



London South Bank
University

*Mission Effectiveness and Social Entrepreneurship:
Theoretical insights and case-study evidence from three Christian charities in England*

A thesis submitted to
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VOLUME 1

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ABSTRACT

This research thesis examines mission effectiveness within three cases of Christian charities in England. It does so within the context of social entrepreneurship, and is occasioned by an attempt to facilitate social service capacity building in order to meet increasing social needs during a period of decreasing government funding. The research evaluates mission effectiveness through the lens of two managerial theories – Resource Based Theory (RBT) and Dynamic Capabilities Theory (DCT). Accordingly, three key objectives underpin this research: to evaluate RBT and DCT for social entrepreneurship in charities, to evaluate the relevant case study evidence and, consequent to an analysis and evaluation of that evidence, to develop/present an appropriately customised theory of mission effectiveness primarily for application within Christian social action charities.

RBT and DCT theoretical and empirical literatures provide several insights into the optimisation of organisational resources and capabilities. An analysis of this literature enables two dimensions to emerge - performance and scalability. These dimensions are explored through six themes: business services, governance, resource investment, collaboration, social enterprise and growth. However, little engagement of these two theories (both developed for and within the For-Profit sector) in the charities (Not-for-Profit) sector is observed. This gap in the literature both provokes and justifies the research.

Given that a key objective of the research is to develop a sectorally customised theory, methodologically it adopts an inductive approach to building theory from relevant theoretical-empirical data, empirical literature, their analyses and emergent evidence-based arguments. Appropriate meaningfully-linked RBT and DCT case-specific data are ethically collected using standard methods including questionnaires, interviews, observation, and evaluation of some internal case documentation and public records. Thereupon, the data are evidentially analysed and customised by reference to the relevant mission statement and categorised across the six themes. They are then analysed using traditional case study analytical techniques including pattern matching, explanation building and synthesis in order to enable key findings to emerge. Finally, the emergent research findings are evaluated-interpreted in terms of mission effectiveness, so as to assert causal and/or associated links between relevant theoretical constructs and the findings.

The empirical findings suggest that all six identified themes varyingly affect performance and scalability. Further, they indicate that mission effectiveness is enhanced when resource based and dynamic capabilities are exercised within strategic management disciplines, especially where entrepreneurial means are deployed. This would suggest that Christian social action charities have potential to play a more positive and impactful role in providing social services in England, by systematically improving mission effectiveness via strategic use of RBT and DCT, combined suitably with entrepreneurial means.

Overall, drawing on the empirically identified deficiencies and/or inadequacies of RBT and DCT when applied to the effective accomplishments of social enterprise missions, the findings suggest a hybrid theory of both of them, tentatively named '*Dynamic Resource Theory*' (*DRT*). This argues that social action practitioners are more effective when optimising key resources and capabilities using SE means in order to achieve missional impact results. Such a tentative theory will likely influence policies to incentivise improvements in governance, inter-firm collaboration and capacity building. Such policies would be of real practical benefit to practitioners. This theory makes an original contribution to knowledge in terms of social entrepreneurial mission effectiveness - probably most applicable within faith-based charities.

Key words: *charities, Dynamic Capabilities Theory (DCT), Dynamic Resource Theory (DRT), mission effectiveness, performance, Resource Based Theory (RBT), scalability, Social Entrepreneurship/Enterprise (SE)*

VOLUME 1

Table of Contents

Acknowledgements	i
Abstract	iii
Table of Contents	01
List of Acronyms and Abbreviations	09
List of Figures	10
List of Tables	11
List of Appendices	12
List of Research and Scholarly Activity since 2010	13
1. THE RESEARCH BACKGROUND, CONTEXT AND KEY TERMINOLOGY	
1.1 Introductory Comments - Research Background and Context	18
1.1.1 Trends in Post-recessionary England	18
1.1.2 Charity Roles in the Third Sector	20
1.1.3 Social Entrepreneurship (SE) Roles	20
1.1.4 Christian Social Action Charity (CSAC) Roles	21
1.1.5 Mission Effectiveness in CSACs	21
1.1.6 SE in Three National CSACs	22
1.2 Key Terminology and the Conceptual Framework	23
1.2.1 Key Terminology	23
1.2.2 Conceptual Framework	28
1.3 The Thesis Structure	32
1.4 Chapter Summary	33
2. RESEARCH AIMS, OBJECTIVES, MOTIVATION AND SIGNIFICANCE	
2.1 Introductory Comments	34
2.2 Research Problem and Question	34
2.2.1 The Research Problem	35
2.2.2 The Research Question	35
2.2.3 The Research Focus	36
2.3 Research Aims, Objectives and Propositions	36
2.3.1 The Research Aims	36
2.3.2 The Research Objectives	36
2.3.3 The Research Propositions	38

2.4 Research Motivation, Relevance and Significance	39
2.4.1 Spiritually Motivated Social Action	39
2.4.2 'For Such a Time as This'	40
2.4.3 Trusting in Uncertain Times	41
2.5 Chapter Summary	41
 3. A REVIEW OF CONTEXTUALLY-RELEVANT LITERATURE	
3.1 Introductory Comments	42
3.2 A Broad Literary Overview	43
3.2.1 Multiple, Convergent Literatures	43
3.2.2 An Historic Outline	45
3.2.3 A Review of Articles linking SE with RBT and DCT	46
3.3 Context-Related Literature Review	48
3.3.1 Mission	48
3.3.2 Effectiveness	49
3.3.3 Social Entrepreneurship	50
3.3.4 Charity	51
3.3.5 An Outline of Relevant Charity Effectiveness Literature	51
3.3.6 An Outline of Relevant CSAC Literature	52
3.4 Theory Selection and Justification	53
3.4.1 Some Relevant Theories	53
3.4.2 Key Aspects of RBT and DCT	55
3.4.3 Choosing the Theories	58
3.5 Chapter Summary	59
 4. A REVIEW OF RBT-RELEVANT LITERATURE AND DEVELOPMENT OF RELATED PROPOSITIONS	
4.1 Introductory Comments	60
4.2 Conceptual Constructs	60
4.2.1 RBT Theory	60
4.2.2 RBT Constructs	61
4.3 Theoretical Literature Review	65
4.3.1 RBT Exposition	65
4.3.2 RBT Evaluation	66

4.3.3	RBT Gaps	66
4.3.4	RBT Opportunities for Operational Theory	67
4.4	Empirical Literature Review	67
4.4.1	RBT-Related Constructs	68
4.4.2	RBT-Related Literary Gaps	79
4.4.3	RBT-Related Literary Consolidation and Synthesis	80
4.4.4	RBT-Related Thematic Propositions	81
4.4.5	RBT-Related Mission Effectiveness and SE in Charities	83
4.5	Relevance of RBT for Mission Effectiveness and SE in CSACs	84
4.5.1	RBT for CSAC Mission Effectiveness	84
4.5.2	RBT for CSAC approaches to SE	85
4.5.3	RBT for CSAC Theory	85
4.6	Objective 1 - Strengths and Weaknesses of RBT in terms of SE	85
4.6.1	The Main Research Question Revisited	85
4.6.2	Resource-Based Theory – Strengths and Weaknesses for SE	86
4.6.3	Arguments Arising in the Literature for SE in CSACs	87
4.7	Development of Propositions and Questions derived from RBT	87
4.7.1	Business Services	88
4.7.2	Governance	89
4.7.3	Resource Investment	90
4.8	Chapter Summary	95
5.	A REVIEW OF DCT-RELEVANT LITERATURE AND DEVELOPMENT OF RELATED PROPOSITIONS	
5.1	Introductory Comments	96
5.2	Conceptual Constructs	96
5.2.1	DCT Theory	96
5.2.2	DCT Constructs	96
5.3	Theoretical Literature Review	102
5.3.1	DCT Exposition	102
5.3.2	DCT Evaluation	103
5.3.3	DCT Gaps	103
5.3.4	DCT Opportunities for Operational Theory	104
5.4	Empirical Literature Review	105
5.4.1	DCT-Related Constructs	105
5.4.2	DCT-Related Literary Gaps	117

5.4.3	DCT-Related Literary Consolidation and Synthesis	118
5.4.4	DCT-Related Thematic Propositions	120
5.4.5	DCT-Related Mission Effectiveness and SE in Charities	123
5.5	Relevance of DCT for Mission Effectiveness and SE in CSACs	124
5.5.1	DCT for CSAC Mission Effectiveness	124
5.5.2	DCT for CSAC approaches to SE	124
5.5.3	DCT for CSAC Theory	124
5.6	Objective 1 - Strengths and Weaknesses of DCT in terms of SE	125
5.6.1	The Main Research Question Revisited	125
5.6.2	Dynamic Capabilities Theory - Strengths and Weaknesses for SE	126
5.6.3	Arguments Arising in the Literature for SE in CSACs	127
5.7	Development of Propositions and Questions derived from DCT	128
5.7.1	Collaboration	128
5.7.2	Governance	130
5.7.3	Growth	132
5.8	Chapter Summary	138
6.	THE RESEARCH DESIGN AND METHODS	
6.1	Introductory Comments	139
6.2	Research Methodology and Design	139
6.2.1	A Methodological Overview	140
6.2.2	The 'Research Onion'	141
6.2.3	The Research Philosophy	142
6.2.4	The Research Approach	144
6.2.5	The Research Strategy	144
6.2.6	The Research Time Horizons	149
6.3	Case Study Data Identification Issues	150
6.3.1	Variable Forms	151
6.3.2	Variable Strands	151
6.3.3	Variable Evidence	153
6.4	Case Study Data Acquisition Issues	155
6.4.1	Participant Case Selection	156
6.4.2	Data Items	159
6.4.3	Questionnaires	162
6.4.4	Observations	164
6.4.5	Semi-structured Interviews and Communications	165

6.4.6	Information from the Public Domain	166
6.4.7	Ethical Considerations and Clearances	166
6.5	Case Study Data Analysis Issues	167
6.5.1	Analysis in Case Studies	168
6.5.2	The Analytical Framework, Strategy and Techniques	170
6.5.3	Case Type, Size and Quality	172
6.5.4	Data Validity and Reliability	172
6.5.5	Within-Case Analysis	174
6.5.6	Cross-Case Synthesis	175
6.5.7	Case Study Reporting	175
6.6	Chapter Summary	177
7.	THE RESEARCH CASES DATA: COLLECTION, EVIDENTIAL ANALYSIS AND FINDINGS	
7.1	Introductory Comments	178
7.2	Data Collection, Analysis, and Findings	178
7.3	The Case Study Reports	182
	The Salvation Army: Employment Plus Department (TSAEP)	
7.3.1	Introduction to TSAEP	182
7.3.2	Business Services – Performance Management	185
7.3.2.1	Case Data	185
7.3.2.2	Case Data Analysis	186
7.3.3	Governance – Strategy and Policies & Processes	187
7.3.3.1	Case Data	187
7.3.3.2	Case Data Analysis	188
7.3.4	Resource Investment – Industry and Firm Performance	189
7.3.4.1	Case Data	189
7.3.4.2	Case Data Analysis	190
7.3.5	Collaboration – Relational Capabilities and Alliances	190
7.3.5.1	Case Data	190
7.3.5.2	Case Data Analysis	191
7.3.6	Social Entrepreneurship – SE and Change	192
7.3.6.1	Case Data	192
7.3.6.2	Case Data Analysis	193
7.3.7	Scalability – Outcomes, Impacts and Growth	194
7.3.7.1	Case Data	194
7.3.7.2	Case Data Analysis	194
7.3.8	Case Data Findings for TSAEP’s mission effectiveness	195

Churches Together in England (CTE)	
7.3.9 Introduction to CTE	198
7.3.10 Business Services – Performance Management	200
7.3.10.1 Case Data	200
7.3.10.2 Case Data Analysis	201
7.3.11 Governance – Strategy and Policies & Processes	202
7.3.11.1 Case Data	202
7.3.11.2 Case Data Analysis	202
7.3.12 Resource Investment – Industry and Firm Performance	203
7.3.12.1 Case Data	203
7.3.12.2 Case Data Analysis	204
7.3.13 Collaboration – Relational Capabilities and Alliances	205
7.3.13.1 Case Data	205
7.3.13.2 Case Data Analysis	205
7.3.14 Social Entrepreneurship – SE and Change	206
7.3.14.1 Case Data	206
7.3.14.2 Case Data Analysis	207
7.3.15 Scalability – Outcomes, Impacts and Growth	208
7.3.15.1 Case Data	208
7.3.15.2 Case Data Analysis	209
7.3.16 Case Data Findings for CTE's mission effectiveness	210
 Redeeming Our Communities (ROC)	
7.3.17 Introduction to ROC	212
7.3.18 Business Services – Performance Management	215
7.3.18.1 Case Data	215
7.3.18.2 Case Data Analysis	216
7.3.19 Governance – Strategy and Policies & Processes	216
7.3.19.1 Case Data	216
7.3.19.2 Case Data Analysis	217
7.3.20 Resource Investment – Industry and Firm Performance	218
7.3.20.1 Case Data	218
7.3.20.2 Case Data Analysis	219
7.3.21 Collaboration – Relational Capabilities and Alliances	219
7.3.21.1 Case Data	219
7.3.21.2 Case Data Analysis	220
7.3.22 Social Entrepreneurship – SE and Change	221
7.3.22.1 Case Data	221
7.3.22.2 Case Data Analysis	221
7.3.23 Scalability – Outcomes, Impacts and Growth	222
7.3.23.1 Case Data	222
7.3.23.2 Case Data Analysis	223
7.3.24 Case Data Findings for ROC's mission effectiveness	224

7.4 Empirical Data Findings	226
7.4.1 Cross-Case Synthesis – RBT and DCT Themes	227
7.4.2 Cross-Case Synthesis - SE Means	240
7.4.3 Cross-Case Synthesis – Mission Effectiveness in terms of SE	250
7.5 Objective 2 - the functional and operational nature of CSACs	255
7.5.1 RBT – the functional and operational nature of CSACs	256
7.5.2 DCT - the functional and operational nature of CSACs	259
7.5.3 Arguments arising for Mission Effectiveness from SE means	261
7.6 Chapter Summary	264
 8. THE RESEARCH CONCLUSIONS AND POLICY IMPLICATIONS	
8.1 Introductory Comments	265
8.2 Propositions and Prior Literature Revisited	265
8.2.1 Propositions - anticipate Desired Findings in the Participant Data	266
8.2.2 Prior Literature – Propositional Alignment	266
8.3 Evaluation and Interpretation of the Data Findings	267
8.3.1 The Salvation Army: Employment Plus (TSAEP)	267
8.3.1.1 RBT – evidence for Performance	267
8.3.1.2 DCT – evidence for Scalability	274
8.3.1.3 Summary, evaluation and Interpretation for TSAEP	280
8.3.2 Churches Together In England (CTE)	281
8.3.2.1 RBT – evidence for Performance	282
8.3.2.2 DCT – evidence for Scalability	288
8.3.2.3 Summary, evaluation and Interpretation for CTE	295
8.3.3 Redeeming Our Communities (ROC)	296
8.3.3.1 RBT – evidence for Performance	297
8.3.3.2 DCT – evidence for Scalability	303
8.3.3.3 Summary, evaluation and Interpretation for ROC	310
8.3.4 Consolidated and summarised Data Findings	310
8.3.4.1 Consolidated propositional evidence	310
8.3.4.2 Summarised interpretations	315
8.4 Objective 3 – a theory of Mission Effectiveness deploying SE means	317
8.4.1 An SE Case for CSACs – RBT and DCT based arguments	318
8.4.2 An SE Theory for CSACs – A Tentative Theory of SE	320
8.4.3 An SE Model for CSACs – A Working Model	324

8.5 Practical Implications for Practitioners	340
8.5.1 Practitioner Implications for Performance	342
8.5.2 Practitioner Implications for Scalability	344
8.5.3 Practitioner Adaptations and Developments	347
8.6 Policy Implications for Policymakers	348
8.6.1 Policy Implications for Charity Governance	348
8.6.2 Policy Implications for Interfirm Collaboration	349
8.6.3 Policy Implications for Third Sector Engagement	350
8.7 Conclusions	352
8.8 Chapter Summary	354
9. PERSONAL REFLECTIONS AND RESEARCH SUGGESTIONS	
9.1 Introductory Comments	355
9.2 Limitations of the Research	355
9.2.1 Reflections – Different Agendas and Scoping Challenges	355
9.2.2 Constraints – Time, Costs and Participant Access	356
9.2.3 An Assessment of the Effects of Known Limitations	357
9.3 Current and Future Research	358
9.3.1 Some Personal Outcomes	358
9.3.2 Current Research Trends	358
9.3.3 Future Research for Developing SE in CSACs	359
BIBLIOGRAPHY	360
VOLUME 2	
APPENDICES (see List on page 12)	I-XCIX

Mission Effectiveness and Social Entrepreneurship:
Theoretical insights and case-study evidence from three Christian charities in England

LIST OF ACRONYMS AND ABBREVIATIONS

Acronym	Term	Brief Explanation
CFG	Charity Finance Group	A UK charity for finance professionals.
CSAC	Christian Social Action Charity	Including charities and churches.
CTE	Churches Together in England	An ecumenical umbrella body.
CUF	Church Urban Fund	An Anglican fund for social justice.
DCT	Dynamic Capabilities Theory	A theory of competence for growth.
DRT	Dynamic Resources Theory	A hybrid of RBT and DCT theories.
FbRN	Faith-Based Regeneration Network	An inter-faith social action network.
EY	Ernst & Young	A global accountancy firm.
HBR	Harvard Business Review	A global business journal.
IVAR	Institute of Voluntary Action Research	A UK-based research institute specialising in social justice.
NAJIC	National Association of Join In Centres	A Danish charity driving community development through social centres.
NCVO	National Council for Voluntary Organisations	A UK-based umbrella body that provides services to charities.
NEF	New Economics Foundation	A think tank specialising in justice.
NPC	New Philanthropy Capital	A charity think tank and consultancy.
OED	Oxford English Dictionary	A global English language dictionary.
PM	Performance Management	Management (mgt.)for performance.
PIM	PM including Improvement	Mgt. for improved performance.
PIMM	PIM including Measurement	PIM that deploys measures extensively.
RBT	Resource-Based Theory	A theory of resource use for SCA.
ROC	Redeeming Our Communities	A UK-based charity to reduce crime.
SCA	Sustainable Competitive Advantage	The long-term advantage achieved when firms outperform rivals.
SE	Social Enterprise/Entrepreneurship	Social purpose business-trading.
SE-UK	Social Enterprise UK	A developmental umbrella body.
SO-SI	Social Outcomes & Social Impacts	Outcomes change peoples' lives. Impacts are outcomes less an estimate of what would have happened anyway.
SROI	Social Return on Investment	A monetised performance measure
TSAEP	The Salvation Army - Employment Plus Department	A department in The Salvation Army that helps people into employment.
VRIN/VRIO	Valuable, Rare, Inimitable, Non-substituable resources (O – Organisation [Framework])	In the VRIO framework, firm resource heterogeneity and immobility produce VRIN features to achieve SCA.
VSSN	Voluntary Sector Studies Network	A specialist sector research body.

LIST OF FIGURES

Figure 1.1 – Inter-sector relationships around social enterprise (1.2.1)	25
Figure 1.2 – Inter-conceptual frameworks around Charities (1.2.2)	28
Figure 1.3 – Conceptual Construct Framework (1.2.2)	30
Figure 3.1 – Contextual, Theoretical and Empirical Literature (3.1)	42
Figure 3.2 - Research Literature Sources (3.2.1)	43
Figure 3.3 – A Simplified Historical Framework (3.2.2)	45
Figure 6.1 – The Research ‘Onion’ (6.2.2)	141
Figure 6.2 - Case Study Identification Issues (6.3.3)	154
Figure 6.3 – Quinlan’s Four Stages of Analysis (6.5.2)	171
Figure 7.1 – Thematic Relationships (7.4.1)	239
Figure 8.1 – Evidence supporting RBT propositions in TSAEP (8.3.1.1)	267
Figure 8.2 - Evidence supporting DCT propositions in TSAEP (8.3.1.2)	273
Figure 8.3 – Evidence supporting RBT propositions in CTE (8.3.2.1)	282
Figure 8.4 - Evidence supporting DCT propositions in CTE (8.3.2.2)	288
Figure 8.5 – Evidence supporting RBT propositions in ROC (8.3.3.1)	297
Figure 8.6 - Evidence supporting DCT propositions in ROC (8.3.3.2)	303
Figure 8.7 – Causal Linkage Map - Mission Effectiveness Drivers (8.3.4.1)	311
Figure 8.8– Dynamic Resource Theory for Market–Responsiveness (8.4)	317
Figure 8.9 – Interlinkage of RBT and DCT Themes and Constructs (8.4.2)	322
Figure 8.10 – DRT theory generation from Conceptual Framework (8.4.2)	323
Figure 8.11 – DRT-Practice Impact Assessment (8.4.3)	324
Figure 8.12 – DRT in relation to Stakeholder Roles & Responsibilities (8.4.3)	338

LIST OF TABLES

Table 3.1 – Main sector journal references for RBT and DCT (3.2.3)	47
Table 4.1 – Questions and their Rationale - RBT (4.7)	92
Table 5.1 – Questions and their Rationale – DCT (5.7)	134
Table 6.1 – Principles from the Statement of Ethical Issues (6.4.7)	167
Table 7.1 – Income & Expenditure information for TSAEP (7.3.1)	184
Table 7.2 – Income & Expenditure information for CTE (7.3.9)	199
Table 7.3 – Income & Expenditure information for ROC (7.3.17)	214
Table 7.4 - Cross-Case Questionnaire Summary – RBT findings (7.4.1)	228
Table 7.5 - Cross-Case Questionnaire Summary – DCT findings (7.4.1)	232
Table 7.6 –Cross-Case Questionnaire Summary – RBT, DCT, SE (7.4.1)	236
Table 7.7 – Cross-Case Interview Summary – SE Risk (7.4.2)	241
Table 7.8 – Cross-Case Interview Summary – SE Proactivity (7.4.2)	243
Table 7.9 – Cross-Case Interview Summary – SE Enterprise (7.4.2)	246
Table 7.10 – Cross-Case Interview Summary – SE Innovation (7.4.2)	248
Table 7.11 - Mission Effectiveness Assessment (7.4.3)	251
Table 8.1 – Transcending Options for DRT Adoption (8.5)	341

LIST OF APPENDICES (page numbers refer to the main thesis text, Volume 1)

Appendix 01 – Analysis of Constructs, Objectives & Propositions (2.3.2)	37
Appendix 02 – Main Objectives linked to Sample Literature (2.3.2)	37
Appendix 03 - Theory Links to the Questionnaire (2.3.2)	37
Appendix 04 – Theory-based Macro and Sub-Propositions (2.3.3)	38
Appendix 05 – Analysis of Sample Literature for Sub-Objectives (4.4)	67
Appendix 06 – Questionnaire (4.7)	88
Appendix 07 – Theory Based Thematic Methodological Linkages (4.7)	88
Appendix 08 – Sub-Sub Questions on Collaboration (memo only) (5.7.3)	133
Appendix 09 – Observation Guide (6.4.2)	159
Appendix 10 – Interviews linked to Questionnaire (6.4.2)	159
Appendix 11 – List of Respondents (6.4.2)	161
Appendix 12 – Case Study Protocol (6.4.2)	161
Appendix 13 – Observations and Secondary Data Checklists (6.4.4)	164
Appendix 14 – Interview Protocol (6.4.5)	165
Appendix 15 – Sample Invitations to Research Participation (6.4.7)	166
Appendix 16 – Participant Information and Consent (6.4.7)	167
Appendix 17 – Ethical Approval (6.4.7)	167
Appendix 18 – Methodological Aspects (6.5.1)	169
Appendix 19 - Analytical Framework (6.5.2)	171
Appendix 20 – Case-Specific Public and Internal Documents (7.2)	179
Appendix 21 – Questionnaire and Interview Framework (7.3)	182
Appendix 22 – Within-Case Data Analysis Overviews (7.3)	182
Appendix 23 – Case Study Reports – Questionnaire & Interview (7.3.17)	214
Appendix 24 – Cross-Case Questionnaire Data (7.4.1)	227
Appendix 25 – Cross-Case Synthesis (7.4.3)	255
Appendix 26 – Archbishop Welby’s Charge - February 2012 (8.3.2.2)	292
Appendix 27 – An evaluation of RBT and DCT for DRT theory building (8.3.4.1)	314
Appendix 28 – Theory Building from Management Orientations (8.3.4.1)	314
Appendix 29 – Theory Based Arguments for New Theory (8.4)	318
Appendix 30 – New Theory Building (8.4.2)	320
Appendix 31 - Dynamic Resource Theory (DRT) - Themes & Strands (8.4.2)	323
Appendix 32 – DRT Priorities for Strategic Development (8.4.2)	323

Mission Effectiveness and Social Entrepreneurship:
Theoretical insights and case-study evidence from three Christian charities in England

LIST OF RESEARCH AND SCHOLARLY ACTIVITY SINCE 2010

Date	Event/Courses	Venue/Location	Activity/Role	Output
2016				
Jul	Conference (Abstract accepted)	Academy of World Business Marketing and Management Development, Poland	Author & Presenter	<i>Mission Effectiveness and Social Entrepreneurship and Mission Effectiveness: Case-study evidence and insights from three Christian charities in England'</i>
2015				
Jan-Jul	Impact in Public Leadership	Institute of Leadership & Management, UK	Student	<i>'Leadership in Public Life'</i> IMPACT Certificate level course
Mar Apr	Seminar		Student	<i>'Preparing for your viva'</i>
Apr	Seminar	Church of England (Diocese of Chichester), UK	Author & Presenter	<i>'Seeking the Common Good: Thoughts & Questions on 5 Strategic Objectives'</i>
Jun	Doctoral Colloquium	Plymouth University, UK	Author & Presenter	<i>Social Entrepreneurship and Mission Effectiveness: Insights and case-study evidence from three Christian charities in England'</i>
Sep	Conference	International Social Innovation Research Conference, London South Bank University, UK	Author & Presenter	<i>'Growing and Scaling Christian Social Action in England'</i>
Nov	Seminar	Church of England (Diocese of Chichester), UK	Author & Presenter	<i>'Seeking the Common Good: Developing Christian Social Action: Key Issues'</i>
2014				
Apr	Research Event	London South Bank University UK	Author & Presenter	<i>'Mission Effectiveness and Social Entrepreneurship: Insights & empirical evidence from three case studies in England'</i>
Oct	Conference	Church of England (Social Responsibility), UK	Delegate for the Diocese of Chichester	3 days of presentations and seminars from activists in across England & Wales

Mission Effectiveness and Social Entrepreneurship:
Theoretical insights and case-study evidence from three Christian charities in England

Date	Event/Courses	Venue/Location	Activity/Role	Output
2013				
Jan-Mar	Management Dept.	London South Bank University & Trinity College London, UK London South Bank University & Age UK London, UK	Academic Supervisor	Action-based research& development with partners
Jan-Dec	Conferences & Seminars	Faith in Politics, House of Commons, Inter-faith forums, UK	Researcher	Attendances for learning, sharing and networking.
Mar	Seminars	Ashburnham Christian Trust, UK	Author & Presenter	<i>'Strategic Overview'; 'Team Development'; 'Team Outputs'</i>
Apr	Seminar	Church of England (SE Social Responsibility), UK	Author & Presenter	<i>'What Christian Social Action can be achieved with better Church of England collaboration?'</i>
Jun	Radio broadcast	Roxby-Downs Radio, Australia	Interviewee	<i>'The value of faith for sustainable communities.'</i>
Jul-Oct	Research Event	London South Bank University UK	Attendee, Author & Presenter	<i>Social entrepreneurship and Christian Social Action Charities: Insights and empirical evidence from three case studies in England</i>
Sep	Seminar	Church of England (Diocese of Chichester), UK	Author & Presenter	<i>'R&D into capacity building of Christian social services as the Welfare Stage retreats'</i>
Sep	Conference	International Social Innovation Research Conference (ISIRC), UK	Author & Presenter	<i>'An exploration of dynamic capabilities in charity governance of stakeholder relationships'</i> <i>'Developing integrated performance improvement through research capabilities at Age UK London' with Ben Donovan</i>
Sep-Nov	Research Placement	Eastbourne Christian Action Network, UK	Researcher	7 questions on the collaborative and scalability potential of local social action

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Date	Event/Courses	Venue/Location	Activity/Role	Output
2012				
Jan-Jul	Masters in Public Administration	London South Bank University UK	Student	Attendance in Contemporary Issues, Policy and International Development
Jan	Lecture	Institute of Voluntary Action Research, UK	Attendee	<i>'How do faith-based organisations differ from other kinds of voluntary and community organisations?'</i>
Jan-Dec	Management Dept.	London South Bank University & Trinity College London, UK	Academic Supervisor	Action-based research& development with partners
		London South Bank University & Age UK London, UK		
Feb-Mar	Seminars	London South Bank University UK	Student	5 days of doctoral research seminars
Sep	Conference	National Council of Voluntary Organisations	Author & Presenter	<i>'Performance improvement with Age UK London.., stakeholder relationships'</i> with Ben Donovan
Sep	Conference	International Social Innovation Research Conference (ISIRC), UK	Author & Presenter	<i>'Developing integrated performance improvement through research capabilities at Age UK London'</i> with Ben Donovan
Sep	Lecture	University of the Third Age UK	Author & Presenter	<i>'Social entrepreneurship for impact in Christian charities: evidence from three case studies'</i>
Nov	Seminars	London South Bank University UK	Student	Post Graduate Certificate in Research Skills

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2011				
Jan-Dec	Masters in Public Administration	London South Bank University UK	Student	Attendance and exams in Contemporary Issues, Policy and International Development
Jan	Lecture	Institute of Voluntary Action Research, London, UK	Attendee	<i>'How do faith-based organisations differ from other kinds of voluntary and community organisations?'</i>
Jan-Nov	Management Dept.	London South Bank University and Royal National Inst of the Blind (RNID), and the Royal National Institute for Deaf People (RNIB), UK	Academic Supervisor	Action-based research& development with partners
Mar	Conference	International Research Society for Public Management, Dublin, Ireland	Author & Presenter	<i>'Innovative management for social impact through partnerships with The Salvation Army'</i>
Mar	Seminar	London South Bank University (Centre for International Business Studies), UK	Author & Presenter	<i>'An Experience of Knowledge Transfers for the Third Sector'</i>
Apr-Jun	Management Dept.	Blue Sky Regeneration, London, UK	Academic Supervisor	Action-based research& development with partners
Jun	Conference	European Research Network (EMES), Denmark	Author & Presenter	<i>'Developing social entrepreneurship for social innovation at The Salvation Army'</i>
				<i>'Stakeholder engagement to develop outcomes measures at the RNID and RNIB' with Lindsay Hodgeson</i>
Sep	Conference	Institute of Chartered Accountants of England & Wales, UK	Practitioner	Charity & Voluntary Sector Special Interest Group
Dec	Management Dept.	London South Bank University & Trinity College London, UK	Academic Supervisor	Action-based research& development with partners

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Date	Event/Courses	Venue/Location	Activity/Role	Output
2010				
Jan-Dec	Masters in Public Administration	London South Bank University UK	Student	Action-based research& development with partners
Jan-Mar	Management Dept.	London South Bank University and the Community Action Network (CAN), UK	Academic Supervisor	Action-based research& development with partners
Jan-Dec	Management Dept.	London South Bank University and the Royal National Inst of the Blind (RNID), and the Royal National Institute for Deaf People (RNIB), UK	Academic Supervisor	Action-based research& development with partners
Feb	Seminars	Westminster Briefing, UK	Author & Presenter	<i>'Effective corporate investment strategies for financial and social impact'</i>
Feb	Conference	Harvard University, USA	Attendee	Social Enterprise Conference
Mar	Seminars	London South Bank University UK	Student	Post Graduate Certificate in Research Skills
Apr	Research Placement	London South Bank University and The Salvation Army, UK	Researcher	Third Sector Research Centre consultancy report on The Salvation Army
Jan-May	Research Placements	London South Bank University and the Royal National Inst of the Blind (RNID), and the Royal National Institute for Deaf People (RNIB), and the Community Action Network (CAN), UK	Academic Supervisor	Third Sector Research Centre consultancy reports on RNID, RNIB and CAN
May	Research Placement	London South Bank University and Richmond Council for Voluntary Services, UK	Researcher	Third Sector Research Centre consultancy report on bid for hub status and funding

1. THE RESEARCH BACKGROUND, CONTEXT AND KEY TERMINOLOGY

1.1 Introductory Comments – Research Background and Context

This thesis is about charity matters, because charity matters. Regrettably it matters even more today as a result of the 2007-2008 global financial crisis. Economic recession and wealth inequality have led to increasing poverty in England. In response, people of goodwill wish to see a more equitable society to meet growing social needs – the problem at the centre of this research. Financial constraints have affected governmental and nonprofit income. Thus the subject of this research concerns enhancing performance to achieve scalability in third sector organisations focusing on Christian Social Action Charities (CSACs). Greater CSAC mission-centric capacity could increase positive social and economic impact by adopting Social Entrepreneurship (SE) means.

This chapter places the relevant research issues within the broad overall background of the English social sector, the context of three national SE cases, and two related mainstream theories. First, the broad background and narrower research case context are outlined in the chapter. Second, key terminology is defined and explained, and the two theories of present consequence Resource-Based [RBT] and Dynamic Capabilities [DCT]) are introduced and depicted within a framework of conceptual constructs. The penultimate section then outlines the structure of the thesis and chapter contents. Finally a summary of this chapter is offered in the fourth section.

1.1.1 Trends in Post-recessionary England

The recent 'Great Recession' occasioned many more people in England to become impoverished under austere economic conditions. The prestigious **Joseph Rowntree Foundation (2013)** revealed that in 2013, 13.4 million people or 22% of the population were classed as poor in the UK in a report defining poverty as living on less than 60% of the median national income. Austere fiscal policies since 2010 have led to 61% of children from working households and 2.2m pensioners living in poverty. Social needs are increasing. Perhaps the most shocking revelation was that over half of these people had jobs, a fact which emphasizes social inequalities as exposed by **Piketty (2014)**.

This emergent economic reality demands a response from all who value their neighbours' well-being, both communally and individually. But what responses are

appropriate in this situation? How can the growing gap in social services be filled? Who could effectively deliver services at acceptable levels of price, quality and volume? How might they do it? These questions are answered, in part, by an enhanced theory of mission effectiveness which draws on SE means and methods.

Government statistics and press reports reveal growing family breakdown (**Almond 2006**), driving costly social demand beyond existing supply, to create a problem. Family ties can help citizens to meet many social needs without state intervention. However, England is now a 'selfish capitalist nation' where income inequality and emotional distress are high, according to **James (2007:511-514)** with serious income and health consequences. While capital takes different forms and value priorities, Christians could argue that the growing inequalities stem from disconnected and individualistic humanism, rather than the holistic and relational vision offered in the Bible (**Brandon 2012**).

In 2010 the coalition government crystallized emergent thinking on citizen self-help by introducing (but not prescribing) the 'Big Society' concept (**Economist 2011a**). To reflect this aspiration, several new laws including those establishing the social rights of citizens to information and participation in local decision-making enshrined in the **Localism Act (2011)** and an obligation under the **Public Services [Social Value] Act (2012)** for local authorities to incorporate measurable and intrinsic social values into government-funded contracts. Now the 2016 'Brexit' government faces significant social justice pressures.

Against this turbulent background CSACs were selected to provide the context for this study, on the grounds that they represent a significant, longstanding sub-sector of the third sector which offers the possibility of building social action capacity. 'Austerity' Britain supports SE/trading to meet social needs, which can yield taxable surpluses. However, **Wilding (2010)** observes that the development of business-based solutions in response to the new economic realities is hampered by a limited evidence base.

1.1.2 Charity Roles in the Third Sector

Social action charities form a large proportion of England's 3rd sector. Increasingly the sector is being called upon to fill the gap being left as government-run social services are withdrawn. So here the focus on charities is justified to improve existing provision and thus reduce taxpayer funding (while preserving their tax exemption, gift aid etc.). Positive social impact is universally understood to be the primary objective of social action in achieving public benefit required in the **Charities Act (2011)** (s.4) through their activities in support of charitable purposes (s.3). Public benefit is often associated with (dynamic) social impact theory as proposed by its originator **Latané (1996:1)**.

SEs and charities are defined in Section 2. Notably, many charities want to trade as SEs to sustain their missions during these lean times (**SE-UK 2014**). As noted, UK social policy encourages SE - for charities to trade and businesses to prioritise social purposes.

1.1.3 Social Entrepreneurship (SE) Roles

It is commonly alleged that SE is good for society when accompanied by an appropriate manifestation of beneficial impacts. Many SEs are constituted as charities, although there is a discernible trend towards more trading through specific social enterprise (non-charitable) forms including CICs and CIOs (**SE-UK 2012a**).

Regardless of legal form, the general move towards the integrated sustainability reporting of social and environmental impacts is encouraged alongside established economic results (**Ridley and D'Silva 2013**). Accordingly, the UK government has encouraged sustainable SE (**SE-UK 2013a**) to solve social problems, like problematic undersupply. For example, CSACs typically operate in areas of informal care that allow low cost, non-statutory social services like rehabilitation and housing substance abusers (**SE-UK 2012b**). Developed countries have advanced integrated public infrastructures which have traditionally provided social services funded from tax revenues.

SEs typically operate in areas where other sectors are already established, for example, charities, businesses and government agencies. Blurring boundaries elicit new hybrid business models, often reflecting disciplines from all three economic sectors.

1.1.4 Christian Social Action Charity (CSAC) Roles

CSACs in England do not comprise a single recognizable body, but rather they share common interests and motivations while interpreting Biblical doctrine in different ways. They also differ in size, reach, service level (e.g. frontline/primary, intermediary, policy umbrella/tertiary), and service-user type. Importantly, they are typically motivated by eternal rather than temporal rewards. However, many Christians are increasingly wary of engaging in the public arena, due to growing marginalization arising from legal changes, most notably interpretations of the Equality Act 2010 in terms of sexual morality and religious freedom (**Carey and Carey 2012**). Nonetheless, despite significant internal and external barriers, potential exists for unified action by CSACs to meet social needs.

Surprisingly, basic internet searches (e.g. Charity Commission) did not reveal the number, size and capitalization of CSACs *per se* nor their share of the overall social services market. However, a recent Respublica report claimed that 79% of British church congregants and 30,000 CSAC charities are serving a wide range of needs (**Blond and Noyes 2013**). This suggests that at least some of these services could be coordinated to improve performance and increase scale. Although Christian social action umbrella/coordinating bodies operate in Scotland (the Church of Scotland's contracting body CrossReach), and in Wales (the Evangelical Alliance oversees the Gweini consortium of Christian charities), no such representative body exists in England. Could such unitary co-ordination help to improve performance and scale in England?

Many CSACs have been protected from some effects of austerity by their customary independence from government funding, but CSACs too have suffered reduced income.

1.1.5 Mission Effectiveness in CSACs

CSACs have played an historic and significant role in society. Given the current need for more social service capacity, this research considers how they can be more effective in producing public benefits (quantifiable improvements) using SE means to solve social undersupply problems by relying on Christian values. Biblical faith and social outcomes-impacts are inseparable in effective CSAC mission. However, few claim to be SEs.

1.1.6 SE in Three National CSACs

The genesis of this research came in part from management dilemmas arising in nonprofit organisations which demanded adaptable developmental models. ‘Real world’ practice was later subjected to ‘interpolation’ within the RBT and DCT theories, resulting in data-to-theory ‘back-fitting’. While back-fitting is a recognised method, it may not guarantee the most optimal and obvious fit with the theories. But the author has gathered all the material for this thesis, and he alone is responsible for any errors.

These theories are evaluated through fieldwork, focused on the immediate context: a multiple case study of three national CSACs, namely The Salvation Army Employment Plus department (TSAEP), Churches Together in England (CTE) and Redeeming Our Communities (ROC). The cases all have the capacity to help fill the growing gap in social service provision. Further, they represent an important research gap in faith-based provision. These were selected because they enjoy good reputations and appeared to be capable of growth and operational scale to increase third sector social action, and they recognised SE means as having potential missional benefits. These similarities aside, the participants are very different, as explained in Section 6.4.1.

CSACs follow standard governance and management practices, which typically amplify their faith-based motivations and practices and which may affect their resource bases. Biblical values promote a sense of accountability to a higher authority for the stewardship of resources and capabilities (e.g. Parable of the Talents, **Bible, Matthew 25:14-30**). However successful they may be in practice, such attitudes are easily misunderstood, but are respected here using an ‘engaged scholarship’ approach (**Van de Ven 2007**).

CSACs face challenges in terms of RBT and DCT both of which seek Sustainable Competitive Advantage (SCA). In undersupplied social services markets where margins are tight, competition is intense to perform better than rivals and thereby secure funding. This research suggests that inclusive social action can be expanded through doctrinally-motivated and locally-embedded CSAC mission, working with authorities and business.

Within this social action context some key terms are defined and discussed next.

1.2 Key Terminology and the Conceptual Framework

1.2.1 Key Terminology

Much of the terminology employed within this research arena is in common usage, but definition and clarification of terms which have specific meanings are useful. These terms are: charity, social entrepreneurship, effectiveness, mission, mission effectiveness and social action.

Charity

The concept of charity is drawn from the Latin word 'caritas', defined as: *Christian love of humankind*' (OED 2014). This meaning is extended to consider general, legal, Biblical and faith-based aspects:

General: First, in general terms, the OED (2014) defines charity as:

'an organization set up to provide help and raise money for those in need (e.g.) the charity provides practical help for homeless people (Synonyms: **non-profit-making organization**, non-profit organization, not-for-profit organization, voluntary organization, charitable institution; fund, trust, foundation, cause, movement), and *'the voluntary giving of help, typically in the form of money, to those in need'*. In this research the terms nonprofit and not-for-profit are interchangeable.

Legal: Second, in legal terms applicable in England, a charity is an institution which is: *'established for charitable purposes only'* (Charities Act 2011: s1, ss1 (a) and (b)). Charitable purposes are those which are for the **public benefit** (s2, ss1 (b)). Elements directly relevant to this thesis are listed in Section 3, Sub-sections 1 and 2, e.g.: a) the prevention and relief of poverty, and b) the advancement of: education, religion, and citizenship or community development. "Religion" includes:

*'a religion which involves belief in more than one god, and
a religion which does not involve belief in a god'*

Thus religion and gods are widely defined, potentially extending to include humans (e.g. Roman emperors, Kim Jong-Il) and supernatural beings (e.g. angels, demons). Typically, CSACs register for relief of poverty and advancement of religion.

Biblical: Third, a Biblical understanding of Christian charity is vital to interpret its common use in CSACs. Their authoritative text is the Bible, often emphasising New Testament (NT) guidance for believers. Many well-known verses referring to caring for 'neighbours' use the Greek word 'agape' or 'love', rather than the Latin 'caritas':

'love, in the NT usually the active love of God for his Son and his people, and the active love his people are to have for God, each other, and even enemies...' (Tecknia 2014)

CSACs are both similar to and distinct from other social action charities. Why? Because of the faith-based spiritual dimension as applied by these charities. Notably, cultural understanding of charity in England is rooted in the Biblical view.

Faith-based: Here general characteristics are used to compare religious and secular charities: **'faith-based** affiliated with, supported by, or based on a religion or religious group: **faith-based charities.'** (Dictionary.com 2014).

Christianity is the most frequently encountered faith in England, uniquely tolerant of other worldviews and religions. For many centuries biblical language and values have influenced worldwide mission and English society, where charities play an important role:

'Faith-based charities form a significant part of the charitable sector. The beneficiaries of these charities can be counted in their millions, and they make a huge contribution to communities across England and Wales.' **Charity Commission (2014)**

For millennia, Judeo-Christian faith has provided a powerful vision for a fair, inclusive and caring society, one which has arguably benefitted societies across the world. This vision became established in law, and engenders compassionate mission, expressed through social action for the common good. Mission may be conducted through charitable means supported by donations and grants, and/or through SE means which generate income from social purpose trading. As philanthropic funding shrinks, many charities are considering SE means to achieve their missions sustainability.

Social Entrepreneurship/Social Enterprise (SE)

Confusingly, the term ‘social entrepreneurship’ is variously and broadly defined, but for clarity the **Kickul and Lyons’ (2012:19)** view is adopted:

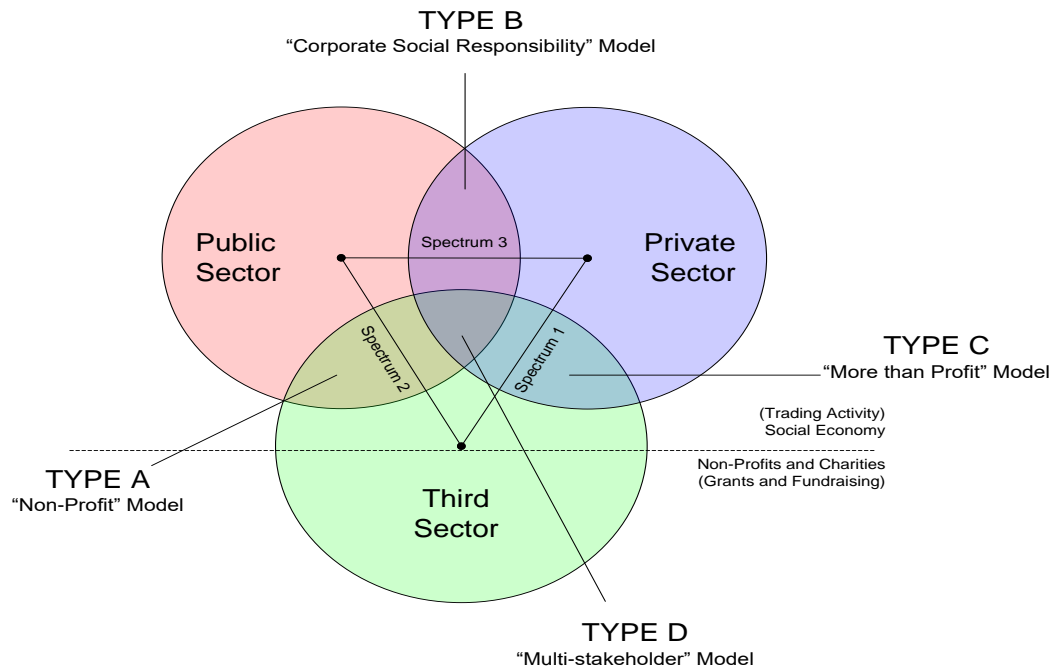
‘the practice of social innovation which adds value to people’s lives by pursuing social mission, using the processes, tools, and techniques of business entrepreneurship, and putting societal benefit before personal gain by using the ‘profits’ generated by this enterprise to expand the reach of the social mission’.

However, trading to generate taxable profits is not the main SE focus here, although some charities seek to expand their limited trading activities into taxable profit. Rather, the literature consistently highlights entrepreneurialism for creating social value through *proactivity, risk-taking, and innovation* – by SE means, e.g. **Donohue (2011)**. Further, SE uses *‘the processes, tools, and techniques of business entrepreneurship, and putting societal benefit before personal gain’* (**Kickul and Lyons 2012:15-20, 34-35**). Despite popular hype, **Diochon and Ghore (2016)** hold that entrepreneurs and their contexts are co-created. Nonetheless, SE’s hegemony as a panacea for social problems (**Dey et al 2016**) is rejected by some (**Dey and Teasdale 2013**). Further, **Newbert and Hill (2014)** posit that SE should only be used where real social value is created.

The definition of SE emphasises value creation based on business entrepreneurship to achieve societal benefit. Alternative definitions sometimes include fiscal implications in the UK, Europe and the USA (e.g. **Brooks 2008, Doherty et al 2009, Nicholls et al 2006, Nyssens et al 2006, and Ridley-Duff and Bull 2011**). The entrepreneurial ability to maintain social purpose mission while generating trading income from trading is central to sustaining and developing ‘capacity’ (i.e. the ability to perform: **Walters 2007:2**). SE means (proactivity, risk-taking and innovation) are posited as drivers for mission effectiveness. SE activity in the wider economy is modelled using four types, namely A: Non-Profit, B: Corporate Social Responsibility, C: More Than Profit, and D: Multi-stakeholder. Most CSACs are ‘non-profits’, many of which could ‘trade’ with the public sector so here the term ‘SE’ here describes ‘Non-Profit’ (Type A, Figure 1.1).

Mission Effectiveness and Social Entrepreneurship:
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in England

Figure 1.1. Venn diagram showing inter-sector relationships around social enterprise. Source: Ridley-Duff and Bull (2011) *Understanding Social Enterprise: Theory and Practice*



SE increases sectoral 'blurring', with businesses recognising 'social' responsibilities and government devolving social responsibilities. It is argued here that SE emphasises on performance to enable SCA can be accommodated within CSAC's value systems.

Effectiveness

A business definition of effectiveness is offered by the **Business Dictionary (2014)**:

The degree to which objectives are achieved and the extent to which targeted problems are solved. In contrast to efficiency, effectiveness is determined without reference to costs and, whereas efficiency means "doing the thing right," effectiveness means "doing the right thing."

In this research the term 'effectiveness' is used in two ways. First, it describes the general understanding within nonprofits of '*doing the right thing*' to make a positive difference. Second, it is used specifically for CSACs in terms of achieving their religio-social missions to achieve desired outcomes and impacts. Success in achieving spiritually-motivated social outcomes and impacts demonstrates effectiveness in CSACs.

Mission

The term 'mission' is still used in both the religious and secular contexts as: '*the vocation or calling of a religious organization, especially a Christian one, to go out into the world and spread its faith.*' (OED 2014). However, the common business use of the term expresses an organisation's core purpose and focus, or what it seeks to achieve - its 'raison d'être'. Mission is defined for business as: '*an organisation's core purpose and focus that normally remains unchanged over time*' (Business Dictionary 2014). Specifically in this research, CSACs are motivated by faith to undertake social action in order to achieve religio-social outcomes and impacts - results which demonstrate their effectiveness in achieving mission.

Mission Effectiveness

While faith is the indispensable spiritual motivator for CSACs, most do not seek to spread their faith by proselytising but rather by the example of their actions. Thus, to fulfil its religious calling and accomplish its mission, a CSAC must do '*the right thing*', often called '*good works*'. Mission effectiveness here describes the extent to which mission, as described in a charity's mission statement, is achieved.

Social Action

Two different but complementary perspectives are essential for CSACs. The first perspective relates to an official view of what social action is.

'Social action can broadly be defined as practical action in the service of others:

- carried out by individuals or groups of people working together
- not mandated and not for profit
- done for the good of others - individuals, communities and/or society
- bringing about social change and/or value' (Cabinet Office 2014).

The second perspective relates to recognised roots and fruits of social action:

'For we are His workmanship, created in Christ Jesus for good works, which God prepared beforehand that we should walk in them.' **(Bible, Ephesians 2:10)**.

Social action/good works are evidenced by good fruits or social outcomes and impacts:

'You will know them by their fruits. Do men gather grapes from thorn bushes or figs from thistles?' **(Bible, Matthew 7:16)**, or more specifically as:

'Outcomes – changes to people resulting from the activity e.g. increased income, improved life.

Impacts - outcomes less an estimate of what would have happened anyway'

New Economics Foundation (2004:4)

Thus, for the purposes of this research mission effectiveness in CSACs is defined as:

*'CSACs achieving their faith-motivated mission to good works/**social action** which produces good fruits/**social outcomes and impacts**'.*

Mission is realised through social action, directly (provision) or indirectly (facilitation).

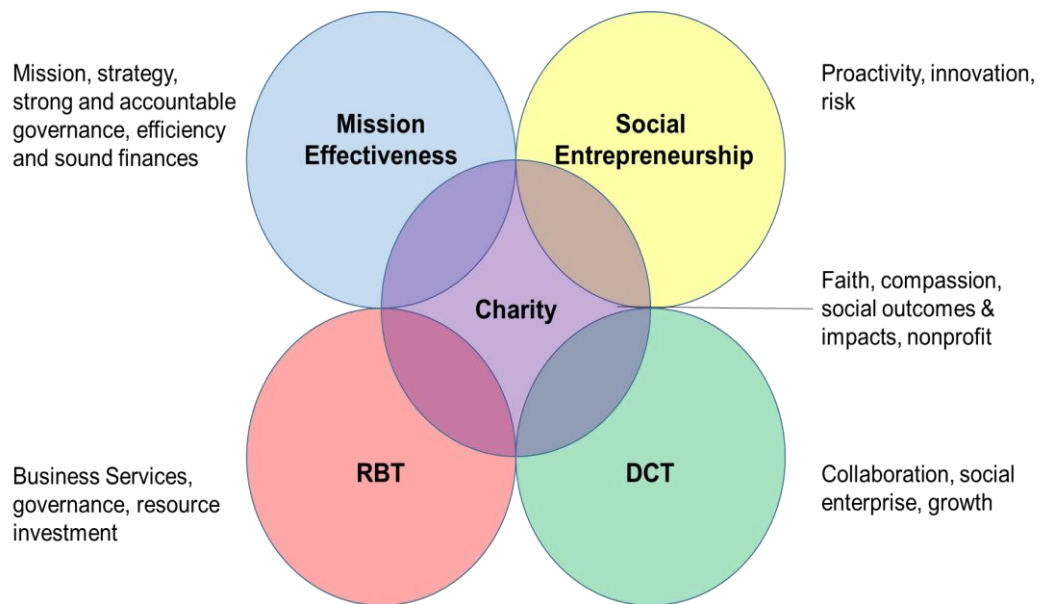
Next, the Conceptual Framework outlines the relationships among the theory-based conceptual constructs, which are categorised as dimensions, themes, and strands.

1.2.2 Conceptual Framework

To ground this research, two mainstream management theories provide conceptual constructs selected from RBT and DCT. These theories are described in more detail in Chapters 4 and 5. Both address resource and capability drivers of SCA in competitive markets, but in different ways as appropriate in different market conditions. RBT emphasises the maintenance and sustainability of firms in competitive markets through the optimization of unique heterogeneous ordinary resources to achieve superior performance. DCT extends these principles to sustainable growth in turbulent competitive markets through the development and deployment of advanced capabilities to achieve scalability. An overview of the main inter-conceptual relationships selected for this research is depicted in Figure 1.2.

Inter-conceptual Relationships around Charities

Figure 1.2



Theory Dimensions:

RBT and DCT are respectively explored through two *dimensions*: performance and scalability. Performance is here defined as: ‘*The accomplishment of a given task measured against preset known standards of accuracy, completeness, cost, and speed...*’. **Business Dictionary (2014)**. Similarly, scalability is defined as: ‘*able to be changed in size or scale*’ (**OED 2014**). In this research, growth refers to increasing firm size, and operational scalability to increase social outcomes.

Theory Themes:

To give meaning to the main theoretical dimensions, six *themes* are deployed. For performance through RBT: business services, governance, and resource investment; and for scalability based on DCT: collaboration, social enterprise, and growth.

In order to identify potential causal relationships between these constructs, they are arranged as: Inputs > Processes > Outputs > Outcomes > Impacts (**NEF 2004:4**):

'Inputs – resources invested in your activity

Processes – a series of actions in order to achieve a particular result from activities

Outputs – the direct and tangible products from the activity e.g. people trained, products sold

Outcomes – changes to people resulting from the activity e.g. increased income, improved life

Impact - Outcomes less an estimate of what would have happened anyway'

Themes drawn from RBT and DCT link the three levels of conceptual constructs to the research objectives. They are also interrelated through strategic management.

RBT themes:

Business Services

Governance

Resource investment

DCT themes:

Collaboration

Social enterprise

Growth

Themes provide frameworks for the exploration and explanation of related strands.

Theory Strands and Manifestations:

Selected strands of RBT and DCT concepts are manifested in most concrete form at the bottom of the 'ladder of abstraction' in Figure 1.3. For brevity they are only listed here, and are explained more fully in the review of key theoretical literature in Chapters 4 and 5 where they engender a set of research questions.

These manifestations enhance performance through related themes:

Manifestations of RBT strands were identified in:

Performance Improvement Measurement & Management (PIMM) - is derived from *Business Services*

Mission Effectiveness and Social Entrepreneurship:
Theoretical insights and case-study evidence from three Christian charities
in England

Strategy for social outcomes and impacts (SO-SI), and policies and processes
Industry and firm performance for investment

Manifestations of DCT strands were identified in:

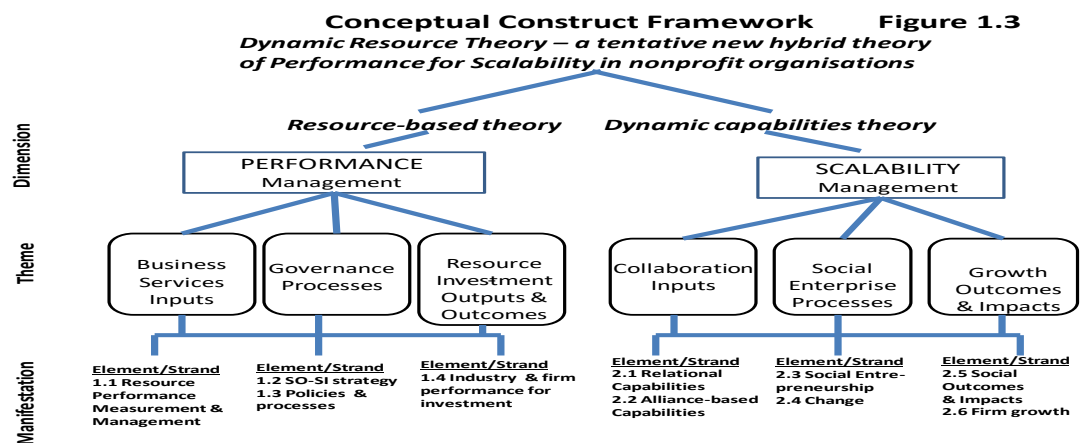
Scalability via dynamic strategic management to achieve firm growth – is derived from

Relational and alliance-based capabilities

Social entrepreneurship and change readiness

Social outcomes and impacts results

Key relationships between these conceptual constructs are depicted in Figure 1.3, which contribute to a tentative new hybrid Dynamic Resources Theory (DRT).



This conceptual framework combines what is known and understood about resources and capabilities in most charities/CSACs, while highlighting what is not known, or if known is scarcely represented in published research - especially research on CSACs. Most usefully, a discussion of existing and available resources reveals gaps and justifies this approach to main aims of this thesis - public benefit and fiscal savings. This timely application of mainstream organisational theory highlights the relevance of critical resources to social mission effectiveness. Next, the thesis structure is outlined.

1.3 The Thesis Structure

Structure is central to the coherence and intelligibility of any research. Within the scientific structure commonly used for social science research, this thesis is built around four frameworks (**Quinlan 2011**), the first of which is the Conceptual Framework, outlined in Figure 1.3. The other frameworks (theoretical, methodological and analytical) are discussed in later chapters. This thesis comprises nine chapters, in a logical sequence designed to contribute towards building a tentative hybrid theory.

The first part of this thesis section contains six chapters. It begins by introducing the research topic, and then goes on to explore what others have said about it before addressing the methodology which determines how the empirical research is conducted.

The second part contains three chapters. It explains how the data was acquired, analysed and interpreted before considering the implications of the data findings in the light of prior research for practitioners, policymakers and future research.

Chapter 1 introduces this research by explaining why it is relevant, and outlining the theory-based conceptual constructs that provide scope for examination and evaluation. Chapter 2 illuminates the research aims and objectives that drive this research. Then Chapters 3 to 5 follow with reviews of the contextual, theoretical and empirical literatures, to reveal literary gaps which invite new theory. In Chapter 6 an appropriate methodology is selected, employed, described, and explained.

Having initially justified the research, the following chapters address primary research, their findings and their potential relevance. Accordingly, within the second part of the thesis, Chapter 7 discusses the processes and the results of the data collection, evidential analysis and findings to reveal the functional and operational nature of CSACs in terms of SE. Then in Chapter 8 follows a review of the propositions and case-by-case evaluation and interpretation of the data findings to elicit a customised theory of mission effectiveness, grounded in practice which suggests policy implications. Finally, in Chapter 9 reflections on the research journey and its limitations are offered alongside observations about current research trends and suggestions for further research.

1.4 Chapter Summary

This first chapter introduced the present research to be undertaken and noted its uniqueness. Section 2 provided definitions of the key terminology, and embedded the research in its theoretical/conceptual framework. Prior to summarising, Section 3 outlined the thesis structure which comprises two parts and nine chapters.

This chapter has set out the approach for this research, unfolded in Chapter 2 by the overarching problem and question, aims, objectives and propositions.

2. THE RESEARCH AIMS, OBJECTIVES, MOTIVATION AND SIGNIFICANCE

2.1 Introductory Comments

The first chapter referred to decreasing government social service provision in the face of rising need leading to increasing provision by charities and SEs, contextualised in three national CSACs. Key terminology followed, conceptually framed by RBT and DCT. Chapter 2 sets out the main stimuli for the thesis. This research emerged from contextual observations, and now frames an approach to find evidence for new theory.

This research aims to provide academic knowledge and practical guidance in terms of mission effectiveness and SE. Initially the research problem justifies this research, while the main research question seeks answers that aim to, at least partially, solve the problem. This question has its genesis in the overarching proposition driving this thesis, which posits that CSACs can be more effective in delivering their missions.

Chapter 2 comprises five sections. In the next section, the research problem is stated and justified followed closely by the main research question. Research aims, objectives and propositions offer means to address the problem in the third section. In the fourth section, the motivation, relevance and significance of this unique contribution to knowledge are explained. The chapter is summarised in section five.

