

## INSTITUTIONS FOR FORMING SOCIAL CAPITAL IN TERRITORIAL COMMUNITIES

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How are developing and what are the promising institutions of social capital formation in rural areas? The purpose of the article is to substantiate the optimal mechanism for the development of social community capital. With the help of comparative studies, we investigated international experience and domestic practice of the formation of formal and informal institutions of communities social capital (we had structured interviews with 200 representatives of Ukrainian territorial communities from rural areas during 2013–2017). The system approach provides to develop principles to a level of a model of co-creation-participation management. Using the methods of strategic management, the authors develop alternative strategies for implementing this model for communities of varying potential. Was allowed the basic principles of the institutional arrangement of the most successful communities. It is proved that the formation of a new type communities based on participation is an innovative model of multifunctional development of society, which allows to multiply the socio-ecological and economic potential of the territories and improve the life quality of the population.

*Keywords: institute, rural areas, social capital, family homestead settlement, territorial community, participation.*

*JEL Codes: D83, O10, Q18.*

### 1. Introduction

The overcoming of asymmetries and disproportions of regional development in accordance with the global goals of sustainable development, identified by the United Nations for 2016–2030, is possible through mechanisms for the formation of the social capital of communities (Asongu, 2016), especially through institutional mechanisms, which have strategic and crucial importance to the social relations management (Leite, 2019). The establishment of the social capital institutions of the territorial communities supports the gender equality statement and alignment of rights and opportunities of the subjects in their self-realization, provides incentives for investment activity

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development, encourages employment, promotes the achievement of high life quality, reduces the degree of societal stratification (Anand, 2013). The social role of institutions in harmonizing the relations of society and the environment is decisive (Singh, 2019). Taking into account rural population reduction and the need to revive the area through smart communities creation (András, 2019). The emergence of new institutions of social capital is associated with the integration role of communities. Thus, more and more scientists believe that consolidators of socio-environmental innovations can be realized by implementing the principles of integrated strategic development, social and economic security into the practical activities of family homestead settlement and ecological settlements (Azmi, 2018; Christian, 2004; Ergas, 2010; Farkas, 2019; Meulen, 2013; Plotnikova, 2018; Vidickiene, 2013). The growth of the role of regional economies as social change catalysts motivated the emergence of new values (factors of social capital formation), which support the aiming for sustainable development as a conceptual societal management approach for achieving dynamical equilibrium, as well as determining the need for concentration of efforts on long-term projects. (Bedrunka. 2020). Those processes through the organizational network form a positive impact on innovation (Zhang, 2017; Zheng, 2019).

Hence, the main purpose of the study is to propose mechanisms for the social institutions development and the participatory management model implementation in the territorial communities, through the analysis and estimation of impact from different ways of building the system of institutional provision for social capitalization (complex of formal and informal rules and laws, organization infrastructure etc.). The research objectives are: 1) to investigate the essence of institutions for the social capital formation and their influence on community development; 2) to identify informal institutions, based on the participation, and substantiate the expediency of their dissemination.

The research was conducted inductively through collecting and analyzing qualitative data and deductively through generalization of theoretical issues on the basis of systemic approach, which made possible to study synergetic transformations of nonlinear self-organized dynamic systems (society, economics, and ecology). Measurement of variables was carried out on the basis of sociological survey. During the years 2013–2017, 200 rural residents were examined (the average age of the respondents is 35 years) to identify socio-economic development factors of the communities. Selection for the purpose of the current study was based on a set of inclusion criteria 1) participants live in their own home or in family homestead at rural areas; 2) the yardstick utilized for this research are as follows: a) the size of the land plot is 1 ha, b) 0.3–0.5 ha planted with perennial infertile trees; 3) the owners of the site use "green" technologies and are focused on ecological lifestyle. We used cluster sampling method for choosing human settlement. Location: Zhytomyr, Kirovohrad, Kyiv, Vinnytsia, Chernihiv, Sumy, Odessa and Kharkiv regions of Ukraine. Data collection: A structured undisguised questionnaire, which included close-ended questions on demographic profile and general information (10 questions), awareness on social capital and its functions (5 questions), was administered through a face to face in-depth interview. Ten statements (each to assess the respondents' attitude towards

