-Biber and Leavy (2011) view content analysis as a cyclical or 'spiral' approach to knowledge building, where data are cumulatively analysed bit by bit. Here "... the researcher generates new understandings with varied levels of specificity, during each phase of the project and uses this information to double back and gain more information" (p. 234). This design is shown in Figure 2.



**Figure-2: Content analysis flowchart: Qualitative model (inductive)**

Source: Neuendorf (2001) cited in Hesse-Biber & Leavy (2011, p. 234).

According to Hesse-Biber and Leavy (2011) the researcher starts with a topic and research questions; codes are generated from the data under study; and then the researcher doubles back to re-examine data applying the new code categories. Although these steps may not be followed as precisely as presented, they act as a guide to systematic data analysis and interpretation. Baker and Foy (2008) differentiate classification and coding thus: "classification is concerned with the creation of categories, while coding is the technique used to assign the raw data to the correct category" (p. 294).

## 2.8 Qualitative research and Measures of consistency

In most research a primary concern is with validity and reliability. Webb (2000 as cited by Baker and Foy 2008) notes that validity is the extent to which a tool measures what it is expected to measure, whereas reliability denotes the consistency of achieving similar results when the measure is repeated. Therefore, while valid measures will always be reliable, a reliable measure may not always be valid (Baker & Foy, 2008).



### **2.8.1 Validity**

Qualitative research has a high concern for internal validity because qualitative measures are not statistically tested, and most data are collected through verbal methods that are difficult to measure. In addition the multiplicity of data adds to the real threat to internal validity and calls for the researcher to be extra vigilant. To address this qualitative researchers seek for repeated clarification to ensure consistency and to eliminate wrong measurements. In addition, to address opposing explanations, different responses are checked for similarity in pattern and account to ensure that a third factor is not the cause of the explanation Yin (2008). Amerson (2011) further adds that one can accomplish internal validity in qualitative research by using various methods such as pattern matching, explanation building, using logic models, or addressing rival explanations.

To deal with construct validity, qualitative researchers use multiple sources of evidence and usually ask respondents to review recorded data to ascertain its authenticity. This is in line with recommendations by Amerson (2011, p. 428), that “construct validity is established by using multiple sources of evidence, maintaining a chain of evidence, and having a key informant review the draft of the case study report or through member checking”. Furthermore, all taped data and discussions are kept safely and referred to during analysis to clarify any ambiguous statements. In addition, to clarify vague statements and contradictory information during the interview process, opinions are sought from colleague respondents where possible. Some other researchers are careful to explain technical terms, and in some instances translate the study’s interview questions to a language that the respondents can identify with (Ngure, 2013).

External validity defines the extent to which particular research findings can be generalised to other populations and to the broader world (Devlin, 2006), and the extent to which the outcome of a study in one or more instances applies to others that have not been studied (Dul & Hak, 2008). Although qualitative samples are not sufficient for generalization as we know it, the research provokes more study by presenting data that has depth, making it suitable for replication.

Curran and Blackburn (2001) identified seven ‘maxims’ for establishing validity in qualitative research:

- The statement of the problem is expressed clearly and precisely.
- All key concepts and assumptions are stated clearly and precisely.
- The methodology is systematic, clear and adequate. In this study case study methodology was used.
- The methods of analysis is precise about elements of interpretation and the logic linking the those elements
- The research determines whether the implications for policy and practice receive sufficient attention.

A thorough qualitative research will take in to consideration these ideals to ensure that the research is rigorous in nature.

### **2.8.1 Reliability**

Reliability is defined as the degree of consistency with which instances are assigned to the same category by the same observer or different observers (Silverman, 2005). While quantitative research views reliability in terms of the consistency in measures, qualitative researchers argue that attention to reliability of research study results should not be ignored (Kirk & Miller, 1989 as cited by Silverman, 2005). Reliability in qualitative research focuses on the perspectives of a number of observers and the reality’s constantly changing characteristics. Goodwin and Goodwin (1984) argued that reliability is a critical issue for two main reasons: to help ensure replicability of research findings and to provide a necessary prerequisite for validity. The authors outline four types of reliability that are relevant to qualitative measurements:

- Inter-observer, inter-interviewer, inter-recorder reliability, and inter–analyst reliability. This refers to the extent of agreement among two or more observers in the data collection phase and the extent to which independent analysts agree on the identification of data segments to be coded and classified.
- Intra-observer, intra-interviewer, or intra-recorder reliability and intra-analyst reliability. This refers to the extent of consistency of data collection techniques which observers, interviewers and recorders use, and the extent of consistency to which a single researcher identifies the same data segments for coding, classifying and categorising.
- Stability. This refers to the extent of repeatability of observed behaviour or attitudes expressed by the respondents.
- Internal consistency. This refers to the degree of homogeneity in the approach, scheme or schedule used during data collection, and the extent of homogeneity of placing data segments in each derived category.

Neuman (2003) refers to internal consistency data collection in terms of gathering data in field observation as the researcher checking whether the data gathered is reasonable, whether it fits together, whether it adds up, and whether there is consistency in observable behaviour over time and in different circumstances. He adds that external consistency is attained by verifying or cross-checking data gathered from divergent sources and methods, and argues that reliability is influenced by the researcher's questions, insights, cognisance and suspicions; the researcher looks at the study's respondents and procedures from different perspectives (economic, political, legal and personal) and mentally seeks answers. Thus any changes in phenomenon over time should be due to observed variations rather than to the method of data collection (Cuneo & Sanders, 2010).

### 3. CONCLUSION

This research paper has made an attempt to justify the use of qualitative research. The paper has reviewed relevant literature that defends the use of research instruments that are fundamentally qualitative in nature. These are interviews, case study, focus group, critical incidences and secondary data research. Criticism levelled against the research methods have been articulated and counter accusations have been presented in an attempt to justify their continued use. Validity and reliability measurements have been discussed and methods of ensuring consistency in research have been highlighted.

This paper argues that qualitative research is sufficiently relevant and can be used wholly on its own or as a mixed method. The difference in approach between quantitative and qualitative research continues to elicit mixed opinions and this paper has attempted to justify the continued use of the latter methods.

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## IDEOLOGIZING OF EDUCATION: APPROPRIATION AND EXCLUSION

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### ABSTRACT

*The real phenomenon of development will be explain with the structure of that society. After the neo-liberal policies the scenario of social justice has been changed with the lack of representation of dalits in the different institutions. So the thing is that structure of the society affect on the governance, policy framing, and others. And the one most important structure of the Indian society is 'caste'. In the form of structure Nadel argues that "we arrive at the structure of a society through abstracting from the concrete population and its behavior the pattern or network (or 'system') of relationships existing between actors and in their capacity of playing roles to one another" (cited in Kumar 2014). The question is that the social capital in the neo-liberal era draw the analogy between inclusion with exclusion and extend with invisibilization. If we discuss here social construction of reality by Peter Berger and Luckmann in which they say that norms, belief and value perform the reality of that society. But in context of India it has been argued to the extent that who decides these norms and rules, like 'top of the twice born' of Indian society or others.*

*Key Words: Caste, Structure, Inclusion, Exclusion, Social Justice*

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### INTRODUCTION

Democracy in India, have a different notion and it is far away of the social democracy because the hegemonization of all institution by the "top of the twice born caste". And there is lack of space for Dalits in the civil society, governance, media and educational institutions. Regarding the citizen's rights and self representation, there are many lapses which define the discriminated structure in the society. From overall analysis in different institution the representation of Dalits is very low and following the policies of liberalization, privatization and globalisation the exclusion of Dalits has increased at higher level. How caste played a dominant role in shaping Indian education system in the past and how it continues to influence it even today and how the 'dwija' caste continues tried to exclude the Dalits in the different institutions in the context of privatization. There are three major salient features which are the source of deprivation of Dalits like degrading ritual status, powerlessness, and poverty, but the last two are not specific to them. Further, the practice of untouchability was justified through Hindu theological doctrines, and this was the most glaring dimension of exclusion caused by the low ritual status assigned to Dalits (Oommen 1984: 45-61).

This article deals that how an institution of learning and receiving knowledge works within the realm of an ideology. This ideology through a set of mechanism influences the learning and kind of knowledge imparted and received through the process of schooling. Is this process of Schooling can be a form what Gramsci would call an exercise of cultural hegemony? Or what Durkheim writes in his work education and sociology how different forms of socio-historical aspects of society could influence the very idea of educational practices. But while working with the idea of structuration put forward by Anthony Giddens, we know that both structure and agents together co-exist and therefore there is scope for the agent for making required and necessary changes within structures. Giddens further elaborates this idea that how 'reflexive monitoring' helps the individuals to critically understand the structures which further allows them to do the necessary and required changes.

After the privatization of education, the politics of exclusion in inclusion has been increased with the disparity and expansion of education. In twenty-first century, India is home to the largest number of illiterates and child laborers. According to Myron Weiner, of the estimated 82 million Indian children in the 6-14 age groups, fewer than half attend school (Myron Weiner, 2006). And Myron Weiner argued that there is no administrative or lack of implementation of law reason behind reproduction of child labor in India, the only reason is caste practice (Ibid). So the question is that, privatization of education is the continuity of hegemony by the top of the twice born or something other else. Can we say that education is a tool of emancipation or maintain the power relation with cultural hegemony? For Durkheim the process of Education is like the process of morality building a kind of social phenomena and relative to needs and structures of any particular society. It is open to systematic observation. Also education is the means by which the society perpetually recreates the conditions of its very existence. Education consists of a systematic socialization of the young generation.

### EXCLUSION AND INEQUALITY IN ACCESS OF EDUCATION

In Bourdieu sense that the strategy and practice behind the policies to limit the growth of the weaker section and make them dependable on these forms of exclusionary and illusionary policies. Democracies form the best platform for addressing the basic needs of every citizen education, healthcare, shelter and nutrition. Democracy

appreciate the equal opportunities for everyone to better his or her life but at the same time we cannot simply rest after establishing a democracy. We need to get it work efficiently through constitutional processes.

According to Bourdieu, the education systems of industrialised societies function in such a way as to legitimate class inequalities. Success in the education system is facilitated by the possession of cultural capital and of higher class habitus. Lower class pupils do not in general possess these traits, so the failure of the majority of these pupils is inevitable. This explains class inequalities in educational attainment. However, success and failure in the education system is seen as being due to individual gifts (or the lack of them). Therefore, for Bourdieu, educational credentials help to reproduce and legitimate social inequalities, as higher class individuals are seen to deserve their place in the social structure.

Privatization as ideologically reflected with the domination of the advantage section. The most important thing is that privatization is a tool of structural adjustment program, which is connect with the non-state actor. We will try to explain the privatization in the sociological perspective with the analysis of policy, network analysis, and the class and caste structure of the Indian society.

Dudley and Vidovich argued that privatization in the context of policy attached with the 'rational comprehensive model' in which we can determine the action and public interest through a rational, linear and neutral process of collective decision making (Dudley and Vidovich, 1995: 16-18). It's a very logical way of understanding about the privatization in the context of policy making and the implementation on selected part at that society. But I want to go with a further step; this model does not provide the holistic picture of that society. Because, in a Bourdieu sense policy formation also a part of strategies and practices by which dominant section maintain their dominance, example mid day meal in public school. So the critic of this model by Bacci, he argued that "it is steeped with the positivist epistemology, which proceeding with the premise that there is a readily identifiable problem which can be addressed through policy" (Bacci, 1999:17).

Therefore, understanding of privatization in a holistic way is problematic. Because lots of problem and most important thing is that the highly stratified society does not manage with this model. In the context of Indian society which is highly stratified, the rational and bureaucratic model collapse with the privileged. As Weber argued that traditional India did not have a developed socio-culture foundation for the growth of rational legal authority and bureaucratic social structures (Weber, 1946: 416-17). After analyzing the situation Edelman argued that "the problems like social and economics are not fixed properties of society, they are socially constructed. And that's a strategy which specific issues are recognized as a 'problem' and placed on the political agenda" (Edelman, 1987).

Privatization as a part of ideology of class domination, Samson proposes instead that privatization is always about class. He argued that privatization is a political and cultural mission by which individual liberty and consumer choice is interlinked with the strategies to maintain the national economy. And the other phenomenon is that dominant classes draw your hegemonic project through altering the consciousness and power relationship (Samson, 1994: 79, 90).

According to Oommen, the process of homogenization leads to hegemonization and hence the weaker section and the smaller culture have a tendency of search for their roots which forces them to go back to the roots of the little tradition ( Oommen, 1990). After the explanation, Oommen argued that through the technological advancements, we have keep mind the disadvantage and advantage of this phenomenon. One disadvantage of this process of globalization can be withering away of primary group because of high technology that might affect the whole civilization. Second, there is also the element of availability and accessibility of modern technology, which creates the disparities in society and diminishes the possibility of a common humanity (ibid).

After the analysis Vivek kumar argued that globalization in India is more harmful for dalits, specifically like pluralisation, hybridization, and traditionalisation. It creates the difficulty for the researcher to know on which basis of value, universalistic and particularistic, the incumbent of an office in the legislature, judiciary, and bureaucracy functions. It is easy to camouflage one for the other with the help of the process of globalization in India. And unless we really diagnose the real basis of discrimination, it will be impossible to formulate the principle of governance and development in the era of globalization (Kumar, 2014).

If we see the picture in a rural level where the Dalits children study in the unaided private school they are discriminated on the basis of fee structure, they generate fine and say that aap jao yahan se jab fees submit ho jayegi tab ana. How can we say that the schools present the notion of freedom of mind for the Dalits students?

In last two decades there has been a significant growth found in elementary education of the private sector. In 1996, around 10% of enrolment of children in the 6-14 years age group in private unaided school. But in 2005

the enrollment rate is increased approximately 28%. In 2005, according to the Institute for Human Development survey carried as per as 51% of children in urban areas and 21% in rural areas were enrolled in private unaided school ((Nambissan, 2012: 51). Private schooling is spread all over India as a form of market and increase the form of exclusion of the weaker section.

What are the main consequences which increase the enrollment in the private school and the other side public school are closed due to the absence of children. If we discussed the dichotomy as per above then we found that profit is more strong phenomenon in this type of strategies. Today government schools are seeing an overrepresentation of poor and marginalised communities. The IHDS reports that dalits and adivasis have distinctly higher rates of enrolment in government (including aided private) schools (83% and 85% respectively) as compared to higher caste Hindus (60%). The proportion for Muslims is around 67%. Within the government sector, the Kendriya and Navodaya Vidyalayas are seen to offer education of quality. However, primary sections in composite government schools have better access to resources that are provided in middle and secondary government schools. They also give parents a sense of continuity and are hence seen to be more preferred than schools offering only grades I-V. (Nambissan, 2003: 19).

We can say that the growth of private sector in elementary education define the business of input/output and factory system where there is no place of equity and quality. They only focus on maximize the profit because the education is a hub of business in India which generate the intensity of exclusion. Why the diversity in schools is a satisfactory solution in stratified societies, where the untouchability, exploitation, and exclusion exist in the educational institution. Nambissan argued that intensity of exclusion, and discrimination observed frequently in the rural inhabitants, as well as it happen in urban areas also if the lower caste identity of student is visible or inferred (Nambissan, 2010: 253-86).

Technical education is the field where the top of the twice born construct the hegemony for their historical advantage. If we see the data of technical education representation then we will found that the upper caste people dominant in the area like medicine, engineering, and other. And the disadvantage groups have low percentage of enrolment. According to the NSSO 61st round table schedule 10, in technical education 62.3% were upper caste and SCs and STs are 4% and 2% (Deshpande, 2012) (cited in Zoya hasan, Nussbaum, 2012: pp. 227). We can say that caste inequality exist in the technical professional field, which give the attention for the future assessment. In the expansion of the technical field, the intensity of exclusion of dalits has been grown in a vast ration. The over representation of the upper-caste in the technical field represent the ideology of market oriented education and the fulfillment of social capital and cultural capital, they don't feel any problem to found the job. But in the era of globalization, dalits youth have no security due to the lack of cultural capital and social capital. In the context of stratification we can take example of status define by Weber. He argued that how importance of status in capitalist society goes with the form of social honor. Some strata groups like racial, ethnic, or religious groups or educated class, the working class and caste also share a certain lifestyle and maintain their solidarity through rituals, shared tastes and social activities and social closure also (Weber 1946).

In the neoliberal era where the public sector is shrinking and the private sector is going to increase a large scale, the discrimination and contextual exclusion of dalits is increased by the corporate sector. We can take the example of SCs candidate segregated with the surname in the corporate sector, while they have similar qualification with higher caste candidate (see Thorat & Attewell 2010: 35-51). Modern institutions are more oppressive and violent behind the veil. We can observe that privatization of education draw the umbrella from of exclusion of dalits in the form like unemployment, illiteracy, unhygienic health, poverty, and symbolic violence. Tilak argued that "The massive private higher education system in India has been detrimental to the character of education as a public good. Private education essentially views education as private good, yielding benefits to the individual student, and is not concerned with social values or national concerns. The greater extent of private higher education in the country, the faster the disappearance of the public nature of education. The social responsibility of higher education needs to be valued, protected and nurtured, and this is not possible in a system dominated by a profit-motivated private higher education system" (Tilak, 2014:37).

In his major work 'Ideology and Ideological state apparatus' Althusser expanded in way the marxist idea of economy as superstructure to ideology as the most major form of power in capitalist society. It is through this major form of power which is ideology, the state establishes its relationship with its subjects. Through his main concepts which are Ideological state apparatus and repressive state apparatus the state tries to produce the conditions of reproduction of production forces and existing relations of production. In the Indian context as well the ideology and curriculum are the tools by which we can understand the education as a part of schooling in the form of construction of hegemony. We can contextualize and locate these practices and strategies are used in the process of structuring of schooling and knowledge in our society which is intimately related with the

social and cultural control and dominance in the society at large. We need to understand the mechanism and process that how certain dominant groups play these roles of structuring the system of institutions of all kind and with reference to this work focusing on schools? For example we know through the works of different social scientists that have how caste and dominant brahmanical patriarchal values play a dominant role in shaping the schooling and education system in the past and how it continues to influence it even today. How the 'dwija' caste continues tried to exclude Dalits in the different institutions like schools even in the context of privatization. We understand here that how practicing ideology in certain framework also leads to exclusion of different social groups.

In 2012 a newspaper post the news that, a 2012 United Nations report on India's human right record says, 'The country's economic policies, driven by the neo-liberal economic paradigm, continue to perpetuate exclusion and violate fundamental rights and directive principles of the constitution (see The Times of India 2012). On the other side traditionally privileged caste enjoying their status with social capital and systematic networking with cornering the all equal opportunities of development. Panini nicely argued that the vast majority of those in menial and despised occupation like in farm, scavenging, factory, and household belong to the lower caste and the other side the vast majority like upper caste belong to the academia, medicine, engineering and industry (Panini, 1996: 32-6).

In a large picture of data prove that caste inequality exist with the traditional form in the modern era. Ashwini deshpane in his book 'The Grammar of caste' states that, Data proved that traditional hierarchies continue today, in despite of dissolution. In contemporary formal urban sector labor market show a very deep awareness of caste, class cleavages, gender, and religious. And that discrimination is very much a modern sector phenomenon, which is perpetuated in the present. So it is neither a thing of past nor confined to the rural areas (Ashwini Deshpande, 2011: 14-15). In a concluding remark we can say that a one thing which is going to the way of development is 'caste'. In post-independence era the voice of social justice is crying but the upper caste people say that we want/have merit. While social scientists have also rejected the narrow definition of merit in terms of intelligence which is a measure of just one portion of the total spectrum of human mental abilities associated with knowledge and memory rather than the ability to reason (Jensen, 1973).

### **APPROPRIATION AND EXCLUSION**

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Durkheim said that for each society education is the means by which it secures in its children the essential conditions for its own existence. Thus each type of people has its own education that is socially considered appropriate for them and further it is considered moral in nature. These ideas of Durkheim can be critically analyzed in context of social situations existing in various societies with certain historical framework. In any society there exist different social groups and subgroups based on their each different social, historical, political and economic trajectory. The dominant values of any society are largely seems to be shaped by the values of majoritarianism. The majority groups attempts their values to be practiced even by the weaker sections and depressed classes of their society in order to continue their dominance.

We can refer to the example of a popular story also cited by Yemuna Sunny about a brahmin and a boatman, the former keeps telling the boatman that his life is insignificant because he has no knowledge of the Vedas. When the boat reaches midstream, the boatman says how insignificant the brahmin's life would be if the boat were to

sink. For, he does not “know” how to swim and would surely die. The story is popular because it shows how brahmins lack life skills, and ridicules the brahmin’s lack of knowledge. It also reflects the deep bifurcation of knowledge in society. Who should know what? This is governed by the division of labour, and the monopoly on power and wealth enjoyed by the upper castes, classes, and men. It is no wonder that the bifurcation of knowledge is acknowledged as being at the root of sociopolitical struggles of the working class, dalits, and women.<sup>3</sup> He further writes citing the example of Jyotirao Phule a social reformer and activist of the 19th century, belonged to the Mali (gardener) caste, but “established the first school anywhere in India for shudrathshudra girls in 1848” (Deshpande 2002: 3).

In context of historical understanding Durkheim argues that how different milieus are found within any society and therefore this usually results in pursuing as many different educations. Durkheim gives example in this context that how education varies from caste to another. That of the patricians was not that of the plebeians, that of the Brahman was not that of the Sudra. Similarly such difference in context of receiving of education was dependent on the socio-cultural belongingness of child. Do we not see today that how education varies with social class or even with localities? In the context of this theme now I shall focus on an important example before us of RSS (Rashtriya Swayamsevak Sanghs) Schools. Casolari (2000) writes that how Hindu nationalism in its early stage took deep interest in Italian Fascism and Mussolini not as an occasional curiosity confined to few individuals but rather should be considered as the culminating result of the attention that Hindu nationalists, especially in Maharashtra, focused on Italian dictatorship and its leader. To them, fascism appeared to be an example of conservative revolution. This concept was discussed at length by the Marathi press, right from the early phase of the Italian regime.

B S Moonje was the first politician related to RSS who came in contact with Fascist regime. He is also considered to be the mentor of Keshav Baliram Hedgewar. The two men were related by intimate friendship. Between February and March 1931, on his return from the round table conference, Moonje made a tour of Europe, which included a long stop-over in Italy. There he visited some important military schools and educational institutions. He visited different institutions during his stay in Rome. This list mainly includes the Military College, the Central Military School of Physical Education, the Fascist Academy of Physical Education, and, most important, the Balilla and Avanguardisti organisations. He considered these organisations to be the major keystone of the indoctrination of the fascist system of regime rather than the education of the youth. Casolari argues that their structure is strikingly similar to that of RSS. They recruited boys from the age of six, up to 18. The youths had to attend weekly meetings, where they practised physical exercises, received paramilitary training and performed drills and parades.

After Independence RSS found a primary school at Gorakhpur in Uttar Pradesh in 1952. It was designated as Saraswati Mandir and inaugurated by MS Golwalkar and congress leader Purushottam Tandon was also present on the foundation day. Sarkar argues that the decision to set up a school at a moment of dejection, virtually no activity and what the RSS leader Sudarshan called ‘an ideological vacuum.’ The new context was shaped by universal franchise and by parliamentary democracy that posed problems for the comfortable upper caste composition and the base of the Right, committed to train the caste and class leaders of Hindu society in leadership qualities. Uttar Pradesh which became the seedbed for educational experiment was quite for sometime in the initial stages. A Shishu Shiksha Prabandh samiti was set up here to coordinate the saraswati Shishu Mandir at Primary school level and the Bal Mandirs at high school level. Delhi, Bihar and Madhya Pradesh picked up the enterprise each with its statewide committee. Andhra Pradesh was the first place in South to develop its Saraswati Vidyapith. Further Sarkar (ed. Jaffrelot, 2005: 197-199) observes that an important expansion occurred in the 1970s during the emergency period in India when a ban brought about an enforced lull in the RSS’s usual activities. Vidya Bharti was set up to coordinate efforts in 1977 at all India level and to devise curricula for the additional courses that provide the main content of the RSS pedagogy. After the fall of Indira Gandhi government in 1978, an all India children’s camp was organized in Delhi for three days in November and the President inaugurated it. Uttar Pradesh, Madhya Pradesh, Delhi and Andhra Pradesh started regular five yearly statewide camps.