2.2 Research Problem and Question

Social service providers in England face major problems of growing social need, diminishing resources, increasing regulation, and growing evidential requirements to attract funding; serious challenges at a time of decreasing public trust in the political process and questions over the long-term benefits of some charity and forprofit activities.

Questions arise as to who can provide these services in the future and how they will do it. Serving the poorest and most marginalized people in society is unlikely to be profitable unless the government provides subsidies. Currently some large corporations (e.g. SERCO) enjoy significant subsidies for utilizing their financial and operational infrastructures to provide services. Public service privatization seeks independent, sustainable businesses, e.g. Remploy Employment Services (**BBC News 2014**).

In a welfare environment where the government is the largest funder, funding tends to prioritise those problems perceived to be most important to the electorate. In hard times gaps appear in the provision available to those perceived as less needy (or even undeserving), evidenced by the growing number of food banks. It is in these less popular areas of welfare where CSACs could perhaps impact most effectively by improving performance and scalability.

2.2.1 The Research Problem

The main problem is one of the existing and expected future supply of social services being insufficient to meet growing and projected demand. Since the state-funded 'Welfare State' largely assumed responsibility for providing these services (**Bartholomew 2004**) from mainly religious and secular nonprofit providers after the Second World War (**Procashka 2006**), demand for services has grown. Government has recognised that its quasi-monopoly is unsustainable, so it has devolved service delivery to alternative channels while retaining overall control, notably through policies formulated in the Cabinet Office 'of the Third Sector' (later 'for Civil Society').

The macro-economic context is beyond the scope of this research, which focuses on defeating this 21st Century 'Goliath' using nonprofit social service provision, the 'David' being CSACs armed with SE means and methods. Stated broadly, the research problem is *'the current lack of CSAC social service capacity in volatile English social markets'*.

2.2.2 The Research Question

The challenges of stretched resources and increased competition are driving even the most effective value-driven CSACs (about which little is known) to increase performance and scale. To meet these challenges using SE means, the main research question is: *'How could CSACs in England be more effective in delivering their missions?'*

This main question is addressed through theory-based sub-questions (see Sections 4.7 and 5.7) to explore the potential of SE means to enhance mission effectiveness.

2.2.3 The Research Focus

As explained, additional social service provision is needed. Christians committed to social action are heavily represented across the third sector, which includes charities, many of which have their origins in faith (e.g. Barnardos and the Samaritans).

2.3 Research Aims, Objectives and Propositions

This section addresses the main research aims, objectives and propositions.

2.3.1 The Research Aims

This research aims to obtain insights into the social services sector, thereby yielding benefits to the public purse and mitigating some negative effects of fiscal retrenchment. The academic aim is to contribute to knowledge through the development of a tentative hybrid theory. This theory is designed to enhance performance and scale in charities through entrepreneurial approaches that optimise mission effectiveness.

In targeting both practitioners and policymakers this research assumes the existence of certain pervasive commonalities among key stakeholders. In the case of CSACs, their spiritual motivation and commitment to social mission were established alongside their regulatory compliance supporting public benefit.

Government policymakers seek to ensure that welfare reforms which encourage increased participation by the third sector are not deliberately discriminatory on the basis of religion while their contracts reward results. Similarly, some business sector policymakers are promoting strategically-aligned results-based social engagement.

2.3.2 The Research Objectives

To achieve these aims, RBT and DCT provide the theoretical framework for conducting the empirical research through objectives. The main Objectives (O) for achieving the research aim and answering the research question are:

O1 To identify and evaluate via a desk review insights into the main strengths and weaknesses in two theories (RBT and DCT) which underpin SE as applicable to CSACs. Objective 1 is supported by Appendices 1-2, and is met in Sections 4.6 and 5.6.

O2 To describe and empirically reveal insights from case-study evidence into the functional and operational nature of CSACs in terms of SE in the light of RBT and DCT. Objective 2 is supported initially by Appendix 3, and is fulfilled in Section 7.5.

O3 To develop and present, from appropriate empirical case-study evidence, a hybrid theory of mission effectiveness for application within CSACs. Objective 3 is met in Section 8.4.

A consideration of the strengths and weaknesses of RBT and DCT (O1) helps explain commercial factors affecting social markets, particularly competitive principles.

To ground this theory-based research in the experience of practitioners, standard research design and methodology are deployed to provide evidence (albeit limited and time-bound) of the functional and operational nature of CSACs (O2).

Finally, a contribution to new customised theory is offered, based on a model which takes into account CSAC idiosyncrasies (O3). This explanation could be useful for other nonprofits considering SE means.

An overview of theory-based strands, objectives, propositions and questions is shown in the Objectives Matrix, (Appendix 1), and further discussed in Sections 4.7 and 5.7. These objectives were engendered by the literature (see Appendix 2), and realised by pursuing sub-objectives which link the theoretical strands with the research questions (see Appendix 3). Objectives ground the research propositions.

2.3.3 The Research Propositions

The overarching propositional driver holds that CSACs could play a more effective mission-centric social action role by deploying some SE means and methods. Tentative support is derived from theoretical dimensions for the main Propositions (P).

P1 : that when SE means are supported by **resource-based** social performance results to exploit economic opportunities, then mission effectiveness in CSACs improves. This proposition is viewed through the lens of RBT by identifying and evaluating participants' approaches to performance.

P2: that when SE means are supported by strategic **dynamic capabilities** to improve social outcomes and impacts and realise organisational growth and subsector scale, then mission effectiveness in CSACs improves. This proposition is explored through the lens of DCT which provides the framework for identifying and evaluating participants' perceptions of and approaches to growth.

These main propositions are broken down into theory-based thematic macro and sub-propositions (see Appendix 4). They were developed from observations in charities, theoretical and empirical and literary resources, and writing for academic conferences. A brief explanation may be useful:

Beneficiary-centric mission was always central in donor-funded faith-based charities, often alongside a deep-seated suspicion of business enterprise means and methods to sustain economic viability. However alien in the experience of CSACs, notions of optimising strategic performance of ordinary resources and capabilities (P1), and competing to generate 'trading income' by selling services based on demonstrating social impacts are endorsed by Biblical exhortations (e.g. **(Bible: Matthew 5:16, 6:1)**). Further, hard times demand optimal performance from core VRIN/VRIO (Valuable, Rare, Inimitable, Non-substitutable/Organisational) resources. These points justify RBT-based efficient and effective performance in P1.

The second main proposition (P2) addresses scaling up CSACs through strategic value creation based in SE means. While thrift and hard work to produce public benefit are

typically embedded in CSAC culture, risk-averse stewardship concerns often eclipse innovative entrepreneurial aspirations. Where dynamic capabilities are lacking this approach is probably wise, but it also may avoid the necessity of developing and deploying such capabilities to meet increasingly turbulent social market conditions. Here it is posited that CSACs can improve mission effectiveness by adopting appropriate SE methods (e.g. collaboration), which facilitate growth and scalability. Thus businesslike expansion serves to extend their missions to meet social needs. DCT supports risk-managed entrepreneurial development, growth and scalability (P2).

These main propositions assume that mission-centric social outputs, outcomes and impacts are central to effectiveness. Thus the main research drivers are outlined. Next the importance of this thesis is discussed.

2.4 Research Motivation, Relevance and Significance

In the light of the foregoing approach to building theory to address the research problem, motivation, relevance and significance are discussed next.

The author's motivation is of considerable importance, as it must be balanced by impartiality and objectivity to the extent that his conscious mind can achieve. This is because the relevance he attributes to this research supports its purposive nature for sub-sector scalability through organisational growth, in accordance with government calls to expand nonprofit social action, through SE means where appropriate. Significance is found in the research aim to assist service providers and policymakers.

2.4.1 Spiritually Motivated Social Action

Motivation arises from a combination of challenges emerging from the rapidly changing social services market, some of which could be partially met by CSACs. It is arguable that fiscal decisions to reduce welfare budgets have long-term and potentially irreversible effects on the structure of social provision in England, at a time when institutional scandal, corporate excess and nonprofit fundraising misdemeanours have damaged public trust. Notwithstanding current socio-political trends, CSAC commitment to serve

the poor remains strong. English culture has deep roots in Judeo-Christianity, which despite the many failings of its proponents has promoted equity, equality and enlightenment for the benefit of all. Faith also serves as an antidote to anxiety.

Committed and nominal believers, along with large numbers of sympathetic followers of secular humanism and other faiths, represent a vast reservoir of latent goodwill towards fellow citizens in need, as demonstrated by **Putnam (2000)**. Although far from perfect, CSACs typically epitomise selfless service to the needy, described as: '*You are the light of the world... the salt of the earth...*' (**Bible: Matthew 5v15-16**).

2.4.2 'For Such a Time as This'

Spiritual values and religion in general are relevant partly because they are gaining popularity in 'post-secular Britain' (**Atherton et al 2011**), where calls by successive governments to build nongovernmental social service capacity suggest opportunities for CSACs. Further, growing social needs in England elicit much concern in society at large, and especially within the Christian community which, according to **Birdwell (2013)**, is inclusively and proactively meeting social need. However, a 'review of research' (**Gough et al 2013**) is not possible because so little research has been conducted on CSACs.

CSACs typically espouse 'small "p" politics' aimed at improving the voice of the marginalised in matters of social justice. Uniquely, the Bible reveals an easily accessible, distinctively divine spiritual and eternal order, rather than, for example, a theocratic or atheistic territorial and temporal order, e.g.: '*My kingdom is not an earthly kingdom, if it were, my servants would fight...*' (**Bible: John:18v36**).

The relevance of this enquiry into developing CSAC effectiveness is thus strengthened by their faith-based altruism expressed for the well-being of all.

2.4.3 Trusting in Uncertain Times

Affordable social provision is important in these uncertain times when both public money and public trust are in short supply. Trust is a resource valued in both RBT and DCT, one which reduces costs and encourages investment. CSACs are often highly rated for trust, for example in The Salvation Army, St Mungo's, and Save the Children.

Significance is derived from explaining how some of the growing needs of people in England might be met by charities as government support is downgraded or removed. This research explores how CSACs could serve the common good more effectively.

Further significance is derived from the originality of this research. Certain combinations of elements are unique to this research, e.g.: this topic, RBT and DCT, multi-disciplinary and multi-sector literature, empirical fieldwork and new evidence.

In the final analysis, this research is significant if it contributes to society through more and better services, by proactively, inclusively and holistically promoting caring values.

2.5 Chapter Summary

Chapter 2 provided the building blocks for developing mission effectiveness in CSACs, which are examined using RBT and DCT as outlined in Chapter 1.

Following introductory comments in Section 1, the main research problem and question provided the focus for this research in Section 2. In Section 3 the means to address this problem through CSACs were presented and discussed as the main research aim, objectives and propositions. Next, Section 4 explained the motivation, relevance and significance of the research. This research is grounded in management theories which promote performance and scale to achieve mission effectiveness. These theories infer tentative causal links which lead to the development of propositions in the next chapters.

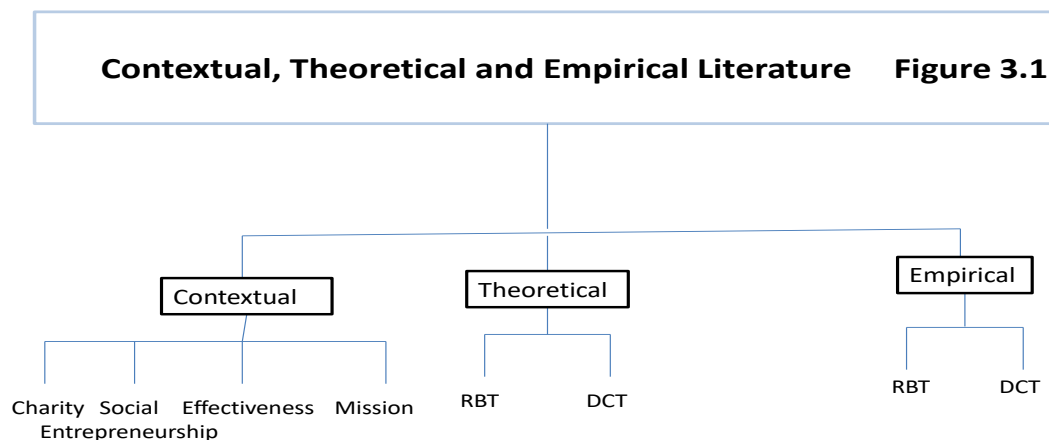
This chapter has set out the scientific approach adopted for the main research, and is followed in Chapters 3 to 5 by critical review of relevant prior literature.

3. A REVIEW OF CONTEXTUALLY-RELEVANT LITERATURE

3.1 Introductory Comments

In Chapter 1 four key context-related issues (namely mission, effectiveness, social entrepreneurship and charity) were defined and clarified. Then, in Chapter 2, the main research problem was identified and presented in conjunction with the main research question, objectives and propositions that shape this research (Appendix 1).

The purpose of this chapter is to undertake a literary review of the first of three selected literatures – i.e. context-related, theoretical and empirical literature. These literatures impact on the research question and propositions, enabling them to address strengths and weaknesses in RBT and DCT for this research. In Chapter 4 the theoretical and empirical literature relevant to RBT are considered. Similarly, Chapter 5 addresses the selected DCT-relevant literatures. These literatures are depicted in Figure 3.1.



The initial section of the chapter unfolds, with a broad literary overview of convergent literatures set within an historic framework, before considering journal articles which link SE with RBT and DCT.

Next follows a review of context-related literature addressing:

1. Mission
2. Effectiveness
3. Social Entrepreneurship
4. Charity

These main conceptual pillars are further illuminated by outline reviews of relevant literatures addressing charity effectiveness and CSACs.

The fourth section considers mainstream theories linked to effectiveness, in order to justify the selection of RBT and DCT rather than competing alternative theories.

The final section is devoted to summarizing Chapter 3.

3.2 A Broad Literary Overview

This section provides an overview of literary sources, a brief historical outline, and a review of journal articles which link SE with RBT and DCT.

3.2.1 Multiple, Convergent Literatures

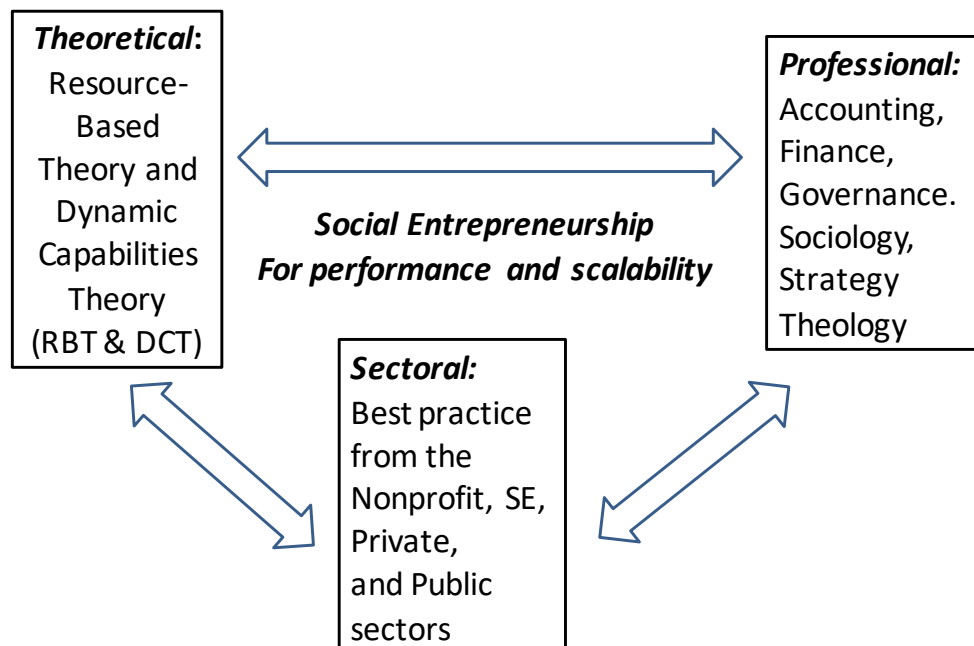
A wide range of literatures from diverse sources (see Figure 3.2) converge as the boundaries between economic sectors blur, as depicted in Figure 1.1. **James (2007)** and others highlight problems arising in affluent economies like England as a widening 'wealth gap' invites dissatisfaction with ethical standards in business and public life, leaving many searching for the certainty of a moral compass as suggested by **Atherton et al (2011)**. **Bartholomew (2004)** notes that this malaise often accompanies a sense of moral obligation to the needy, coupled with frustration that the welfare state has departed from its original 'safety net' role. This context demands effective charities.

These social and economic costs, combined with an awakening to the dangers of environmental catastrophe, have given impetus to innovative overlapping and reshaping of traditional boundaries (**Nicholls and Murdock 2012**) between the business, government and third sectors. Simultaneously the evolving corporate social

responsibility/corporate citizenship movement (Sennett 2006) is gaining momentum in business, while the Thatcherite passion for business methods in government is facing reform (which Ferlie et al (2005) claim make it more collaborative). SE reflects these changes, as posited by Pearce (2003), who tentatively maps the complexity and positioning of the social economy in relation to the other two main economic sectors, where blurring boundaries elicit new social markets (Levenson-Keohane 2013).

Framing the literature for SE-based mission effectiveness has been challenging. Blundell and Lyon (2015) take an historical 'long view' of performance and scalability in social ventures, emphasising opportunity recognition, entrepreneurial adjustment and institutional structure. The breadth of the literature outlined in Figure 3.2 and the complexity of this evolving field produce a large amount of convergent literature which can be interpreted and employed for the benefit of CSACs.

Research Literature Sources Figure 3.2



3.2.2 An Historic Outline

Even before the articulation and development of current organisation and management theories, examples of effective nonprofit mission, social entrepreneurship, resource-based SCA and dynamic growth were evident. Indeed, a cursory historical overview reveals that effective, sustainable, income generating welfare systems have long existed in England, for example in monasteries since the 5th century. For the sake of brevity, this commentary on the long history of Christian social action in England is curtailed.

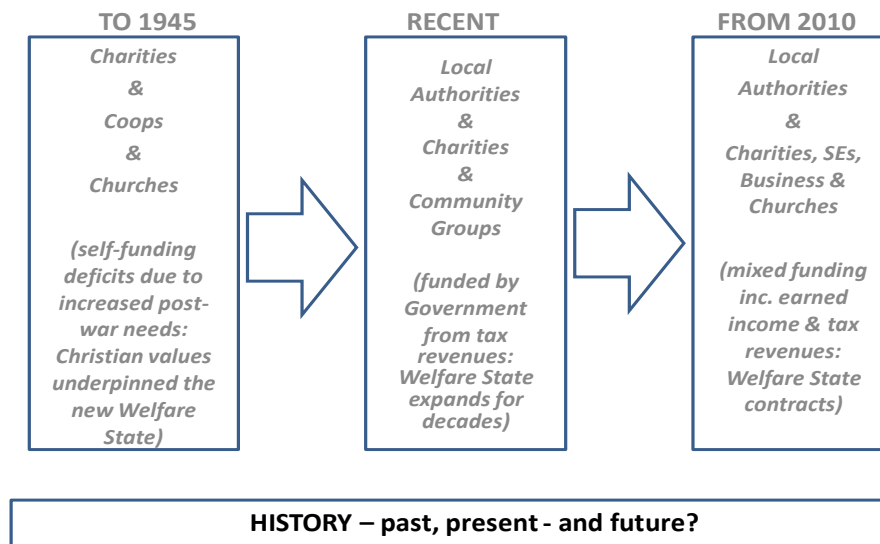
Mancoske (1987) observes that religious conviction has often engendered social change from times before St Francis of Assisi through to the present day. The seminal SE author **Bornstein (2004)** cites faith-motivated entrepreneurs including Florence Nightingale, alongside a range of other authors, for example Octavia Hill (**National Trust 2012**), and William **Booth (1860)** who founded The Salvation Army and pioneered employment services. Academics provide useful histories of modern developments, notably **Ridley-Duff and Bull (2011:22-28)**, who outline the quasi-monopolistic role of the Church until the introduction of The Poor Law in 1601. They suggest that SE in its modern form was recognisable in the early mutual and co-operative societies e.g. Robert Owen and the Rochdale Pioneers in 1844. According to **Nyssens et al (2006:28-29)** European secular nonprofit societies emerged from the control of the Catholic Church much later, and continue to play a central role in social services. **Elkington and Hartigan (2008)** reveal how SEs are creating new sustainable markets across the world.

SEs are distinct from charities mainly on account of their trade-based business model. However it remains alien to many charities, including CSACs. The Church's major social service role diminished with the introduction of the welfare state after World War II, when church ties with charities loosened and became more **ecumenical (Procashka 2006)**. According to some inter-faith fora e.g. **FbRN-Demos (2013)** recent reforms have changed the welfare landscape attracting some CSACs to provide SE services. Figure 3.3 suggests an emergent journey of change, which involves the re-entry of the Church into mainstream social service provision and collaborating with charities and business, under Government which retains oversight and responsibility for statutory services.

A Simplified Historical Framework for CSACs

Figure 3.3

A Journey of Change



3.2.3 A Review of Articles linking SE with RBT and DCT

As discussed, RBT and DCT ground this thesis. However, mission effectiveness in terms of SE lacks a systematic review as exemplified by **Gough et al (2013)** and **Lee and Nowell (2014)** in related fields. In pursuit of RBT and DCT references relating to SE and mission, five reputable charity/SE journals for the period 2010 to 2014 were selected for ease of online access (Table 3.1). Answers to two questions were sought:

What methods did other researchers employ and what did they find?

What gaps for theory development in this thesis were exposed?

Main sector journal references for RBT and DCT

TABLE 3.1

THEORY	JOURNALS 2010-2014				
	Social Enterprise Journal	Voluntary Sector Review	Nonprofit Management & Leadership	Nonprofit & Voluntary Sector Quarterly	Charity Finance
RBT	0 keywords 3 related articles 2 older articles	3 articles	25 articles	3 articles	0 keywords
DCT	0 keywords 1 related article	0 keywords	2 articles	3 articles	0 keywords 13 articles with related keywords

To summarise, the journal survey revealed:

1. most researchers used case study methods to explore nonprofit challenges;
2. despite variations, research findings corroborated the findings in this thesis;
3. the absence of references to the theories *per se* or to faith exposed gaps.

Other journals (which are not included) also responded to keyword searches, notably *The Strategic Management Journal* with articles covering multi-sector management issues and the prestigious academic *Journal of Social Entrepreneurship*. However, no journal articles were found that addressed the deployment of SE means to achieve mission effectiveness in CSACs, or indeed in other charities, exposing a literary gap.

Although academic texts addressing mission effectiveness and SE seldom refer to RBT and DCT *per se*, **Brooks (2008:88)** offers a case-based capabilities-resource model for SE. The scarcity of RBT and DCT references linked to mission effectiveness and SE persisted across the literatures, including the context-related literature, next.

3.3 Context-Related Literature Review

The key context-related literatures address mission, effectiveness, SE and charity. Then literary outlines are provided on charity effectiveness and CSACs.

3.3.1 Mission

To fulfill their religious calling or core purpose, CSACs must 'do the right thing' in terms of 'good works' effectively, and thereby achieve their missions. Mission shapes all aspects of an organisation's existence, and it can be variously achieved, including through SE means and methods. While CSAC visions for society may be similar, their missions usually vary, as revealed in 'owned' mission statements (**Grossman 2012**).

Measuring Mission Effectiveness: Where a mission is clearly stated, it may be possible to measure how effectively it is being achieved, depending on available data¹. Methods range from observing compliant actions (**Yankowski 2008**) through purpose-built frameworks (**Grabowski et al 2014**) to detailed assessments of performance including administration, programmes and fundraising (**Epstein and McFarlan 2011**). **Cordery and Sinclair (2013)** offer four approaches to assessing performance as a measure of mission effectiveness: economic, programmatic, strategic and participative.

Forbes (1998) presents a highly insightful 20 year study into effectiveness, concluding that the complexity of the work of these charities defies homogenised measurement beyond basic regulatory compliance. He recognises three approaches (pp184-185) to effectiveness: 1) goal attainment, 2) system resources (emphasising resource procurement), and 3) reputation (emphasising the opinions of key stakeholders). He notes the challenges faced by nonprofits in social measurement, their often amorphous and intangible goals, and the vexed question of whose effectiveness criteria are used. Finally he posits a fourth, emergent approach (pp195-198) which is organisational, context-specific and evolutionary. This approach suits SE means to mission.

¹ In this research the limited access to most internal information meant that mission effectiveness measures are based on published economic and strategic results in the light of CSACs' stated aspirations and mission statements.

In this research, effectiveness is recognised both in the general sense of doing ‘the right thing’, and in the specific sense for CSACs of achieving their missions through any aspirational outcomes and impacts declared in their mission statements.

3.3.2 Effectiveness

In general terms, effectiveness involves ‘doing the right thing’, i.e. mission performance reflects measured, comparable social outcomes. SE offers methods to ‘do the thing right’ (i.e. efficiently) and the charity stewardship ethos promotes ‘doing it at low cost’ (i.e. economically). In his authoritative text **Hudson (2009)** explains how efficiency, economy and effectiveness underpin successful charitable operations. The **Charity Commission (2008)** offers six generic elements of ‘best practice’ to achieve effectiveness: clarity of purpose and direction, a strong board, fitness for purpose, learning and improving, financial soundness and prudence, and accountability and transparency.

Although ‘public benefit’ is the broad official measure of charitable purpose and a corollary of SE, social impact theory itself is not fully developed. Rather, SE is closely allied to systems thinking (**Goldstein et al 2009**), as proposed by its originator **Latané (1996:1)**: *‘Dynamic social impact theory provides a view of cultures as complex systems exhibiting four forms of self-organization: clustering, correlation, consolidation, and continuing diversity’*. His theory comprises three basic rules: social impact is the result of social forces including the strength of the source of impact; the immediacy of the event; and the number of sources exerting the impact.

A wide variety of means and methods to achieve mission are revealed in the empirical research, which typically employs case studies. For example, **Crutchfield and McLeod Grant (2008)** recommend six not-for-profit strategies, including policy advocacy and shared leadership. By contrast, **Elkington and Hartigan (2008)** concentrate on corporate sustainability through strategy, investment, risk, and market products. Similarly, **Husted and Bruce-Allen (2011)** emphasise corporate social strategies, focussing on stakeholders, resources and capabilities, identity, measurement and evaluation. Although context-specific, these are relevant to CSACs.

Closer to the CSAC context **Mankoske (1987)** considers relationship and effectiveness in Catholic service charities. The combination of social work paradigms drawn from modern philosophies (e.g. humanism, utopianism, professionalism and public welfare) with Judeo-Christian charity philosophy exposed both conflicts and the Christian origins of social welfare (p5). As fiscal funding decreases, core values (including philanthropy) could drive interdisciplinary practice (pp8-9) to draw on empirically-based models.

Outcome measurement is only broadly addressed here, given the diversity of the cases. However, donor/funder performance perception is relative in the light of 'owned' mission.

3.3.3 Social Entrepreneurship

SE is a growing phenomenon. According to the leading SE body Social Enterprise UK (**SE-UK 2013a**), SE's contributed £24bn to the UK economy in 2013. However, the perceptions of government support for SE are often negative (**Guardian 2013**). Practitioners complain about a 'back door' approach to privatising social services on a local/regional basis (no longer country-wide) by offering lucrative contracts to large companies which offer economies of scale - at the expense of quality of service and beneficiary welfare. Competing with large corporations for government contracts is therefore problematic for charities. However, **Dey et al (2016)** reject the hegemonic positioning of SE in favour of alternative organisational forms which use affective political tactics. Regardless, success demands entrepreneurial means to mission effectiveness.

SE involves generating income through trading to achieve mission. Thus **Borgaza and Defourny (2004)** propose social and economic dimensions of SE internally and across communities, e.g. stakeholder benefits and the participatory nature of SE. Related factors including risk, autonomy and cost are particularly relevant in the CSAC context. Thus, any transition from charity to SE poses a number of challenges, including the necessity to embrace economic risk and democratic governance to achieve mission.

Kim Alter's contribution to a seminal SE text (**Nicholls et al 2006:205-232**) categorises SEs along a mission-motive to profit-motive continuum, in recognition of their dual objectives: social impact and earned income. Similarly, **Kickul and Lyons (2012:120-**

134) propose a spectrum of structures from pure not-for-profit through hybrids to pure for-profits with insights on e-philanthropy. To provide depth and global scope supported by case studies, **Elkington and Hartigan (2008)** describe three models: 1) leveraged nonprofits, 2) hybrid nonprofits, 3) and social businesses. Further large scale global solutions through social business approaches are promoted by **Duhu and Jeyaseelan (2010)** and **Yunus (2007, 2010)**. These frameworks and models provide insights for CSACs, which are archetypally mission-centric and run like other not-for-profits (**Torry 2005**), while practicing faith e.g. through prayer (**Chalke 2006**). While SE is not a panacea to the problems facing many charities (**Child 2016**), it affords opportunities for income generation which may be appropriate for some CSACs.

3.3.4 Charity

From the Christian social action perspective, **Mankoske (1987)** looks at Christian convictions in Catholic charities in terms of relationship and effectiveness through the lens of Kuhn's work on paradigm shifts in *The Structure of Scientific Revolutions* (1970). He provides insights into the formal secularisation in 1877 of charity as a scientific model for community well-being. Later, in a comprehensive quantitative research paper comparing social service providers with categories of needs, **Wuthnow et al (2004)** conclude that faith-based organisations (but not church congregations) serve largely the same needs as public welfare departments. While these distinctions relate to CSACs, not all of them relate to SE *per se* or directly to RBT and DCT.

3.3.5 An Outline of Relevant Charity Effectiveness Literature

Austerity has focused minds on charity effectiveness in general, and mission-centric effectiveness in particular. Foundational regulatory advice (**Charity Commission 2004**) grounds effectiveness in mission, strategy, strong and accountable governance, efficiency and sound finances. Likewise, social investors typically prioritise mission, performance capability, practices procedures and policies, good people, and the ability to mobilize others (**Exponent Philanthropy (2014)**). Similarly, **Guidestar (2005)** advises potential social investors to first examine charities' missions and programs, their (measurable) goals and performance evaluation *before* examining their finances.

In the above context, academic research reveals both generalised insights for all charities, and specific insights for faith-based charities. **Herman and Renz (2008:400-408)** propose nine general theses for effectiveness:

1. Always comparative (between nonprofits)
2. Multidimensional (requiring multiple indicators)
3. Related to board effectiveness (the authors are not clear exactly how)
4. Related to correct management practices (but no simple 'best practice')
5. Effectiveness is a social construction (reflecting stakeholders' 'reality')
6. No universally applicable 'best practices'
7. Organisational responsiveness is a useful effectiveness measure
8. Important and useful to distinguish between different types of nonprofits
9. The level of analysis affects understanding of effectiveness.

Lee and Nowell (2014: 304-309) offer an integrated performance framework using systems logic (from inputs to public value) and bounded by inter-organisational networks and institutional legitimacy. Through nine propositions (pp309-313) they link measurement to funding type and task programmability to environmental turbulence. **Roy and Karna (2015)** explain SE in terms of sustainable competitive advantage (SCA) based on internal development where environmental/institutional support is available (e.g. in England). Their comprehensive enquiry emphasised core resource value derived from founder networks and managerial experience. These enabled beneficiary-centric social innovations to compete and thereby achieve scale.

3.3.6 An Outline of Relevant CSAC Literature

While the theoretical, non-empirical and theory-related literatures offer a range of general insights, little is written about the work of CSACs. This may be partly explained by shared social objectives with other charities. **Faithworks (2014)** points out that CSACs play a largely unseen but nonetheless significant role in social service provision. To support this role, a small body of empirical Christian literature was identified which provides insights into spiritually-motivated socially-oriented mission, including **Allen (2006)**, **Booth (1860)**, **Chalke (2006)**, **Knott (2013)**, **Marsh and Currin (2013)** and

Matear (2008). For example Allen expounds a theology of societal mission, **Rusaw and Swanson (2004)** link church-based social good works with worship, and **Marsh and Currin (2013)** develop ecumenical unity through joint social action initiatives. A few authors offer limited management and context-specific guidance, for example **Chalke (2007)** and **Faithworks (2012)** on academies and housing, **Mawson (2008)** on community-based development, **Scheittle (2010)** and **Torry (2005)** on church-based social action, and **Tsukahira (2009)** and **Michell (1993)** on business-based faith at work. All these sources promote mission effectiveness.

Next, the selection of RBT and DCT to enhance mission effectiveness is justified.

3.4 Theory Justification and Selection

RBT and DCT are established management theories that examine the role of the ordinary and dynamic resources and capabilities controlled by organisations in order to achieve sustainable advantage in competitive markets.

3.4.1 Some Relevant Theories

Organisational and management theory affords a rich source of ideas most of which address effectiveness. For example, in relation to RBT, efficient task performance is positively correlated to goal setting theory, and effective organisational performance is affected by the relationship between resources and governance in stewardship and transaction cost theories. Similarly, in DCT, stakeholder and network theories inform collaborative outcomes, while entrepreneurial capabilities facilitate effective growth.

Several theories inform this research, although not discussed. Multiple constituency theory (**Campbell and Lambright 2016**) and wellbeing theory (**Farmer et al 2016**) are closely aligned to the social impacts now enshrined in regulations (**Harlock and Metcalf 2016**), and designed to promote community cohesion (**Seddon 20007**). **Young and Kim (2015)** explore change effects on sustainability and mission using resilience theory. Structuration and structural contingency theories are also relevant, given the different case participant structures (**Miles 2012: 313, 321**).

Social Impact Theory was embryonic at the time of writing, still drawing on the original propositions made by Latané in 1981. He predicted the potential social impact levels according to the social context, using mathematical equations. Since then scholars have contributed evidence to theory building (e.g. Alter, Dees, Drayton, Emerson, Grenier, Kerlin, Mulgan, Nicholls, Osberg, Teasdale, and Yunus), but no universal theory exists.

Power Dynamics Theory offers useful macro/external factors cross-cutting explanations of inclusion and exclusion to redress social injustices, with particular emphasis on access to and control of resources for the public benefit and beneficiary well-being (**Just Associates 2006:18**). Research sheds light on both internal and external policymaking.

Charities can also shape operating environments, for example through the added leverage afforded by Power Dynamics Theory. Further research in this area could strengthen current solutions to the growing problem of social inequality.

Institutional Theory reveals that institutions constrain organisations by exerting isomorphic pressures on them to conform to their customs, norms and culture. These pressures are categorised as coercive, normative and mimetic. (**Miles 2012**). **Pinch and Sunley (2015)** reveal coercive tensions arising between charity and market logics arising from dependence on institutional resources e.g. over 50% of sector income is government-funded (**Seddon 2007**). Normative pressures are typically evidenced by the need for professionalism to meet regulatory requirements (e.g. fundraising regulatory changes proposed in 2015). Mimetic pressures are evident when charities tactically imitate the language of SEs to access resources, while resisting government policy (**Dey and Teasdale 2015**). **Monroe-White et al (2015)** note that almost 50% of the variance factors in Kerlin's Macro-Institutional Social Enterprise Framework are country-specific.

Overall, the selection of RBT and DCT is justified on the grounds that resources and capabilities are closely related to nonprofit understanding of how to achieve mission-centric effectiveness. Further, they lend themselves to building hybrid theory to enhance performance and scalability.

3.4.2 Key Aspects of RBT and DCT

This research is premised on two mainstream management theories, RBT and DCT. What are their main ideas? What do they assume? What do they measure? What are the implications of deploying them in firms? To address these questions, a brief introduction to key aspects of both theories follows, taken here primarily from **Miles 2012 (217-223)** for RBT and **Miles 2012 (89-95)** for DCT.

Key aspects of RBT:

Main idea:

Miles (2012:217) notes that RBT describes how organisations compete against each other on the basis of their resources and capabilities. A resource is defined as anything that could be thought of as a strength of an organization. Examples include brand names; employee knowledge, skills and abilities; machinery and technology; capital; contracts; and efficient procedures and processes (**Wernerfelt 1984**). Competition reflects the similarities between their products/services, resources, capabilities and substitutes, and it is based on the rational selection, accumulation and deployment of these elements. Accordingly RBT argues that heterogeneous firms controlling superior resources can outperform competitors, by 'bundling' and managing resource 'pools' through value creating strategies to improve their market positions. SCA occurs when competitors cannot copy these strategies (**Miles 2012**).

Measures:

Barney (1991) characterises the superior or core resources and capabilities that an organisation controls as Valuable, Rare, Inimitable and Non-substitutable (VRIN). **Barney and Clark (2007:69)** later incorporated the VRIN model into an Organisational (VRIO) management framework. Management competences are a key resource enabling VRIN resources to produce better products/services and satisfy customers more sufficiently than those with inferior resources. Moreover optimal resource deployment enables charities with lower costs to create greater value and net benefits compared to less efficient competitors. Efficiency is measured in terms of net benefits, i.e. those that are left after the charity's costs are subtracted (**Barney 1991; Peteraf 1993**). **Miles (2012:220)** also lists publications on measuring variables in RBT. For nonprofits,

financial measures of net benefit for economic sustainability are supplemented by social measures. The identification and efficient use of resources is central to RBT.

Assumptions:

Barney (1991) highlights two assumptions: (1) organisations are heterogeneous within an industry and so may differ in their resources, and (2) these resources may not be mobile across organizations and so organizational differences in resources can be very long lasting. Importantly **Peteraf and Barney (2003)** narrow the application of RBT to an enterprise or business level, of analysis, as opposed to homogenous groups. Thus RBT efficiency-based improvements are 'bottom-up' for subsector scaling.

Implications:

The desirable position for an organization is to create an unique resource situation that makes it more difficult for its rivals to compete (**Wernerfelt 1984**). 'Further, organisations can achieve competitive advantage when they use unique, profitable, value-creating strategies' (**Barney 1991**). Thus RBT suggests that effectiveness in competitive markets is derived from the efficient use of unique resources in support of charities' missions.

To sum up, RBT seeks SCA through the efficient performance of core resources.

Key aspects of DCT:

Main idea:

'Capabilities are a collection of high-level, learned, patterned repetitious behaviours that an organisation can perform better than its competition' (**Miles (2012:89)**). DCT explains how organisations integrate, build and reconfigure their competencies (efficiently deployed abilities) into new competencies that match their turbulent environments. (**Teece, Pisano and Shuen 1997**). Thus, organisations purposefully create, extend and modify their resource bases for growth in turbulent environments (**Helfat et al 2007:4**). Market power is attained from organisations' efficient use of resources and processes to establish competitive positions. Past and potential future paths affect the development and deployment of superior capabilities to outperform rivals in rapidly changing markets

which reward adaptability, entrepreneurship and innovation. Charity effectiveness is enhanced when strategic dynamic capabilities are deployed to achieve mission.

Measures:

Helfat et al (2007) identified two yardsticks for measuring organisational capabilities: technical (internal) fitness, and evolutionary (external) fitness. *Technical fitness* refers to how well a capability performs its function divided by its cost, while *evolutionary fitness* refers to how well a capability enables the charity to compete successfully by creating, extending and modifying its resource base. Dynamic capabilities help a firm achieve evolutionary fitness (**Teece 2007**). **Miles (2012:93)** also helpfully provides details of publications on measuring variables in the theory. In this research, DCT provides a logical and effective approach to achieving persistent growth.

Assumptions:

The main theorists outline assumptions. For example **Teece (2007)** assumes that firms with greater dynamic capabilities will outperform firms with lesser dynamic capabilities, and notes that DCT has tended to incorporate Schumpeterian rents in its explanation of SCA (**Teece 2007**). **Helfat and Peteraf (2003)** point out that organisations have to use their capabilities in order to sustain their ability to use them. In other words, there is a “use it or lose it” assumption about an organisation’s capabilities over time. Further, **Miles 2012:91**) links outcomes to new strategies, noting that, according to Schumpeter (1911+1934), an entrepreneur will make profits (rents) because of innovations (‘strategies’) as long as other entrepreneurs are not able to copy those innovations. These assumptions highlight potential benefits available to charities from DCT.

Implications:

Miles (2012:95) concludes with advice to managers:

‘Firms that are best able to reinvent and match their competencies with the demands of their changing environment will outperform their competitors. Your task as a manager is to help your firm sense, learn, integrate and co-ordinate capabilities.’

This advice emphasises a potential role for DCT in helping in helping charities compete successfully in changing markets. CSACs operating in these turbulent environments can benefit from combining DCT with SE means.

3.4.3 Choosing the Theories

This thesis is a response to challenges observed in CSACs, some of which suggested market opportunities. RBT and DCT were chosen because they provide logical explanations and methods which relate directly to familiar manifestations of resource and capability use in nonprofits in order to help charities to reduce risk in market conditions.

Organisational *performance* and *scalability* were identified as enablers to help CSACs to become more effective. Competing theories posited alternative approaches and constructs that did not directly address the research gap identified to meet urgent current performance and scale requirements. The case for better, bigger services is compelling.

Charities and SEs typically prioritise social mission in thin (low-margin), undersupplied, competitive social markets where RBT and DCT can guide performance-driven sustainability. These theories promote effectiveness via three common synergistic premises: 1) they are based in the organisation's resource pool, 2) they promote the performance and scalability of resources and capabilities, and 3) they seek to achieve sustainability in competitive markets (SCA). SCA over the long term means that some CSACs, notably those without robust donor bases and/or seeking to expand, will need to attract funding in the face of growing competition. As mentioned, such funding increasingly follows strong, comparable but unique social performance results.

The theoretical and empirical literatures link RBT and DCT to SE and mission effectiveness. RBT claims that a firm's core resources should be employed to achieve superior performance and thereby achieve SCA. Equally, DCT argues that firms can achieve SCA in turbulent environments if they integrate, build and reconfigure their firm-specific capabilities. SCA is posited here as a vital means of sustaining and growing charities so that they can effectively achieve their missions.

3.5 Chapter Summary

Chapter 3 reviewed context-related literatures which are relevant to social Mission Effectiveness, Social Entrepreneurship and Christian Social Action Charities. The chapter introduced sources from multiple sectors and strategic disciplines within three literary categories: context-related, theoretical and empirical. The latter literatures are reviewed in connection with RBT and DCT in Chapters 4 and 5 respectively.

Following the introductory section (3.1) and literary overview (3.2), the main contextual issues were addressed in Section 3.3, namely: mission, effectiveness, SE and charity. Then RBT and DCT were selected and justified following a review of alternative theories

This chapter has paved the way for a review of the RBT literatures in Chapter 4, next.

4. A REVIEW OF RBT-RELEVANT LITERATURE AND DEVELOPMENT OF RELATED PROPOSITIONS

4.1 Introductory Comments

In Chapter 3 the three relevant literatures (contextual, theoretical and empirical) were introduced and the context-related literature was reviewed. The purpose of this chapter is to review the theoretical and empirical literature relevant to RBT.

Chapter 4 is set out in eight sections. In the next section the selected constructs within RBT are considered, before reviewing the theoretical literature. The fourth section reviews the RBT-related empirical literature. In the light of the theoretical and empirical literary findings, the fifth section assesses the relevance of RBT for mission effectiveness using SE means in CSACs. Then the strengths and weaknesses of RBT are assessed in fulfillment of Objective 1. Propositions and questions are drawn from RBT and justified in the seventh section, before summarising the chapter.

4.2 Conceptual Constructs

The conceptual framework depicted in Figure 1.3 (Section 1.2.2) outlined the conceptual constructs selected from both RBT and DCT, and their key aspects were introduced in Section 3.4.2. In this section the RBT conceptual constructs are discussed in detail to justify the selection of the dimensions, themes and strands. In Chapter 8 links between abstract dimensions and concrete manifestations of RBT strands are evidenced. Next, RBT literature is exposed and evaluated to identify gaps and new theory opportunities.

4.2.1 RBT Theory

As noted in Section 3.4.2, RBT describes how organisations compete against each other on the basis of their resources and capabilities with a view to achieving sustainable competitive advantage, itself a measure of effectiveness.

4.2.2 RBT Constructs

Conceptual constructs selected from RBT are discussed next:

Competition:

Competition at some level is inevitable, and varies between charities and their rivals. Sustained competitive advantage (SCA) occurs when charities create more marginal economic value than rivals in their industry, and when rivals cannot duplicate the benefits of this strategy. Factors positively (and negatively) affecting SCA include changes in technology, demand, and the broad institutional context.

Resources:

Resources cover a wide range of identifiable strengths in charities. Organisations are described as ‘bundles’ of productive resources whose value varies depending on the context in which they are applied (**Barney and Clark 2007:16**), regardless of whether core resources have been identified and evaluated for strategic allocation. Organisational heterogeneity (**Barney 1991:103**) and uniqueness (**Barney 2001:107**) differentiate them from rivals.

RBT Dimension

Performance

Performance is a term commonly used in management disciplines, often with different connotations. A business definition can be applied to nonprofits here: ‘*The accomplishment of a given task measured against preset known standards of accuracy, completeness, cost, and speed...*’. **Business Dictionary (2014)**. In CSACs this efficiency-based definition refers to spiritual-social outcomes.

RBT links performance to economic rents and firm growth as a result of controlling resources (**Barney and Clark 2007:9-28**). Thus SCA is achieved by optimising the use of core resources identified using a VRIO framework. RBT focuses on internally controlled strengths and weaknesses, aligned with external analysis of opportunities and threats to achieve competitive advantage (**Barney and Clark 2007:49-52**) in ‘strategic factor markets’ (where the cost of resources used to conceive and implement their product-market strategy is determined - p32).

Thus, RBT supports the effective performance of tasks in order to achieve competitive market advantage. For this thesis, three salient themes were drawn from RBT: business services, governance and resource investment.

RBT Themes

Several themes were present in RBT, and three were chosen for their relevance to the research aim: Business Services, Governance and Resource Investment.

Business Services

Business service inputs, e.g. systems, quality and performance management for planning and decision making are critical drivers of mission. **Barney and Clark (2007: 143-157)** recognise IT as a source of SCA, and posit five IT resource fundamentals, noting that only managerial IT skills are likely to yield SCA. **Teece (2009:185-197)**, writing on DCT, describes the importance of both technology and know-how (with particular reference to return on investment). Clearly systems efficiency and performance management information and skills affect service quality in charities.

Business services range from controlling finance to performance improvement in pursuit of mission-centric strategy (**Young 2012a**). Notably, PIMM supports optimal performance (**Hudson and Lowe 2009, Poister 2013**). **NEF (2004:6.2)** cites Tomorrow's World funding performance-based success to achieve social returns. Similarly, **Poffley (2010)** maximises social impacts by strategically aligning and allocating resources. Thus RBT and DCT both promote business services.

Governance

Good governance is vital for all firms, encompassing the decisions that define expectations, grant power and verify performance. Here its primary characteristics are performance, strategy, accountability and control, underpinned by three ordinary capabilities: culture, trust and human resources (**Barney and Clark (2007:79-142)**).

Managing risks to core resources involves incentivising employees to make firm-specific investments. **Barney and Clark (2007: 195-198)** note that major risks are posed by key employees, those who personally and even uniquely possess VRIN resources such as essential skills and strategic influence. These risks are mitigated by incentivising the employees to stay (NB: charities have sometimes collapsed when key employees left). Thus RBT aids the identification and management of VRIN/VRIO within governance, as required for the stewardship and safeguarding of charity assets.

Resource Investment

RBT draws from transaction cost economics to project returns based on pricing as it relates to unit costs (**Wernerfelt 1984**). For example, **Barney and Clark (2007:146-148)** discuss investment returns from ICT and conclude that small firms *'with apparently small debt capacity and few retained earnings, can overcome capital market disadvantages if they have access to the required IT investment resources and capabilities'*. While human capital is less tangible and controllable, a charity's trustworthiness may attract investment. Thus, RBT enables resource investment for superior performance and SCA.

The selected RBT themes emphasise economy, efficiency and effectiveness, through organisational functions, operations and strategy. RBT strands are discussed next.

RBT Strands

Strands are the most concrete manifestations of RBT selected for research questions.

Business Services: Performance Management

RBT suggests that firms must possess the architectural competence or 'complementary' resources and capabilities (e.g. structure, controls and policies) to successfully implement value-creating resource-based strategies in their pursuit of SCA (**Barney and Clark 2007:229-230**). For a resource to yield SCA, the cost of differentiating the product/resource for competitive purposes must be less than the cost to rivals of imitating its products (**Barney and Clark 2007:32**). Importantly for charities considering SE

means to mission effectiveness, they can identify which resources to develop by analysing their competitive environment and the resources they already control (p33).

Governance: Strategy for Social Outcomes and Social Impacts (SO-SI)

The role of governance on charity boards includes responsibility for mission-aligned strategy, in addition to safeguarding and optimising assets. Governance is also a critical factor in establishing cost-saving, reputation-building trust (**Barney and Clark 2007:97-111**). Thus it seems reasonable to assume that when SO-SI are prioritised in social action charities' strategies, as enshrined in mission, missions become more effective.

Governance: Policy and Process

RBT infers that internal and external policy and process are 'technical' requirements linked to the effective governance of unique firm resources in external markets, markets which are shaped by government policies. Conversely, DCT addresses 'evolutionary' dimensions of governance, particularly for entrepreneurship (**Teece 2009: 65-81**), and in relation to managerial processes (**Helfat et al 2007:2-3, 30-45, 46-64, 117-118**). In any case, charity governors mandate policies which should improve social results.

Resource Investment: Performance and Investment

RBT supports the principle that industry and firm performance and attractiveness are heavily dependent on social, economic and environmental performance results to guide resource investment decisions. The third sector and CSAC sub-sector are no exception.

Barney and Clark (2007 citing Barney 1986a) propose the strategic factor market concept, in which firms acquire or develop the resources they need to implement their product-market strategies. Where these markets afford perfect competition (and even if firms create imperfect competitive product markets), differentiated markets will not be a source of economic rents. This theory contradicts Porter's theory of industry attractiveness, i.e. persistent superior firm performance is explained by a firm's ability to enter and operate in attractive product markets. But how do thin social markets differ?

Numerous authors are cited (**Barney and Clark 2007: 230-232**) on the relative impact of both industry and firm attributes on performance. Overwhelmingly these investigations show that: *'firm effects are a more important determinant of firm performance than industry effects, although the relative size of these effects can vary by industry'*. The effects of investment in different types of resource on performance includes: firm history, employee know-how, integrative capability, innovativeness, culture, and network position (**Barney and Clark 2007: 232-234**). These insights apply to mission effectiveness.

The foregoing RBT constructs lead into a detailed discussion of the theory, next.

4.3 Theoretical Literature Review

RBT was introduced in Chapter 1, where selected elements of the theory were outlined within a Conceptual Framework in Section 1.2.2.

4.3.1 RBT Exposition

RBT explains how organisations can, through appropriate management of their resources, create and maintain differentiated sustainable positions in competitive environments. Seminal work emerged in the 1980s from Wernerfelt and in the 1990s from Barney. More recently **Jurevicius (2013)** and **Rothaermel (2016)** interpreted the theory in the context of current markets. Superior performance derived from core or VRIN (Valuable, Rare, Inimitable, Non-substitutable) resources was later improved to VRIO (O for Organisation) by asking if the firm is organised to exploit VRIN resources. Other questions arise, e.g.: what is value? which resources generate that value? how is it verifiably observed? how can it be measured so as to validate these observations? who determines which values should be prioritised? and on what basis should they be funded? The answers are context-specific to CSACs seeking mission effectiveness.

Wernerfelt (1984) defines firm resources as anything that could be thought of as strengths. Further, (**Barney 1991**) notes that core resources are said to promote SCA through value-creating strategies which improve efficiency and effectiveness. Resources are costly to imitate due to their dependence on the firm's history (path dependency), ambiguity as to how the resources add value (causal ambiguity), and the inimitability of

social factors, such as beliefs, values, culture and leadership (social complexity). Following the VRIN model outlined in Section 3.4.2, **(Barney and Clark 2007: 69-72)** introduced a VRIO framework, which recognises the Organisational processes that drive SCA. RBT promises much, but how applicable is it in practice?

4.3.2 RBT Evaluation

At the theory level, RBT **(Miles 2012)** primarily addresses for-profit organisations, thus revealing a gap in not-for-profit application. The theory simply tells managers to obtain VRIN resources without telling them how to, despite the fact that they have limited control over, and little ability to predict the value of these resources in the future. Furthermore, RBT addresses the allocation of 'ordinary' resources and capabilities that enhance SCA taking little account of real world complexity. Importantly, are core resources in CSACs necessary or sufficient to achieve SCA?

4.3.3 RBT Gaps

RBT is useful for optimal resource allocation in any organisation. However, three significant gaps were identified in the theoretical literature:

1. It refers to resource allocation, a practice best suited to simple/stable markets. However, in the increasingly complex, unstable and thin CSAC social markets, this approach may not fully optimise resources e.g. knowledge sharing.
2. It addresses forprofit economic profits while not referring to social returns/surpluses, many of which are long-term, intangible and hard to measure - while yielding significant benefits, e.g. confidence improves employability.
3. It does not link the costs of investment in performance to growth for sustainability in charities, while inadvertently commending profitable SE trading, e.g. linking resource investment for growth with returns and nonprofit surpluses.

When juxtaposed, charity tax benefits and sustainability through SE-based trading present dilemmas. For example, an emphasis on trading income could compromise the charity ethos and risk alienating loyal supporters, as well as incurring tax.

4.3.4 RBT Opportunities for Operational Theory

Despite its limitations, RBT offers a simple, pragmatic approach to sustainability and effectiveness in competitive markets. In particular the following opportunities link the CSAC environment with RBT:

1. Charities increasingly compete for funding (including performance-based contracts) against each other on the basis of their resources and capabilities.
2. Successful competition is directly affected by the efficient allocation of resources to reduce costs, increase surpluses and improve performance.
3. CSAC resources, notably the reputation and trust they typically enjoy, are not mobile and are usually long lasting, irrespective of whether VRIO resources are formally identified. But where they are monitored, they can be optimised.
4. The significant property holdings and low operating costs of many CSACs could be optimised to provide greater measurable net benefits, especially when combined with increased employee knowledge, skills and abilities.

Thus market competitiveness, unique resources, resource optimisation, and performance for SCA are sufficient to justify the selection of RBT to improve mission effectiveness.

Next, a sample of relevant empirical literature is reviewed.

4.4 Empirical Literature Review

Section 4.2 described RBT and identified in broad terms some opportunities it affords for building new operational theory. To this end some relevant case-based empirical literature was examined (see Appendix 5). Theory building requires that foundational concepts underpinning RBT are first considered, before being linked to related conceptual constructs. These conceptual constructs give rise to the propositions which later engender research questions. Thus RBT facilitates a tentative new theory.

4.4.1 RBT-Related Constructs

Competition and resources, the main concepts which characterise RBT, underpin competitive advantage by isolating and optimising the value-creating resources they control (**Barney and Clark 2007:56**) to create barriers to entry (**Magretta 2012**). In this research, RBT is operationalised in charities initially through performance.

RBT Dimension

Performance

Performance is a common term defined in Section 1.2.2.

Wilkins (2013) takes a general approach to charity effectiveness, proposing three 'best practice' approaches: tethering performance in mission, meaningful and appropriate data, and knowing the charity's community. Thus measurement and mission are linked.

RBT-related approaches to performance are widely reported in the business/SE literature relating to competitive advantage. For example in his 'five forces framework' Michael Porter describes exploiting competitive imperfections in product markets for SCA (**Magretta 2013**). Similarly, **Clarysse and Kiefer (2011)**, **SEKN (2006)** and **Othonen (2013)** promote competitive business performance methods to drive mission.

Social action charities have no choice but to prioritise social performance (their *raison d'être*), however that is expressed in their missions and through their activities. 'Making a difference' has become more measurable and more fundable as the social investment market emulates business investment in demanding auditable and comparable criteria around risks and returns. Good SO-SI results promote aspirations for social equality.

Social impact performance has organisation-wide implications. **Latané (1996)** the first proponent of 'social impact', initiates the debate on the relationship between performance and social impacts within the context of firm governance – a central relationship in key academic texts, e.g. **Kickul and Lyons (2012)** and **Ridley-Duff and Bull (2011)**. Drawing on cases in the USA, **Crutchfield and McLeod Grant (2008:6)** identify six nonprofit 'forces for good', prioritising inclusive 'win-win' solutions.

At the business service level where foundational data is captured and analysed, **Power (1997)** and **Paton (2003)** explain the pros and cons of performance measurement in resource-poor nonprofits. Performance-related investment is well represented by **Matloff and Chaillou (2013)**, **Puttick and Ludlow (2012)** and others, who emphasise producing specific performance results to appeal to the investors, donors and funders who can finance scalability.

The lack of CSAC-specific performance literature may be explained by plentiful generalisable information, so a gap exists to adapt general texts for CSAC needs.

Thus, performance is advocated in management literature. It is underpinned by three familiar thematic activities: business services, governance and resource investment.

RBT Themes

Three RBT themes stand out as being relevant to this thesis on the basis of experiential observation in charities:

1. Business Services – efficient support services target resource use.
2. Governance – allocates resources and capabilities for effective mission.
3. Resource Investment – secures and directs investment for effective operations.

Business Services

All firms are supported by business services which cover a wide range of disciplines, including IT, quality control, and human resources. Services range from controlling finance to performance improvement in pursuit of mission-centric strategy (**Young 2012a**). Notably, PIMM supports optimal performance (**Hudson and Lowe 2009**, **Poister 2013**). **NEF (2004:6.2)** cites Tomorrow's World funding performance-based success to achieve social returns. Similarly, **Poffley (2010)** helps charities to maximise social impacts by strategically aligning and allocating resources. Business services are thus performance-enablers.

Governance

To deliver value-creating strategies CSAC boards and senior executives govern through policies, processes, systems and culture to direct and control the charity. According to the charity regulator, mission effectiveness stems from strategic governance including vision, mission, values, accountability, roles and responsibilities (**Charity Commission 2012**) although government cuts are reducing regulatory support services (**Kennedy 2011**). Nonetheless, **Herman and Renz (2000:146)** found that more effective nonprofits are characterized by effective boards that use more recommended board practices, while aspects of effective governance in larger charities are revealed by **Hudson and Ashworth (2012)**. Helpfully **Hudson (2009:25-34)** offers examples of different board structures, while **Carver (2006)** explains the critical success factors for boards in depth.

VRIO resources include the strategic management capabilities and organisational policies that optimise resource use through the governance process. Thus, RBT is seen here as a governance process which can deliver superior performance in pursuit of mission effectiveness. Proverbially, 'success breeds success' in a virtuous cycle.

Resource Investment

Because money is the 'lifeblood' of firms, the performance of investments is important whether they are sourced internally and externally. In their seminal work **Barney and Clark (2007: 24)** propose four 'capital' categories: physical, financial, human and organisational. These core resources should create value in the form of sustainable economic and social returns, e.g. effective staff positively impact CSAC beneficiaries.

Investment in and of firm resources is a governance issue (**Sayers 2007: 54-62**) that typically reflects the realities of both the financial markets and the firm's operating environment. To counter investment risks, CSACs considering SE should appraise their operational priorities, funding sources, business models, plans and budgets, structure, the possibility of failure, and exit strategy (**Valentine 2014**). Socially responsible investment is developing rapidly (**Nicholls 2010**), heavily predicated on externally

verified performance results (**Power 1997**) and the security of adequate returns. Consequently, investors demand evidence-based assessment of known and projected resource performance. **Epstein (2008:81-84)** usefully links measurement and governance to social investment through sustainability indices (e.g. FTSE4Good).

Overall this RBT-related thematic literature suggests that market-based SCA based supports the case for SE in CSACs. Moving on from themes, a discussion of RBT strands follows next.

RBT Strands

In this section the strands selected from RBT (see Figure 1.2) are discussed and their inclusion is justified. These conceptual constructs or variables are manifested in day-to-day management activities which are analysed through a wide range of performance measures e.g. **NEF (2004)**. Apart from potential regulatory enforcement of impact measurement, it is important for survival and growth (**Levenson-Keohane 2013**) and essential for attracting social investment (**Bugg-Levine and Emerson 2011**). Thus performance, governance and investment are linked to mission effectiveness.

Business Services: Performance Management

RBT recognises ICT as a source of SCA, enabling the measurement and management of VRIO resources as a function of performance-enhancing business services:

*Sub-Objective 1.1: To identify, explain and evaluate the use of VRIO resource-based **performance measurement and management** by firms' business services.*

Performance measurement is predicated on organisational need, whether for management purposes or regulatory compliance. Accordingly data is obtained throughout the firm and is converted into information, often by outsourced business service specialists (**Economist 2012a**). According to **Armstrong and Baron (2003)** Performance Improvement Measurement and Management (PIMM) involves systemic routine cyclic objective setting (planning, acting, monitoring and reviewing). In

comparison, compliance requires minimal day-to-day reporting, but strategic decisions demand more comprehensive and complex data (**Poister 2003**).

Difficult-to-compare financial performance data derived from statutory charity accounts is widely used, for which **Morgan (2011:225)** offers useful insights when comparing accounts. Similarly, **Epstein (2008)** advocates comparable impact data. **Heiberg (2009)** promotes the development of better performance measurement to achieve higher rankings from ratings agencies (e.g. Charity Navigator). These suggest that reliable comparative data can enhance performance and SCA.

In their research into measuring efficiency and effectiveness in nonprofit performance, **Epstein and Warren-MacFarlan (2011:29)** adapt a 'causal linkage map' from systems logic to measure missional impacts. Such metrics are assisted by falling technology costs that render many PIMM systems for managing the VRIO resources affordable.