institutes that ought to be working at rural territories) were also prepared with. In addition, the effective implementation of the social institutes in the actual lifestyle premises by each respondent were recorded using an observation checklist (10 major guidelines). The general information of the participants with regards to the demographic data and type of food business is such: ninety-four percentage of the study populace belong to early adulthood while only 6% belong to the late adulthood category. The gender ratio of the study populace revealed that forty-six percentage of participants in the study were men when compared to only 54% of women participants. Majority of the respondents have a high school level education, while 20% of the respondents have degree level education.

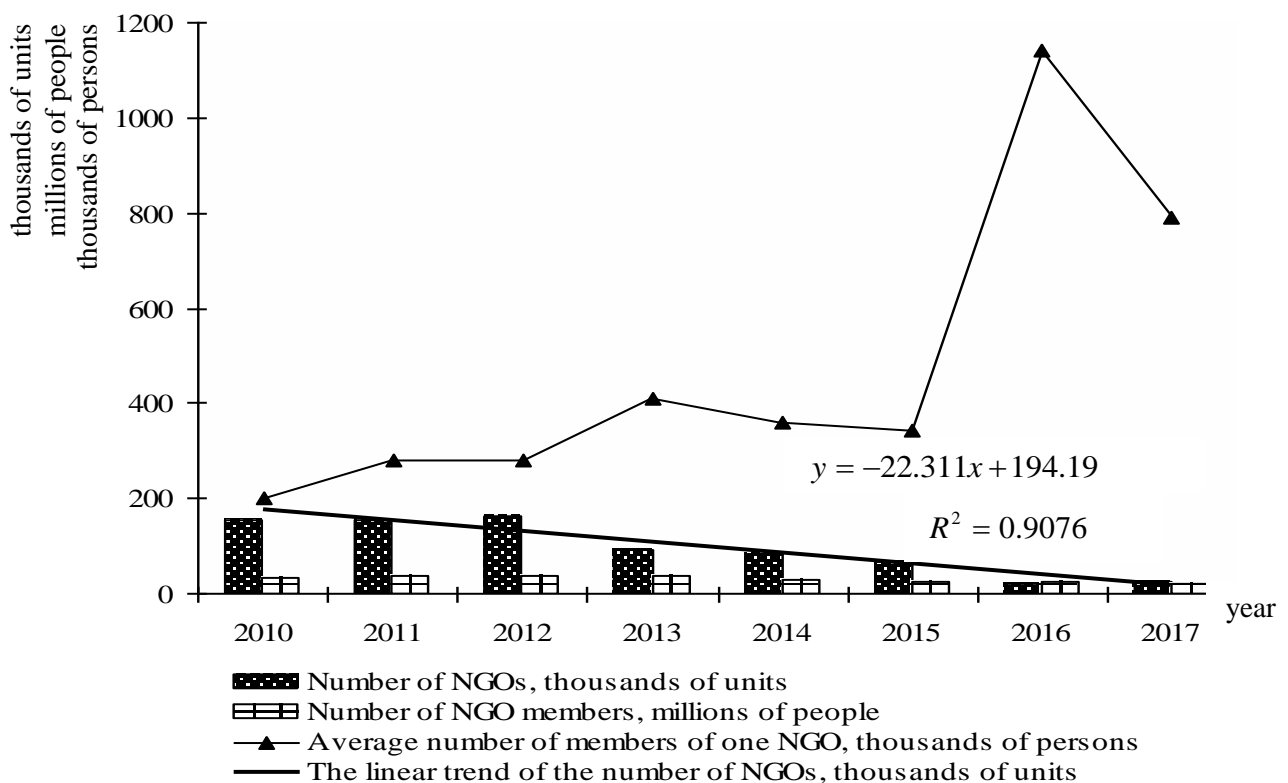
The indirect data on the interrelated phenomena of social institutes interaction, taking into account their role, means, and tools of influence, have been analyzed. A strategy for constructing a grounded theory, based on theoretical sampling and constant comparison of qualitative data, has been formed (Glaser, 2009). The exclusive role of social capital lies in the fact that it ensures the effective functioning of all institutions of society. Different forms of capital operate within certain social institutions. It is accepted in the article that informal institutions of society at the moment have more multiplicative ability than formal ones from the point of view of society formation. Achievement of the effects of the administrative actions is possible due to the harmonization of economic entities interests in various sectors and the gradual planned tasks realization through complementary and mutually supportive projects fulfillment. The results of the research were implemented into the educational process of the Zhytomyr National Agroecological University and into the management practices of Zhytomyr oblast rural communities.