By the end of 1991 Vidya Bharti claimed that it was running the second largest chain of schools in the country next only to the government schools. Around 4000 schools were either directly run or were affiliated to it and over ten lakh ( one million) children were being taught. It also ran 40 colleges and the teaching at various levels was done by 36,000 teachers. It was said that these schools existed everywhere in India except in Nagaland, Meghalaya and Mizoram, where the christian affiliations of the people and missionary success in the education field were holding up RSS entry. Vidya Bharti developed the Haflong Project to force its way in this region and especially to undercut christian education influence. Now Vidhya Bharti plan was to increase the number of



these schools upto 10,000 in next five years and a school for every block in the country. Uttar Pradesh retains the highest concentration of schools with 1325 schools and three lakh students under the Vidya Bharati system at the end of 1991.

She argues that RSS sees itself as contesting an alienated and denationalizing heritage left behind by Macaulay and the colonial masters which they still believe that informs the present educational mainstream. She further writes that they aim to replace it with a system whose single minded aim is to implant the child's mind a dominant slogan- 'Bharat Mata ki Jai'. The true national education according to them is the one which makes them proud of their Hindu heritage and that is why instead of calling themselves as schools, RSS calls it as mandirs or temples. Peggy Froerer (ed. Thapan, 2015:222) writes that one of the most visible proponents of Hindutva, the Rashtriya Swayamsevak Sangh (RSS) has been making serious ideological forays into governmental educational policies since 1997, when the Hindu supremacist political party, the Bhartiya Janta party (BJP), first came to power as head of India's national government. Such forays have resulted in government curriculum, syllabuses, and school textbooks being redesigned with an explicitly Hindutva flavour. Although the party suffered a defeat in 2004 elections, the Hindu nationalist movement continues to influence the course of Indian politics and penetrate everyday life. According to Froerer writings the single school that marked the RSS's initial incursion into education has grown into a network of over 17,000 schools across India.

Benei (2000: 206; 2005) work in context of ordinary and military school education have revealed that how schools are 'privileged sites' for studying the complex relationship between the teaching of nationalist values and the disciplining of bodies. There is an importance of discipline to this project and more specifically to the RSS pedagogical project and larger agenda of Hindutva as a whole. This holistic agenda of Hindutva has its source in different numerous historical legacies. These legacies mainly include the late nineteenth century Hindu revivalist movement which promoted a vision of Hindu cultural renewal through personal discipline. These movement seem to be also influenced by nineteenth century European conceptions that the source of national identity is located in the disciplined body and that strong individual bodies would yield a strong 'social body'.

The question is that in caste ridden society the game of knowledge and power astonished with exclusion and invisibilization. In a pedagogical way the Bahujan icons who were the ardent supporter of the democratization of education, did not read in the classroom. We know very well that the traditional social structure of the society influence on the modern structure of the society. So, the question is that, how privatization of education is related with efficiency or merit, where privatization is only private for the dominant section of the society. Due to this the dropout rates of SCs students is high in secondary level, most of the children affected with malnutrition, reproduction of child labor, and symbolic violence are symptoms which raise the question against the notion of development. Dr. Ambedkar nicely argued that development is a 'freedom of mind'. And freedom of mind developed with the access of education. Denial of equal access to education is another feature of the caste system. Dr. Ambedkar observed that the concept of formal education in the Hindu social order was quite narrow (See BAWs 1987, vol. 3; The Hindu Social Order: Its Essential Feature).

Formal education was confined study of Vedas in schools, which were established for this purpose. In the absence of formal education system, each caste managed transmits to its progeny the traditional way of doing thing. Therefore, illiteracy became an inherent part of the caste system by a process that was indirect but internal to Hinduism observed by Ambedkar (Thorat & Kumar, 2008-14: 5-6). We can say that today the practice of this phenomenon is going with different strategies which maintain the hegemony of the upper caste. Ambedkar observed:

*"The ancient world may be said to have been guilty for failing to take the responsibility for the education of the masses. But never has any society been guilty for closing to the generality of the people the study of the books of its religion. Never any society made any attempt to declare that an attempt made by common man to acquire knowledge shall be punishable as a crime. Manu is the only divine lawgiver who has denied the common man the right to knowledge"* (BAWs 1987, vol. 3:43).

In privatization of education the role of education has been similar with that time because many SCs children drop their school reaching secondary level and by which child labor found in a large scale in India. Because privatization is pro-market and pro-business notion which is directly opposed the morality and nourishment of the society. It also defined the picture of historical exclusion with new practice. Now we will move on the policy of privatization of education with question of social justice and development. After the LPG era equity in education is one aspect which is far away from the ground reality. After the commercialization of education the

schools are seen as a shop which is supply the output as a form of benefit. Why and how educational institution are recognized as a bazaar where, there is no place for dalits.

The physical accessibility is not matched by social accessibility in that the SC's children who went to school faced numerous discriminations, not only from their non-SC's schoolmates but also from caste Hindu teachers (Oommen, 2014: 62). The typical case of discrimination are the prevention of free mixing within classrooms, playgrounds and access to drinking water, absence of friendship with non-SC schoolmates. Unfortunately, discrimination based on caste in schools are not recorded and analyzed in most studies, be they undertaken by the state or NGOs, although they do list economic and pedagogic reasons for high dropout rates among SC children (Ibid, pp. 62). Dalits student are treated as a less intelligent and docile not only by their schoolmates and also by their teachers. Some scholar argues that caste based discrimination show in the textbook like in the story based book.

## **CONCLUSION**

Privilege and power are better hidden in the high tech capitalist democracies in which they are more diffuse and indirect than in the pre-modern forms of explicit hierarchies".<sup>12</sup>The argument is that, in the new mechanism of power, technologies is far away from the dalits and generation of the domination does not reduce. From the writings of Weber and Mills we understand that how exceedingly complex and technology enables networks of modern power. Because In any hierarchical society like in case of India, where the groups like "top of the twice born" reproduce their hegemony through the education, institutions and politics of knowledge. It is usually believed that beneficiaries of existing conditions do not, cannot, and will never challenge existing understanding to bring in emancipatory change for the society.

Vivek Kumar insist that after the 67 years of independence, with the completion of 12<sup>th</sup> five years plan and when we entered in the 21<sup>st</sup> century in the era of globalization, all the efforts to ameliorate the condition of dalits have proved largely futile. The effort of state and expenditure incurred on the programs and policies for their upliftment have not produced commensurate results. And this argument also supported by the Sarkar, who argued that the investment priorities of the successive Five Year Plans under Nehru and his successor were enormously biased in favour of upper caste-class section of the society (Sarkar, 1978: 25).

In the context of against elitist pedagogy, it is necessary that Bahujan icons should be teach in the class and also give the representation in curriculum. Representation makes a person or a group that he belongs to visible to others. According to Ambedkar, the primary purpose of representation is to transform "opinion and preference into public action" ((see Ambedkar, "Evidence before the Southborough Committee", op. cit., p. 247.). When a group or community is denied representation, or denied it in fair measure, then its beliefs and preferences have little bearing in shaping public policy (ibid., pp. 243-78). The idea of education for dalits is a project of emancipation, self-respect and confidence at social and political level. As Dr. Ambedkar in the context of social justice, argued that rights are not protected by law but by the social and moral conscience of the society (BAWS, vol. 13: 1212-18).

## **NOTES**

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**NEED FOR A NEW PARADIGM IN TEACHING WRITING SKILLS IN ENGLISH LANGUAGE  
FOR JATAPU LEARNERS**

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**ABSTRACT**

*This paper deals with writing problems of Jatapu tribal learners in English language. This paper talks about the distribution of Tribes in India, population of Jatapu tribes. The social, cultural and linguistic factors that contribute to the low performance of students in English language writing among Jatapu Tribal students is discussed in brief. The need for new syllabus and textbook were also stressed.*

*Keywords: Jatapu Tribes, English language, writing, factors*

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**INTRODUCTION**

These are the famous words of the eminent writer Raja Rao written 77 years ago in the foreword to Kanthapura:

“One has to convey in a language that is not one’s own the spirit that is one’s own. One has to convert the various shades and omissions of a certain thought-movement that looks maltreated in an alien language. I use the word ‘alien,’ yet English is not really an alien language to us. It is the language of our intellectual make-up...not our emotional make-up,” he says, choosing to write in English and not Kannada or French, two other languages he was fluent in.

These lines talk about the importance of English in independent India. One of the eminent writers Chinua Achebe says English language is a way we can convey the history of ourselves. To voice out the problems to the world English language acts as a medium.

“Language is a social notion: it cannot be defined without reference to its speakers and the context of its use. Language boundaries are boundaries between groups of people as language forms contact between people. Thus language is not simply a system of sounds words and sentences. Languages also have a social function both as means of communication and as a way of identifying social groups.” Li Wei (2000: 12)

English language learning is the need of the hour. The present paper showcases the present phase of English language learning among Jatapu Tribal students of Andhra Pradesh.

**GENESIS OF THE LANGUAGE POLICY AND PLANNING IN INDIA**

Adapting to linguistic diversity in India is very much needed. India is a multicultural dynasty. Speech identities play a determining role in individual and societal characterization.

Language policies and ideologies are often the product of political manipulations and the resultant curriculum and the syllabus intended for study and the nature of teaching-learning transactions are the products of these ideologies and policies (Patnaayak, 2009).

According to N. Krishnaswamy and T.Sriram (1994)

The three goals of teaching English in contemporary India are:

1. Mobility (i.e., the utilitarian function of English as the language of opportunity);
2. Modernization (i.e. the interactive function of English as the ‘window of the world’ and as an instrument of change); and
3. The projection principle i.e., the interpretive function of English as an international language to project our identity and values and to promote better human understanding).

**JATAPU TRIBES**

India is a natural abode for hundreds of tribal communities. 10.42 crore Indians are notified as ‘Scheduled Tribes’ (ST), of which 1.04 crore live in urban areas. STs constitute 8.6% of the country’s total population and 11.3% of the total rural population according to 2011 census. Jatapu are the 6th largest tribes of Andhra Pradesh. The Jatapu are one of the major Scheduled Tribes in the India state of Orissa, mainly in the Srikalulam and Vizianagaram districts, and also in the Koraput and Ganjam districts. The Jatapu are part of the Khondas, who speak the Khond language in the hills and Telugu on the plains.

The total population of Jatapu is distributed about (1, 41,729) that is (0.135%), in total Tribal population of India. The state wise sex ratio of population is Andhra Pradesh Males (60,811), Females (65,848), Odisha

Males (7,231), Females (7,659), and Telangana Males (94) Females (86). In Andhra Pradesh, English has long been taught as a second language and it is also the most widely accepted language for communication. For Jatapu, English learning is the biggest problem because it is the third language for them in Andhra Pradesh after their home language Jatapu and the language of the society they live in. English for them is only a classroom language and therefore they cannot use English in their everyday communication.

The present-day Jatapu learners are mostly first generation learners and second in using English. Owing to the lack of exposure and lack of resources, the learners in the Tribal Welfare Schools have problems in learning English. Here “learning” of English includes learning to read, write and speak English in everyday life.

The present study thus attempts to identify the causes for the low achievement in the English of Jatapu learners, investigate their present level of language use and finally find a solution to bridge the gaps and discrepancies. This study may enable them to be on par with their counterparts in the urban areas. The Jatapu have problems with English because they speak jatapu language at their home and with their community whereas they speak telugu with their fellow members and need to learn a third language English at school in the process of this bilingual speaking they find it hard to learn English language and hence are neglecting English.

### **PROBLEMS OF JATAPU LEARNERS**

The literacy rate is very low among the Jatapu, since they consider that a child can contribute better by engaging in some economic activity at home rather than going to school. Jatapu learners have problems with learning English language in general, particularly they are very poor in their writing skills because they are socio-economically, psychologically, linguistically and culturally backward. When compared to other learners, the Jatapu learners can be said to have special and specific problems. Jatapu is a community which does not have a social status in the society, and they are culturally backward because they are away from the society, especially they live near forests. The Jatapu learner's economical position is not good and so they go for hunting the animals, collect the forest food and besides these, agriculture happens to be their main profession. The Jatapu learners have psychological problems, and as a result they are unable to move freely with their friends. They also have several linguistic problems which have a significant effect on their second language acquisition. The ability to write well is not a naturally acquired skill; it is usually learned or culturally transmitted as a set of practice in formal instructional settings or other environments.

### **AN OVERVIEW OF THE EDUCATIONAL SCENARIO IN ANDHRA PRADESH**

As the fourth largest state in India, Andhra Pradesh, with 13 districts divided into 664 Mandals, educational and developmental projects have always been prioritized by the government. Correspondingly, the period between 1984-2010 has been one of phases of educational experimentation and infrastructural development. Though there are many experimental educational programs launched like APEP, they are not successful in all parts of Andhra Pradesh. Taking tribal dominant areas and Tribal Welfare schools, the purpose was not survived as the target audience is like people with special needs. They also have several linguistic problems which have a significant effect on their second language acquisition. Widdowson (1972) has pointed out the futility of an approach, which focuses on language forms and ignores ways in which these forms can appropriately be used to realize communicative acts. Educational failure in most of the linguistic minorities all over the world is primarily mostly because of the mismatch between the home language and the language to formal instruction. State policies in respect of languages in education are often recognized but ignore in practice the problem of exclusion of languages.

We can find a huge gap between the actual grounds and the policy provisions made. Policies made by the government are never implemented properly and the fruits were never tasted by the deserved.

Teaching English as a second language, especially writing skills, can vary according to the cultural and academic environment. Studies of second language writing are sadly insufficient, and little research is done on the L2 writing process among indigenous populations. Students learn to converse and write in vernacular in their primary or elementary school education, and rather minimally or not at all in English, would find communication at high school level in English very problematic. This is especially true in the case of tribal learners, where there are both external and internal constraints related to Learner-achievement levels. While there are many courses to enhance spoken English and oral communication, very little work is reported on how to improve writing skills for tribal learners. Therefore, problems faced by the students should be studied thoroughly and then develop suitable strategies to improve their writing skills in English, keeping in mind the dearth of time in the academic year.

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**SOCIOCULTURAL FACTORS**

Cognitive factors play a very key role in second language research along with social aspects. There have many different approaches to sociolinguistic study of second-language acquisition, and indeed, according to Rod Ellis, this plurality has meant that "sociolinguistic SLA is replete with a bewildering set of terms referring to the social aspects of L2 acquisition".

Ellis identifies three types of social structure which can affect the acquisition of second languages: sociolinguistic setting, specific social factors, and situational factors. Sociolinguistic setting refers to the role of the second language in society, such as whether it is spoken by a majority or a minority of the population, whether its use is widespread or restricted to a few functional roles, or whether the society is predominantly bilingual or monolingual. Ellis also includes the distinction of whether the second language is learned in a natural or an educational setting. Specific social factors that can affect second-language acquisition include age, gender, social class, and ethnic identity, with ethnic identity being the one that has received most research attention. Writing skills may vary according to the socio cultural environment. Situational factors are those which vary between each social interaction. For example, use of language varies from person to person; some may use more polite language when talking to someone of higher social status, but more informal language when talking with friends and peers.

**PSYCHOLOGICAL PROBLEMS**

Writing is a solitary activity and students are required to write on their own. Writing in a foreign or second language is a courageous experience especially for students whose native language is not of the same origin as the target language. These students are faced with the school curriculum that includes the four main skills (LSRW) of English. Among these skills, they find writing skill the most difficult. To start writing one needs to brainstorm ideas, compose, develop the ideas and frame them in sentences. To complete the whole process one needs practice and motivation. Fear of language builds up their psychological anxiety which results in their inability to reproduce on paper what they have learnt. In order to overcome these problems, teachers who teach writing at any level of education must employ suitable strategies of the different stages of writing, encourage and supply the necessary input to their students. Students feel that using the English language in school amidst all their doubts and uncertainties make them feel awkward, this is the reason they always run away from English

**LINGUISTIC PROBLEMS**

Bacon (1989) has rightly said that reading makes a full man; conference a ready man; and writing an exact man.

Linguistic problems differ from cognitive approaches and socio cultural problems. They consider language knowledge to be unique and distinct from any other type of knowledge. Learners have linguistic problems in their second language writing. The first language linguistic knowledge may help to motivate and facilitate L2 writing. The process of writing in L1 is not equal or cannot be compared to writing in L2. But L1 helps in better understanding of the meaning of the sentence in L2.

EFL teachers are usually perplexed by problems in their writing classes and are unable to find an efficient way to enlighten the student's imaginal power and set their minds working

Linguistic problems differ from cognitive approaches and socio-cultural problems. They consider language knowledge to be unique and distinct from any other type of knowledge language. Learners have linguistic problems particularly in their second language writing. The first language linguistic knowledge may help to motivate, facilitate L2 writing. On the other hand, the process of writing in L1 is not equal in the process of writing in second language. But L1 helps in understanding the particular meaning of a word, sentence of L2. The Jatapu learners have major linguistic problems in second language writing. The linguistic complexity is more for the Jatapu learners as it does not help them immediately understand English. Hegemonic position of dominant languages, imposition of their norms on the languages of minority and disadvantaged groups and common biases in assessment of verbal skills of bilingual/multilingual children have led to propagation of the myth of linguistic deficit (Mohanty 2000: 106). When you look into the situation of learning, acquiring and communication in vernacular or mother tongue becomes a habitual action. One does not master their mother tongue by technically learning it, but with his journey with the language makes the difference. Students face is the dearth of time to practise writing.

**THE PURPOSE OF TEACHING WRITING SKILLS FOR JATAPU LEARNERS**

The main purpose of the study is to identify the overall patterns of interaction prevailing in English among Jatapu learners at the high school level and examine the nature of learning of the Jatapu learners, teacher interaction in the classroom and the behavior of Jatapu learners in these classes which would provide an insight

into the reasons responsible for the poor proficiency of Jatapu learners in English. The purposes of teaching writing skills at the high school level are as follows:

- To improvise their other three languages skills.
- To make them find out what problems they have and provide them with appropriate materials,
- To give ideas, and motivate them to improve their writing skills.
- To make them read texts and offer guided written activities in order to improve their skills.
- To give suggestions to the teachers and students to record the progress made during the course.

Learning to write well is a difficult and long process which requires much effort in terms of language and thoughts. Traditional approaches to the teaching of writing focus on the product: in other words, the production of neat, grammatically correct pieces of writing (Mahon 1992). Good writing skills are essential for academic success and written work serves to provide learners with some support to prove themselves as academically sound. It also helps them to become more effective learners through better thinking and better learning leads to effective writing.

There have been several models developed to explain social effects on language acquisition. Schumann's Acculturation Model proposes that learners' rate of development and ultimate level of language achievement is a function of the "social distance" and the "psychological distance" between learners and the second-language community. In Schumann's model the social factors are most important, but the degree to which learners are comfortable learning the second language also plays a role. Another sociolinguistic model is Gardner's socio-educational model, which was designed to explain classroom language acquisition. The inter-group model proposes "ethnolinguistic vitality" as a key construct for second-language acquisition. Language socialization is an approach with the premise that "linguistic and cultural knowledge are constructed through each other", and saw increased attention after the year 2000. Finally, Norton's theory of social identity is an attempt to codify the relationship between power, identity, and language acquisition.

## **CONCLUSION**

Government should initiate in taking necessary actions in designing new English language textbooks for tribal learners. This step would certainly help in bringing the desired change and uplift the educational standards of the tribal students.

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A STUDY OF RELATIONSHIP BETWEEN ROLE PERCEPTIONS OF DEGREE COLLEGE  
LECTURERS IN RELATION TO SOME VARIABLES

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**ABSTRACT**

*This study aimed at, To study the Role Perception of Degree College Lecturers with reference to moderate variables such as Designation, Age, sex, Faculty, Qualification, Type of Management, Length of Teaching Experience and Locality of the College. A sample of 120 Lecturers working in the Government, Aided and Unaided Degree College(40+40+40) was selected randomly from Gulbarga Division which covers Kalaburgi, Bidar, Yadgir Districts. The nature of the study was Descriptive Survey method. The data were collected and analyzed with the help of Descriptive and Differential analyses i.e. mean S.D and t-test. A significant difference was found in the group of lecturers with respect to Designation, Age, and Type of Management and Length of teaching experience. And a significant difference was not found in the group of lecturers with respect to Sex, (male and Female), Faculty (Arts, Science and Commerce), Qualification (P.G, PG with NET/SLET, and PG with Ph.D, and Locality (Rural and Urban). The study reveals that the role perception of the degree college Lecturers must be improved for that necessary action must be taken, and then only Quality of Higher education can be enhanced. Based on the evaluation and feedback, it will be possible to construct both personally-tailored, colleges' wide and national programs for the continuing professional development of faculty members in the Degree Colleges.*

*Keywords: Role Perception, Degree College Lecturers, Quality of Education*

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**INTRODUCTION**

Education has a special significance in the context of a quasi-traditional or transitional society like India. India is now considered to be one of the most promising economies of the world. While, higher education gives India an edge in the world economy as evident from the availability of the skilled manpower, and research scholars working abroad, unemployment, illiteracy and relative poverty continue to be the major deterrents to realize her potential in human resources

“Higher education is the most urgent to change the attitudes of youths generation” The basic function of higher education is to provide the sources of knowledge to store, open and express. A teacher is a role model for most of the students in our society. The most effective factor in a teacher's personality is his behavior that a student has to face. The behavior of a teacher is a composite of knowledge, skills and attitude. The main motivation of teacher towards his profession is his attitude which is developed from learning, training, direct and indirect experiences. Totally the higher education is the gateway of better future.

**CONCEPT OF ROLE PERCEPTION**

Perception is the process of attaining awareness or understanding of sensory information. It comes from the Latin word **perception** which means **receiving, collect**. The main role of perception in learning is to speed up the learning process and recall. Perception involves the use of identification and sensory information of a subject. Exposure to stimulus develops the interest and conscious knowledge of a person which enables better understanding and learning of the person about a specific subject.

Role perception is a range of viewpoints, attitudes, understandings, approaches, or expectations that are related to the status and the position of a person or a group of people within the organization. Role perception and its actualization are a combined expression of the individual's psychological dimension and the social-organizational dimension in which he or she acts (Levinson, 1977). Role perception is influenced by many factors, such as formal education, training for the role, childhood experiences, and personality and College Environment.

**Dimensions of Role Perception:** Following are the main dimensions of role perception.

1. Self dimension
2. Home dimension
3. Professional dimension
4. Social dimension



In developing self-concept one's home, school, and other environment play a vital role. When a person perceives his roles then he is ready to perform his functions in different areas of his life. Roger's theory of personality in contrast to the commonly held conception that man is by nature an irrational, destructive and unsocial being, holds that 'man' is essentially rational constructive and social. Role perception is an active process. Pupils attach meanings to their experiences and are prepared to struggle towards self management and self regulation which develop their personality.

### OBJECTIVES OF STUDY

1. To Study the Influence of **Designation** on the role perception of Lecturers working in degree college.
2. To Study the Influence of **Age** on the role perception of Lecturers working in degree college.
3. To Study the Influence of **Gender** (Male and Female) on the role perception of Lecturers working in degree college.
4. To Study the Influence of **Faculties** (Arts, Science and Commerce) on the role perception of Lecturers working in degree college.
5. To Study the Influence of **Qualification** on the role perception of Lecturers working in degree college.
6. To Study the Influence of **Type of Management** on the role perception of Lecturers working in Degree College.
7. To Study the Influence of **Teaching Experience** on the role perception of Lecturers working in degree college.
8. To Study the Influence of **Localities** (Rural and Urban) on the role perception of Lecturers working in degree college.