However, firms should only measure activities which reflect their strategic objectives (**Paton 2003**) in order to identify, value and manage their performance-enhancing resources, if necessary using bespoke adaptations of measurement tools. **Murray (2004)** extends Paton's findings to reveal that theory-based performance prescriptions are largely ignored in practice, while performance evaluation is a "negotiated interpretation of reality by all interested parties". Similarly, **Bengo et al (2016)** advocate collaboratively designed impact metrics to build vital trust resources, while **Yang et al (2016)** assert that public trust is enhanced by value similarities with fiscal services

Unsurprisingly PIMM has grown in importance across all sectors as a result of financial pressures arising from the Great Recession (**Loveless 2011**). **Ogain et al (2012)** show that 75% of charities were measuring some or all of their work, and nearly three quarters had invested more in measuring results over the previous five years. Given the cost of business services, charities may prefer to outsource or share these costs, according to accountants Ernst & Young (**Hill 2012**). **Nicholls (2013)** notes that all sectors compute the social impacts of public welfare programmes, and lauds the inclusion of materiality and judgement in social impact measurement as a practical approach to enhance value-

creating performance. Similarly, **Deerin (2010)** highlights the value of pragmatic performance data gathering for improving program models in preparation for upscaling.

A wide range of performance literature is helpfully reviewed by **Cordery and Sinclair (2013)** through four approaches: economic efficiency, programmes, strategy and participation. Other authoritative texts support the need for PIMM, explain where it is lacking, and provide advice and measurement tools to assist in its development. Noteworthy sources include **Caritas (2009)**, **Ebrahim and Rangan (2010)**, **Epstein and Yuthas (2014)**, **Nicholls (2009)** and **Wood and Leighton (2010)**. Suffice it to say that the literature informing organisational effectiveness offers guidance which can be adopted and adapted by CSACs regardless of any aspirations to become SEs.

Despite its potential as a management tool, PIMM has limits, as exemplified by Health Rights International (**Paton 2003: 146-151**). However, as comparable performance results are mainstreamed, more charities will align them with mission effectiveness.

Governance: Strategy (for social outcomes and impacts)

RBT posits that firm strategy is a key determinant of the effective deployment of VRIO resources, thus achieving mission effectively through the governance process. In CSACs mission-centric strategy benefits from a Social Outcome-Impact (SO-SI) focus.

Governance determines how charities deploy resources through governance processes in support of value-creating social strategies. Two strands of Governance are discussed:

*Sub-Objective 1.2: To identify, explain and evaluate **strategy** in terms of governance aspects of VRIO resource performance to achieve mission-driven social outcomes and impacts.*

To encourage 'best practice' the law imposes fiduciary obligations on trustees to direct the affairs of the charity, ensure that it is solvent, adheres to charity law and acts within the aims and objectives of the charity for 'public benefit' (**Charities Act 2011**). Further, charity effectiveness is an outcome of governance and management which optimise the

use of (VRIO) resources (**Charity Commission 2008**). Other empirical literature links strategically-aligned resource use to the achievement of missional goals (**Alavi et al 1999**) through impact reporting as noted by **Breckell et al (2011)**, who found that 65% of charities believed that PIMM benefits exceeded their costs.

Achieving social impact results is challenging, but advice is available to CSAC governing boards (e.g. **Economist 2011d**, **Economist 2012b**, **Goffee and Jones 2011**, **Kingsmill 2013** and **Charity Commission 2011**). The seasoned author **Leadbeater (2010)** cites a charity governance crisis which yielded 4 lessons for board effectiveness, and in another paper (**Kreutzer and Jacobs 2011**) board-management relationships are conceptualized through agency theory (controlling behaviour) and stewardship (coaching behaviour) lenses. **Cornforth (2001)** recommends periodic review of joint board-management working.

Charity and SE boards usually collaborate with management to create strategies which are then delegated to management for execution. For example, **Mintzberg et al (1998)** link strategy directly to outcomes through the management function. Similarly, **Magretta (2013)** and **Collins (2001)** emphasise the links between strategy, management, performance, resources and goal achievement. **Pfeffer (2010)** describes exercising control over resources, while **Eden and Ackerman (1998)** advocate multi-level performance reports aligned with mission to achieve strategic objectives. In **Hudson (2009:184)** the Royal British Legion case exemplifies competitive service strategies.

The literature links performance results to resources and to the strategic governance duty to achieve mission effectiveness, for example through policies and processes.

Governance: Policy and Process

Missional social impacts are achieved via governance-led policies and processes, so:

*Sub-Objective 1.3: To identify, explain and evaluate the role of governance in formulating internal **policy and process** in relation to external policy and process.*

The empirical literature significantly impacted the choice of this objective with examples of the importance of internal policies and processes to reflect and exploit external policies and processes (**Putnam 2000, Pearce 2003, Poister 2003, Nicholls et al 2006, and Goldstein et al 2010**). Internal policy formulation is addressed by **Anheier (2005)**, and **Doherty et al (2009)**, and within Charities and Companies Acts regulation.

In some cases policies are improved when beneficiaries (who are impacted by market reforms) and volunteers inform the process at board-level (**Hill and Stephens 2011**). Normally policies are implemented through procedures and processes which are periodically re-engineered (**Hammer 1988 and Hammer and Champy 1993**) as the environment evolves and new opportunities demand different responses from CSACs, including SE to confront 'the impossible' as advocated by **Dey and Lehner (2016)**.

Social market policy is mainly concerned with government social and tax policies (**Pharoah 2010**) and the redefinition of welfare *per se* through reforms (**Dwyer 2004**) that change the social landscape (**Pollitt and Bouckaert 2011**). These policies have produced a growing gap in public services which is eroding the infrastructure of frontline social services (**Charity Commission 2010; Murdock 2010**). Further, **Alcock (2010)** warns that the 'Big Society' policy environment could threaten the hitherto unitary concept of a 'third sector'. But will more effective social services emerge?

Government policy for partnering with civil society is framed within the Compact (**Home Office 1998**) agreed in 1999 and 'refreshed' in 2009. It comprises 3 elements: 1) shared principles; 2) government undertakings to act so as to implement these principles; and 3) mechanisms for implementing the principles and promoting activities consistent with the undertakings according to **Zimmeck (2010:126)**, who blames governmental lack of commitment for the Compact's failure to make more impact (pp127-128). **Macmillan (2011:115)** suspects government support as disguising hidden assumptions about how it would like the third sector to be different. Policy rhetoric should be interpreted carefully.

Highlighting the impossibility of legislating for the Big Society, **Teasdale et al (2012)** note policy trends towards scalable local voluntary and SE action aided by central controls. Despite these criticisms, new legislation may help improve relations with government, for

example, the **Localism Act 2011** and perhaps more importantly for the third sector, the **Public Services (Social Values Act) 2012**, which both devolve power to charities lobbying for fiscal accountability and for contracts. **Joshi and Houtzager (2012)** identify paths to greater public accountability, and similarly, **Holland et al (2012: 186-188)** seek improved public service inclusivity by integrating social accountability processes with socially inclusive service delivery and social mobilization. Thus, external policy presents both challenges and opportunities.

The literature provides several 'best practice' examples of policies and processes as part of strategic governance, many of which are applicable to CSACs, e.g.: in general managerial terms (**Bicheno 2004, Crutchfield and McLeod Grant 2008**); with regard to the UK fiscal environment (**Budd et al 2006, Dorey 2005, Ferlie et al 2005, and Flynn 2007**); in the UK operating environment (**Ashton 2010, Mawson 2008**); and globally, for example **Boyd-Macmillan (2006), Duhu and Jeyaseelan (2010), Nyssens et al (2006), and Yunus (2007)**. In an article on trends in multilevel and multiactor governance (**Budd et al 2006:84-93**) the authors predict that the roles of NGOs will grow, while those of governments will diminish. In any case, funder policies directly affect charities.

The foregoing discussion illuminates the role of governance in effective charities to align strategy and policy with external policies and processes to achieve mission. Next it is argued that good governance also prioritises performance to attract investment.

Resource Investment: Performance and Investment

RBT links industry and firm performance to attractiveness for resource investment decisions. In a meta-analysis of 192 empirical research papers on RBT, **Nothnagel and Mellewigt (2004)** the resource theme in performance and markets, but insights into VRIN resources were scarce, exposing a research gap for undersupplied social service markets. The final strand selected from RBT concerns resources in terms of investment:

*Sub-Objective 1.4: To identify, explain and evaluate the role of industry and firm performance in **resource investment** priorities and sourcing.*

As an 'industry', nonprofit social services are behind the private and public sectors in deploying PIMM. For most charities basic regulatory reporting has hitherto been the norm, but that is changing where investors expect higher levels of accountability and performance. A survey of the general public (**New Philanthropy Capital 2014**) was fairly evenly split between concern and indifference over charities' social impacts, but most respondents were concerned about excessive executive pay. Although not specifying employment costs, **Kaplan and Grossman (2010)** explain that when potential private investors are attracted to an 'industry' they are likely to select the most eligible investee firms for proactive relationships on the basis of a rigorous analysis of their performance. Clearly performance results affect industry and firm attractiveness for investors who can finance scalability.

Resource investment in charities can take many forms, for example: modernising equipment and buildings, improving staff skills, and developing stakeholder relationships. These resources are vital for SCA, but the investment link with income is also important. **Young et al (2010: 161)** note that nonprofits derive their income in different ways which are related to the various benefits the firm provides, suggesting: *'income strategy should be directly related to programmatic mission'*. In his research into benefits receivable and income/revenue streams **Young (2012b)** combines these two strategic objectives into a portfolio approach to social financing. Thus mission-centric program fundability is key.

Unsurprisingly, **McWade (2012)** notes that social investor motivations and expectations vary, and can be used by SEs to tailor their business models and plans towards attracting investment. Social markets are becoming more structured to reflect their private sector counterparts and attract private capital, so the expectation of standard comparable information grows in line with established investment principles (**Buffett and Clark 2008, Malkiel and Ellis 2010, and Lumby 1994**). But despite their high risk reputation SEs often require patient capital with lower rates of financial return (**Matloff and Chaillou 2013**). Notably, social investment is becoming institutionalised to meet growing market demand **Nicholls (2010)**, and typically favours SE approaches.

Risks, particularly to sustainability (**D'Silva et al 2015**) and reputation should be systematically and credibly assessed against recognised benchmarks (**Ridley et al**

2011) and balanced by governors (**Hudson 2010**). Charity boards prescribe investment policy and can also insure against a range of risks, including risks arising from changing their business model, e.g. from charity to SE (**Ecclesiastical 2012**). Professional risk management has been adopted increasingly (**Hopkin 2012**), and serves as a competitive differentiator (**Baxter 2010**). Thus risk-managed investment affects mission.

Charities trading within their registered purposes are not at risk of tax. However, tax incentives available to other social business types are relevant for SE investment decisions (**Heaney and Hill (2010)**). Despite access to reliable social investment advice (e.g. from the Charity Finance Group), some argue that social investment is complex, can involve compromises, and comes with too many strings. For example social impact bonds, dubbed '*impact investing*', (**Bugg-Levine and Emerson 2011, Eccles 2013**), which demand high performance standards from investees (**Puttick and Ludlow 2012**).

Charity tax exemption and SE tax incentives are included among investor selection criteria (**Heaney and Hill (2010)**). Similarly, both internal and external investment decisions are based on criteria which increasingly demand PIMM (**Levenson-Keohane 2013**). Her insights confirm the growing role of IT in fundraising (e.g. crowdfunding (**Lehner 2013**)) and collaboration with funders (**Third Sector 2012**). Philanthropists too can be important participative investors, whose motives (**Daly 2011**) are identified as either donor-centred or donor-controlled. Thus, to qualify for investment, investees should understand investors' needs to match their interests to the type and timing of anticipated resultant income (**Sullivan 2011**). SE means to charity mission effectiveness typically require external investment.

While this thesis does not address outgoing investment, **Fikkert and Mask (2015)** provide rare insights into church-based micro-finance provision.

In considering social investment into CSACs it is useful to note their relatively low fixed costs. Typically, external investors are attracted to economic, efficient and effective firms, which may require new business models and structures to meet investment criteria - thus incentivizing trade through SEs. The literature asserts that the social action 'industry' is attractive to investors who prioritise strong performance results.

Having considered the RBT strands, it is now possible to summarise literary gaps.

4.4.2 RBT-Related Literary Gaps

Next the theoretical constructs identified in the empirical literature are considered briefly.

The empirical literature includes material from different theories, economic sectors and management disciplines to reveal gaps where mission effectiveness is not addressed. Also the combination of RBT conceptual constructs exposes more literary gaps.

Performance is *sine qua non* for all competitive organisations. Here, the thematic literature suffices for business services, governance and resource investment.

Literature at the strand level revealed more gaps. Limited guidance was found on how to identify, value and measure resource performance, and links between specific resources and market-based performance were not addressed. However, strategy as the key governance driver for impact-based, mission-centric performance was comprehensively reported, albeit without taking into account charity-SE differences and faith-related issues. Finally, the literature on resource investment was adequate for enhancing for the trust-based SCA which is vital for effectiveness in CSACs.

But what are the limitations of RBT approaches? Apart from the lack of 'how to' guidance, RBT's focus on 'hard' economic value drivers highlights a lack of focus on the 'soft' drivers so important to social service users, e.g. quality of life and relationships. RBT offers guidance particularly suited to competition in stable/simple markets, and therefore lacks typical SE approaches to markets where proactivity, risk-taking and innovation drive competitiveness. However, RBT helps develop essential 'technical fitness' to produce social outcomes and impacts and improve effectiveness. Although CSACs receive little mention, general guidance is adaptable

4.4.3 RBT-Related Literary Consolidation and Synthesis

Business Services (RBT – theme 1)

To optimise firm performance, business services can measure, manage and improve the performance of VRIO resources using affordable PIMM systems to meet stakeholder expectations. Where VRIO resources are identified and managed, PIMM information can be used to assist mission-centric strategy formulation for charity effectiveness.

Governance (RBT – theme 2)

Good governance processes carried out within a regulatory framework determine the vision, mission, values, and strategies that shape culture, trust and human capital in CSACs. Notably, firm policies and processes frame how VRIO resources are inclusively developed and optimally deployed to achieve mission. Thus resources enhance SCA in charities operating in social markets shaped by external policies.

Resource Investment (RBT – theme 3)

Investment in firm VRIO resource capitals (human, organisational, physical and financial) is essential to improve performance and attractiveness for investment. To provide adequate financial returns in thin, undersupplied but nonetheless competitive social funding markets, CSACs should appraise their operational priorities, funding sources, business models, plans and budgets, structure, the possibility of failure, and exit strategies. Investment also facilitates scalability.

The following points synthesise the literature for CSACs considering SE methods:

1. CSACs must perform adequately in order to sustain income and maintain size.
2. CSACs can identify VRIN resources to improve mission effectiveness.
3. CSACs can measure and manage a VRIO framework to enhance social strategy.
4. CSAC governance can drive effective mission-centric social impact strategies.
5. CSAC policies and processes should fit external policy-driven markets.
6. CSACs can manage investment and risk-opportunity to improve fundability.
7. CSACs require resource investment to develop for long-term sustainability.

While these points derived from ordinary (RBT) resources and capabilities reflect technical fitness associated with simple/stable markets, they also underpin DCT.

4.4.4 RBT-Related Thematic Propositions

The research propositions derived from RBT are developed in this section. These propositions represent the conceptual constructs or key variables used to formulate the research questions. They are revisited in the light of theory-related empirical literature to illuminate their relevance to mission effectiveness and SE in charities.

Business Services (RBT – theme 1)

***Macro Proposition 1/a:** that when a firm's **business services** functions prioritise measurable performance, then firm effectiveness will be improved.*

RBT suggests that the measurement and management of VRIO resources is essential to efficiency and the pursuit of SCA. Business services provide the basic infrastructure for mission-centric operations, and can be deemed a prerequisite for developing SE in charities. Because RBT is an efficiency-based approach, business services which measure and manage performance are critical for resource optimisation. Importantly, IT-based PIMM produces performance reports for decision-making and quality service delivery, noting that IT management skills are capable of yielding SCA when they meet or exceed the expectations of key stakeholders. Overall the literature confirms the centrality of business services in terms of resource-based performance.

Thus the literature supports the proposition that PIMM improves performance.

Governance (RBT – theme 2)

***Macro Proposition 1/b:** that when firm **governance** formally manages the performance of VRIO resources, then risks will be reduced and long-term performance will be improved.*

Efficient allocation of scarce resources is a critical success factor in organisational performance. The governance process determines how resource use affects mission

effectiveness in both simple/stable markets where ordinary resources and capabilities may suffice, and complex/unstable markets which demand dynamic capabilities.

RBT promotes long-term PIMM-based performance by suggesting that firm governance requires architecture (e.g. structure, controls and policies) to successfully implement value-creating resource-based strategies. Mission-centric strategies determine the deployment of VRIO resources and capabilities, and governance processes mitigate risks to these resources (mainly the leakage or loss to rivals by key employees).

Although critics of RBT contend that SCA is not achievable, none deny that (*ceteris paribus*) good resource management improves long-term results. The empirical literature shows that statutory governance obligations to oversee strategy and steward assets require systematic resource management for effective competitive performance.

The literature confirms that strategic resource management through policies and processes reduces risk and improves performance, thus supporting this proposition.

Resource Investment theme (RBT – theme 3)

Macro Proposition 1/c: *that when firms' resource investment is based on robust evidence which demonstrates social performance, then investment resources increase.*

Investment in resources and capabilities, both from internal and external sources is essential to maintaining and improving performance and sustainability. Mission effectiveness is increasingly dependent of performance-based metrics to demonstrate results and release finances.

RBT utilises financial measures that enable rent-seeking behaviour based on VRIO resource management, while noting that firm culture impacts more on performance than industry attributes. This suggests that mission-centric PIMM can increase rents and promote SCA. In addition, the empirical literature reveals that, as social investment becomes more institutionalised and focused on monetary security and returns, it emulates the rigorous standards of the private sector. This evolution demands externally

validated evidence of social impact to secure investment. Notwithstanding funding source criteria and related costs, performance data underpins mission effectiveness.

Thus, the RBT literature supports this proposition for performance-based investment.

RBT is partially inadequate for CSAC mission effectiveness on account of its purely financial measurement base in pursuit of profits (but SEs require profits). Regardless, the empirical literature supports the first main proposition, **P1** : *that when SE means are supported by **resource-based** social performance results to exploit economic opportunities, then mission effectiveness in CSACs improves.*

4.4.5 RBT-Related Mission Effectiveness and SE in Charities

Charities seek economy, efficiency and effectiveness through optimal resource use to compete sustainably. Accordingly RBT provides a logical approach to the efficient allocation of core resources to maximise economic rents and drive effectiveness. The most relevant drivers of RBT for charities in terms of mission effectiveness and SE are:

Competition:

Charities pursue mission effectiveness in a competitive environment. RBT suggests that, despite the difficulties in identifying all the factors that achieve SCA charities with low transaction costs may exploit cost leadership strategies to achieve higher rents.

Resources:

RBT enables charities to identify and optimise core resources using the VRIO framework to achieve mission effectiveness. This optimal allocation of resources to strategic objectives reflects the 'technical fitness' demanded by DCT and deployed through SE.

RBT Conceptual Constructs:

Performance in competitive markets is enhanced by SE means to achieve mission.

Business Services focused on relevant social and economic metrics support mission.

Governance processes determine missional resources and optimise SE means.

Resource investment criteria identify critical investment readiness in charities.

RBT Thematic Propositions:

Business Services should efficiently measure and manage missional resources.

Governance strategies depend on VRIO resource performance for mission and SE.

Resource investment performance targets resources on mission enhanced by SE.

RBT Strand-based Issues (variables) for Questions:

Business Services – performance measures, efficient systems, quality services.

Governance – social impacts strategy, internal and external policies and processes.

Resource Investment – risk management, performance, investment readiness.

4.5 Relevance of RBT for Mission Effectiveness and SE in CSACs

While RBT may not be recognised in charities as a means to SCA nor to mission effectiveness, nonetheless some of its main elements are commonplace. For example, increasing numbers of charities are managing their social performance with a view to attracting funding and investment. Nonetheless, many are failing to link relevant measures effectively to strategy in order to optimise social results. The RBT governance theme proposed to drive social performance results may prove to be compatible and effective in conjunction with SE means. However, the ‘technical fitness’ offered by RBT is likely to be seen merely as a prerequisite competitive starting point, regardless of SE means -which are more closely aligned to DCT as a means to growth (see Figure 7.1).

4.5.1 RBT for CSAC Mission Effectiveness

Most CSAC missions are biblically-based and tend to focus on marginalised social groups that fall outside prioritised government-funded markets. Mission effectiveness is seen in terms of the social (and spiritual) outcomes and impacts achieved, many of which are amorphous and intangible (**Forbes 1998:184**). However, within this largely philanthropic culture, the efficient and economic use of resources is important to ‘doing more with less’, and is facilitated by the identification and optimisation of resources within a VRIO resource framework. While RBT is more directly relevant for economic sustainability than social results, both are indispensable. Without economic sustainability, charities reduce their operations and may even cease to operate.

4.5.2 RBT for CSAC approaches to SE

In most cases CSACs depend heavily on donor income, with low reliance on external funding which often imposes rigorous investment criteria. However, as donor income diminishes many charities are moving towards earned income generation (**Kickul and Lyons (2012:120-134)**). In so doing they are adopting SE means to compete i.e. proactivity, risk taking and innovation (**Donohue 2011**), and adopting SE methods. In this thesis, RBT provides an economic platform for SE development.

4.5.3 RBT for CSAC Theory

RBT is relevant to new CSAC theory because it focuses on economic and (by extension) social returns in competitive markets to realise mission. A new DRT theory incorporates relevant RBT constructs (Figure 1.3) through causal linkages (Figure 8.7) to fill RBT gaps for mission effectiveness (see Figure 8.9). Theory generation is shown in Figure 8.10.

4.6 Objective 1 - Strengths and Weaknesses of RBT in terms of SE

The strengths and weaknesses of RBT are crucial to an understanding of mission effectiveness as it relates to SE in CSACs. In this section a case for new theory is developed on the basis of arguments arising in the literature. The literary evidence induces reasonable argument for mission effectiveness through SE to fulfill Objective 1.

4.6.1 The Main Research Question Revisited

The main research question '*How could CSACs in England be more effective in delivering their missions?*' is revisited here in the light of the foregoing literature review.

RBT's emphasis on performance management, appropriate governance and risk-return are relevant for SE. Here RBT offers valuable early guidance for building mission effectiveness through optimizing core resources. The main impact of RBT literature on the research question is the theoretical support for the efficient use of resources as vital to mission. Its usefulness in supporting SE is considered next.

4.6.2 Resource-Based Theory – Strengths and Weaknesses for SE

RBT enshrines efficiency in the use of core resources to improve performance and promote SCA. The literatures confirmed RBT *strengths* here as:

1. It identifies core resource and capability categories.
2. It prioritises financial returns which can be related to social results.
3. It grounds quantifiable performance in a complex competitive environment.
4. It facilitates PIMM by prioritising VRIO resource management within strategy.
5. It promotes SCA via capabilities in IT, culture, trust, and human resources.
6. It provides guidance on vertical integration, diversification and alliances.
7. It illuminates critical success factors for social investment in the industry and in individual organisations.

These strengths are useful for developing a new theory of mission effectiveness insofar as they must be included, undiminished, in new theory playing to the existing trust-based and human resource strengths, while addressing challenges to successful competition.

Weaknesses of RBT relate to a lack of specificity for charities considering SE means:

1. No guidance given on how to identify and prioritise specific VRIN resources.
2. No guidance on valuing nonprofit VRIO capabilities and leveraging them.
3. No guidance given on how to link financial and social performance.
4. No guidance on assessing/comparing resource heterogeneity and immobility.
5. Little guidance on path dependency, causal ambiguity, and social complexity.
6. Little guidance on mixed cooperative-competitive resource relationships.
7. Little guidance on resource-specific approaches to external service investors.

These weaknesses point to the need for bespoke solutions drawing on general theories.

These strengths and weaknesses are context-specific, and serve to justify the selection of RBT despite its shortcomings.

4.6.3 Arguments Arising in the Literature for SE in CSACs

The central argument in this thesis posits that (suitable) CSACs could benefit from deploying SE means to become more effective. Both charities and SEs can benefit from adapting and applying RBT principles, regardless of trading implications.

Both main theories are complementary. DCT has its roots in RBT, and they share primary concepts (e.g. SCA). RBT argues that when resources are controlled according to particular criteria, then firms perform more effectively in competitive markets. Mission effectiveness can be improved by the acquisition and allocation of VRIO resources and ordinary capabilities in CSACs. RBT in this thesis argues that:

Performance Management: CSACs can adopt PIMM to identify, measure, manage, and improve the performance of their VRIO resources to improve effectiveness.

Strategy: CSACs can prioritise and allocate VRIO resources to deliver greater social impacts, and meet the strategic objectives which realise their mission.

Policy and Process: CSACs can deploy their VRIO resources to differentiate their services and enhance their unique market positions by aligning internal policies with government and business policy priorities.

Performance-related Investment: CSACs can attract investment by demonstrating the risk-adjusted and mission-centric social impact performance that is suited to the volatile markets in which SE/business-like governance enhances SCA.

Thus, the literary findings in this chapter meet the requirements of **Objective 1**: '*To identify and evaluate via a desk review the main strengths and weaknesses in two theories (RBT and DCT) which underpin SE*'.

4.7 Development of Propositions and Questions derived from RBT

This section grounds the development of propositions in objectives, leading to research questions. For the sake of brevity, the nine multiple-choice, Likert scaled questions are

only listed in the main text, although more detail is offered in Table 4.1, and full detail is provided in Appendix 6. The links between objectives, propositions and questions are outlined in Appendix 1, and shown in more detail in Appendix 7.

4.7.1 Business Services

The performance of VRIO resources is central to RBT e.g. **Barney (2007:323-234)**. This thesis focuses on business service inputs: performance measures, efficient systems and quality service delivery. Performance guides resource allocation.

***Sub-Objective 1.1:** To identify, explain and evaluate the use of VRIO resource-based performance measurement and management by firm's business services.*

***Sub-Proposition 1.1:** That when business services identify, measure and manage firm performance appropriately, then resource-based performance improves.*

***Sub-Questions 1.1.1-1.1.3:** performance measures, efficient systems, quality services.*

The performance of resources depends on how well they are managed. Metrics aid management, including of 'soft', non-quantitative intangible assets (e.g. skills).

Performance measurement and management are discussed e.g. **Barney (1986)**, **Barney (2001)** and **Barney and Clark (2007:251)** mainly for superior performance (**Miles 2012:219**), quality (**Wernerfelt 1984: 179**) and efficient systems e.g. **Barney (1991:114-115)**, **Barney and Clark (2007:143-157)** and **Teece (2009:17, 123,189)**. Picking suitable VRIO resources for development and investment is only generally addressed in (**Barney and Clark 2007:23**).

***Macro Proposition 1/a:** that when a firm's **business services** functions prioritise measurable performance, then firm effectiveness will be improved.*

Business services exist to support the primary activities of a charity, and so they are expected to optimise performance. To assess and improve performance, key results and costs must be measured.

4.7.2 Governance

Governance is assumed to be a prime driver in organisational theories like RBT and DCT e.g. **Barney et al (2001:632)**, **Barney and Clark (2007:50-51)**, and **Helfat et al (2007:70)**. The original constructs within governance processes explore linkages with social value creation strategy and both internal and external policy to model new theory.

***Sub-Objective 1.2:** To identify, explain and evaluate strategy in terms of governance aspects of VRIO resource performance to achieve mission-driven social outcomes and impacts.*

***Sub-Proposition 1.2:** That when mission-based strategy is linked to the performance of VRIO resources, then improved social outcomes and impacts will result.*

***Sub-Question 1.2.1:** PIM for social outcomes/impacts.*

Improvements to mission effectiveness through demonstrable social outcomes and impacts are partly realised through VRIO resources controlled by the charity's governors.

RBT and DCT expect increased rents (also known as surpluses or profits) from the optimisation of resources and capabilities via the governance process, see **Peteraf (1993:108-182)**, **Teece et al (1997:512)** and **Teece (2009:34, 214, 237)**. These superior returns (including social returns) arise from value creating strategies in **Barney 1991:112-11)**, **Peteraf (1993:187-189)** and **Teece et al (1997: 526-527)**.

***Sub-Objective 1.3:** To identify, explain and evaluate the role of governance in formulating internal policy and process in relation to external policy and process.*

Sub-Proposition 1.3: *That when a firm's governance optimises its unique resource position through internal policy and process that takes due regard of key external policy and process, then the firm performs better than if it does not.*

Sub-Questions 1.3.1-1.3.2: *internal policy input, government policy input.*

Performance is partly built on the way resources are managed by internal policy and process. However, charities' operating environments are largely shaped by policies and processes that are beyond their control, so resource-to-environment fit is vital for SCA.

Organisational processes (O) were included as core resources for SCA later in RBT development (**Wernerfelt 1984:106**) when VRIN [see **Barney (1991:112)** and **Teece et al (1997: 518)**] expanded to become VRIO, as illustrated in **Barney (2007:69-70)**, **Eisenhardt and Martin (2000:1106-1108, 1110)**, **Teece et al (1997:510-511, 529)**, **Teece (2007:1320)** and **Teece (2009:17,237-243)**. This combination of internal and external policy and process is original within this research context.

Macro Proposition 1/b: *that when firm **governance** formally manages the performance of VRIO resources, then risks will be reduced and long-term performance will be improved.*

Formal performance management of VRIO resources ensures their identification, allocation, and adaptation or redundancy within value-creating and market-responsive firm strategy. Resource performance drives SCA, and thus reduces long-term risks.

4.7.3 Resource Investment

RBT recognises that industry and firm attractiveness for investment depends largely on resource performance, and the firm's readiness to meet other investment criteria.

Sub-Objective 1.4: *To identify, explain and evaluate the role of industry and firm performance in resource investment priorities and sourcing.*

Sub-Proposition 1.4: *That when the relevant firm and industry performance results are available for resource investment decisions, then funding will be forthcoming.*

Sub-Questions 1.4.1-1.4.3: *risk management, PIM for investment/fundraising/bids, investment readiness.*

These statements infer a causal chain, namely that both investors and charities can further their mutual interests by using appropriate performance information.

Investment here, regardless of the concomitant risks and rewards, comprises four categories of resource capital: physical, financial, human and organisational. (**Barney and Clark 2007: 24**). Core resources and their relationship to firm survival and SCA are discussed in **Wernerfelt (1984:173-174)**, **Barney (1991:105)**, **Barney (2007:23-24, 248-249)**, **Teece et al (1997:514, 516)** and **Teece (2009:114)**. Industry and firm performance and attractiveness are researched and reported in **Teece (2009:3, 4, 17, 50, 231-232)**. Risk management is discussed in general terms in **Barney (2007:195-198)** and **Teece (2009:21)**.

Macro Proposition 1/c: *that when firms' resource investment is based on robust evidence which demonstrates social performance, then investment resources increase.*

Investment follows success, which for CSACs means good, credible social results. Such results are most economically and efficiently obtained by optimising VRIO resources.

The questions in this section are motivated by a desire to use their answers to develop new theory. These questions and their rationale are set out in Table 4.1.

Mission Effectiveness and Social Entrepreneurship:
Theoretical insights and case-study evidence from three Christian charities
in England

QUESTIONS and their RATIONALE - RBT

TABLE 4.1

Theme & Strand	Q No.	Question (3 options, ranked on a 5 point Likert scale)	Why asked?	Value added?	Link to Sub-Objective?
Business Services					
Resource Performance Measurement & Management					
	1.1.1	Performance measures (PMs) - which description suits you best?	Because observations had revealed a lack of relevant performance management information to optimise and enhance SCA.	It will identify, explain and evaluate current measurement practice, highlight deficiencies and reveal plans incorporating VRIO-based solutions to enhance mission.	<i>Measuring the performance of VRIO resources is key to managing them.</i>
	a	PMs are set by the umbrella/strategic body and funders			
	b	PMs are set at our level based on our beneficiaries' needs			
	c	Unsure, but recognised national measures could be useful			
	1.1.2	Efficient systems - which description suits you best?	Because significant untapped potential of affordable systems had been observed.	It will identify past practice, current changes and explain and evaluate future priorities for PIMM systems with potential to improve strategy and decision-making.	<i>Systems are required to manage firm resources and capabilities.</i>
	a	Minimum affordable systems to facilitate essential operations			
	b	Multi-disciplinary integrated systems to facilitate growth			
	c	Unsure, but adequate basic systems to cope with rapid growth			
	1.1.3	Quality service delivery - which description suits you best?	Because quality is integral to performance, but may not be widely understood.	It will identify and assess the use of resources in quality practices, perceptions and benchmarks to promote mission-centric market-responsiveness.	<i>Quality management affects VRIO resource performance.</i>
	a	Quality is mainly a function of external accreditation (e.g. IIP)			
	b	Quality is mainly a function of internal perception/satisfaction			
	c	Unsure, but our mission-driven impact is most important			

Mission Effectiveness and Social Entrepreneurship:
Theoretical insights and case-study evidence from three Christian charities
in England

Theme & Strand	Q No.	Question (3 options, ranked on a 5 point Likert scale)	Why asked?	Value added?	Link to Sub-Objective?
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Governance

Social Outcomes & Impacts Strategy

1.2.1	<i>PIMM for social outcomes/impacts</i> - which description suits best?	Because the understanding of and links between performance information and social results was suboptimal.	It will identify links between current performance reporting and social results, and aspirations for performance reporting to create strategic social value.	<i>PIM connects strategic objectives to operational social outcomes/impacts.</i>
a	PIM is retrospective - an intuitive and informal process			
b	PIM is central to resource allocation for effective social impact			
c	Unsure, but may not adopt it if it is not required by statute			

Policies & Processes

1.3.1	<i>Internal policy input</i> - which description suits you best?	Because internal policies and processes may be suboptimally linked to social outcomes/impacts strategy through limited PIMM.	It will identify the reasoning behind internal policy and links between resource-based social strategy and policies and processes.	<i>Internal policy formulation and development affect mission effectiveness.</i>
a	Internal policy is handed down from the strategic level			
b	Internal policy is developed at all levels for final approval			
c	Unsure, but ensuring full policy implementation is critical			
1. 3. 2	<i>Government policy input</i> - which description suits you best?	Because the observed link between internal and external policy was often unclear.	It will reveal the prioritisation of external policies, the firm's proactivity in engaging with them, and the firm's aspirations to increase its policy influence.	<i>External policies are central in the highly regulated social services market.</i>
a	We complete mandatory government returns and surveys			
b	We proactively engage with the government policy process			
c	Unsure, but more engagement would require clear justification			

Mission Effectiveness and Social Entrepreneurship:
Theoretical insights and case-study evidence from three Christian charities
in England

Theme & Strand	Q No.	Question (3 options, ranked on a 5 point Likert scale)	Why asked?	Value added?	Link to Sub-Objective?
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Resource Investment

Industry & Firm Performance for Investment

1.4.1	Risk management - which description suits you best?	Because firm risk management is critical to SE-based risk-opportunity appetite.	It will reveal the levels of independence, structures, and investment criteria driving firm risk management, and afford insights into their adequacy for trading/SE.	<i>Social purpose firms' investment policies assess risks and returns.</i>
a	Risk is essentially dangerous, and so we seek to avoid it			
b	Risk is inevitable, so we systematically assess it and manage it			
c	Unsure, but in any case it should be systematically assessed			
1.4.2	PIM for investment/fundraising/bids - which suits?	Because reports of mission drift suggest that performance and investment are factors.	It will identify current funding streams, and the contribution of integrated PIM systems to spiritually-motivated social missions that might qualify for SE funding.	<i>Social purpose firms prioritise investment based on past/potential returns.</i>
a	PIM results are/would be used for internal improvements			
b	PIM results should be used for investment and fundraising			
c	Unsure, but would be interested if PIM results could raise cash			
1.4.3	Investment readiness - which description suits you best?	Because investment opportunities for SE-type social action demand CSAC readiness.	It will identify firms' valuation of their spiritual-social missions in terms of USP and investment source criteria, both internal and external.	<i>Social investment is most commonly available when the firm is investment-ready.</i>
a	Internal investment is primary, and based on past results			
b	External investment is primary, and current results matter			
c	Unsure, but could develop attractive investment evidence			

4.8 Chapter Summary

In Chapter 4 the theoretical and empirical literatures relating to RBT were considered in the context of theory-based themes and manifestations of strands.

RBT theoretical literature was examined to illuminate the conceptual constructs, and the theory was exposed and evaluated to reveal gaps and opportunities for new theory. Then empirical literature was reviewed before considering RBT's relevance for CSACs in terms of mission effectiveness, SE and new theory. A discussion of RBT's strengths and weaknesses in terms of SE followed, before finally justifying the RBT-based propositions and questions.

In the next chapter, the same literary review process is repeated for DCT.

5. A REVIEW OF DCT-RELEVANT LITERATURE AND DEVELOPMENT OF RELATED PROPOSITIONS

5.1 Introductory Comments

This chapter follows the format and purpose of Chapter 4 (which addressed RBT) in reviewing DCT from relevant literatures, and as it relates to propositions and questions.

Chapter 5 unfolds in eight sections. Initially the relevant constructs within DCT are discussed. The third and fourth sections respectively review the theoretical and empirical literature. Next, DCT is examined for its relevance for mission effectiveness using SE means in CSACs. In section six the strengths and weaknesses found in DCT are listed and explained to resolve Objective 1. Then appropriate theoretical propositions and questions are derived in the pursuit of new theory, before summing up.

5.2 Conceptual Constructs

DCT is the most extensively employed theory in this research, providing the majority of conceptual constructs in the form of dimensions, themes and strands.

5.2.1 DCT Theory

DCT enhances SCA in organisations through individual capabilities and organisational competencies that integrate, build and reconfigure into new competencies which promote growth in volatile environments.

5.2.2 DCT Constructs

Dynamic capabilities focus on specific competencies to adapt them to produce SCA in turbulent environments (**Teece, Pisano and Shuen 1997**), and on the intentional creation, extension and modification of their resource base (**Helfat et al 2007:4**). Therefore the main constructs are competencies and resource base development.

Competencies:

Increasingly turbulent environments are forcing charities to integrate, build and reconfigure their firm specific competencies into distinctive new competencies. Volatile social markets often reward SE approaches embedded in dynamic entrepreneurial capabilities. Typically, entrepreneurial strategies develop and deploy relevant new competencies to sustain competitiveness (**Teece 2007:1321**). In charities and SEs, SCA and growth may depend on a mixture of collaborative and competitive strategies.

Resource base development:

The process of purposefully creating, extending and modifying the resource base involves intentionally changing processes and products to meet the demands of turbulent markets. Three managerial processes provide the core elements of dynamic capabilities: coordinating/integrating, learning and reconfiguring. These processes are a subset of management approaches to market opportunities and threats, (**Teece 2007:1342**). Dynamic capabilities are expected to promote performance and growth in organisations from their current positions along a path of change (**Helfat et al 2007:100**).

DCT Dimension

Scalability

The **OED (2014)** defines scalability as '*able to be changed in size or scale*'. The term 'scalability' is used here in two ways: firstly, as a corollary of firm growth, which enables firm operations to be increased in size/amount; and secondly, as increasing overall sector services. Thus dynamic capabilities drive firm growth and also promote scalability.

Teece (2009:3-64) argues that seizing market opportunities for scale involves delineating the customer solution and the business model, selecting decision-making protocols, setting enterprise boundaries to manage complements and control platforms, and building loyalty and commitment. Similarly he guides firms to embrace innovation, co-specialise assets for strategic fit, and manage knowledge as key means to growth. These factors are relevant to CSACs considering SE means to scalability.

Both RBT and DCT recognise growth derived from the management of productive resources to meet market opportunities. These are known as 'Penrose effects', based in the theory of the firm (**Barney and Clark 2007: 5, 11-14; and Teece 2009: 114-117**). DCT develops advanced strategic capabilities for evolutionary fitness, where assets must be reconfigured and continually aligned and realigned to achieve scale in complex/unstable markets (**Teece 2009: 45, 53-56**). Importantly, DCT extends RBT's position on SCA to focus on growth through proactive means involving collaboration, innovation and change (**Helfat et al 2007: 100-114, Teece 2009: 82-111**). Both theories rely heavily on governance (including management) applied at the firm level, so sector level scalability is assumed here as a potential outcome. Thus both theories support CSAC mission effectiveness, while DCT relates more closely to SE means.

DCT scalability is now explored through: Collaboration, Social Enterprise and Growth.

DCT Themes

DCT themes - collaboration, SE and growth - are selected because they represent means to mission effectiveness through scalability. DCT themes offer guidance to improve CSAC mission effectiveness using SE means, for example: collaboration can provide rapid and economic means to scaling up operations; SE approaches utilise efficient business methods to achieve SCA in changing markets; and growth management harnesses improving social results for mission effective expansion.

Collaboration

DCT is used to frame the governance and management of stakeholder relationships in general, with a focus on strategic alliances. Here collaboration refers to two related areas of DCT: relational and alliance-based capabilities. DCT facilitates collaborative relationships for SCA through complementary capabilities, relationship-specific assets, effective governance and interfirm knowledge-sharing routines (**Helfat et al 2007: 68**).

Social Enterprise

Although DCT does not directly address SE, **Helfat et al (2007: 47-64)** describe entrepreneurial management capabilities in changing markets while **Teece (2009:65-81)** outlines key entrepreneurial functions of managers in developed economies with 'marketised' social services. Thus DCT promotes managerial entrepreneurship for SCA.

Growth

Helfat et al (2007:102-103) explain that growth in DCT is a defining outcome of successful evolutionary fitness. CSACs operating in complex/unstable markets can link their growth strategies to DCT to optimise asset use for effective SE-funded mission.

These themes to achieve scalability through DCT are explored through strands, next.

DCT Strands

The strands within DCT are clarified next from the theoretical literature.

Collaboration: Relational Capability

Relational capabilities are interpersonal competencies which are primarily exercised within the firm, but also with external personnel such as networking contacts and representatives of alliances. Like network theory, relational capabilities increase vital interfirm trust and cooperation through bridging and bonding ties between individuals and firms. Typically, they promote SCA through: 1) idiosyncratic, customized, relationship-specific assets; 2) complementary capabilities; 3) interfirm knowledge-sharing routines and 4) effective formal and informal governance to safeguard against opportunism and negative complementarities (**Helfat 2007:67-71**).

Teece (2009:185-197) notes that the value-enhancing challenges facing management are moving away from administration towards entrepreneurship, illustrated by his recommendation (pp 216-218) of virtuoso teams for superior performance in the current era, arguing that modern managers must 'think strategically, act entrepreneurially, and execute flawlessly' (p 199). The cost of developing capabilities favours large charities.

Collaboration: Alliance-based Capability

Alliance-based capabilities extend individual and firm-based relational capabilities to create, extend or modify a firm's resource base in collaboration with other firms. Collaboration focuses on externally generated growth involving numerous forms, from networking to merger. As a subset of scalability here interest is limited to alliances, which are defined as: *'cooperative relationship(s) between two or more organisations ... designed to achieve a shared strategic goal. Such a definition excludes contractual relationships that do not have an intended impact of competitive advantage of the firms involved via the shared strategic goal'* (Helfat et al 2007:66).

Alliances vary in their purposes, potential, size and form; all are relevant to CSAC scale. Alliance-based capabilities extend relational capability through four knowledge-management processes: 1) knowledge articulation; 2) knowledge codification; 3) knowledge-sharing; and 4) knowledge internalization. These all stimulate entrepreneurship, typically where charities are specializing and not competing for the same income streams (Helfat et al 2007:71). Thus, DCT endorses SE means.

Social Enterprise: Social entrepreneurship

Although DCT does not address 'social' entrepreneurship directly, it specifies entrepreneurialism as a critical success factor. While Teece (2009:196) notes the move towards entrepreneurship, Helfat et al (2007:120) link entrepreneurship, innovation, change, growth and scalability through technical and evolutionary fitness in DCT.

Social Enterprise: Innovation

Dynamic capabilities introduce a particular type of innovation - altering the resource base of an organisation (Helfat et al 2007:120). Teece's advice also covers business models (Teece 2007:1329-1331) and ecosystems (Teece 2009:16-17). Thus DCT promotes new ideas, products and services.

Social Enterprise: Change Capability

Change is expected as firms seek growth, especially for charities operating in the turbulent markets increasingly served by SEs. Importantly, SE offers flexible structures and processes which, if strategically managed using dynamic capabilities, can accommodate risk-aware market-responsive change. SE can reduce change risks.

Change involves adaptability to market conditions, and innovative new products to achieve SCA. According to **Helfat et al (2007:100)**: *'Firm trajectories or paths of change, depend on the current resources and capabilities of each firm's position, from which change proceeds'*. Thus SE-driven change relates to positioning for growth and enabling entrepreneurial innovation. Without change charities become ineffective.

Growth: Social Outcomes and Impacts

As explained, social performance is essential to CSAC governance and strategy. 'Best practices' are useful for benchmarking management approaches (**Teece 2009:6-7**), including the importance of decision rules (**Teece 2007:1332**). Value-creating strategies engender the entrepreneurial conditions which stimulate new products and optimise social outcomes and impacts for service users (**Teece 2009: 97-101**). These vital results are realised through dynamic management capabilities to effectively achieve mission.

Growth: Growth and Scale

Firm growth is described by size, both in terms of internal capacity and operational scalability. Persistent firm growth is seen as both a performance measure and as a critical outcome of competition, especially during industry lifecycle growth phases (**Helfat et al 2007:100-108**). Business models which deliver value to the customer entice customers to pay for that value, and convert that value into profit are advocated (**Teece 2009:121**). Thus social value can represent market value based on outcomes/impacts.

Growth: Firm growth

Teece 2009 (114-131) notes the effects of markets, technologies, entrepreneurialism and rewards on growth, while **Helfat et al (2007:100)** argues the importance of firms' 'paths' from their current 'positions' to enable growth. Growth suggests success.

Having outlined its selected constructs, a brief exposition of DCT follows.

5.3 Theoretical Literature Review

DCT literature is next considered in broad terms, before relevant gaps in its present contextual application and opportunities for operational enhancement are identified.

5.3.1 DCT Exposition

DCT explains how well a capability performs relative to competitors, and seeks to improve capability performance returns to enable the organisation to make a living in volatile markets (**Miles 2012: 89**). Capability is defined as: '*a collection of high-level, learned, patterned, repetitious behaviours that an organisation can perform better relative to its competition*'. Uniquely, DCT promotes effectiveness through means to modify or extend the resource base by explaining how firms integrate, build, and reconfigure their internal and external firm-specific competencies into new competencies that match their turbulent environments (**Teece, Pisano and Shuen, 1997**).

Helfat et al (2007:8) assert that dynamic capabilities can serve two main functions. First, processes are researched and selected, and then configured and deployed. Search and selection involves the design of business models, configuration of assets, selection of investments under conditions of uncertainty and ambiguity, and the selection of organisation, governance and incentive structures. Second, DCT measures performance on technical (internal) fitness and evolutionary (external) fitness criteria. Thus DCT facilitates firm growth and sub-sector scalability (**Helfat et al 2007:80-115**).

However, CSACs should note that evolutionary fitness *per se* does not necessarily yield competitive advantage (**Helfat et al 2007:12-15**), for example charities may be able to simply restructure to become more market-responsive through flatter structures.

Teece (2009:49) offers a framework to explain the foundations of dynamic capabilities and organisational performance. The task of sensing opportunities involves analytical systems, while seizing opportunities centres around enterprise structures, procedures, designs and incentives. Finally, strategically managing threats and transforming the organisation so as to achieve SCA involves the continuous alignment of specific assets. This framework helps reduce risk and utilise assets more effectively for growth.

Thus DCT guides effective charity growth to promote operational and sector scalability.

5.3.2 DCT Evaluation

Critics point out that dynamic capabilities are inadequately defined, limiting the progression of DCT (**Miles 2012:91-93**). Importantly, the fact that some organisations do not change does not demonstrate a lack of dynamic capabilities, nor does continuous change necessarily lead to success. Other theories, e.g. absorptive capacity, intrapreneurship, strategic fit, first mover advantage, organisational learning and change management can deliver similar results. DCT is but one way to adapt to turbulent environments, some of which may be cheaper (e.g. ad-hoc problem solving). However, DCT incurs mainly sunk costs, and expensive measurement may not be necessary.

5.3.3 DCT Gaps

DCT, the main theory underpinning this research, reveals some gaps in both the theoretical and empirical literatures:

1. Some critics of DCT hold that the term 'Dynamic Capabilities' is inadequately and flexibly defined, leading to vagueness and ambiguity.
2. Others point to alternative methods available for adapting to a rapidly changing environment (**Miles 2012:91**). For example, investing in dynamic capabilities often requires expensive training to address potential change. However, optimising the value of sunk costs reduces cost, such as existing skills in CSACs with low reserves. Critically, DCT offers a coherent model to facilitate scalability.

Overall the DCT scalability literature strongly supports SE as applicable to CSACs. However, it is possible to identify three gaps which should be filled at least partially by a new theory of entrepreneurial mission effectiveness:

1. DCT assumes a comprehensive understanding of resources and capabilities which may be absent, particularly in small and medium sized charities.
2. DCT promotes the development of strategic dynamic capabilities without fully explaining how this can be done, especially in charities that are increasingly constrained by risk-averse stewardship-based regulation and public scrutiny.
3. DCT fails to explain how competitive excellence can overcome market failures in social services when beneficiaries may be seen as unworthy of subsidy. This may be because they neither enjoy a public profile/voice, nor do they promise short-term economic returns nor pose high potential on-costs (e.g. the mentally ill compared with ex-offenders). Can DCT help charities meet these needs?

5.3.4 DCT Opportunities for Operational Theory

Research Relevance:

In the light of the foregoing subsections, DCT is seen as relevant here, because:

1. Dynamic capabilities intentionally change the firm's products, processes, and scale or the markets it serves, and are intended to help it achieve SCA. Thus DCT can assist charities to trade sustainably in competitive markets.
2. DCT assumes that entrepreneurial rents/profits can be obtained from innovations, and SE helps prioritise inimitable and innovative relational and social capital.
3. Technical (internal) fitness combines with market demand and competition to drive evolutionary fitness **Helfat et al (2007:8)**. Both these measurement yardsticks offer performance improvement measures for both simple/stable and complex/unstable markets to meet funder/investor measurement criteria.
4. DCT holds that managers can continuously reinvent and match their competencies with volatile environments and so outperform their competitors. To realise future plans, continuous DCT development is vital for many CSACs.

DCT is justified for operational theory building because it aids CSACs seeking scalability in entrepreneurial, turbulent markets to improve mission effectiveness using SE means.

5.4 Empirical Literature Review

The exposition, evaluation and gaps in DCT in the previous section justified the quest for DCT-related operational theory building. For a sample of DCT-related empirical literature see Appendix 5. This section explores theory-related literature through selected constructs (dimensions, themes and strands) to identify gaps in the application of DCT for mission effectiveness. Theory-based objectives frame this discussion at the most concrete level, where they are linked to conceptual strands constructed from DCT. Importantly, DCT offers relevant guidance on scalability in changing social service markets, and its main strengths underpin SE means and methods which can be applied to CSACs to improve mission effectiveness (Objective 1).

5.4.1 DCT-Related Constructs

DCT Dimension

Scalability

'the scale or the markets served by a firm'. (OED 2014)

Growing unmet social need is the main driver for scalability in the third sector. Scaling up social service provision is widely preferred via nonprofits (perceived as caring) over scaling up through forprofit companies (perceived as profit-maximising).

DCT promotes scalability. The range of capability literature is notable, from global policy systemic change for growth including **Duhu and Jeyaseelan (2010)**, and **Yunus (2007)**, to guidance on firm governance offered by **Doherty et al (2009)** and **Kickul and Lyons (2012)**. Dynamic management is central, regardless of the firm's size and reach.

Unlike the RBT-centric literature, several aspects of DCT are found in literature related to CSACs. For example, **Grant and Hughes (2009)** and **Rusaw and Swanson (2004)** emphasise proactive engagement, the former through theological discussion and the

latter through applied theology. Anderson and Dees (**Nicholls 2006:152-153**) see scalability in investment terms, citing Professor Yunus's Grameen Bank and others.

As previously argued, England needs more social service capacity in the form of more services. Business strategists, for example **Eden and Ackerman (1998)**, and **Johnson and Scholes (2002)** note that size affects economies of scale and the ability to cover extra input costs required to achieve optimal results (e.g. skilled staff).

Given the complexity of both the social markets and the competencies required to achieve SCA, dynamic management is vital to develop scalability in the third sector.

DCT Themes

DCT themes - collaboration, SE and growth - are selected because they represent means to mission effectiveness through scalability. DCT themes offer guidance on scalability to improve CSAC mission effectiveness through SE means. For example: collaboration can provide rapid and economic means to scale up operations; SE approaches utilise efficient business methods to achieve SCA in changing markets; and growth management harnesses improving social results for mission effective expansion.

Collaboration

Relationships are fundamental in charities, as portrayed in Christmas advertising by The Salvation Army. To produce optimal results, strategic stakeholder relationships demand relational dynamic capabilities, notably in turbulent markets. However, reasons for collaboration are often context-specific, e.g. social need, values, location, or firm size.

Collaboration is usually a staged process which may result in structural commitment (**Devine 2002: 18-19**), for example along a business-charity 'collaboration continuum' (**Austin 2000**). Helpfully for CSACs, **Webster (2014)** notes factors affecting mission-centric church-based collaboration with charities and government agencies, reflecting high scalability findings in **Blond and Noyes (2013)**. By contrast, **Bugg-Levine and**

Emerson (2011:76-77) advocate some collaborations with large market-specific specialist funders. Thus collaboration may offer strategic scalability to some CSACs.

Social Enterprise

Enterprise is not for the faint-hearted, as defined by the **(OED 2014)**: '*a project or undertaking, especially a bold or complex one*'. According to **Bornstein (2004)**, SE is characterised by a proactive, risk-taking, innovative, 'can do' approach to social problems using adaptive methods. **McKeown (2008, 2012)** notes that such enterprises require continuous change that exploits business methods while not fully imitating them. SE-driven mission effectiveness would require change in some CSACs to create new business models, products, processes and structures. However, **Kickul and Lyons (2012:34-38)** offer an innovative case-based SE process model (from idea creation via opportunity assessment to mission achievement), which could aid scalability in CSACs.

Growth

Growth and scalability are closely related but they are also distinct. Put simply, CSAC growth is predicated on demand for its services which can be provided to a quality and scale that generates the surpluses required for SCA. Scalability here concerns the ability of a firm or a sector to increase operations, through economy which enables affordability, efficiency driving profits, and effectiveness ensuring beneficial outcomes and impacts **(Hudson 2009)**. Over time, the most effective providers emerge to consolidate their positions in the market. **Brooks (2008:151-174)** links growth to goal attainment, change and risk, as illustrated by case studies including Healthy Kids Inc.

This review of the themes exposes some minor gaps. Some are implicit and not specifically interlinked, although they do link scalability to mission effectiveness.

Having justified the selection of these DCT themes, related strands are discussed next.

DCT Strands

DCT strands are manifested here in the empirical literature to highlight their strengths and weaknesses for improving mission effectiveness through SE means. SE comprises evolutionary dynamic processes which suggest solutions to CSACs seeking scalability.

Collaboration: Relational Capability

Relational capabilities are essential in charity work, especially service delivery where staff must relate to beneficiaries, and in donor and funder relationships:

*Sub-Objective 2.1: To identify, explain and evaluate the role of proactive **relational capabilities** in the strategic management of organisational collaboration.*

Where organisations share responsibilities, high levels of proactive relational capabilities are required to satisfy a range of stakeholder needs (**Eden and Ackerman 1998**). **Munz-Jones (2010)** and **Anheier (2005)** claim that essential networking skills can be learned even by the least confident managers. Managers considering the SE route to sustainability should relate from personal experience (**Bish and Becker 2016**), and may also consider partnering and brokering relationships (**Tennyson 2003, 2005**). Other insights into stakeholder relationships were offered by **Goleman (1998)** on emotional intelligence, **Goddard (2006)** on Christian ethics, **Machiavelli (1997)** on instrumentalism, and **Cialdini (2001)** on reciprocity, consistency and commitment.

Proactivity in developing and maintaining relationships is indispensable as illustrated powerfully in **Mawson (2008)**, partly because gains are subject to inertia and atrophy. Relationship building within firms begins with leaders and their effect on culture (**Marshall 2008**), although leadership *per se* is outside the scope of this thesis. However, useful guidance was found among a range of authors, including **Hybels (2002)**, **Owen (2012)**, **Harvard Business Review (2005)** and the **Economist 2011b**).

Some large traditional charities function through vertical hierarchies (**Jardine 2010a**), but SEs are typified by flat structures (**Nicholls et al 2006**) sometimes even as 'boundaryless' forms of organisation (**Nicholson 2010**). These forms encourage high levels of relationality in complex networked markets where emotional freedom inspires

the social skills which engender trust (**Yeung 2013**), a conclusion inferred by **Myers (2013)**. Proactive relational capabilities are developed by formal and experiential learning, and sustained by ethical practices which establish the trust required for successful inter-firm knowledge sharing and alliance-based scalability. However, internal collaboration may not always be advantageous as discovered by the Norwegian firm DNV (**Harvard Business Review 2011:1-16**). **Imperator and Ruta (2016)** note that SE prioritises stakeholder engagement, inclusive structures and people management.

In the absence of relevant CSAC-specific literature, the wider literature informs democratic and relational SE means to mission effectiveness through collaboration.

Collaboration: Alliance-based Capability

Alliances are entered into for perceived benefits, which include scale economies, complementary assets and synergistic activities, for example knowledge co-production through alliance-based capabilities (**Lang and Hardwick 2016**). However, interdependence increases certain manageable risks, especially of opportunism. The second element of DCT for collaboration is alliance-based capabilities:

*Sub-Objective 2.2: To identify, explain and evaluate the role of dynamic capabilities in a firm's readiness to sense, seize and shape opportunities for **collaborative alliances**.*

The journey towards collaborative readiness usually begins when firms recognise that their own resource base is deficient for meeting those market demands which present business opportunities. While **Collins (2006)** warns against the wholesale adoption of business methods for social purposes, **Maier et al (2016)** analyse the implications of being 'businesslike' for nonprofits. For CSACs, partnerships can present opportunities.

In this blurred cross-sector context **Porter and Kramer (2011)** encourage the private sector to take the lead in bringing business and society together to achieve economic success. Business-nonprofit collaboration at community level affords mutual benefits, as explained by **Lakin and Scheubel (2010)** who recommend business engagement to drive social performance and integration into core business. Similarly, **Horowitz (2012)**

emphasises interdependence, while articles from **Harvard (2011)** provide useful collaboration models, and **Boutilier (2009)** explains complex stakeholder politics. Business-charity alliances are potential forces for good, including **Crutchfield et al (2008)**, **Economist (2013a)**, **Husted and Bruce-Allen (2011:64-85)**, **Harvard (2003)**, and **Prahalad (2007)**. But are CSACs ready to collaborate with business?

Some businesses are moving closer to social engagement. In their research on cross-sector associations and the benefits of hybrid organisations, **Dekker and Alvers (2009:231-235)** note the centrality of voluntary organisations between the state, market and community dimensions, while **Sabeti (2009)** posits the emergence of a distinct (SE) fourth sector. To assist business-community relations **Grieco et al (2015)** highlight the need to classify the wide range of models for Social Impact Assessment. Some authors emphasise that collaboration is 'the only game in town' including **Howard and Lever (2011:80-83)** who identify 5 aspects of participatory disposition. Helpfully for CSAC scalability prospects **Public Policy Exchange (2013)** explains the government's positive engagement in partnership working with faith-based nonprofits.

State-nonprofit relationships impose complex learning and dynamic management capability demands to build new trust-based models (**Milbourne and Murray 2011**). Given widespread acknowledgement that the third sector is transitioning towards a more independent relationship with government (**Macmillan 2011**), the question of interdependence arises. Beyond the fiscal funding agenda, **Crouch (2011)** reveals nonprofit leaders' concerns about working relations with commissioners. Nonetheless, CSACs can benefit from their partners' resources, including technical expertise, competitive acumen and financial resources to improve effectiveness.

In summary, alliances are designed for mutual benefit, and to serve a large social market effectively. However, the literature was silent on successful inter-charity collaborations for commissioning. Notwithstanding limited faith-based examples, the literature argues for strategic alliances deploying entrepreneurial capabilities to achieve mission, next.

Social Enterprise: Social entrepreneurship

This section considers Social Enterprise and its main driver, Social Entrepreneurship:

*Sub-Objective 2.3: To identify, explain and evaluate management's social entrepreneurship capability for **social enterprise** approaches to sector scalability.*

Entrepreneurship *per se* is more widely researched than SE. In fact **Cukier et al (2011:100)** point out that SE is immature and lacks deep, rich, explanatory or prescriptive theories, without which SEs cannot achieve their full potential.

This section initially addresses the capabilities required by charity managers seeking to adopt SE approaches to scalability. Accordingly **Levenson-Keohane (2013)** provides specific guidance to SEs on cross-sector innovation. In addition, CSACs can benefit from general advice in an 'Entrepreneurs Toolkit' (**Harvard Business Essentials 2005**), and also **Gunn and Durkin (2010)** who posit that entrepreneurial skills can be taught.