## **2. Analysis of the territorial communities' social capital development**

Social capital and social cohesion are key factors of the community sustainable development as far they combine all elements of the management community system. Bourdieu defined social capital as "resources based on family relationships and relationships in a social group, organized on the principle of participation" (Bourdieu, 2002). These principles are most consistent with the system of territorial communities organization. Modern scholars highlight structural and institutional approaches to social capital research (Sandal, 2017). The structural approach is based on the analysis of social networks, and the institutional approach is related to the definition of the impact of social capital formation rules. Institutions for forming social capital of territorial communities are divided into formal and informal. Formal institutions are rules and regulations that are established by the government and local authorities, and informal institutions we relate to the degree of trust between individuals and their groups, common goals, values, orientations, social interactions, solidarity, co-creation. Informal institutions are predominantly formed in the process of informal communication in social organizations and social networks.

Social capital of territorial communities is a system of interconnections and relationships between members of the community, which are dynamically formed,

based on trust and active civic positions, defined by the community mentality and rules, and ensure prosperity and sustainable development. This is a trust of citizens of one to one and various public institutions those protect them and promote prosperity. This is an accumulated resource of values and institutions, which underlies the integrated strategies for community development. Accumulation and further expansion of social capital is an important element of civil society as far as it strengthens and promotes the interaction between local self-government bodies, business entities, and public movements. The results of the successful social capital accumulation are developed public consciousness (high level of political collaboration); participation (cooperation of citizens in management processes); effective local authorities capable to satisfy citizens' requirements and interests; accelerated sustainable development. Effective solution of territorial communities sustainable development problems lies in the sphere of forming institutions of social capital, increasing of citizens' social activity. Therefore, the role of social capital as a measure for mutual trust and communication development, speed of initiating the formation of associations, level of democracy, participation is invaluable. The indicator of the social capital formation in Ukraine was civil society activity (fig. 1).



$R^2$  – the magnitude of the approximation reliability of the polynomial line of NGOs members

Figure 1. Dynamics of civic activity in Ukraine

NGOs in Ukraine during 2010–2017 don't tend to grow (they were decreased from 156 to 26 thousand as a result of mergers, acquisitions and evolution of the public and political institutions).

There is an increase in NGO size (the average number of NGO members increased from 192 to 767). But, at the same time, we consider a decrease in the number of NGO members (from 30 to 19.9 million people) in total (Activities, 2018).

It illustrates that changes in current legislation, the destruction of traditional institutions (and the emergence of some new) causes the socio-economic environment transformations in accordance with the global vector of development (Azmi, 2018; Christian, 2004; Ergas, 2010; Farkas, 2019; Meulen, 2013; Plotnikova, 2018; Vidickiene, 2013). Taking into account the European experience and practice of establishing a civil society, the lack of a sufficient level of competence of participants in social processes in Ukraine can be compensated by increased co-creation (Lytvynchuk, 2017).