### HYPOTHESES

1. There no significant difference between the role perception of Lecturers working in degree college with respect to **Designation** (Assistant Professor and Associate Professor).
2. There no significant difference between the role perception of Lecturers working in degree college with respect to **Age** (below 25, 26-35, 36-45 and 46+).
3. There no significant difference between the role perception of Lecturers working in degree college with respect to **Gender** (Male and Female).
4. There no significant difference between the role perception of Lecturers working in degree college with respect to **Faculties** (Arts, Science and Commerce)
5. There no significant difference between the role perception of Lecturers working in degree college with respect to **Qualification** (P.G, P.G+M.Phil, P.G+Ph.D).
6. There no significant difference between the role perception of Lecturers working in degree college with respect to **Type of Management** (Govt., Aided and Un-Aided).
7. There no significant difference between the role perception of Lecturers working in degree college with respect to **Teaching Experience** (<10, 11-20, and >20 Years).
8. There no significant difference between the role perception of Lecturers working in degree college with respect to **Localities** (Rural and Urban)

### METHODOLOGY

#### A) Design of the study

The Descriptive Research Method was adopted for the Study of Role Perception of the Degree College Lecturers. The role Perception Scale was used to collect data regarding main variables of the study.

B) **Variables:** Following are the Variables of the Study

1) **Independent Variables:** Role Perception

2) **Moderator Variables:**

- Designation (Assistant Professor and Associate Professor).
- Age (below 25, 26-35, 36-45 and 46+).
- Gender (Male and Female).

- Faculties (Arts, Science and Commerce)
- Qualification (P.G, P.G+M.Phil, P.G+Ph.D).
- Type of Management (Govt., Aided and Un-Aided).
- Teaching Experience (<10, 11-20, and >20 Years).
- Localities (Rural and Urban)

**C) Sampling Technique:** Random Sampling Technique was followed for collection of data from Degree College Lecturers working in Gulbarga division and the size of sample is 120 Lecturers working in Degree College.

**D) Tools Used:** following tools were used for collection of data

- Lecturers Profile prepared by the Investigator.
- Role Perception Scale developed and Standardized by the Investigator.

## RESULTS AND DISCUSSION

**Table No. I: Mean, SD and t- value of role Perception of degree College Faculty with respect to Designation wise**

Designation	Mean	SD	N	t-value	Df	p	sig
Assistant Professor	301.2740	19.30045	73	-5.470	118	.000	Sig
Associate Professor	318.3617	11.52394	47				

The above table indicates that there is a significant difference between assistant professor and Associate Professor with respect to Designation of Degree college lecturers with respect to Role Perception. It means that **Associate Professors** (318.36) have shown better Role Perception than the **Assistant Professors** (301.27). It reveals that the designation contribute to the Role perception.

**Table No. II: Mean, SD and t- value of role Perception of degree College Faculty with respect to age of the faculty members**

Age	Mean	SD	N	Sum of Squares	Mean Square	Df	F-value	p	sig
Below 25 years	280.3333	14.29452	3	5672.869	1890.956	3	6.161	.001	Sig
26-35 years	299.0741	21.34321	27	35604.998	306.940	116			
36-45 years	310.5000	15.10492	42			119			
>46	312.4792	17.25773	48						
Total	307.9667	18.62452	120						

The above table indicates that there is a significant difference between age group i.e Below 25 years, 26-35 years, 36-45 years and >46 with respect to Age of Degree college lecturers with respect to Role Perception. It means that above **46 age lecturers** (312.4792) have shown better Role Perception than the **below 25** (280.3333), **26-35 years** (299.0741), **36-45 years** (310.5000). It reveals that the Age is a factor which contributes to the development of Role perception among Degree College Lecturers.

**Table No. III: Mean, SD and t- value of role Perception of degree College Faculty with respect to sex wise**

Sex	Mean	SD	N	t-value	Df	p	sig
Male	308.1528	18.61369	72	.134	118	.894	N Sig
Female	307.6875	18.83428	48				

The above table indicates that there is no significant difference between Male and Female with respect to Gender of Degree college lecturers with respect to Role Perception. However the Male (308.1528) Lecturers have shown better Role Perception than the **Female** Lecturers (307.6875). It reveals that the Gender do not contribute much more to the development of Role perception.

**Table No. IV: Mean, SD and t- value of role Perception of degree College Faculty with respect to faculty members**

Faculty	Mean	SD	N	Sum of Squares	Mean Square	Df	F-value	p	sig
Arts	304.8254	19.34620	63	1474.726	737.363	3	2.167	.119	N Sig
Science	310.0857	17.01793	35	39803.140	340.198	116			
Commerce	313.5909	17.93018	22	41277.867		119			
Total	307.9667	18.62452	120						

The above table indicates that there is no significant difference between Arts, Science and Commerce lecturers with respect to **faculty** of Degree college lecturers with respect to Role Perception. However the **Commerce** (313.5909) Lecturers have shown better Role Perception than the **Arts** (304.8254) and **Science** Lecturers (310.0857). It reveals that the **faculty** does not contribute much more to the development of Role perception.

**Table No. V: Mean, SD and t- value of role Perception of degree College Faculty with respect to qualification of the faculty members**

Qualification	Mean	SD	N	Sum of Squares	Mean Square	Df	F-value	p	sig
PG	305.6809	20.27003	47	466.321	233.160	3	.668	.514	N Sig
PG PLUs	308.8889	18.92056	54	40811.546	348.817	116			
M.Phil	311.0000	12.77585	19	41277.867		119			
PhD	311.0000	12.77585	19	41277.867		119			
Total	307.9667	18.62452	120						

The above table indicates that there is no significant difference between P.G, P.G+ M.Phil, and Ph.D qualified lecturers with respect to **Qualification** of Degree college lecturers with respect to Role Perception. However the **Ph.D** (311.0000) Lecturers have shown better Role Perception than the P.G (305.6809) and P.G plus M.Phil qualified Lecturers (308.8889). It reveals that the **Qualification** does not contribute much for the development of Role perception.

**Table No. VI: Mean, SD and t- value of role Perception of degree College Faculty with respect to type of Management**

Type of Mgt.	Mean	SD	N	Sum of Squares	Mean Square	Df	F-value	p	sig
Government	310.1250	15.23018	40	7633.117	3816.558	2	13.272	.000	Sig
Aided	316.4750	15.14204	40	33644.750	287.562	117			
Unaided	297.3000	20.03612	40	41277.867		119			
Total	307.9667	18.62452	120						

The above table indicates that there is a significant difference between the types of management of Degree college lecturers with respect to Role Perception. It means that **Aided College lecturers** (316.4750) have shown better Role Perception than the **Government** (310.1250), and Unaided (297.3000), College Lecturers. It reveals that the **Type of Management** is a factor which contributes to the development of Role perception among Degree College Lecturers

**Table No. VII: Mean, SD and t- value of role Perception of degree College Faculty with respect to teaching experience**

Teaching experience	Mean	SD	N	Sum of Squares	Mean Square	Df	F-value	p	sig
< 10 years	301.6600	21.10383	50	5282.199	2641.099	2	8.585	.000	Sig
11-20 years	307.4444	17.83647	36	35995.668	307.655	117			
> 20 years	317.7941	9.59413	34	41277.867		119			
Total	307.9667	18.62452	120						

The above table indicates that there is a significant difference between the **Teaching Experience** of Degree college lecturers with respect to Role Perception. It means that **the >20 Years of Teaching experience** (317.7941) have shown better Role Perception than the **<10 Years** (301.6600), and 11 to 20 Years (307.4444), College Lecturers. It reveals that the **Teaching Experience** is a factor which contributes to the development of Role perception among Degree College Lecturers.

**Table No. VIII: Mean, SD and t- value of role Perception of degree College Faculty with respect to Locality wise**

Locality	Mean	SD	N	t-value	Df	p	sig
Rural	306.3833	21.13724	60	-.931	118	.354	N Sig
Urban	309.5500	15.73986	60				

The above table indicates that there is no significant difference between Rural and Urban Degree college lecturers with respect to Role Perception. However the Urban (309.5500) Lecturers have shown better Role Perception than the Rural Lecturers (306.3833). It reveals that the **Locality of the College** do not contribute much more to the development of Role perception among the Degree College Lecturers.

**Educational Implications:** Following are the Sum of the Educational Implications of this study.

- Role perception of Degree College Lecturers helps in building the pupil's personality, academic life, and career.
- If teachers have an idea about the role perception they can try to guide their pupils properly.
- Teachers may be provided with opportunities to perceive good practices and procedures for better life.
- Professional Training, Excursions, educational tours and such other kinds of activities help Teacher to mingle with new ones.
- Teachers can identify his/ her role in the home, College and in society.
- Teacher-Pupil and peer group relation should become strong.
- Teacher estimate his/her do's and don'ts.
- Teacher comes to understand his/her responsibility in the society.
- Teacher has the idea about his "Role" he/she can perform it in best way.
- Teacher can identify the relation between his/her role perception and performance. It helps to modify his behaviour.
- Teacher can identify his/her abilities and disabilities from this and modify themselves.
- Role perception helps the Teacher to take up tasks and strive in that direction.
- By perceiving healthy habits Teacher can lead their lives healthily.

## CONCLUSION

The results of the study will help formulate an official role definition. Formulating a definition is very important for enabling faculty members to understand how and with whom they interact and how to meet the goals required of them. A clear and complete definition of the role will help new faculty find their bearings within the organization sooner, as will facilitate their transition into the role of teacher. Furthermore, the findings of this study will enable the preparation of an instrument for evaluating and providing faculty members with feedback on their work. Based on the evaluation and feedback, it will be possible to construct both personally-tailored, colleges' wide and national programs for the continuing professional development of faculty members in the Degree Colleges. Formulating a detailed and widely accepted role definition will also have implications for designing a formal program for training candidates for the role of teacher, since it will afford clarity and consensus regarding the entire scope of the teacher's job (Yuan, 2015).

The current study's major contribution to the professional literature is in taking into account the opinions of faculty members on their role as teacher and using this information as a basis for devising a formal role definition, for designing tools that evaluate teacher's performance, and for creating an effective program for professional development. The importance of the model suggested in this study is that it is based on quantitative results, in contrast to most of the studies on the roles, behaviors, and professional development of teacher (Lunenberget al., 2014). Thus it contributes to the international discussion on the work of teacher working in the Degree College.

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**A STUDY OF FACTORS AFFECTING WORK LIFE BALANCE OF WORKING WOMEN: A  
CONCEPTUAL REVIEW**

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**ABSTRACT**

*Work life balance describes a state of compatibility between the demands of work and life. A required work life balance is of importance for working women who face so many problems and challenges in maintaining this work life balance. There is tough competition in the market, as a result there are increasing expectations from the employees of all the sectors. Organisations need competent employees, who can grab the opportunities and enable the organisation to compete with the competitors. As a result, for women employees, there is such an increase in workload, rigid work schedules, work expectations, career aspirations along with responsibilities at home front such as household chores, child care, elder care etc. And it is difficult for working women to maintain a balance between work and life. There are so many organisational as well as household factors that affect the work life balance of working women. This study emphasised to know various factors which affect the work life balance of working women. Secondary information has been used for the study purpose. The literature reviewed revealed that there are so many factors such as individual factors, family factors and organisational factors that make an influence on the work life balance of working women and it is observed that it is difficult for women employees to maintain a healthy work life balance in comparison to men. As working women have dual roles to play, it becomes difficult for them to maintain a balance between the work and home. Most of the times, working women feel guilty, unrecognised, unable to grab the opportunities, to give right time to themselves and to the family and also feel bad because of the delays in progression at the career front. And it has been observed that it is challenging for the working women to fulfil the demands at work and home and in the present context as there are so many factors at both fronts that affect the work life balance of working women.*

*Keywords: Work Life Balance, Factors, Working Women, Manage, Challenge, Family, Organisation, Support*

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**INTRODUCTION**

The present era is being dominated by vast changes and advancements worldwide. There is tough competition in the market. Organisations are required to be more analytical, more creative, innovative, with pro-active approach, clear vision, advanced in technology, refined processes and procedures, then only it will be easy for them to survive and compete in this competitive scenario. To achieve the desired objectives, organisations need competent, motivated, mature and sincere work force, who are willing to contribute their best for the betterment of the organisation. If employees are happy, satisfied from different aspects of the overall life then only they will be able in a position to work hard for the organisation. So organisations should also come up with new initiatives which will be a support to the employees in maintaining a balance between work and life. Because of so many changes in the environment, it is getting difficult for the employees to balance both fronts i.e. work and life. There are increasing expectations from work as well as from home as a result it is getting very tough for the employees to meet the demands. The right balance between work and life is a challenge for employees to achieve. The balancing act between different domains of life such as work and life is termed as work life balance. If there is right compatibility between these fronts i.e. work and life, there will be work life balance. But if there is work life conflict that will lead to many undesired consequences such as unsatisfactory performance, lack of commitment, lack of career aspirations, increase in absenteeism rate, increase in intention to leave the organisation, employee burnout, work stress, poor psychological and physiological health and overall dissatisfactory role performance in personal life and family. So there is need of important initiatives to be taken care of by the organisation as well as by the individual employees. There are so many factors that influence work life balance of individual employees. These factors can be grouped as organisational factors, individual factors and societal factors that make an influence on the work life balance of employees of the organisation.

This paper attempts to bring together the research contributions in this area and to emphasise on the factors that actually affect the work life balance of employees and purpose is not only to give better understanding of the concept and factors specifically rather also to give more basis for future research.

Work Life Balance is just required for everybody. Each individual is having demands to meet from work and life domains. One needs to be tactful to maintain a balance between the tasks at work and at home. Work Life

Balance is not that easy for women because they have to play multiple roles. The expression "work-life balance" was first used in the late 1970s to describe the balance between an individual's work and personal life in U.K. In the United States, this phrase was first used in 1986. As the separation between work and home life has diminished, this concept has become more relevant than ever before.

Women in previous centuries were responsible for house hold work only. With passage of time, things started changing as women started getting access to higher education and the working field. The fast developing Knowledge economy enabled women to have higher education and to be part of the organisations to have great Career. Women are always suppose to manage multiple roles to play, as a result they are overburdened with responsibilities at home and at work. The working woman has to play the roles of a mother, wife and daughter in law at home and of an employee at work which creates that much stress on the woman. Work life balance is a challenge for the working women (Delina and Raya,2013).

The term "Work-Life balance" (WLB) was coined in 1986 in America (Lockwood, 2003), became topical in the early 1990s because of Juliet Schor's (1991) highly influential book "The Overworked American: The Unexpected Decline of Leisure".

In the present era, everything is moving at the fast pace. Whether it is an organisation or the individual employee, they need to be flexible as per the changing scenario, only then they will be able to survive and compete in the market. In the tough competition, employees must be able to cope up with the changes in the environment and should manage excessive pressure. All this actually disturbed the work life balance among employees. Working women are suppose to manage the responsibilities at work and at home, as a result it becomes challenging for them to maintain a required work life balance. Apart from this the technological advancements and the need for growth also caused the equilibrium between work and life. Goodstein (1994) and Ingram and Simons (1995) discussed a perspective related to organisation's system towards work-life issues. Campbell, Campbell and Kennard (1994) have emphasised that there are family tasks make an effect on the work and job performance of women. The work-family issue is even further expanded to address the relationship of business-marriage partners (Foley & Powell, 1997). Work-life balance is defined as an employee's perception that multiple domains of personal time, family care, and work are maintained and integrated with a minimum of role conflict (Clark, 2000; Ungerson & Yeandle, 2005). Work Life Balance for the women has become one of the greatest challenges in today's world.

## LITERATURE REVIEW

Review of literature emphasises on the conceptual part of the work life balance and mainly the factors affecting work life balance of working women.

**Supriti Dubey, Ruchi Saxena and Neetu Bajpai (2010)** emphasised that if there is required work life balance that will help in creating healthy synergy among organisation and the employees. It was observed that there is positive relationship between the variables like age, working environment, training programmes, fringe benefits and family support. Respondents who were above 40 years of age, were more equipped to maintain work life balance than the younger counterparts. There is positive impact of motivating work environment on the ability of employees to maintain a balance between work and life. Apart from this many other ways are there which can be of help in balancing different aspects of life and those can be delegating work load, managing time effectively, communication with superior and subordinates and a very positive approach.

**Dr. Navjot Kaur and Parminder Walia (2010)** observed that emotional intelligence as a factor that is of importance in maintaining better work life balance. It is revealed in their study that emotional intelligence of IT professionals was found to be significant and positively correlated with Personal Life Interference with work ( $r=0.28$ ), Work Personal Life enhancement ( $r=0.26$ ) and overall Work Life Balance ( $r=0.25$ ) at 0.1 level of significance. Scores of Emotional Intelligence range between 91 and 171 while mean score of EI was 131.57. Scores of work Life Balance ranged between 48 and 105 while mean was 70.77. Individuals who are emotionally intelligent are able to successfully cope up with stressors in personal and work life and therefore they are able to minimize interference of personal life in work.

**Dr. B. Aiswarya and G. Ramasundaram (2011)** observed that one of the critical factors that results in work life conflict among female employees in IT sector in Chennai city is working hours and emphasised that there is direct proportional relationship between working hours and the work life balance. Those respondents who face high conflict are of the opinion that working for ten hours a day is the main reason, while very few respondents who work eight hours per day were found to have high conflict. The study revealed a big difference between work life conflict levels of females who work for eight hours and those who work for ten hours.

**Elizabeth Krymis (2011)** in her study *Women and Work Life Balance: A Phenomenological Qualitative Analysis of Identity, Relational Style, Adaptive Style, and Drive and Motivation, and the Role of Faith from the Narrative Life Story Framework* found out that women, who value and believe in faith, connect it to work element also. Women with such approach, believe that the assigned work to them is actually the purpose of their life which is set by God, hence they perceive their work significantly meaningful to them. The study also found out that cultural background and cultural identity also have an impact on experiences and hardships faced by women. Women also confessed that having multiple roles had a positive effect on both work and family; several factors of personal life, for example: being a mother affects several aspects of work life and various facets of being a career oriented woman affect personal life in a positive way. Women preferably wanted a flexible work schedule at work in order to attain a better work life Balance. Another important factor was the sense of being self dependent in all facets of life felt by career women, which gives them a feeling of elation. Faith also affected their Adaptive Style i.e. how they cope up with change and it also was a factor in deciding where they would like to spend their time.

**Parminder Walia (2011)** examined the relationship between the individual related variables (Emotional Intelligence, Work Centrality, Age, Gender and Marital Status), Family related variables (Household Responsibility, Spouse Support and Parental Demands) and Work related variables (Task Variety, Task Autonomy and Work Schedule Flexibility) and overall Work Life Balance. The Work Life Balance scores could vary between 15 to 105 and the actual scores of IT & ITES Professionals varied between 48 to 105. The Average Work Life Balance score was 70.77 and Median score was 70.50. It was found out that the mean work life balance was above average for IT & ITES Professionals. Emotional Intelligence ( $r=0.25$ ), Work Centrality ( $r=0.20$ ), Gender ( $r=-0.13$ ), Spouse Support ( $r=0.29$ ) Task Variety ( $r=0.21$ ) Task Autonomy ( $r=0.38$ ) and Work Schedule Flexibility ( $r=0.17$ ) were found to be positively correlated with Work Life Balance with  $r$  values being significant. Higher the EI, higher is Work Life Balance, higher is the Work/Personal Life Enhancement and lesser is the interference of Personal Life with work and vice versa. Also, women showed more Interference of Work with Personal Life as compared to men. However, surprisingly there was no significant relationship between Number of children, Age, Household responsibility, Marital Status and the Work Life Balance of IT & ITES Professionals. It was stated that women gain satisfaction and happiness out of a feeling of motherhood, so it does not affect their Work Life Balance.

**Uma Seshadri and Debendra Kar (2012)** observed that organisational policies that encourage flexible work arrangements have positive relationship with work life balance. Thus, time flexibility is considered as the most important factor by the women employees to balance their work and family life. Particularly the following factors affected this perception: ability to interrupt office work to attend family matters and return to work, ability to arrange a convenient work schedule, provision to work partially from home, provision of leave when required, provision of child care as well as elderly care facilities, etc. an overwhelming 93% of the respondents agreed that they would work hard to manage both work and family while 88.6% said they would not mind spending more time on fulfilling family's responsibilities, thus indicating importance of family in women's lives. A majority of women (90% of respondents) indicated that they expect support from organizations to give them permission to attend advanced courses/conferences, etc, suggesting strong desire to continuously advance their knowledge and skill set. Also, the study point out that organizational support is very crucial in selecting job opportunities and in achieving a desired level of work life balance.

**P. Kavitha, Dr. V. Kavitha and P. Arulmurugan (2012)** studied that women professionals in IT sector experience high organisational role stress. It was observed that there is significant difference between married and unmarried females on Inter Role Distance i.e. conflict between organizational and non-organizational roles, especially relevant for dual career couples. Married women have also shown more Role Expectation Conflict than unmarried women as married women generally respond to a bigger set of significant others i.e. conflicting expectations and demands by different role senders. Married females also reported higher stress due to Role Overload i.e. too much is expected from the role than they can cope with. Study also indicated that lacking of resources as the most potent stressor which means non availability of resources required for effective performance of the role. The mean score for Resource inadequacy was 9.66 followed by Role Overload (mean score of 9.57) and Personal Inadequacy (mean score of 8.71).

**Lindsay A. Martin (2012)** examined whether there exists a relationship between factors like Multiple Role balance, Number of dependents, Professional Quality of Life, Age, Experience and Wellness among women professional counselors as they face risk of Compassion fatigue, Burnout and Secondary Traumatic Stress due to nature of their work being emotionally demanding. Data Analysis revealed that the Mean Total Wellness scores were quite high (81.13) with possible scores ranging between 25–100, Mean Multiple Role balance was



moderate (25.13) with possible range of 8-40, Professional Quality of Life was good, with High Mean Compassion Satisfaction (41.61, with scores between 5-50), Low Mean Burnout (20.71, with scores between 5-50) and low Secondary Traumatic Stress (19.17, with scores between 5-50). The study confirmed that a woman's overall wellness level is significantly affected by a higher score on being able to successfully balance multiple roles in her life. 77% of respondents had moderate Multiple Role Balance scores, 18% had high MRB while only 4% had low MRB indicating that majority women could balance multiple roles in their life. But moderate Multiple Role Balance could be interpreted in various ways, it might mean that women just accept their multiple roles rather than feeling positive about it, they might be content with various roles as they feel they are responsible for them. The results show that Professional Quality of Life and demographic factors also had significant relationship with overall wellness but number of dependents did not affect wellness levels. Also, the study emphasizes that both personal life and professional life should be considered while analyzing and evaluating overall holistic wellness.

Year	Author	Findings
2010	Supriti et al.	It was observed that there is positive relationship between the variables like age, working environment, training programmes, fringe benefits and family support.
2010	Navjot et al.	It is revealed in their study that emotional intelligence of IT professionals was found to be significant and positively correlated with Personal Life Interference with work.
2011	B. Aiswarya et al.	Emphasised that there is direct proportional relationship between working hours and the work life balance.
2011	Elizabeth	In her study Women and Work Life Balance: A Phenomenological Qualitative Analysis of Identity, Relational Style, Adaptive Style, and Drive and Motivation, and the Role of Faith from the Narrative Life Story Framework found out that women, who value and believe in faith, connect it to work element also.
2011	Parminder Walia	Examined the relationship between the individual related variables (Emotional Intelligence, Work Centrality, Age, Gender and Marital Status), Family related variables (Household Responsibility, Spouse Support and Parental Demands) and Work related variables (Task Variety, Task Autonomy and Work Schedule Flexibility) and overall Work Life Balance.
2012	Uma et al.	Observed that organisational policies that encourage flexible work arrangements have positive relationship with work life balance.
2012	P. Kavitha et al.	Studied that women professionals in IT sector experience high organisational role stress. It was observed that there is significant difference between married and unmarried females on Inter Role Distance.
2012	Lindsay A. Martin	The study emphasizes that both personal life and professional life should be considered while analyzing and evaluating overall holistic wellness.