Innovations often require new business models to accommodate experimentation and risk (**Nicholls et al 2006**), usually as a strategic response to imperatives facing the organisation (**Chew and Lyon 2012**). **Davila et al (2013)** posit 7 innovation rules based on business model and technology levers, while **Osterwalder and Pigneur (2010)** design the business model around 9 building blocks, and **Girotra and Netessine (2011)** explain building business models around risk management, while **Bettencourt and Bettencourt (2011)** advise on inexpensive innovation from scratch and the **Harvard Business Review (2011)** explores business model design around virtuous circles.

Social innovation research is developing rapidly (**Nicholls et al 2015**), here notably via relations and networks. At the macro level, **Nicholls and Zeigler (2014)** illustrate innovative potential to change power structures, thereby reducing marginalization through linkages between sources of power, social forces and capability sets.

In risky complex emerging markets, opportunities abound for learning dynamic capabilities - an activity which involves developing absorptive capacity (**Cohen and Levinthal 1990**). Typically in charities adopting SE methods, issues arise around trading,

product innovation and pricing skills. Learning new skills and developing capabilities take time, but in the meantime specific tasks can be outsourced. Learning dynamic capabilities for CSACs need not be costly, and is likely to yield cost-effective returns.

SE approaches affect sector scalability. According to Social Enterprise UK (**SE-UK 2013a:7**) government data listed about 70,000 SEs in the UK, employing almost one million people; in fact SEs are growing faster than forprofit SMEs. This move towards social service market-based SCA directly affects CSACs wishing to grow.

SEs may adopt a range of nonprofit forms, from unincorporated associations to Charitable Incorporated Organisations as tabled by **Business Link (2013)**. Typically charities focus trading on exempt primary purpose activities, using profits for growth. In addition, tax exemption also applies to ‘ancillary purposes’ and ‘small trading’ profits from activities unrelated to primary purposes (**Charity Commission 2013**). Transition to SE is risky, but can be planned to minimise risk and maximise effectiveness.

Overall, the literature describes positive and progressive prospects for sector scalability using existing resources, innovation, and SE business models. Apart from **Mawson (2008)**, no cases of SE in CSACs were reported, revealing a gap.

Social Enterprise: Innovation

SE in this thesis has been previously defined and justified. Here the entrepreneurship theory strand is typified by the definition: *‘the pursuit of opportunities beyond the resources controlled’* (**Harvard Business Essentials 2005**). CSACs exist to service social needs, and so they prioritise appropriate social and relational capabilities. Perhaps the most valuable entrepreneurial capability in turbulent social markets is the ability to innovate. Entrepreneurship and innovation are closely related, as illustrated by **Prahalad and Mashelkar (2010)** and **Mulgan et al (2007:6)**. Later **Mulgan and Leadbeater (2013)** advocate interconnected systemic innovation, which resonates with the **Antadze and Westley (2012:133)** definition:

'a complex process of introducing new products, processes or programs that profoundly change the basic routines, resource and authority flows, or beliefs of the social system in which the innovation occurs. Such innovations have durability and impact'

For charity managers considering SE approaches to scalability **Levenson-Keohane (2013)** provides specific guidance on cross sector innovation, **Nicholls and Murdock (2012)** provide a comprehensive series of essays on social innovation, addressing contexts and frameworks, strategies and logics, and sustainability. Similarly, an 'Entrepreneurs Toolkit' (**Harvard Business Essentials 2005**) offers general advice, positing that innovation can be a market differentiator.

Gunn and Durkin (eds) (2010) assure managers that entrepreneurial skills can be taught. Learning dynamic capabilities involves developing absorptive capacity (**Cohen and Levinthal 1990**), especially in potentially unfamiliar areas like trading. However, it can be outsourced at reasonable cost to improve mission effectiveness.

Social Enterprise: Change Capability

The foregoing comments make it clear that both dynamic capabilities and SE approaches demand continuous change, and so change readiness is discussed next:

*Sub-Objective 2.4: To identify, explain and evaluate the role of social enterprise dynamic capabilities in **readiness for organisational change**.*

As noted, personal relationships and multi-faceted collaboration are often critical to scalable social action, and they often require organisational change. Change may be resisted, but teamwork can build unity. **Benkler (2011)** proposes that to optimise teamwork, firms should employ systems designed for engagement and a sense of common purpose rather than sticks and carrots. Furthermore, SEs are dynamic and often stressful to work for, so conflict resolution is essential, for example using Kilmann's model based on compromising skills (**Dib 2013**) even in large advanced charities.

Generally, managers should aim to be the best at what they do according to **Ayliffe (2012)**, while **Nicholson (2013)** also addresses leadership for change in his three dimensional 'I' model. From the Wharton School, **Useem (2010)** offers four lessons in adaptive leadership: meet the troops, make decisions, focus on mission, and convey strategic intent. Similarly, in their SE management manual **SEKN (2006)** emphasises capabilities in entrepreneurship, leadership, strategy, culture, structuration, HR, finances, governance, performance, and social value creation. All of these inform change management and can promote favourable conditions for CSAC scalability.

SE is clearly synonymous with innovation and change. Social service markets reward adaptability (**McKeown 2012**), while **Mulgan et al (2007:18-19)** describe barriers to change. To facilitate change, **Leadbeater (2013)** explains how innovation goes beyond products, and provides ten tips on becoming an effective systems innovator, including the importance of alliances, sharing to create value, mixed leadership styles and behaviour change. Unsurprisingly innovation and change are challenging. Turbulent markets demand continuous sustainable change, a process modeled in **Myers et al (2012:300)** supported by an evaluative case study at the Ministry of Justice.

These and other authors recommend early assessment of the capability and readiness of organisations to change. Welfare reforms have driven change in CSACs which is often facilitated by umbrella bodies and faith-based networks (**Eckley and Sefton 2013**). Where charities are transitioning into SE's, systematic innovation invites organisational changes that require dynamic capabilities. However, a timely note of caution is sounded for charities seeking to scale up: '*charity is not scalable, irrespective of how wealthy you are*' according to **Hrudayalaya (2013)**. CSACs will only benefit where mission effectiveness and sustainability are improved by scaling up.

The literature reveals that innovation is desirable and change is inevitable, and that advice and support is available to transition from charity to SE. While no directly relevant CSAC literature was found, general and sector-specific examples probably provide sufficient guidance. Moreover, it can be argued that innovation and change are essential for growth, as prerequisites of SCA in turbulent markets.

Growth: Social Outcomes and Impacts

This section examines literature linking charities' social results to growth:

*Sub-Objective 2.5: To identify, explain and evaluate the contribution of dynamic capabilities to achieving **social outcomes and impacts** in terms of organisational growth.*

This thesis posits that firm survival and growth are predicated on meeting the performance-based demands of 'customers' (funders) and the social outcome and impact needs of 'consumers' (service-users).

Crutchfield and McLeod Grant (2008) argue for nonprofit growth on the basis of high impacts derived from six key practices. Dynamic capabilities help ensure that such growth is sustainable in turbulent competitive markets. Similarly, **Elkington and Hartigan (2008)** orient their view to market needs, not simply responding to known demand, but identifying hidden needs and insurmountable challenges, in order to create new market solutions. An inadvertent marketer, Rev David **Mawson (2008)** developed the successful SE model at Bromley-by-Bow through understanding and seeking to meet local social needs in collaboration with parishioners.

Conversely, some authors take a more internal perspective to creating social value, largely built on strategic performance. Here **Collins (2001 and 2006)** brings business and nonprofit perspectives together. **SEKN (2006)** takes a comprehensive view of leadership, performance and quality to build SE, and **Poister (2013)** offers a public sector view on outcomes for fiscal investment. Without funding, growth usually stalls.

Growth: Growth and Scale

Growth can be achieved in several ways, including organic growth with (or without) external growth capital, strategic alliances including joint ventures and consortia, and acquisitions where separate identities are integrated into new organisations. Expansion often involves entering new markets with new products as opportunities are sensed and seized. In this research, firm growth is posited as contributing to sub-sector scalability.

Growth: Firm growth

Growth is claimed as evidence of the exercise of dynamic capabilities:

*Sub-Objective 2.6: To identify, explain and evaluate the role of dynamic capabilities in the strategic management of **firm growth** as a measure of performance.*

Jenner (2016) confirms DCT's claims that strategic management and networking increases profitability from resources and capabilities to achieve growth. Where dynamic capabilities drive firm growth they may not directly increase social results, especially where growth involves developing infrastructure. Conversely, scaling operations increases service volumes and measurable social results. Both are needed, and neither is wholly dependent on the current size and market position of the firm. **Kickul and Lyons (2012:205-213)** note that mission is the driver of social ventures, and describe five growth strategies, including capacity building and the effects of structure on growth.

Performance for high growth is approached via social capital and financial accounting theories by **Gamble and Moroz (2014)** using three orientations: social mission, financial, and entrepreneurial. Similarly, in an article on scaling up SE operations as an iterative learning process (**Rosenberg (2010)**), posits a strategic trade-off: broad program reach for visibility vs narrow program focus for meaningful service depth. Above all, entrepreneurial strategy should demonstrate effectiveness in achieving the firm's social mission according to **Diochon (2013)** who synthesizes three emergent themes as: SE process, entrepreneurship, and effectiveness. In the context of Alter's mission-motive spectrum (**Nicholls et al 2006:205-232**) these factors encourage mission-centric growth.

Mission effectiveness provides the motivation for Sister **Yankoski (2008)** in capacity building (defined here as the process of investing in people and systems to improve services) in faith-based organisations, although to remain within scope, capacity building *per se* is not addressed in this thesis. She identifies seven elements of capacity on three levels, and prescribes pragmatically what effectiveness looks like via policy-based checklists for stakeholders: '*The mission is effective when: Faculty do...; Students do.....*'

Growth can also be stimulated by market segmentation (**Felton and Reed 2001**) and planning (**Considine 2001**) to enhance mission effectiveness in CSACs, while **Schuerle and Schmitz (2016)** link sector scalability to SE impact in a comprehensive framework of cognitive frames, social networks and institutions.

The existing CSAC sub-sector is simultaneously faced with significant challenges as well as valuable opportunities. **JustMap** notes that there are *'thousands of Christian groups across the UK carrying out vital social action projects'*, implying capacity-based potential. Further, the think-tank Demos (**Birdwell and Littler 2012:15-16**) found distinct proactive characteristics in religious people, and in a later paper **Birdwell (2013:12-13)** recommends commissioning faith groups to save money and strengthen community. These findings indicate that the sub-sector is scalable.

Dynamic capabilities drive both performance and growth. While the literature on CSAC performance, growth and scalability is sparse, in combination with wider reporting it provides useful pointers which can be developed to match contextual conditions. Arguments for growth as an indicator of success should be carefully qualified, but within a balanced strategy growth can be valuable in meeting undersupplied social needs. The empirical literature prioritises performance as a means to achieve mission, thereby enabling growth and scalability. Salient literary gaps are identified in the next section.

5.4.2 DCT-Related Literary Gaps

Gaps in the theoretical dynamic capabilities literature were identified in Section 5.3.3. Similarly, in this section the empirical literature revealed gaps. Scalability is a central dimension of DCT which here thematically links collaboration, SE and growth. These links are implicit and not specific to not-for-profits or CSACs. No examples or advice regarding inter-charity collaborations for government commissioning were found, suggesting that it is rare, at least among small to medium sized charities. Only one case of SE in CSACs was found, but there are likely to be others which are not reported. Similarly, the literature on CSAC growth was sparse, but in many cases gaps in CSAC-specific literature can be filled by generalised proxies for charities and churches.

The empirical literature on scalability has grown rapidly in the last decade. Recognised academics, including **Doherty et al (2009)**, **Kickul and Lyons (2012)**, **Nicholls et al (2006)** and **Ridley-Duff and Bull (2011)** write about the importance of SE solutions for social problems. Perhaps the largest and most established constituency capable of delivering scale solutions remains the Christian community, about which little is written.

From a business perspective **Clarysse and Kiefer (2011)**, **Gerber (1995)**, **Prahalad et al (2007)**, **Senior (2002)** and **Sullivan (2011)** at best mention faith-based social action in passing. Remarkably, **Budd et al (2006)**, **Dorey (2005)**, **Flynn (2007)** and **Pollitt and Boukaert (2011)** in representing the public sector, and given the constitutional role of the Church of England and CSAC voluntarism are surprisingly barren.

In the Christian literature a sub-sector-specific tension arises between theoretical-doctrinal and operational-applied issues, revealing a gap. For example, **Torry (2005)** challenges a worship-works dichotomy while **Grant and Hughes (2009)** and **Rusaw and Swanson (2004)** seek to bridge the divide between secular society and religion. Similarly, **Boyd-MacMillan (2006)** and **Carey and Carey (2012)** write in support of Christian social mission from different perspectives in the face of often well-meaning but discriminatory government policy, alongside hostility from militant home-grown and imported belief systems that have taken root in post-war Britain. **Procashka (2006)** and **Turnbull and McFadyen (2012)** counter these divisive trends by pointing to the centrality of the Church in social services - past, present and future.

Importantly for CSACs, DCT approaches do not explain how to identify key capabilities or how to develop them in terms of improving missional spiritual-social results.

Next the salient points are combined to illuminate this original contribution to knowledge.

5.4.3 DCT-Related Literary Consolidation and Synthesis

Collaboration

DCT in both the theoretical and empirical literatures is a key driver for collaboration in volatile markets. A variety of forms of collaboration offer CSACs appropriate means to

firm growth and operational scalability in their quest for more effective mission. The reasons for collaboration are usually context-specific, and built in stages on clearly defined and agreed mutual benefits. Collaborations benefit from strong dynamic strategic leadership capabilities including participative governance.

Social Enterprise

DCT describes strategic capabilities in changing markets, and outlines key entrepreneurial functions. Authors characterize SE as a proactive, innovative, risk-taking, 'can do' approach to social problems using adaptive methods to overcome obstacles in their way to achieving social outcomes and impacts. In accord with DCT, SEs create and exploit new business models, products, processes and structures in changing markets. SE is bold and complex in thin markets, more so than conventional forprofit enterprise, and it is growing rapidly in England to sustainably meet undersupplied social needs. However, when considering SE as a (taxable) route to growth, CSACs should assess fundability and tradability offsets within their core operations. If SE offers sufficient incentives, they should make risk-adjusted changes to their business models and structures to facilitate strategic agility and market responsiveness.

Growth

DCT explains firm growth and operational scalability in volatile competitive markets, where evolutionary fitness is critical for survival and SCA. Increasing complexity stimulates the reconfiguration of the resource and capability pool to sense, seize and shape market opportunities. Advice on growth and scale through existing and new products and markets for marketable social results is not lacking (e.g. Ansoff's Vector, Porter's Five Forces, the SCALERS model). Much-needed growth is valued as a performance indicator, but it demands advanced dynamic capabilities - especially for CSACs which must protect and advance their spiritual-social mission.

The following list synthesises the DCT-related literatures informing SE in CSACs:

1. CSACs usually display relational capabilities, which can facilitate collaboration with like-minded organisations for SCA.
2. CSACs possessing the requisite dynamic capabilities may benefit from considering alliances that align with their mission.
3. CSACs in collaboration need to orchestrate combined and reconfigured assets to scale up operations and meet social needs.
4. CSACs require participative governance, flat structures and new business models to trade successfully as proactive, innovative, risk-taking SEs.
5. CSACs competing in volatile markets need SE dynamic capabilities to be strategically proactive, innovative, risk-taking and continuously changing.
6. CSACs can grow by developing and deploying dynamic managerial capabilities, behaviours and actions to improve mission-centric social results.
7. CSACs can grow and upscale operations using recognised models to develop new and existing products and markets in order to achieve their missions.

5.4.4 DCT-Related Thematic Propositions

The research propositions reflect the conceptual constructs which were considered in the light of findings in the Section 5.4.1. In this section, those literary findings are applied to the propositions to provide further insights into their relevance for mission effectiveness and SE in charities.

Collaboration (DCT – theme 1)

Macro Proposition 2/a: *that when firms are seeking scalability in turbulent markets, then the strategic **collaboration** growth option is facilitated by SE models deploying relational and alliance-based dynamic capabilities.*

To assist performance and growth in charities, DCT provides a framework for developing relational capabilities and establishing alliances in pursuit of mission effectiveness. SE means facilitate strategic interaction.

DCT provides guidance on the development and deployment of strategic dynamic capabilities in fragmented turbulent markets. It does not address SE *per se*, but in the nonprofit context, where relationships are central and alliances are proliferating, DCT provides detailed advice suitable for SE scalability. Similarly the empirical literature strongly supports collaboration, as essential for success in complex/unstable markets. However, as a commercially-predicated theory, it does not directly address the sensitive and nuanced issues typical of values-driven charities and faith-based social action.

This proposition is supported by literature showing that SE models promote strategic collaboration, positing that relational and alliance-based capabilities facilitate scale.

Social Enterprise (DCT – theme 2)

Macro Proposition 2/b: *that when firms adopt **social entrepreneurship** principles and practices in their deployment of strategic management dynamic capabilities, then they will innovate and change so as to succeed in complex unstable market conditions.*

Complex/unstable markets demand dynamic capabilities whether as a coherent (but expensive) ‘best practice’ package or as a source of principles for guidance alongside other models, notably SE here.

DCT describes strategic management capabilities suited to the complex thin markets served by SEs operating collaboratively. As noted, SE is characterised by a proactive, risk-taking, innovative approach in order to prosper in turbulent markets. Further, DCT addresses product and business model innovation. However, where charities are established in the traditionally risk-averse philanthropic income model, they may be ill-prepared for innovative risk-opportunity trade-offs and continuous change.

Thus the literature supports this SE proposition, while accepting that not all SEs will develop and deploy the necessary capabilities to innovate, change and succeed.

Growth (DCT – theme 3)

Macro Proposition 2/c: *that when firms deploy dynamic strategic management capabilities to achieve mission-centric social outcomes and impacts, then they facilitate organisational **growth** and sector scalability.*

DCT offers a comprehensive set of tools to guide charities seeking to achieve mission in turbulent competitive markets. Similarly, SE offers means to social purpose trading.

DCT states that growth is a measure of success, although the literature warned that this link had not been established. However, DCT promotes strategic capabilities within an appropriate framework for growth through entrepreneurial collaboration and innovation, suggesting that increasing mission-aligned social results demonstrate effectiveness. In addition, many empirical authors linked firm growth to effective scalable operations. However, DCT prioritises economic productivity over compassion and does not advise charities incurring high long-term relational costs to serve the most marginalised. Overall, despite its limitations in the nonprofit sector, the literature supports this proposition, while noting that some firms eschew growth and operational scalability.

DCT addresses entrepreneurial management to promote innovation, change and growth in turbulent developed markets. As a commercial theory it assumes that markets can be selected for their competitive returns potential, accepting that higher returns warrant greater risk-taking. However, the most marginalised in society occupy the thinnest markets where the viability of social action always requires philanthropy. Thus, although DCT is partially inadequate for mission effectiveness, on balance the literatures support the second proposition, **P2:** *that when SE means are supported by strategic **dynamic capabilities** to improve social outcomes and impacts and realise organisational growth and subsector scale, then mission effectiveness in CSACs improves.*

This literary evaluation of DCT-based propositions offers helpful if unsurprising insights, because the propositions emerged from literary discoveries alongside prior observations. These propositions infer causal linkages which are described and explained later.

5.4.5 DCT-Related Mission Effectiveness and SE in Charities

The preceding insights into the DCT conceptual constructs confirm that this theory is a good match with SE for charities seeking mission effectiveness in turbulent markets. The following elements are particularly relevant in this research:

DCT Concepts:

Competencies:

Charities are increasingly integrating, building and reconfiguring their competencies into distinctive new competencies suited to the demands of current social markets.

Resource base development:

Ordinary resources and capabilities as described in RBT typically require upgrading to achieve SCA and mission effectively in volatile markets. The DCT processes of coordinating/integrating, learning and reconfiguring enable systematic upgrading.

DCT Main Concepts:

Collaboration for growth is complex, systematic, strategic and mission-centric.

Social Enterprise provides a useful approach to competitive social market trading.

Growth as aligned with mission to meet social needs can draw on DCT/SE means.

DCT-Related Propositions:

Collaboration via alliances affords a phased approach to scaling up operations.

Social Enterprise means elicit innovation and change management for sustainability.

Growth and operational scale are based on social outcomes and aligned with mission.

DCT Strand-based Issues (variables) for Questions:

Collaboration – proactive engagement, stakeholders, intra and cross-sector collaboration.

Social Enterprise – entrepreneurialism, innovation, change readiness.

Growth – social outcomes and impacts, effective decision-making, manageable scaling.

5.5 Relevance of DCT for Mission Effectiveness and SE in CSACs

DCT is one of a number of organisation and management theories that are relevant to mission effectiveness and SE. Its relevance is prioritised because many CSACs possess resources and capabilities which they understand, but which they may not be able to develop and deploy strategically to achieve growth and SCA in changing environments. DCT supports SE means for CSACs which can trade, noting that trading may not be the most suitable route to growth and operational scale in every case (see Figure 7.1). Some conditions that favour SE means are effective are evidenced later.

5.5.1 DCT for CSAC Mission Effectiveness

DCT extends the emphasis on trust in RBT into an entrepreneurial approach to growth which systematizes relational and alliance-based capabilities. While growth is needed to meet rising demand, mission effectiveness also depends heavily on the capabilities of strategic level decision makers. DCT provides a coherent framework within which to develop and deploy evolutionary dynamic capabilities for growth and scale.

5.5.2 DCT for CSAC approaches to SE

DCT addresses entrepreneurial growth in turbulent markets in general terms. SE means and methods encompass the social dimension of entrepreneurship focusing on achieving sustainable social outcomes and impacts. While the former is a theory, the latter is a set of practices which are now identified by some commentators as a distinct economic sector. SE means and methods are business-like, and therefore have much to offer CSACs, including efficient business models and collaborative income generating models.

5.5.3 DCT for CSAC Theory

CSACs depend on their resource bases and existing competencies to sustain their activities in complex and unstable competitive funding markets. DCT complements and supports the SE practices that have been found to respond successfully to these market conditions. Both DCT and SE offer value to charities seeking to growth and scale, within a new DRT theory (Figure 8.9) built on concepts and linkages (Figures 1.3, 8.7, 8.10).

5.6 Objective 1 - Strengths and Weaknesses of DCT in terms of SE

The strengths and weaknesses of DCT are crucial to an understanding of mission effectiveness as it relates to SE in CSACs, in terms of their support for SE. Through inductive reasoning it is possible to demonstrate a satisfactory level of evidence to support the argument for mission effectiveness through SE to fulfill Objective 1.

The first sub-section briefly revisits the research question before considering DCT in terms of SE, and concluding with arguments for SE in CSACs drawn from the literature.

5.6.1 The Main Research Question Revisited

At this stage it is appropriate to revisit the main research question '*How could CSACs in England be more effective in delivering their missions?*' in the light of the DCT literatures.

The literature suggests three impacts on the research question: 1) the charity model facilitates tax-subsidised mission-centric activities for service provision in simple/stable markets; 2) multi-faceted dynamic SE models facilitate developmental entrepreneurial solutions to social problems in complex/unstable markets, and 3) mission effectiveness could be described as 'obtaining optimal social impacts through sustainable means', noting that the ends and the means co-exist within a market.

Thus the literature confirms that CSACs could play a more effective role using SE means to deliver mission-centric services sustainably in turbulent markets. It infers that, unless they were already committed to solving social problems for which initial funding was forthcoming and future trading profits were likely, only suitable change-ready CSACs should consider (low risk) entry into developmental markets, before surrendering tax exemption. Importantly, in volatile SE markets, visions values and missions tend to be shaped by commercial concerns, which could have negative impacts on their faith-based missions. Perhaps a more apposite research question would have been: '*How could CSACs in England be more effective in delivering their missions?*'

Having contextualised DCT, its strengths and weaknesses will be presented next.

5.6.2 Dynamic Capabilities Theory – Strengths and Weaknesses for SE

DCT is a complex theory which provides broad guidance on improving firm performance through entrepreneurial change to achieve SCA. Literary confirmation of DCT *strengths* for operational scalability was substantial:

1. It explains the role of relational capabilities in key stakeholder networks.
2. It proactively deploys relational capabilities to exploit market opportunities.
3. It facilitates inter and cross-sector alliances to optimise asset orchestration.
4. It promotes SE via innovative products, processes and business models.
5. It facilitates strategic change for operations in volatile competitive markets.
6. It enhances capabilities to create strategic value via social outcomes/impacts.
7. It harnesses product/market potential for firm growth and operational scale.

DCT's strengths are particularly relevant for charities and CSACs seeking to grow in current complex/unstable markets via new trading models based on SE approaches.

Weaknesses are found in the scope and the lack of guidance on applying DCT:

1. Overlap with alternative constructs, e.g. first mover advantage, absorptive capacity.
2. Alternatives may offer cheaper (sunk cost) ad-hoc solutions e.g. intrapreneurship.
3. Little guidance on prioritisation and costs of new capabilities in changing situations.
4. Little guidance on leverage to influence decision-makers on the need for change.
5. Little guidance on assessing readiness to collaborate, innovate or change.
6. Little guidance on the dynamic capabilities required for different market contexts.
7. Little guidance on potential links between product/market growth and sector scale.

DCT offers 'business' solutions without addressing the key charitable motivation.

DCT is prioritised relative to RBT because it encourages SE means. Its strengths are directly relevant to new theory, while its weaknesses demand firm-specific solutions.

5.6.3 Arguments Arising in the Literature for SE in CSACs

The central argument in this thesis posits that (suitable) CSACs could benefit from deploying SE means to become more effective. Both charities and SEs can benefit from developing and deploying dynamic capabilities, regardless of trading implications.

DCT is related to RBT, extending it into the use of strategic dynamic capabilities suited to entrepreneurial activities in turbulent markets. Both are relevant and were selected for their close fit with the research aim.

DCT argues that when organisations can effectively develop and deploy their capabilities in a certain manner, then they will grow strategically in turbulent markets. The DCT-related empirical literature emphasises context-specific strategic capabilities which promote organisational growth, and thereby sector scale.

Mission effectiveness may be enhanced where organisational growth is desirable to meet social needs, including where SE offers means to sustainable earned income via:

Alliance-Based Collaboration: CSACs can reconfigure and protect their assets to combine, co-specialise and orchestrate assets with like-minded partners within and across sectors, in order to scale up operations rapidly.

Entrepreneurship and Opportunity: CSACs can adopt and adapt SE governance, business models, risk-opportunity assessment, technologies and services, and investment criteria to exploit market opportunities and grow.

Innovation and Change: CSACs embracing typical SE innovation and strategic continuous change can modify, invent, and capitalise on their unique products, processes, and positions to develop paths for growth in changing markets.

Social Impacts and Decision-Making: Dynamic decisive leaders using evidence-based social results for decision making and reputation building can achieve size-independent organic and collaborative growth.

Manageable Growth: CSACs armed with strong performance-based results can grow using planned/non-random means either independently or in alliances, by entering new markets with new products to achieve mission-centric SCA.

The DCT literary findings in this chapter meet the requirements of **Objective 1**, namely: *'To identify and evaluate via a desk review the main strengths and weaknesses in two theories (RBT and DCT) which underpin SE'.*

5.7 Development of Propositions and Questions derived from DCT

The previous section discussed the development of propositions and questions in the light of objectives selected from RBT on account of their relevance to charities. Similarly here DCT provides the theoretical justification of propositions and questions. The ten DCT-related multiple choice questions are cited within the main text and expanded in Table 5.1 but only shown in full in Appendix 6. The links between objectives, propositions and questions are outlined in Appendix 1, and shown in more detail in Appendix 7.

5.7.1 Collaboration

DCT promotes scalability in CSACs through dynamic capabilities which reflect SE means to mission effectiveness. It posits that collaboration is achieved through Relational and Alliance-based capabilities (**Helfat et al 2007:65-79; 80-99**). Here scalability for mission effectiveness requires inputs in terms of proactive engagement, stakeholder management, and multi-sector collaboration.

Sub-Objective 2.1: *To identify, explain and evaluate the role of proactive relational capabilities in strategic management of organisational collaboration.*

Sub-Proposition 2.1: *That when relational capabilities are proactively and strategically developed and deployed, then relationship-based competitive advantage is achieved.*

Sub-Questions 2.1.1-2.1.2: *proactive engagement, stakeholders.*

Relational capabilities create, extend, or modify a firm's resource base, augmented to include the resources of alliance partners (**Helfat et al 2007:66**). Within the firm and its networks, purposeful ties can be developed to enhance competitive advantage.

Networking and stakeholder management (**Teece 2009:193**) facilitate strategic collaboration. The core resources of trust, culture, human resources and IT (**Barney 2007:79-160**) are central to dynamic relational capabilities. These drive SCA through complementary capabilities, relationship-specific assets, effective governance and interfirm knowledge sharing routines (**Helfat et al 2007: 67-79**). Interpersonal trust helps reduce costs and protect shared assets. Managing talent is addressed in **Barney (2007:63-67, 74)** and **Teece (2009)**, and teamwork to achieve SCA is widely reported, for example in **Barney (2007:58, 151-156)**, **Helfat et al (2007:47-64)**, **Teece (2007:1321,1342-1344)** and **Teece (2009:161)**.

Sub-Objective 2.2: *To identify, explain and evaluate the role of dynamic capabilities in a firm's readiness to sense, seize and shape opportunities for collaborative alliances.*

Sub-Proposition 2.2: *That when firms have the capability to collaborate through alliances, then they seize optimal market opportunities.*

Sub-Questions 2.2.1-2.2.2: *intra-sector collaboration, cross-sector collaboration*

Alliance-based capabilities include relationship-specific assets, complementary capabilities, interfirm knowledge-sharing and effective governance. These afford larger and potentially more market-responsive platforms from which to sense, shape and seize opportunities.

Alliances take many forms including joint ventures [see **Barney et al (2001:633)** and **Barney (2007:117)**], strategic alliances [see **Helfat et al (2007:68)** and **Teece (2009:189)**], and mergers and acquisitions [see **Eisenhardt and Martin (2000:1109)**, and **Helfat et al 2007: 80-99**]. Issues surrounding intellectual property and interdependence are also discussed e.g. **Teece (2009:218-219)**. Commonly the high cost of transactions (**Teece 2009:91**) promotes collaborations which offer synergies,

complementary assets and economies of scale. Typically, alliances also accelerate the combination, reconfiguration and cospecialisation of assets.

Macro Proposition 2/a: *that when firms are seeking scalability in turbulent markets, then the strategic **collaboration** growth option is facilitated by SE models deploying relational and alliance-based dynamic capabilities.*

DCT enshrines strategic management for growth. One route to scaling up operations involves developing relational capabilities to facilitate alliance-based scalability.

5.7.2 Social Enterprise

DCT does not discuss SE *per se* but rather entrepreneurship features in both theories, as explained in **Barney et al (2001:628, 634)**, **Teece et al (1997:517)** and **Teece (2009:35, 49, 67)**. However, SE processes facilitate scalability in turbulent competitive markets by dynamically managing entrepreneurship, risk, innovation and proactivity to achieve market-responsiveness.

Sub-Objective 2.3: *To identify, explain and evaluate management's social entrepreneurship capability for social enterprise approaches to sector scalability.*

Sub-Proposition 2.3: *That when charities wish to generate income, then social entrepreneurship capability for the creation of new products, processes, structures and business models provides a means of scalability.*

Sub-Questions 2.3.1-2.3.2: *entrepreneurialism, innovation*

Where charities aspired to a trading business model, SE capabilities can be developed to drive change and introduce new 'products' to enable scalability.

Helfat et al (2007 :119-120) see entrepreneurship as indispensable to a firm's future direction. DCT also emphasises business ecosystems and models in the context of collaboration (**Teece 2009: 16, 17, 24, 52, 35, 49, 122**). Entrepreneurial DCT facilitates

entry **Barney (2007:40)**, **Wernerfelt (1984:177)**, and trading in failed **Barney (2007:186-189)**, uncertain **Eisenhardt and Martin (2000:1110-1114)**, **Teece (2009:23, 61, 124)**, and evolving markets **Helfat et al (2007:26)** and **Teece (2009:76, 101)** to achieve SCA. In these markets, dynamic entrepreneurial skills are essential for sensing and seizing opportunities, managing threats and transforming a charity into an SE **Teece et al (1997:523)** and **Teece (2009:49)**.

Change is seen as inevitable in DCT, and it demands dynamic capabilities to manage it successfully as explained by **Eisenhardt and Martin (2000:1118)**, **Helfat et al (2007:46-64)**, **Teece et al (1997:510,528)** and **Teece (2009:17)**.

***Sub-Objective 2.4:** To identify, explain and evaluate the role of social enterprise dynamic capabilities in readiness for organisational change.*

***Sub-Proposition 2.4:** That when charities possess the dynamic capabilities to exploit current positions, processes and paths, then they are ready to accommodate the change required to become SEs.*

***Sub-Question 2.4.1:** change readiness.*

Future potential paths typically require dynamic capabilities and knowledge-based processes in order to modify and extend the current resource position (e.g. in alliances). Evidence of dynamic capabilities (e.g. asset orchestration) suggests SE-readiness.

Innovation is a key driver of change according to **Barney (2007:83-84, 242-243)**, **Teece (2007:1320)** and **Teece (2009: 17, 45)**. It enables market-responsive changes, typically involving modifications to the firm's resource base. Kirzner's approach to incremental change is cited in **Teece (2009:9,10, 206-207)** and Schumpeter's 'creative destruction' resulting in the transformational changes required by charities to trade as SEs, is noted by **Miles (2012:91)** and **Teece (2009)**. Path dependence is also widely considered in **Helfat et al (2007: 115-120)**, **Miles (2012: 90, 220)**, **Teece et al (1997:518-524, 530)** and **Wernerfelt (1984:172)**.

Macro Proposition 2/b: *that when firms adopt **social entrepreneurship** principles and practices in their deployment of strategic management dynamic capabilities, then they will innovate and change so as to succeed in complex unstable market conditions.*

SE means incorporate innovation and organisational change, guided by DCT.

5.7.3 Growth

DCT prizes growth as a measure of success **Helfat et al (2007:99-114)**, **Teece (2009:203)** and **Wernerfelt 1984:180**). Here growth is predicated on organisational capabilities to achieve SCA derived from social outcomes and impacts, and to build manageable firm growth on the performance of new products in new markets.

Sub-Objective 2.5: *To identify, explain and evaluate the contribution of dynamic capabilities to achieving social outcomes and impacts in terms of organisational growth.*

Sub-Proposition 2.5: *That when firms' missions require them to achieve social outcomes and impacts, then dynamic management capabilities must be exercised to achieve growth in changing markets.*

Sub-Questions 2.5.1-2.5.2: *effective decision-making, social outcomes and impacts.*

Appropriate strategic dynamic capabilities must be developed and deployed by managers, with top-level support, to achieve growth in volatile competitive markets.

The dynamic capabilities to improve social outcomes and impacts mainly concern efficiency and effectiveness in **Miles (2012:90, 218)** and **Teece et al (1997:518)** and effective decision-making by **Eisenhardt and Martin (2000:1118)**, **Barney (2007:50-5)**, **Teece (2007:1332)** and **Teece 2009:35,49**). Notably, rents/surpluses are vital for sustainability (**Barney 2007:29**), as are dynamic capabilities for orchestrating assets to produce competitive results in thin markets **Helfat et al (2007:24)**, **Teece (2007: 1322-1326)** and **Teece (2009: 17, 26-29, 34-36, 49)**.

Sub-Objective 2.6: *To identify, explain and evaluate the role of dynamic capabilities in the strategic management of firm growth as a measure of performance.*

Sub-Proposition 2.6: *That when manageable, non-random and size-independent organisational growth is to be achieved, then relevant strategic management capabilities are required for specific firm and industry settings.*

Sub-Question 2.6.1: *manageable scaling up*

Growth potential is largely dependent on capabilities exercised appropriately for any particular firm. Accordingly, charities of all sizes can grow within their 'industry' segment.

To facilitate the management of strategic growth **Wernerfelt (1984:176)** offers a useful resource-product matrix. Reputation is important, especially for potential organic growth as illustrated by **Wernerfelt (1984:176)**, **Barney (1991:115)** and **Teece (2009:219-220)**. Vertical integration can also enhance scalability (**Teece et al 1997:518**). Strategic fit with both the market and partner firms is considered in detail by **Teece (2009:40,105)**.

Macro Proposition 2/c: *that when firms deploy dynamic strategic management capabilities to achieve mission-centric social outcomes and impacts, then they facilitate organisational **growth** and sector scalability.*

While missions provide the focus for social action results, dynamic capabilities provide competencies required for charities to grow and for their sector to scale up operations.

Thus the theoretical strands embedded in the research sub-objectives are justified, and further explored in Table 5.1. Redundant questions are shown in Appendix 8.

Mission Effectiveness and Social Entrepreneurship:
Theoretical insights and case-study evidence from three Christian charities in England

QUESTIONS and their RATIONALE – DCT

TABLE 5.1

Theme & Strand	Q No.	Question (3 options, ranked on a 5 point Likert scale)	Why asked?	Value added?	Link to Sub-Objective?
Collaboration					
Relational Capabilities					
	2.1.1	Proactive engagement - which description suits you best?	Because proactivity with stakeholders has often been seen to be limited.	It will reveal the relational and strategic criteria of proactive engagement.	<i>Proactive stakeholder relationships yield perspectives and opportunities.</i>
	a	Stakeholder engagement is conducted on a 'needs' basis			
	b	Stakeholder engagement is planned and strategically managed			
	c	Unsure, but any change would have to be cost-effective			
	2.1.2	Stakeholders - which description suits you best?	Because relational capabilities are essential to identify and engage key stakeholders.	It will reveal the effectiveness of strategic management in optimising relational assets within and outside the firm to achieve sustainable competitive mission effectiveness.	<i>Stakeholders are assets in alliances, when their skills are well managed.</i>
	a	Key stakeholders are trustees, management, and some staff			
	b	Key stakeholders include our beneficiaries , critics and others			
	c	Unsure, but stakeholder consultation is mainly for research			
Alliance-based Capabilities					
	2.2.1	Intra-sector collaboration - which description suits you best?	Because defensive, silo-based approaches to intra-sector collaboration were observed.	It will reveal firms' criteria and appetite for collaborative alliances with other CSACs.	<i>Collaboration is a potential means to scale up, e.g. with like-minded firms.</i>
	a	We are quite self-sufficient, so don't seek much collaboration			
	b	Intra-sector collaboration is essential for survival and growth			
	c	Unsure, but a clear strategy could be useful if it wasn't costly			

Mission Effectiveness and Social Entrepreneurship:
Theoretical insights and case-study evidence from three Christian charities in England

2.2. 2	<i>Cross-sector collaboration</i> - which description suits you best?	Because few cross-sector alliances were seen, despite potential for SCA and scalability.	It will reveal how CSACs identify, screen and select potential cross-sector partners.	<i>Cross-sector collaborative opportunities introduce complexity into scaling up.</i>
a	Little or no collaboration, unless for low-risk financial gain			
b	Despite mutual misunderstanding, we would like to explore			
c	Unsure, but above all we need to protect against mission drift			

Mission Effectiveness and Social Entrepreneurship:
Theoretical insights and case-study evidence from three Christian charities in England

Theme & Strand	Q No.	Question (3 options, ranked on a 5 point Likert scale)	Why asked?	Value added?	Link to Sub-Objective?
Social Enterprise					
Social Entrepreneurship					
	2.3.1	Entrepreneurialism - which description suits you best?	Because SE means facilitate access to untapped market opportunities for scaling.	It will reveal the pragmatic and ethical factors affecting CSAC market opportunities.	<i>Social entrepreneurship draws on effective commercial entrepreneurship .</i>
	a	Entrepreneurialism is unnecessary in charities			
	b	Entrepreneurialism is useful as ethical, creative opportunism			
	c	Unsure, but to consider it seriously would be a major change			
	2.3.2	Innovation - which description suits you best?	Because of an observed reluctance in CSACs to develop new products, processes, structures, business models and technologies.	It will reveal the drivers, priorities, stakeholders and criteria which affect innovation.	<i>Entrepreneurialism involves proactivity, risk-taking and innovation.</i>
	a	Innovation is gradual and is the responsibility of top executives			
	b	Innovation demands change, and all staff are responsible			
	c	Unsure, but innovation is safest when copying proven models			
Change Readiness					
	2.4.1	Change readiness - which description suits you best?	Because observed readiness for change and its management was often suboptimal.	It will illuminate the capability of CSACs to change and become scalable SEs.	<i>Change readiness to adapt to volatile markets affects firm competitive advantage.</i>
	a	Change should be incremental, and planned in advance			
	b	Change management requires reactive and proactive skills			
	c	Unsure, but for it to be useful it needs to be widely understood			

Mission Effectiveness and Social Entrepreneurship:
Theoretical insights and case-study evidence from three Christian charities in England

Theme & Strand	Q No.	Question (3 options, ranked on a 5 point Likert scale)	Why asked?	Value added?	Link to Sub-Objective?
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Growth

Social Outcomes & Impacts

2.5.1	Social outcomes or impacts - which description suits you best?	Because democratic SE practice may seem counter-intuitive to charity stewardship.	It will illuminate how social impact information is generated and used for scalability.	<i>Social outcomes/impacts may manifest dynamic capabilities often via growth.</i>
a	Beneficial results from the organisation which can be proved			
b	Beneficial results which the recipient is known to value			
c	Unsure, but some public good aligned with our social mission			
2.5.2	Effective decision-making - which description suits you best?	Because structural factors had been seen to influence the quality of decision-making.	It will identify the criteria and practices that influence the decision-making process.	<i>Effective decision-making facilitates dynamic SE strategy and implementation.</i>
a	Speed is paramount so only low staff input is needed			
b	The objectivity and inclusivity of the process is paramount			
c	Unsure, but protect our culture while improving effectiveness			

Firm Growth

2.6.1	Manageable scaling up - which description suits you best?	Because few instances of strategic firm growth and operational scale were observed.	It will partially reveal the potential for mission-centric, SE-based, manageable growth.	<i>Dynamic capabilities can strategically and sustainably scale up firm operations.</i>
a	Moderate, incremental increases in work volumes			
b	Flexibility to cope with large stepped increases in volumes			
c	Unsure, but sufficient capability to cope without overload			

The foregoing sections have described and justified the research objectives, propositions and questions to conclude this chapter.

5.8 Chapter Summary

Chapter 5 reviewed the selected DCT-related theoretical and empirical literatures through the lens of conceptual constructs. The literatures revealed key insights into the use of the theories to address the research question and the research problem.

Following introductory comments and a review of DCT conceptual constructs, in Section 3 the theoretical literature exposed and evaluated DCT thematic constructs and later manifestations of strand-level constructs to reveal gaps for new theory. Section 4 considered DCT-related empirical literature, before moving on in Section 5 to propose the theory's relevance for CSACs in terms of mission effectiveness, SE and new theory. In Section 6 the strengths and weaknesses of DCT in combination with SE means were argued to fulfil research Objective 1. Finally, the development of DCT-related propositions and questions was described in Section 7.

When combined, the RBT and DCT literatures provide sufficient justification to proceed with the quest for a new hybrid theory of mission effectiveness. It is now appropriate to consider the methodology required to progress this research.

6. THE RESEARCH DESIGN AND METHODS

6.1 Introductory Comments

In Chapter 1 this research was introduced, followed in Chapter 2 by an explanation of the logical approach to building evidence-based arguments. Then Chapters 3, 4 and 5 reviewed the contextual, theoretical and empirical literatures to reveal key insights, gaps and evidence. The questions mentioned in Chapters 4 and 5 align research evidence (both literary and case-based) to the overarching research aim, i.e. to demonstrate that CSAC missions could become more effective through SE means.

The purpose of this chapter is to set out the precise thinking behind how the research is designed and why certain methods are selected. Accordingly this chapter is presented in six sections, including this introduction. In the second section, a methodological overview introduces the 'Research Onion' framework used merely to provide structure to the selected research design. Third, the data variables are identified and discussed. Fourth, case study data acquisition is explained in the light of the practical demands of the research fieldwork, questions to elicit responses linked through questionnaires, interviews involving interpretative communication and public information; these within a standard ethical framework. Fifth, the data analysis process is explained, before finally summing up in the sixth section.

6.2 Research Methodology and Design

Numerous methodologies and designs exist to guide research, but choices are largely determined by the evidence needed to make the case (**Punch 2014**).

Research methodology is the study and application of scientific methods used to obtain and make sense of data and yield results, defined by **Saunders et al (2009:2)**:

'...(methodology is) the theory of how research is undertaken, including the theoretical and philosophical assumptions upon which the research is based and the implications of these for the method or methods adapted, as opposed to methods, which are the tools and techniques used to obtain and analyse data.'

In the first instance, methodology provides scientific techniques for investigating phenomena and contributing to knowledge. Clearly, different research topics engender different methodological perspectives. This research topic is viewed both realistically and interpretivistically, employing empirical qualitative data which are largely self-evident and which elicit arguments based on probability.

Research design sits within the theory of research, or research methodology. It encompasses and defines the required elements and procedures of research according to the research perspective. **Robson (2008:59)** proposes four perspectives from which to approach the research question: exploratory, descriptive, explanatory and emancipatory. Each perspective allows different degrees of design flexibility e.g. more inductive, emergent the research questions require more flexibility.

Here, the research design incorporates all four perspectives. *Exploratory*, because CSAC research is minimal; *descriptive*, because in order to construct meaning some description of the cases and their contexts is necessary; *explanatory*, because the research problem requires extensive knowledge of the situation in order to gather the right information; and *emancipatory*, because the research expects to provide impetus for policy changes at firm and possibly governmental levels. It also *explains* key evidence to support the argument that CSACs could play a more effective role in social service provision.

These insights lead into a discussion of choices and their implications, next.

6.2.1 A Methodological Overview

This research began as a series of work-related case studies, which confirmed the authors' main philosophical assumptions that the experience of social needs is unpleasant; that the knowledge, means and will to alleviate these needs are available; and that effective mission-centric social action can alleviate some needs.

Few would argue against the reality of social needs, and the importance of meeting them. However, although important, on its own a realist philosophy is insufficient for this thesis. While not precluding interpretation, realism lends itself to quantitative

research with its emphasis on tangible and measurable inputs, processes, outcomes and impact. It may one day be possible to usefully measure and manage intangible results, for example aspects of human well-being including faith, hope and love. Notwithstanding, here interpretivism provides meaningful insights to complement realism, as unfolded through a comprehensive model for research design, next.

6.2.2 The 'Research Onion'

The previous sections clarify key methodology and design concepts. This section justifies methodological choices using a methodological framework, the 'Research Onion' (**Saunders et al 2009**). Each layer of the onion presents alternative ways of engaging with the research question '*How could CSACs in England be more effective in delivering their missions?*' .

The 'onion' (Figure 6.1) is a general framework for undertaking research and exploring existing theories in new contexts before testing or building theory. It posits six 'layers' of research: philosophy, approach, strategy, choices, time horizons, and data considerations.

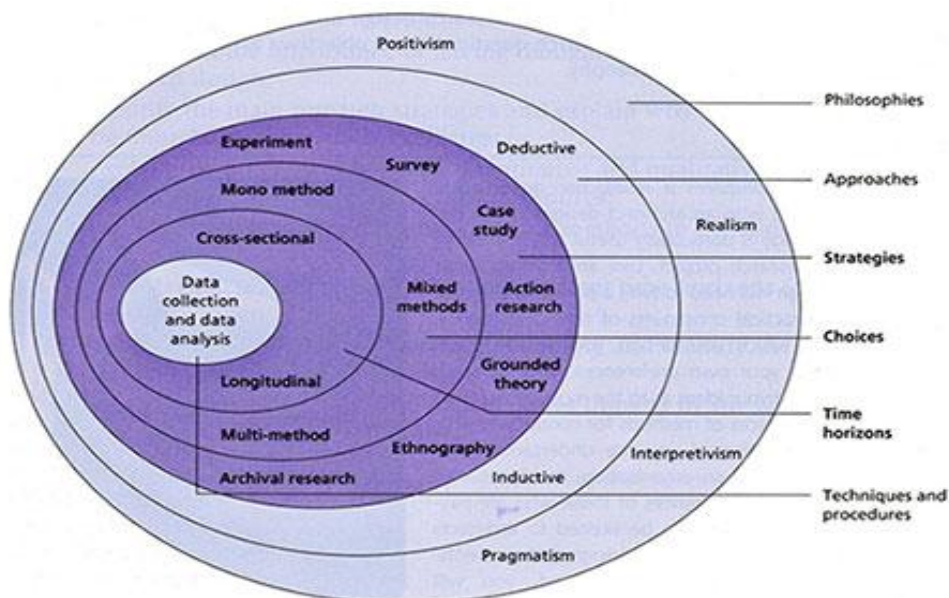


Figure 6.1 The 'Research Onion'. Saunders et al (2009:83)

Each layer of is summarised overview of the 'onion' is discussed, next.

6.2.3 The Research Philosophy

Philosophy necessarily frames thinking that seeks to provide reasoned contributions to knowledge. The first layer of the 'onion' is research philosophy, which reflects the way that knowledge is developed. The **OED (2014)** defines philosophy as:

'The study of the fundamental nature of knowledge, reality, and existence, especially when considered as an academic discipline. A theory or attitude that acts as a guiding principle for behaviour.' Synonyms include: beliefs, faith, convictions.

The research topic and what is known about it largely determine how appropriate knowledge can be developed. The authors posit three dominant views about the research process: *positivism*, *interpretivism* and between these poles, *realism*. No one view is best, and more than one may be adopted.

Positivism is commonly used in the natural sciences and medicine, where laboratory and other controlled environments enable accurate quantitative measurement and statistical analysis. This tradition prioritises value-free objectivity, independence, detachment, and structured methodologies which facilitate replication. Positivism is rejected for this research on the grounds that the subject matter is subjective and so is open to different interpretations by different respondents. Furthermore, in the absence of all but the most basic financial standardised metrics required of all charities, the cases lack comparable quantifiable data.

Interpretivism on the other hand sees business situations as complex and unique context-specific social constructs which reflect a particular set of circumstances and people. In turbulent markets served by heterogeneous organisations, even abstract level generalisability may be impaired over time. Interpretivism recognises the necessity to explore the subjective meanings that people attach to their situations. Different interpretations result in different actions which are meaningful in different socially constructed environments.

Realism recognises that people share interpretations of their social environments, thus yielding commonly experienced motivational stimuli. Further, it holds that reality is independent of human beliefs, values and thoughts, enabling external macro social forces to affect peoples' worldviews unbeknown to them. The shared interpretation and consequent motivation between the research cases and wider society reflect concern and goodwill towards disadvantaged people, hence social action.

In this research, the need for evidence of universally recognised beneficial social outcomes and impacts focuses arguments on realism, through data measures and fiscal policies. Here, distinctive worldviews demand an interpretivist philosophy that accommodates an understanding of the specific religious and social contexts in which CSACs operate. The role of the interpreter in this research is threefold. Firstly, it interprets respondents' answers to theory-based questions, while avoiding bias arising from the author's own understanding and experience. Secondly, it interprets their answers in the light of RBT and DCT. Thirdly, it interprets the author's suggestions for new theory to the reader.

Within the long and broad history of mainstream Western philosophy, reasoning in faith-based CSACs is more closely aligned with Aquinas's God-centric Five Ways and Kant's metaphysical justifications, rather than with Sartre's man-centric existentialism and Durkheim's sociological moral individualism (**Stokes 2002**).

Here the ontology, or the nature of reality or existence, posits that the reality of social impacts generated by CSACs can be reliably observed and measured by professionals of no faith or another faith. This is possible because they all share a common (realist) epistemology, by which they agree on how something (social impact) can be known.

In summary, an interpretivist-realist philosophy has been justified and adopted.

Next, the logical approach that grounds this philosophical stance is considered.

6.2.4 The Research Approach

Approaching the research topic in order to identify suitable subjects and data requires an understanding of the problems and the questions that would elicit useful answers. These answers engender solutions whose implementation could improve mission effectiveness. Within this interpretivist/realist philosophy, the case is made for a new hybrid theory from generalisable, defensible, convergent lines of reasoning.

Theories, where they are identified and established at the beginning of the research process, influence the choice of research approach. Broadly speaking, *deductive* approaches involve a research strategy to test hypothetical theory based on the results from quantitative data analysis. Conversely, *inductive* approaches evaluate propositions (usually derived from observation) to develop theory based on qualitative data analysis and findings. Deductive reasoning is 'top down' to reach a certain conclusion, whereas inductive reasoning is 'bottom up', seeking strong evidence for the probability of the veracity of a conclusion. Thus deduction is closer to positivism, and induction is closer to interpretivism as shown in the 'onion' (Figure 6.1).

Although RBT and DCT could be used to collect and analyse quantitative data, qualitative data reflecting managerial, organisational and socio-religious realities are prioritised within a mixed methods approach to facilitate assessment using critical realist evidence-based criteria. Thus theory follows inductively, enabling cause and effect linkages may be inferred while accepting that they cannot be proved.

Later this inductive approach justifies theory as to how the observed data from case studies fit with the wider world (**Van de Ven, 2007:123**). RBT and DCT theories are explored by applying primarily inductive reasoning to identify relevant constructs. Accordingly, in the present research, it is appropriate and possible to apply inductive logic to the determined research strategy, which is now discussed.

6.2.5 The Research Strategy

As the 'layers of the Onion' are 'peeled', the research focus narrows. In general terms, a research strategy or plan enables the research question(s) to be asked in the

most appropriate way. Answering these question(s) is the focus of methodologically justifiable decisions. These decisions specify data sources (e.g. participants), collection constraints (e.g. access), and most importantly the strategy type. Six strategies are available along a deductive – inductive continuum:

1. Experiment
2. Survey
3. Case study
4. Grounded theory
5. Ethnography
6. Action Research

Clearly the controlled conditions for *experimentation* are not possible for this research. Similarly the detached *survey* process is rejected, because it relies on simple, clear standardised questions best suited to broad exploration in large populations. By contrast, detailed questionnaires and interviews are used here in *case studies* to capture ‘what’, ‘how’ and ‘why’ responses. *Grounded theory* was precluded because of the requirement to repeat and test observations, with reference to both inductive and deductive data. Respondents simply did not have the time to dedicate to this process. An *ethnographic* strategy would have yielded valuable interpretation of social constructs, but would have been too time-consuming over an extended period. Finally, this thesis is not *action research* because the author was not participating in organisational change as part of problem-solving research.

The most suitable strategy to explore existing theory and develop new theory is the *case study*. It is particularly appropriate because it allows purposive, subjective and context-specific understanding of theoretical constructs, and case-based interpretation of data findings. A multiple case study strategy was adopted to provide a range of insights into the application of mainstream theories in a ‘real world’ context. At abstract and sector-wide levels replicability of results are credible, but generalization becomes more limited within the CSAC subsector and between cases. However, existing and new theories are certainly examinable and adaptable.

Case study methodology recommends mixed methods, in which both qualitative and quantitative data combine to provide a stronger research base. In the absence of

relevant comparable metrics, this research adopts a mainly qualitative approach to management theory as practiced in CSACs. Here quantitative financial data from the public record provided limited but useful information. A multi-methods approach, for example combining case study and survey methods, was deemed to be unnecessarily costly for little added value. Rather, a multiple case study was selected for its consistency and purposive fit with the aim of improving effectiveness.

The selected case study methodology is explained in the following sub-sections. **Yin (2009)** sets out a framework comprising six interconnected elements:

- i. Plan
- ii. Design
- iii. Prepare
- iv. Collect
- v. Analyse
- vi. Report

First, case study planning and designing are discussed.

i. Plan

The case study strategy uniquely addresses 'how' and 'why' questions relating to a contemporary set of events over which the researcher has little or no control (pp8-14).

Yin provides a twofold definition of case studies (p18):

- a) *'A case study is an empirical enquiry that:*
- *investigates a contemporary phenomenon in depth and within its real-life context, especially when*
 - *the boundaries between the phenomenon and the context are not clearly evident.'*

And he also highlights the benefits of the case study method:

- b) *'The case study enquiry:*

- *cope with the technically distinctive situation in which there will be many more variables of interest than data points, and as one result*
- *relies on multiple sources of evidence, with data needing to converge in a triangulating fashion, and as another result*
- *benefits from the prior development of theoretical propositions to guide data collection and analysis.'* (p18).

CSACs are distinctive inasmuch as they are spiritually-motivated and usually do not receive any public subsidy besides tax-exemption. Large numbers of variables are present in their work which may be categorised, but which are so idiosyncratic as to resist effective standardization. For example, a charity helping churches to work together and thereby create social impacts cannot measure and control those impacts in the same way as a frontline service provider.

Multiple sources of evidence are provided in two ways: firstly, from having three independent cases; and secondly, from using questionnaires, interviews, observations, and public information to triangulate evidence. The three cases enjoy sufficient comparability to afford some theory-based generalisability from their functions and operational nature, particularly in terms of self-funding via SE means. These findings are analysed in Chapter 7 and then interpreted in the light of theoretical propositions in Chapter 8 to reveal opportunities for new theory building.

Case studies vary widely to include comparative, historical and evaluative purposes which may mix qualitative and quantitative evidence in single and cross-case analyses. Yin offers several applications, including (pp19-20):

- *describing* interventions and the real-life contexts in which they occur;
- *explaining* presumed causal links in real-life interventions.

Some description of individual CSAC cases is necessary. For example, the context in which CSACs operate is described briefly in Chapter 1. Later, each case is described within its real-life context in Chapter 7 (Section 7.3). Basic descriptions are provided in this chapter as part of the participant case selection process (Section 6.4.1).

Explanations are derived from the analysis of participants' data in (see Section 6.5), and in Chapter 7 a series of analyses suggest causal links which are later evaluated.

Moving from broad planning issues to case design issues is now possible.

ii. Design

Yin (2009:25-35) describes case study design as a logical model of proof that allows the researcher to draw inferences concerning causal relationships among the variables, and preserve alignment with the research question. He proposes 5 design components, which are here outlined in the context of this research:

1. *unit(s) of analysis*

Three national CSAC cases: TSAEP, CTE and ROC;

2. *study propositions*

The conceptual framework introduced in Section 1.2.2 frames the examination and application of theory (RBT and DCT). Two theory-centric main propositions are then developed in Section 2.3.3. Following the conceptual framework, six theory-based themes elicit propositions whose manifestations are developed through nineteen sub-propositions in Sections 4.7 and 5.7;

3. *study questions*

Nineteen questions presented in questionnaires are derived from the manifestations of RBT and DCT, as listed in Tables 4.1 and 5.1.

4. *logical linking data to propositions*

Data findings are linked to propositions by analytic techniques, namely pattern matching, explanation building and synthesis, as described in Section 6.5.

5. *criteria for interpreting the findings*

Data findings are interpreted through the prisms of the selected literature and the author's experience to the extent that these can be usefully applied.

The research strategy is designed around linkages between the theoretical constructs, objectives, propositions and questions and the data obtained from the participant cases. These methodological linkages are explained in Appendix 7a-f.

The research design is predicated on the research question: *How could CSACs in England be more effective in delivering their missions?* which determines the units of analysis. Here the main units of analysis are three mainstream national CSACs, within which are embedded sub-units of analysis based on theory strands, themes and dimensions. Hence this is an embedded multiple case design (Yin 2009:46).

The main research question is answered through sub-questions, which give practical expression to strands within RBT and DCT so as to elicit empirical data for analysis.

To sum up, in this section a case study strategy was selected, planned and designed.

The relatively short case data collection period is discussed, next.

6.2.6 The Research Time Horizons

The timing of this research affects how it can be understood and used. The 'onion' presents two time horizons, cross-sectional and longitudinal. Cross-sectional studies are 'snapshots' of particular phenomena at a particular time, which may describe incidents or compare factors in different organisations using qualitative methods such as interviews. Longitudinal studies are less time-constrained, and are likened to 'diaries' of ongoing observations which enable the study of development and change. Nonetheless, these horizons are not mutually exclusive, for example, longitudinal studies may be incorporated into cross-sectional research.

Here, case insights in the form of qualitative evidence, were obtained over a four month cross-sectional time horizon. The primary case data was collected in a series of face-to-face questionnaires, interviews and observations during the Spring and Summer of 2011. Prior to this pilot research with fifteen CSACs had taken place from December 2009 to November 2010. These pilot studies enabled the author to identify and recruit case participants, and to formulate relevant questions.

Certain constraints led to the cross-sectional ‘snapshot’ approach of this research, including respondents’ available time and relevant data, and also their often intense engagement with the author which could have threatened his objectivity. However, both pitfalls were judiciously avoided by booking interviews in advance and by avoiding tangential *quid pro quos*, while respecting relationships.

The next three sections discuss data identification, collection and analysis.

6.3 Case Study Data Identification Issues

Logically following design and methods, this section identifies and justifies the selected empirical data variables that were drawn from RBT and DCT (see Sections 4.6 and 5.6). These variables ground the performance and scalability dimensions that are posited as primary drivers of mission-centric effectiveness (see Section 2.3).

Moving down the ‘ladder of abstraction’ (see Figure 1.3), the thematic conceptual constructs are identified as giving empirical expression, or ‘form’ to six areas of organisational management: business services, governance, resource investment, collaboration, social enterprise and growth. These themes were justified for this research in Sections 4.2.2 and 5.2.2, so the comment in this section is limited.

Then the theory strand-based conceptual constructs provide the most concrete expression of applied theory through responses received to research questions grounded in ten empirical data elements or variables. The research questions were justified in Sections 4.7 and 5.7, and the objectives, propositions, strands, and methods are linked to questions in Appendix 8, so the outline here is brief.

The final discussion concerns how evidence of the existence of the variables is identified and justified for use in the selected cases.