The growth of the importance of the trust institution is facilitated by the development of co-operation processes as a value, inherent for the territorial community, which reflects the democratization and the participation society level (Yakobchuk, 2019). The monitoring of communities social capital development of Ukraine in 2013-2017 reveals an unstable social situation, as well as a lack of rational approaches to finding ways of regional policy improvement.

In general, the socio-political situation in Europe and in Ukraine contributes to the formation of an environment of purposeful self-development. Due to the domain practice the following forms of communities self-organization have emerged on the world stage: traditional communities, intentional communities, ecovillages, and family homestead settlements (table 1).

As the table shows, family homestead settlement is the most institutionally structured system of social capital interaction, under circumstances of which the community forms multifunctional development goals, independently initiates socio-ecological and economic projects and ensures their implementation, act as an inspired participant in all social processes. The principle of material sufficiency and the focus on spiritual development are the determining features of the nature-centered approach in the formation of social capital of family homestead.

A positive experience of social interaction in family homestead settlements can be set down in the basis of community development criteria, among which the authors outline: 1) stability and long-term nature of hromadas development and self-sufficiency; 2) possibility to form society from modules – individual communities; 3) degree of interaction and trust between the community inhabitants; 4) diversification of activities to ensure the employment of all members of the community. That is why our solutions are mostly adapted for those settlements.

**Table 1. Comparison of the modeling institutions of amalgamated communities**

| Feature                   | Traditional settlements  | Intentional communities   | Ecovillages  | Family homestead settlements   |
|---------------------------|--|---|--|--|
| Overall objective         | Gain from the scale of production and use of non-renewable resources   | Formation a basis for a better life (co-housing and kibbutz)  | Sustainable development, production and life ecologization   | Transforming the Earth into an ideal human existence environment in accordance with God's commandments   |
| Form of management        | Public administration or local government  | Community, cooperative, association, public organization, etc.  | Amalgamated community  | Hromada, hromada association (society as a hromada)  |
| Technologies              | Income-expense mechanism as a criterion of management efficiency mixed with a consumer approach to natural resources | Traditional and ecological technologies   | Ecological technologies (biotechnology, bioeconomy, alternative energy, organic production)  | Biomicyrty in social processes, permaculture, non-waste activity, use of renewable energy sources  |
| Reasons for establishment | Development of productive powers, scientific and technological progress  | Improving the quality of life, raising the level of communication   | Understanding the need to save the environment for future generations  | Evolutionary processes for increasing the conscious and responsible attitude of the person to the outside world, the harmony of interaction between man and nature |
| Social effects            | Individualism, interpersonal conflicts, struggle for resources   | The growth of social communication and community support in the system of common values, community involvement, coordination of decisions | Strengthening of common values and their realization, ecology of consciousness, influence on socio-ecological and economic development aspects, solutions of ecological problems | The formation of a noosphere approach to life and production, local development, self-sufficiency of community members   |

### **3. Priority mechanisms for the growth of social capital**

Formation of a social capital institutional provision is an important motivator for the development and self-organization of territorial communities, which promotes the establishment of relations based on mutual trust and assistance between members of the community. Growth of social communications in the sphere of interpersonal and intergroup relationships provides an opportunity to find a way to harmonize political, social, economic and environmental citizens' interests, improve the possibilities of their rational expression at the state, regional and municipal levels. The social capital formation activity directly affects the achievement of stability in the community and promotes democratic development. Its absence, on the contrary, hinders the development of civil society.