## RESEARCH OBJECTIVES

1. To review the conceptual aspect of the term work life balance.
2. To bring together the contribution by various researches on the factors affecting work life balance of working women.

## DISCUSSIONS

### Work Life Balance

When employees are able to maintain a balance between different domains of personal life, family care and work and able to integrate these with minimum role conflict, they can have work life balance then (Clark, 2000; Ungerson & Yeandle, 2005).

Women have got many options and access as a result of the knowledge economy and this has led to an increase in the number of working women and hence, working mothers (Grossman, 1981). This knowledge era enabled women to have more occupational opportunities and mobility. But along with this they are supposed to meet the role demands and conflicting expectations. Employment has made women independent by fulfilling their economic needs, but as a result of this they have to juggle a lot also to maintain a balance between work and life. They have stepped into the work domain but even then the household responsibility is considered as the primary responsibility of women (Sunita Malhotra & Sapna Sachdeva, 2005).

Work life balance is defined “the extent to which individuals are equally engaged in and equally satisfied with work and family roles” (Clark SC, 2001).

There will be balanced life if one is able to achieve satisfying experiences in all life domains and it will happen if there is equal distribution of available resources that is energy, time and commitment to all domains of life (Kirchmeyer C, 2000). Work life balance is that one is able to balance the emotional, behavioural and time demands of work and life (Hill et al., 2001). There is work life balance, if one is having satisfaction regarding involvement or fit between various roles of life (Hudson, 2005).

Work life balance is of importance for those who want quality of working life and its relation to overall quality of life (Guest, 2002).

The work life balance has become an important aspect of govt., practitioner and academic debate (Eikhob, Warhurt & Haunschild, 2007). It is accepted that maintaining a balance between a successful career and family life is challenging and also affects the individual's satisfaction in the work and personal life roles (Broers, 2005).

Work life balance is minimising the juggling between paid work and all other aspects which are important to people such as family, community activities, personal development and leisure and recreation (Dundas, 2008).

Work life balance is there when an individual is equally engaged in and equally satisfied with his or her role (Greenhaus et al., 2003).

Thus, employees who experience high work-life balance are those who exhibit similar investment of time and commitment, to work and non-work domains (Virick, Lily & Casper, 2007). (Supriya, 2010) examined work life balance across genders and observed that both males and females are experiencing work life imbalance. In every organisation, it is found that imbalance still exists among men and women, though after liberalisation, many Indian organisations have been introducing various work life balance practices like flexi times, part time work, and provision for child care facilities.

(Kadam, 2012) discussed that the concept work life balance is getting more interest in academic literature, legislation and public discourse. Work life balance is basically the right prioritisation between work such as career and ambition on the one side and life such as, health, pleasure, leisure, family and spiritual development on the other. Work-Life Balance means, meaningful daily achievement and enjoyment in each of four life quadrants work, family, friend and self. (Pandey, 2012) emphasises that when there is just equilibrium between the demands of both an individual's job and personal life.

(Kirchmeyer, 2000) opined that work life balance is achieving satisfying experiences in domains of life and having all the required resources such as energy, time and commitment in a well distributed manner.

## **FACTORS AFFECTING WORK LIFE BALANCE OF WORKING WOMEN**

Working women will face work life conflict, if the number of hours worked per week, the amount and frequency of overtime, inflexible work schedule, unsupportive supervisor and an inhospitable work culture increases the likelihood of women employees to experience conflict between their work and family roles (Krishna Reddy et al., 2010). (Rincy et al., 2011) observed that there will be work life imbalance for women entrepreneurs, if they are having such factors like work overload, dependent care issues, health quality, problems in required time management and lack of support system from the family. Organisational supportive environment, welfare provisions play a primary role and alternative working time, child care and recreation play the secondary role in balancing both fronts i.e. work and home (Santhi et al., 2012). The factors affecting work life balance can be individual related factors, family related factors and work related factors.

### **1. Individual related factors and Work life balance**

There are a number of individual factors such as gender, age, marital status, emotional intelligence, etc., that affect the work life balance. (Gutek et al., 1991) observed that women experience more work interference in family than men, despite spending about same number of hours in paid work as men. Although women spent more hours in family work than men, they reported the same level of family interference in work. (Williams et

al.,1994) discussed that the spill over of unpleasant mood swings happens at both from work to family setting and from family to work , but evidences of good moods spill over was weak. These family to work and work to family spill overs are more stronger for women in comparison to men.

(Higgins et al.,1994) studied that what is the impact of gender and life cycle stage on three components of work family conflict i.e. role overload, interference from work to family and interference from family to work. The results indicated that there are significant differences for gender and life cycle. Working women responded that they were experiencing more role overload than men. And also, women were observed experiencing greater work to family interference than men. For working women such interference is greater when children were very young in age. In addition to this women reported significantly that there was higher levels of family interference with work than men in early years ,but interferences levels were comparable to men's in the third life cycle stage i.e. children 10 to 18 years.

(Carmeli ,2003) revealed that senior managers with high emotional intelligence get enabled to develop positive work attitude, behaviour and outcomes. The study emphasised that those senior managers having high emotional intelligence were more in a position to control work life conflict than those senior managers with low emotional intelligence. (Sjöberg,2008) hypothesized emotional intelligence to be a factor in successful life adjustment, including the successful achievement of a well balanced life. It was found that both the dimensions of balance, i.e., family/leisure interference with work and work interference with family/leisure were strongly negatively correlated to emotional intelligence. Results, thus, showed that high emotional intelligence was associated with a better balance of life and work. (Hammer et al. ,1997) found that because of the higher levels of work involvement there were higher levels of work family conflict (WFC).

(Halbesleben et al.,2009) found that high positions at the work and long working hours influence employee's engagement and it affects work life conflict also. It was analysed that highly engaged employees, who were self-aware face lower work life conflict than those employees who are not that aware of themselves.

(Soin,2011),researched on part time govt secondary school teachers and fulltime woman managers of public banks regarding relationship between well being and work family balance.In this study Ryff's psychological well-being scale that constructs and uses six dimensions of purpose in life, autonomy, self-acceptance, environmental mastery, personal relations with others and personal growth, has been used.And it was observed that females with full time job were highly stressed and were with lower levels of psychological well being as compared to women with part time jobs.

According to Schutte (1998 ), emotional intelligence may be defined as the "capability to purposefully recognize emotion, express emotion, regulate emotion and harness emotions".

According to Stanton(2001), it depends upon the individual perception that how employees perceive the job stress about one's work environment either as threatening or demanding or discomfort experienced by an individual in the work place.

## 2. Family related factors and Work life balance

There are so many factors such as spouse support, spouse work hours, couple's employment status, number of children, parental responsibilities, home responsibilities which have an influence on work life balance/conflict.

Adams et al. (1996) developed and tested a model that depicts the relationship between work and family. The results revealed that there will be less family interference with work if having higher levels of family emotional and instrumental support were associated with lower levels of family interfering with work. If having required family related support that may lead to reduced family to work conflict by reducing family distress and parental overload (Frone et al. ,1997) .

Work and family both are very demanding domains and it is difficult for the working women to maintain a balance between these two. The cultural contradictions of motherhood also intensify these conflicts, such as women are encouraged to seek self-fulfillment in demanding careers and working women are suppose to make many sacrifices for their children in providing intensive parenting, highly involved childbearing(Coser LA,1974).

Many other factors to be managed by working women are related to finding adequate and affordable access to child and elderly care (Reskin B.,et al.,1992).

Higgins et al. (1994) studied that women employees face more work to family interference than men, also observed that this interference was highest when children were young and lowest in families with older children.

The family related factors such as the child care arrangements and availability of flexibility to go home in case of urgent work (Niharika et al.,2010).Social support from spouse, family, relatives at family front can reduce family and work conflict(Geertje,2006).

Working women with children have to juggle more than those without children in maintaining a balance between work and life (Hamilton et al., 2006).

### **3. Work related factors and Work life balance**

There are so many work related variables, such as ,task variety, task autonomy, task complexity, role conflict, work schedule flexibility, number of hours worked which make an impact on work life balance/work family conflict. (Crosbie and Moore ,2004) studied working from home and work life balance. Women carried out paid work at home for 20 hours or more per week. The study concluded that home working was not panacea for modern working life. Personality skills and aspirations should be given careful consideration by those who are thinking of working from home. Those who have tendency to work long hours outside the home might find that home life is even further marginalized by work life. (Alam et al.,2009) explored the correlation between working hours and work family imbalance, for three focused groups, namely, teaching professionals and two groups from corporate houses. It was found that respondents working for 5-7 hours a day did not consider working hours as a factor to affect work and family balance. On the other hand, women managers in corporate sector, having long working hours (9-10 hours a day) agreed that time was a crucial factor for work family imbalance. The study approved the association between working hour and work family conflict. 99 per cent of women managers reported to have work family conflict because of 9 -10 hours work everyday. While only 20 per cent involved in teaching reported so.

The employees working longer hours, experience more work life conflict.The five important factors such as power to make decision and act autonomously, information provision, rewards, knowledge of the job and team working, were found to be negatively correlated to work life imbalance. It was also found that increasing the availability of work life balance policies for employees did not improve the relationships when pressure to work longer hours was higher, and employees felt greater work life imbalance (Macky and Boxall ,2008).

(Frye et al.,2004) found that the number of work hours, the use of family- friendly policies, and reporting to a supportive supervisors were predictive of work-family conflict. Family friendly policies and reporting to a supportive supervisor were found to have negative correlation with work-family conflict whereas hours worked was positively related .With regard to family- work conflict, reporting to a supportive supervisor was predictive of such conflict and was negatively related to such conflict.

When the responsibilities of work and family get incompatible, there will be inter-role conflict and will have negative impact on the work performance of the employee (Coser LA,1974 ). Work family conflict is result of many negative job attitudes and consequences like lower job satisfaction and intention to leave the job (Good LK, et al.,1988). Family work conflict is also the result of inter role conflict. Workplace features also contribute to increased levels of work family conflict. It was emphasised by the researchers that number of working hours per week, the amount and frequency of overtime required, a rigid work schedule, unsupportive supervisor and organisational culture results in that women employees face conflict between work and family role (Galinsky E et al.,1996).

With each new level of education there is growing work life conflict, which shows that there is impact of educational levels on the degree of work life conflict (Tausig and Fenwick ,2001).

As (Greenhaus et al.,1989),observed that organisational positions are correlated with education levels and that brings more challenging jobs and contributes to work life conflict.

It has emphasises that flexi work arrangements can be administered as a policy in the organisation and that will help employees in maintaining better work life balance and will also be of benefit to the organisation itself in motivating and retaining employees (Bachmann,2000). Christensen(1990), also observed that by introducing flexi work arrangements for work will result in less lethargy, reduced absenteeism and even turnover also.

It has been emphasised that work family balance has close relation with job stress and degree varies depending upon the levels of job stress among employees in different occupations (Wallace et al.,2005).

It has been researched the relationship between job related stress, health, work family balance and work life conflict of Australian academia and found that higher levels of job stress results in decreased work family balance and well being among employees(Bell ,2012).

Technology has an important influence on our work and family lives. It is analysed that technology can be considered to have blessings and can be treated as the cause of sufferings. Technology as aiding or hampering work family balance by creating a more accessible and flexible environment at all times of day and night and enabling employees to work anytime and anywhere(Lester, S.,1999).

Work support as well as the support at the family front, both play an important role in work life balance. Work support may be from management, the immediate supervisor, co –workers and the organisation itself. And support from spouse, family, friends and relatives is termed as family support as a whole(Michel et al.,2011).

**Table - 1: Factors affecting Work life balance**

Individual related factors	Family related factors	Work related factors
1. Gender	1. Spouse support	1. Task variety
2. Age	2. Spouse work hours	2. Task autonomy
3. Emotional Intelligence	3. Couple's employment	3. Task complexity
4. Engagement with work	4. Status	4. Role conflict
5. Self awareness	5. Number of children	5. Work schedule flexibility
6. Autonomy	6. Parental responsibilities	6. Number of hours worked
7. Self-acceptance	7. Home responsibilities	7. Policies for employees
8. Environmental mastery	8. Family distress and	8. Pressure to work longer hours
9. Personal relations with others	9. Parental overload	9. Supportive supervisors
10. Personal growth	10. Child and elderly care	10. Organisational culture
	11. Social support from spouse, family	11. Flexi work arrangements
		12. Job stress

## CONCLUSION

It has been observed that different studies have researched various factors which have an influence on the work family balance. These factors may be related to an individual employee or may be family related factors as well as organisational factors. Individuals have to play different roles as per the demand of the position at work and at the organisation. There are so many expectations from office as well as from the home and it becomes difficult to maintain a healthy work life balance. At the organisation front the factors that make an influence at the work life balance may include hectic schedules, work overload, unsupportive superior and management, long working hours, rigid schedules, technology etc. The family factors that affect the work life balance observed are child care, elder care, household chores, health problems, support from spouse, relatives and friends. And there are individual factors which have been studied that also have a great impact on the work life balance of employees are like individual personality, perception of employees, emotional intelligence, wellbeing and positive approach. Future researchers can focus on the relationship of such factors and can also research the comparison of such variables among employees employed in organisations and the self-employed individuals.

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## **WHY DO COMPANIES BUYBACK SHARES**

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### **ABSTRACT**

*Share buyback, or buying of its own shares by a company, is a way to hand cash back to shareholders. In India companies were allowed to buyback their shares from 1998, prior to which a general restriction had been imposed on the companies to repurchase their shares. For buyback of shares a listed company has to follow the relevant SEBI regulations, in addition to the provisions made under the Companies (Amendment) Act 1999. Though share buyback is a relatively new concept in India, it has become popular among the companies. The total numbers of buyback offers, from 1998 to July 2017, are 388 of an amount aggregating to Rs. 1,07,859 crore. In the backdrop of the increased buyback activity this paper aims to review the literature available on share buybacks to find out the motives for conducting buybacks, with special reference to Indian companies. It was revealed that companies buyback shares as a substitute for dividends, to return free-cash-flow, signaling of undervaluation, to take advantage of excess debt capacity, as a takeover deterrent, to increase liquidity of shares and for the interest of the insiders.*

*Keywords: Buyback, dividend, motives, shares, signalling.*

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### **INTRODUCTION**

Buyback of shares, or buying of its own shares by a company, like dividends is a way to hand cash back to shareholders. Since the enactment of the first corporate legislation of independent India in the year 1956 until recently, a general restriction had been imposed on the Indian companies from buying back its shares primarily because it was apprehended that such a practice, if allowed, might be prejudicial to the interests of the company's creditors and minority shareholders and might facilitate maneuvering of stock prices and speculative activities in the stock market. However, with a severe downturn being noticed in the capital market operations in India towards the end of 1980s and early 1990s, this perception had changed and the regulators, market operators and industry men collectively agreed to introduce buyback in India in order to help revive the sagging capital market. Share buybacks are believed to inject some buoyancy into the share prices because share buyback price is invariably higher than the market price prevailing before the buyback announcement by a company. Accordingly, the Union Government promulgated the Companies (Amendment) Ordinance, 1998 approving buyback of share for the first time in India (Gupta et al. 2006 and Chakraborty, 2008).

The concept of buyback of shares is a new one so far as India is concerned but on a global scale share buyback programs started much earlier. Among the countries which allow share buybacks by companies, the U.S. has the longest history. Share buybacks had appeared in the U.S. in the late 1960s, and had become very popular by mid-1980s. In the United Kingdom share buybacks have been permitted since 1991 and in Germany and France since 1998. In the Asian countries, share buybacks were permitted in Japan in 1995 followed by Malaysia in 1997, Singapore and Hong Kong in 1998 and Taiwan in 2000. In Australia, buyback activity has gradually increases since its inception in 1989, and New Zealand in 1993 relaxed stringent regulations making buybacks a much more viable strategy (Evans and Gentry, 2001 and Gupta et al., 2006).

The literature provides a lengthy list of motives for why corporations might buyback their own shares: capital structure adjustments, takeover defense, signaling, excess cash distributing, substitution for cash dividends, insider's interest motive and providing liquidity to shares.

Though share buyback is a relatively new concept in India, it has become increasingly popular among companies as a strategic alternative for corporate management (Gupta 2006). The fiscal year 2017 witnessed the share buyback activity reach an 18-year high with 49 companies spending nearly Rs 34,500 crore compared to just Rs 1,834 crore in financial year 2016 and Rs 605 crore in financial year 2015. The total numbers of buyback offers, from 1998 to July 2017, are 388 of an amount aggregating to Rs. 1,07,859 crore. In the backdrop of the increased buyback activity this paper aims to review the literature available on share buybacks to find out the motives for conducting buybacks, with special reference to Indian companies. The paper proceeds by discussing the methods of buyback, the motives of share buyback identified on the basis of review of literature and followed by conclusion.

### **METHOD OF BUY-BACK**

A company may buyback its shares or other specified securities by any one of the following methods:

- a) from the existing security holders on a proportionate basis through the tender offer;

- b) from the open market through-
  - (i) book-building process,
  - (ii) stock exchange;
- c) from odd-lot holders;
- d) from employees to whom securities are issued pursuant to a scheme of stock option or sweat equity.

A company shall not buyback its shares or other specified securities from any person through negotiated deals, whether on or of the stock exchange or through spot transactions or through any private arrangement.

Any person or an insider shall not deal in securities of the company on the basis of unpublished information relating to buyback of shares or other specified securities of the company.

### **MOTIVES FOR SHARE BUYBACK: A REVIEW OF LITERATURE**

There are several incentives for companies to undertake a share buyback. The following discussion presents a review of the studies according to the motives of share buybacks.

1. **Dividend substitution motive:** Companies' financial decision to distribute their excess cash to shareholders is commonly referred to as the corporate payout policy (Douglas, 2007). Share buybacks are often seen as an alternative to dividend payments because of the tax rate advantage of capital gains. One of the earliest studies on share repurchase conducted by Masulis (1980) revealed that the security price change to repurchase announcements was caused by marginal personal tax advantages of converting dividends into gains. However, studies conducted in the U.S., by Baker et al. (1981) and Wansely et al. (1989), using survey method revealed that managers did not agree that share repurchases were a substitute for dividends. In Australia, Mitchell and Robinson (1999), for a sample of 67 share buybacks conducted over the period 1990-1995, revealed that one of the motive listed by companies in their announcements was that share buybacks were used as a substitute for dividends. Using a sample of 156 firms, Sarig (2004) conducted a time series analysis of payout policies of U.S. firms for the time period 1950-1997. It was observed that the increase in the taxation of capital gains relative to the taxation of dividends caused a shift in the split of the total payout from share repurchases to dividends. Moser (2007) investigated whether the difference in individual shareholder tax rates between dividend income and capital gains affected a firms' choice of the payout method used. Using a sample of 15,880 observations of share repurchase and dividend paying firms for the period 1998-2004 in U.S., they found that in periods in which the dividend tax penalty increased, firms were more likely to distribute funds to shareholders through share repurchase as opposed to dividends.

Share repurchases may be preferred over dividend because of the inherent flexibility they offer. Unlike dividends there is no commitment that they will continue in the future. Studies have revealed results consistent with this argument. Jagannathan et al. (2000) using a sample of U.S. firms that had repurchased share and firms that had distributed dividends for the period 1985-1996 revealed that the smoothness of the dividend series combined with the volatility and procyclicality of the repurchase series was consistent with the view that dividends were paid out of substantial permanent cash flows while repurchases were paid out of temporary cash flows. They noted that repurchases did not appear to be replacing dividends; rather they seemed to serve the complementary role of paying out short-term cash flows. In India, Dhatt (2011) examined the share buybacks conducted for the period 1998-2006 and revealed that the companies dividend payout ratio was negatively related to the likelihood of conducting a share buyback; hence, indicating that these companies preferred buybacks over dividends to pay surplus cash. Thus, lending support to the dividend substitution hypothesis.

2. **Free-Cash-Flow motive:** Companies that have excess cash and poor investment opportunities can conduct a share buyback to return the surplus cash to the shareholders and thereby, reduce the propensity to waste cash. This motive is often referred to as the free-cash-flow motive. A number of studies have found that companies undertake to buyback shares in order to return the free-cash-flow or excess cash to the shareholders. Fenn and Liang (1997) estimated the cross-sectional relationship between open-market buybacks and accounting data for a sample of dividend paying and non-dividend paying firms over a twelve year period (1984-1995) in the U.S. They found results consistent with the hypothesis that firms used open market share buybacks, and not dividends, to reduce the agency cost of free-cash-flow. They established that buybacks were positively related to proxies for free-cash-flow. Dittmar (2000), while investigating the reasons of why companies repurchased shares in the U.S., found that in many periods, from 1977-1996, firms repurchased stock in order to distribute excess capital to the shareholders.

In order to explore the likelihood of firms announcing a share repurchase, McNally (2002) employed a sample of 396 open market repurchases carried out in Canada, for the time period 1989-1999, and established that firms repurchased shares to distribute free-cash-flow. Li and McNally (2003) using a sample of Canadian 109 normal course issuer bids (NCIB) or open market share repurchase firms and 110 non-NCIB firms, for the time period 1989-1992, found considerable support for Isagawa's (2000) model, which argued that firms repurchased to signal that they would not waste their free-cash-flow. Further, they also observed that the announcement returns were larger for firms with greater free-cash-flow.

In India, Mishra (2005) using a sample of companies that had conducted share buyback programs over the period 1999-2001, found that distributing cash to shareholders seemed to be the incidental objective for conducting share buyback in India. Another study by Gupta et al. (2006), who examined the offer documents of share buybacks conducted during the period 1998-2003 and interviewed corporate directors of selected Indian companies, revealed that one of the most common motives cited was returning of surplus cash to shareholders. Hyderabad (2009) examined the characteristics of share repurchasing firms and the market reaction to multiple offers in India for the time period 1998 to 2008. The analysis revealed that the repurchasing decision of Indian firms may be attributed to excess cash flow as the frequent repurchasers pay lower dividends due to higher variable operating income while infrequent repurchasers pay higher dividends out of stable operating income, thus, supporting the free cash flow hypothesis.

3. **Signalling of undervaluation motive:** A share buyback may be motivated by the managements' belief that the shares of the company are undervalued. Information asymmetry between the insiders and shareholders may cause a company to be misvalued. Hence, a share buyback can be conducted by a company to invest in its own stock and acquire mispriced shares. There is substantial evidence that undervaluation and information asymmetry are an important determinant for the initiation of a share buyback program.

Wansley et al. (1989), in a survey of 182 CFO's of large U.S. corporations, revealed that repurchases were conducted due to the management possessing favourable information not known to the market about the firms' future cash flows, and thus represented managements signal that the firm is undervalued.

Investigating the relationship between the stock repurchase decision and investment policy of U.S. companies for the time period 1977-1996, Dittmar (2000) revealed that firms repurchased stock to take advantage of potential undervaluation, as measured by the market-to-book ratio, throughout the sample period. However, she did not find the repurchase companies to have information asymmetry or a history of low returns. Jagannathan and Stephens (2003), using a sample of 3,520 open market share repurchase announcements made in the U.S. for the period 1986-1996, observed that the firms repurchasing shares at regular intervals were unlikely to be repurchasing shares because of undervaluation reasons. On the other hand they revealed that it was the infrequent repurchases that were motivated by undervaluation and high degree of asymmetry, given the finding that they were made by firms that were small and that had higher managerial ownership.