6.3.1 Variable Forms

The original thematic forms reflected priorities for improving mission effectiveness identified during the author's consulting experience and pilot research with charities. As explained in Sections 4.2.2 and 5.2.2, theories were refined into six themes:

RBT:

1. **Business Services:** produce performance-based information to guide operations.
2. **Governance:** of VRIO resources optimises their performance and reduces risk.
3. **Resource Investment:** requires evidence of suitable performance to justify investment.

DCT:

4. **Collaboration:** to achieve scale based on personal and organisational capabilities.
5. **Social Enterprise:** to generate income for sustainability in volatile markets.
6. **Growth:** is required to scale up operations to meet increasing social needs.

These thematic forms are typically managed in charities through the roles and responsibilities of individuals working within teams to address more concrete strands.

6.3.2 Variable Strands

Having established the variable forms within these six themes identified within RBT and DCT, ten salient strands or data elements manifested within these forms were identified to provide meaningful categories for data collection.

1. **Business Services**

Performance Measurement and Management (PIMM):

identifies, explains, and evaluates VRIO resources.

2. **Governance**

Social outcomes and impact strategies:

prioritise mission through allocating and deploying VRIO resources.

Policies and Processes:

frame the use of unique resources to achieve competitive advantage.

3. *Resource Investment*

Industry and firm performance for investment:

reveals investees' relative attractiveness to guide investor decisions.

4. *Collaboration*

Relational capabilities:

are deployed strategically in collaborations to facilitate scale.

Alliance-based capabilities:

enable the combination, reconfiguration, cospecialisation and protection of assets.

5. *Social Enterprise*

Social entrepreneurship:

identifies and shapes opportunities in markets, technologies and business models.

Change readiness:

affects the speed at which firms can create, extend or modify their resource bases.

6. *Growth:*

Social outcomes and impacts:

can be optimised within mission to exploit market opportunities for scalability.

Growth (of the organisation):

new and existing products, markets and alliances offer new growth opportunities.

Thus ten variable data forms/strands categorise the data collected using questions.

6.3.3 Variable Evidence

The research questions were formulated following pilot research to provide evidence of key areas for potential improvement in mission effectiveness, as follows:

1. *Business Services*

Performance Measurement and Management (PIMM)

Performance measures: varied in resource linkage, user priority, and usefulness.

Efficient systems: were observed to be sub-optimal, rarely integrated strategically.

Quality service delivery: was rarely benchmarked, following a range of standards.

2. *Governance*

Social outcomes and impact strategies

Performance Improvement Management (PIM) for social impacts: was often informal or absent and unlinked to resource allocation in pursuit of charity strategy.

Policies and Processes:

Internal policy input: reflected structure, path dependency and market demands.

Government policy input: engagement varied by its relevance to mission.

3. *Resource Investment*

Industry and firm performance for investment

Risk management: varied from formal to informal, rarely linked to opportunities.

PIM for investment, fundraising and bids: was mainly based on historic statutory financial reports and on the requirements of investors, funders and contracts.

Investment readiness: reflected internal and external investors' criteria.

4. *Collaboration*

Relational capabilities

Proactive engagement: at all levels appeared to directly affect charity scalability.

Stakeholders: were defined between internal and external according to influence.

Alliance-based capabilities

Intra-sector collaboration: reflected financial inter-dependence and sustainability.

Cross-sector collaboration: was rare, often informational rather than contractual.

5. Social Enterprise

Social entrepreneurship

Social entrepreneurship: was accepted as ethical, but rarely cultural or practiced.

Innovation: was rare and often non-strategic, reflecting structure, culture and need.

Change readiness: was most evident in inclusive charities constrained by funding.

6. Growth:

Social outcomes and impacts

Effective decision making: was affected by speed, objectivity and inclusivity.

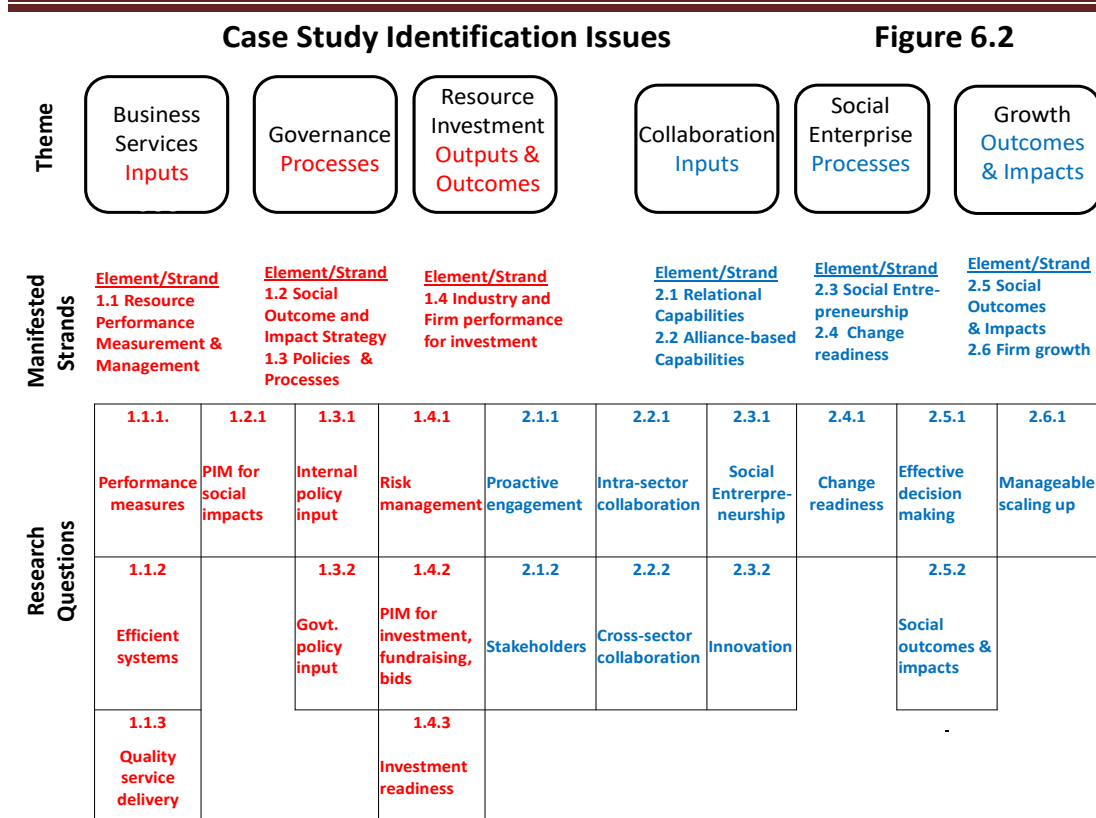
Social outcomes and impacts: reflected internal and external needs/priorities.

Growth (of the organisation):

Manageable scaling up: reflected firm capacity according to speed and flexibility.

The foregoing evidence from a wide range of charities supported the existence of key managerial information and activities required to achieve mission effectively. All these variables were identified in the participating charities prior to data collection. The table in Appendix 7 shows thematic links to the variables, and Figure 6.2 depicts the case-based issues in identifying variables and questions.

Mission Effectiveness and Social Entrepreneurship:
Theoretical insights and case-study evidence from three Christian
charities in England



Having identified the research variables, data acquisition is discussed next.

6.4 Case Study Data Acquisition Issues

Case study methodology requires configurative and exploratory qualitative data collection methods for iterative theory generation (Gough et al 2013:23), as described in this section.

In this thesis the quality of the data was heavily dependent on the author's skills as a novice researcher to extract meaning from responses (e.g. interviews). Nonetheless, questions were repeated and discussed with respondents to arrive at a common understanding of terminology and the attributions of meaning to words and statements where ambiguity could have arisen.

This section draws on guidance from Yin (2009), supplemented by a companion volume providing worked examples (Yin 2003). Data collection here is focused on

fulfilling the research objectives by answering the research questions. This process begins by introducing and justifying the participant cases.

6.4.1 Participant Case Selection

At the outset it was unclear what types of CSACs would yield the most useful data to inform the selected theoretical dimensions, performance and scalability. Although key themes and strands to support these conceptual constructs were identified in the literature, it was difficult to identify fifteen pilot studies from a pool of hundreds of CSACS where internet-based details were sparse, and the research gap was wide.

The idea of increasing sub-sector performance to achieve scale was absent, except for some denominationally-based local initiatives (which influenced rather than provided social services). This finding is consistent with the common dichotomy between worship-centric mission of many denominational institutions and works-centric spiritual-social missions of most charity providers. However, both historical accounts and more contemporary initiatives displayed an appetite within the Church for holistic spiritual-social mission. Bearing in mind the denominational barriers presented by institutional churches alongside the complexities of the regulatory environment, the CSACs screened included non-denominational, inter-denominational and church-based charities. Selection narrowed to CSACs providing non-statutory services which showed potential to adopt SE means to solve the market undersupply problem and fill the research gap. The final selection used three criteria.

Firstly, large national charities were selected because the pilot study had shown that most small local charities were unable to make the necessary investments to improve performance and increase scale. This inability was manifested mainly in a lack of leadership time and expertise combined with budgetary constraints and unmet demand for essential services to beneficiaries. To address these challenges, small CSACs needed the help of organisations which possessed the necessary resources, so large CSACs were sought with both 'top-down' and 'bottom-up' capability which might provide nuclei for related locally-based social action (i.e. a 'bees and trees' model). This search was facilitated by prior experience and sub-sector contacts.

Secondly, rapid scalability was desirable, because the social needs confronting social services in England are so great that the participants had to be able to work collaboratively intra, inter and cross-sectorally in order to begin to address capacity deficits. To serve the poor across denominational divides and with non-denominational/non-faith organisations, these CSACs had to be large, national, reputable, and appropriately resourced. Resourcing for potential SE trading activities demands legitimacy (legal and perceptual), access to exert influence on key decision makers, and sufficient capital to undertake strategic growth.

Thirdly, common faith motivation is indispensable for unified action, so the participants should be sufficiently committed to their faith and spiritual-social ministries to enable comparability and promote unity. Similarly, they should demonstrate complementary mission differences so that in collaboration potential synergies could scale up the CSAC sub-sector. The three cases reveal similarities and differences in mission management which suggest capacity-building potential.

Seven common characteristics enable comparability and contrast in case selection:

- 1) Spiritually motivated though orthodox, overt Christian belief.
- 2) Demonstrable ethics-based missions and good reputations.
- 3) Varied social actions for the 'public benefit' by registered UK charities.
- 4) General rather than highly specialised statutory services (e.g. not medical).
- 5) Local and national reach within and through the same organisation.
- 6) Organisational capacity and resources to prioritise performance and growth.
- 7) Capability to develop systems, governance, policies and collaboration for social impact.

The initial case study set comprised fifteen readily available CSACs and three secular charities, ranging from small local operations to large national charities. Comparable data from questionnaires was collected which varied in the depth of data or scalability potential, and so finally three national CSACs were selected.

A study of three cases enables some basic level theory building for generalisable results, and importantly it allows flexibility for purposive interpretation. Full representation of the sub-sector is impossible from only three units of analysis, but they shared a purpose to facilitate performance-based scale in the CSAC sub-sector. Their shared faith, while not engaged here to elicit any faith-specific variables, provides key assumptions which are central to their interpretation of existing and new theories within the context, culture and history of English Christianity. Indeed Yin asserts that even three cases strengthen generalisability (Yin 2009:62), when triangulated using different empirical sources of evidence (p 98).

Three organisations were finally determined as units of analysis, selected for their characteristics, which are simultaneously comparable and complementary:

1) The Salvation Army – Employment Plus department (TSAEP) – employment services;

TSAEP is particularly appropriate because it provides primary services directly to help the unemployed from within an historic traditional charity.

2) Churches Together in England (CTE) – intra-sector ecumenical collaboration with a social remit;

CTE is an established umbrella or tertiary charity which co-ordinates communication and facilitates social action through affiliated intermediary bodies.

3) Redeeming Our Communities (ROC) – cross-sector multi-agency collaboration for community regeneration services.

ROC is a relatively young entrepreneurially collaborative intermediate charity.

These are all scalable national bodies, which enjoy good reputations built on Biblical faith. However, participants' SE potential was not clear at the outset. Comprehensive case details are provided in Sections 7.3.1, 7.3.9 and 7.3.17.

Having identified and justified the cases, data acquisition is discussed next.

6.4.2 Data Items

Bearing in mind the selected participants, primary case data is acquired using standard techniques which were chosen for their simplicity, accessibility for direct data collection and participant co-operation (**Remenyi 2011**). Following Yin's 6 elements of case studies, the third and fourth elements, preparation to collect data and data collection, are now considered.

iii. Prepare

Preparing to collect case study evidence demands that the researcher is able to ask good questions, be a good listener, be adaptive and flexible, have a firm grasp of the issues, and be unbiased by preconceived notions (**Remenyi 2011: 67-73**).

Yin establishes 3 principles of data collection (**Yin 2009:114-124**):

1. *Use Multiple Sources of Evidence*: in each case study to demonstrate convergence and non-convergence of the evidence using triangulation.
2. *Create a Case Study Database*: covering case study notes, documents, tabular materials and narratives.
3. *Maintain a Chain of Evidence*: linking case study elements cyclically: questions, protocol, citations to specific evidentiary sources, the database, and the report. The chain enables cross-referenced movement within the case study process.

1. Multiple Sources of Evidence

- a) Questionnaires (Appendix 6) - based on Pilot Study findings.
- b) Observations (Appendix 9) – based on participant contacts.
- c) Semi-structured Interviews - with different respondents (Appendix 10)
- d) Secondary Data – found here mainly in the public domain.

Yin's other recommended sources, physical artefacts and internal documentation, are mentioned only in passing, as they are not easily comparable between the cases.

One of the cases returned the questionnaire by email, and the interview was carried out by telephone; otherwise these were conducted face-to-face. In all cases the draft responses were returned to respondents by email for their editing and amendment.

Yin (2009:116) posits 4 types of triangulation to evaluate data:

- i. Data triangulation (data sources).
- ii. Methodological triangulation (different methods).
- iii. Theory triangulation (of perspectives to the same data set).
- iv. Investigator triangulation (among different evaluators).

Three of these types of triangulation were used to obtain congruent evidence: data (3 case studies), methodological (4 data collection methods), and theory (2 theoretical perspectives, RBT and DCT). Only the multiple investigator option was precluded.

2. Create a Case Study Database

A comprehensive and auditable database was maintained. **Yin (2009:118-122)** recommends compartmentalising data into four components according to type of document: notes, documents, tabular materials, and narratives. However, it was found that process/chapter-based categories were most useful: Proposals, Literature Review; Methodology; Data Collection & Analysis; Policy Implications & Conclusions; Update, Reflections & Future Research; summarised in and Overview/Writing Up.

3. Maintain a Chain of Evidence

In his authoritative work **Yin (2009:122-124)** proposes that a formal chain of evidence improves data reliability. This through an interlinked process which cross-references data to its methodological home i.e. theory-based dimensions, themes and strands. This 'chain' is connected using 5 links at different levels, from bottom to top: a) *case study questions*, b) *case study protocols* linking questions to topics c) *citations to specific evidentiary sources* in the case study database, d) *case study database*, and e) *case study report/thesis*. In broad terms this approach was applied.

a) **Case study questions** can be posed at 5 different levels, applied here as:

1) of specific interviewees:

Interviewees were senior executives, and in TSAEP also included middle managers, while ROC only fielded one executive. They were selected by the participating organisations as affording the most relevant insights.

2) of individual cases:

The questionnaire in each case was identical, and the subsequent interviews followed initial responses using comparable (but in a few instances) slightly tailored questions. These questions enabled within-case pattern matching and explanation building.

3) of the pattern of findings across multiple cases:

Within case patterns were matched across the three cases to reveal significant similarities and differences for discussion.

4) of an entire study:

Questions regarding the entire study were consolidated in the single main research question which is answered in Objective 3, Section 8.4.

5) of normative questions about policy recommendations and conclusions (going beyond the narrow scope of the study):

Questions about policy precede the conclusions in Sections 8.5 and 8.6.

However, level 2 questions are most appropriate for data collection here (**Yin 2009:86-91**), focussing 'how' and 'why' questions onto the function and operation of CSACs in terms of inputs, processes, outputs, outcomes and impacts.

The main research question '*How could CSACs in England be more effective in delivering their missions?*' is examined through two sets of theory-based sub-questions. These sub-questions illuminated empirical manifestations of the theoretical concepts derived from RBT and DCT, revealing evidence supporting propositions for new theory. Questions were posed via questionnaires (Appendix 6), semi-structured interviews (Appendix 10) with a range of respondents (Appendix 11).

b) **A Case Study Protocol** frames the data collection stage within (**Yin 2009:79-89**). This research management document serves as a comprehensive project framework which incorporates an overview, field procedures, case study questions, and guidelines for reporting. It was deployed for reference (Appendix 12) following the long pilot study period as a comprehensive final checklist.

c) d) **All citations** are referred to evidentiary sources in the *case study database*, although not all are classified within a single strand-based cross-reference. This reflects causal ambiguity, where some data infers links to tangential disciplines (e.g. quality control).

e) **The case study report/thesis** is linked through the chain of evidence to the case study questions, objectives and propositions.

Yin's fourth case study element, data collection is considered next.

iv. Collect

Yin (2009:98-114) states that evidence may come from six sources, namely: documentation, archival records, interviews, direct observations, participant observation, physical artefacts).

Data acquisition focused on participants' current practices and future intentions, explored via RBT and DCT to meet the research objectives. By drawing on relevant theory-based constructs propositions were formulated to elicit sub-questions.

This section explains the three preparatory data collection requisites as multiple cases, a case-study database and a chain of evidence. The data collection methods are now discussed individually.

6.4.3 Questionnaires

Questionnaires - development

Two intentions guided the questionnaire: what are the participants' current practices? and how are they expecting to develop? Current operations provide rich data reflecting path dependencies, culture, resources and mission priorities for sustainability. From their existing position managers gleaned lessons from the past for future plans. Such plans reflected executive thinking about firm capacity to tackle new challenges, including perceptions of SE means to achieve mission effectiveness.

Within the pilot sample of eighteen social service charities, all understood the importance of resources and capabilities, but none had fully grasped their potential to improve performance and scalability. Their data helped to narrow the focus onto CSACs which could enhance performance and growth in high-potential providers.

The emerging research questions were honed and finally approved by an umbrella nonprofit within the pilot group (Churches Together for Eastbourne). Thus, from the outset, the data collection process reflects engaged scholarship principles of working with participants for mutual benefit. An original set of 23 sub-questions under 3 themes, was reduced to 19 questions (see Appendix 8) under 2 themes. These themes reflect the theory-based conceptual constructs selected from RBT and DCT.

Questionnaires – final version

Questionnaires compared practices between firms before approaching respondents with semi-structured interviews. The former enabled a series of broad thematic categorisations, while the latter provided an opportunity to explore meanings and perceptions more deeply. Initially case data was collected using a standard questionnaire (Appendix 6), designed to scope and select potential cases. Participants were sent the questionnaire, which was discussed with them before being completed. In ROC and TSAEP individual respondents answered, but at CTE two respondents answered jointly. Face-to-face meetings were used to collect questionnaire data at TSAEP and CTE, while email and telephone conversations were deployed at ROC.

Given the practical implications of this research, in every case senior executives with strategic and operational responsibilities were approached. In one case (TSAEP) two middle managers also responded. ROC could only provide one respondent. All respondents' levels of knowledge and experience was adequate.

For each question 3 optional answers were offered on a 5-point Likert scale (1=weakest to 5=strongest agreement). 4 of the original questions provided specific insights into collaboration, so are excluded to reduce them to 19 (Appendix 6). The Likert scale helped to identify participant priorities and certainties within the options:

- (a) typically traditional, **reactive**, top-down management.
- (b) more progressive, **proactive**, inclusive management.
- (c) **unsure** option to facilitate 'safe' answers.

Thus (a) reflects traditional charity practices, while (b) suggests SE-type attitudes.

These questions are consistent across each case. Clear and relevant responses successfully elicited appropriate information. With the exception of ROC (Manchester-based) which answered the questionnaire by email, other (London-based) respondents' questionnaires were recorded by typing verbal responses, reading them back to the respondent and agreeing edited versions by email. Observations arising from these reviews facilitated further engagement and dialogue.

To sum up, an exhaustive process was undertaken to design and test questionnaires prior to arriving at a final version that ranked responses according to reactivity-proactivity. Observations made at this stage are briefly considered, next.

6.4.4 Observations

Unlike formal questionnaires, unstructured observations (**Punch 2014:164**) started the data collection process, via word-of-mouth, introductions, magazine articles, news items and web searches. Later an observation guide (Appendix 9) was adopted and extended to secondary data (Appendix 13).

Yin (2009:102) lists the advantages of direct observations as realism and contextuality, alongside the disadvantages of time taken, selective coverage, reflexivity under observation, and cost. Typical 'engaged scholarship' working relationships developed with respondents, which resulted in most direct observations being recorded in confirmatory communications.

Formal observations illuminated responses and suggested inferred causal linkages, which were explored through the interview and communications processes.

6.4.5 Semi-structured Interviews and Communications

Interviews - development

Like questionnaires, interviews (Appendix 10) were conducted to obtain data which is converted into evidence to support arguments. This combination enables comparison of the results derived from both methods. For example, a questionnaire that suggested an appetite for risky investments was qualified by an interview revealing an informal and conservative understanding of risk.

However, interviews involve more two way communication, and semi-structured interviews are more flexible than structured interviews while avoiding the inconsistencies typical of unstructured interviews. They comprised a standard set of questions (which allowed occasional minor individual-case tailoring) based on answers to the questionnaire.

Yin (2009:102) lists the advantages of the interview process as focus on the topics and insights into perceived causal inferences and their explanations. The disadvantages include: question-based bias, response bias, recall inaccuracies and respondent reflexivity.

Interviews – response elicitation

Interview questions prompted respondents to elucidate during meetings. The process revealed contextual insights into mission effectiveness, in particular how participants' choices were affected by their activities, history, structure, management and size.

These interviews were particularly helpful in obtaining deeper insights into the questionnaire answers, which helped to identify (tentative) causation. At this second stage of direct data collection, familiarity with respondents made it necessary to consciously avoid reflexivity.

Responses from questionnaires and interviews were returned to respondents for editing and approval. To aid later reflection, pro-forma interview protocols (Appendix 14) were completed (**Remenyi 2011:59**) after meetings to capture immediate observations. Thus initial revision, and later case study review with the participant

CSACs, ensured the sufficiency of the primary data. Communications outside the questionnaire and interview meetings were mainly conducted by email. These methods revealed the nature and functions of CSACs (Objective 2), emphasising current practice and future potential.

A few internal documents outlining policies and priorities were obtained, which provided useful contextual insights, but are not included in the analysis due to their lack of comparability between participants. Accordingly, no internal financial information was sought, even though some was provided. However, financial information from the public domain is included because it is at least partially comparable, and it reveals the picture that charities present to stakeholders.

A discussion of secondary data available on the public record follows next.

6.4.6 Information from the Public Domain

Published information on each of the case studies is widely available, particularly on the firms' websites and statutory reports from the regulatory bodies. While the former vary in quality and volume, they provide useful background information for: The Salvation Army <http://www.salvationarmy.org.uk/>, Churches Together in England <http://www.churches-together.net/> and Redeeming Our Communities <http://www.roc.uk.com/>. While statutory charity information is available from the Charity Commission website <https://www.charitycommission.gov.uk/> where other legal structures co-exist the nominated regulatory agency holds additional statutory records, for example CTE is registered as a Company Limited by Guarantee at Companies House <http://www.companieshouse.gov.uk/>. Statutory records are useful for reviewing financial and social performance and scalability.

6.4.7 Ethical Considerations and Clearances

Initial approaches to potential participants were made by telephone and email (Appendix 15). If they expressed an interest in participating, they were sent a standard participant consent form setting out the research ethics standards required by the British Psychological Society and London South Bank University. The consent

form and respondents' confirmations are shown in Appendix 16. A summary of the key features of ethical principles underpinning is provided in the Statement of Ethical Issues in Table 6.1 courtesy of London South Bank University:

Table 6.1: PRINCIPLES FROM THE STATEMENT OF ETHICAL ISSUES

The following ethical principles have been observed and documented:

- *Do not harm* – a critical reflexive manner has been adopted at all times
- *Integrity of the researcher and the research* – confidentiality has been observed, and all disclosure permissions have been appropriately obtained.
- *Scholarship of the researcher* – care is taken not to exploit participant goodwill.
- *Validity* – anonymity is offered to participants to justify privileged access
- *Transparent research development* – all development has been conducted with the full written consent of the relevant parties.
- *Storage* - records are stored securely and disposed of according to university guidelines.

Ethics is a fundamental safeguard to all parties involved in all academic research. Therefore the university's Research Ethics Committee ethical approval for this research to proceed was obtained (a copy is provided in Appendix 17).

Data acquisition was ethically conducted, so data analysis data is discussed next.

6.5 Case Study Data Analysis Issues

The acquired data is of little value as evidence if it is not analysed to provide relevant findings before being evaluated and interpreted for new theory. This evidence is crucial in forming the lines of reasoning which later converge into an argument for improving mission effectiveness in CSACs, where appropriate using SE means. These lines of reasoning are induced from answers to the research questions.

The data is broken down and reconfigured in different ways to identify tentative inferred causal relationships. According to Yin (2009:126) data analysis consists of:

'examining, categorising, tabulating, testing or otherwise recombining evidence, to draw empirically-based conclusions'.

Critical questions are asked repeatedly of the data until no new lines of enquiry emerge. This multiple case study is iterative and inductive, and data are approached on their own terms to extract meaning which can be interpreted in the specific data collection context. Inevitably, the evidence is limited offering only partial insights.

In this section the dimensions of case study analysis are reviewed taking into account validity, and culminating in within-case and cross-case analyses before final reporting.

6.5.1 Analysis in Case Studies

Again, following Yin's 6 components of Case Study research, the fifth is now discussed:

v. Analyse

As noted previously, case study analysis is driven by general analytic strategies. Each unit of analysis or individual case study follows a strategy which defines the priorities of what to analyse and why (Yin 2009:127-136). Citing Miles and Huberman (1994) Yin offers 4 general analytic strategies as an alternative to 'playing' with data to establish priorities:

- 1) *Relying on theoretical propositions:* i.e. the basis of our objectives and question(s).
- 2) *Developing case descriptions:* which may identify potential causal links for analysis.
- 3) *Using both quantitative and qualitative data:* e.g. to evaluate quantitative 'outcomes'.
- 4) *Examining rival explanations:* i.e. direct and indirect explanations to improve validity.

This research depends most heavily on theoretical propositions of RBT and

DCT applications. Here, to support his general strategies, Yin (p136-163) offers 5 analytic techniques, including:

- 1) *Pattern Matching*: to improve internal validity by discerning: non-equivalent dependent variables as patterns, rival explanations as patterns, and identifying simpler patterns.
- 2) *Explanation Building*: involving specialised iterative pattern matching to infer causal links and/or explain 'how' or 'why' something happens.
- 3) *Synthesis*: to aggregate separate findings within and across individual case studies to identify differences and commonalities in support of arguments for new theory.

These techniques were selected primarily for ease of use with qualitative data.

Triangulation from the 3 cases aids generalisability, which is further extended by applying replication logic to pattern matching, explanation building, and cross-case synthesis. While all the results are authentic and credible, their generalisability is not universal and therefore can only be defended within a limited context. Internal validity is enhanced by rival propositions and threats in each individual case.

Hermeneutics, or the theory of (text) interpretation, is a high level, holistic approach to data analysis. **Remenyi (2014: 42-51)** proposes two hermeneutic types – objectivist and alethic. Objectivist analysis emphasises scientific methods by capturing, coding and processing data. Alethic critical hermeneutics is more theoretical and intuitive, reducing the polarity between the subject and the object, and here is akin to 'engaged scholarship' (**Van de Ven 2007**).

These types are comparable to two strategies for qualitative analysis offered in **Eriksson and Kovalainen (2008:129)**, one of which depends on pre-formulated, coded theoretical propositions. The other is based on a case description, from which research questions and frameworks emerge to form the basis for interpreting the research materials. Both are employed in this thesis. Appendix 18 tables the main methodological aspects employed in fulfilling the research objectives.

As in the present situation, case-based research typically takes a mainly alethic approach which allows emergent inductive theory building. Minimal coding is used to define and connect the theories, dimensions, themes, and strands to emergent propositional research sub-questions which are designed to address the overarching question about CSAC mission effectiveness.

While various components of Christian spiritual motivation in social services are recognised they are not measured or quantified, but are rather seen as being intrinsic, intangible elements of organisational mission (e.g. the compassion of Christ). Mission effectiveness can however be assessed with some objectivity where high levels of similarity between charities are identified. Within-case analysis allows for the theoretical strands and themes to inform a broad assessment of the individual CSAC's mission effectiveness. In cross-case synthesis the theory strands and elements are compared, although comparisons of mission effectiveness are broad because their missions vary widely. The empirical manifestations of RBT and DCT-based conceptual constructs enable these summarised data findings to be interpreted in the light of the propositions to elicit a new hybrid theory for mission effectiveness.

Following this rationale, the framework, strategy and techniques are now discussed.

6.5.2 The Analytical Framework, Strategy and Techniques

The purpose of the fourth and final research framework, the Analytical Framework is to link RBT and DCT to objectives. Such links help explain and justify the selected analytical strategies, methods and techniques in the quest to answer the research question: *'How could CSACs in England be more effective in delivering their missions?'*

Analytical Strategy – relying on Theoretical Propositions

Relying on theoretical propositions is the first and most preferred strategy used in case studies, according to Yin (2009:130-1). The main propositions (P1 and P2) reflect the author's belief that CSACs could improve mission effectiveness using SE means. The first propositional driver is the RBT *performance* dimension, supported by macro and sub-propositions. This is followed by the *scalability* dimension from

DCT, again supported by macro and sub-propositions (Appendix 1). Thus theories frame the research design, objectives, literature review and questions, and analysis.

Analytical Techniques – pattern matching, explanation building, synthesis:

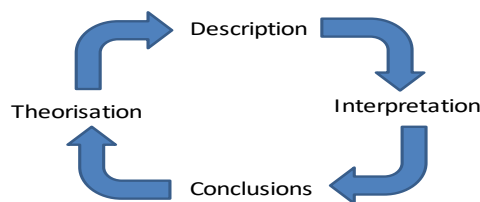
Case study data may be analysed using a variety of techniques, of which three are selected: pattern matching, explanation building and synthesis (Yin 2009: 136-144, 156-160). All work for cross-case analysis, but only the first two can be applied to within-case analysis.

Analytical Framework – describing, interpreting, concluding and theorising:

Analysis is undertaken in four iterative stages: describe, interpret, conclude, and theorise according to Quinlan (2011:422) as detailed in Figure 6.3. The first stage in the case study reports offered in Chapter 7 is descriptive analysis, which includes a brief description of theoretically significant elements of the case data. Then the data findings are interpreted so as to uncover and articulate the meaning of the data. Next, minor conclusions are drawn from the findings, with potential implications for the participants, the CSAC sub-sector, the third sector, and related management disciplines. Finally, the extent to which the findings fit RBT and DCT is summarised to meet the requirements of Objective 2 (Section 7.5). The elements of the Analytical Framework are tabulated in Appendix 19.

QUINLAN’S FOUR STAGES OF ANALYSIS

Figure 6.3



The four stages of analysis Quinlan (2011:422)

6.5.3 Case Type, Size and Quality

The purposive case set of three CSACs all shared certain common criteria, including Christian faith, national reach, and charity status. However, they vary in size (The Salvation Army being the largest by far), by age (ROC being the youngest by far), and they serve different types of social need both directly and indirectly (CTE being the most indirect). These differences suggest potential complementarity and synergies. Firm size is relevant but not paramount, because DCT posits systematic size-independent growth.

An initial set of four such firms was selected, but it was felt that the size of the set could be safely reduced without detracting from the aspects of generalisability and replicability. The quality of the data was satisfactory overall, with the most precise answers coming from senior executives with academic backgrounds. However, in the absence of social audit information data quality is subjectively assessed. Data quality and validity are enhanced by triangulating multiple data sources within the same frameworks and methods for all cases.

In the light of these reassurances, the data validity and reliability are now discussed.

6.5.4 Data Validity and Reliability

Data Validity

Validity is defined by **Zickmund et al (2010:307)** as: *'The accuracy of a measure or the extent to which a score truthfully represents a concept'*. Three types of validity are discussed in this section: construct validity, internal validity and external validity.

Construct validity (p308) is explained as: *'... (existing) when a measure reliably measures and truthfully represents a unique concept...'* In this research construct validity is variously derived, including from: a) respondents' answers being defined in terms of conceptual constructs which relate directly to the original objectives, and b) questions matched to these theoretical concepts, where possible relating to published studies that make similar connections.

At the data collection stage *construct validity* was established by using multiple sources of data (Yin 2009). Relevant data was reviewed by key respondents, and was submitted in a separate case study to one participant initially for review (Jardine 2010). All participants were offered case study reports, but only CTE accepted.

Internal validity concerns explaining how and why an event led to a subsequent event, and making inferences when events cannot be directly observed. Surprisingly, definitions of validity were rather imprecise and overly descriptive in some research texts e.g. Robson 2002, Saunders et al 2009 and Yin 2009, but the **Research Methods Knowledge Base (2014a)** succinctly defines it as: '*the approximate truth about inferences regarding cause-effect or causal relationships*'. At the analysis stage internal validity is established using pattern matching, explanation building, rival explanations and logic models if necessary (Yin 2009:41).

External validity concerns the generalisability of the research findings beyond the immediate study. For example, if this research is to be useful to CSACs and other charities, it must be tested by replicating the findings in other firms to evaluate wider support for the new theory. '*External validity ...is the degree to which the conclusions in your study would hold for other persons in other places and at other times*'. **Research Methods Knowledge Base (2014b)**. While construct validity is fundamental, external validity may be harder to establish.

Internal validity emerges from within-case and cross-case data analysis. Cross-case synthesis in particular aids *external validity*, where the generalisability and replicability of the case findings are challenged. In addition, the credibility, dependability, confirmability and authenticity of the data are discussed to enhance *construct validity*. Both during and after the fieldwork and analysis, *reliability* is facilitated and snowballing is avoided by reference to the case study protocol, and further validated by respondents' comments on their case study report. Respondents' reviews are helpful for eliminating research bias (e.g. where this has arisen from pre-perceptions).

Data Reliability

The final test proposed by Yin (2009:40-45) for producing good research is *data or study reliability*, a notion which Golafshani (2003:598) defines as:

'...The extent to which results are consistent over time and an accurate representation of the total population under study is referred to as reliability, and if the results of a study can be reproduced under a similar methodology, then the research instrument is considered to be reliable.'

While collecting the data, study reliability was enhanced by using Yin's 'Case Study Protocol', in addition to observation checklists and interview protocols. These records are stored in a case study database from which linked information informs all the case study reports, including any sent to participants for review.

6.5.5 Within-Case Analysis

Within-case analysis was conducted on individual cases. Where there are a large number of potential causal relationships among the constructs, each case is described and edited prior to the tabulation of findings (Zickmund et al 2010).

Initially the contents of the questionnaires are analysed by strand and theme alongside early observations. Next, comparisons are drawn between thematic scores and the levels of proactivity, innovation and risk-taking - the widely acknowledged drivers of SE. Explanatory comments are offered which sometimes infer causal relationships. For example, in some original analysis the high score for internal funding at CTE (a tertiary provider), appears consistent with both proactive intra-sector engagement and gradual top-down innovation.

Where data patterns are matched within and between cases, internal validity is strengthened. Through repeated iterations, a general explanation is developed that fits each case, and some rival explanations are also considered.

Having analysed individual cases, it is now possible to synthesise these results.

6.5.6 Cross-Case Synthesis

Cross-case synthesis is a common analytic technique used in multiple case studies. In this thesis it incorporates pattern matching and explanation building from individual cases. Pattern matching highlights the differences between the participants, and in so doing infers causal relationships. Similarly, explanation building stipulates a presumed set of causal links to explain 'how' or 'why' events in firms occur. These explanations infer causal links between theoretical constructs which help evaluate their strength in supporting the research propositions. Aggregating the case data strengthens construct validity through the process of triangulation, in which similarities and differences between cases are identified.

The key concepts in the main research question are mission effectiveness and social entrepreneurship. The definition of CSAC mission effectiveness highlighted faith, good works, and positive social outcomes and impacts (Section 1.2.1). Similarly, the selected components of SE here are proactivity, innovation and risk-taking. These concepts provide essential bounded context. However when synthesising cases, only the theory themes and strands are examined to identify causal inferences. This restriction ensures congruence with the research objectives.

6.5.7 Case Study Reporting

The final component of Yin's 6 case study research elements completes this section.

vi. Report

Completing the case study requires three steps (**Yin 2009:165**): identifying the *audience* for the report, developing its *compositional structure*, and having *drafts reviewed* by others.

Audiences for this thesis are comprised mainly of academics, both examiners and colleagues, all of whom kindly provide peer reviews. Therefore an academic writing style popular in the social sciences is adopted. Beyond the immediate concerns of contributing knowledge for a doctoral award, the needs of practitioners and social

service policymakers are paramount. For presentations to these audiences different conventions are required. For example, practitioners prioritise 'what' and 'how to' approaches, and policymakers need 'why' and 'how much' answers.

Compositional structure (format and content) is aided by identifying the requirements of target audiences for the report, as described in the previous paragraph. To communicate successfully with these different audiences the report content and format differs, for example only selected findings which are largely presented in tabular and graphic formats will be appropriate for practitioner audiences to convey large amounts of relevant, condensed information.

Yin offers 6 compositional structures for case studies: 1) linear-analytic, 2) comparative, 3) chronological, 4) **theory-building**, 5) 'suspense', and 6) unsequenced. This thesis contains necessary description (of the sub-sector and participants), and it is exploratory insofar as it breaks new ground (for performance-based CSAC scalability), but is mainly explanatory (positing inferred causation and argument). Therefore it follows a distinctly sequential research journey which is logically reflected in the chapters that reflect a **theory-building** goal.

Drafts are reviewed, challenged and validated by others at each key research stage notably by the author's tutor, by respondents, and by academic colleagues. The final draft thesis for academic assessment is presented in formal research format.

In order to achieve an exemplary final report, Yin recommends three procedures: start composing early, establish real or anonymous identities, and validate the draft through reviews. Here composition began early, real identities were established for reporting, one case study was reviewed by practitioners, and the final report was assessed by academics.

A summary of this chapter follows before moving on to consider real-world data.

6.6 CHAPTER SUMMARY

This theory-based and objectives-driven research was described as a set of interpretivist, inductive case studies, employing multiple methods to collect and analyse qualitative data over a cross-sectional time horizon.

The route to securing necessary and sufficient case data unfolded across five sections. In Section 1, the purpose of the chapter in relation to previous desk-based research and future fieldwork process were described. A recognised framework, 'The Research Onion', facilitated a discussion of the choice of methodological elements for this research in Section 2. Then the process of identifying suitable data variables was discussed in Section 3. Next, in Section 4, the selection of the three case study participants was explained, and the data collection methods and ethics were described and justified. Finally, Section 5 explained and justified the selection and evaluation of the methods deployed for analysing case data.

Having completed the desk-based preparation, this research moves into the second main phase. Participants' data are now collected and analysed in Chapter 7, to reveal relevant insights and evidence concerning the nature of CSACs.

7. THE RESEARCH CASE DATA: COLLECTION, EVIDENTIAL ANALYSIS AND FINDINGS

7.1 Introductory Comments

Moving from the scientific methodological prescriptions in the previous chapter to 'real world' research relationships in this chapter requires a different mindset. Here the explanations and justifications of case study research strategy, data collection and analytical methods are applied to empirical case data. The decision to depart from a more traditional approach (e.g. **Higgs 2007**) by combining data collection and analysis in the same chapter enables the evidence to be compacted for a more in-depth evaluation and interpretation for theory building in Chapter 8. As this research progresses towards a new theory for improved mission effectiveness derived from SE, main Objective 2 provides the focus for revealing the functional and operational nature of CSACs. Accordingly, the main purpose of Chapter 7 is to achieve this objective by reporting the case data as it was collected, analysed and synthesised.

This chapter comprises six sections designed for case-based theory development. Following this brief introduction, a discussion ensues on collecting and analysing data to extract findings. Third, the data, analysis and findings for each case are reported, discussed and explained in terms of mission effectiveness. Fourth, the case-by-case data is aggregated in a cross-case synthesis to provide insights into mission effectiveness. Fifth, the functional and operational nature of CSACs is revealed in the light of RBT and DCT to resolve Objective 2 (O2), and arguments are made for a new hybrid SE-related theory. Finally, the chapter closes with a short summary.

7.2 Data Collection, Analysis and Findings

This section provides an overview of the processes involved to extract value from the case study data. Case data provides the primary means to answer the main research question: *'How could CSACs in England be more effective in delivering their missions?'* The evidential path to argument for new theory is constructed by isolating key within-case findings from the summarised thematic analyses, before synthesising these findings across the cases in Section 7.4. In Section 7.5 these data reveal the functional and operational nature of CSACs to achieve research Objective 2.

Case Data Collection

The enquiry process begins by describing how relevant data was ethically elicited, recorded, checked and where necessary amended by the respondents, before being collated and summarised for analysis (**Remenyi 2014, Robson 2002, Josselson 2013, and Eriksson and Kovalainen 2008**). The actual process of collecting data from individual participants went largely as planned (Section 6.4). Two minor problems arose and were solved on a case-by-case basis. First, access to respondents and feedback from them was sometimes restricted due to their busy schedules. However, it was possible to plan far enough ahead to mitigate any related risks. Second, the inductive nature of the questions combined with different meanings for the same words presented some difficulties. Inductive reasoning seeks strong evidence (rather than proof) in support of arguments for improved mission effectiveness in CSACs. For speed and clarity responses given at data collection meetings were typed onto the question templates and then repeated back to respondents. Clarification was further enhanced by submitting the draft responses by email for review, and amendment where necessary.

Primary data was collected in stages over a period from March 2011 to May 2012 from questionnaires (Appendix 6), interviews (Appendix 9) and observation (Appendix 13). The limited availability of significant internal documentation for all cases meant that it was largely disregarded (Appendix 20). Secondary data from public sources mainly comprises the charities own accounts and reports, which are used to identify trends in participants' responses to changes in the economic, social and religious environments which influence their social service markets.

The research fieldwork was guided by a Case Study Protocol (Appendix 12), through a phased cross-sectional approach. At no point were respondents appraised of the selected theories, but rather they accepted the research prioritisation of social outcomes/impacts and SE means. The lack of theory referencing focused their responses onto management for mission effectiveness. When responses were remarkable, explanations and alternative answers were provided following reflection.

Case Data Analysis

In the previous chapter (Section 6.5.2) an Analytical Framework drawn from **Quinlan (2011:363-374)** is used to bring together the analytical strategies, methods and techniques proposed by **Yin (2009)**. Data analysis is conducted under objectives-based themes in the next sections, initially describing and editing each case for within-case analysis and cross-case synthesis (**George and Bennett 2005, Gibbs 2007** and **Miles and Hubermann 1994**).

Data analysis is compacted in the case study reports (referenced to appendices) in order to improve comparability and save space. Analysis is conducted under the six theory-based themes through the lens of research sub-objectives to achieve the second main objective (O2): *‘To describe and empirically reveal the functional and operational nature of CSACs in terms of SE, in the light of RBT and DCT.’*

CSACs’ functionality here is used to describe internally focused activities which determine their: *‘suitability to serve a purpose well, practical’* (**OED 2014**). Operations here describe externally focused activities which deliver social outcomes and impacts. Both sets of overlapping and mutually reinforcing activities contribute to the effectiveness in fulfilling mission. As mentioned, SE means of achieving mission effectiveness are characterized as strategically proactive, developing and deploying innovative products, and taking calculated risks. These characteristics may be evident even where CSACs are not generating trading income.

The analysis is carried out in 3 phases in which the SE means (proactivity, innovation and risk-taking) are applied to objectives-based data from 1) questionnaires, 2) interviews, and 3) other information, e.g. from observations, from the participants and from the public domain. On questionnaires, the most proactive SE scores (‘b’ scores) are weighted with a value of 10. Similarly, the more reactive scores (‘a’ scores) are weighted with 5, and the unsure options (‘c’ scores) are rated at 1. In fact the proactivity score (a-c) is most usefully combined with the strength of the response on the 1-5 (low to high) scale e.g. the strongest proactivity scores b5.

The primary within-case data are succinctly analysed, summarised and linked to propositions prior to cross-case synthesis using standard techniques:

Pattern matching: matches the case data to the research propositions by:

- 1) Comparing questionnaire answers to the most proactive, SE optional answer.
- 2) Respondents' answers are checked individually for rival explanations.
- 3) Reasons underpinning the pattern matches are noted, with explanations.
- 4) The extent and condition of the dependent/independent variables match is noted.

Explanation building: stipulates significant inferred causality linked to RBT & DCT by:

- 1) Identifying how and why something happened from the primary data.
- 2) Positing an explanation from within the objective-based theoretical themes.
- 3) Examining and combining the summary for each source of primary data.
- 4) Explaining how empirical data are significant for CSAC mission effectiveness.

Synthesis: aggregates thematic results into findings to meet Objective 2 by:

- 1) Analysing case data findings for proactivity using RBT and DCT themes.
- 2) Assessing case data findings for strategic fit with SE means.
- 3) Assessing mission effectiveness per mission statements in terms of SE.
- 4) Inferring tentative causal linkages between these results in charities.

The case data findings reveal insights into mission effectiveness to fulfill Objective 2.

Case Data Findings

To identify the most relevant and salient points for theory building, findings from the case data and data analyses are summarised and reviewed (Sections 7.3.8, 16 and 24). These findings reveal functions and operations on a case-by-case basis in terms of SE for mission effectiveness.

In Section 7.4 these findings are aggregated into three cross-case syntheses to identify the most relevant thematic pointers to improved mission effectiveness in CSACs. The individual case data findings are first examined through the lens of RBT and DCT with particular reference to questionnaire and observation data received early in the fieldwork process. These data enabled further scoping of the issues,

which was used in the formulation of the interview questions. Thus the second stage, cross-case synthesis, draws mainly on interview data and further observations to identify key findings in CSACs relating to SE means and methods. The third cross-case synthesis distils earlier findings in terms of mission effectiveness.

7.3 The Case Study Reports

Each case is unique, and so the case study reports are presented on a case-by-case basis. They are designed to yield findings and thus provide evidence to achieve the research objectives. This evidence is argued in Section 7.5, and later in terms of propositions in Chapter 8. First the cases are introduced with outline details of each participant's history, reputation, brand, service user type, social market, market position and competitive advantage. Next follow sub-sections revealing the case data and data analyses in thematic terms. Finally the within-case reviews summarise individual case data findings. These findings illuminate case mission effectiveness.

The three cases are analysed in this section starting with The Salvation Army Employment Plus Department (TSAEP), then Churches Together in England (CTE), and finally Redeeming our Communities (ROC). Initially the analysis addresses 19 questions based on theoretical strands from RBT and DCT under thematic headings namely: business services, governance, resource investment, collaboration, social enterprise and growth. A secondary data checklist and sample internal documentation is provided in Appendix 20. Appendix 21 shows a full questionnaire and interview framework, followed by within-case analyses in Appendix 22.

The Salvation Army: Employment Plus Department (TSAEP)

7.3.1 Introduction to TSAEP

TSAEP was a large social operations department within The Salvation Army UK (TSA) at the time of collecting the fieldwork data. Also the TSA was one of the largest nongovernmental social services providers in the UK. TSA's positive reputation, its ubiquitous brand, and its pervasive presence in England were unique. The charity's strong market position was underpinned by long and distinguished

service, including the UK's first employment services in 1890 under the slogan 'Work for All'. These factors suggested potential for SCA and scalability.

Unlike the other two cases, the author had previously consulted to TSAEP on strategic development over a significant period. An engaged scholarship approach had been adopted to forging working relationships with naturally cooperative respondents. Perhaps these relationships were instrumental in generating widespread interest. For example, five respondents answered questionnaires, two from directors and two from business development managers in TSAEP, and one from the director of the Research and Development department. Interviews were provided by the senior director and a business development manager from TSAEP. Further useful contextual information was elicited in meetings with senior departmental and executive staff, for example the head of ICT and the chief executive. Some relevant secondary data in the public domain was accessed and reported. Thus the data includes primary and secondary data revealing how the charity is perceived in the public domain.

TSAEP was a department within TSA, and therefore shares the same values, culture, history, reputation, brand, reach, and market position. TSAEP annual results provide useful audited information within TSA's statutory reports in the public domain. TSAEP contributes to The Salvation Army Social Work Trust ('Social Work Funds'). The Social Work Trust funds TSA Social Services which in turn manages a range of social service centres, housing association centres and operations including Employment Plus, Anti trafficking, Family Tracing and Counseling.

To give an idea of the respective sizes of the related components, their incoming and expended resources are compared for the financial years ended 31 March 2011 and 2013 to reveal growth trends **(The Salvation Army 2011a, 2011b, 2013a, 2013b)**:

Mission Effectiveness and Social Entrepreneurship:
Theoretical insights and case-study evidence from three Christian
charities in England

	Social Fund	TSAEP		Social Fund	TSAEP
	2013	2013		2011	2011
	£'000	£'000		£'000	£'000
Income	102,189	2,373		207,011	4,257
Expenditure	103,447	3,146		93,993	3,637

Table 7.1 Income & Expenditure information for TSAEP (2011 and 2013)

Certain points are noteworthy, taking these figures at face value:

1. The overall flows are large, but have diminished significantly overall.
2. The Social Fund net incoming resources in particular had shrunk in 2013.
3. The net contribution from TSAEP to the Social Fund was in deficit for 2013.

These highly summarised figures only show revenue income and cost trends, rather than the overall health of the charity in the light of future plans. However, they illustrate the reality of falling income and rising costs faced by many CSAC and other charity service providers. Large institutions with high fixed costs (here about 750 churches and community centres) and narrow margins are particularly vulnerable to funding reductions (e.g. cuts in Housing Benefit and the Supporting People grants) due to increasingly competitive tendering conditions for government contracts.

To help explain the internal perspectives while seeking elusive comparability from published accounts, the data here is restricted to three respondents within TSAEP. The most senior was the director (who went on to serve as managing director for TSA), his deputy director, and the SE manager. The two executive staff returned similar questionnaire scores inter-alia, but showed generally higher proactivity scores than those returned by the SE manager. Only the senior director and the SE manager provided interviews. Questionnaires were completed in March 2011, and the interviews in May 2011.

The executives took a relatively strategic/policy oriented top-down approach, often reflecting forecasts and plans. Conversely, the middle manager took a tactical-operational position based largely in the present state of affairs. Where their answers differed significantly, rival explanations produced congruent patterns in support of the propositions, although overall the SE potential within TSAEP appears to be limited.

Next, the empirical data elicited for TSAEP is discussed under RBT and DCT thematic headings. This case description is followed by data collection and analysis sections which were separated to provide background and contextual pointers from encounters with respondents, which help explain the summary comments drawn from the thematic analyses, prior to within-case consolidation and synthesis.

7.3.2 Business Services – Performance Management (TSAEP)

7.3.2.1 Case Data

TSAEP runs *business services* functions alongside all other departmental management disciplines located at its modern UK Territory headquarters in London. At the time of collecting data, questions were posed on *performance measures*, *efficient systems*, and *quality service delivery*. At TSAEP individual managers compiled their own data under budgetary *performance measures*. Notably, management at all levels used *quality service delivery* benchmarks (e.g. ISO 9001) in support of their strategic objectives. This information was further summarised by management information *systems* in other departments for the use of senior management and trustees in strategic decision making. For example, operational data was processed by the Information Services department and financial data by the Finance department, both in the same building. *Performance management* was being addressed in TSAEP at the time through the development of a bespoke IT based *system* capable of *measuring performance*. However, information about this system was not available for this research. Instead, these enquiries sought an understanding of the status quo with reference to future potential.

Collecting *business services* input data using engaged scholarship relational approaches served to stimulate lively discussions and provoke constructive

exchanges between staff. TSAEP's data revealed significant differences between perceptions at the higher and middle management levels. Senior managers took a long-term strategic view of business service development, while middle managers were concerned to optimise resource use through service efficiencies in the short-term.

7.3.2.2 Case Data Analysis

Questions on 1.1 Resource Performance Measurement & Management
(*Performance measures; Efficient systems; Quality service delivery*)

Questionnaires:

Executives: 5 low 'b' proactive scores and 1 low 'a' reactive score (b1+b2, a1+b1, b1+b1).

SE Manager: 3 low to strong reactive scores (a4, a4, a2).

Interviews: Low PM priorities in reporting for external funding criteria, using basic systems and quality benchmarks.

Quote: '(systems) are better than bare essentials' 'PIM is critical'... 'Yet to be seen'

Patterns: Procedural controls and frequent meetings aspire to improve business services.

Explanations: Uncertain thin markets, competing demands and inertia delay non-mandatory change.

Summary: Business services were not resourced to respond effectively to market conditions. Overall, assertions were weakly proactive, but well-informed. Planned changes (including measures) acknowledged inefficiency (P1/a).

7.3.3 Governance – Strategy and Policies & Processes (TSAEP)

Governance processes at TSAEP are heavily dependent on *business services* data, and so the potential for improved mission effectiveness stimulated constructive interest.

7.3.3.1 Case Data

Strategy and policy are *governance* responsibilities undertaken initially by executives at the departmental and organisational levels. In order to explore the governance theme through theory strands, questions were posed on *internal policy input*, and *government policy input*. Locating these leadership/management disciplines at TSA's UK Headquarters was thought to enhance efficiency economy and mission effectiveness.

At a departmental level TSAEP held regular consultations between strategic and operational managers to review progress with departmental objectives, several of which related to *internal policy issues* and *social outcomes and impacts*. Similarly, at the strategic senior management and board levels, *internal policy issues* and departmental performance were reviewed. *Internal policies* ensure that resource use is rigourously controlled and regularly audited both internally and externally to assure transparency and accountability. In addition, in order to aid the governance process of strategy formulation, leaders were able to draw on the expertise of TSA's research function. This professional centralised discipline provided inputs to the strategy and policy processes derived in part from researching *government policy*. Such research illuminates areas of policy where TSA lobbies to influence external policies.

Governance options for TSAEP were being discussed alongside this research at TSA. Early options included market-responsive SE approaches to improve mission effectiveness.

The governance process also includes investment in VRIO resources to enhance performance, so resource investment is addressed next.

7.3.3.2 Case Data Analysis

Questions on 1.2 SO-SI Strategy (*PIM for social outcomes/impacts*)

Questions on 1.3 Policies & Processes (*Internal policy input; Govt. policy input*)

Questionnaires:

Executives: 6 low to moderate 'b' proactive scores (b1+b1, b2+b2, b3+b3)

SE Manager: 2 moderate to strong reactive 'a' scores, 1 strongly proactive 'b' (a3, a4, b4).

Interviews:

Strategy: The importance of PIM for SO-SI was recognised, and steps were being taken towards measures.

Quote: 'Social impact is anecdotal, if at all ... some quantitative data output reports'.

Policies & Processes: Strategic-operational divide on creativity, inclusivity and action; minor theological differences regarding spiritual SO-SI.

Quote: 'Social impact policies for the poor and also faith delivery (are) a priority'.

Patterns: Planned strategies predominated alongside weak stakeholder inclusivity and weak SO-SI and VRIO linkages, but the Govt. policy link was strong.

Explanations: Historic path dependence, long term quasi-monopolistic position and rigid vertical hierarchy appear to combine to promote non-competitive views.

Summary: Top-down governance enhances compliance, but not SE-related mission efficiency/effectiveness. Overall proactivity was not strong, although high levels of regulatory compliance were evident. Bureaucratic processes increased institutional delays and risks, thus hindering performance (P1/b).

7.3.4 Resource Investment – Industry and Firm Performance (TSAEP)

7.3.4.1 Case Data

At TSAEP the *resource investment* theme was addressed within the context of departmental budgets. Enquiries focused on the RBT theory strands which elicited questions on risk appetites within *risk management*, the role of *PIMM for investment, fundraising and bids*, and the effects of internal and external funding sources on *investment readiness*. Face-to-face data collection revealed some uncertainties that appeared to stem from unfamiliarity with key concepts and how existing strategies, policies and processes addressed them.

Industry attractiveness was confirmed in the context of government investment in employment services. In addition a primary contractor which subcontracted service delivery to TSAEP was interviewed. Their comments displayed a high regard for the department's ethos and effectiveness. Importantly, they also praised TSA's leadership, claiming that it made the charity attractive as a partner. Employment is a high priority 'industry' for government policy.

Firm attractiveness to investors in TSA is enhanced by brand strength and the strategic marketing of information derived from centralised records. These records include data from operational departments like TSAEP where performance is largely controlled and assessed through financial budgets.

Most notable in TSAEP investment thinking was the remoteness of central processing and decision making to departmental activities. Inevitably, as changing markets were considered divergent views emerged regarding appropriate responses.

These changing markets are suited to DCT, addressed in the final three themes.

7.3.4.2 Case Data Analysis

Questions on 1.4 Industry & Firm Performance for Investment: (*Risk management; PIM for investment/FR/bids; Investment readiness*)

Questionnaires:

Executives: 3 low proactive scores, 2 moderate, and 1 strong (b3+b4, b2+b3, b2+b2).

SE Manager: 2 low to moderate reactive scores, and 1 low unsure score (a2, a3, c2).

Interviews:

Plans and implementation can vary; risk aversion at the executive level is strong; a prevalent self-reliant view of funding; spiritual investment was prioritised.

Quote : '... risk management is a patchwork but improving...largely reactive... robust'

Patterns: Increasing turbulence in risky markets was motivating a performance results-based view of PIM & VRIO, highlighting institutional-entrepreneurial tensions.

Explanations: Tension between spiritual value and funding opportunity was evident in a simultaneously risk averse and socially compassionate culture.

Summary: Resource investment did not appear to be closely aligned to market and mission opportunities for SCA. Overall management concepts of resource investment were clear and decisive, but limited. Internal investment lacked the rigorous performance evidence required by many impact-orientated external funders (P1/c).

7.3.5 Collaboration – Relational Capabilities and Alliances (TSAEP)

7.3.5.1 Case Data

Collaboration is a broad DCT theme within the *scalability* dimension, one which can only be addressed narrowly here through two DCT strands: *relational capabilities* and *alliances*. Relational capabilities are addressed through two research questions on *proactive engagement* and *stakeholders*. Similarly, alliance-based dynamic capabilities are explored through two questions on *intra-sector collaboration* and *cross-sector collaboration*. TSAEP is a large department within a complex

institutionalized national charity. As such, typical institutional factors including hierarchy, bureaucracy and isomorphism could be expected to affect relational and alliance-based capabilities. To determine these influences, four ancillary questions addressed TSAEP's *readiness to work with other organisations*, namely, churches, charities, businesses and government bodies. Given the top-down management structure at TSAEP, it was unsurprising that *collaboration* was tightly controlled. For brevity these sub-sub questions were omitted from the reported research.

In the next section, case data analysis relevant to the deployment of SE means is presented.

7.3.5.2 Case Data Analysis

Questions on 2.1 Relational Capabilities (*Proactive engagement; Stakeholders*)

Questions on 2.2 Collaborative Capabilities (*Intra-sector collaboration; Cross-sector collaboration; [Readiness to work with others]*)

Questionnaires:

Executives: 4 low proactive and 2 moderate scores (b3+b3, b2+b3, b2+b2).

SE Manager: 1 moderate reactive score and 2 low to strong proactive scores (a3, b4, b2).

Interviews:

There was evidence of increasing understanding and prioritisation of best practice holistic approaches to markets.

Relational Capability: Professed proactive attitudes to be built into strategy, systems and policy.

Quote: '...(beneficiaries... value)..relationships but not structure' '(be) all things to all people so that by all means I may save some'

Collaborative Capability: A range of viable formal and informal views were evident but enjoyed only limited implementation through current active partnerships.

Quote: '...four out of five contractors are commercial'

Patterns: Competitive markets drive collaborations for relationships and alliances for SCA, and TSAEP consistently preferred business (not governmental) partnership.

Explanations: A growing external/market focus is driving readiness to work with other organisations to achieve and sustain scale.

Summary: Mission-centric collaboration is being developed within structural & SE capability constraints. Collaborative proactivity varied from weak to clear, depending on roles and structures. Weak engagement precluded collaborative scale (P2/a).

7.3.6 Social Entrepreneurship – SE and Change (TSAEP)

7.3.6.1 Case Data

SE and change are almost synonymous, especially in unstable complex social service markets where traditional methods of achieving mission effectiveness are being challenged. TSAEP is familiar with these undersupplied markets, which increasingly favour solutions found in *entrepreneurialism* and *innovation* so question subjects draw on SE characteristics. It seemed possible that these concepts would be alien to respondents, but their answers could reveal growth potential. *Scaling* up operations at TSAEP to meet demand using SE methods would involve significant organisational *change*, justifying questions relating to *change readiness*. Given the complex vertical structure at TSA it was important to understand how organisational change could be best effected to meet market demand. Respondents were keen to consider the possibility of SE methods and their implications for change.

SE means and organisational change are potentially justifiable where firm growth in turbulent markets is being sought by increasing social outcomes and impacts.

7.3.6.2 Case Data Analysis

Questions on 2.3 Social Entrepreneurship (*Entrepreneurialism; Innovation*)

Question on 2.4 Change (*Change readiness*)

Questionnaires:

Executives: 6 low proactive scores (b1+b2, b2+b2, b1+b2).

SE Manager: 2 strong uncertain scores, and 1 low proactive score (c4, c4, b2).