In our previous theoretical investigations we discovered that one of the leading institutions for the development of social capital in rural areas is the establishment of expert networks, which have unprecedented capabilities for the exchange of data at the level of ideas and ready-made solutions (Lytvynchuk, 2016) as a consequence of the intellectual communication structures evolution, reducing knowledge concentration

exclusively within the "walls" of research centres and universities as well as the institutionalization of models and practices of collaborative methodology in participative management. The areas of application of co-creation models in participative management of the communities (as crowdstorming, crowdsourcing, crowdanalytics, microtasksourcing, crowdforesight, crowdfunding and crowdfunding) are forming banks of hypotheses, gathering information, monitoring of geopolitical and economic processes in real time, microtasks, available for remote work (data categorization), sociological research, strategic management solutions development, technological audit, development of various scenarios, estimating scenario probability, fundraising.

SWOT-analysis of the internal and external environment factors allows formulating potential strategies for the institutionalization of the participative management specialists' informal cluster on the basis of co-creation models implementation (table 2).

Table 2. SWOT-matrix of the co-creation models establishment strategies in participative management of territorial communities

| Internal environment  |   |
|---|---|
| Opportunities   | Threats   |
| <ul style="list-style-type: none"> <li>- labor market expansion;</li> <li>- the attraction of additional social and intellectual capital;</li> <li>- overcoming the asymmetry of the content saturation of the information field (in the regions of the experts stay);</li> <li>- creation of conditions for the network meritocracy development;</li> <li>- "Medici Effect" (emergence of innovations at the intersection of ideas)</li> </ul>         | <ul style="list-style-type: none"> <li>- bureaucratic resistance, hierarchy, and formalism;</li> <li>- loss of information, unprotected intellectual products as legal objects of intellectual property;</li> <li>- increase the heterogeneity of development between institutions that use collaborative models and institutions that work traditionally;</li> <li>- "the effect of Matthew" (the phenomenon of prejudiced growth in the popularity of ideas that have received some recognition)</li> </ul> |
| <p><i>Strengths-opportunities strategies</i></p> <ul style="list-style-type: none"> <li>- <i>targeting funds from transaction cost saving to start new projects;</i></li> <li>- <i>noonsourcing</i></li> </ul>  | <p><i>Strengths-threats strategies</i></p> <ul style="list-style-type: none"> <li>- <i>preparation of a methodological basis that will allow implementing tools efficiently</i></li> </ul>  |
| <p><i>Weaknesses-opportunities strategies</i></p> <ul style="list-style-type: none"> <li>- <i>application of algorithms for "social noise" filtering by using tools of facilitation (ensuring successful communication of the participants without affecting the content of the project);</i></li> <li>- <i>interaction with "brokers of knowledge" and innovative providers</i></li> </ul>   | <p><i>Weaknesses-threats strategies</i></p> <ul style="list-style-type: none"> <li>- <i>diversification of research projects;</i></li> <li>- <i>harmonization of interests of co-creation stakeholders;</i></li> <li>- <i>attracting the necessary human, innovative and investment resources to increase the efficiency of management decisions</i></li> </ul>   |
| External environment  |   |
| Strengths   | Weaknesses  |
| <ul style="list-style-type: none"> <li>- the ability to create a global product;</li> <li>- reduction of the time to achieve the result;</li> <li>- reduction of transaction costs due to the absence of need for personal meetings;</li> <li>- the high internal motivation of participants (an increase of experts personal income at the expense of royalty, the opportunities for training and professional development, social motives)</li> </ul> | <ul style="list-style-type: none"> <li>- the complexity of the system technical support;</li> <li>- the need to allocate resources for viewing options, communication with the audience;</li> <li>- internal competition in the expert environment;</li> <li>- special group dynamics of the community, caused by a high social diversity of its members;</li> <li>- linguistic barrier;</li> <li>- the problem of controlling the intellectual property rights distribution</li> </ul>                       |

The combination of information and cognitive tools contributes to the cluster evolution towards the level of a professional platform for the communities inhabitants' support. In communities within one region, such a pilot platform may become a network of the advisory services through creating noonsourcing environment of innovation consultancy functions for the experts' interaction in different fields of research for the benefit of agriindustrial production and the inclusion of rural areas.