The undervaluation motive was also observed by Firth and Yeung (2005) for share buybacks conducted in Hong Kong. The share buybacks were preceded by negative prior returns and had higher book-to-market ratios, both indicating that managers engaged in share buybacks to signal and correct undervaluation. Further, they also observed that the number of shares repurchased in a quarter was a function of undervaluation. Studies conducted in Australia also revealed that the share buybacks were motivated by undervaluation. Mitchell and Robinson (1999) examined the motivations provided in the announcements of 67 share buybacks over the period 1990-1995 and Mitchell et al. (2001) examined the managements' views (112 CFO's) concerning buybacks. Both studies found the main motive of share buybacks to be signaling of future expectations or undervaluation and an attempt to increase financial performance. Further, Mitchell and Dharmawan (2007) examined 253 companies that conducted on-market buybacks for the time period 1996-2001 and observed undervaluation to be an incentive for on-market buybacks conducted in Australia. They observed that the share buybacks were preceded by negative returns. Further, they observed that buybacks by smaller companies and those that had announced a higher percentage of shares to be bought back were driven by undervaluation motive.

In India, Gupta et al. (2006) observed that one of the motive mentioned in the buyback offer documents by the companies that had conducted a share buyback for the time period 1998-2003 was to convey to the investors that the market was undervaluing the companies' shares in relation to its intrinsic value. However, they noted that signaling of undervaluation could not be generalised for all the companies as they observed share prices of several companies fall successively after every buyback programme. Hyderabad (2009)

examined the characteristics of share repurchasing firms and the market reaction to multiple offers in India for the time period 1998 to 2008. His study revealed that the market-to-book ratio of Indian firms is relatively lower than US firms, thus, concluding that repurchasing firms in India are undervalued and may have a strong motive to repurchase shares for undervaluation reason. In a study of share buybacks conducted by Indian companies for the time period 1998-2006, Dhatt (2011) observed the market reacted more favorably to the announcements made by companies that were small in size and had a lower market-to-book ratio, thus, lending support to the undervaluation hypothesis.

4. **Excess debt capacity (capital structure) motive:** A share buyback reflects the managements' preference to use debt rather than equity. Buyback of shares by a company reduces its equity which will result in an increase of the leverage ratio. McNally (1999) using a sample of 702 open market repurchases conducted in the U.S. for the period 1984-1988 found evidence that firms with lower debt ratios prior to the buyback benefited the most, in the form of increased tax shield and market value, as they were likely to be below their optimal level of leverage. Using a sample of 1,100 U.S. firms, Fenn and Liang (2001) observed that repurchasing firms had lower leverage as compared to the non-repurchasing firms. They explained their finding on the basis of agency cost-based explanation that, companies with lower debt can rely on share buybacks to distribute excess capital as their probability of financial distress and, hence, external financing costs, were less as compared to companies with higher debt. However, research conducted by Rees (1996) in U.K., McNally (2002) in Canada and Firth and Yeung (2005) in Hong Kong observed no significant relationship between the market reaction to share buyback's and the leverage of the buyback firms, thus, finding no support for the excess debt capacity motive.

Dittmar (2000) investigated the relationship between stock repurchases and the capital structure policy over the period 1977-1996. The results of the study revealed that during certain periods firms bought back shares when their leverage ratio was less than their target leverage ratio, which led her to conclude that firms conducted share buybacks to alter their leverage ratio. Jagannathan and Stephens (2003), in examining the motives and characteristics of firms that repurchased shares frequently versus firms that repurchased only occasionally or infrequently, observed that the former had lower debt-to-equity ratios, which increased subsequent to the repurchase. Mitchell and Dharmawan (2007) examined 253 companies that conducted on-market buybacks in Australia for the time period 1996-2001 and revealed that a strong incentive for conducting an on-market buybacks was to utilise the excess debt capacity and actively manage the capital structure. Further, they also observed that share buybacks by smaller companies and by those attempting to buyback a higher percentage of shares was driven by the excess debt capacity relative to the target. Dhatt (2011), in a study of buybacks conducted in India, found strong evidence in support of the excess debt capacity. It was revealed that firms with lower leverage ratio may embark upon share buyback to take advantage of their excess debt capacity.

5. **Insider interest motive:** Share buybacks can also be conducted for the interest of the insiders. The insider interest motive implies that insiders may take actions that are in their interest but not necessarily in the interest of the shareholders. Cudd et al. (1996) examined the relationship between the repurchase motives and shareholder wealth effects. Repurchase motives were based upon questionnaire responses received from CFO's of 182 U.S. corporations having conducted a share repurchase. The study revealed a positive relationship between the announcement period return and the control motive (of increasing insider's holdings) which was due to an increased alignment of managers' interest with those of the stock holders and a reduction in the agency costs.

Fenn and Liang (2001), using data of more than 1,100 U.S. firms during the period 1993-1997, found evidence that suggested that managerial share ownership furnished incentives to increase payouts at companies with potentially the most severe agency problems-those with low management stock ownership and few investment opportunities. In a study conducted in Australia, using a sample of 253 on-market buybacks conducted during the time period 1996-2001, Mitchell and Dharmawan (2007) observed that, since companies with lower insider holdings had higher agency costs and information asymmetry they were more likely to conduct a share buyback. Thus, one of the incentives for these companies to conduct a share buyback was to signal a reduction in the agency costs and/or information asymmetry. Further, this result was also found for companies announcing a higher percentage of shares to be bought back. Li and McNally (2003) using a sample of Canadian 109 NCIB (open market share repurchase) firms and 110 non-NCIB firms found that share repurchase were a signal that the insiders' will not waste the free-cash-flow thus causing the share price to increase. Consistent with this they also observed that firms with larger insider shareholdings were more likely to repurchase shares. In India, Gupta et al. (2006) observed that one of the

motives of Indian companies going for share buybacks, for the time period 1998-2003, was to strengthen the promoters voting power. Further, Dhatt (2011) also observed that firms in India bought back shares for the interest of the shareholders and as a means to reduce the dispersion of ownership.

Research done in the U.S. also indicates that share buybacks were used to off-set the equity dilution caused by allotment of shares against employee stock options. According to the stock option motive, stock options encourage managers to choose repurchases over dividends, as repurchases unlike dividends do not dilute per share value of the stock. Baker et al. (1981) observed that one of the main reasons underlying proliferation of stock repurchases in the U.S., as stated by CFO's of NYSE listed firms, was its use to off-set the equity dilution caused by employee bonus or stock option plans. Fenn and Liang (2001) found evidence that indicated that management stock options induced substitution away from dividends towards open market repurchases. Weston and Siu (2003) found the main motive for conducting share repurchases during the 1990's to be offsetting the dilution effect of executive and employee stock options. Lee and Alam (2004), using a sample of firms for the time period 1996-2000, observed that firms repurchased stocks in order to undo the dilutive effect from stock options. Further, they established that, out of the extant measures of stock options, the number of stock options outstanding and exercisable had higher explanatory power of why firms with a stock option plan choose to repurchase stocks. Ghosh et al. (2008) examined the relationship between managerial stock option holdings and the common stock repurchase plan of REIT repurchases during the period 1997-1999, and revealed a strong positive relationship between the holdings of exercisable stock options and the likelihood of announcing a repurchase.

In Canada, McNally (2002) found that out of the 396 firms that conducted open market repurchases for the time period 1989-1999, only twelve percent of the firms were motivated by offsetting the dilution caused by employee stock ownership plans.

6. **Liquidity motive:** Share buybacks can also be used to provide a market for shares where no market is available or it is illiquid. Mitchell and Robinson (1999) examined the motivations provided in the announcements of 67 share buybacks conducted in Australia over the period 1990-1995. They found that providing market for company's shares was one of the prominent motives across all buybacks. Jagannathan and Stephens (2003) observed that the U.S. companies undertaking frequent repurchases were attempting to increase their stock liquidity, given that their relative volume, or share turnover, was lower than those repurchasing less frequently. Further, for the infrequent repurchases the share turnover was significantly higher than their control firms' indicating that, increasing the stock liquidity was not the main motive for conducting a share repurchase. In India, Gupta et al. (2006) examined the buyback offer documents of companies that had conducted a share buyback for the period 1998-2003 and observed that some companies had cited lack of liquidity of their shares in the market as a reason behind share buyback. They argued that since the price at which the shares were bought back is generally higher than the prevailing market price, the shareholders were able to liquidate their shares which otherwise were seldom traded in the market.
7. **Takeover deterrence motive:** Share buybacks can also be undertaken for the takeover deterrence motive. According to this motive, companies that are at a higher risk of becoming takeover targets are more likely to buyback shares. Bagnoli et al. (1989) argued that managers will repurchase shares to block a takeover only if the cost is not too high. Further, this cost would be inversely related to the value of the firm. Hence, a repurchase signals that the value of the firms is high and thus blocks a takeover. For a sample of 17 defensive share repurchases for the period 1980-1987, Denis (1990) revealed that repurchases were often a part of an overall defensive strategy undertaken by the target firm to maintain their independence. Further, he also observed that managers were using the defensive strategy for their own benefit at the expense of shareholders as it resulted in concentration of voting power in the hands of the managers without increase in managerial cash flow ownership.

Bagwell (1991) examined the use of share repurchase as a takeover deterrent and uncovered that in the presence of an upward-sloping supply curve for shares, a share buyback can be used as a takeover defense because the buyback increases the lowest price for which the shares are available. Since shareholders willing to tender in the repurchase are systematically those with the lowest valuations, the repurchase will skew the distribution of remaining shareholders toward a more expensive pool. Gay et al. (1991) argued that since Dutch auction's never go into proration and are designed to ensure that repurchases are from shareholders with the lowest possible reservation prices, they result in making the firm more expensive to a potential raider, hence acting as an effective takeover deterrent. Sinha (1991) analysed a firm's debt-financed share repurchase activity in response to a takeover threat. He presented a model in which managers of firms, that were takeover targets, bond themselves by using debt-financed share repurchase in order to reduce perquisite

consumption and increase investment in the firm. The resulting value increase made the firm a less attractive target. During certain periods from 1977-1996, Dittmar (2000) observed that share repurchases were used to fend off takeovers in the U.S. Billett and Xue (2007), using a sample of firms listed on the NYSE, AMEX and NASDAQ, found that there was a significant relation between open market share repurchases and takeover probability. This led them to conclude that open market share repurchases deterred takeovers. Doan et al. (2012) examined if Australian firms used share repurchases as a takeover deterrent and concluded that the firms buyback activities increase if it perceives a high risk of takeover from the market.

## CONCLUSION

The concept of buy-back is a new one so far as India is concerned. In India share buy-backs were introduced in the year 1998. Since then a number of companies have undertaken buy-back of shares. The present study was undertaken to identify the motives for conducting buy-back. A review of the relevant literature revealed that companies can buy-back shares as a substitute for dividend, for distribution of free cash flow or to take advantage of the undervaluation of shares. Further, companies can also buy-back shares to utilize their excess debt capacity and increase their leverage ratio, as a takeover deterrent and to provide liquidity in case of illiquid shares. It was also found that companies buy-back shares as it is in the interest of the insiders. A review of the Indian studies revealed that Indian companies buyback shares as a substitute for dividends and as a means to return the free cash flow. Further, share buybacks are also used as a means to signal the undervaluation of the firm, to strengthen the voting power of the promoters and to increase the liquidity of the shares.

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## OCCURRENCE OF SPONGILLA LACUSTRIS (DEMOSPONGIAE: SPONGILLIDAE) FROM GONDIA, INDIA

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### ABSTRACT

*Sponges play a key role in Eastern fresh water benthic community structure and dynamics and are often a dominant component of many Ocean benthic communities. Understanding the drivers of sponge distribution in Antarctica enables us to understand many of general benthic biodiversity patterns in the region. The sponges of the Antarctic and neighbouring oceanographic regions were assessed for species richness and biogeographic patterns using over 8,800 distribution records. Species-rich regions include the Antarctic Peninsula, South Shetland Islands, South Georgia, Eastern Weddell Sea, Kerguelen Plateau, Falkland Islands and north New Zealand. Sampling intensity varied greatly within the study area, with sampling hotspots found at the North eastern Maharashtra, with limited sampling in Girola, Bodalbodi, Salekasa and Halbitola lakes. Bio geographical analyses indicate stronger faunal links between Antarctica and South America, with little evidence of links between Antarctica and South Africa, Southern Australia or New Zealand. We conclude that the biogeographic and species distribution patterns observed are largely driven by the Antarctic Circumpolar Current and the timing of past continent connectivity.*

*Keywords: porifera; distribution; habitat type; predation; freshwater sponge*

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### INTRODUCTION

Sponge is the most primitive multi cellular animals, have been living 200 million years ago in the sea, so far has grown to more than 10000, accounting for 1/15 of the Marine animals, is a vast ocean "family", most of them live in the Marine intertidal to 8500 meters (28000 feet) deep. Not all sponges live in the ocean, there are around 20 kinds of needle sponge (also called freshwater sponge) living in fresh water, commonly live in clean lake and gentle streams. They are with soft structure and grow into bag shell or branch of briquette. People usually found them on aquatic plant's branches and leaves as well as on stones, due to the surface of the algae, often present the colour such as yellow, brown or green. Sponges perform an important role in benthic ecosystem communities by forming high biomass

(Beliaev GM, et al. 1957), (Cattaneo-Vietti R 2000), which is an important food source for numerous organisms, such as amphipods (Barthes D, Tendal OS 1994), sea stars (McClintock JB et al. 1994), and nudibranchs (Avila C, Iken K. 2000). Coupled with their three-dimensional structures, sponges provide heterogeneous and complex habitats, nurseries and substrate for a vast array of marine organisms (Barthel D, Gutt J 1992), (Hogg MM 2010), (Gutt J, Schickan T 1998), (Thrush SF, et al. 2006). The sponge body provides microhabitat for many epidictic species (Barthel D, Gutt J 1992), (Amsler MO et al. 2009) and larger sponges provide habitat for mobile species, such as echinoderms and holothurians, often using the sponge as a raised platform for filter feeding (Gutt J, Schickan T 1998), as well as playing an important role in several fish species lifecycles (Barthel D 1997), (Eastman JT, Hubold G 1999). Some species grow upon living substrata (Gutt J, Schickan T 1998), as well as on the mats of siliceous spicules from dead sponges, which also provide a home for many in faunal species. Sponges are important colonisers in early, and end-members in later community stages, recovery from iceberg disturbance (Gutt J, Piepenburg D 2003). The evolution of sponge epifauna and their epidictic relationships have been suggested as major explanations for the high Antarctic benthic species richness (Gutt J, Schickan T 1998) (Hogg MM 2010). Understanding the patterns behind their distribution and diversity will play an important part in understanding the biogeography of the SO benthos. For these reasons sponges have been recognized by policy makers in the region as important indicators of Vulnerable Marine Ecosystems (VME's) for conservation purposes), (Lockhart SJ, Jones CD 2009)

### RESULTS

#### Species Records and Richness

This study included two distinct data records for sponges from 86 research publications, expedition reports and online data sources. In total the database comprised geo-referenced records for 1570 sponge species (~21% of global species) of which two are from the north eastern lake ecosystem. Spongillidae argyrosperma and Spongillidae lacustris (fresh water sponge) dominated (70–75%) at all taxonomic levels from family to species within the north eastern Maharashtra.



## DISCUSSION

### Data, Taxonomy, Sampling Coverage

This study represents the most comprehensive database and analysis of north east Maharashtra sponges attempted to date. Collating sponge distribution data presented several challenges. The available data were often poor quality with a low level of taxonomic resolution and/or a low spatial resolution. As a result sufficient data was only available to analyse Spongillidae biogeographic patterns. As has been observed more generally in 70.39 to 21.38 North Latitudes, 89.27 to 82.42 East Latitudes (NE) studies, the distribution of sponge sampling in the NE is patchy and uneven, with a paucity of data available from the shallow lake and river. Our analyses identified that certain regions in the NE Maharashtra remain under-sampled for sponges, particularly the Salekasa lakes well-sampled areas have not yet been sampled sufficiently to be confident that the majority of species have been found

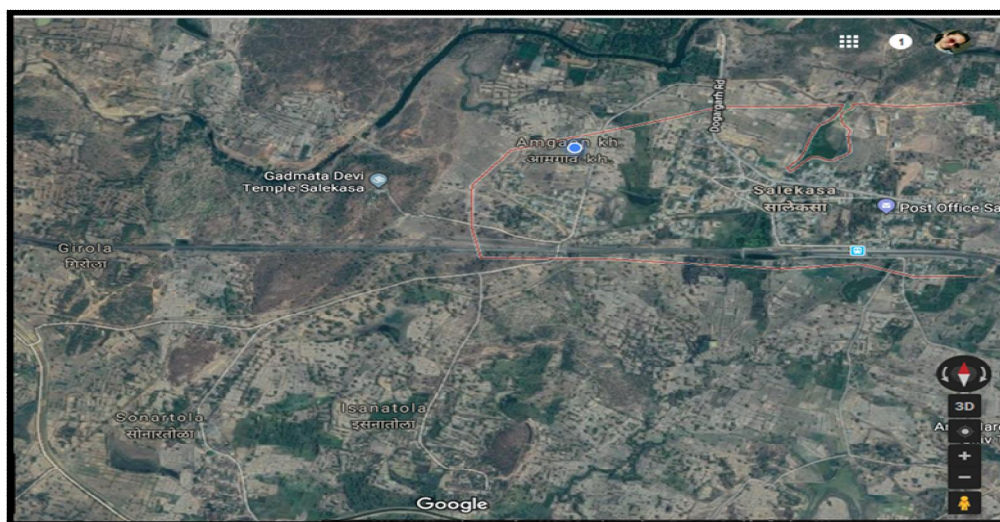


### SPECIES RANGES

Freshwater sponges are crustlike, branched, or clumped. The texture is fragile and soft, and the color is whitish or green. Freshwater sponges have irregularly scattered and barely visible water-exit holes. The surface is uneven and roughened by spicules.

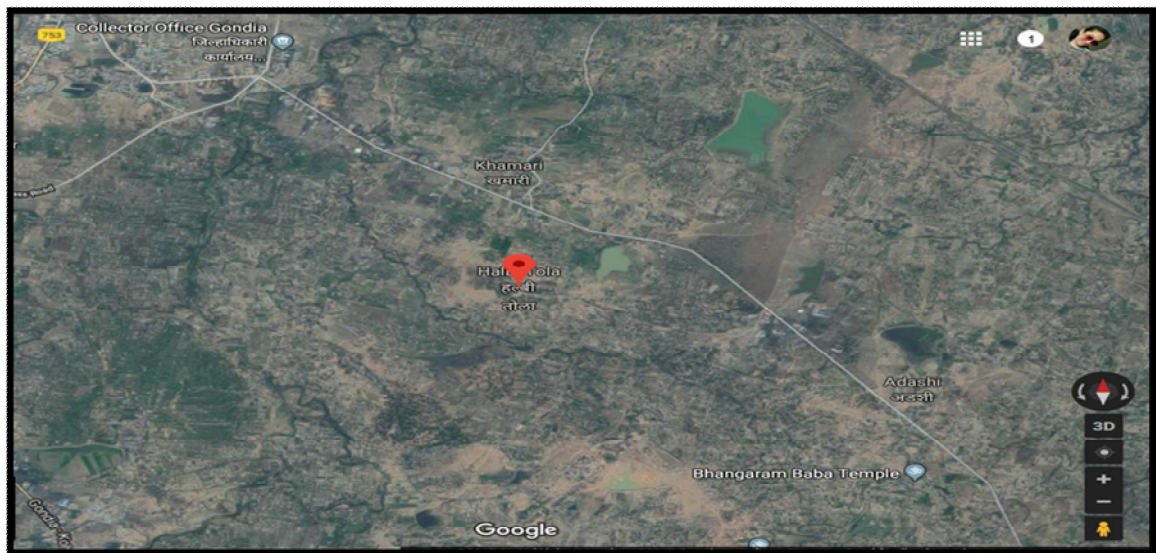
Freshwater sponges live in North America, Europe, and Asia. Freshwater sponges live in standing and running fresh water. Freshwater sponges are filter feeders. Scientists know little about how freshwater sponges behave. These sponges reproduce asexually by forming buds in late summer that spend the winter in a dormant state and emerge from the adult in the spring. Freshwater sponges reproduce sexually during the summer, giving birth to live larvae.

Within study area relatively homogenous conditions (temperature, salinity, nutrients) mean that marine organisms have the potential, given enough time and dispersal capability, to occur within the whole of the study area. Therefore, the dominance of range-restricted species and the small number of species found to have wide ranges in the current study is surprising. However, this pattern is not unique, and has been found in other NE fauna. Sponges have more restricted longitudinal ranges in the NE compared to pycnogonids and bivalves, but are similar to those found in gastropods. However, at least a quarter of sponge species have very wide longitudinal ranges and, with the notable clustering of species that probably have circumpolar distributions ( $>200^\circ$ )

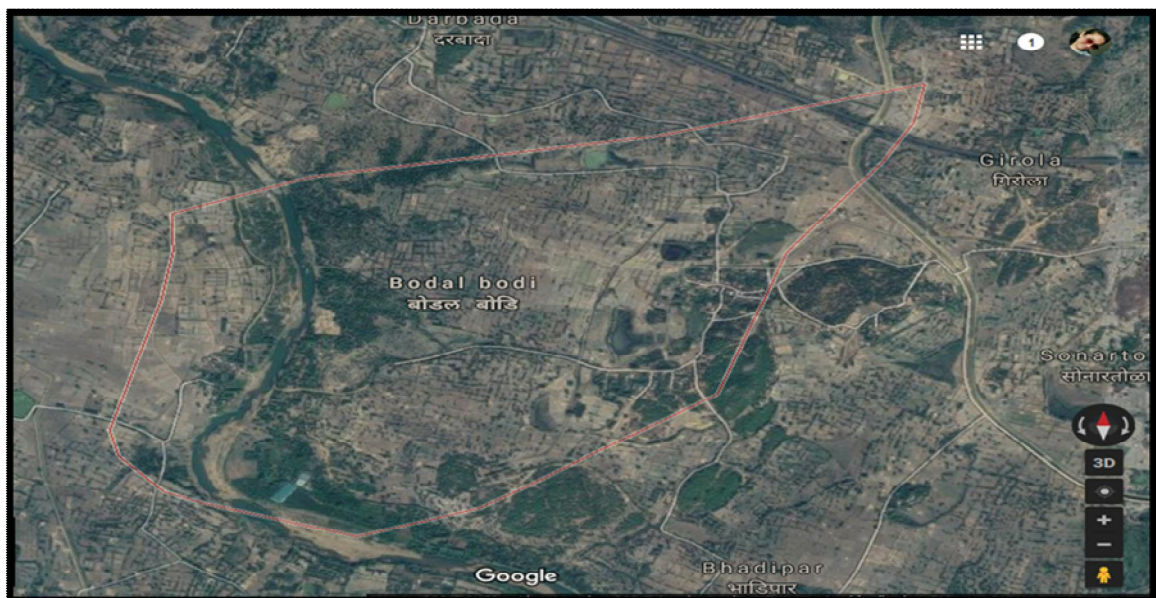


A. Salekasa lake





**B. Halbitola**



**C. Bodalbodi**



**D. Girola**

**Fig-2: Satellite map of Gondia lake system**

similar patterns are observed. Latitudinal ranges in sponges are also relatively restricted again similar to that found in gastropods.. Despite the indication that fewer sponges and other benthic fauna may have circumpolar distributions than previously thought, it is believed that with increased sampling coverage, particularly in Salekasa lake, more species will be included in this category.

Dispersal mechanisms are an important biological parameter in understanding range and distribution patterns. Lecithotrophic larvae generally have a short-lived existence, which could be important in understanding why some species are range restricted. However, little is known about the longevity of this phase in Antarctic sponge larval duration, which could potentially be far longer than is currently known for temperate species and therefore could be important in creating and maintaining circumpolar distributions (McClintock JB2005), (Pearse JS1991). Recent investigations of hexactinellid sponges in the Weddell Sea indicate the possible important role of asexual reproduction in this region (Teixidó N 2006). Flotation of these negatively buoyant sponge buds, through macroalgal rafting, has been noted within the sub-Antarctic which, coupled with potentially rapid colonisation rates, could explain the wide ranges of certain sponge species (McClintock JB2005), (Helmuth B.1994). However, these apparently wide-ranging species could also include examples of cryptic speciation (Sarà A1992). There has so far been study on cryptic speciation in Antarctic sponges, but those undertaken in other regions indicate that cryptic species do exist e.g. (Thorpe JP1994), (Knowlton N 2000) and are potentially more common than previously considered (Wörheide G2005).