Interviews:

Structural views dominated among responses revealing high uncertainty and low proactivity for SE means to scalability.

Social Capability: Theory/best-practice-informed aspirational executives at the same time as TSAEP displayed little systemic capacity or SE means.

Change Capability: Aspirational/theoretical vs current/real-world views conflicted, but agreement was evident with regard to the (non-urgent?) needs-means.

Quote: ‘ *potential pitches for innovation, change, development ...hard to prepare*’

Patterns: Executive aspirations vs operational actions – aspirational goals were not being realised because little entrepreneurialistic and innovative practice was evident.

Explanations: Centralisation and tall structures challenge asset orchestration and market co-evolution typical of SE operations.

Summary: SE means for mission effective scale would demand major change. Entrepreneurial proactivity levels were weak, and readiness to change was limited. Innovation and change readiness were weak and slow, hindering scalability (P2/b).

7.3.7 Scalability – Outcomes, Impacts and Growth (TSAEP)

7.3.7.1 Case Data

Scaling up the quantity of nonprofit social services is considered here as an outcome of firm *growth*. The growth theme is explored through two 1st order constructs in DCT: *social outcomes and impacts*, and *firm growth*. Aspects of social outcomes and impacts potential at TSEAP were revealed using questions on *decision-making* and *social outcomes and impacts*. Large established charities are expected to employ clear and effective decision-making processes in support of *mission-centric* strategies which prioritise social outcomes and impacts. According to DCT, firms measure the success of their dynamic capabilities by firm growth. Given the rapid structural changes and increased demand in the social services market, questions were asked about *manageably scaling up* operations to achieve firm growth and mission effectiveness.

7.3.7.2 Case Data Analysis

Questions on 2.5 Social Outcomes & Impacts (*Effective decision-making; social outcomes or impacts*)

Question on 2.6 Firm Growth (*Manageable scaling up*)

Questionnaires:

Executives: 4 low and 1 moderate proactive scores, and 1 low reactive (b2+b2, b1+b3, a2+b1).

SE Manager: 1 moderate reactive score, 1 strong and 1 low proactive (a3, b4, b2).

Interviews:

Recognised need for improved vertical and horizontal internal coordination and SO-SI process.

Social Outcomes & Impacts Capability: Recognition and acceptance of the importance of the issues – they were being cautiously addressed.

Quote: 'TSA wants a bigger influence (in/with) business'

Growth & Scale Capability: Clear structurally-based growth plans supported by detailed budgets were being progressed.

Patterns: Existing capacity for more missional SO-SI suggests growth potential in services.

Explanations: Growing internal coordination supports the whole charity but is not SE based.

Summary: Growth for scalability is unlikely through SE means in the current structure. Overall proactivity for social impact-led growth was weak to moderate. Strategic management of SO-SI was inadequate in itself to achieve growth (P2/c).

7.3.8 Case Data Findings for TSAEP's Mission Effectiveness

Within-Case Consolidation and Synthesis for TSAEP

In this section the summaries from the six theory-based themes (see Figure 1.3) are consolidated and synthesised for discussion in the light of the participants' responses. The focus is on tentative causal relationships and associated links between the themes. At TSAEP the number and range of respondents ensured quality evidence.

Within-Case Consolidation:

TSAEP is a department within the Social Services division of TSA, and therefore enjoys an unique resource position controlling significant human, physical and financial resources. In volatile emerging markets where TSA holds a dominant position among faith-based providers, regulatory compliance and risk avoidance are prioritised. Nonetheless, TSAEP benefits from economies of scale, centralised functional support, and proximity to governance and decision-making at headquarters. Conversely, it was constrained by a comprehensive and complex organisation-wide bureaucracy that limits proactivity, innovation and entrepreneurialism.

Internal support activities include business services and resources available for investment, which were not closely linked by the governance process. Nonetheless,

governance strategies, policies and processes were adjusting to increasingly turbulent market conditions in which performance-based impacts enhance SCA. The result was that previously adequate infrastructure was challenged to meet new market uncertainties. Radical, rapid, market-responsive remedial action was difficult in structures that were rigid, hierarchical and risk averse. TSAEP's context constrained performance through SE means to mission effectiveness.

Externally-focused scalability potential is explored here through SE means. As such they reflect entrepreneurial proactivity and innovation as means to achieve mission effectiveness. Dynamic capabilities are entrepreneurial by nature, involving the sensing, screening, seizing and shaping of market opportunities. These aspirations were being partially realised in TSAEP, although they were inevitably constrained by strategies, structures and systems which were designed for markets characterized by lower levels of complexity, instability and competition. Accordingly, the thematic results showed that potential for collaboration, SE and growth was underdeveloped.

The Salvation Army's mission statement reads as follows:

'We believe in openly sharing our faith and the good news of God's love for everyone, helping individuals to develop and grow in their own personal relationship with God, demonstrating a practical concern for all and speaking out against social injustice.'
<http://www.salvationarmy.org.uk/uki/ExploreOurMission> (Accessed: July 2014)

Audited reports reveal that TSAEP's faith-basis and social action through employment services do achieve long-term employment outcomes. Further, the foregoing analysis shows clear aspiration and planning to respond to social needs using more business-like means and methods, indicating an appreciation of the importance of SE means to improve mission effectiveness. However, these means were largely untested at the time data were collected.

Within-Case Synthesis:

TSAEP here is the most widely recognised participant operating in social markets, but consider:

1. Business services require significant investment to deliver efficient, effective support.
2. Governance for strategic agility in turbulent markets needs a flatter, more responsive structure.
3. Resource investment needs a VRIO performance base to achieve mission and SCA.
4. Collaboration suggests major opportunities within an empowered/devolved structure.
5. SE demands counter-cultural approaches to proactivity, innovation and risk-taking.
6. Growth for scalability based on SO-SI capability is manageable, but challenging.

Adapting to an irreversibly changing social service landscape offers risk-weighted opportunities.

Within-Case Summary:

From the empirical data it appears that SE means to achieving mission effectiveness are possible through modifications, most obviously through changes in the structural TSAEP-TSA relationship that would promote entrepreneurship. In RBT terms, TSAEP enjoys an unique, strong market position, and controls superior VRIN resources (e.g. infrastructure, reach) which could be harnessed to optimise performance. From the DCT perspective, market power was suboptimal, because enviable capabilities (e.g. key stakeholders) were not being orchestrated to exploit market opportunities for growth. CTE differs significantly from TSAEP, and features in the next case study report.

Churches Together In England (CTE)

7.3.9 Introduction to CTE

CTE was set up in 1990 as a national non-denominational umbrella body which facilitates inter-church communication and collaboration. The charity supports a lively research function which keeps it up to date with social and policy trends. Social action is a powerful driver of Christian unity (**Marsh and Currin 2013**). While researching local Churches Together as part of the pilot study, the potential for churches to facilitate the work of CSACs was impressive. Unsurprisingly, these informal local associations are highly dependent on charismatic, visionary leaders for success. Nationally, the respondents at CTE were the General Secretary (equivalent of chief executive) and the Field Officer (South), both of whom held doctorates.

Similarly other umbrella organizations also serve church unity (e.g. the Evangelical Alliance). Nonetheless, the CTE brand enjoys a good reputation within the Christian community, and importantly it appeared to be the most representative body for the widest range of churches. For example, its four presidents are: The Archbishop of Canterbury, The Archbishop of Westminster, The Free Churches Moderator, and one other prelate appointed by their denomination, including Orthodox, Black Majority, Lutheran and the Religious Society of Friends (Quakers); in total representing 35 member denominations in 2011 (**Churches Together in England 2011**). This respected charity included social action in its mission goals:

'To respond to human need by loving service' and 'to seek to transform unjust structures of society.'

Churches inevitably prioritise their founding doctrines and preferred forms of worship, practices which can encourage denominational insularity. However, Christian social action cuts across denominational boundaries even where the CSACs are run by churches (e.g. Caritas). Thus, CTE's main stakeholders are town and area churches (through regional offices), among which it enjoys an unique position from which to influence members to engage in united social action (for example, CT Birmingham is a prime mover in multi-programmatic city-side social action (**Birmingham Churches Together 2014**). Unashamedly Christian, but also politically astute, CTE navigates

carefully and successfully among churches and between them and wider society in keeping with Jesus' injunction: *'Behold I send you out as sheep in the midst of wolves. Therefore be wise as serpents and harmless as doves'*. **(Bible: Matthew 10v16).**

CTE charges for membership subscriptions and for some services (e.g. guidance/resources). Perhaps these services could be developed to generate SE-type trading income in an undersupplied social services market. Possible links between these services and mission effectiveness are discussed later under thematic headings.

The CTE case data reflects the charity's operating level. CTE is a tertiary organisation, an umbrella body that mainly offers knowledge-based services. As such it did not deliver many spiritually-motivated social services directly, but rather provided research, information, advice, contacts etc., to CSACs more closely engaged with social action. In this role it serves a wide range of denominations and thousands of churches affiliated to each other through voluntary local Churches Together forums.

Although its charitable objects are wide and its policies are far-reaching, CTE is a small charity employing only 12 full-time staff during the research period. Recent trends in the Income & Expenditure accounts (below) give a limited idea of its funding challenges, but the stability of its net worth should also be noted: 2013: £550,988 and 2011: £545,665 **(Churches Together in England 2011 and 2013).**

	I&E	I&E
	2013	2011
	£	£
Income	663,448	921,796
Expenditure	681,922	832,127

Table 7.2 Income & Expenditure information for CTE (2011 and 2013)

In presenting the 2012 accounts (**Churches Together in England 2013**) the directors comment:

'The economic climate in which we are operating continues to be challenging as churches and Intermediate Bodies struggle with budgets. Our funding has yet again been flat-lined (which is of course a decrease as costs increase)...Despite that we have managed to maintain our existing levels of service through strict cost controls and a focus about our work. That has been at the cost of innovation...Such a climate stimulates strategic thinking....'

Thus, in common with many nonprofits, CTE has been negatively impacted by the national economic downturn. Sadly, innovation has suffered as tertiary entities are typically constrained from SE means to performance and growth. But strategic thinking is now prioritised, an outcome that should benefit CTE and wider society.

At CTE, the Chief Executive and the Field Officer for the Southern region responded to the questionnaire jointly, so scores were agreed between them. Similarly, their interview responses were congruent, revealing only complementary differences. In the next sub-sections RBT and DCT themes frame CTE's question and interview responses to provide comparable within-case data collection, analysis and synthesis.

7.3.10 Business Services – Performance and Management (CTE)

7.3.10.1 Case Data

CTE operates centralised *business services* from offices in London which support regional offices. Thematic data supporting this RBT-based theme were collected using questions on *performance measures*, *efficient systems*, and *quality service delivery*. CTE's umbrella role did not demand complex *performance measures* or sophisticated *systems* to ensure high levels of *service quality*. Communications among a small staff were simple and professional. CTE practiced a learning and teamwork culture, both important for SE and DCT.

On reviewing CTE's approach to PIMM, the CEO commented:

'...we have struggled with KPI's, particularly in relation to public benefit, and have adopted willing participation and partnerships – e.g. with church leaders, denominations, bodies in association - as key measures. They are growth oriented in that they are about the reach of the organisation, and those who are willing to make common cause, but they scarcely deliver in ways you are measuring. We've ... discussed... how to quantify 'soft' deliverables...'

The data collection process for *business services* inputs provided early pointers as to the important umbrella role of this CSAC in promoting and supporting social action.

7.3.10.2 Case Data Analysis

Questions on 1.1 Resource Performance Measurement & Management
(*Performance measures; Efficient systems; Quality service delivery*)

Questionnaires:

Respondent(s): High reactive scores for PM & systems (a4, a5), high proactivity for quality (b4).

Interviews:

PMs and systems are low priority in this complex relational context; quality is claimed but not measured.

Quote: 'No formal measurement or management...more an exception basis for complaints' '(PIM) ...not really relevant for us'

Patterns: Low internal PMs (dependence on funders/members), but quality is judged internally using in-house criteria.

Explanations: Monopoly, low competition and high trust allow low VRIO resource optimisation.

Summary: Business services are underdeveloped to realise market potential for a tertiary role. Overall business services were proactive in terms of quality, but reactive for PIMM and systems. PIM weaknesses precluded wider efficiencies (P1/a).

7.3.11 Governance – Strategy and Policies & Processes (CTE)

7.3.11.1 Case Data

Strategy and policy as functions of *governance* at CTE were highly developed, as reflected in the thoughtful responses to questionnaires and interviews. While the business language of *performance and measurable outcomes/impacts* was somewhat unfamiliar, related CSAC firm-specific principles were understood and practiced. A closer fit was found with matters of *policy and process*, most clearly in CTE's *strategies* to empower churches in social action based on solid ecumenical theology and multi-level and multi-faceted relationships.

This research at CTE was timely insofar as it stimulated genuine interest and engagement with relevant current issues. This was evident when several meetings extended beyond their prescribed times as the questions illuminated areas for potential development.

7.3.11.2 Case Data Analysis

Question on 1.2 SO-SI Strategy (*PIM for social outcomes/impacts*)

Questions on 1.3 Policies & Processes (*Internal policy input; Government policy input*)

Questionnaires:

Respondent(s): Low reactive SO-SI score (a2), moderate-strong proactive policy & process scores (b4, b3)

Interviews:

Strategy: Low clarity or priority for SO-SI objects and limited PIM with which to achieve them.

Quote: 'It makes you think much harder about the organisation, more thought needed'

Policies & Processes: Clearly stated policies: sources of theology, social mission (immeasurable?) and social impact.

Quote: ‘We haven’t yet done formal risk evaluation...’

Patterns: Broad tertiary objects are weakly connected to VRIO resource performance for SO-SI.

Explanations: Tertiary role with primary stakeholders (e.g. Intermediary Bodies) indirectly supports secondary stakeholders (e.g. churches engaged in social action).

Summary: Mainly a remote research engagement with social issues and potential impacts. Overall the responses indicated that while policies were proactive, firm strategy was less so. A long-term performance focus was shedding SO-SI (P1/b).

7.3.12 Resource Investment – Industry and Firm Performance (CTE)

7.3.12.1 Case Data

To understand more about attitudes and practices guiding *resource investment* at CTE, the questions addressed *risk management*, the role of *PIM for investment, fundraising and bids*, and the effects of internal and external funding sources on *investment readiness*. CTE’s patient long-term mission to achieve spiritually-motivated ecumenically-driven social change is relational, ambitious and visionary. Committed funding relationships are indispensable, and a growing workload demands additional funding. CTE’s embedded interdenominational role in empowering local social action mitigates some risks while introducing new opportunities and risks. To assist these efforts, CTE recently invested in IT resources, as the CEO recounts:

‘... since you met us, massive investment – our website has been completely re-vamped (by an external provider) and although still working through the snagging list, is working very well with an astonishingly high hit rate. We have also... provided staff with iPads which has changed our work patterns completely. That investment

was a deliberate corollary of our move to virtual working (only one administrator now based in London) which has worked well.'

CTE like the other cases saw its role as being directly linked to an increasingly attractive 'industry' of charitable social action to promote its mission for public benefit across England.

7.3.12.2 Case Data Analysis

Questions on 1.4 Industry & Firm Performance for Investment: (*Risk management; PIM for investment/FR/bids; Investment readiness*)

Questionnaires:

Respondent(s): Unsure scores on risk, PIM investment (c2, c3), strong internal investment (a4).

Interviews:

Performance & Investment: Informal risk management lacked coherence alongside low external funding criteria awareness.

Quote: 'We are still funded by ... denominations' 'Not sure of common measurable across a variety of funders...(we prioritise) projects not posts'

Patterns: Tertiary role is compliant and risk averse, lacking social impact-based drive for SCA.

Explanations: Tertiary objects were broad, possibly hindering SO-SI mission effectiveness.

Summary: Internally funded long-term role may explain unclear risk and performance criteria. Overall, performance and investment were not clearly linked, as relational criteria predominated. Social performance was weak for funding purposes (P1/c).

7.3.13 Collaboration – Relational Capabilities and Alliances (CTE)

7.3.13.1 Case Data

While ‘hard’ investment-oriented PIM is not a primary mission driver at CTE, *collaboration* is. Unity-building umbrella bodies are necessarily expert in relevant aspects of diplomacy, negotiation and a range of other *relational capabilities*. These strategic management dynamic capabilities were explored through questions on *proactive engagement* and *stakeholders*. Unsurprisingly, these questions were answered with confidence and clarity.

To fulfill their holistic mission, CTE’s *alliances* necessarily comprise permanent, embedded, structural, interorganisational and ‘industry-wide’ relationships, and appropriately proactive engagement with long-term programmes and short-term projects. Although primary stakeholders mainly represent Christian organisations in *intra-sector collaboration*, the multiplicity of constituent interests demands advanced dynamic capabilities.

It was clear that the calling and experience of senior respondents was central to their successes at both the interpersonal and interorganisational levels. These complex collaborative capabilities inevitably involve flexibility and change to accommodate multi-stakeholder agendas.

7.3.13.2 Case Data Analysis

Questions on 2.1 Relational Capabilities (*Proactive engagement; Stakeholders*)

Questions on 2.2 Collaborative Capabilities (*Intra-sector collaboration; Cross-sector collaboration; [Readiness to work with others]*)

Questionnaires:

Respondent(s): Reactive engagement (a4), inclusive stakeholders (b4), highest intra-sector collaboration (b5), and strongly reactive regarding cross-sector collaboration (a4).

Interviews:

Relational Capability: Indirect (intra-sector) and some direct engagement with SO-SI – a vital shared ecumenical focus was evident.

Quote: 'We are quite proactive in many areas, educational courses, hospital chaplains...' '(We seek) ... greater efficiency (resource synergies)... (and) credibility (togetherness, reconciliation)...

Collaborative Capability: Clearly understood multi-stakeholder, multi-sector, holistic, expertise and external funds-based potential.

Quote: '(ideal partners are)...probably the public sector, because of our umbrella role'

Patterns: Tertiary ecumenical representational focus enables high level collaborative scalability to achieve mission effectiveness (albeit with limited social action goals).

Explanations: Reactive role in non-competitive intra-sector market – no direct SE trading remit.

Summary: Collaboration for SO-SI involves largely information-based support to facilitate impacts through members. Overall, collaboration was coordinative and reactive, only partially empowering CTE's leaders. Where proactivity was expected to elicit growth, reactive intra-sector engagement had failed to do so (P2/1a).

7.3.14 Social Entrepreneurship – SE and Change (CTE)

7.3.14.1 Case Data

CTE appeared to meet some basic *proactivity* and *collaborative* criteria that typify SEs, while recognising that *risk management* was not prioritised in their established *intra-sector* market. CTE's traditional umbrella role with regard to CSACs focuses on churches rather than typical frontline service providers. Nonetheless, as more churches engage with such frontline providers many are now engaging directly with social need (e.g. via food banks). In this *changing* market environment, demand from churches for guidance on social action informs the research questions on *entrepreneurialism* and *innovation*. While these concepts may lack currency in

religious umbrella bodies, their existing capabilities indicate a propensity toward complex situations which demand innovative and entrepreneurial solutions.

As social service demand increases CTE aims to *scale up* its tertiary operations in support of the growing CSAC sub-sector. Achieving these goals effectively within its mission, CTE needs to be *change ready* in order to develop and deploy the capabilities required to meet evolving challenges.

~~Unmet social needs drive the quest for more nongovernmental capacity in high impact social services. Therefore the need for growth is considered next.~~

7.3.14.2 Case Data Analysis

Questions on 2.3 Social Entrepreneurship (*Entrepreneurialism; Innovation*)

Question on 2.4 Change (*Change readiness*)

Questionnaires:

Respondent(s): CTE was unsure of entrepreneurialism (c3), engaged in gradual top-down innovation (a4), and exercised balanced change skills (b3).

Interviews:

Social Capability: The concepts of dynamic SE/business means are deemed inappropriate, but not ecumenical innovation which is developed through negotiation.

Quote: 'SE means and methods could be usefully considered for adaptation'

Change Capability: Internal change is possible; external stakeholder influencing is patient, expert and gentle.

Quote: 'We are an advisory body, our power levers are weak...innovation is risky...'

Patterns: Tertiary social capabilities and market-responsive change in order to generate trading income are alien concepts.

Explanations: The membership advisory role can develop but may well not change significantly – it is necessarily highly sensitive and predicated on multiple different views and demands.

Summary: Tertiary SO-SI capabilities may promote mission effectiveness without SE. Overall, entrepreneurialism was unfamiliar and change readiness was reactive. CTE's stable market perhaps resisted innovation, but change was planned (P2/b).

7.3.15 Scalability – Outcomes, Impacts and Growth (CTE)

7.3.15.1 Case Data

At CTE, the link between social action through churches and related charities is indirect. Therefore attributing social impacts to CTE would probably be impossible or too costly. Rather, as an umbrella body fulfilling an intermediary mission, CTE seeks to empower its members to better achieve their spiritually-motivated social missions. Thus their members' missions are central to CTE's mission. Facilitating these differing missions from a strategic position demands a clear understanding of the necessary social outcomes and impacts, and the effective decision-making processes required to achieve these mission-centric results. Accordingly, questions addressed *social impacts* and *decision-making*.

As churches seek greater spiritually-motivated social impacts, they also seek *growth*. In turn, their actual and potential demands on CTE require that the umbrella body itself is able to grow and thus broaden and *scale up* its services to members. Organisational growth is often a precursor for the *manageable scaling up* of operational workloads – the final question.

In the light of the social, economic and environmental changes that are affecting the social services market it follows that the means by which CSAC missions can be effective is also changing. SE means include efficient methods which demand dynamic capabilities to achieve SCA in complex, turbulent markets. Some of these may be useful to CTE.

To conclude this outline, CTE's growth data are analysed next.

7.3.15.2 Case Data Analysis

Questions on 2.5 Social Outcomes & Impacts (*Effective decision-making; social outcomes or impacts*)

Question on 2.6 Firm Growth (*Manageable scaling up*)

Questionnaires:

Respondent(s): Highest proactive decision-making (b5); unsure of SO-SI impacts (c3) and manageable scaling up (c4).

Interviews:

Social Outcomes & Impacts Capability: Interdependency with members can lead to myopic perspectives and reduce SO-SI to consensual, indecisive disempowerment.

Quote: 'We aren't aware of the wider views of stakeholders'

Growth & Scale: Long-term commitment obviates dynamic solutions beyond functionality and communications.

Quote: 'Funding (is) flat lining for the next three years...we expect to grow with more...churches'

Patterns: Tertiary mission effectiveness is not seen as being dependent on SO-SI for growth.

Explanations: Tertiary reactivity prevails in a complex multi-agenda stakeholder environment.

Summary: Growth and scale through SE means would require major adaptations to achieve tertiary mission. Overall decision-making was proactive, but the means to scalability were unclear. Dynamic strategic capabilities were suboptimal (P2/c).

7.3.16 Case Data Findings for CTE's mission effectiveness

Within-Case Consolidation and Synthesis for CTE

In this section CTE's data are analysed to identify possible associations (between the theory-based themes shown in the conceptual framework in Figure 1.3) in pursuit of evidence for mission effectiveness through SE means. Analysis reveals some inferred tentative causal relationships between the research themes and the functions and operations of CSACs. The academic nature of the executives at CTE facilitated precise responses, partially motivated by potential practical application.

Within-Case Consolidation:

CTE is an umbrella body that plays a pivotal role in uniting ecumenical efforts to inspire, influence, and impact communities for the public benefit. While not delivering frontline social services, this role supports frontline and intermediary CSAC mission effectiveness in England. Thus, CTE holds a key strategic position at the centre of what is potentially the biggest network of social service providers in England – CSACs related to and including churches. The Church provides the worshipping centre of CSA, but not all churches engage directly in formal CSA because they lack the capacity. Nonetheless, to achieve scalability the CSAC sub-sector must perform competitively, aided by bodies like CTE. In its strategic support role, CTE employs largely intangible, knowledge-based resources and capabilities to achieve its *mission*.

Internal support value drivers differ in their alignment with RBT *performance*. In common with many charities, *business services* are underdeveloped in terms of their potential to produce performance-based data to guide income generation. Notwithstanding, social results are not prioritised within robust and compliant *governance* processes. *Resource investment* policies and practices are not performance-linked, but are predicated on low risk long-term internal funding for long-term strategic results, which can fund operations from short-term deposits.

External, *scalability*-focused activities are viewed through DCT constructs. *Collaboration* to optimise social results is tertiary, mainly via knowledge-based services and guidance materials. This 'hands-off' role is reflected in data on *social enterprise* means of generating income - all somewhat alien to CTE understanding,

culture and motivation. Therefore it is unlikely that SE means would be suitable to enable *growth and scalability* at CTE, at least without major change.

CTE's mission statement emphasised ecumenical witness and service:

Churches Together in England is a visible sign of the Churches' commitment as they seek a deepening of their communion with Christ and with one another, and proclaim the Gospel together by common witness and service. Its strength comes from people from different traditions finding new ways to work and worship together.

Perhaps more relevant here was CTE's statement of public benefit:

'...we...contribute to social capital and community cohesion... Our more specialised work in health care chaplaincy, prison chaplaincy and education brings benefit through the provision of spiritual and religious care to the ill or detained and the promotion of Christian values within state education'. (Churches Together in England 2011)

In terms of mission effectiveness, CTE clearly exercises faith through a variety of social actions, many of them delivered through intermediary member bodies. The extent to which social outcomes and impacts could be affordably measured and managed through SE means is unclear, although attributed social results would probably attract new members. However, collaboration and growth are important to CTE's mission, and it is realistic to assume that adopting and adapting appropriate business-like means would improve mission effectiveness.

Within-Case Synthesis:

CTE contributes to social action indirectly, and shows clear potential for scalability:

1. Business services could provide vital integrated strategic stewardship information.
2. Governance has the potential to enhance spiritual performance via VRIO resources.

3. Resource investment might identify and assess tentative low risk innovations for growth.
4. Collaboration would benefit from stakeholder mapping, evaluation and management.
5. Social Enterprise means and methods could be usefully considered for adaptation.
6. Growth for SO-SI related scalability may be advisable, within a manageable strategy.

Potential exists for adapting SE means while maintaining spiritual integrity.

Within-Case Summary:

This analysis of CTE's empirical data suggests that mission was effective, although not optimal, using non-SE means and methods. Serious consideration of SE approaches should provide insights that are efficient, economic and effective as well as spiritually appropriate. As argued for in RBT, CTE held an unique and potentially powerful market position, founded on alliance-based resources which were deployed to meet perceived long-term demand. However dynamic grow and scale was suboptimal on account of weak value creation where strategic management was disempowered and significant capabilities were underutilised.

ROC is the subject of the final case report, next.

Redeeming Our Communities (ROC)

7.3.17 Introduction to ROC

ROC is the youngest organization in this study, established in 2004 and going national at the NEC Arena in Birmingham in 2006. Within a short time ROC's visionary leader Debra Green OBE had established a wide and deep network of franchised operations in many parts of England. ROC is the smallest, most dynamic and most cross-sectoral of the three cases. Community transformation through crime reduction is at the centre of its mission:

*'Redeeming Our Communities is a national charity founded in 2004 with over 50 projects throughout the UK. The charity's main aim is to bring about **community transformation** by creating strategic partnerships which open up opportunities for crime and disorder reduction and improved community cohesion. This partnership approach has seen crime and anti-social behaviour fall and fresh hope brought to some of the most deprived and challenging areas of the UK, urban and rural alike.... ROC brings together community groups, churches, the police, the fire service, local authorities and voluntary agencies to encourage them to work together in **positive partnerships for practical 'on the ground' change'** (Redeeming Our Communities [a]).*

The charity's strap line reads: *'people of goodwill working together towards safer, kinder communities'.*

A small salaried staff based in Manchester coordinates a large number of voluntary ROC Ambassadors across Britain. The sole respondent was the Operations Director, whose business background provided a rich source of efficiency-based developmental thinking. Data was collected remotely, initially by phone and email, followed by a video-interview using Skype.

ROC provided the model for local ROC operations and reporting back to the centre. Success in reducing crime and generating community-building dialogues has built brand and support from a range of stakeholders, religious and otherwise. At the time of writing, ROC's entrepreneurial approach to community transformation was funded mainly by charitable donations from individuals, churches and public services. **Redeeming Our Communities (2012)** describes several services, including:

- promoting partnerships between collaborations with churches, statutory bodies and emergency services and other like-minded voluntary organisations and groups
- enabling and equipping people to make a difference, and

Mission Effectiveness and Social Entrepreneurship:
Theoretical insights and case-study evidence from three Christian
charities in England

- creating sustainable projects and services for all age ranges

Services are delivered through an integrated programme (**Redeeming Our Communities 2013**):

- ROC Café – to engage young people from deprived backgrounds
- ROC Restore – a restorative justice initiative which reduces conflict and offending
- ROC Care – an initiative to reduce loneliness and help with day-to-day tasks
- ROC Centres – offer a wide range of facilities and activities for all age ranges
- ROC Mentoring – supports individuals and families to reduce crime and build confidence

While ROC is still small compared with the other cases, its operating results have clearly improved where the others have shrunk since the primary data was collected. Despite the limitations of ROC's comparable summary accounts information, they suggest that a strong entrepreneurial market orientation has contributed to rapid growth and scalability:

	I&E	I&E
	2013	2011
	£	£
Income	364,129	90,139
Expenditure	317,408	59,342

Table 7.3 Income & Expenditure information for ROC (2011 and 2013)

From the outset ROC appeared to be the closest case to SE by nature and function. This assertion is now explored under the theory-based management themes, noting that this section simply offers background to the data collection context and analyses. ROC's responses to the questionnaire and the interviews are shown in Appendix 23.

7.3.18 Business Services – Performance Management (ROC)

7.3.18.1 Case Data

ROC obtains economies of scale and clustering of knowhow by operating *business services* from its headquarters in Manchester. Aware of the importance of up-to-date information for analysis and decision-making, ROC systems provided essential social performance measures clearly based on service-user needs. Thus the questions on *performance measures*, *efficient systems*, and *quality service delivery* were answered confidently and comprehensively. While systems need not be advanced for these operations, they must adequately serve a small, busy team as it seeks mission effectiveness in a changing multi-stakeholder cross-sector market. Of particular import are ROC's website and its communications with volunteers.

The data collection process revealed a high dependence and prioritisation of *business services* to develop and improve the performance of social impact strategies, as discussed next.

7.3.18.2 Case Data Analysis

Questions on 1.1 Resource Performance Measurement & Management
(*Performance measures; Efficient systems; Quality service delivery*)

Questionnaires:

Respondent: PM proactivity (b3), basic essential systems (a4), proactive quality (b3).

Interviews:

Performance Management: Developing local, individual PM from comprehensive low cost data - moving towards benchmark quality.

Quote: 'Outputs/outcomes ... (all) clearly measure (including) incidences of crime, youth provision...'

Patterns: A maturing startup developing cost-effective efficient PM practices via SE means using expert staff.

Explanations: PMs are directly connected to PIM, thus improving SO-SI performance results.

Summary: Business services are mission-centric and market-responsive via links to VRIO resources (e.g. ambassadors, volunteers). Overall ROC takes a proactive, efficient, and cost-focused approach. PIM enabled efficiency and quality (P1/a).

7.3.19 Governance – Strategy and Policies & Processes (ROC)

7.3.19.1 Case Data

Using a range of mission-critical information derived from its business systems, ROC can review and revise its *performance* in achieving *social outcome and impact strategies* as reflected in the governance questions. This charity recognises the importance of demonstrable, verifiable social impacts where it operates e.g. falling crime rates. And like most young CSACs, ROC must optimise the use of scarce resources to build its market position quickly, and thus meet rising demand in the face of increased competition for diminishing government funds.

Apart from social strategy, the other main area of *governance* in this research concerns the *policies and processes* that enable strategies to be implemented. Mission effectiveness depends on appropriate policies and processes which take into account internal and external factors. The questions on *internal* and *government policy inputs* inevitably drew responses which partially reveal the governance processes used to implement these policies. ROC works closely with statutory bodies whose roles are tightly prescribed by public policy, so it has a particular interest in designing its own policies and processes to meet public policy targets.

7.3.19.2 Case Data Analysis

Question on 1.2 SO-SI Strategy (*PIM for social outcomes/impacts*)

Questions on 1.3 Policies & Processes (*Internal policy input; Government policy input*)

Questionnaires:

Respondent: PIM for SO-SI (b3); reactive internal policy (a4); proactive re-Govt. policy (b4).

Interviews:

Strategy: Light touch developmental SO-SI PIM systems are locally devolved (functional and operational).

Quote: 'We need to test results with beneficiaries...we need to demonstrate our results...' 'SO-SI varies between beneficiaries...' 'SO-SI models would (be) used to allocate resources...' '(key resources are)... financial and people resources...occasionally business support systems...'

Policies & Processes: Clear Biblical values-based vision and policies complement Government policy aims to help disadvantaged people.

Quote: 'Our values...should act as a touchstone...Big society...local government funding...'

Patterns: Startup performance-based VRIO resource developments support SO-SI strategy.

Explanations: Startup achieves strong social results rooted in the strategic centrality of SO-SI impacts.

Summary: Governance is missional, and increasingly professional and progressive using SE means. Overall governance at ROC could be described as proactive and top-down. The resource-based social strategy was successful (P1/b).

7.3.20 Resource Investment – Industry and Firm Performance (ROC)

7.3.20.1 Case Data

Bearing in mind ROCs quasi-public service governance context, the data from questions relating to funding VRIO resources is now discussed. Social impact strategies identify functional and operational objectives and the resources required to meet them. ROC's investment readiness is determined by its performance and ability to raise funds, and to optimise resource investment through productivity. Investment involves risk, an area which ROC addressed systematically and comfortably. These areas are explored through questions on *PIM for investment, fundraising and bids, investment readiness* and *risk management*. ROC's embedded relationships with statutory authorities appear to enhance SCA potential.

Crime reduction is, in one sense, an *attractive national 'industry'* which commands significant government and private sector resources. As a low-cost service provider demonstrating impressive results, ROC has potential to enhance its eligibility for external investment.

7.3.20.2 Case Data Analysis

Questions on 1.4 Industry & Firm Performance for Investment: (*Risk management; PIM for investment, fundraising and bids; Investment readiness*)

Questionnaires:

Respondent: Low to moderate proactivity scores for risk and investment (b2, b3, b3).

Interviews:

Performance & Investment: Investment ready via effective risk management to support donor and outcomes-based funding.

'Quote: '(We) report against required, evidenced outcomes... (to) individual donors, then government and trusts' '(mainly on funding for) specific development projects...'

Patterns: This maturing startup prioritises performance reports to attract funding to crime reduction 'industry'.

Explanations: ROC deploys a strong brand, communications and optimal VRIO resources (especially and increasingly the recruitment and retention of key staff).

Summary: Resource investment in VRIO resources is improving through SE means to achieve mission. Overall ROC's resource investment approach is risk-aware and attractive to external investment. Evidence of social performance was vital (P1/c).

In the next three sections, DCT constructs are explored under themes which inform the need for CSAC sub-sector *scalability*.

7.3.21 Collaboration – Relational Capabilities and Alliances

7.3.21.1 Case Data

ROC operates in competition with government agencies, businesses and other nonprofits to secure influence and funding connected with the work of statutory bodies like the police, fire brigades and local authorities. In this complex multi-stakeholder environment, proactive engagement with all relevant parties must be strategic in order to sustain operations. Further, success demands collaboration through interpersonal relationships and interfirm alliances, thus reflecting DCT's *relational* and *alliance-based capabilities*. Therefore, the questions exploring relational capabilities address *proactive engagement* and *stakeholders*. As expected ROC had clearly identified and prioritised these strategic areas.

Similarly, ROC's readiness to work with other organisations was essential for sustainability. *Intra-sector* and *cross-sector* collaboration are paramount in partnerships with government bodies. *Alliances* for mutual benefit necessarily took many forms, from the informal to the contractual, all of which demand specific dynamic capabilities from strategic managers.

7.3.21.2 Case Data Analysis

Questions on 2.1 Relational Capabilities (*Proactive engagement; Stakeholders*)

Questions on 2.2 Collaborative Capabilities (*Intra-sector collaboration; Cross-sector collaboration; [Readiness to work with others]*)

Questionnaires:

Respondent: Strong, inclusive intra-sector engagement (b4, b4, b4); reactive low-risk/financial gain cross-sector engagement (a3).

Interviews:

Relational Capability: Clear values-based engagements to develop structured, systematic relations with key players.

Quote: 'We try to ensure that we keep our first love for people (and) communities as paramount...' '(our) main customers, ambassadors, supporters, and the people they... serve'

Collaborative Capability: Vision-mission based mutually beneficial collaboration, prioritising benefits to service users.

Quote: '(We) ensure clarity and openness from the start on all aspects, e.g. resources, HR...'

Patterns: From startup ROC created multi-agency cross-sector partnerships to achieve lasting results.

Explanations: ROC depends on relations with local agents to achieve SO-SI results.

Summary: Collaboration is predicated on SO-SI aligned performance to achieve mission via SE means. Overall ROC's collaborative efforts were proactive and strategically centred on fundable social impacts. High operational dependence on collaborative partners is typical of SEs and had contributed to rapid growth (P2/a).

7.3.22 Social Entrepreneurship – SE and Change (ROC)

7.3.22.1 Case Data

The preceding theory-based questions, when applied to ROC suggest a predisposition to SE means of achieving its mission effectively. Like a typical SE, ROC has used entrepreneurial means of promulgating an inspiring nationwide vision that is well beyond the limits suggested by its resources. Trained volunteers, unrestrictive policies and processes, and low-cost targeted communications all contribute. Similarly, innovative approaches to community transformation in collaboration with key players from other sectors have promoted SCA. It was with these qualities in mind that questions relating to the dynamic capabilities necessary for *entrepreneurialism* and *innovation* were asked. Enthusiastic answers encouraged the author's conviction that a new hybrid theory of SE could aid CSAC scalability.

While growth and scale in social services are desirable, such expansion demands change in service providers. Young, entrepreneurial firms are typically more amenable to continual change, as explored by a question on *change readiness*.

7.3.22.2 Case Data Analysis

Questions on 2.3 Social Entrepreneurship (*Entrepreneurialism; Innovation*)

Questions on 2.4 Change (*Change readiness*)

Questionnaires:

Respondent: Strong social capabilities (b4, b4); moderate proactive change capability (b3).

Interviews:

Social Capability: Entrepreneurialism is spiritual, creative, responsible and innovative within central-local priorities.

Quote: '(light touch at)... the centre, but (franchise branches are) creatively independent in meeting local needs'

Change Capability: Executives are empowered to effect change, increasingly consultative, and also prayer-backed.

Quote: '(We are) trying to think ahead to see the big picture' 'Change is mainly unconscious, informal...'

Patterns: ROC is strategically agile, innovatively producing new products, and change ready.

Explanations: Path, position and processes closely mirror dynamic capabilities.

Summary: SE means are used to promote locally-based, centrally-driven mission effectiveness. Overall ROC practices SE means strategically to achieve scale in complex, unstable markets. Thus SE principles and practices are confirmed (P2/b).

7.3.23 Scalability – Outcomes, Impacts and Growth (ROC)

7.3.23.1 Case Data

In this section social outcomes and impacts are posited as the main drivers of SE-related growth in pursuit of mission effectiveness. According to both DCT and RBT, firm growth and sector scalability are predicated on the performance of resources and capabilities to attain SCA. Performance at ROC is evidenced by impressive social results i.e. falling crime rates and transformed communities. In such a complex operating environment, ROC could not function successfully without effective decision-making processes and strategic policy implementation. Therefore questions on *effective decision-making* and *social outcomes and impacts* were designed to elicit answers revealing ROC's deployment of essential dynamic capabilities.

As a highly networked collaborative CSAC, ROC appeared to possess advanced capabilities in *manageable scaling up*, the subject of the final question. The charity's rapid expansion using an SE-type approach indicates that business-like SE means to growth are possible within the charity legal form, albeit depending on visionary leaders and professional management.

7.3.23.2 Case Data Analysis

Questions on 2.5 Social Outcomes & Impacts (*Effective decision-making; Social outcomes or impacts*)

Question on 2.6 Firm Growth (*Manageable scaling up*)

Questionnaires:

Respondent: Rapid/exclusive decision-making (b4), proven results (b4); growth flexibility (b2).

Interviews:

Social Outcomes & Impacts Capability: Rapid growth pressurises decision-making in a results-based, VRIO-dependent market context.

Quote: 'SO-SI frameworks (are) not used: we support the idea, but do not use them much'

Growth & Scale: mainly organic, manageable growth within an evolving vision that prioritises high potential and long-term impacts.

Quote: '(Growth is) mainly organic... but avoiding adding more activities... alive to partnership potential...'

Patterns: Rapid organic growth at low cost via a volunteer-based SE agency model.

Explanations: ROC achieves strong results by aligning community need with a clear and evolving mission.

Summary: Growth is entrepreneurial, achieving mission effectiveness and scalability by SE means. Overall ROC's top-down growth strategy was proactive and successful at this stage in its lifecycle. Its entrepreneurial capability to scale high impact SO-SI activities had resulted in organisational growth and operational scale (P2/c).

7.3.24 Case Data Findings for ROC's mission statement effectiveness

The foregoing thematic analysis for ROC is now consolidated, synthesised and summarised in order to extract further meaning and identify tentative causal relationships. The Conceptual Construct Framework (Figure 1.3) depicts expected causal links. These inferred relationships contribute useful theoretical insights into the functions and operations of CSACs. Helpfully, the Operations Director at ROC provided vital contextual evidence relevant to SE-assisted mission effectiveness.

Within-Case Consolidation:

ROC is a maturing startup which works independently and competitively in cross-sector and intra-sector markets. This work mainly involves reducing crime and anti-social behaviour to positively transform communities, reflecting prioritised areas of government policy and funding. Accordingly, SCA may be achieved as resources and capabilities are optimised to yield fundable performance and scalability results.

Internal functions and support activities immediately reveal a lean, strategically agile charity which is growing rapidly in volatile markets by SE means. *Performance* management is embedded systemically in ROC's business services, governance and resource investment. Competing resource demands are balanced by maintaining a clear focus on spiritual goals and their underpinning Biblical values. Further, essential VRIO resources are identified and harnessed to realise an ambitious expansion programme for lasting missional social impacts. Thus, ROC has developed 'technical fitness' to optimise its resources and ordinary capabilities.

Similarly, the charity's externally-focused activities to achieve *scalability* have developed and deployed 'evolutionary fitness' to shape and be shaped by market opportunities in thin, turbulent markets. These dynamic capabilities are clearly present in the senior managers, who drive collaborative growth using SE means and methods, while maintaining spiritual integrity.

In **Redeeming Our Communities (2012)**, ROC says of its mission:

*'The charity's main aim is to bring about **community transformation** by creating strategic partnerships which open up opportunities for crime and disorder reduction and improved community cohesion.'*

ROC's mission is clearly effective, given its growth in reach, range of social projects and income streams reported in its statutory reports. A dynamic, lean and market-responsive approach to achieving social outcomes and impacts reflects the entrepreneurial proactivity, risk-taking and innovation associated with SEs. Its mission is faith-based, and social action is varied and experimental but nonetheless strategically focused, yielding impressive results. While earning income within charitable boundaries, ROC employs a range of SE means and methods.

Within-Case Synthesis:

Drawing these observations together for theory-building, certain tentative linkages emerge.

1. Business services could provide stronger support through evolving PIM measures.
2. Governance targeted on greater impacts demands higher levels of professionalism.
3. Resource investment could be enhanced by resource analysis and VRIO valuation.
4. Collaboration can benefit from systematic management of complex relationships.
5. Social Enterprise risk-opportunity methods can optimise lifecycle risks and rewards.
6. Growth for spiritually-motivated mission deploys dynamic capabilities to drive SO-SI.

The key data findings for this final case are briefly summed up, next.

Within-Case Summary:

ROC's primary data reveals strong links between mission, values, and strategies. These drivers are supported by an informal VRIO framework and dynamic capabilities deployed using SE means and methods. Technical fitness, strategic value and results-based SCA are derived largely from means commended in RBT. Similarly, means found in DCT and SE are deployed to orchestrate assets, innovate and exploit market opportunities. As the firm grows it is consolidating gains to face new challenges to maintaining SCA. Thus ROC's experience suggests that dynamic SE means can improve mission effectiveness.

Following the individual case reports, data findings can now be synthesised across the cases.

7.4 Empirical Data Analysis Findings

These case study reports revealed data from 6 themes, data for which were collected under 10 research sub-objectives in response to 19 research sub-questions, as described in the previous chapter and grounded in Figure 1.3. The purpose of collecting and analysing this data was to inform the main elements of the research question, i.e. mission effectiveness aided by SE means. The main SE characteristics (proactivity, innovation and risk taking) were reviewed for CSAC mission effectiveness, defined as faith-motivated social outcomes and impacts (Section 1.2).

This section extends the discussion and evaluation of the empirical data, again using theory-based themes to fulfil research Objective 2: '*To describe and empirically reveal the functional and operational nature of CSACs in terms of SE, in the light of RBT and DCT*'. The cross-case data is now analysed to identify inferred thematic linkages, and their relationships to SE and then to mission effectiveness. Synthesis is incremental, initially drawing on questionnaires in Section 7.4.1 before narrowing the focus onto SE means through interviews in Section 7.4.2. In the final sub-section mission effectiveness is assessed in terms of SE.

7.4.1 Cross-Case Synthesis – RBT & DCT Themes

The theoretical drivers of mission effectiveness in CSACs in this research were derived from conceptual constructs found in the RBT and DCT theories (Figure 1.3). They are perhaps most clearly revealed by cross-case synthesis. Synthesis aggregates and explains findings from individual case study reports. Findings here are synthesised under the selected RBT and DCT dimensions and themes. Summarised questionnaire data are shown in Tables 7.4 -6 and Appendix 24. The analyses are headed 'SE fit' and 'Question fit'. The former relates to the initial proactivity scores (a = reactive, b = proactive, c = unsure) which typify SE. The latter show the respondents' strength of agreement with the research questions on a 1-5 Likert scale (1 = weakest; 5 = strongest).

Results show how closely participants' answers fitted with both SE criteria and the strength of their responses to RBT-based questions in Table 7.4. These results can be combined with those from DCT in Table 7.5 to give a broad picture.

Mission Effectiveness and Social Entrepreneurship:
Theoretical insights and case-study evidence from three Christian charities in England

CROSS-CASE QUESTIONNAIRE

TABLE 7.4

RESOURCE-BASED	Theme avg.	Thesis avg.	TSEAP		CTE		ROC	
THEORY (RBT)			SE fit	Question fit	SE fit	Question fit	SE fit	Question fit
	%	%	%	%	%	%	%	%
Business Services								
1.1 Performance Mgt.			67	40	67	87	83	67
Case scores:			least certain of fit				most PIMM proactive	
SE fit:	72	14						
	2 nd lowest	lowest						
Question fit:	64	15						
	2 nd highest	lowest						
Observation:	PIM is quality & income-driven and largely unmeasured. High SE PIMM aspirations, low charity incentives and priorities.							
Governance								
1.2 Strategy								
			80	48	83	60	83	73
1.3 Policy & Process			widest opinion range				most governance proactive	
Case scores:								
SE fit:	82	17						
	2 nd highest	2 nd highest						
Question fit:	61	16						

Mission Effectiveness and Social Entrepreneurship: Theoretical insights and case-study evidence from three Christian charities in England

2nd lowest

2nd highest

Observation: While charity governance was proactive, it was not typical SE governance. Uncertain/reactive but familiar strategy/policy.

Resource Investment

1.3 Resource Investment

73

48

53

60

100

53

Case scores:

low external funding criteria

low external funding criteria

high external funding criteria

SE fit:

75

15

3rd lowest

2nd lowest

Question fit:

54

15

lowest

lowest

Observation: PM, risk appetite and resource investment management varied considerably to reflect funding criteria (internal or external)

Business services support all CSACs in achieving their missions. However, different missions require different business service capacity. For example more complex, competitive and dynamic social mission environments demand more sophisticated systematic *performance-measurement* than simple, stable markets. Similarly, firms need to match the *efficiency* and *quality* of their competitors, or perhaps not if they have few competitors (TSAEP SE/Question fit: 67/40). Market entrants typically prioritise investment in business services to help the firm establish a position (ROC scored 83/67). Thus business services that support *SE* proactivity, innovation and risk-taking may be more efficient and economic in the turbulent market environments.

All cases practiced mission-centric *governance*. Differences arose most noticeably in how the nature of their missions and historic paths had shaped organisational structures and governance priorities. The largest and most traditional CSAC (TSAEP scored 80/48) exercised the most bureaucratic governance, in contrast to the smallest and youngest (ROC scored 83/73) which displayed high levels of strategic agility. *Internal policies* were most inclusive where tertiary inter-organisational collaboration was most critical/highest (CTE). Similarly, necessity dictated that *Government policies* were prioritised where charities are more dependent on public funding (ROC).

Recognition and justification of the role of specific VRIO resources in connection with achieving mission was patchy, perhaps due to causal ambiguity in complex contexts. However, it was observed that the most SE-oriented (ROC) also connected resources most closely to mission with significant strategic effect.

Resource investment enables CSACs to build internal capacity and external market share. In uncertain operating environments appropriate *risk management* is rare as charities retrench to defensive positions. Risk-opportunity approaches were most evident in the most entrepreneurial charity, ROC (SE score 100), and also the closest connection between PIM and external *resource investment* was found in ROC. However, *investment readiness* often remains largely embedded in long-term relationships between funder and fundee (e.g. CTE Question fit 15), is gradually being replaced by rigorous return on investment practices which favour performance-based resource investment management. Thus external funding can aid mission.

RBT in CSACs: Resources and performance were familiar concepts to all cases. RBT was most applicable to CSACs in the following areas:

1. Heterogeneity – charity-specific resources obviate homogenous stewardship.
2. Systems-based PIMM – is key for managing resources and attracting investment.
3. VRIN Resources – superior core resources can support mission more effectively.
4. VRIO Framework – resource optimisation is essential for creating strategic value.
5. Sustainability & Risk – favour professional skills to enhance survival and growth.

RBT was least applicable as follows:

1. Profit/Rent seeking – values-driven charity ethos struggles with trading concepts.
2. Competitive Advantage – was seen as ethically complex in meeting social needs.

These findings support asset stewardship/safeguarding but negate the profit motive.

Changing social markets demand that CSACs optimise returns on all investment sources. By using SE means, increasing external funding was available to enhance mission effectiveness. Following RBT, DCT-based findings are synthesised next.

DCT is the closest theory to SE in this research, as it addresses the dynamic capabilities required to achieve CSAC missions effectively in typical SE and nonprofit social service markets. Whether or not CSACs engage in high levels of trading (over 50% of trading income is a popular benchmark for qualifying as an SE), they can benefit from adopting key SE means, categorised here as proactivity, risk-taking and innovation. Combined with the DCT emphases on capability-based sustainability and growth, these characteristics can deliver social action, verified by measurable resource-based performance in terms of social outcomes and impacts.

Findings from DCT-based questions in the questionnaires are shown in Table 7.5. Overall, SE scores were weakly proactive, and growth capabilities were scored cautiously.

Mission Effectiveness and Social Entrepreneurship:
Theoretical insights and case-study evidence from three Christian charities in England

CROSS-CASE QUESTIONNAIRE

TABLE 7.5

DYNAMIC CAPABILITY	Theme avg.	Thesis avg.	TSEAP		CTE		ROC	
THEORY (DCT)			SE fit	Question fit	SE fit	Question fit	SE fit	Question fit
	%	%	%	%	%	%	%	%
Collaboration								
2.1 Relational Caps.			85	51	75	90	88	75
2.2 Alliance-based					most collaboratively reactive		most collaboratively proactive	
Case scores:								
SE fit:	62	23						
	highest	highest						
Question fit:	54	24						
	highest	highest						
Observation:	CSACs are culturally relational, so collaboration scores highest. Responses were confident, corroborated by observation.							
Social Enterprise								
2.3 SE Capabilities.			81	43	53	67	100	73
2.4 Change			widest opinion range				most entrepreneurial	

Mission Effectiveness and Social Entrepreneurship:
Theoretical insights and case-study evidence from three Christian charities in England

Case scores:

SE fit:	78	16	
	3 rd highest	3 rd highest	

Question fit:	61	15	
	2 nd lowest	lowest	

Observation: High change awareness and interest in SE methods. Generally low and very varied understanding, some uncertainty.

Growth

2.5 SO-SI Capabilities

77	47	40	80	67	67
----	----	----	----	----	----

2.6 Growth

growth focused but uncertain

Case scores:

SE fit:	61	14	
	lowest	lowest	

Question fit:	64	16	
	2 nd highest	2 nd highest	

Observation: High SE aspirations but low SO-SI capabilities. CSAC paths, positions and process to enable growth were cautious and balanced.

Collaboration is a necessity for achieving mission in markets supplied by multiple agencies. Where thin social markets are competitive within or across sectors, collaboration and competition often emerge as interchangeable strategies to drive scalability. Successful, multi-faceted collaborative joint working was notable in the most non-hierarchical and externally facing CSAC (ROC scored 88/75). At TSAEP (85/51) high levels of trust did not necessarily convert into strategic alliances, perhaps due to self-sufficiency, competition risks and firm culture. These alliances were most apparent where local operators exercised their *relational capabilities* through *proactive stakeholder engagement* supported by senior management providing strategic oversight and connections (CTE, ROC). Scale opportunities were most evident where decision-makers were closest to their ultimate 'product markets' (TSAEP, ROC). All the cases undertook intra-sector collaboration, where some collaboration beyond the Church had involved Government and Business.

Social Enterprise means to CSAC and sub-sector scalability are predicated on proactivity, innovation and risk-taking. The familiar philanthropic charity income model provides stability for nonprofits turning to SE trading income to sustain and extend their operations. However, the cases varied significantly in their perceptions of the need for and the suitability of SE means to scalability. Although to some extent all participants sold products (or 'traded'), their income in every case was mainly derived from donations and grants for 'non-trading' tax-exempt charitable activities. Therefore none were technically classified as an SE, but ROC in particular employed *innovative* business-like/SE means extensively. ROC's executives valued the strategic freedom to exercise *entrepreneurial social capabilities* in a continuously changing market. Levels of firm *change readiness* varied significantly, with the smallest and youngest (ROC) being the most ready. Despite SE, both TSAEP (scored 81/43) and ROC (100/73) faced stakeholder-based and structural challenges.

Growth can assist mission, but scaling up CSAC operations in turbulent markets is partially dependent on available dynamic strategic capabilities. Growth provided the lowest thematic and thesis average scores (61/14). Senior executives in each case respond to perceived needs and opportunities through policy-prescribed *decision-making* processes that reflect the firm's path and position. All recognised the

centrality of achieving their missions, albeit social *outcomes and impacts* held different meanings and priorities within those missions. The more central the social need was to mission and the more local the empowerment to meet that need, the more effective the social mission. Similarly more urgent and fundable needs required better communications to achieve *manageable scaling up*, notably where resources and capabilities were best aligned to meet those needs (ROC scored 67/67). Although large government contracts were open to TSAEP (scored 77/47), they were size-dependent and demanded significant patient working capital.

Key findings from the cases questionnaires offer some comparability in Table 7.6. The overall picture is one in which SE means and methods are more easily adopted and adapted by smaller more flexible charities, while mission effectiveness in volatile markets adopts entrepreneurial means for growth. However, large firms can adapt. Power dynamics were latent, and could perhaps facilitate optimal change at all levels.

DCT in CSACs: All cases sought scale, but dynamic capabilities were undeveloped.

DCT was most applicable to CSACs in the following areas:

1. Market Power – untapped differentiation gains from positions and paths.
2. Greater Capabilities – could be strategically developed and deployed for scale.
3. Asset Orchestration – offers accessible mission-centric strategic benefits.
4. Adaptability – continuous mission-centric change to meet increasing social need.
5. Collaboration – to recognise, develop and strategically optimise relationships.

DCT was least applicable in the following areas:

1. Entrepreneurialism – introduces risks which may contradict the charity ethos.
2. Market Opportunities – the ‘market’ concept may ignore non-lucrative service.

These findings challenge typical charity reactivity, while highlighting lessons from the business sector to improve efficiency, economy and effectiveness. Importantly they take into account the ‘marketisation’ that SE demands while ignoring the absence of ‘markets’ for salable services or services that are not State/Business subsidised.

Mission Effectiveness and Social Entrepreneurship:
Theoretical insights and case-study evidence from three Christian charities in England

CROSS-CASE QUESTIONNAIRE SUMMARY

TABLE 7.6

TSAEP		CTE		ROC	
FRONTLINE/PRIMARY SERVICES		UMBRELLA/TERTIARY SERVICES		INTERMEDIARY/SECONDARY SERVICES	
All scores	SE scores	All scores	SE scores	All scores	SE scores
TSAEP - the largest, oldest, traditional charity	TSAEP - leaders planning for businesslike/SE elements	CTE - provided churches with information and connectivity	CTE - lowest scores for SE means to mission	ROC - a young, provider of franchised services to frontline CSACs	ROC - highest scores for SE means to mission
<u>Departmental Directors</u>	<u>Drivers: efficiency, growth, compliance</u>	<u>CEO & Regional Director</u> <u>(agreed inter-alia)</u>	<u>Drivers: ecumenical connectivity</u>	<u>Chief Operating Officer</u>	<u>Drivers: multi-sector collaborative impacts</u>
'b' s are most popular SE score @ 36/38 or 95%	<i>Risk:</i> <i>b3, b4</i>	'b' s are most popular SE score @ 8/19 or 42%	<i>Risk:</i> <i>c2</i>	'b' s are most popular SE score @ 14/19 or 74%	<i>Risk:</i> <i>b2</i>
'a's are most uncertain agreements to the question	<i>Engagement:</i> <i>b1, b2</i>	'a's are most certain agreements with question	<i>Proactivity:</i> <i>a4</i>	'a's are most certain agreements with question	<i>Proactivity:</i> <i>b4</i>
c's' are not represented, indicating high clarity	<i>Entrepreneurialism:</i> <i>b2, b2</i>	c's' are least popular for SE and least agreed	<i>Entrepreneurialism:</i> <i>c3</i>	c's' are not represented, indicating high clarity	<i>Entrepreneurialism:</i> <i>b4</i>

Mission Effectiveness and Social Entrepreneurship:
Theoretical insights and case-study evidence from three Christian charities in England

Innovation:

b1, b2

Innovation:

a4

Innovation:

b4

FRONTLINE/PRIMARY SERVICE PROVIDER

All scores

SE scores

**TSAEP - a vertical
hierarchy operating a
centralised and
divisional bureaucracy**

**TSAEP - staff
perceptions of SE
mgt approaches were
conservative**

Middle Managers

Drivers: service
delivery, compliance

'a' s are most popular SE
score @ 16/37 or 43%

Risk:
a2, b2

'b's are most uncertain
agreements to question

Engagement:
a3, c3

c's' are widespread,
indicating poor clarity

Entrepreneurialism:
b3, c4

Mission Effectiveness and Social Entrepreneurship:
Theoretical insights and case-study evidence from three Christian charities in England

Innovation:

a2, c4

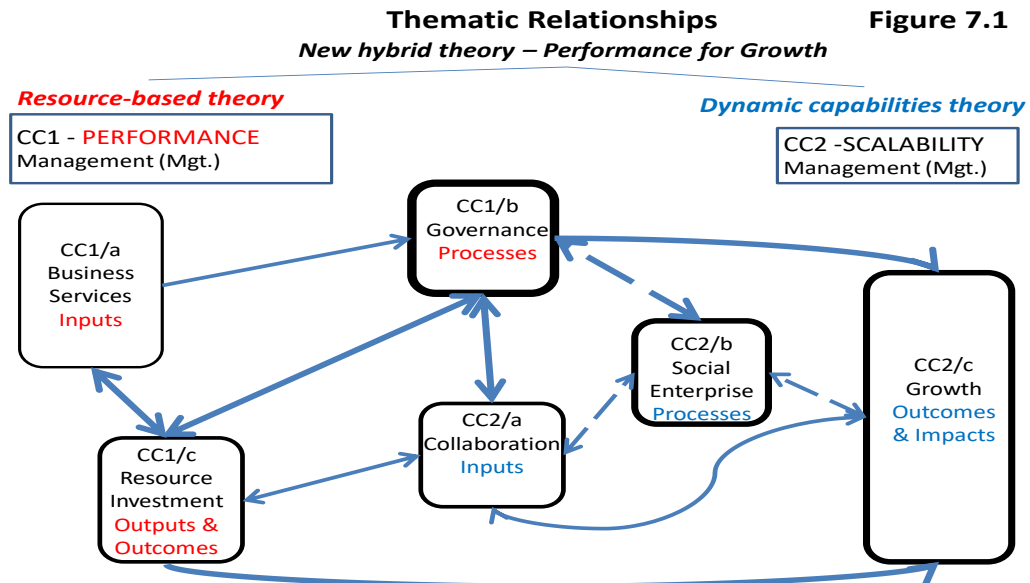
The most notable cross-case questionnaire findings in Table 7.6 are:

SE means to mission are lowest in the most inter-dependent tertiary charity (CTE) and highest in the most youngest (ROC)
Key factors are likely to be causal relationships involving collaborative constraints and controllable need for market growth.

The challenges posed by change opportunities in large hierarchical charities (e.g. TSA) where perceptions differ by role level.
Executive aspirations are barely recognised at the service delivery level. Multi-level investment in capabilities could be useful.

This table illustrates those aspects of SE which have enabled rapid growth at ROC, which are analysed in Section 7.4.2.