The practical implementation of this approach in the conditions of the Nesolon territorial community has shown its effectiveness from the standpoint of the continuous involvement of rural residents in identifying community development problems, seeking mechanisms for their solution and proper resource provision. As a result of observation and analysis of the Nesolon territorial community and the settlement "Space of Love" activities, it was established that our participative management approach allows realizing the function of local self-government with 100% coverage of community population.

At the same time, the focused in-depth interviews revealed that 69% of the respondents were aware of the functions of co-creation approach and all of them were from family homestead settlements. The above data clearly indicates the level of civil activity awareness is extremely low among the rural people, one reason for this is the consciousness level of the respondents. The intensification of these processes should be carried out through the practical expansion of information and explanatory work in the form of approved educational programs for the universities, approved by the Ministry of Education and Science, textbooks for students of higher educational institutions on the theme of family farms and participative management, instructions of the Cabinet of Ministers of Ukraine, round tables and public hearings of different levels. It is necessary to note the relatively high efficiency of the practice of implementing the idea of participative management approach in communities as a way of multifunctional development of rural areas in terms of social capital concentration.

#### **4. Conclusions**

1. An incomplete formation of social capital institutions at the local level, along with the lack of effective mechanisms for managing rural areas development, is the main deterrent to the cardinal positive changes in communities. This leads to the emergence of initiatives of civil society for inclusion and creation of forms of self-organization through public associations and movements.

2. Replacement of the study emphasis on the informal institution's active participation in the formation of social capital of communities in rural areas can enhance the processes of participative and collaborative work, increase the degree of trust and social interaction between actors and groups, coordinate the goals of development, and strengthen the value orientations.

3. The development of a strategy for institutionalizing the informal cluster of participative management specialists (based on the co-creation models) will enable the combination of information and cognitive tools and facilitate the embodiment of a professional community support platform in rural areas.



4. Determination of family homestead settlements as start-ups of informal institutionalization of communities (and society as a whole) is related to the priority of the goals of sustainable development, weighted value orientations, strong moral and ethical norms, a high degree of socialization, and positive dynamics of communication and information provision.

5. Forming institutions of social capital and sustainable development of territorial communities on the basis of the of "Family homestead settlements" principles as a practice for amalgamated communities organization and public administration of the territory is the engine of technological, economic and social progress for self-motivated subjects. Realized in conjunction with public authorities and local self-government on the basis of the activities of settlements public organizations, this practice determines significant social changes. A positive experience can be implemented in the educational process.

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## **INSTITUCIJOS FORMUOJANČIOS SOCIALINĮ KAPITALĄ BENDRUOMENĖSE**

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### **Santrauka**

Šio straipsnio tikslas - pagrįsti optimalų socialinės bendruomenės kapitalo plėtros mechanizmą. Palyginamosiomis studijomis ištyrėme tarptautinę patirtį ir vidaus praktiką formuojant bendruomenių socialinio kapitalo formalias ir neformalias institucijas. Buvo atlikti struktūrizuoti interviu su 200 Ukrainos teritorinių bendruomenių atstovų gyvenančių kaimo vietovėse. Tyrimas buvo atliekamas 2013-2017 metais. Naudodamiesi strateginio valdymo metodais, autoriai parengė alternatyvias strategijas bendruomenių socialinio kapitalo stiprinimui. Strategijos suformuoti buvo pasitelkti pagrindiniai sėkmingiausių bendruomenių organizavimo principai. Įrodyta, kad dalyvavimo pagrindu naujos rūšies bendruomenių formavimas yra novatoriškas visuomenės daugiavystės vystymosi modelis, kuris leidžia stiprinti teritorijų socialinį ir ekonominį potencialą bei pagerinti gyventojų gyvenimo kokybę.

*Raktiniai žodžiai: institutas, kaimo vietovės, socialinis kapitalas, šeimos ūkis, teritorinė bendruomenė, dalyvavimas.*

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