For the first time, our analyses demonstrate that eurybathy is an important but not a dominant characteristic of Salekasa lake sponges. The prevalence of eurybathy differs strongly between sponge classes, and certain families and classes have either strong eurybathic or stenobathic characteristics. Oceanographic and sedimentological conditions in the oceans are seen as important in promoting eurybathy in benthic fauna. Koltun (Koltun VM 1969) suggested the oceanographic reasons for sponge eurybathy are two-fold. Firstly, he believed that due to the absence of continental runoff, ocean waters extend all the way to the edge of Antarctica, which brings sponges from bathyal depths to shallower parts of the shelf. Second, the presence of strong bottom currents promotes the movement of benthic species from the shallows to the continental shelf (Koltun VM 1969). Relatively uniform physical and chemical conditions on the shelf, and varied bottom sediments as substrata, promote eurybathy by reducing vertical zonality. This can be seen in certain families, which are found to be strongly eurybathic (range >5000 m), such as the Rossellidae, Suberitidae, Polymastiidae, and Cladorhizidae, and these are commonly found in other oceans at great depths (Hooper JNA 2002). Eurybathy is also seen as a possible evolutionary by-product of glacial-interglacial cycles of ice sheet advance and retreat, which eliminated most shelf fauna during glacial cycles, thereby periodically forcing species into deeper water to escape extinction (Brandt A2007), (Dell RK 1972), (Brey T1996). Despite these processes driving eurybathy in Salekasa lake sponges, many species are still found to not exhibit these characteristics.

Eurybathy is not a characteristic of all sponges, particularly the calcareous sponges. Calcareous sponges tend to be strongly stenobathic, found predominantly on the shelf, and are the most latitudinally and longitudinally restricted of all the classes. These characteristics may have been important in driving the high levels of both species- and genus-level endemism in this class. Globally, hexactinellid sponges are generally thought to be stenobathic and less likely to be found at abyssal depths (Tabachnick KR 1994). However, this study suggests that SO hexactinellids have eurybathic tendencies, and are as eurybathic as NE demosponges. Within this study, demosponges have been found to have some of the highest levels of eurybathy, and this group includes species with some of the widest longitudinal and latitudinal ranges. These factors may be important in driving the relatively low richness of demosponges within the Salekasa lake, and in reducing endemism. Large latitudinal and longitudinal ranges could be explained by their abyssal tendencies and the use of asexual budding in dispersal. Despite similar characteristics found between these two classes, it is clear that different processes must be driving their diversity and distribution patterns.

#### BIOGEOGRAPHIC PATTERNS EXPLAINED

Intensive sampling and data collection at locations with abundant sponges would better define the habitat requirements of sponges on Salekasa lake. It would also be valuable to describe different sponges based on their ecological roles and to define and quantify habitat types in order to provide a comprehensive distributional overview of the sponges present in Salekasa lake. Although this paper was unsuccessful in defining and describing sponge distribution in NE, it did raise many new questions about sponge distribution. My data strongly supported the hypothesis that there are differences in sponge distribution at different locations around the Indian continent. Based on the benthic biotic and abiotic variables considered it was determined that locations with the same sponges present will not necessarily have very similar abiotic and biotic factors. However looking at predator abundance this may not be the case for Sp. G and would be worth



investigating further. The hypothesis that sponges transplanted to a location with no naturally occurring sponges of the same species will not survive was supported by the transplant data for Sp. G. Additional inquiry is warranted as predation was not the only factor limiting the distribution of Sp. G. From the results of our analyses of the distribution of demosponges (the only group for which sufficient data are available)

### FUTURE CONSIDERATIONS

The use of molecular techniques in marine biology has clearly shown that the perceived single ocean with few boundaries to limit mixing within and between species does not exist (Knowlton N 2000). Molecular studies on Antarctic invertebrates have indicated that many of the species currently known with wide ranges represent species complexes (Held C (2003) –(Allcock AL.2011) Sponge species complexes of previously widely distributed species have been found outside the Salekasa lake however, there is no published research yet on NE sponges. Range and depth restricted species were found to be more common in this study, than the previously believed. Currently there are still many SO sponges which have either wide longitudinal and/or latitudinal ranges, and are eurybathic, which require the application of molecular techniques to determine if they are one continuous species or several different species. Over 7,600 marine sponges are identified as valid species (Van Soest RWM2011), with recent studies indicating that sponge diversity could be double that currently known (e.g. (Hooper JNA,1994). In the near future, the number of Antarctic species, genera, families, and endemics are likely to increase, with the combined efforts of both morphological and molecular techniques (e.g. <http://www.spongebarcoding.org/>). Future work in these key areas could alter and improve our current understandings of NE sponge diversity, distribution and biogeography.

### CONCLUSIONS

Our analyses support the recognition of a single demosponge biogeographic zone, which also includes the Girola, Halbitola, Bodalbodi and Salekasa lake regions of Gondia district and salekasa region. The wider biogeographic divisions recognised are otherwise similar to previous studies on demosponges. Our data indicate that the biogeographic NE region comprised of the and Lakes distinct from the Antarctic and other sub-Antarctic islands. Our data are consistent with previous research in sponges and many other benthic groups indicating a strong faunistic link between North America to Europe. Levels of endemism indicate that the PH is an effective barrier to sponges colonising to and from other Southern Hemisphere regions. However, strong faunal connections between North America to Europe, which currently lie north Eastern Asian species, indicate past and possibly ongoing connections. The presence is variable over a range of timescales and is known to have been at least four degrees further north Eastern Asian in the past.

Contrary to widely held perceptions, the majority of Salekasa lake sponges have limited distribution and depth ranges, and eurybathy and circumpolarity are not general characteristics as previously thought. Forty-three percent of sponges are endemic to the Salekasa lake, with hexactinellids having the highest species-level endemism (68%). There are distinct depth range differences between sponge classes, with demosponges being more likely to be eurybathic than hexactinellids or Calcarea. Shallow maximum depths are recorded for many demosponges.

### MATERIALS AND METHODS

#### Data Acquisition

All publically available sponge occurrence records in the Salekasa lake, These data were collated using published records and publically available expedition reports, with all nominal records having had their taxonomic status verified against the world register of marine species ([www.marinespecies.org](http://www.marinespecies.org)). During the timescale on which this work was carried out the taxonomic editors of the register have begun to make significant revisions of sponge taxonomy. The data used in this study were nomenclaturally correct as of Sept, Oct 2016 according to the World Porifera Database ([www.marinespecies.org/porifera/](http://www.marinespecies.org/porifera/)). Sponge occurrence data were compiled using records that spanned over 130 years, from the earliest records from the Challenger expedition (1881), to the present day (including all taxonomic revisions to the original specimens). The authors of this study have made all data used within this study freely available through the open access SCAR-MarBIN website (scientific committee on Antarctic research marine biodiversity information network ([www.scarmarbin.be](http://www.scarmarbin.be))).

Abundance data were not used in this study because the majority of records did not include abundance, or did not use comparable sampling methods or means of recording abundance. This class is recorded only by one genus with only sporadic Antarctic records, it is therefore excluded from all following analyses.

#### Species Richness and Sampling Intensity

In order to determine species richness and quantify sampling intensity, the NE was divided into grid cells of 70.39 to 21.38 North Latitudes by 89.27 to 82.42 East Latitudes. Each sampling station is regarded as a distinct

point of longitude and latitude, reducing possible issues with duplication from different data sources, but potentially leading to underestimation of sampling effort as multiple sampling techniques were used at some locations. This species was counted only once within each grid cell in order to determine the distinct number of species. Due to sampling intensity varying dramatically in the Gondia district and neighbouring lake regions, the rarefaction curve technique can be used as it allows comparison between cells with different numbers of samples. In order to compare species richness between cells, rarefaction analysis with 86 publications. In total, four sites of the best-sampled grid cells were used in the rarefaction analysis due to low numbers of records in India North –Eastern Maharashtra state; these regions were not included in this analysis.

Endemism rates for the Antarctic were estimated as the number of species within this database that were only found North –Eastern MH.

### **Species Depth and Geographic Range**

In order to analyse patterns of depth distribution in sponges in the Salekasa lake (both 89.27 to 82.42 East Longitudes and 70.39 to 21.38 North Latitudes regions), the bathymetry was divided into 100 m intervals from 0 to 7000 m. Sponge data were divided into the three different classes: Demospongiae, and only species with 3 or more distribution and depth records were used. The number of species and families found in each depth interval was calculated. When breaks occurred in the depth distributions of two or more species within a family, this was recorded in the results. In order to further analyse the nature of eurybathy of SO sponges, a second technique was utilised (Clarke A 2007) Sponges that were found to have depth distributions that encompassed more than one zone were also enumerated.

Longitudinal and latitudinal ranges were calculated for all sponge species that had been recorded at 3 or more lake around Salekasa. Latitudinal ranges were calculated by subtraction of the lowest latitudinal value (most Easternly) from the highest latitudinal value (most northerly). This is done by calculating all possible longitudinal distances between neighbouring records to obtain the maximum longitudinal distance between any two of the records. This value is then subtracted from 360° to provide the actual longitudinal range. However, this method in calculating longitudinal range of species also prevents any species from having a truly circumpolar distribution, due to gaps in sampling.

The distributions of species with 1 or more records were mapped using a Geographic Information System (GIS). Species with similar geographic distributions were grouped into major faunal patterns.

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**Fig- Underwater Close-up Shot Of Green Freshwater Sponge (*Spongilla lacustris*) Branches Stock**

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**OPPORTUNITIES & CHALLENGES OF GENDER MAINSTREAMING IN SELECTED  
GOVERNMENT OFFICES IN FOGERA DISTRICT: ETHIOPIA**

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**ABSTRACT**

*The main objective of this study was to assess the current gender mainstreaming practices and to identify opportunities and challenges in selected government offices. In order to meet this objective, the study used qualitative research method and case study research design. Purposive sampling was used to select the informants and discussants of the study. The findings showed that most participants in study were not clear about the concepts of gender and gender mainstreaming. The finding also showed that the participants of the study have less access to training and retraining opportunities of gender and gender mainstreaming.*

*Keywords: Challenges, Gender, Gender mainstreaming, Government Office, Opportunities*

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**1. INTRODUCTION**

In recent years, the concept of gender mainstreaming has been widely accepted by national governments, international institutions, and development agencies in most parts of the world as an international approach not only for attaining gender equality, but also as a pre-condition for sustainable socio-economic development of society as a whole. That is why gender mainstreaming has been promoted by the United Nations, the World Bank, and by many bilateral aid agencies, national governments, human rights, and development organizations as a common means of achieving diverse goals like reducing maternal mortality, increasing literacy, and slowing the spread of HIV/AIDS (Alwine, 2009).

As part of the global movements, the federal democratic government of Ethiopia has declared its unequivocal commitment to the development of women and to addressing the issues of gender inequalities that deter long lasting changes with the announcement of the national policy on women in 1993, and, consequently, support structures for policy implementation has been put in place. The promulgation of the new constitution in 1994 guarantees all citizens' equality before the law, equality of access to economic opportunities, prohibits any discrimination on the ground of gender, overall review of family law and penal codes, identifies and changes any discrimination provision against women .

Besides, Ethiopia has ratified relevant continental and international instruments pertaining to gender. At continental level, Ethiopia has signed the Protocol to the African Charter on Human and Peoples' Rights on the Rights of Women in Africa. Globally, the Ethiopian government is signatory to most international instruments, conventions and declarations on gender equality. The Convention on the Elimination of All Forms of Discrimination Against Women (CEDAW), Millennium Development Goals Declaration (MDGS), and party to commitments such as the International Conference on Population and Development (ICPD) and- the Beijing platform of Action, which clearly demonstrate the existence of the political will and of an enabling environment for pursuing the objectives of gender equality in the country (MOWA, 2010).

However, Fetenu and Sosena ( 2002 ) argued that the speed with which these are put in-to practice to ensure women's and men's equal access to resources, opportunities and treatment so critical to equitable, participatory and sustainable development has not been as expected. In the same context Topia, (2001) supports the above argument that although men and women are always assumed to be part of the development process, the latter has sometimes remained invisible to development planners and policy makers.

As a result of this, gender inequality still widely exists in the study area in particular and our society in general. In these regard different sources (MOWA, 2006 and MOFED, 2004) explained that gender inequality is one of the features of Ethiopian society. As a result, there is unequal power and economic relation between women and men. Hence, women are more disadvantageous than men in almost all spheres of life. Addressing gender mainstreaming in any actions is not only about equity but also about social justice. It is also about development and poverty reduction (MOFED, 2004). An official document released from the Ministry of Women's Affairs Office (2006) further stated that countries will not be able to combat poverty and HIV/AIDS pandemic, and ensure sustainable development without a deliberate attempt to overcome gender inequality.

To this effects, to what extent gender activities are mainstreamed in any development sphere and activities, particularly in government institution are important question that need further investigation .Thus, the aim of this study was to assess the existing gender mainstreaming practices in line with the current opportunities and challenges in their attempt to mainstreaming gender issues in the selected government organizations in Fogera



district : Education, Health, Agricultural Development and Women, Children, and Youth Affairs Offices. In spite of these commitments and a growing awareness of the cross-cutting gender issue, gender mainstreaming has been slow to be translated from policy into action in most developmental society (Topia, 2001). The reason for the slow pace for the implementation of gender mainstreaming is that gender mainstreaming is still a new strategy which calls for significant changes to the status quo. Such far reaching changes require time, training, and significant resource allocations to be achieved the goal of gender mainstreaming .i.e. gender equality (Allison, 2009).

In supporting this idea, Emebet (2005) in her report on selected practices on gender mainstreaming in Ethiopia, explained that though encouraging efforts are being made in Ethiopia in the sphere of gender mainstreaming, there are also a number of limitations like the lack of a comprehensive and coherent process of gender mainstreaming and absence of appropriate institutional mechanisms. She also argued that most Ministries usually deal on revising draft documents and providing comments instead of actively involving in the implementation of gender mainstreaming in their activities.

The researcher also heard complaint and grievance from women as they are unable to exercise their economic and social rights provided by the constitution, policy and legal context due to pervasive gender imbalance thinking and activities in the society in general and governmental institution in particular. This situation clearly shows that gender mainstreaming is not put into practice in the study setting as expected by the government though there are policy and legal context as well as strategic documents pertaining to gender mainstreaming. These gender discrepancies, grievances, and the subsequent disadvantaged position of women in socio-economic condition initiated the researcher to conduct a study which aims to assess opportunities and practical challenges of gender mainstreaming in some selected government institutions in the study setting.

The following basic research questions have been designed to be addressed in this study:

1. What does the practice of gender mainstreaming look like in selected government sectors in Fogera district administration?
2. What are the recognized opportunities in mainstreaming of gender in those concerned sectors?
3. What are the challenges experienced in mainstreaming of gender in selected governmental sectors in the district?

The general objective of the study is to examine the existing gender mainstreaming practices in line with opportunities and challenges prevailing in selected government organizations in the case of Fogera district administration, Ethiopia. Accordingly, this study focused on the following specific objectives that examine the current gender mainstreaming practice in selected governmental offices, assess the opportunities to mainstreaming gender issues in selected governmental institutions, and identify the major challenges of gender mainstreaming in selected governmental institutions in Fogera district.

## **2. BODY OF THE PAPER**

### **2.1 MATERIALS AND METHODS**

In order to achieve the pre-defined objectives within the specific time and budget a cross-sectional qualitative research design was employed. This is because qualitative research is said to be more effective to explore attitudes, behavior and experiences of the study subjects in depth (Catherine D, 2009; Martyn, 2007). Taking this rationale in mind, the researcher conducted a qualitative case study which is a more appropriate to explore opportunities and challenges in their actual context and thereby get a holistic and in-depth understanding (Kikwawila Study Group, 1994; Martyn, 2007). Another argument that convinced the researcher to employ a case study approach is not only that it allows researcher to use a variety of methods (In-depth interviews, FGD, Key informant interview, etc.) depending on the circumstances and the specific needs of the situation but also findings from the typical instance of case study can be generalized to the whole class of the thing in the domain.

### **2.2 SOURCE OF DATA**

In this research, both primary and secondary data were used as a source of information.

The primary sources of data were collected by interviewing the heads and deputy heads, process owners and team leaders of the selected governmental offices who are currently working in their respective sectors. As part of primary sources, a focus group discussion (FGD) was also conducted with experts and planners.

To supplement the primary data, secondary sources of information was collected through extensive review of published and unpublished documents. Apart from this, gender mainstreaming guidelines, gender training manuals, workshop proceedings were utilized as secondary sources. Besides, documents like national policies,

strategic plan, and annual plan, monthly, quarterly, and annual reports were also incorporated as secondary source for the study.

### **2.3 SAMPLE AND SAMPLING TECHNIQUE**

As far as sampling technique and sample size of a scientific research is concerned, it is probability sampling which has set the standard for social research (Martyn, 2007; Claudia & Jonathan 2004). The expected reason behind such a tradition is that probability sampling follows statistical laws and that well suited to select representative samples in large scale survey studies designed with the aim to produce quantitative data (Martyn, 2007). However, it is not an intrinsic nature of social research. Researchers in the area of small scale qualitative research find it difficult to adhere and follow the principle and procedures of probability sampling in the process to select their study subject or events concerned ((Martyn, 2007; Paul, 2004; Kikwawila Study Group, 1994; Jane R. & Jane L, 2003). According to Martyn (2007), some researchers have even strongly criticized the principles of probability sampling. From such extensive arguments, the researcher has taken the important lesson that probability sampling may not always be required for all kinds of research and by all researchers as a standard in the areas of social science research. To put it in another way, non-probability sampling is another sampling technique in small scale qualitative research designs with the same significance level of the former one.

Firstly, Fogera district at large has been taken as a case based on the criteria of convenience as discussed in the aforementioned paragraph. The units of analysis of this study were governmental sectors in this district which are in ahead of implementing mainstreaming of gender issues in their comprehensive program. Secondly, district women, children and youth affairs, education office, health office, agriculture and rural developments office were purposely selected cases to be included in this study. These sectors were the main references in which the study subjects for in-depth interview and focused group discussants were selected and from which primary and secondary data for analysis were generated. In this regard, heads, deputy heads, process owners, planners and experts from these sectors were purposively selected as participants of this study. In this ways, six focused group discussants from each study offices and two key informants from women, children & youth (WCY) affairs office and three in-depth interviewees from each of the other study offices have taken as participants of this study.

### **2.4 INSTRUMENTS OF DATA COLLECTION**

In this study, the researcher developed and utilized two main instruments of data collection tools to increase the depth of information obtained from the respondents namely semi-structured interviews and focus group discussion. The total numbers of the interviewees were twelve (10 males and 2 females) that were purposively selected from the study offices. The interviews were conducted in office of the respective discussants from half of an hour to one hour. The focus group discussion was another qualitative data collection method that the researcher was employed in this study. To these effects, four separate FGDs were held in this study from the selected offices. There were a total of 24 discussants (16 males and 8 females). Each focus group had six discussants. The FGD participants were those planners and experts currently working in their respective organizations. Before the discussion begins, information on the need of the discussion and procedure of discussion was informed for the participants.

### **2.5 METHODS OF DATA ANALYSIS**

The data that were gathered through a semi-structured interviews and focus group discussions were analyzed in thematic analysis method. In organizing the primary data, the researcher read thoroughly the written information obtained from notes, interviews, focus group discussion and documents that were helpful for the study. Furthermore, the researcher listened again and again the recorded information obtained for the study prior to the transcription.

After that the researcher transcribed the data in mother tongue and then to English. After the preparation of full written transcripts of the recorded data, the researcher reviewed the transcript to sort data and identify patterns based on the questions in the interview guide and grouped into themes based on the general and specific objectives used in the study. Finally, the data were analyzed by using thematic analysis method by carefully transforming the qualitative data into textual form.

### **2.6 RESULTS**

#### **2.6.1 DEMOGRAPHIC PROFILES OF PARTICIPANTS**

Participants of this research were the representatives of government employees who were currently employed in the government offices that were selected in the study setting. The total number of participants in the study was thirty six, of whom twenty six were males and ten were females. Six FGDs participants from each study offices

and two interviewees from women, children, & youth (WCY) affairs and three interviewees from the rest of the study offices have taken as participants of this study on the basis of purposive sampling. The sex composition, age structure, educational level and work experiences of both the in-depth interviewees and focus group discussion participants are displayed in the following table.

**Table -1: Characteristics and Profile of the Informants**

No	Description	Interviewees	FGDs	Total
1	Sex	12	24	36
	Female	2	8	10
	Male	10	16	26
2	Age	12	24	36
	24-29	2	11	13
	30-39	4	8	12
	40-49	5	4	9
	Above 50	1	1	2
3	Work experience	12	24	36
	1-5	-	10	10
	6-10	5	7	12
	11-20	3	4	7
	Above 20	4	3	7
4	Level of education	12	24	36
	Diploma	1	5	6
	First degree	11	19	30
	Second degree	-	-	-

*FGDS=Focus Group Discussions*

*WCY= Women Children Youth affairs*

*MDGS=Millennium Development Goals*

As can be seen from the table above, the total numbers of respondents in the in-depth interview were twelve in number; among whom ten of them were males and the rest of two were females. Regarding the educational level, one participant was diploma holder while the rest of the participants were first degree holders in different field of study. Their age ranges extended from twenty four to fifty years old. The range of their years of work experience also varies that the minimum being six and the maximum twenty five.

When we come to the background profile of FGD participants, the total number of the discussants was twenty four that was grouped in to four FGD in their offices; of whom sixteen of them were males and the rest eight were females. Regarding the educational level, five of the participants were diploma and the rest of them were first degree holders. The age structures of the participants were greatly varied from twenty four up to fifty five years old in which most of them were in the age categories of young. The range of their work experience was also varied from three to twenty five.

## 2.6.2 GENDER MAINSTREAMING PRACTICE IN THE STUDY SECTOR

One of the predefined objectives of the study was to assess and analyze the practice of gender mainstreaming in some selected government offices in Fogera district administration in the aspects of planning, implementation, monitoring and evaluation phase of their activities pertaining to their duties and responsibilities. In order to assess the practice of gender mainstreaming in the study areas, key informants and focus group discussants were asked different questions. This might help to assess the knowledge, understanding and skills of the actors pertaining to gender mainstreaming. It was an empirical evidence for the extent of gender mainstreaming practice, tools and techniques that employed in gender mainstreaming practice and nature of capacity and gender awareness training in their areas of work.

In line with the questions that were posed to the participants, the response of the interviewees and the focus group discussants were explored and presented in the following strategies.

## 2.6.3 KNOWLEDGE OF GENDER AND GENDER MAINSTREAMING

For effective implementation of any new perspective, including gender mainstreaming, positive attitude towards the issues and comprehensive knowledge and skills in the area are very important. Particularly, the underlying ideas, concepts, merits and demerits of the new approach should clearly be understood by those actors who

involve in decision making, planning, implementing of gender mainstreaming in the selected government sectors. In views of this, interviewees and focus group discussants from the selected offices were asked questions that might enable to assess the knowledge and level of their understanding regarding the concepts of gender and gender mainstreaming in the study setting. Accordingly, opinions, perceptions and understanding of the interviewees and focus group discussants were explored and presented in the subsequent paragraphs.

As it is evident from the response of the participants, the majority of interview respondents and focus group discussants have clear ideas on the concepts of gender and gender mainstreaming. In respect to the concept of sex and gender, they replied that sex is biologically determined whereas gender is a social construction or interaction between male and female which is different from place to place, culture to culture. On the other hand, sex is biogenic where as gender is sociogenic. However, some respondents and discussants didn't have clear ideas on the concepts of sex and gender. According to these informants, gender means women and women mean gender. Still some other participants of the study were not confident in explaining the discrepancy between sex and gender.