It should be noted that while these findings suggest linkages that may be important to mission effectiveness, these are not precise, nor is their conditionality fully understood. Hence, the diagram in Figure 7.1 shows imprecise inferred linkage strengths (weighted lines), suggesting questions for further research. For example, what importance would these themes have if different theories had been deployed? or, what internal factors would match most closely to what external factors in order to optimise SCA if performance and scalability were not prioritised? Heavier lines imply greater relevance to mission effectiveness, while dashed lines show optional SE links.



Business Services inform governance processes, linked to resource investment.

Governance is the predominant theme for performance and growth here because:

- It determines resource investments in the light of internal and external factors.
- It controls firm collaborative endeavours within and beyond the sub-sector.
- It determines firm adoption and adaptation of appropriate SE means.
- It is responsible for firm growth, which is related to competitive SO-SI results.

Resource Investment is the responsibility of the board, and feeds into firm growth.

Collaboration both internally and externally affects both firm investment and growth.

Social Enterprise offers insights for management in competitive social markets.

Growth in its own right, with no sustainability qualification, was seen as desirable by the CSAC cases, as evidence of achieving mission effectively.

Figure 7.1 notes that SE is optional, but it affords important potential advantages which require case-by-case consideration. See Appendix 24 for a summary of questionnaire results. Moving on from the questionnaires, SE for mission effectiveness is considered in the next section in the context of relationships between RBT and DCT themes and SE means.

7.4.2 Cross-Case Synthesis – SE Means

SE was chosen because it suggests means whereby charities can improve their performance and scalability in volatile social service markets. This section collates and discusses interview responses that support inferences made in within-case analyses. Data on SE means are synthesised next.

Risk:

In this thesis risk is addressed under the resource investment theme as a construct of RBT. Interview responses from each case are recorded before they are synthesized in Table 7.7.

Mission Effectiveness and Social Entrepreneurship:
Theoretical insights and case-study evidence from three Christian charities in England

CROSS-CASE INTERVIEW SUMMARY - SE MEANS – RISK

TABLE 7.7

Question	TSAEP	CTE	ROC
1.4.1 Risk management	Departmental Director score: b3	CEO & Regional Director score: c2	Chief Operating Officer score: b2
Is formal risk mgt undertaken & reported?	Yes - part of TSA wide Risk Management (led by a Risk Manager)		
	Departmental Director score: b4		
Is risk assessment driven by funders or generic/departmental policy?	Primarily internal		
	Departmental Manager score: b2		
How would you describe the current risk management system?	Patchwork but improving throughout TSA - but largely reactive - very robust	We haven't yet done formal risk evaluation ... - at a pragmatic level it's quite good (based on top URC model?).	We use a traffic light system
Is risk assessment driven by funders or generic/departmental policy?	By senior leadership reflecting the culture of the organisation		
What changes would you like to see in the way risk is managed?	More proactivity, succession planning, stakeholder engagement		
Is risk assessment driven by umbrella bodies (e.g. churches), funders, ROC?			ROC's policy, but clearly affected by external factors

Risk management was included in RBT as a performance-based driver for resource investment, which highlights attitudes to risk linked to different firm activities and governance priorities:

TSAEP was risk-averse and compliance-oriented within an internally-focused, top-down culture. Both levels of TSAEP respondents scored proactively for risk management, noting that it was robust but sometimes overlooked important gaps.

CTE felt secure with an annual risk review in view of its dependence on members/other entities. Illustrating how many of the most likely/impactful risks were borne by members, CTE had no formal risk assessment but informal means sufficed.

ROC took a proactive hands-on approach to risk which took into account key external factors. ROC took an integrated approach using RAG/traffic light measures reflected in clearly defined policies. These policies took account of key external factors.

These results are very different, and highlight the firms' self-reliance and external orientation. These factors suggest prioritisation of mission effectiveness.

Proactivity:

Next, proactivity is addressed under the collaboration theme as a construct of DCT, as set out in Table 7.8. Proactivity is an area which CSACs embrace, but what are the key differentiating factors? General proactive attitudes ('b' scores) are distinct from actual proactive engagement:

Mission Effectiveness and Social Entrepreneurship:
Theoretical insights and case-study evidence from three Christian charities in England

CROSS-CASE INTERVIEW SUMMARY - SE MEANS – PROACTIVITY

TABLE 7.8

Question	TSAEP	CTE	ROC
2.1.1 Proactivity	Departmental Director score: b2	CEO & Regional Director score: a4	Chief Operating Officer score: b4
What criteria in proactivity do you prioritise?	<i>'All things to all people so that by all means I may save some ' St Paul's and (our) mission</i>	We are quite proactive in many areas, e.g. educational courses, hospital chaplains, financial management	Trying to think ahead to see the big organisational picture ... spending large amounts of time supporting and facilitating our agents...
	Departmental Manager score: a3		
Is proactivity built into relationship-management reporting?	Context is all important - mainly problem solving - info goes to risk-averse seniors (reactive)		
	Departmental Manager score: c3		
If so, how is this reporting used for decision-making?	We need it a lot, need to increase outputs measures and build solid outcomes		
Most of your engagement is at a strategic level - does this connect fully with social action activities?		We are a tertiary - but some of our staff are directly engaged with the grass roots - so much of our agendas are promoted by ... Social Responsibility Officers	We try to ensure that we keep our first love for people/communities as paramount, the rest is means

Mission Effectiveness and Social Entrepreneurship:
Theoretical insights and case-study evidence from three Christian charities in England

If you could reorganise your
proactive engagements, what
would you prioritise?

With a free agenda we would be more
social responsibility ... focused A lot of
barriers between churches are coming
down. We could be more of a catalyst.

Our beneficiaries, our employees (esp.
training and development), and building
strategic alliances/partnerships

Proactivity scored quite highly, and is highest in the most market-responsive firm:

TSAEP typifies the faith motivation for good works, and exemplifies low-key evangelism. TSAEP's director scored a weakly proactive score (b2), while the middle managers noted executive risk aversion and context (firm reactive score a3) and uncertainty and need for proactivity (definite score c3). These scores reveal widely differing perceptions, where abstract aspirations and charity activities diverge.

CTE seeks to support churches and to undertake social action – mainly democratic facilitation. CTE's executives were strongly reactive (a4) due to membership responsiveness, but were proactive where directly engaged in charity activities.

ROC takes a collaborative outward-looking perspective to its agents and their communities. ROC's executives showed clear, inclusive, strategically effective engagement with their staff, volunteers, beneficiaries and partners.

Notably, but inferentially unclear is the effect of funding. TSAEP accessed some external funds, CTE held long-term funds, and ROC relied on external funds.

Only ROC was strongly engaged in cross-sectoral collaboration, while all worked with other churches and charities, and all preferred to work with businesses rather than with government. Understanding of collaborative synergies to achieve mission is rare, and 'silo-isation' persists where interfirm missional alignment is unexplored.

Entrepreneurialism:

Next the respondents' understanding and attitudes towards entrepreneurialism are recorded (see Table 7.9). In this thesis entrepreneurialism is addressed under the SE theme as a construct of DCT.

Mission Effectiveness and Social Entrepreneurship:
Theoretical insights and case-study evidence from three Christian charities in England

CROSS-CASE INTERVIEW SUMMARY - SE MEANS – ENTERPRISE

TABLE 7.9

Question	TSAEP	CTE	ROC
2.3.1 Entrepreneurialism	Departmental Director score: b2	CEO & Regional Director score: c3	Chief Operating Officer score: b4
How would you define opportunism?	Strategic agility - grabbing opportunities for the Kingdom - not opportunity hopping - rather emergent strategising	Some SEs are healthy, not sure how it works out in ecumenical context - OK for local churches to plug gaps in public service provision - for us the model is difficult – our intermediaries could help CT Birmingham with 'Near Neighbours'	Creativity, risk taking, asking God to refresh the vision
What ethical criteria do you consider relevant for entrepreneurialism?	Departmental Manager score: b3 Financial and social must be held in balance - more social impact reporting	Don't crush bruised reeds, even if they appear soft	
Is this consideration systematic and reviewed?	Departmental Manager score: c4 No, embodied in some staff - we need a good new system	What is the objective? What should we measure? - no value in anything that doesn't have a measureable outcome? - a lot of our work is long-term	
Does your role encourage entrepreneurial action?			Yes, strongly linked to innovation (The CEO, Debra, is a 'big picture' person, hard to keep up with at times- the character of a visionary)

Again, views on SE vary widely, from conceptual to defensive to enthusiastic:

TSAEP takes a structural planning view revealing progression between intention and action. TSAEP's director aspired to mission-centric strategic agility (b2 score), while middle managers needed new systems to complement informal relationality.

CTE is mainly relational through a tertiary approach which cannot control members' results. CTE saw SE means as suited to measurable church social provision, perhaps facilitated by intermediary bodies, but unclear for tertiary 'soft' use (c3).

ROC seeks mission effectiveness via entrepreneurial vision, creativity, risk, and innovation. ROC took a faith-deploying view of risk-taking view as involving God's refreshing the vision, which links strongly to innovation and the 'big picture'.

CSACs' roles, positions, paths and processes affect their attitudes towards SE means, and none of the cases explicitly connected SE with mission.

Innovation:

Finally, the key interview findings from SE-oriented questions on innovation are considered (Figure 7.10). In this thesis innovation is addressed under the SE theme as a construct of DCT.

Mission Effectiveness and Social Entrepreneurship:
Theoretical insights and case-study evidence from three Christian charities in England

CROSS-CASE INTERVIEW SUMMARY - SE MEANS – INNOVATION

TABLE 7.10

Question	TSAEP	CTE	ROC
2.3.2 Innovation	Departmental Director score: b2	CEO & Regional Director score: b4	Chief Operating Officer score: b4
Are innovative suggestions actively sought from staff?	Not yet - more reactive at this stage - monthly agenda item - linked to reward in due course		
	Departmental Manager score: a2		
Is innovation primarily driven by funder criteria?	Yes, largely esp. re systems, dynamic-departmental-leader led change		
	Departmental Manager score: c4		
If innovation could/should be improved, what approach would you take?	Do more blue sky, creative away days, best practice, use external expertise		
Do you see your role as leader involving innovation for single or numerous organisations?		We are an advisory body, our power levers are weak, suggesting innovation is risky, we effectively supported Set All Free - but we don't lobby usually	Big issue for us; we aim to support from the centre with a light touch

Prior to the Great Recession, innovation was not well understood or highly prioritised in the nonprofit sector. However, widespread austerity has spurred developments in innovation theory and application, with the result that this vital ingredient of SCA is commonly systemic nowadays.

As usual the disparate cases reveal different attitudes and approaches, reflecting wider issues:

TSAEP was at a formative stage in developing innovation, influenced by funding for systems. Uniquely, TSAEP linked potential future innovation to personal reward.

CTE saw itself as reactively/passively innovative, within a wide brief that prioritises ecumenism. CTE viewed innovation in its representative role as risky and so rare.

ROC is culturally innovative through central expertise and resources empowering franchisees. ROC enthusiastically backed innovation, albeit mainly from the centre.

Innovation and risk-taking are connected here inasmuch as the changes which accompany innovation introduce hitherto unfamiliar risks to most charities. Where risk is primarily thought of as dangerous, it is unlikely that innovation will be easily or quickly assimilated into the firm's culture in the absence of strong links to mission. Innovation is also lacking where skills are insufficient to manage risk and opportunity.

While all the participant CSACs planned to grow, it seemed that direct and urgent social needs are more attractive to funders than where key stakeholders see internal services as helpful but optional. The agility and focus of SE means are perhaps most relevant to those firms which need fundable results from tackling social needs. By contrast, performance-driven mission effectiveness is relevant to all CSACs, whether or not they need to attract results-based funding. Different contexts demand and prioritise different resources and capabilities. For example, all the cases needed sufficient technical fitness through RBT means in order to compete. Here, these comprised business services, governance and resource investment. Unsurprisingly, suboptimal business services (e.g. TSAEP) made it harder to adjust to difficult market

conditions, despite all cases having adequate governance systems. Investment readiness was prioritised where working capital and reserves were lowest (at ROC).

Similarly, those cases which were more immersed in volatile markets were relatively more dynamic than those which were not. While all cases were proactive in their own way, the differences between their strategic relational and collaborative activities were stark. Where development and growth were paramount, collaboration was more advanced. Likewise, in more volatile market environments, firms' responses were more entrepreneurial, innovative and change-ready, most notably at ROC. Although each firm sensed, screened, seized and shaped market opportunities to the best of its ability, it was clear that current markets favoured the more strategic risk-takers. Thus SE in the cases differs widely, reflecting their market positions:

TSAEP – aspires to SE means within the constraints of an hierarchical bureaucracy.

CTE – is limited in its sense of entrepreneurial possibilities due to its tertiary, supportive role.

ROC – espouses SE means and methods for SCA in a risk-taking, experimental culture.

This discussion of SE now moves on to consider its role in CSAC mission effectiveness.

7.4.3 Cross-Case Synthesis – Mission Effectiveness in terms of SE

The ultimate concern of this thesis is mission effectiveness, particularly in terms of SE, as set out in Table 7.11. In this sub-section participants' mission statements are reviewed for evidence of mission effectiveness in the light of previous SE findings.

Mission Effectiveness and Social Entrepreneurship:
Theoretical insights and case-study evidence from three Christian charities in England

MISSION EFFECTIVENESS ASSESSMENT

TABLE 7.11

TSAEP	CTE	ROC
Mission Statement	Mission Statement	Mission Statement
<i>'We believe in openly sharing our faith and the good news of God's love for everyone, helping individuals to develop and grow in their own personal relationship with God, demonstrating a practical concern for all and speaking out against social injustice.'</i>	<i>'Churches Together in England is a visible sign of the Churches' commitment as they seek a deepening of their communion with Christ and with one another, and proclaim the Gospel together by common witness and service. Its strength comes from people from different traditions finding new ways to work and worship together.'</i>	<i>ROC's mission is to bring about community transformation by strengthening the social, physical and economic fabric of communities across the UK. 'The charity's main aim is to bring about community transformation by creating strategic partnerships which open up opportunities for crime and disorder reduction and improved community cohesion. This partnership approach has seen crime and anti-social behaviour fall and fresh hope brought to some of the most deprived and challenging areas of the UK, urban and rural alike.'</i>
No publicly available data exists to reveal the extent to which TSAEP operations shared faith and the good news (Gospel). However, published activities-based data indicates healthy market adjustment and development.	No publicly available data exists to reveal the extent to which CTE succeeded in deepening communion with Christ and between members, nor of Gospel proclamations, nor of new ways of working together. However, published activities-based data indicate that membership has grown.	Little specific mention of a faith-basis except for: <i>'While ROC is underpinned by Christian values, we offer our services to all people irrespective of faith, gender or ethnic</i> However, public records confirm partnerships: <i>'Promoting partnerships between Churches, the Police, Fire & Rescue services, Local Authorities and other voluntary organisations'.</i>

Mission Effectiveness and Social Entrepreneurship:
Theoretical insights and case-study evidence from three Christian charities in England

TSAEP	CTE	ROC
Mission Effectiveness	Mission Effectiveness	Mission Effectiveness
TSAEP (2011-13) reducing income, increasing proportional costs	CTE (2011-12) reducing income, increasing proportional costs	ROC (2011-12) increasing income, increasing proportional costs
Given the overall increase in TSA income, and TSAEP intentions to systemically improve performance, a period of investment and consolidation, plus rebranding, more locations, high levels of performance-related deferred income help explain the financial results.	CTE has undergone major restructuring of group relationships and systems to improve efficiency, economy and effectiveness.	Growth is seen here as a measure of success, driven by high investment in resource capacity, especially empowered 500+ ROC Ambassadors.
TSAEP – aspires to SE means and methods within the constraints of a hierarchical bureaucracy	CTE – is limited in its sense of entrepreneurial/SE possibilities due to its tertiary, supportive role	ROC – espouses SE means and methods for SCA in a risk-taking, experimental culture
No publicly available information was available to disclose strategic progress with SE approaches.	A lively interest in performance and scalability in the context of SE-driven mission effectiveness is evident from CTE's participation in the theory development process. Feedback is pending. A new objective covering social issues and dealing with secular authorities was introduced in 2012.	ROC enjoys lifecycle SE advantages over the older CSCACs, e.g. startup flexibility, cross-sector links and external funding. It measures project effectiveness quarterly, using external data for validation. <i>‘We employ staff on the basis of their skills and experience and do not discriminate on grounds of faith, gender, age, ethnic origin, disability, marital status, race, nationality or sexual orientation’.</i>

The main research question concerns CSACs becoming more effective in delivering their missions. To this end, RBT offers insights into performance, DCT promotes dynamic strategic capabilities, and SE frames specific means to achieve social impacts in current markets. This wider context applies to all social action charities, regardless of the faith dimension. From Table 7.11 it is clear that Christian faith is the main motivator in each case, although its prominence on the public record varies.

TSAEP's spiritually-motivated social mission was effective because it helped the 'hardest to reach' long-term unemployed with its existing resources. SE means were confined to a low-risk section of the department, and some high-potential areas for SE development, such as collaboration and innovation, were not being actively pursued. Indeed, at that time, arguments challenging the vertical bureaucracy in favour of a flatter, more responsive structure were eschewed. However, the need for direct external funding was encouraging a debate linking structure and social results.

While CTE's main constituency is the faith community, its choice to address social issues in the context of the secular authorities is important for a number of reasons. First, it confirms reports that CTE's members are becoming more engaged with social issues. Second, members' supportive responses to growing social need enhance CTE's relevance among social service providers outside its membership. Third, it encourages an holistic approach to mission. Redefining CTE's mission effectiveness was vital, prioritising dynamic support to members over beneficiary engagement.

ROC's intermediary mission was highly effective in working with others to leverage social benefits such as reducing crime and disorder and strengthening communities. ROC's missional growth was constrained by dependence on modest external funding and limited resources/capabilities (e.g. professional staff, PIMM systems). ROC's foundation on timeless Biblical values and its focus on meeting the present needs of beneficiaries combine to suggest that its performance-based social returns on investment will continue to attract fiscal support, even as chargeable services grow.

All the participants have changed progressively in response to market conditions, for example: CTE has been restructured, TSAEP has rebranded, and ROC records

more new partnerships. Both TSAEP and CTE were experiencing major systems changes to promote performance: TSA is developing an integrated organisation-wide client-centric system, while CTE has moved many operations into cyberspace. Major changes are typically disruptive, especially for established organisations where transformational change may be necessary to achieve growth and SCA. However, in ROC's case growth has been continuous and entrepreneurial. The precise effect of these changes is not fully clear, partly because they are works in progress, and partly because the relevant measures were not fully disclosed.

All participants recognised the value of SE means and methods, but only ROC had embedded innovation, risk-taking and entrepreneurialism directly linked to social outcomes and impacts at the centre of organisational strategy. TSAEP undertook SE activities in a specialised section dedicated to selling services (e.g. PAT testing and certification of electrical appliances). CTE exhibited typical proactive SE collaborative characteristics, but had not identified new opportunities for innovative tertiary services to its membership. Rather it felt disempowered in the face of members' risk-averse responses, suggesting potential for changes to mission.

Although the performance and scalability data represented by summarised financial results over three years is not conclusive, they could be interpreted to tentatively infer that where SE means are adopted they are more efficient than philanthropic means. Such tenuous evidence requires further confirmation. That growth is a measure of the success of dynamic capabilities infers that ROC's deliberate development and deployment of DCT in strategic management has resulted in improved performance and greater scale, while TSAEP and CTE were not yet displaying such capabilities-driven results. Where the results show shrinkage rather than growth, mission effectiveness may be negatively impacted. For example, negative shrinkage occurs where only the same services are offered, but at a reduced scale. However, where the scale of operations is temporarily reduced to refocus on more effective missional activities, both the impact and the quality of these services are likely to grow.

Nonetheless, some points in Table 7.11 indicate effective mission, for example: CTE has expanded its membership, TSAEP is operating in more locations, and ROC's

work has achieved significant (externally measured) reductions in crime and antisocial behaviour. More information is available in Appendix 25 which provides summarised thematic cross-case synthesis in terms of patterns, explanations and synthesis.

Thus synthesised evidence illuminates the next subject, the nature of CSACs.

7.5 Objective 2 – the functional and operational nature of CSACs

Empirical data findings are now further examined to illuminate and support arguments for SE means to achieve mission effectiveness in CSACs. In reviewing the data findings, theory strands are revisited to fulfil Objective 2: *‘To describe and empirically reveal insights from case-study evidence into the functional and operational nature of CSACs in terms of SE, in the light of RBT and DCT’*. The evidence of successful and less successful CSACs provides the credibility on which arguments are predicated. The previous section summarised and synthesised individual case data, and in this section that data in terms of RBT, DCT and SE for mission effectiveness. Here these findings are considered in terms of CSAC functions and operations.

The **Business Dictionary (2014)** defines a business function as: *‘A process or operation that is performed routinely to carry out part of the mission of an organisation’*. The Latin word ‘functio’ means to perform, and in the organisational context is associated here with support functions from Porter’s Value Chain, notably infrastructure, human resource management and technology development. Similarly operations are associated with primary value chain drivers, namely logistics, product/service driven operations, marketing and sales, and service. The value chain model shows how organisational activities can contribute to the value offered to customers/beneficiaries through products and services (**Harding and Long 1998:191, Hindle 2003:235**). These activities are undertaken via professional disciplines and organised according to firm preferences (e.g. departmentally).

Insights from the case data into the functional and operational nature of CSACs are obtained in a three stage process. First, the data reveals how RBT and DCT are

practiced in the cases. Second, their understanding and practice of SE means and methods are evaluated. Third, the evidence of RBT, DCT and SE is taken together to build arguments in support of a new theory of mission effectiveness in CSACs. Grounded in RBT and DCT, SE is considered for mission effectiveness in CSACs in the following sub-sections.

7.5.1 RBT – the functional and operational nature of CSACs

CSAC functions are affected by RBT recommendations, typically with little or no formal understanding of the theory. For example, support functions like *business services* (including systems, PIMM and quality control), *governance* (strategy and policy as infrastructure) and *resource investment* (as risk-adjusted procurement) were not recognised as linked to the RBT theory of the firm. As explained, RBT posits that firms can achieve SCA on the basis of their unique and superior (VRIO) resources and capabilities. Even where SCA was diminishing and the charity was in decline, participants did not recognise that the converse is also true, i.e. that where the VRIO resource framework was not optimally deployed through value creating strategies, competitive advantage and higher funding might be forfeited.

CSAC operations involve the purchase of resources (e.g. physical, human and knowledge-based) in order to provide social services and products to customers/members/beneficiaries. The data revealed that each of the participants' products/services were of a high quality. Among the cases it was not always clear how efficient these services were in terms of achieving desired missional impacts in an economic manner. For example, TSA was carrying high fixed property costs but was it reaping optimal economic returns through TSAEP's operations? To raise income, the benefits and value of these services are marketed to service-users and to donors/funders/investors.

All the participants ran efficient marketing programmes, but were their products always attractive to existing and potential income providers? In other words, were the right services being 'sold at the right price' to the right 'buyers'? Was CTE presenting a visionary and innovative case for members to engage in social action, facilitated

and empowered by attractive, relevant services? Most noticeable was the absence of robust evidence connecting operational activities and costs to auditable social outcomes and impacts. In each participants' case data this link was weak. Given that services can only be 'priced' at their value in the eye of the purchaser, this weak link could perhaps be partially explained by high demand for services in poorly funded thin markets (i.e. demand does not affect price).

It is in these thin yet competitive markets that SE means may be most appropriate. However, CSACs can only interpret and evaluate their performance results and potential improvements in the light of causal ambiguities, societal complexities and organisational constraints.

RBT promotes systems-based measurement and management of VRIN/VRIO resources through a VRIO framework to improve performance and thereby achieve SCA. Among the IT resources available within business services, only managerial skills are capable of sustaining competitive advantage, and it was notable that stakeholder satisfaction with IT systems in all the cases was weak. Similarly, *performance measurement and management* was basic in all cases. Business services were most effectively deployed for mission purposes in the youngest, smallest, most entrepreneurial charity (ROC) where SE means were most clearly practiced. This finding reflects the theoretical assertion that value-enhancing challenges facing management are moving away from administration and towards entrepreneurship (**Teece 2009**). Additionally, firm complexity and size, combined with competitive market conditions affect the flexibility and responsiveness of business services to support the functions and operations that realise mission effectiveness.

RBT places particular value on the cultures, trust and human resources in firms. These core resources are most effective in firms which prioritise firm-specific skills, teamwork and HR development practices. Although these resources underpin faith-based service, the participants did not appear to formally recognise them as VRIO resources in terms of SCA in their *governance* processes and *internal policies*. In such situations where charities lack the appropriate 'architectural' capabilities (e.g. structure, controls and policies) to identify and optimise resources to compete

successfully, they pay a premium to acquire unique core resources. For example, this is likely here as the participants lacked analysis of their markets and their VRIO resources and capabilities. Although proactive and innovative SE means are promoted in *government policies*, this may favour smaller entrepreneurial nonprofits that compete for local public service contracts because governance structures in large hierarchical charities are naturally less open to SE means. Nonetheless spiritually motivated SE practices offer economic and efficient methods of improving the functions and operations of participants to achieve mission effectiveness.

RBT holds that firm performance is more important than industry attractiveness as a guide to resource investment decisions. *Investment* in VRIO resources is essential for firms to attain and maintain superior performance, thereby achieving SCA. Further, RBT emphasises the value of investment in IT resources to overcome capital market disadvantages, a point not fully recognised in participants' responses. Similarly, in all the cases investment-related *risk management* was limited, and was probably insufficiently linked to resource allocation to cope with unpredictable demands in rapidly changing markets. As social investors demand greater evidence of returns on investment, *investment readiness* is increasingly predicated on PIMM. Proportionately high increases in external investment where SE means are exercised suggest investor approval of entrepreneurial and business-like approaches to improving the functions and operations for greater mission effectiveness.

It can now be asserted that RBT relates directly to the functional and operational performance of CSACs. Further, SE means and methods can promote efficient resource use. Therefore RBT theory and SE means can be adapted and deployed within a new theory of mission effectiveness.

DCT also holds potential for mission effectiveness, as discussed next.

7.5.2 DCT - the functional and operational nature of CSACs

CSAC functions in terms of SE were limited in all cases revealing that income derived from trading ranged from the minimal to far less than 50% in ROC. However, in terms of business functionality, ROC revealed strong connectivity between PIMM-based information for effective decision making. In DCT terminology, ROC's 'technical fitness' combined with superior dynamic capabilities to meet market demands was producing 'evolutionary fitness' and growth (**Helfat et al 2007: 8, 108**). SE means were weakest in the support functions of TSAEP, the largest and most traditional charity and strongest in the smallest and most entrepreneurial case, ROC.

CSAC operations ranged from primary interventions in the lives of beneficiaries (TSAEP) through secondary services (e.g. information, community-building, advisory) to tertiary umbrella services (e.g. linking, resourcing and researching) intermediary bodies. *Collaboration* was strongest in CTE and ROC, both of which depended heavily on proactive relational and alliance-based activities with multiple stakeholders. *Social entrepreneurship* was most clearly identified within operations at ROC, which depended heavily on innovation and continuous change capabilities. Entrepreneurialism was most noticeably absent at TSAEP where operations are strictly controlled through a complex vertical hierarchy. As previously noted, ROC's *growth* was rapid and deliberately managed for scalable operations. At ROC the inferred linkage is strong between effective decision making, planned spiritually-motivated social impacts, and growth.

DCT holds that organisations can compete successfully in turbulent markets by developing and deploying market-relevant dynamic capabilities. Dynamic capabilities intentionally change products, production processes, firm scale, and markets by creating, extending or modifying the firm's resource base (**Miles 2012:90-91**). Thin markets undergoing change require strategies in which internal resources are reconfigured through dynamic management capabilities to build, align and adapt co-specialised assets (**Teece 2009:73**). These assets are orchestrated to optimise market opportunities secured by the process of sensing, seizing and shaping. Scalability is an important outcome of dynamic capabilities which can be addressed in the light of firm-specific performance, paths and processes in volatile markets.

DCT prioritises *relational* and *alliance based capabilities* in the pursuit of SCA. In all cases these capabilities were not yet systematically developed within performance management, nor were they structurally embedded within the strategies, policies and processes. Participants employed different forms and levels of proactivity with a range of key stakeholder priorities, in accord with their missions, historic paths and perceptions of future possibilities. These factors reflected the extent to which SE means were adopted and adapted within the participant's functions and operations, as deemed appropriate for mission effectiveness.

DCT promotes *social entrepreneurship* through dynamic capabilities, without providing separate or specific guidance beyond *relational* and *alliance-based capabilities*. The firm's executive management function is responsible for realizing scale. While significant *innovations* to achieve scale were seen by some as unacceptably risky during hard times, others embraced the 'innovate or die' principle within SE. Any major innovations to establish SCA would have required major *change* in all but the most entrepreneurial of the participant charities. In addition, readiness to change varied widely. However, all cases revealed promising opportunities to adopt and adapt SE means within their functions and operations to enhance their mission effectiveness.

DCT regards firm *growth* as a natural outcome of achieving evolutionary fitness through the exercise of strategic management dynamic capabilities. As funders increasingly demand evidence from comparable sector-wide performance metrics, so CSACs are prioritising the reporting of *social outcomes and impacts* results. Such metrics are more important where SO-SI results are central to mission (TSAEP, ROC), as opposed to being supportive (CTE). To consistently sustain and improve social results, *effective decision-making* is essential, a point agreed by all the participants while reporting different levels of attainment in this area.

DCT supports various routes to growth and scalable operations, including organic growth, strategic alliances and mergers or acquisitions. It provides a framework for appraising new markets with new products where opportunities can be sensed, seized and shaped. Thus DCT offers a suitable approach to mission effectiveness in complex/unstable markets which can be adopted and adapted to shape the functions and operations of CSACs, where appropriate using SE means. In all cases it was found that a business-like or SE-type approach to functions and operations promised improved economy, efficiency and mission effectiveness.

Thus DCT themes clearly relate to SE means. Therefore DCT is relevant to a new hybrid theory to enhance mission effectiveness in CSACs, where appropriate using SE means and methods.

RBT and DCT are seen here to affect the functional and operational nature of CSACs in terms of SE, thereby contributing to mission effectiveness. Contributory arguments are raised, next.

7.5.3 Arguments Arising for Mission Effectiveness from SE means

The foregoing sections of this chapter have discussed the primary case data findings, and how they relate to the main theories and SE. But how do these findings elicit lines of reasoning which affirm or negate an argument for SE as a means to mission effectiveness? The purpose of this section is to begin the process of identifying and articulating arguments arising from the case data findings. Such arguments later assist the interpretation of these findings, and are refined to underpin a new hybrid theory based on RBT and DCT. The RBT and DCT case evidence is clearly relevant.

The main argument in this thesis reflects the overarching proposition, i.e. that CSACs could improve mission effectiveness by adopting and adapting relevant SE means. Case evidence confirms that the resource pool facilitates SE-like effectiveness:

- through RBT-based recommendations for better resource *performance* management to demonstrate SO-SI, exploit market opportunities *and* attract funding.

- through DCT-based recommendations to improve dynamic capabilities and drive *scalability* management for CSAC growth, thus realising firm and sub-sector scale.

This argument comprises four elements:

- 1) The author's own position or point of view.
- 2) An attempt to persuade others to accept this position.
- 3) Reasons to support this position.
- 4) Rival positions which shape but do not negate this position.

The author's position:

Over a period of several years the author worked with CSACs in senior financial and managerial positions. During this period he observed compassion for the needy and commitment to faith-based social mission that suggested greater potential. Nonetheless, as a committed Christian himself, he is aware of a natural tendency to uncritically promote Christian values to build performance and scalability in social action. Therefore he has aspired to an objective and cautious viewpoint.

Persuasive points:

Observations before and during this research suggested the possibility of a more effective CSAC sub-sector to meet growing social needs. The sub-sector's cultural embeddedness and low costs support this view. Here, sound spiritual-social motivation appears to be indispensable to effective mission - facilitated by business-like means of achieving mission. These means can be found in the RBT, DCT and SE practices which here inform new theory.

Evidence based reasoning:

RBT and DCT are organisation-based explanations for achieving sustainability in competitive environments. They employ business-like/SE methods to enable charities to achieve their missions within legal and ethical frameworks which do not run counter to vital spiritual principles. Given their commitment to moral behaviours and the absence of private sector profit motives or public sector power motives, strategically funded CSACs could conceivably increase affordable social service provision. The evidence for this assertion lies in the findings from the primary and

intermediary level cases respectively. TSAEP was notable for its longevity, being directly descended from the UK first employment service over 100 years ago. Despite the constraints of a large, hierarchical traditional structure, TSAEP was considering adopting SE means to generate income. ROC grew rapidly and successfully, partly by deploying dynamic entrepreneurial capabilities and typical SE collaborative means. Thus, SE means can be relevant to mission effectiveness for some CSACs.

Rival positions:

As welfare provision declines alongside church attendance and religious tolerance, a parallel resurgence of interest in spirituality in England has been observed. Where religions have been lumped together and declared divisive by protagonists, British history shows the opposite to be true with regard to Christianity (with a few political exceptions such as the Spanish Armada). Despite historic amnesia and current prejudices, wider perspectives matter.

Among these is the fact that most CSACs are small, local and poorly resourced. To unite their efforts to produce viable social services of sufficient volume, quality and consistency at a lower cost than existing provision would be difficult – because although CSACs are sacrificially dedicated, they are also fiercely independent. In addition, critics could argue that scaling services is better achieved through wealthy corporations than through CSACs.

CSACs also may object, on the grounds that government funding demands excessive capacity (especially working capital), and can even undermine spiritual mission. However, if capacity could be increased, for example through visionary strategic leadership to unite or coalesce CSAC efforts, it could conceivably meet governmental scale requirements. Christianity is globally recognised as caring for the needy, and doctrinally distinct in not conferring superior status on believers (sinners redeemed by grace), but rather judges people on the basis of their ‘fruit’ or actions.

This short outline does not pretend to address these matters fully, but simply appraises the reader of some reasons why CSACs can and should play a more effective role in social service provision in England.

7.6 Chapter Summary

In Chapter 7 the empirical case data were processed and summarised. They revealed that while sharing common roots in faith and social action motivation, organisational missions and practices in the selected CSACs differed significantly. Nonetheless, the data findings were sufficiently comparable to tentatively infer context-specific causal linkages between the theory constructs and the potential for SE means to improve mission effectiveness.

The first section introduced this evidential chapter prior to outlining how empirical primary data both informs and answers the research questions in Section 2. Then in Section 3, the analytic strategies (pattern matching, explanation building and synthesis) were applied on an objectives-basis to participants' data to reveal widely differing within-case insights. Next, in Section 4, these insights were synthesised across the cases to reflect broader findings for mission effectiveness, in terms of SE. These salient findings enabled the functional and operational nature of CSACs to be reported through the main theoretical lenses in Section 5. Finally, emergent arguments for a new hybrid version of RBT and DCT were offered.

The results from this chapter make it possible to evaluate and interpret the research propositions, and thus to strengthen the evidence-based case supporting a new theory of mission effectiveness. Such a theory is proposed and related policy implications are considered, in Chapter 8, next.

8. THE RESEARCH CONCLUSIONS AND POLICY IMPLICATIONS

8.1 Introductory Comments

The empirical data findings in Chapter 7 reveal similarities and differences between management practices seeking mission effectiveness in the three CSAC cases. In this chapter findings are interpreted and evaluated on a case-by-case basis in order to inform a new enhanced hybrid version of a theory for mission effectiveness. These findings are compared to the initial propositions, and some of their potential implications for practitioners and policymakers are considered.

The purpose of this chapter is to draw the evidence from this research together to develop new theory, the policy implications of which can be tested. Following the introductory section, a short consideration of the role of propositions and prior literature for interpreting and evaluating the data findings is offered. Third, salient data findings are evaluated and interpreted through the lenses of theory-based RBT and DCT propositions, on a case by case basis. Next, these results lead into the case for new hybrid theory, which is formulated and modelled around SE approaches to mission effectiveness. In the fifth section some practical policy implications of the new theory are considered in terms of performance, scalability and adaptive organisational development. Sixth, tentative policy implications are outlined for organisational and public policymakers in terms of governance, collaboration and sector scale. The seventh section summarises and concludes the main body of research on an optimistic note. Finally, this chapter is summed up.

8.2 Propositions and Prior Literature Revisited

This chapter seeks to establish what is true and significant in this research. To understand and explain the relevance of the data findings for theory building, it is important to determine the facts, evaluate the findings in the light of propositions and prior literature, and interpret their meaning in terms of arguments for and against an SE approach to mission effectiveness in CSACs. Therefore, this section begins by briefly reviewing theory-based propositions and relevant prior literature.

8.2.1 Propositions - anticipate Desired Findings in the Participant Data

Inductive propositions provide the initial drivers of this research, and can be defined as: ‘...statement(s) or assertion(s) that express a judgment or opinion’ (**OED Online 2014**). The thematic propositions framed the analysis of data findings in the previous chapter (Section 7.4.1).

As discussed, the propositions arose from consultancy and practitioner observations, which were later refined through literature reviews. Thus it was possible to design the propositions to elicit supportive findings and simultaneously to shed light on new areas for potential development. These propositions-cum-theories framed the research objectives and questions (Appendix 8). In this section the empirical thematic findings are first interpreted and evaluated on a case-by-case basis before being summarised and consolidated for theory building.

8.2.2 Prior Literature – Propositional Alignment

Broadly, the theoretical and empirical literature sourced and supported the research propositions. The literature was consolidated in Sections 4.7 and 5.7 where it prioritised business means and methods which could be adapted for charities and SEs. The latter provided a wide range of applications - from mission-centric charities and SEs through public services and spin-out SEs to for-profit SEs. The literature was continuously updated after the original review because the rapid evolution of the SE rendered a final ‘throwback’ approach impractical. Unsurprisingly propositions designed for the largely unresearched CSAC sub-sector (and selected for only three case studies), did not fully match examples from the prior literature.

Although it appeared at the outset that mission effectiveness in the participating charities could be improved via SE means, it was by no means certain in this largely unexplored field. And while the propositions and literatures infer general causal linkages (Appendix 7), they do not explain some idiosyncrasies identified in CSACs.

The next sections combine case study data findings with explanations derived from the theoretical and empirical literatures to identify useful elements for theory building. In Section 8.3, key data findings presented in Chapter 7 are evaluated and interpreted to reveal causal inferences in support of the research propositions. These theoretically-centred results are then consolidated and summarised to elicit evidence supporting the RBT and DCT propositions. Overarching propositions are introduced in Section 2.3.3 and subordinate propositions are listed in Sections 4.6 and 5.6 respectively. Evidence is elicited on a case by case basis and used to shape a new tentative hybrid theory in Section 8.4

8.3 Evaluation and Interpretation of the Data Findings

In this section the data findings from Sections 7.3.8., 7.3.16, 7.3.24 and Section 7.4 (see also Appendix 22) are interpreted in the light of the literature in Sections 4.6 and 5.6 and the theory manifestations developed in Sections 4.7 and 5.7. RBT and DCT are separately considered on a case by case basis.

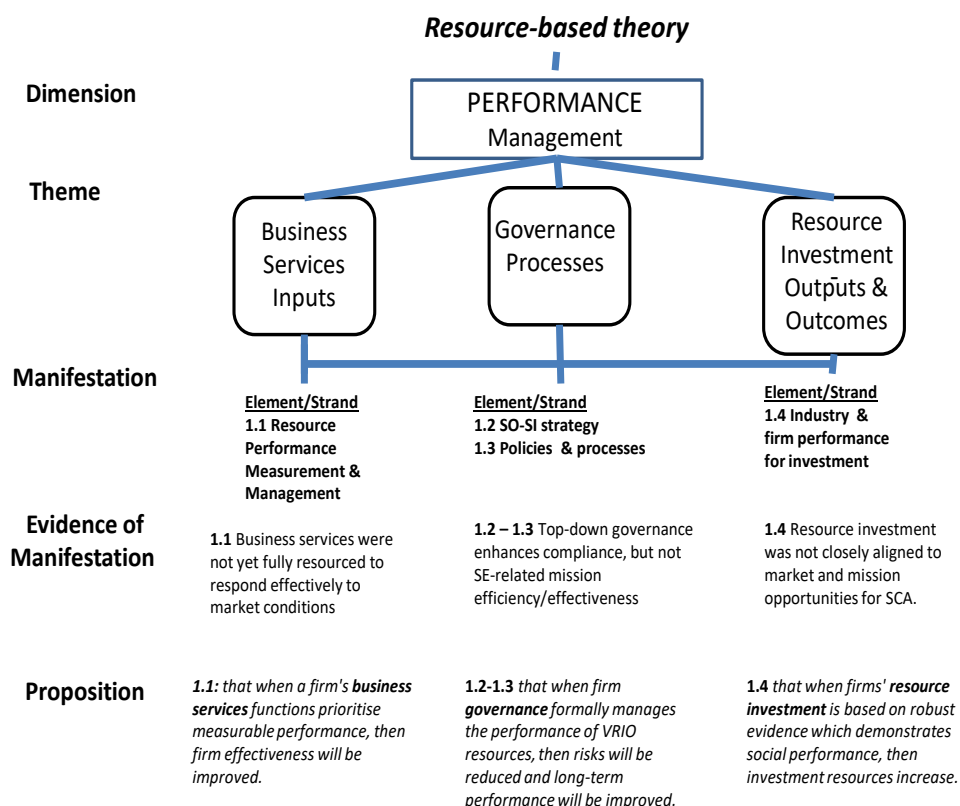
8.3.1 The Salvation Army: Employment Plus (TSAEP)

The Salvation Army engages in social action of many types, including here for employment services. Unusually among mainstream religious denominations it places social action at the centre of its activities. As a large and respected traditional charity it draws on a rich history of social service provision and furthers its aims through participation in public affairs and policy consultations. Next the theoretically-centred data findings in TSAEP are examined to elicit evidence for new hybrid theory.

8.3.1.1 RBT – evidence for Performance

The RBT-based data findings at TSAEP are examined under thematic headings, where thematic and strand-based manifestations of theory are evaluated and interpreted in the light of propositional drivers. This pattern is then repeated for DCT. Figure 8.1 sets out the evidential framework for RBT, as initially outlined in Figure 1.3.

Evidence supporting RBT propositions in TSAEP **Figure 8.1**



Business Services

Sub-Proposition 1.1: *That when business services identify, measure and manage firm performance appropriately, then resource-based performance improves.*

Questionnaires: showed low scores in both proactivity and reactivity.

Interviews: reporting revealed low performance priorities (mainly historic financials), using basic systems and quality benchmarks. Dependence on tardy historic financial reporting was not adequate for results-based resource performance management.

Comments: While links between performance inefficiencies and declining income could be inferred, any such links would be too remote to imply causation or their relationship to mission. DRT proposes timely, multi-faceted performance reporting that takes into account VRIN/VRIO resources to increase effectiveness.

Within-case findings (Section 7.3.8) state that 'Business services required significant investment to deliver efficient, effective support'. At TSAEP an aspirational theory-based approach to performance measurement and management was being developed within the limits of existing resources, structure and culture. This centred around a web-based tool for tracking individual beneficiaries' progress, within TSA's National Monitoring and Evaluation Scheme (NMES). However, internal constraints meant that business services were yet to achieve optimal market-responsiveness.

Evaluation of the key findings in the light of the propositions and prior literature

The value of these findings includes upholding the macro propositions (Sections 4.7 and 5.7) that PIMM-based business services would improve TSAEP's efficiency (e.g. costs). Specifically, performance management could have improved service quality if efficient systems were available to guide resource allocation and if comprehensive PIMM reports informed strategic decision making.

Theoretical literature emphasised the value of affordable IT and knowledge systems as sources of stakeholder satisfaction. Notably, the RBT-related literature recognises a trend moving away from traditional administrative priorities towards entrepreneurship, including working with 'virtuoso' teams to achieve superior competitive performance.

The empirical literature described a range of business services including communications, IT, marketing, quality control and HRM. Persistent themes included systematic knowledge-based performance management systems to facilitate resource allocation and thereby optimise SO-SI.

Interpretation of the key findings in terms of SE means to mission effectiveness

TSAEP had recognised the importance of efficient business services for competition, and so modernisation and integration of systems for decision-making was underway. However, it is unlikely that TSAEP could optimise SE means without greater autonomy, which did not appear to be urgent at the time in the light of TSA's quasi-monopoly market position among nonprofits (Section 7.3.1).

Governance

Sub-Proposition 1.2: *That when mission-based strategy is linked to the performance of VRIO resources, then improved social outcomes and impacts will result.*

Questionnaires: showed low proactive and moderate reactive scores for strategy.

Interviews: The importance of PIM for social results was recognised, and steps were being taken to formulate and implement measurements. Strategy was missional and evolving to consider market-responsivity (but not SE autonomy).

Comments: Growing prioritisation of SO-Si for effective mission implied stronger future interlinkage. DRT strategises social results for mission effectiveness.

Sub-Proposition 1.3: *That when a firm's governance optimises its unique resource position through internal policy and process that takes due regard of key external policy and process, then the firm performs better than if it does not.*

Questionnaires: showed low proactive and high reactive scores for policy.

Interviews: strategy formulation and operational activities were quite detached as revealed by widely differing perceptions of both internal and external policy making – as top-down governance precluded optimal engagement with key staff and stakeholders in the policy process, implying non-integrated resource use.

Comments: DRT proposes integrated mission-aligned, resource-aware policy making.

The strategic agility required to achieve SCA turbulent markets suggested the need for a flatter more market-responsive governance structure at the time of data collection (Section 7.3.8). Flexibility was only weakly evidenced outside of prescribed structures, despite dynamic intentions, but rather, top-down decision-making and complex processes were embedded.

Evaluation of the key findings in the light of the propositions and prior literature

Certain risks are clearly minimised by rigid policies and hierarchical governance, although opinions about its efficiency varied widely (Appendix 22/a). Notwithstanding, as posited by the macro proposition (Section 4.7.3) other risks did not appear to be fully addressed and long-term performance suffered. It can be inferred that this is partly due to a lack of VRIO resource identification combined with minimal PIMM. These shortcomings resulted in suboptimal resource allocation where links with mission lacked specificity. Nonetheless, internal policies reflected external policies, although weak strategy-resource links underutilised an enviable resource position.

The basic RBT requirements of governance (structure, controls and policies) for simple/stable markets functioned efficiently at TSAEP, where services could probably be delivered at a lower unit cost than many rivals due to sunk fixed costs, low staff costs, and volunteer workers. In volatile markets more asset reconfiguration and orchestration might help to achieve SCA.

Several empirical authors noted the importance of mission in the design of strategically-aligned resource management. Human resource-based trust was paramount at TSAEP because Biblical values underpin social action – a differentiating asset in CSACs. Similarly, greater and more inclusive multistakeholder governance to improve auditable social results could enhance mission effectiveness.

Interpretation of the key findings in terms of SE means to mission effectiveness

TSAEP was encountering a number of challenges that the traditional governance policies and processes struggled to fully address. For example, market opportunities are optimised when an inclusive range of stakeholders play an active role in strategy formulation. When VRIO resources (e.g. internal stakeholders) are not identified, linked to mission through policies and processes, and strategically managed - then SCA is forfeited.

Resource Investment

Sub-Proposition 1.4: *That when the relevant firm and industry performance results are available for resource investment decisions, then funding will be forthcoming.*

Questionnaires: showed low proactive and moderate proactive and reactive scores.

Interviews: limited performance results informed a self-reliant funding culture.

TSAEP prioritised spiritual investment over market-relevant results, which could partially explain good social results but limited funding in a competitive market.

Comments: DRT promotes mission-centric understanding of risk-opportunity potential in order to promote social results-based investment-readiness.

TSAEP displayed impressive expertise in both the social services and managerial fields. However, resource investment was poorly aligned to VRIO resources and PIMM. Some resource-based potential may be lost as a result of delays arising in centralised cross-departmental decision making. Further, TSA practiced typical charity risk-averse policies which may filter out some reward opportunities. Overall, to achieve mission and SCA resource investment could strategically target VRIO resources (Section 7.3.8).

Evaluation of the key findings in the light of the propositions and prior literature

Internal investment was important at TSAEP, which may help explain why robust social performance data was embryonic. SE-type income was increasing through government contracts, but later decreased. It would be speculative to suggest that the increase was due to the department's expertise and reputation, while the decrease was due to its lack of capacity and competitiveness. However, these potential causal inferences could be considered. Certainly a lack of performance results could negatively impact funders' decisions. However, external partners were investing in TSAEP, largely on the basis of high quality service delivery outputs rather than robust SO-SI evidence, contrary to the macro proposition (Section 4.7.1).

The empirical literature stresses rigorous analysis and proactive relationships with external investors (Section 4.4.1), but TSAEP was not investment-ready in terms of relevant, verified comparable metrics and professional risk-opportunity management.

Interpretation of the key findings in terms of SE means to mission effectiveness

The key findings suggest that relevant performance results, professional risk management, and an understanding of market investment criteria are important for mission effectiveness. It is unclear whether SE means would be effective for attracting investment even on the basis of TSAEP's successful resource use, given its departmental status within a large charity. However, more business-like infrastructure and market engagement were being considered.

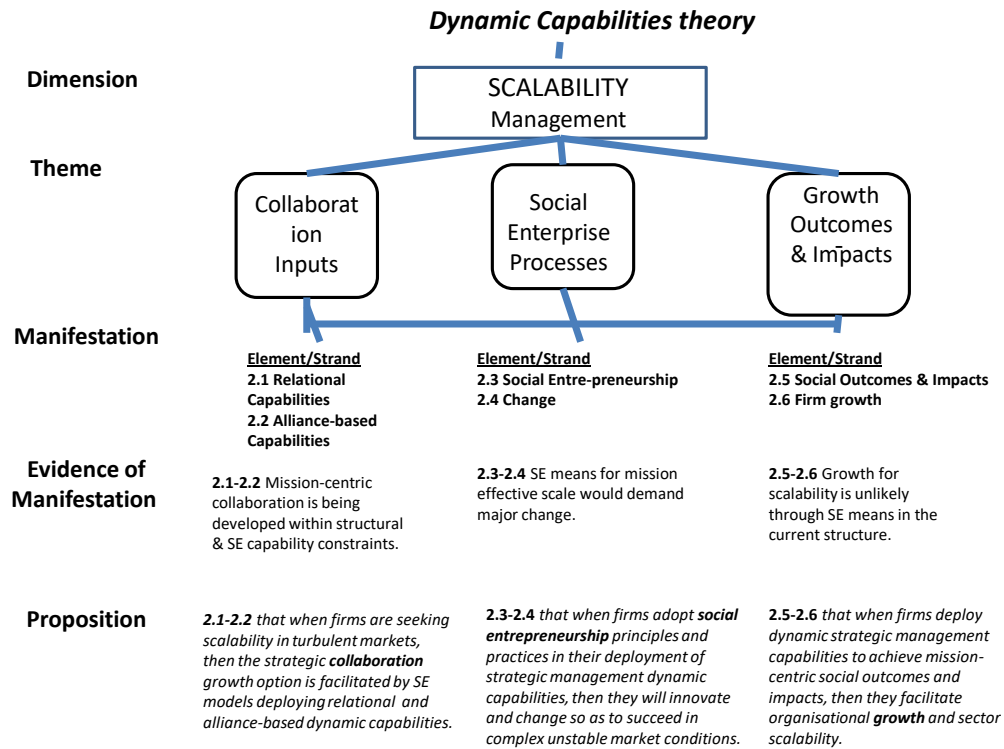
Deficiencies in PIMM infer causal links with the main RBT proposition (P1) that robust evidence of SO-SI to exploit funding and income generation opportunities would benefit TSAEP. Next the case for new DRT theory is developed through DCT (see Figure 8.2).

Next the case for new DRT theory is developed through DCT (see Figure 8.2).

8.3.1.2 DCT – evidence for Scalability

The DCT propositions were manifested in TSAEP to provide clarity on what features of DCT were most important to include in new DRT theory (e.g. formal relationality).

Evidence supporting DCT propositions in TSAEP Figure 8.2



Collaboration

Sub-Proposition 2.1: *That when relational capabilities are proactively and strategically developed and deployed, then relationship-based competitive advantage is achieved.*

Questionnaires: all executive scores were proactive, while staff scores were reactive.

Interviews: Professed proactive attitudes to be built into strategy, systems and policy. Relational capabilities at TSAEP were essentially informal, providing a means of navigating a large hierarchy to facilitate effective charitable activity.

Comments: Informal relationality alone infers that potential strategic benefits, including SCA could not be realised. DRT encourages inclusive, strategically structured relational capabilities with all key stakeholders.

Sub-Proposition 2.2: *That when firms have the capability to collaborate through alliances, then they seize optimal market opportunities.*

Questionnaires: executive and staff scores were all proactive.

Interviews: formal and informal aspirations had resulted in limited social action implementation through a small number of active partnerships. TSAEP was financially self-sufficient and enjoyed a quasi-monopolistic national position, and it had the capability (but not the perceived need) to collaborate.

Comments: It could be inferred that some market opportunities were overlooked. DRT facilitates mission-centric strategic knowledge management through intra and cross-sector collaborative alliances for mutual benefit and SO-SI.

TSAEP was enjoying a renaissance, and planning ambitiously for market-led expansion. This, in a complex, competitive, and changing policy-driven employment services market. However, TSAEP's self-sufficient culture and a top-down management structure did not encourage relational and alliance-based capabilities. By contrast, collaboration offers opportunities within empowered, even devolved structures (Section 7.3.8).

Evaluation of the key findings in the light of the propositions and prior literature

Inherent relational capabilities at TSAEP were implicitly recognised, but not explicitly developed as a strategic asset. One cross-sector alliance was observed, but alliance-based capabilities for growth were not prioritised although latent dynamic capabilities among staff were evident. Collaborative initiatives for growth were receiving attention (Appendix 22a), but within the traditional charity model rather than SE. It was not clear that requisite dynamic capabilities would be developed, but these would have further confirmed this proposition (see Section 4.7.2). Theoretical

literature emphasises teamwork and networking to develop relational capabilities. It recommends complementary capabilities, knowledge-based entrepreneurship and interfirm knowledge-sharing to optimise the firm's resource base via collaboration.

The empirical literature discusses the centrality of stakeholders within specific contexts (need, values, location) to achieve scale. Formal and informal networking and stakeholder management were observed, promoted by ethical internal policies. Relational capabilities were intrinsic in the culture and teamwork, but they were not purposively deployed within networks and alliances. However, recognition of learning needs suggested potential for knowledge-based development. Empirical authors prioritised alliance-based capabilities for collaboration. While eschewing inappropriate use of business methods, they saw SCA derived from understanding information-based systemic approaches to strategic scalability (Section 5.4.1).

Interpretation of the key findings in terms of SE means to mission effectiveness

The key findings reveal that complex, unstable markets favour the development and deployment of dynamic relational and alliance-based capabilities. Certain aspects of these (e.g. learning and improved information systems for PIMM) were recognised at TSAEP, but high levels of trust were not always being accessed for collaboration (Section 5.4.1). Limited collaborative SE means to mission effectiveness may only be feasible when technical fitness is established.

Social Entrepreneurship

Sub-Proposition 2.3: *That when charities wish to generate income, then social entrepreneurship capability for the creation of new products, processes, structures and business models provides a means of scalability.*

Questionnaires: executives scored low but proactively, staff scores were uncertain.

Interviews: aspirational executives informed by 'best practice' were inadequately supported by low systemic capacity and lack of agile SE means.

Comments: TSAEP responses can be interpreted as revealing a highly structured, procedurally rigid environment. SE capabilities were evaluated as poor, indicating that dynamic capabilities had not been developed or deployed significantly, thus inferring low scalability potential. DRT promotes low-risk entrepreneurial innovation using SE processes to achieve SCA through differentiation and thus to enable scale.

Sub-Proposition 2.4: *That when charities possess the dynamic capabilities to exploit current positions, processes and paths, then they are ready to accommodate the change required to become SEs.*

Questionnaires: executives scored low but proactively, staff scores were uncertain.

Interviews: aspirational/theoretical differed from current/real-world views, but agreed on vital needs and some of the means to meet them.

Comments: Exploitation of existing positions, processes and paths was suboptimal, proactivity to enable change-readiness was growing at TSAEP, inferring a causal link to mission effectiveness (possibly via SE means). DRT promotes DCT means to alter positions, processes and future paths through effective change management.

The key data fieldwork findings revealed that TSAEP had aspirations to become more entrepreneurial, which were hindered by internal constraints. These included structure, systems and risk aversion. As noted in Section 7.3.8, SE can demand counter-cultural approaches to proactivity and innovation. However, the need for change was being considered.

Evaluation of the key findings in the light of the propositions and prior literature

It was not possible to test the proposed adoption of SE principles and practices at TSAEP, although they suggested solutions to some current challenges. However, plans for developing dynamic capabilities in the light of positions, processes and paths did not prioritise SE means to scalability. Therefore the proposition that SE practices would involve innovation and change (Section 4.7) could not be tested.

DCT addresses entrepreneurship through strategic management capabilities in turbulent markets. Importantly entrepreneurship is defined as risky, inasmuch as it pursues opportunities beyond the resources controlled by the firm. Thus it creates a tension for charity leaders charged with stewardship, one that can be professionally managed using risk-opportunity methods. Theory-based critical success factors for SCA include flexible structures and processes, adaptability to market conditions, and innovative products/services (suggesting major changes at TSAEP).

The empirical literature stresses that SE epitomises a determined 'can do' approach to proactivity, innovation and risk-taking in order to solve social problems (Section 5.4.1). Consequently, organisational change often involves new business models, products/services, processes and structures. Social services at TSA would have to overcome major obstacles to adopt SE methods.

The lack of SE theories, empirical theory testing and established regulation pose challenges, but also enable SE to emerge creatively. However, these uncertainties often engender perceptions of SE as highly risky. Nonetheless, traditional charities often reduce risks by moving towards SE trading activities in small steps through separate trading arms controlled through their existing regulatory frameworks. This option has been successfully implemented within the wider TSA structure.

Notably, empirical authors emphasise the need for internal buy-in for change, based on common purpose, teamwork, adaptive and mixed leadership styles and learned entrepreneurship. However, efficiency deficits and divergent priorities (Appendix 22/a) may hinder strategic agility in TSAEP.

Interpretation of the key findings in terms of SE means to mission effectiveness

The fieldwork findings reveal some potential for SE means and methods (Section 7.3.8), and a need for market-responsive change. Similarly, the theory and sector evidence points to paradigm change in some charities in order to achieve mission effectiveness. A suitable theory of change is required.

Growth

Sub-Proposition 2.5: *That when firms' missions require them to achieve social outcomes and impacts, then dynamic management capabilities must be exercised to achieve growth in changing markets.*

Questionnaires: executives scored low proactivity for effective decision-making and prioritisation of social impacts for growth. Staff scored moderate reactivity.

Interviews: there was awareness of the importance of the issues, embodied by plans to address them structurally.

Comments: TSAEP's planning inferred recognition of links between social results and mission-centric growth in current markets. To help CSACs optimise resident capabilities, DRT emphasises dynamism within an integrated approach to growth.

Sub-Proposition 2.6: *That when manageable, non-random and size-independent organisational growth is to be achieved, then relevant strategic management capabilities are required for specific firm and industry settings.*

Questionnaires: executives registered low proactive and reactive scores for manageable scaling up. Staff scored moderately low reactivity.

Interviews: Clear structurally-based growth plans supported by detailed budgets were being progressed. TSAEP was seeking growth through a structured approach to mobilising existing assets within current operational frameworks, thus revealing an appetite for more strategically agile and market-responsive means to growth.

Comments: Staying with a rigid structural approach to volatile markets could infer dependence on size and a lack of relevant capabilities. DRT supports lower, flatter and more autonomous structures for social market-based growth.

The empirical data revealed that TSAEP had both strong aspirations for growth and underutilized resource capacity. Planned coordination and cohesion was improving,

and market opportunities were increasingly complementing internal compliance to promote efficiency. However, social results links were weak, suggesting that growth via SO-SI capability was possible and manageable but challenging (Section 7.3.8).

Evaluation of the key findings in the light of the propositions and prior literature

The proposition that dynamic strategic management capabilities facilitate SO-SI for growth and scalability was tentatively confirmed at TSAEP. These capabilities were present and their effects on SO-SI impacts were inferred by growth via new and larger contracts. However, the increasingly demanding contractual terms and reducing fiscal funding may have challenged existing capabilities with the effect of lowering turnover in later periods. In difficult competitive conditions TSAEP's size may not be critical, but its ability to consistently outperform rivals is paramount.

The theory holds that growth (firm growth and operational scalability) is a defining outcome of evolutionary fitness based on technical fitness, market demand and competition in the expanding social sector. To take advantage of growth opportunities, more providers are adopting SE means beyond the risk-averse organic growth associated with traditional charities like TSAEP.

The empirical literature emphasises the need to provide services of sufficient quality and volume to optimise financial surpluses and thus enhance SCA (Section 3.6.1). While economy was clearly demonstrated at TSAEP, the efficiency required to produce surpluses was less evident.

Interpretation of the key findings in terms of SE means to mission effectiveness

Achieving and maintaining SCA at TSAEP in current markets is desirable but difficult (Section 5.4.1). While competitors are challenging the status quo, a tendency towards self-sufficiency, insularity and bureaucracy may hinder the exercise of the strategic management capabilities needed to drive missional growth via SE means.

8.3.1.3 Summary, evaluation and interpretation for TSAEP

Key data findings presented in Chapter 7 were evaluated and interpreted for TSAEP in the foregoing sub-sections. In this section results are summarised in figures 8.1 and 8.2 to focus discussion on relevant evidence supporting a new hybrid theory.