#### **2.6.4 ACTIVITIES PERFORMED IN THE STUDY AREAS PERTAINING TO GENDER MAINSTREAMING**

As it is evident from the response of the participants of the this study, most in-depth interviewees and focus group discussants have mentioned that they were performing different activities pertaining to gender mainstreaming in accordance with the duty and responsibility of their work place pending by the law. In view of the response of most participants, preparing gender responsive planning, making gender analysis, assemble sex-disaggregated data, giving feedback, conduct review meeting with the stakeholders, making assessment and action research on gender mainstreaming, implement affirmative action. Other positive support for females were worthwhile mentioned as far as the activities of gender mainstreaming practices were concerned yet the activities were differs from one study area to other study areas in accordance with their duty.

#### **2.4.5 TECHNIQUES AND TOOLS USED BY SELECTED OFFICES FOR GENDER MAINSTREAMING**

Gender mainstreaming cannot be realized without the effective utilization of tools of gender mainstreaming in the organization as well as in the society as whole. To this effect, the techniques and tools such as statistics, gender surveys, sex disaggregated data, gender analysis, gender auditing, gender responsive budgeting and planning, gender mainstreaming guideline and checklists are important devices for gender mainstreaming. To assess how the study offices employed such tools of gender mainstreaming, the researcher posed different questions to the participants of this study that pertaining to techniques and tools of gender mainstreaming.

In line with the questions that was posed to the participants, the response of both the in-depth interviewees and focus group discussants were explored and presented in the succeeding paragraphs. Almost all the key informants, mainly from the offices of health and agricultural development were not able to mention techniques and tools used to apply in the process of gender mainstreaming in their offices. However, some key informants from the offices of women, children, & youth (WCY) affairs and education offices responded that they used gender responsive planning, sex-disaggregated data, checklist, and gender analysis as tools of gender mainstreaming among the other tools of gender mainstreaming. Accordingly, gender responsive planning, gender analysis, sex-disaggregated data are the most common gender mainstreaming devices that are mainly applied in the education office.

#### **2.6. 6 CURRENT OPPORTUNITIES FOR GENDER MAINSTREAMING PRACTICE**

The second predefined objective of this study was assessing the existing opportunities of gender mainstreaming practice in some selected government offices in the study area. In view of this participants /in-depth interviewees and FGD discussants /of the study were asked questions that may possibly assess the recognized opportunities in their own offices. To these effects, eligible informants and focus group discussants were asked to enumerate and explain the recognized opportunities of gender mainstreaming in their work place. The response of the in-depth interviewees and focus group discussants were explored and presented in the subsequent paragraphs.

Accordingly, the response of the participants pertaining to the opportunities of gender mainstreaming can be categorized into national instrument or documents and the upcoming technical and practical opportunities for gender mainstreaming practices.

On the other hand, increasing of gender awareness, the improvement of gender responsive planning, and willingness of other office to accept the technical supports of gender experts from the women, children & youth (WCY) affairs office, the existence of quarterly review meeting with the stakeholders that attempt to

mainstream gender issues in their activities, the existing good practice pertaining to gender equality in the adjacent district, the onset of evaluation of gender mainstreaming practice by the council of the district administration were some of the practical opportunities of gender mainstreaming in the study sectors.

### **2.6.7 MAJOR CHALLENGES FOR GENDER MAINSTREAMING PRACTICE**

The third predefined objective of this study was to examine the major practical challenges that inhibit gender mainstreaming practice in the study offices. In this regard, informants and discussants were requested to point out and explain the practical challenges that they encountered in their respective offices. To this effect, both of the informants and discussants in this study identified a number of challenges or constraints that deter the implementation of gender mainstreaming in their respective offices.

According to the response of the participants, the major challenges of gender mainstreaming were lack of Commitment and attention among the concerned body, lack of continuous access to gender awareness and sensitivity training, attitudinal problem, lack of conceptual clarity and technical capacity, lack of accountability, problem of financial and material resources, lack of co-ordination among the concerned bodies, child marriage and dropout of female students, imbalance division of labors, economic dependency of women to men, lack of authority from the facilitators office, inappropriate uses of techniques and tools of gender mainstreaming and so forth.

**Lack of commitment and attention :** First and for most, lack of commitment and attention among the concerned body was one of the major challenges that was constantly mentioned and explained by the in-depth interviews and discussant of focus group discussion in all sessions. In spite of the fact that commitment and attention has played pivotal roles for the success of any activities, the issues of commitment and attention cut across the boards in the case of gender mainstreaming. Commitment and attention at the highest level would lead to the allocation of space and resources for mainstreaming gender in development plans and programs. It is commitment that would motivate program managers and experts to take on gender mainstreaming in their work and ensure that competence in gender mainstreaming reaches into different aspects of development.

However, contrary to this general fact interviewees and FGD discussants responded that, lack of commitments and attention to gender mainstreaming was reflected in various ways by the decision-maker as well as experts in their respective offices. Non-existent or inadequate budget allocation for gender activities and development works, lack of training in the area of gender, lack of accountability and responsibility were worthwhile mention as far as the issues of lack of commitment and attention were concerned.

In addition, lack of continuous assessment of gender mainstreaming and unable to understand the vitality of gender equality for two-fold developments and act accordingly were also mentioned as a formidable challenge for mainstreaming gender issues in any activities as far as the issues of attention and commitment are concerned. In this regard all of my interviewee from women, children, & youth (WCY) affairs office argued that although it is an un-denied fact that, there were scarcity of financial and material resources, problem solving technical supports, lack of attention and commitment from the executive body that holdback the process of gender mainstreaming in the study office in particular and at district level in general. They also claimed that despite the existence of problems like scarcity of budget and technical skills of gender mainstreaming, lack of responsibility and accountability, lack of a thorough understanding of gender issues and its importance for rapid and twofold developments were the fundamental challenges of gender mainstreaming practice.

## **2.7 DISCUSSIONS OF THE MAJOR FINDINGS**

### **2.7.1 GENDER MAINSTREAMING PRACTICE IN THE STUDY SECTORS**

Conceptual clarities and understandings on issues like gender and gender mainstreaming were essential prerequisites for those actors who involved in decision making, planning, implementing, monitoring and evaluation of mainstreaming gender issues in any activity. The findings of this study revealed that most of the participants of the study were looked clear with the concepts of gender, gender equality, gender mainstreaming and justifications behind why promoting gender equality has become a cross-cutting and global issue. Besides, most of the participants were also clear with the ideas that gender mainstreaming was the concern of all governmental institutions, Non-governmental organizations and other concerned body.

The finding of this study is contradicted to Beresaw (2007) that indicates conceptual clarity to the concepts of gender and gender mainstreaming is the problem of actors of gender mainstreaming. On the other hand the experience the researcher shows that the issue of using the terms gender and women interchangeably is creating an understanding as to whether gender issues are practical problems or not. Most often, in meetings, workshops and related gatherings of concerned people, including decision-makers and practitioners, people use the two terms and the issues attending them interchangeably. Besides, the researcher observed during the data collection

process that some respondents and the majority of discussants did not have clear ideas on the concepts of sex and gender and gender mainstreaming. They explained that gender means women and women mean gender. Still some other participants of the study were not confident in explained the discrepancy between sex and gender leave alone the concept of gender mainstreaming.

### **2.7.2 CURRENT OPPORTUNITIES FOR GENDER MAINSTREAMING PRACTICE**

Opportunities can be the existing circumstances that might prevail in a given country such as favorable political environment, workable, participatory and people centered development policies, strategies and plans, institutional machinery, etc. The finding of this study revealed that the current opportunities for gender mainstreaming practice are categorized in to national instrument and practical or upcoming opportunity of gender mainstreaming. The national instrument of gender mainstreaming could be categorized in to legal instruments, policies, strategies and development documents. The country's Constitution, National Policy on Ethiopian Women, Agricultural Development policy and strategy, Education and Training policy, Health policy, Women's Development Package, the five year growth and transformation plan, proclamation that oblige each Ministers and its branch office to mainstream gender issues in their all activities obeyed by laws were worthwhile mentioned as far as the current national instrument or documents for opportunities of gender mainstreaming.

### **2.7.3 CHALLENGES FOR GENDER MAINSTREAMING PRACTICE**

Challenges or problems that might affect any development process can also significantly affect gender mainstreaming practices in different public organization. This is because of the fact that gender mainstreaming means paying sustainable attention to equality between men and women in the course of development, in formulation of policies, strategies, programs, implementation, monitoring and evaluation phase. To this end, the informants and discussants in the study mentioned a number of challenges or constraints that hamper gender mainstreaming work in their respective offices. Some of the major challenges of gender mainstreaming are lack of Commitment and attention among the concerned bodies, lack of continuous access to gender awareness and sensitivity training, attitudinal problem, lack of conceptual clarity and technical capacity, problem of financial and material resources, lack of co-ordination among the concerned bodies, child marriage and dropout of female students ,imbalance division of labors, economic dependency of women to men, lack of authority from the facilitators office, inappropriate uses of techniques and tools of gender mainstreaming and so forth.

Findings of this study indicated that lack of commitment and lack of attention on gender mainstreaming from the actors of gender mainstreaming were a formidable challenges for gender mainstreaming. The participants (interviewees and focus group discussion) of the study claimed that as results of such problems decision maker has not allocated budget for gender awareness and sensitivity training and hired human resource; there is no continuous evaluation on gender mainstreaming issues giving the same attention as the other activities. Besides, the question of accountability and responsibility was almost none in the study offices.

This finding is consistent with the finding of Beresaw (2007) who demonstrates that lack of commitment and its subsequent results are formidable challenges for gender mainstreaming practice in the public organization.

## **3. CONCLUSION**

Based on the finding of the study the following conclusion has made in the subsequent sections. The practices of gender mainstreaming has showed different finding. With regard to knowledge and understanding of gender and gender mainstreaming the findings of this study revealed that most of the participants of the study are clear with the concepts of gender, gender equality, gender mainstreaming, and justifications behind why promoting gender equality has become a crosscutting and global issue. However, most of the interviewees and almost all the focus group discussion discussants did not have clear understanding on the point that promoting gender equality was as one of the Millennium developmental goals and its vitality for the success of some other Millennium developmental goals.

As to the activities of gender mainstreaming the finding of this study showed that gender analysis, assembling sex-disaggregated data, preparing gender responsive planning, providing technical supports for gender mainstreaming, arranging review meeting, offering affirmative action and so forth were some of the activities that performed by the study offices in accordance with the duty and responsibility of their offices. From this one can deduce that the study sectors have performed different activities that may lead to gender equality. However, the magnitude and extent of these activities were not as expected by the government. That is why gender mainstreaming was not realized in the study offices.

As to the opportunity of gender mainstreaming, the national instrument of gender mainstreaming legal instruments, policies, strategies and development documents such as the constitution of Ethiopia, national

policy on Ethiopian women, agricultural development policy and strategy, education and training policy, health policy, women's development package, the five year growth and transformation plan (GTP, 2003-2007), proclamation of 691/2003 that oblige each ministers and its branch office to mainstream gender issues in their all activities obeyed by laws were identified as the current national instrument or documents for opportunities of gender mainstreaming.

However, most of the informants and discussants strongly questioned the practical considerable interventions taken by the government. They further affirmed that unless it put into practice, the mere presence of policy and strategic documents alone do not make sense as far as the issues of gender mainstreaming practices concerned. Even some of the respondents and discussants further claimed that such aforesaid opportunities have only paper value and lip services to the public officials.

From the foreside point one conclude that although gender mainstreaming is the official strategy for promotion of gender equality and empowerment of women, its implementation is still suffered from the practical challenges of gender mainstreaming elucidated above, which required new and systematic approach that sought to alleviated the challenges of gender mainstreaming in the study office in order to be achieved equitable and just society.

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**STUDENTS PERCEPTION TOWARDS DIGITAL PAYMENT: A CASE STUDY WITH REFERENCE TO GOVERNMENT COLLEGES IN D.K DISTRICT**

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**ABSTRACT**

*This paper documents compulsory digital payment by student in India. Perception, behaviour, and expectations of Belthangady student especially with lack infrastructural facility and lack of network coverage. It is based on expert opinion given by the students of university and government colleges. A questionnaire was administered to 50 students in the study area. The analysis of data based on relevant statically tools. This findings states that analysis of Variance (ANOVA) shows that there is a significant difference ( $p < 0.001$ , HS) student perception towards digital payment. Thus, Null hypothesis has to be rejected. It is inferred that there is a significant relation among various components to create digitalization.*

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**INTRODUCTION**

Today, we can't imagine our life without technology. In the twenty-first century, one of the most important technologies is the power of the digitization. The system which allow individual to communicates in the global world. Digital India is a programmed to transform India into a digitally empowered society and knowledge economy. It was launched on **2 July 2015** to ensure that government services are made available to citizens electronically by improving online infrastructure and by increasing internet connectivity or by making the country digitally empowered in the field of technology. It consists of three core components as follows 1) The creation of digital infrastructure. 2) Delivering services digitally. 3) Digital literacy. Digital India is an umbrella programmed which covers many departments. This initiative will ensure that are government services and information are available anywhere, anytime on any device that are user friendly and secured with Digital India project, the government is ready for the big programme by connecting every service with e-power.

Digitalization in India has been one of the latest developments that have taken place. Transactions are going paperless and everything is done through computer and mobile phones. India being digital is a great step but there are also a lot negatives to it or difficulties being faced by everyone at some or other points as it is the starting stage. In India at some interior place there is no proper mobile phone connectivity and also lack of knowledge about the latest development in technology is also a major drawback for digitalization in India. Committee could be set up by the government in the panchayath level. Schools, college compulsory teach student how to work with online banking service and other technical related issues when problems occurs some site should help the users to come out or solve the problem. . A cashless society means all the transaction are done using cards all digital means circulation of money or currency or coins is minimal. In study area people too much using cash for transaction comparing to other cities like puttur, Mangalore etc. In this study area people are using less percentage of cards or digital because of lack of internet connection, financial illiteracy and Lack of infrastructure.

**OBJECTIVES**

To know the expectations of students towards digital payment

To understand student perception towards digital payment

To understand student's awareness about the digital payment and collection of fees, fines etc

**LITERATURE REVIEW**

Recently, measurement of cash less economy has received interest among merchants. Few prominent studies in this line are as follows Some of these developments are characterized as mobile ways of transferring money digitally; Short Message Service (SMS), Quick Response (QR)-codes, and Near Field Communication (NFC).

**SMS:** SMS has existed since 1992 and a message can only contain 160 characters, which limits the contents relatively. SMS's are used in areas such as in Television shows for buying tickets for transportation, or between friends. The technology always works as remote communication via Global Systems of Communication (GSM) and EDGE/UNITS networks among others.

**QR-code:** A QR-code is a 2D barcode that can be scanned by a mobile phone, using a network on the mobile phone's browser. In the same manner, the user enters his credit card information on the webpage to be charge this way. A QR-code can also be used as verification for a purchase such as in boarding pass. The code can be scanned directly on the mobile phone by a flight line agent. However, a QR-code payment is still a strange thing to Nigerian financial landscape.



**NFC:** NFC is a new and more sophisticated technology within the Radio Frequency Identification (RFID) technology, which is a subset of RF technology. It is based on a wireless, but close proximity transmission from a mobile phone to another or to a reader at a maximum range of 10cm. A research carried out by Au, Y.A & R.J, Kauffman. (2007)., and [EIU & IBM (2010) ], suggested that the increased use of cashless payment systems could lead to a cashless society; a topic eagerly debated among information technology (IT) students, politicians, companies and banks. In a cashless society, payments can be made at unmanned vending machines, at manned point of sale (POS), over the Internet, using mobile phones, personal digital assistants (PDA's), smart cards and other electronic payment systems such as credit and debit cards. The creation of such a society creates a complex challenge. If it were to succeed, it could have a positive effect on the economy, crime, health and the environment. In a time when the welfare state's future is up for discussion, sound financial savings and efficiency improvements are important conditions for the future welfare level.

### ANCIENT METHODS OF PAYMENT

In the early 2000's early mobile contents and services such as ring tones and logos were successful, and made mobile payment services a hot topic that even survived the burst of Internet activities N. Mallat. (2006). Mobile payments were suggested as an alternative for micro-payments at POS, where the use of cash had been declining for many years. Lots of mobile and electronic payment solutions have been introduced ever since, but most of them have failed or have had a low penetration rate [V.G. Kopytoff. (2010) and [T. Dahlberg, N. Mallat, J. Ondrus, & A. Zmijewska . (2008)]. It needs to be noted the concept of 'payment' is a basic act which cannot be changed just like that considering that payment is transacted in almost the same way worldwide, and would therefore be a serious challenge if each country had its own electronic payment system. Further complications arise when business additionally develop their own electronic payment systems, such as those for busses, subways and petrol. [V.G. Kopytoff. (2010)] supports this argument and states that payment solutions have to be standardized in order to be adopted by the consumers. One of the more successful electronic payment systems is 'PayPal', which was launched as far back as 1999. Initially, PayPal enabled people to perform transactions of small payments by means of e-mails and PDA's (personal digital assistance). Since then, PayPal's system has been re-designed and extended several times, and was acquired by eBay in July, 2002 [N. Mallat. (2006).].

### METHODOLOGY

This study was descriptive and analytical in nature. The study mainly depended upon the primary data to develop this article. However, some secondary sources of data were consulted for the purpose of gathering background information supporting the study. Relevant primary data were collected using the combination quantitative (sample survey). Primary data were collected through questionnaire method. A Questionnaire was administered to 50 students in the study area. Appropriate and relevant statistical tools and techniques will be used such as Descriptive statistics (Mean, Median and S.D), Analysis of Variance (ANOVA). Tools used for the study is shown in the table:

**Table-1: Criteria used for the Research Study**

Class	0-25	25-50	50-75	75-100
Perception of student	Strongly disagree	Disagree	Agree	Strongly agree

### FINDINGS

**Table Exhibits the student perception towards digital payment**

Component	Strongly Disagree	Disagree	Agree	Strongly agree	Mean and SD	Percentage Mean
1. Respondent opines that digitalization good for college student	- (0%)	1 (2%)	24 (48%)	25 (50%)	3.4800±0.5 4361	87%
2. Respondent opines that digitalization is in favour of student community	- (0%)	6 (12%)	35 (70%)	9 (18%)	3.0600±0.5 4995	76.5%
3. Respondent likes cash less college office	- (0%)	6 (12%)	22 (44%)	22 (44%)	3.3200±0.6 8333.	83%
4. Respondent feel digitalization is the smart move from the government to create cashless society	2 (4%)	1 (2%)	036 (72%)	11 (22%)	3.1200±0.6 2727	78%
5. Respondent opines that	-	6	27	17	3.2200±0.6	80.5%

digitalization in economy helps to control corruption	(0%)	(12%)	(54%)	(34%)	4807	
6. Respondent opines that Indian banking technology enough for cashless transaction	2 (4%)	24 (48%)	17 (34%)	7 (14%)	2.5800±0.7 8480	64.5%
7. Respondent opines that perception of society towards digital payment is favour	- (0%)	15 (30%)	27 (54%)	8 (16%)	2.8600±0.6 7036	71.5%
8. Respondent opines that a digitalization practice by student is stepping stone for digital economy	2 (4%)	2 (4%)	35 (70%)	11 (22%)	3.1000±0.6 4681	77.5%
9. Respondent opines that digitalization practices by college create habit of using digital tools	1 (2%)	4 (8%)	32 (64%)	13 (26%)	3.1400±0.6 3920	78.5%
10. Respondent opines that digitalization practice by college student contribute for economic development of the nation	2 (4%)	2 (4%)	35 (70%)	11 (22%)	3.1400±0.6 3920	77.5%

Source: Survey data

**1. Respondent opines that digitalization good for college student:** 0% of the respondents strongly disagree, 2% of them disagree, 48% of them agree, 50% of them strongly agree that digitalization good for college student". "The percentage means 87% (Mean and SD 3.4800±0.54361) shows that digitalization good for college student as it falls in the category of 76% to 100%".

**2. Respondent opines that digitalization is in favour of student community:** 0% of the respondents strongly disagree, 20% of them disagree, 50% of them agree, 30% of them strongly agree that digitalization is in favour of student community meetings with (Mean and SD 33.0600±0.54995)". "The percentage Mean 76.5% shows that digitalization is in favour of student community as it falls in the category of 76% to 100%".

**3. Respondent likes cash less college office:** 0% of the respondents strongly disagree, 12% of them disagree, 44% of them agree, 44% of them strongly agree that Respondent likes cash less college office with (Mean and SD 3.3200±0.68333)". "The percentage Mean 83%, which shows that as it falls in the category of 76% to 100%".

**4 Respondent feel digitalization is the smart move from the government to create cashless society:** 4% of the respondents strongly disagree, 2% of them disagree, 72% of them agree, 22% of them strongly agree that Respondent feel digitalization is the smart move from the government to create cashless society". "The percentage mean 78% (Mean and SD. 3.1200±0.62727), shows as it falls in the category of 75% to 100%".

**5. Respondent opines that digitalization in economy helps to control corruption:** 0% of the respondents strongly disagree, 12% of them disagree, 54% of them agree, 34% of them strongly agree that digitalization in economy helps to control corruption with Mean and SD 3.2200±0.64807. The percentage Mean 80.5%, shows that as it falls in the category of 76% to 100%".

**6. Respondent opines that Indian banking technology enough for cashless transaction:** 4% of the respondents strongly disagree, 48% of them disagree, 34% of the respondent agrees, 14% of them strongly agree that Indian banking technology enough for cashless transaction". "The percentage mean 64.5 % (Mean and SD 2.5800±0.78480), shows that as it falls in the category of 51% to 75%".

**7 Respondent opines that perception of society towards digital payment is favour:** 0% of the respondents strongly disagree 30% of them disagree, 54% of them agree, 16% of them strongly agree that perception of society towards digital payment is favour with Mean and SD 2.8600±0.67036 percentage Mean 71.5%, which shows that as falls in the category of 51% to 75%".

**8. Respondent opines that a digitalization practice by student is stepping stone for digital economy:** 4% of the respondents strongly disagree, 4% of them disagree, 70% of them agree, 22% of them strongly agree that digitalization practice by student is stepping stone for digital economy with Mean and SD 3.1000±0.64681 percentage Mean 77.5%, which shows that falls in the category of 76% to 100%".

**9 Respondent opines that digitalization practices by college create habit of using digital tools:** 2% of the respondents strongly disagree, 8% of them disagree, 64% of them agree, 26% of them strongly agree that digitalization practices by college create habit of using digital tools with Mean and SD  $3.1400 \pm 0.63920$  percentage Mean 78.5%, which shows that falls in the category of 76% to 100%”.

**10 Respondent opines that digitalization practice by college student contribute for economic development of the nation:** 4% of the respondents strongly disagree, 4% of them disagree, 70% of them agree, 22% of them strongly agree that digitalization practice by college student contribute for economic development of the nation with Mean and SD  $3.1400 \pm 0.63920$  percentage Mean 77.5, which shows that falls in the category of 76% to 100%”.

**Table Exhibits ANOVA various components the student perception towards digital payment to create a cash less society**

		Sum of Squares	df	Mean Square	F	Sig.
Respondent opines that digitalization good for college student	Between Groups	2.272	3	.757	2.854	.047
	Within Groups	12.208	46	.265		
	Total	14.480	49			
Respondent opines that digitalization is in favour of student community	Between Groups	1.167	3	.389	1.310	.282
	Within Groups	13.653	46	.297		
	Total	14.820	49			
Respondent likes cash less college office	Between Groups	.967	3	.322	.677	.571
	Within Groups	21.913	46	.476		
	Total	22.880	49			
Respondent feel digitalization is the smart move from the government to create cashless society	Between Groups	1.849	3	.616	1.626	.196
	Within Groups	17.431	46	.379		
	Total	19.280	49			
Respondent opines that digitalization in economy helps to control corruption	Between Groups	.881	3	.294	.686	.565
	Within Groups	19.699	46	.428		
	Total	20.580	49			
Respondent opines that Indian banking technology enough for cashless transaction	Between Groups	.781	3	.260	.407	.748
	Within Groups	29.399	46	.639		
	Total	30.180	49			
Respondent opines that perception of society towards digital payment is favour	Between Groups	1.098	3	.366	.805	.498
	Within Groups	20.922	46	.455		
	Total	22.020	49			
Respondent opines that a digitalization practice by student is stepping stone for digital economy	Between Groups	4.301	3	1.434	4.072	.012
	Within Groups	16.199	46	.352		
	Total	20.500	49			
Respondent opines that digitalization practices by college create habit of using digital tools	Between Groups	1.295	3	.432	1.061	.375
	Within Groups	18.725	46	.407		
	Total	20.020	49			

Analysis of variance (ANOVA) shows that there is a significant difference ( $p < 0.001$ , HS, ) in student perception among the various components towards digital payment to create a cash less society. The overall percentage denotes good perception towards cashless society with special reference to D.K District..

## CONCLUSION AND RECOMMENDATION

From the above stated analysis, it appears that much has already been done on the issue of awareness of digital payment and that a sizeable proportion of the students are actually awaiting the introduction of the digital payment. It also appears that many people actually agree with the government on the usefulness of the cashless economy. It is agreed that digital payment will be helpful in the fight against corruption and money laundering. One most significant contribution of the digital payment is that it is expected to reduce the risk associated with carrying cash. Since most transactions will now be settled electronically, student will have less need to move around with cash and therefore, loss of cash, theft and armed robbery will drastically reduce.

## SUGGESTION

- Government should provide Better infrastructure like high speed broad band connectivity
- Better banking facility

- Government should offer digital incentives
- Awareness programmers to the students
- Strict rules in relation to create cashless office

**REFERENCE**

- Dr. Uma narang digital India impact
- Mehek Gulati Digital India challenges & approaches

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## INDIA-NEPAL RELATIONSHIP: AN ANALYSIS OF VARIOUS TREATIES

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### ABSTRACT

*Treaties are important instruments to protect the interests and concerns of participants, and are upgraded or amended if they fail to address the changing international policies. India and Nepal share a unique relationship of friendship and cooperation characterized by open border and deep rooted people-to-people contacts of kinship and culture. Both countries formalized their relations with the help of various treaties signed from time to time. The article examines the relevance of the various treaties signed between India and Nepal in changing international scenario.*

*Key terms: India, Nepal, Relations, Treaty, Friendship*

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### INTRODUCTION

The relationship between India and Nepal is very close, comprehensive and multidimensional. Nepal is landlocked by India on east, west and south. This makes Nepal virtually India-locked, dependent on India for access to the sea and the international market. No doubt, Nepal has a long border with China's Tibet region but the hilly border terrain between Nepal and China makes it too difficult for all practical purposes. India and Nepal not only share 1700km of completely open and accessible border without any natural barrier and free movement of people and goods but both countries also share the magnificent Himalayas that have for centuries acted as barriers to the incoming influences and military adventures into India from the north.<sup>1</sup> Nepal shares border with five Indian states- Sikkim, West Bengal, Bihar, Uttar Pradesh, and Uttarakhand.<sup>2</sup> Because of these geographical factors Nepal is dependent on India not only for its trade and also for international trade and transit matters ( i.e., by using twenty two mutual trade routes and fifteen transit routes via India to reach the nearest Indian sea port Kolkata). Geography has interlinked India and Nepal that has interconnected history, culture, linguistics and economic activities. Besides other factors religion has formed stable foundation to relation. Apart from these factors the perennial interchange between citizens through pilgrimage, trade, employment and marriage from ancient times has shaped the relation between the two countries. Formally the relationship between two is governed by certain treaties in not only post independent India but also in pre Independent the relationship was governed by certain treaties signed between British India and Nepal.

#### 1. Pre-Independence era;

The people-to-people relationship between the two countries goes back to the time immemorial. The official relationship is also very old and goes back to the period of British Raj signing with the 'Treaty of Sugauli' in 1816, and the 'Treaty of Peace and Friendship' in 1923 concluded with the British East India Company in the India and Great Britain, respectively.

##### A) Treaty of Sugauli

Rivalry between Nepal and British East India Company over the princely states bordering Nepal and India eventually led to the Anglo-Nepalese war (1814-1816), in which Nepal suffered a complete rout,<sup>3</sup> and this also checked a Nepalese drive for westwards expansion.<sup>4</sup> A peace treaty was formally signed by Nepal in March 1816 included territorial concessions by which Nepal lost almost one-third of its territory on the east, south, and the west.<sup>5</sup> The boundary between Nepal and India was also demarcated with this treaty. Under the treaty, about one-third of Nepalese territory was lost, including territory to west of the Kali River like Kumaon (present Indian state of Uttarakhand), Garhwal (present Indian state of Uttarakhand); some territories to the west of the

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<sup>1</sup> Baral, Lok Raj. "India and Nepal relations; continuity and change", *Asian Survey*, Vol. 32, No. 9, September 1992, p.815.

<sup>2</sup> Kumar, Pramod. "India-Nepal Eco-Political Relations; Retrospect and Prospect", New Delhi; *World Focus*, 2012, p.49.

<sup>3</sup> Wright, Daniel. *History of Nepal*, New Delhi; Asian Educational society, 1990, p.54.

<sup>4</sup> James, Lawrence. *Raj: The Making and Unmaking of British India*, London; Little Brown, 1997, p.73.

<sup>5</sup> Pathak, Bishnu. *Nepal-India Relations: Open Secret Diplomacy*,

(<http://www.transnationalperspectives.org/transnational/articles/article492.pdf> (accessed on 1 January 2018))

Sutlej River like Kangra (present day Himachal Pradesh), and much of the Terai Region. Ever since the border was demarcated between Nepal and India, there has not been any major problem between the two countries,<sup>6</sup> compared to the other border disputes which India has with other neighbors. The treaty laid down establishment of formal relations between the two countries. Like Article one of the 1816 Sugauli Treaty stated, "There shall be perpetual peace and friendship between the East India Company and the Rajah of Nepal."<sup>7</sup> This treaty also addressed diplomatic relations between Nepal and the British East India Company. The treaty not only limited Nepal's foreign relations mostly to dealings with the British Raj in India, but also increased Nepal's dependency on the British Raj. The treaty also initiated the exchange of foreign diplomatic residents for the first time between these two countries (Article 7 and 8).

### **B ) Treaty of peace and Friendship 1923.**

The treaty of 1816 remained the basis of the relationship between British India and Nepal until the Treaty of Friendship and Peace was signed in December 1923. This treaty enhanced the relationship between Nepal and the British Raj until 1947. The treaty of 1923 between Nepal and Great Britain, which explicitly recognized Nepal's complete independence, was partly a reward for wartime co-operation, as Nepal provided military personnel to Great Britain during the First World War.<sup>8</sup> The treaty also allowed Nepal to extend its relationship externally without jeopardizing the British Raj's security. The 1923 Treaty of Friendship provisioned the sharing of information regarding the mutual security of each other, which led to further strengthening their military relations. Article four of the Treaty states, "Each of the High Contracting Parties will use all such measures as it may deem practicable to prevent its territories being used for purposes inimical to the security of the other."<sup>9</sup> One of the significant features of the Treaty was that the British government agreed to allow Nepal to procure military hardware from other countries, such provision was neither mentioned in the previous treaties nor did Nepal raise any issues regarding this to the British East India Company earlier. Article Five of the Treaty stated: "the British Government agrees that the Nepal Governments shall be free to import from or through British India into Nepal whatever arms, ammunition, machinery, warlike material or stores may be required or desired for the strength and welfare of Nepal, and that this arrangement shall hold good for all times as long as the British Government is satisfied that the intentions of the Nepal Government are friendly and that there is no immediate danger to India from such importations."<sup>10</sup> One of the reasons to create such arrangement for Nepal might have emerged due to the situation likely to be created by the political instability in China, and its impact on the security of Nepal vis-à-vis the interests of the British Raj. Another reason might have been to equip well Nepal's military by providing the necessary military hardware, and in order to enhance their performance to work with British troops in future conflicts.<sup>11</sup>

## **2. Post Independence**

After Independence in 1947 India continued British Frontier policy towards Nepal. A treaty of friendship negotiated in 1949 could not be signed as Nepalese Rana leaders resented India's proposal for democratic structure of government of Nepal.<sup>12</sup> But India was keen to redefine its relationship with Himalayan kingdoms- Nepal, Bhutan, and Sikkim-with the aim of preventing communist influence from spilling over into the neighboring Himalayan kingdom's, India sought to strengthen "The Himalayan Frontier Policy" of British India under which the Himalaya were regarded as a second frontier. For this India concluded peace treaties with these three kingdoms.<sup>13</sup> After about nine months of diplomatic activity and negotiations a friendly relationship and negotiations a friendly relationship of Nepal with the newly-independent India was formally established by concluding a Treaty of Peace and Friendship in July 1950.

<sup>6</sup> Banshjha, Hari. "Nepal's Border Relations with India and China", *Eurasia Border Review*, BRIT XII, p.66.

<sup>7</sup> Subedi, Surya. P. *Dynamics of Foreign Policy and Law, A Study of Indo-Nepal Relations*, New Delhi;Oxford University Press,2004, p.175.

<sup>8</sup> Whelpton, John. *A History of Nepal*, Cambridge University Press, 2005, p.64

<sup>9</sup> Ibid., p 189

<sup>10</sup> Ibid.,

<sup>11</sup> bid.p.32.

<sup>12</sup> V N Khanna, Op.cit, p.140.

<sup>13</sup> Subedi, Surya. P. Op.cit, pp. 24-25.

**i) Treaty of peace and Friendship 1950**

The 1950 Treaty was also an extension and modification of the former treaties in order to update the relevance of closer relations between the two. However, there has been a difference between the 1950 Treaty and the Treaty of Sugauli in one respect is that the former was concluded between the victor and the vanquished; the latter was the product of mutually agreed parties for fulfilling the objectives of the two countries.<sup>14</sup> The 1950 treaty also called 'Treaty of Peace and Friendship' was signed between Prime Minister of Nepal Mohan shumsher Jung, the head of an oligarchical government (the Rana regime in Nepal) and Shri Chandreshwar Prasad Narain (the Ambassador of India in Nepal) with the purpose to further strengthen and develop their existing happily ancient relations. The treaty mainly deals with the defence, security, economics and commerce relations.

Article 1 of the treaty states that, 'there shall be everlasting peace and friendship between the Government of India and Government of Nepal'. Article 2 of the treaty states that, 'in case of any friction or misunderstanding with any of the neighboring states likely to cause breach in the friendly relations subsisting between the two Governments the two Governments should inform each other'. Article 3 provides maintenance of diplomatic relations and representative for it. Article 4 provides for appointment of certain persons who shall reside in towns, ports, and other places in each other's territory, it also provides certain rights, privileges, exemptions and immunities accorded to these persons. Article 5 of the treaty states that, 'The Government of Nepal shall be free to import, from or through the territory of India, arms, ammunition or warlike material and equipment necessary for the security of Nepal. The procedure for giving effect to this arrangement shall be worked out by the two governments acting in consultation'. Article 6 provides for national treatment of the nationals of each other, in its territory with regard to participation in industrial and economic development. Article 7 provides on reciprocal basis, to the nationals of each other the same privileges in the matters of residence, ownership of property, participation in trade and commerce, movement and other privileges of a similar nature. Article 8 provides for cancellation of all previous treaties concluded between The British Government and The Government of Nepal.<sup>15</sup> The treaty goes down the formal diplomatic standards and establishes unique relations, The Peace and Friendship Treaty agreed to acknowledge and respect the other's sovereignty, territorial integrity, and independence to continue diplomatic relations and on matters pertaining to industrial and economic development, to grant rights equal to those of its own citizens to the nationals of the other residing in its territory, it also interconnected the security of the two countries bringing them under same umbrella.

**ii) Treaty of Trade and Commerce 1950**

Along with 'Treaty of Peace and Friendship' another treaty called 'Treaty of Trade and commerce' was signed which provided for import and export of goods. This Treaty also established Nepal's right to trade with the overseas countries through Indian ports and territories. In accordance with Article 2 of the Treaty the Government of India agreed to allow all goods imported at any Indian port and intended to re-export to Nepal to be transmitted to place or places as agreed without payment of any duty at any Indian port. Nepal was also granted the right to move goods from one part of the country to another through Indian Territory in view of the absence of the roads to permit her the criss-cross movement of goods.<sup>16</sup> In the Treaty of Trade and Commerce, ratified in October 1950, India recognized Customs could not be levied on commodities in transit through India.<sup>17</sup>

**iii) Treaty of trade and transit 1960**

Nepal and India signed a Trade and Transit Treaty in 1960 that replaced the 1950 Treaty of Trade and Commerce. Under this treaty, India recognized in favor of Nepal "right of commercial transit" with the aim of economic cooperation towards the goal of a common market. The treaty was concluded with the desire to expand the exchange of goods between their respective territories, encourage collaboration in economic development and facilitate trade with third countries. The words "full and unrestricted right of transit" of the

<sup>14</sup>Baral, Lok Raj. Op.cit, p.175.

<sup>15</sup> Government of India, Ministry of External Affairs.

. [http://www.mea.gov.in/bilateral-documents.htm?53/Bilateral/Multilateral\\_Documents](http://www.mea.gov.in/bilateral-documents.htm?53/Bilateral/Multilateral_Documents) (accessed on 1January 2018)

<sup>16</sup> Banskota, Narottam Prasad. *Indo -Nepal Trade and Economic Relations*, New Delhi; B.R. Publishing Corporation, 1981, p.32.

<sup>17</sup> Bajpai, Arunoday. "Complicated Contours of Indo-Nepal Relations", *World Focus*, New Delhi, 2012, p.10.

treaty of 1950 were dropped in the treaty of 1960 treaty and Nepal's transit facilities and provisions through Indian territory were clearly defined than 1950 treaty (Art. XII).<sup>18</sup> The treaty defined "traffic in transit" and maintained that traffic in transit would not subjected to unnecessary delay or restriction and was also exempted from customs and transit duties . (Art VII an Art IX).<sup>19</sup>

When the 1960 treaty expired on 31 October 1970, Nepal and India concluded another mutual trade and transit treaty on 13 August 1971 with certain modifications.<sup>20</sup> The treaty incorporated provisions regarding transit facilities extended by India for Nepal's trade with a third country; it also included provisions on cooperation to control unauthorized trade. Duty-free access to Nepalese imports on a nonreciprocal basis was first given in 1971, but with a Nepalese-Indian material content requirement of 90 percent. This was gradually reduced when the Trade Treaty was periodically renewed.<sup>21</sup>

In 1977 when janata Government came into power in India , it agrred to the long pending demand of Nepalese for separate trade and transit treaty. So in 1978 separate trade and transit treaties were signed.

#### iv) India –Nepal treaty of Trade, 1978

Through this certain clauses in previous trade treaty were modified and amended with the dynamics of the situation. Through this treaty India relaxed the conditions for entry of Nepalese goods into India. This treaty exempted goods with 90% Indian or Nepalese material from excise duties, this treaty also agreed that duty charged on goods up to 50% of such components would be half of what was charged from the most favored nation. (Protocol Art. V).<sup>22</sup>

#### v) India-Nepal Treaty of Transit, 1978

For the first time India and Nepal signed a separate transit treaty on 25<sup>th</sup> March 1978 to give Nepal as a landlocked country access to and from the sea to promote its international trade. The treaty was concluded for a period of seven years. The transit treaty provided Nepal facilities at Calcutta and Haldia port, thirteen routes were specified to facilitate trade with third countries.(Protocol Article VI).<sup>23</sup> The number of routes was ten in 1971 treaty.

Both treaties expired in March 1988, but due to difference in the interests of the both the countries as India wanted a single treaty instead of two and Nepal called it violation of freedom of trade of landlocked country, the treaties were extended twice for brief period, finally the treaty expired on 23 March 1989 resulting in virtual blockade that ended in April 1990. In 1991 both trade and transit treaties were renewed with certain modifications. Since then both the trade and transit treaties have been updated and modified from time to time to suit the changing dynamics, last time it was updated and renewed in 2009.

### CONCLUSION

India and Nepal signed 'Treaty of peace and Friendship' and treaty of trade and commerce in 1950. The treaty of peace and friendship forms the bedrock of relationship between two countries till now. Under this treaty, the two governments, in addition to respecting each other's sovereignty and independence, primarily focused on security matters. They agreed to consult mutually on matters relating to security, both agreed not to tolerate any threat to the security of the other by a foreign aggression and both the governments shall consult with each other and device effective countermeasures to deal with any foreign threat. The two governments agreed not to employ any foreigners whose activities may be prejudicial to the security of the other.<sup>24</sup> The 1950 Treaty led to

<sup>18</sup> Government Of India, Ministry of External Affairs, *Bilateral/Multilateral Documents*,

. [http://www.mea.gov.in/bilateral-documents.htm?53/Bilateral/Multilateral\\_Documents](http://www.mea.gov.in/bilateral-documents.htm?53/Bilateral/Multilateral_Documents) (accessed on 1January 2018)

<sup>19</sup> Ibid.,

<sup>20</sup> Subedi, Surya p. opcit., p 108

<sup>21</sup> Shreshtra, Gyanu Raja. "Nepal-India Bilateral Trade Relations: Problem and Prospects," *Ministry of Finance, Nepal*, [http://www.ris.org.in/dp54\\_pap.pdf](http://www.ris.org.in/dp54_pap.pdf) (accessed on 1 january 2018)

<sup>22</sup> Government Of India, Ministry of External Affairs, *Bilateral/Multilateral Documents*,

. [http://www.mea.gov.in/bilateral-documents.htm?53/Bilateral/Multilateral\\_Documents](http://www.mea.gov.in/bilateral-documents.htm?53/Bilateral/Multilateral_Documents) (accessed on 1 January 2018)

<sup>23</sup> Ibid.,

<sup>24</sup>Government Of India, Ministry of External Affairs, *Bilateral/Multilateral Documents*,



a uniquely significant landmark in the India-Nepal relationship that acknowledged Nepal independent, sovereign and free but indissolubly linked Indian security with Nepal that later on became a bone of contention between two states. As said by former prime minister of India P.V. Narasimha Rao, "The 1950 Treaty is a uniquely significant landmark in the indo-Nepal relationship because it goes far beyond the standard diplomatic format of relationship and seeks to concretize a grand vision handed down from centuries. This was the vision cherished by the great leaders of both countries, Prime Minister Jawaharlal Nehru and His Majesty King Tribhuvan. It was a vision of a Nepal and an India, independent, sovereign and free, but indissolubly linked by unbreakable bonds".<sup>25</sup> The treaty of trade and commerce was signed to facilitate trade relations. These treaties in fact, laid the foundation for Special relationship between the two countries.<sup>26</sup> The treaty of trade and commerce 1950 was criticized mainly for Article 5, by which what Indian granted in another sections of the Treaty had been in effect taken away by this clause, the exemption of excise and import duties granted on goods of Nepalese origin under Article 3 and 4 would depend on the fulfillment of the conditions embodied in Article 5. Consequently Nepal's expansion of trade with the overseas countries could not be made possible.<sup>27</sup> These unequal and unfavorable provisions in the treaty were regarded as symbol of India's economic domination.<sup>28</sup> But the treaty of trade and commerce was time to time update to suit the dynamics in relationship. In 1978 the two countries signed separate trade and transit treaties to fulfill demand of Nepal, since then they are modified and amended according to requirements of time.

But the treaty of Peace and friendship was never amended. The observance of the 1950 Peace and Friendship has become a matter of acute controversy between Nepal and India more or less since the late 1950s when a "secret letter" exchanged with the treaty was made public. There is an urgent demand from all sections in Nepal for change in the treaties. Nepalese argue that then Prime Minister of Nepal Mohan Shumsher, which was about to be overthrown by a democratic movement led by Nepali congress, signed this letter together with the Treaty between India and Nepal. This could not be representative of people's aspirations. In its last days in power that government was desperate for foreign assistance for its survival and was prepared to act in concert with New Delhi, Nehru quickly grasped the situation and the opportunity it offered. That is how the Peace and Friendship Treaty was concluded between these two Countries under which India managed to secure terms favorable to it.<sup>29</sup> S. D. Muni an Indian writer, states that the Rana's fully accommodated India's economic and Security interests.<sup>30</sup> However, judging from the subsequent structures of relations, one is tempted to infer that these treaties and agreements were conditioned more by short-term strategies of regime survival than by genuine national interest.<sup>31</sup> The Treaty of peace and Friendship has possibly remained the most controversial and much talked about document primarily for three basic reasons, in addition to many politically meaning contents that were incorporated in the treaty. The first is as already stated the timing of the signature of the treaty, the second is the hitherto inexplicable reason for changing the last paragraph of the document governing the validity at the last moment just on the eve of signature to make it a seemingly perpetual document despite the cumbersome and politically difficult provision of informing each other of the intention to terminate it by a prior written notice. The earlier draft had simple and standard provision of its expiry after ten years even through the two sides could extend it for further period in case both sides agreed. The third and potentially damaging act is the seemingly ill-advised bilateral decision to keep secret the accompanying 'Exchange of Letters' with Provisions of far-reaching significance until its full text was leaked out to the press after a decade after Indian Prime Minister Pt. Jawaharlal Nehru disclosed its existence during his briefing on bilateral relations and his emphasis on the Imperative need to scrupulously observe the provisions of the treaty.<sup>32</sup> India on the other hand regards

. [http://www.mea.gov.in/bilateral-documents.htm?53/Bilateral/Multilateral\\_Documents](http://www.mea.gov.in/bilateral-documents.htm?53/Bilateral/Multilateral_Documents) (accessed on 1 January 2018)

<sup>25</sup> Rao, P.V. Narasimha speech in the Lok Sabha, April 26, 1989

<sup>26</sup> Bajpai, Arunoday. "Complicated Contours of Indo-Nepal Relations", *World Focus*, New Delhi, 2012, p.10.

<sup>27</sup> Banskota, Narrottam Prasad. Op.cit, p.34.

<sup>28</sup> Muni, S D. *Foreign Policy of Nepal*, National publishing House, New Delhi, 1973, p.104.

<sup>29</sup> Surya P Subedi, opcit., p.4.

<sup>30</sup> Muni, S D. , opcit., p. 22.

<sup>31</sup> Baral, Lok Raj, "India Nepal Relations; Continuity and Changes", *Asian Survey*, vol.32, No.9, 1992, p. 817.

<sup>32</sup> Bhattari, Madan Kumar. "Nepal's Foreign Policy and Internal Dynamics of Nepal-India Relations", *World Focus*, 2012, p.37.

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1950 treaty of peace and friendship as a guarantor of special relationship between two countries. India maintains a defensive stand on it. There is a great demand of revision of treaty of peace and Friendship since Maoists emergence in Nepal. After the leftists emerged as the largest party in the constituent Assembly elections, the issue of revision of treaty got momentum. Even when Nepali prime minister pushpa kamal dahal visited Nepal in 2008 he proposed the revision of treaty but no substantial improvement came. During his visit in 2014 while addressing Nepali parliament Indian prime minister Narendra Modi maintained that 'India is ready to sign the new or modified draft of peace and Friendship treaty prepared by Nepalese'.

The treaty continues to exist despite reservation from both the sides. Moreover there is consensus from both the sides to modify the treaty according to present situation. Given the geographical realities Nepal will remain dependent on India, India needs to adopt a liberal approach while dealing with Nepal and develop a multilateral partnership with Nepal according to dynamics of international and regional dynamics. The new treaty should accommodate the needs of both the countries according to present situation.

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