At the level of manifested theory strands, propositions are supported. Less clear is the support for the main DCT proposition (P2) that SE management principles and practices could realise firm operational scalability and thereby sub-sector scale. SE/business-like means could be deployed at TSAEP but entrepreneurialism is counter-cultural, implying that while dynamic capabilities are important for SCA in volatile markets, SE means may not be developed to achieve mission effectiveness.

This case suggests that large traditional charities experience difficulties in successfully adapting to rapidly changing market conditions. Shrinking donor bases and increased competition call for mission-centric resource optimisation and strategic agility, driven by dynamic capabilities.

The data findings from CTE are evaluated and interpreted, next.

8.3.2 Churches Together In England

CTE offers a comprehensive national-regional-local platform for intra-sector communication and co-ordination between churches, and thereby between the charities they work with. Local churches group together and CTE coordinates their mutual interests across regions. While ecumenical unity is prioritised, social action through members is a missional goal.

During the data collection period, CTE was examining future strategic opportunities, not least with regard to social action. CTE's unifying influence on most denominations suggests potential for scaling up CSAC operations in connection with churches. Anticipated benefits for churches are found in the Church's mission where faith, worship and works are theologically inseparable:

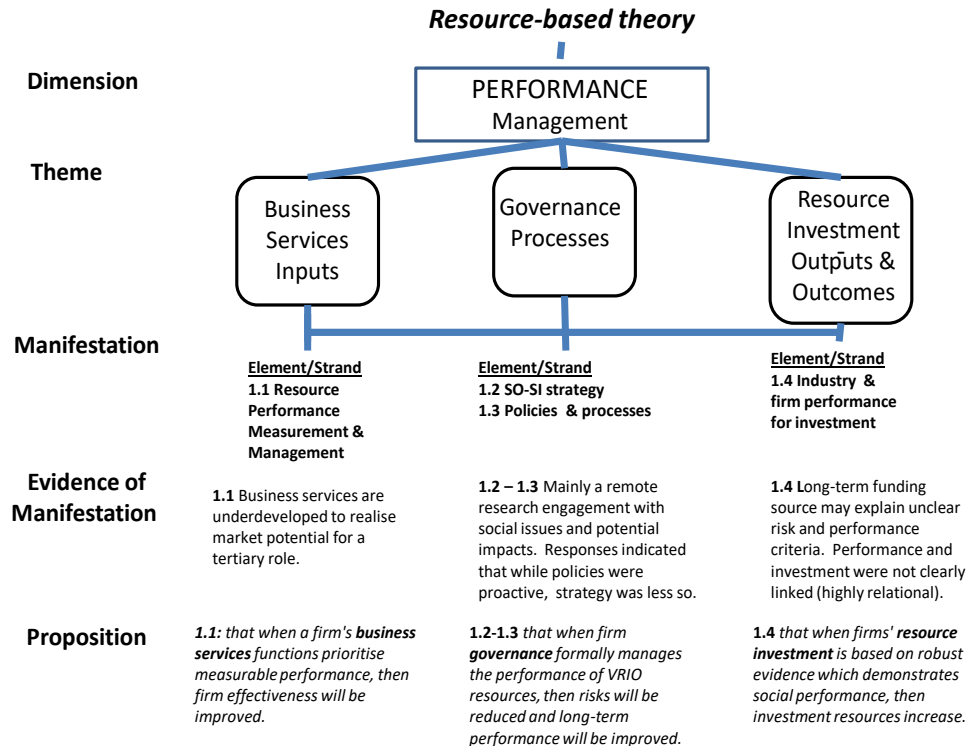
‘What good is it, my brothers and sisters, if someone claims to have faith but has no deeds? Can such faith save them? Suppose a brother or a sister is without clothes and daily food. If one of you says to them, “Go in peace; keep warm and well fed,” but does nothing about their physical needs, what good is it? ...’ (Bible: James 2:14-26)

This section summarises theory-related propositional results to derive evidence for the new DRT tentative hybrid theory. Figure 8.3 initiates this summary for RBT.

8.3.2.1 RBT – evidence for Performance

CTE’s performance was suboptimal, due partly to complexity and mission overstretch.

Evidence supporting RBT propositions in CTE Figure 8.3



Business Services

Sub-Proposition 1.1: *That when business services identify, measure and manage firm performance appropriately, then resource-based performance improves.*

Questionnaires: decisive scoring showed that performance management and systems were reactive, while quality was proactive. Measurement was internal and minimalist.

Interviews: in its highly relational/trusting and quasi-monopolistic tertiary role, CTE had negligible control over the resources or social results of intermediary bodies.

Comments: A wide operational remit introduces complexity, especially in the face of competing stakeholder agendas. DRT focuses on identifying and optimising controlled dynamic resources and capabilities to develop mission within the market.

Business services at CTE provide basic administrative support only. Internal perceptions of the quality of relationships with members are prioritised, rather than developing performance measures and management to exploit market opportunities. CTE's monopolistic position combined with a culture of trust may militate against a proactive approach to VRIO resource optimisation for SCA. However, the data findings suggested that business services could provide vital integrated strategic stewardship information (Section 7.3.16).

Evaluation of the key findings in the light of the propositions and prior literature

Because the business service functions did not prioritise measurable performance, it is impossible to speculate concerning improved resource-based performance had they done so, as proposed (Section 4.7.1). However, the lack of a progressive IT strategy suggested that cost-effective gains from systems were available.

RBT suggests that systemic PIMM is essential to competitiveness, because it facilitates cost reduction in order to increase rents. IT managerial skills would not be expected to provide even temporary competitive advantage at CTE given its monopoly position in a low demand market (Appendix 22/b). However, there was some evidence of 'virtuoso' specialist teams.

The empirical literature is uncompromising on the need for optimal business services, many of which are systems-based to improve resource performance (Section 4.6.1).

Although clearly linked to the firm's needs, performance management is most effective when those needs are identified and matched to resources. This is especially important in knowledge-based firms like CTE, although the data indicated a lack of comprehensive resource management.

Interpretation of the key findings in terms of SE means to mission effectiveness

The role of a tertiary organisation is complex, and highly dependent on knowledge-based relationships with key stakeholders. Without a strong computerised knowledge-base that links environmental factors with stakeholder priorities and firm strategy, it is unclear how CTE could optimise mission effectiveness. Progress towards strategic objectives should be measured and managed to fulfill mission. SE means offer some solutions, particularly for proactive knowledge-base use.

Governance

Sub-Proposition 1.2: *That when mission-based strategy is linked to the performance of VRIO resources, then improved social outcomes and impacts will result.*

Questionnaires: low, reactive score social results reflecting remoteness from services.

Interviews: measurable, managed social results were unclear and held low priority.

Comments: Changing mission suggested the need for new strategic resource and capability deployment. DRT establishes strategic resource links to mission.

Sub-Proposition 1.3: *That when a firm's governance optimises its unique resource position through internal policy and process that takes due regard of key external policy and process, then the firm performs better than if it does not.*

Questionnaires: moderate to strong policy scores reflect a political/policy role at CTE.

Interviews: clear policies rooted in theology and social mission drive stated mission.

Comments: CTE developed research-based internal policy and responded to external policy implications for itself and members, thus inferring the strategic importance of policy. DRT promotes proactive engagement with internal and external policy.

Strategic clarity for SO-SI was limited, and so policies and processes did not extend beyond a broad overview. Nonetheless, governance at CTE had the potential to enhance spiritual –social performance by optimising VRIO resources (Section 7.3.16).

Evaluation of the key findings in the light of the propositions and prior literature

CTE did not formally manage the performance of VRIO resources, so theoretical risks to long-term performance are not thereby mitigated (Section 4.7.1). Similarly, as missional strategy was not linked to the performance of VRIO resources, no resource-based improvements to SO-SI could be demonstrated. However, the third governance proposition is upheld insofar as CTE aligned internal and external policies to good effect in its research and related advisory services. Multiple stakeholder agendas at CTE posed challenges to governance (Section 3.6.1), which inevitably compromise executive control and hinder mission effectiveness.

The empirical thematic literature stresses the roles and responsibilities of the charity's officers, which may be challenged by the needs of unofficial stakeholders. While the strategic alignment of resource use through policy is critical (but strategy and core resources were weakly aligned – Appendix 22/b), board and management relationships and capabilities are also pivotal. In this situation, high levels of trust may even hinder efficiency in terms of auditable SO-SI results.

Interpretation of the key findings in terms of SE means to mission effectiveness

CTE governance processes appeared to be better suited to the more stable period prior to the Great Recession. SO-SI priorities may be increasingly impractical and if so, the mission should be revised. Nonetheless, CTE practiced the most inclusive and collaborative governance.

Resource Investment

Sub-Proposition 1.4: *That when the relevant firm and industry performance results are available for resource investment decisions, then funding will be forthcoming.*

Questionnaires: 'industry performance' was understood in the ecumenical context, but risk was poorly understood possibly because long-term funding was dependable.

Interviews: internal investment criteria did not reflect performance or markets.

Comments: CTE's information role was expanding as its social action role was shrinking. This infers that low/indirect social results may not attract funding. DRT harnesses DCT management of the resource pool for marketable competitive performance at every level (e.g. tertiary), regardless of social mission priorities.

At CTE the understanding of resource investment was limited given the relational priorities of the executives, who were ministers of religion. As such they typically promoted strong and risk-tolerant vision, mission, culture and values. Very broad objects may have dissipated managerial focus, and a lack of market-oriented capabilities makes external investment less likely. However, the process of applying for external funding could help the charity to identify and assess low risk innovations to improve performance and growth (Section 7.3.16).

Evaluation of the key findings in the light of the propositions and prior literature

Evidence of SO-SI performance-based investment as proposed (Section 4.7.3) was not available, but nor was related external investment being sought. The fact that internal funding is continuing in the absence of SO-SI evidence (and PIMM results in general) suggests that CTE benefits from less demanding funding criteria than those imposed by external funders. The link between VRIO resources and investment was implicit, but was clearly based on relationships.

The theoretical literature naturally prioritises money values for investment returns of all types, including SROI. While the human capital element of resource investment is well developed, the charity appears to be vulnerable in terms of physical, financial

and organisational capital (Section 4.4.1). Like many charities, the absence of PIMM hinders optimal resource allocation.

Although churches and CSACs are not normally considered to be ‘in the market’ for income-generation, membership subscriptions are central to their relationship with CTE. If it were to deploy existing resources and obtain new investment to diversify and build alternative income streams (perhaps based on empowering the SO-SI results of its members) CTE might improve its short-term viability and long-term sustainability via a new business model (Section 5.4.1). The empirical literature links investment and operating environments through firm policies. This link was weak at CTE, where internal investments have not prioritised SO-SI evidence-based returns.

In a non-competitive ‘industry’ of uniting churches, competitive advantage is not central. However, in the social mission field, competition is a fact, and CTE holds a unique position to facilitate SO-SI. However, such facilitation may be beyond current resources at CTE as it seeks to accommodate more urgent stakeholder demands.

Interpretation of the key findings in terms of SE means to mission effectiveness

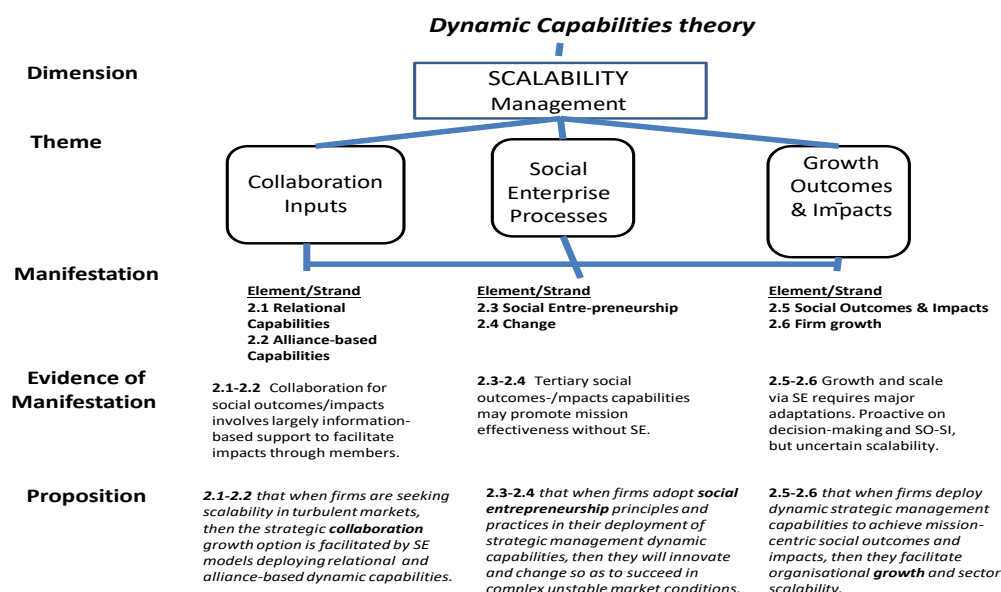
The key findings reveal typical tertiary dilemmas, such as inability to directly influence the SO-SI results of primary social service providers (which are mainly charities rather than churches). Nonetheless, SE means could help develop a broader capital base, an externally funded market-responsive resource base, and optimise knowledge resources for mission effectiveness.

Evidence for scalability derived from DCT is considered next.

8.3.2.2 DCT – evidence for Scalability

CTE's tertiary role illuminated the challenges of fulfilling propositions for social action mission which was beyond the charity's capacity to fulfill leading to mission revision.

Evidence supporting DCT propositions in CTE **Figure 8.4**



Collaboration

Proposition 2.1: *That when relational capabilities are proactively and strategically developed and deployed, then relationship-based competitive advantage is achieved.*

Questionnaires: high reactivity for engagement alongside high proactivity with intra-sector stakeholders reflected CTE's tertiary role in a non-competitive environment.

Interviews: strong relational capabilities within an ecumenical context facilitated unity, albeit only indirectly related to members' social results.

Comments: The value of ecumenical relationships was appreciated, especially the support of intermediary bodies and their local churches/charities. This infers that reactivity is tactically essential in a tertiary, non-competitive charity. DRT illuminates relational aspects of knowledge management (e.g. articulation, codification, sharing).

Sub-Proposition 2.2: *That when firms have the capability to collaborate through alliances, then they seize optimal market opportunities.*

Questionnaires: high reactivity to cross-sector collaboration reflects path dependence.

Interviews: despite an intra-sector representative role, CTE possessed clear understanding of other sectors and of government policy.

Comments: CTE's perception of its powerlessness to influence members was striking. Thus it can be inferred that the focus on serving as a conduit for information and co-ordination neither optimised the evident dynamism at CTE nor the market opportunities available to it within its (very broad) mission. Bringing mission and markets together in DRT enhances SCA through sensing and seizing opportunities.

Intra-sector ecumenical collaboration with churches is relational and proactive at multiple levels (e.g. national, regional, local). Facilitation for SO-SI was largely through research-based information disseminated to members for their discretionary use, and so SO-SI impacts were indirect and not controlled by CTE. Cross-sector collaboration is a relatively alien concept due to CTE's ecclesiastical focus, but nonetheless, existing and potential collaborations might benefit from stakeholder mapping, evaluation and strategic management (Section 7.3.16).

Evaluation of the key findings in the light of the propositions and prior literature

Tertiary organisations are indirectly impacted by national economic conditions, for example when recession and low salaries affect churchgoers, donations to CTE's member churches and subscriptions to CTE are reduced. Good relations with church leaders alone are insufficient to stimulate churches to engage sustainably in social action. Regardless, scalability is elusive in the absence of a purposive strategy to optimise relational and alliance-based capabilities for growth in turbulent markets where SE approaches may help (Section 4.7.2).

DCT commends collaboration where it scales missional operations at low cost with like-minded partners. Generating income externally for CTE through symbiotic

alliances would require relationship-specific assets and complementary capabilities with strategically aligned partners. Knowledge management with partners is key.

Empirical authors emphasise a low risk staged approach to collaboration. To this end, internal and external stakeholder management through dynamic leadership and teamwork (to complement informal trust-based CSAC approaches) can be learned and/or outsourced. Strategic partnerships are designed for mutual benefit (Section 5.4.1), e.g. by reducing resource and capability deficits.

Interpretation of the key findings in terms of SE means to mission effectiveness

Although collaboration between CTE and member churches is strong (Section 7.4.1), it has been constrained by a traditional service model, a wide scope and diverse stakeholder agendas. In such a deeply intellectual environment an unstructured adhocracy easily replaces strategic management, but any resultant lack of focus hinders mission effectiveness. Clear SE means to proactivity and innovation in the context of collaborative opportunities to scale up could be explored.

Social Entrepreneurship

Sub-Proposition 2.3: *That when charities wish to generate income, then social entrepreneurship capability for the creation of new products, processes, structures and business models provides a means of scalability.*

Questionnaires: social skills in SE and innovation were underdeveloped for markets.

Interviews: no trading innovation, but complex relational innovation was advanced.

Comments: While CTE could conceivably scale up social operations to achieve mission, its role is by nature reactive to the needs of members (most of whom are traditional), so innovation through entrepreneurship is unlikely to garner support. However, DRT promotes evolutionary fitness to improve efficiency and effectiveness.

Sub-Proposition 2.4: *That when charities possess the dynamic capabilities to exploit current positions, processes and paths, then they are ready to accommodate the change required to become SEs.*

Questionnaires: A strong intellectual team culture enabled proactive, inclusive decision-making. Social results (although missional) were too remote to exploit current position and only major strategic change could countenance marketability.

Interviews: CTE's established long-term function reflects charity, rather than SE.

Comments: Uncertainty over the need for scale suggests that the legitimacy conferred by its tertiary role affords sufficient stability and meaning to CTE, thus militating against 'institutional entrepreneurship'. However, a DRT approach could enable CTE to exploit its unique position to promote social action among members.

Of the reported cases CTE was the least entrepreneurial, but it espoused gradual top-down innovation, but it was open to balanced change. As a tertiary organisation its dependency on other entities made autonomous change difficult, but attractive: '*SE means and methods could be usefully considered for adaptation*' (Section 7.3.16).

Evaluation of the key findings in the light of the propositions and prior literature

Some proposed SE principles and practices (Section 4.7.2) are mirrored in the highly inclusive and close teamwork at CTE, especially in researching and reporting on social evils (e.g. trafficking). Innovative leadership and services rooted in its formidable intellectual resource base could stimulate cutting-edge social action through churches. However willing and able CTE may be, its wide brief and indirect link with social action may preclude such radical action. Major change would require a renewed outward-looking mission and a strategically dynamic income/business model to achieve scalability and SCA.

The theoretical literature mainly addresses a volatile market context where entrepreneurialism is required to identify demand and then meet it by supplying innovative products (Section 5.2.2). Many churches and CSACs are used to

'pursuing opportunities beyond the resources controlled', although they would hesitate to call themselves entrepreneurial. SEs operate best through flexible, adaptable structures, business models and processes which enable them to take calculated risks, often optimizing their resource bases as semi-autonomous specialist entities reporting to parent charities. This model suits non-core specialisms like SO-SI at CTE.

Empirical authors often emphasise the boldness and complexity of entrepreneurship as it seeks solutions to challenges in developed societies. SE enshrines proactive engagement to overcome obstacles and achieve social impacts. CTE was, to some extent, entrepreneurial.

Forprofit market and government social services provision is failing in some areas (e.g. mental health), where systemic innovation could involve churches and CSACs working together. Significant latent demand exists across churches for coordinated, unified social action. This is evident from growing grass-roots church social engagement and senior clerical commitments, for example the appointments of Archbishop Justin Welby and Pope Francis. Notably, Archbishop Welby's Charge (Appendix 26) calls Christians to transformational social ministry, unity, change, and effective mission (the author's bold font):

*- 'to provide moral and spiritual leadership for the nation; to ensure that the prophetic Christian voice is heard and respected in public discourse and debate; and to develop our **transforming ministry in socially and economically deprived communities**;*
*- to build up a sense of shared responsibility for our mission and ministry across the Church structures and to encourage mutual respect and shared endeavour; to enable the Church to be better equipped to deliver **effective mission and growth** through appropriate organisational **change** and by encouraging and challenging clergy in their ministry and lay people as they live out their Christian witness in the world;'*

This approach promotes sustainable, high volume positive social impacts derived from knowledge and trust-based leadership capabilities and proactive engagement (Section 7.4.1). Notwithstanding, social value creation and implementation in changing environments require dynamic strategic skills.

Interpretation of the key findings in terms of SE means to mission effectiveness

SE at CTE can be summed up as offering potential for growth and scale, but requiring major change. If CTE retains social goals, it could devolve them into a specialist SE sub-unit that could identify and prioritise specific social mission objectives. CTE's broad mission produced suboptimal results as it sought to 'be all things to all men'.

Growth

Sub-Proposition 2.5: *That when firms' missions require them to achieve social outcomes and impacts, then dynamic management capabilities must be exercised to achieve growth in changing markets.*

Questionnaires: decision-making was dynamic, but social results were uncertain.

Interviews: interdependency among constituents did not encourage a social focus.

Comments: CTE did not depend on social results for growth, and was due to change its mission to reduce the social emphasis. Nonetheless, during an austere, turbulent period, key dynamic capabilities would aid growth by meeting specific stakeholder needs. DRT promotes sustainable missional growth using businesslike principles.

Sub-Proposition 2.6: *That when manageable, non-random and size-independent organisational growth is to be achieved, then relevant strategic management capabilities are required for specific firm and industry settings.*

Questionnaires: potential for scaling up and growth management was uncertain.

Interviews: dynamic solutions to long-term challenges did not prioritise scalability.

Comments: CTE valued social action as a unifying factor with potential to aid growth, but was moving away from it. Growth predicated on social action was not forthcoming from existing management capabilities, perhaps because social action was perceived as a poor strategic fit with CTE's tertiary ecclesiastical mission. This infers that while dynamic capabilities could increase scale and mission effectiveness, this would not be through social action or SE within CTE. Importantly, DRT harnesses resident firm-specific capabilities and external expertise to facilitate non-random growth in and between congruent primary, secondary and tertiary bodies.

Development, growth and scalability at CTE are patient long-term objectives. However, complex multi-stakeholder agendas can render decision-making and joint working slow and inconclusive, while servant leadership can be misconstrued as passivity. The SE route to growth via SO-SI was not recognised, so adopting and adapting selected SE means and methods would require a paradigm shift. Given recent shrinkage, it was found that growth for SO-SI based scalability may be advisable, within a manageable strategy (Section 7.3.18).

Evaluation of the key findings in the light of the propositions and prior literature

While CTE clearly exercises dynamic strategic management capabilities to facilitate firm growth and sector scalability, such growth was not based in mission-centric SO-SI as proposed (Section 4.7.2). Although SO-SI features in CTE's mission, it is not prioritised as a means to growth. If it was prioritised, relevant dynamic capabilities would be required to achieve manageable non-random growth to drive social service provision in connection with churches. External expertise might also be required.

DCT insists that growth is a defining outcome of evolutionary fitness, which at CTE is difficult given the lack of competition and the challenges faced by its members. However, intellectual and relational resources facilitate the development of low cost, scalable virtual teams and services. SE means could stimulate collaborative growth in new markets with new products (Section 5.2.2).

At the thematic level, empiricists considering growth and scale focus on economy, efficiency and effectiveness in meeting market needs. The needs of CTE's members and their congregations are changing, and so new income-generating market opportunities will emerge. Demand for policy-aware knowledge-based guidance and connectivity for church-centric social services is an area in which CTE might enhance sustainability. However, such ambitious aspirations could only be realised where dynamic capabilities included strong decision-making and implementation.

SO-SI-based growth is necessarily strategic, systemic, systematic, innovative and risk-managed – especially where demand exceeds supply in thin markets. Centralised, empowered human resources are required to drive multi-level ('bees and trees') capacity-building for holistic, church-based social mission. It is not clear whether taking a lead in this field would be feasible at CTE, but if it was, any strategy would have to rely on efficient information systems to realise targeted results.

Interpretation of the key findings in terms of SE means to mission effectiveness

CTE is uniquely positioned to drive scalable church-centric social action. In the face of competing demands CTE could prioritise social action to help achieve its mission.

8.3.2.3 Summary, evaluation and Interpretation for CTE

CTE provides an example of developmental potential that does not directly uphold or negate the first main proposition, because it does not purposefully gather performance evidence to demonstrate social impacts and exploit funding opportunities (P1). Although its engagement with social action was largely indirect, it was well placed to promote social action through member churches in conjunction with charities. Improved, targeted PIMM might stimulate market strategies for growth.

While the proposed SE approach to improving social impacts and CSAC scale (P2) was seen by CTE as tangential, it affords business modeling and process-based opportunities for growth. CTE's complex stakeholder environment and internal funding constraints suggest that SE dynamic capabilities could engender risk-

mitigating solutions including alliances and SO-SI-based opportunities for income generation and scale. Suitable tertiary adaptations could be explored and developed.

8.3.3 Redeeming Our Communities

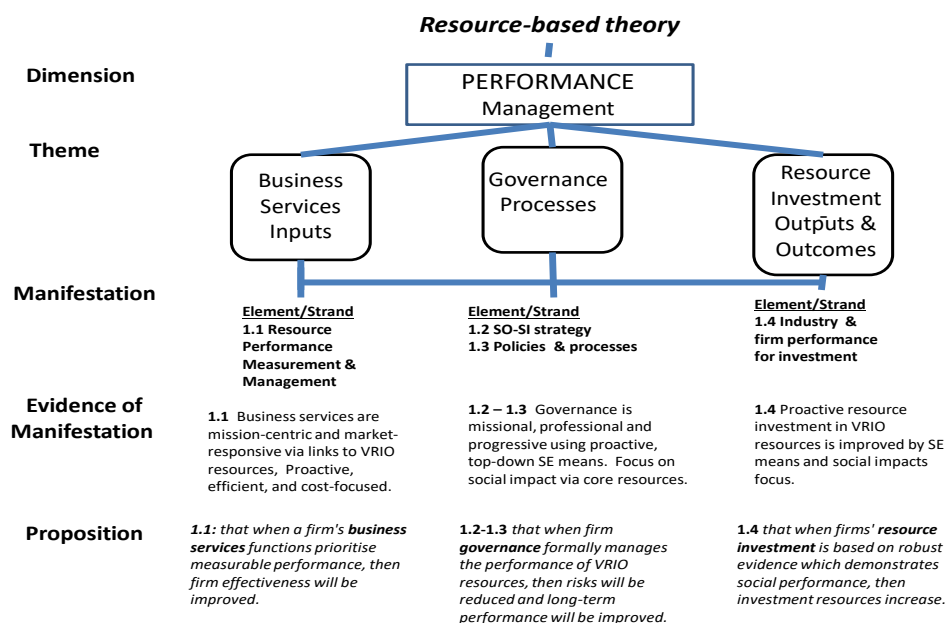
Unsurprisingly ROC is the most entrepreneurial of the charity cases, given its short lifespan, its dependence on a wide range of individual donors and volunteers, and its cross-sector mission. Energetic commitment to a clear vision for transformed communities has sustained rapid growth for several years. The low cost of a franchised, mainly volunteer base coupled with light-touch centralised expert support ensures high levels of local ownership and commitment. Further, strategic connections with local authorities and emergency services ensure accountability in the quest to achieve its mission of reducing crime and increasing community cohesion.

Next, ROC's findings are evaluated and interpreted for SE-related mission effectiveness. First RBT and then DCT theory-based propositions are examined.

8.3.3.1 RBT – evidence for Performance

ROC's pervasive vision and mission drove results despite limited systems and IT.

Evidence supporting RBT propositions in ROC **Figure 8.5**



Business Services

Sub-Proposition 1.1: *That when business services identify, measure and manage firm performance appropriately, then resource-based performance improves.*

Questionnaires: basic systems were proactively managed for quality and PM.

Interviews: low cost local data were being developed for benchmarking. Managed social performance at ROC was driven by mission-to-market business services.

Comments: Impressive social results infer that PIMM improves efficiency and quality to achieve mission. DRT enhances spiritual-social mission through PIMM systems.

Mission-centric and market-responsive links to VRIO resources are important for ROC as it moves through the 'adolescent' rapid growth phase of the lifecycle. Awareness of core resources has enabled it to harness them for organisational growth. This approach was implicitly based on SE means and methods which measured and

managed SO-SI results, albeit using basic quantitative metrics. It could however provide stronger business service support through evolving PIMM (Section 7.3.24).

Evaluation of the key findings in the light of the propositions and prior literature

ROC's efficiency is closely related to PIMM. Although it uses minimal essential systems, the focus on measurable outputs and outcomes (in connection with internally set quality standards) drives the efficient allocation of VRIO resources. Thus, the return on these resources and capabilities is high. These findings strongly support the propositions that PIMM improves firm efficiency and resource-based performance (Section 4.7.1). ROC's human resources (e.g. social capital, trust, relationships) are paramount to its success, even though they are not comprehensively valued and measured.

RBT describes parity in IT services as essential, and computer-based systems at ROC meet this standard. While the firm is developing new performance measures, its focus on mission-centric SO-SI information optimises existing data. IT managerial skills ensure that basic systems produce relevant information for decision-makers. ROC maintains administrative compliance and enhances service value through an effective team culture which ensures that staff competencies fit their roles.

Empirical literature, especially for SEs, emphasises managerial benefits to be gained from suitable performance systems in conjunction with mission and strategy-centric policies and processes. Internally comparable data is available and used to map progress towards strategic objectives. As PIMM is increasingly adopted external comparability will emerge, but must be treated with caution. However, like the other cases, ROC was not monetizing its quantified SO-SI impacts, but basic PIMM was meeting key stakeholder expectations for mission effectiveness (Section 4.4.1).

Interpretation of the key findings in terms of SE means to mission effectiveness

ROC's development and deployment of business services was entrepreneurial, even though it would not qualify as an SE under the 50%+ trading income rule. However, close links between VRIO resource allocation and outcomes (social and financial) suggest that its relatively advanced PIMM (Section 7.4.1) is enhancing mission.

Governance

Sub-Proposition 1.2: *That when mission-based strategy is linked to the performance of VRIO resources, then improved social outcomes and impacts will result.*

Questionnaire: proactive score for PIM as an essential driver of SO-SI results.

Interviews: local SO-SI results are underpinned by light touch central PIM.

Comments: Although not embedded in VRIO, ROC's strategic, professional and dynamic resource management achieved strong mission-centric social results. This infers that mission-based social strategy is enhanced by the managed performance of key resources. DRT links social results with unique resources and capabilities.

Sub-Proposition 1.3: *That when a firm's governance optimises its unique resource position through internal policy and process that takes due regard of key external policy and process, then the firm performs better than if it does not.*

Questionnaire: proactive score on external policy, but reactive top-down internally.

Interviews: policies are key, interpreted using Biblical values.

Comments: As a young multi-franchise enterprise, ROC benefitted from strong centralised governance. ROC's successful exploitation of social market opportunities is linked to managing its resource and capability position to align with fiscal performance-related policy and process. DRT supports such policy alignment.

ROC's spiritual mission guides all aspects of governance. SO-SI performance is clearly prioritised and provides evidence of the charity's fruit/good works. These outcomes are possible only through the deployment of scarce VRIO resources including PIMM systems that allow for local adaptations. As national-local

relationships develop, complexity and professionalism are required in governance to formulate and implement strategy, policies and processes (Section 7.3.24).

Evaluation of the key findings in the light of the propositions and prior literature

VRIO resources are managed efficiently at ROC, through timely reporting within a robust governance process. As proposed this approach appears to reduce risks, and may be a key factor in improving published results. The inferred link between strategy, VRIO performance and SO-SI is corroborated by publicly available reports. Mission and strategy are aligned with resources through clear top-down internal policies and processes that take due regard of the external policy environment to exploit its unique resource position. ROC's sustained growth implies that these governance propositions are upheld (Section 4.7.1).

Theory models emphasise performance aspects of the governance process e.g. strategy, accountability, performance, and control of resources through policies and processes (Section 4.2.2). In all of these ROC benefits from the refreshing clarity of a young, dynamic firm.

Importantly, the literature warns of major risks arising where key employees need to be incentivized to stay with the firm. This may be particularly relevant in small teams at ROC, where strategy to create public benefit is closely aligned to human resources. In addition, a capable management team is being further professionalised to enhance skills, objectivity and independence. Regardless, clear spiritual values link strategy, management, performance and resources to achieve mission. At ROC, trust and relational capabilities far outweigh more structural aspects of governance.

Interpretation of the key findings in terms of SE means to mission effectiveness

Governance at ROC is based on Biblical values, and prioritises performance-related improvements in SO-SI. Close links between mission, strategy, resources, policies and processes facilitate agility and coherence (Section 7.4.1) in the face of dissipatory pressures. The managerial approach is typical of a maturing startup, insofar as it is entrepreneurial, proactive, innovative, and risk-taking (e.g. terminating

activities that are comparatively unsuccessful). These SE means to performance and SCA are central to ongoing SE development through lifecycle maturity and beyond. However, ROC can avoid settling into a 'rut' as it matures by continuing to deploy typical SE means and methods (e.g. collaboration, innovation) to enhance mission.

Resource Investment

Sub-Proposition 1.4: *That when the relevant firm and industry performance results are available for resource investment decisions, then funding will be forthcoming.*

Questionnaire: risk and investment management were proactive and successful.

Interviews: social results and networks enabled investment readiness and funding.

Comments: ROC recognised that social funders prioritise demonstrable social results when making investment decisions. Thus strong results are inferentially linked to the increase in funding. DRT prioritises results and professionalism to attract investment.

Startups often struggle to secure funding. ROC has followed a near-textbook route by taking a proactive but risk-aware approach to SO-SI performance-linked funding, with encouraging results. To achieve these results it has built a strong brand, persuasive communications and strategy-alignment, but nonetheless resource analysis and valuation could improve bids for investment (Section 7.3.24).

Evaluation of the key findings in the light of the propositions and prior literature

At ROC, investment in key resources (mainly human) is enhancing market position and SCA. Robust evidence of social performance has attracted investment (Section 4.2.2). Within the limits of the data available from the research, resource investment propositions are upheld, albeit without full contextual conditionality. Within a virtuous cycle, it is inferred that performance results have attracted funding which has improved ROC's resource base.

Theory allows for different types of investment, for example: financial, social and environmental. However, it insists that all investments ultimately have a money value, and that they are the responsibility of the officers charged with obtaining profits/returns from these investments - a challenge for ROC which invests mainly in complex qualitative/well-being goals that currently resist affordable monetization. Nonetheless, qualitative social returns have attracted investment (Section 4.2.2).

RBT posits four types of imperfectly quantifiable organisational capital which can be harnessed to create sustainable value. In ROC's case, maintaining an appropriate balance in the deployment of human, organisational, financial and physical capital is essential for survival and growth. The empirical literature also emphasises the fiduciary duties of charity officers to invest profitably, taking into account performance and risk, a position confirmed at ROC where investment-readiness is linked to results.

The crime-reduction and community-transformation 'industry' is of vital national economic importance. However, links at ROC between certain inputs and desired outcomes are not entirely clear, especially when those inputs are spiritually-based and motivated. Nonetheless, ROC has attracted funding on the basis of the results/fruit/social outcomes, even where these linkages are not monetized. Regardless, social investment is increasingly results-based using risk-opportunity SE-type financial projections to assess investment-readiness (Section 7.4.1).

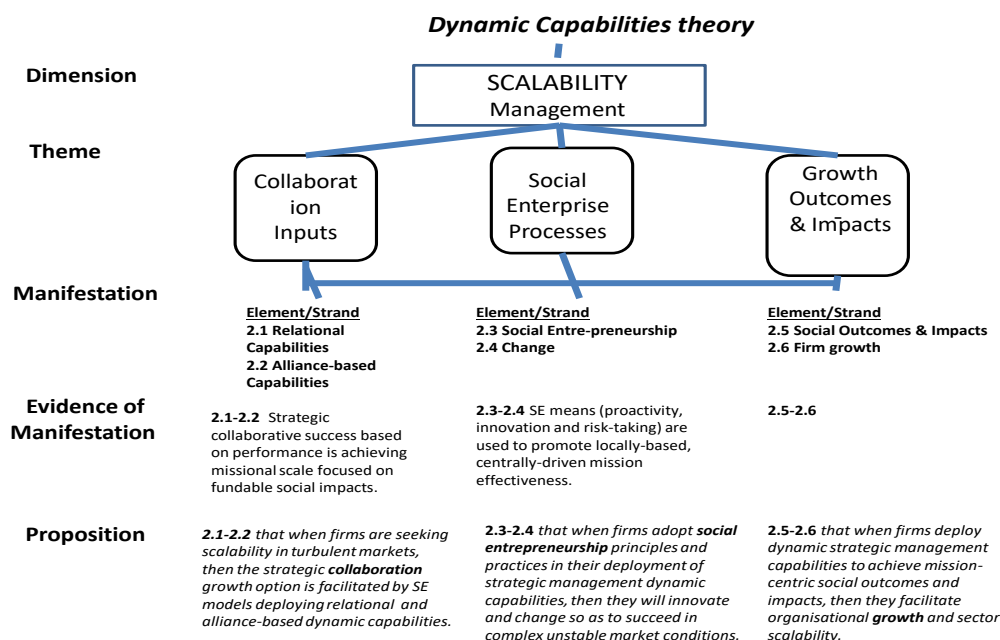
Interpretation of the key findings in terms of SE means to mission effectiveness

ROC is a small-medium sized charity continues to grow rapidly. This growth includes new complementary products as well as greater numbers of staff and more income. Furthermore, it is attracting sufficient social funding at this entrepreneurial stage of its mission-aligned lifecycle.

8.3.3.2 DCT – evidence for Scalability

DCT constructs (Figure 1.3) spawned propositions which were most strongly evidenced in entrepreneurial ROC. Robust growth was inferentially linked to collaborative inputs and SE means while maintaining a spiritual charity ethos.

Evidence supporting DCT propositions in ROC Figure 8.6



Collaboration

Sub-Proposition 2.1: *That when relational capabilities are proactively and strategically developed and deployed, then relationship-based competitive advantage is achieved.*

Questionnaire: strong intra-sector proactivity differed from cross-sector reactivity.

Interviews: strategic beneficial relationships were developed with key players.

Comments: ROC's multi-agency environment engendered missionally-aligned relationships which enabled ROC to establish a strong competitive position with local authorities. This outcome infers that relational capabilities are vital for sustainability and scale in intermediary charities. Relationality is also pivotal in DCT, SE and DRT.

Sub-Proposition 2.2: *That when firms have the capability to collaborate through alliances, then they seize optimal market opportunities.*

Questionnaire: alliance-based capabilities responded well to cross-sector conditions.

Interviews: mission-centric prioritisation of beneficiaries defined partnership choices.

Comments: ROC successfully prioritised fundable social results that involved high levels of collaboration while maintaining Biblical values and mission focus. Thus collaboration can be inferred to enhance missional ability to seize social and financial opportunities. DRT empowers missional alliances to acquire strategic resources.

All ROC's collaborative scores and underlying attitudes were remarkably proactive. Proactivity here was strategically embedded, allowing for relational interdependency in mutually beneficial alliances. However, ROC's exemplary social results could be further enhanced by more systematic management of complex relationships (Section 7.3.24).

Evaluation of the key findings in the light of the propositions and prior literature

In support of the macro-proposition for collaboration (Section 4.7.2), it can be inferred that ROC's growth in turbulent markets is due, at least in part, to strategic collaboration facilitated by SE models which deploy relational and alliance-based capabilities. The subsequent sub-propositions are not so clearly upheld, although it could be inferred that ROC enjoys a competitive advantage over potential market rivals by exercising relational and alliance-based capabilities and seizing opportunities.

At the thematic level DCT promotes joint-working to meet market demand, a major strength at ROC. ROC's success is heavily dependent on the benefits of high quality bridging and bonding between individuals and organisations, particularly government agencies. In addition, its loose franchise structure allows for customized, relationship-specific assets and complementary capabilities to evolve in order to meet local needs. Symbiotic partnerships enable diverse parties to achieve shared

strategic goals across the country, rooted in relevant information. Unsurprisingly, ROC has refined an approach to collaborative relationships which protects its independence while stimulating mutually beneficial exchanges.

As expected, empirical and theoretical strands converge (Section 7.4.1) in recognising the importance of flat structures which allow staff sufficient emotional freedom to create and test value-enhancing strategies. While this applies mainly to senior executives at ROC, interdependent teamwork provides fertile ground for new ideas. The blurred cross-sector social market promotes entrepreneurialism at ROC which encourages it to obtain, develop and deploy strategic capabilities in order to exploit alliance-based opportunities.

Interpretation of the key findings in terms of SE means to mission effectiveness

ROC has developed externally-facing relational and alliance-based dynamic capabilities to achieve growth and scalability (Section 7.4.2). These capabilities are commonplace in SE's, where they are similarly embedded within long-term strategy. ROC intuitively grasped that they could be strategically optimised to win social contracts and enhance mission effectiveness.

Social Entrepreneurship

Sub-Proposition 2.3: *That when charities wish to generate income, then social entrepreneurship capability for the creation of new products, processes, structures and business models provides a means of scalability.*

Questionnaire: innovative SE means and methods were strongly proactive.

Interviews: entrepreneurialism was embraced as both spiritual and constructive.

Comments: As ROC moved from startup into maturity, entrepreneurial characteristics of the early pioneering culture persisted, e.g. through experimental projects to develop new social services and products to generate income. ROC's mission-

centric growth infers that 'trading' demands innovation and can improve sustainability and scale. DRT promotes SE means for self-sustaining growth and operational scale.

Sub-Proposition 2.4: *That when charities possess the dynamic capabilities to exploit current positions, processes and paths, then they are ready to accommodate the change required to become SEs.*

Questionnaires: change capability was scored as moderately proactive.

Interviews: prayer, consultation and empowerment facilitated non-disruptive change.

Comments: ROC's networked intermediary position, its strategically agile processes and its clear articulation of future paths reflected its perception of the market as a God-given opportunity for ethical entrepreneurialism. ROC's dynamic entrepreneurial growth (within an internally coherent but flexible structure) has demanded continuous change, inferring a link between entrepreneurialism and change to scale up operations. This evidence lends weight to SE means embedded in the DRT model.

Entrepreneurial scores were highest at ROC, reflecting the firm's dynamic capabilities which deploy SE means and methods to achieve its mission. ROC is sufficiently change-ready to adapt in response to turbulent market conditions without affecting its market position or SCA, although it had not yet optimised risk-opportunity methods (Section 7.3.24). Dynamic capabilities are required to manage the risks and rewards of market opportunities. Mission effectiveness was clearly linked to change at ROC.

Evaluation of the key findings in the light of the propositions and prior literature

The SE macro-proposition holds that where dynamic capabilities underpin SE practices, the firm will innovate and change to achieve SCA in turbulent markets (Section 4.7.2). In general terms, this proposition is upheld at ROC. However, SE means *per se* are only implicitly linked to income generation through innovations to achieve scalability. ROC's data findings infer that because it possesses the dynamic capabilities to exploit its current position, processes and path, it is confident in its

readiness to accommodate change. Thus, market-responsive change could lead to explicit SE trading, thus enhancing SCA in future path(s).

DCT promotes entrepreneurial approaches to growth in turbulent markets, a view increasingly adopted by a growing number of charities. In this regard, ROC enjoys first-mover advantage, and its flat and flexible structure facilitates entrepreneurship and change, while its performance-based business model could adapt to undertake more income-generating activities (Section 5.4.1). Importantly, while recognising the risks of entrepreneurialism, authors provide advice on how to exploit new approaches and mitigate potential risks in unstable/complex markets.

The empirical evidence also prioritises absorptive capacity to promote learning and knowledge for growth. ROC operates in fragmented, turbulent markets which demand teamwork and common purpose from dynamically capable leaders in order to overcome inevitable barriers. ROC possesses these qualities, enabling it to pursue its mission effectively thus far.

Interpretation of the key findings in terms of SE means to mission effectiveness

The key data findings here at least partially confirm the literary research propositions. Entrepreneurship implies continual change in developmental firms like ROC that could become SEs in due course. SE practices at ROC have supported mission (Section 8.4.1).

Growth

Sub-Proposition 2.5: *That when firms' missions require them to achieve social outcomes and impacts, then dynamic management capabilities must be exercised to achieve growth in changing markets.*

Questionnaire: rapid exclusive decision making is based on performance results.

Interviews: dynamic management for SO-SI demands effective decision making.

Comments: Organic, VRIO-based growth (e.g. low cost, volunteer-dependent) was built decisively on precisely defined vision, mission and SO-SI targets to meet community needs. The fact that ROC achieved growth in changing markets appears to link directly with developed and deployed dynamic capabilities. DRT also prioritises SO-SI as a primary driver for effective growth and operational scale.

Sub-Proposition 2.6: *That when manageable, non-random and size-independent organisational growth is to be achieved, then relevant strategic management capabilities are required for specific firm and industry settings.*

Questionnaire: flexible, controllable growth was proactively pursued.

Interviews: organic, manageable growth prioritises strong long-term social results.

Comments: While strategic management capabilities at ROC reflected SE in many ways, it remained dependent on charitable funding for growth (earned income was well below 50%). The mission was perceived as evolving, and therefore could adapt to manageable opportunities for growth and scalability. Thus it could be inferred that in volatile low-margin social markets mission effectiveness is linked to dynamic entrepreneurial management. DRT aids adaptive supported learning for growth.

ROC's data revealed both internally understood and externally verified SO-SI, and growth capabilities. A small entrepreneurial team at its Manchester headquarters is supported by a proactive board, and together they are able to make and execute well-informed decisions quickly. Performance-based resource allocation is required for mission effectiveness. Thus dynamic capabilities are successfully deployed for mission-centric growth (Section 4.7.2).

Evaluation of the key findings in the light of the propositions and prior literature

The macro-proposition for growth holds that where dynamic capabilities are deployed to achieve missional SO-SI results then firms grow and operations are scaled across the sector. Clearly ROC has grown in size and operational volume, thus increasing overall CSAC scale. However, although ROC's size-independent growth in changing

markets is partly dependent on dynamic capabilities, their contribution is unclear. Notwithstanding, ROC's entrepreneurial approach and focus on SO-SI are greater than the other cases, which infers that these factors contribute to comparatively greater growth and scale in these markets. Similarly, the proposed importance of specific firm and industry settings is tentatively upheld, insofar as the 'crime reduction industry' is an attractive recipient of government funding, especially where reputable local charities work with local authorities to provide high impact services (Section 4.7.2). Thus the proposition holds that growth is an expected outcome of exercising strategic dynamic capabilities.

Value-creating performance-based SO-SI strategies at ROC are designed and implemented to meet funders' demands and to address service-users' needs. In accordance with DCT principles, ROC has persistently grown in terms of internal capacity and operational scalability, most notably through alliances and new products. Similarly, the empirical literature supports the theoretical view that market-oriented dynamic capabilities promote evolutionary fitness and enhance overall economy, efficiency and effectiveness. Therefore dynamic capabilities drive growth and scale (Section 5.4.1).

PIMM in support of SO-SI is a mission-centric and therefore firm-specific activity, despite pressures for metrics to be standardised and regulated. Market leaders like ROC are in a position to influence this debate to ensure that metrics remain flexible and practicable (e.g. relevant and not overly complex). As ROC expands, external perceptions of its operations are critical to funding prospects. Entrepreneurial expansion utilises strategic tools like the SCALERS model.

According to DCT, growth for scalability in turbulent markets depends on specific dynamic capabilities, which can be acquired through taught and experiential learning. Unsurprisingly, ROC's social mission orientation and financial sustainability indicate continuing high growth performance (Section 7.4.1). Demand is always likely to outstrip supply, but ROC can mitigate supply risks by consolidating its position through its multi-level 'bees and trees' model to establish SCA.

Interpretation of the key findings in terms of SE means to mission effectiveness

ROC's success undeniably owes much to SE/businesslike means of achieving mission.

8.3.3.3 Summary, evaluation and Interpretation for ROC

ROC deploys resource-based PIMM to elicit relevant and robust SO-SI performance evidence and exploit funding opportunities, thus upholding the first main proposition (P1). This strategy has contributed to growth and scalability.

Typical SE means here underpin DCT strategic management to improve SO-SI results. Further, rapid growth and operational scale (increasingly assisted by professional managers) infer that dynamic strategic capabilities are driving SCA from an evolutionary resource base at ROC (P2).

As the case most closely identified with SE means, ROC provided the greatest insights into SE applications in CSACs, although evidence was insufficient to fully ascertain conditionality.

The following sections consolidate and summarise this section for theory building.

8.3.4 Consolidated and summarised Data Findings

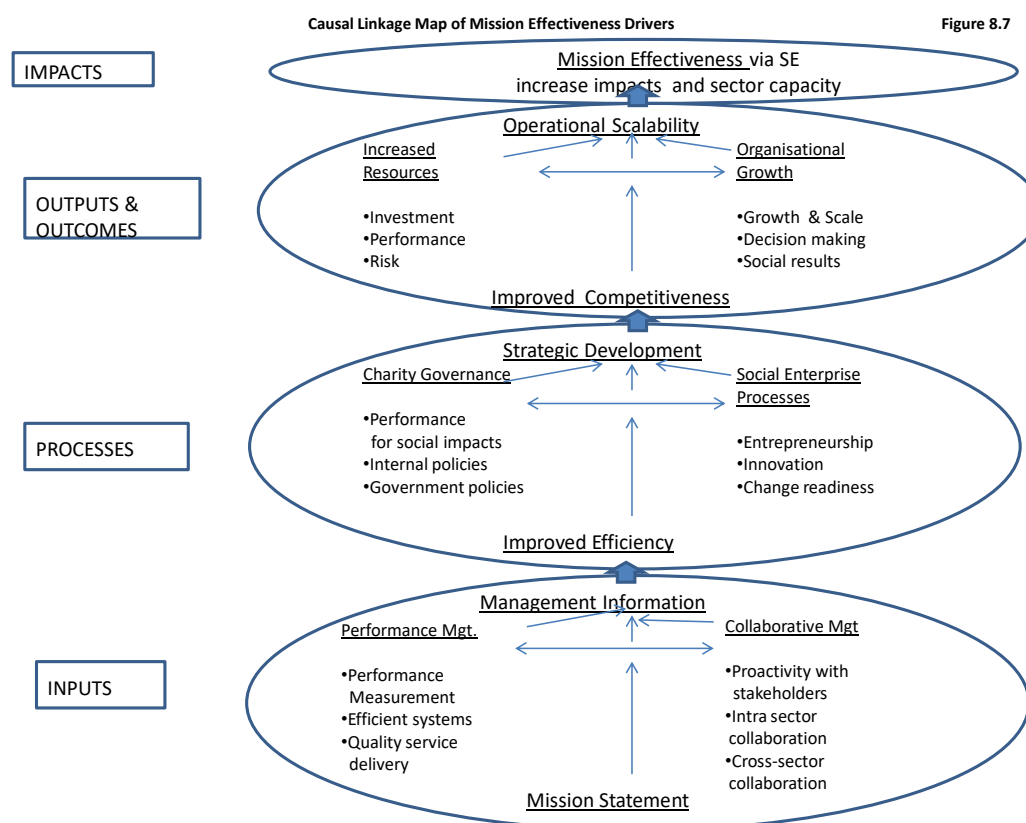
In this section the foregoing case by case review of the data in the light of theoretically-centred propositions is consolidated and summarised. This provides a degree of generalisability, which could conceivably be replicated in similar case studies. First the propositional evidence is consolidated within the original logic chain, from inputs to impacts. Then the findings are summarised and interpreted.

8.3.4.1 Consolidated propositional evidence

The overarching argument holds that CSACs could indeed play a more effective role in providing social services in England, if they adapted relevant SE means

Mission Effectiveness and Social Entrepreneurship: Theoretical insights and case-study evidence from three Christian charities in England

appropriately to enhance their mission effectiveness (Section 2.3.3). To support this argument, theory-based themes were set out in the Conceptual Framework (Figure 1.3) on the systems basis of Inputs > Processes > Outcomes and Impacts. In Figure 8.7, these progressive stages are again employed to map inferred causal linkages from RBT and DCT via management inputs to mission effective impacts and scale.



Here RBT and DCT theoretical dimensions of performance and scalability have been explored through themes and strands in qualitative data findings from literature and fieldwork. Bearing in mind that the nature of the particular CSAC (proactive/reactive, primary/tertiary, flat/vertical, young/old) affects its predisposition and suitability to SE means, thematic findings are now consolidated:

Business Services

Proposition: That when a firm's business services functions prioritise measurable performance, then firm effectiveness will be improved.

Findings: Low cost, internally designed PIM systems' potential was suboptimal for strategic value creation and for achieving mission as effectively as possible.

Comments: This proposition was strongly upheld by general and case-based data.

Governance

Proposition: That when firm governance formally manages the performance of VRIO resources, then risks will be reduced and long-term performance will be improved.

Findings: Rigorous governance was practiced successfully in all cases. However, VRIO resources were not widely understood, identified or valued for mission-centric strategy. Similarly, VRIO resource links to SO-SI were not clearly identified or verifiably measured for development. Further, CSACs often demonstrated low SE/democratic policy-process engagement with knowledgeable staff (excluding internal government policy specialists).

Comments: Governance links to VRIO resources were implicitly inferred. Further, top-down governance militates against democratic SE-type innovation and risk-taking for scalability. Thus, the proposition was only partially upheld in the absence of more in-depth research.

Resource Investment

Proposition: That when firms' resource investment is based on robust evidence which demonstrates social performance, then investment resources increase.

Findings: Overall, CSAC links were sub-optimal between risk, PIMM, SO-SI, strategy, funding, SE trading income and investment-readiness, and lacked connectivity and integration for strategic investment planning.

Comments: SO-SI performance data is important, but SE trading potential is shaped by historical income and funding, firm position, management culture and risk appetite.

Internal investment proclivities combined with weak PIMM yielded lower ongoing investment growth than where these conditions were reversed. This result suggests that the proposition is upheld.

Collaboration

Proposition: That when firms are seeking scalability in turbulent markets, then the strategic collaboration growth option is facilitated by SE models deploying relational and alliance-based dynamic capabilities.

Findings: Collaborative success depends on management interests, attitudes and capabilities. In CSACs, relational and alliance-based capabilities were not widely prioritised or strategically managed. Most relationality was informal and collaborative capabilities were underdeveloped.

Comments: SE collaborative approaches were successfully deployed where collaboration was strategically prioritised. SE-type scalability was achieved in one case, while its absence may be linked to reducing turnover in the others. This infers that collaboration does promote scalability, at least within these cases. Therefore this proposition is tentatively upheld.

Social Enterprise

Proposition: That when firms adopt social entrepreneurship principles and practices in their deployment of strategic management dynamic capabilities, then they will innovate and change so as to succeed in complex unstable market conditions.

Findings: SE means and methods were poorly understood overall, in particular their potential to improve surpluses and SCA in volatile markets. Change-readiness varied considerably and appeared to increase with dependence on external funding. Entrepreneurialism was most effective in the young, flat and flexible business model. Similarly, low-risk/low-cost innovative products and services were frequently initiated and terminated in the most SE/business-like charity (ROC).

Comments: SE is no panacea, but where suitable SE means and methods are practiced, adaptability and change appear to facilitate success in volatile markets. The evidence was sufficient to tentatively uphold this proposition.

Growth

Proposition: That when firms deploy dynamic strategic management capabilities to achieve mission-centric social outcomes and impacts, then they facilitate organisational growth and sector scalability.

Findings: CSACs demonstrated some lack of SO-SI focus, strategic agility and professionalism to design, implement and develop firm growth for scale. In some cases, structural, cultural and positional challenges to SE means and methods probably hinder growth in volatile markets. Also, links between strategic decision-making and SO-SI were often indirect and unclear. However, spiritual mission was universally sacrosanct, irrespective of growth and scale.

Comments: As described in DCT, dynamic capabilities are essential to achieve mission-centric SO-SI in the current volatile markets. Here, SE means can be credited with guiding successful risk-managed firm growth and scale. Thus, the proposition is upheld, albeit tentatively and subject to more specific data.

To sum up the key findings: they uphold the propositions, at least partially in every case. Although space limits constrain further consideration of the evidence, the overall case for resource and capability based new theory is supported. Following the literary reviews of the strengths and weaknesses of RBT and DCT (Sections 4.6.2 and 5.6.2) an outline analysis of how these theories do and do not support the research propositions, is provided in Appendix 27. This analysis is extended to show how the proposed hybrid DRT theory does meet the requirements for mission effectiveness. Progress is being made by leadership to develop most researched areas as shown in Appendix 22, and summarised thematically for theory building in Appendix 28, where the case findings are outlined in terms of the differences between

market, SE and CSAC results, juxtaposed against CSAC management orientation. These results infer that more outward-focused CSACs were more likely to grow in response to market needs. Unsurprisingly market trends reflected both SE and CSAC approaches, but were more inclined to proactive/SE rather than reactive traditional charity management. Importantly, these findings reveal unexplored potential within SE approaches for CSACs to improve mission-centric performance and scale. Next interpretations of the case findings are summarised.

8.3.4.2 Summarised Interpretations

Interpretations and Propositions

The overarching propositional driver posits that CSACs could play a more effective role in providing missional social services if they deployed (at least some) SE means and methods (Section 2.3.3). SE means prioritise proactivity, innovation and risk-taking within a strategic entrepreneurial approach to firm development. Importantly for charities in turbulent markets, SE means and methods can facilitate survival and growth through hybridised trading approaches to solving social problems.

Interpretations and Theoretical Literature

The theoretical literature for RBT emphasises efficiency via performance-based use of resources, which assists firms to survive and prosper through technical fitness notably in simple/stable markets. In the absence of technical parity with competitors it is unlikely that CSACs can compete except on the basis of spiritually motivated caring. Such motivation in and of itself may not be sufficiently economic, efficient and effective to attract adequate rents and achieve SCA. *None of the cases contradicted the propositions, but ROC in particular provided inferred performance-based causal linkages to uphold them.*

The DCT theory proposes dynamic capabilities to drive organisational resource-base development in firms seeking growth and scalability in complex/unstable markets. *Social markets in developed economies increasingly demand first order dynamic capabilities driven by entrepreneurial strategic management.* For example, ROC practiced a form of SE that upheld the DCT-based propositions, while the other cases

offered insights from different management practices which suggested scalability solutions, while not negating the propositions.

Interpretations and Empirical Literature

The empirical literature which related most closely to the RBT themes and strands emphasised the importance of management information for resource optimisation. *In particular the performance of a range of core resources was seen as essential for SCA.* Case data links between value-creating strategy and relevant, identified resources were weak, except where the firm's focus was narrow and sharp.

The research evidence for dynamic capabilities as drivers for SCA in turbulent markets is substantial. It speaks of growth and scale to meet social needs through entrepreneurial means, with particular emphasis on knowledge-based collaboration and risk-aware innovations to solve market failures in social services. The selected theory strands demand high levels of proactivity at all levels within relational, trust-oriented firms. Accordingly, stakeholder contributions, particularly from staff and strategically-aligned key players (including partners), are essential for success in fragmented markets. All the cases demonstrated an understanding of these drivers for scalability.

Interpretations and the Cases

During the primary data collection period TSA may have been too introspective and structurally rigid to adopt the DCT strategic management approaches which could be developed through SE means. Significantly, TSAEP formally recognised SE, and was the case most directly engaged with needy beneficiaries in this research. As a tertiary knowledge provider CTE was the most dependent on its members, who exercised strong bargaining power, but ROC was the most interdependent case with the lowest risk exposure to any single interest group. *None were optimising performance opportunities or linking PIMM optimally to mission effectiveness.*

In summing up the key findings from the cases, and the theoretical and the empirical literatures, *it is fair to say that SE/business-like approaches to turbulent markets have useful means and methods to offer to all the cases. However, organisational*

readiness to deploy them varied significantly. All faced numerous internal obstacles to performance and scale and all lacked some capacity – notably independent and accountable professional expertise to aid development.

8.4 OBJECTIVE 3 – a theory of Mission Effectiveness deploying SE means

To build explanatory theory from qualitative data it is necessary to assess the extent to which characteristics occur together in meaningful patterns. In this thesis new theory is described as:

‘A theory of interrelated constructs (concepts), definitions, and propositions that present a systematic view of phenomena by specifying relations among variables, with the purpose of explaining and predicting phenomena’ (Fawcett and Downs 1992:2)

Here, an SE-oriented theory must take into account complexity and instability in highly regulated competitive markets. Clusters of characteristics reveal a linear responsive relationship between changing social markets and a new ‘Dynamic Resource Theory’ (DRT) for mission effectiveness, in Figure 8.8.



In the case of CSACs, new theory must also comply with both the highest moral and ethical standards enshrined in Biblical values, and the centrality of their unique spiritual missions. New theory is built from RBT and DCT (Appendix 1), empirical literature (Chapters 4, 5) and case-based arguments (Appendix 29). Although it cannot offer a 'one size fits all' solution to specific performance and scalability challenges to achieve mission effectiveness, new theory can offer a set of principles for practical adaptation. In the following sub-sections, first relevant arguments are formulated and new theory is framed before applying it in a strategic working model.

8.4.1 An SE Case for CSACs – RBT & DCT based arguments

Thus the foregoing interpretations of case findings confirm the need for a new hybrid theory of RBT and DCT, deploying SE means and methods, which could improve mission effectiveness in CSACs, because:

RBT and DCT: provide recognised asset-based means to achieve SCA.

RBT and SE: drive systemic governance-led performance and income.

DCT and SE: collaborate and innovate for impacts that promote scale.

In this section salient RBT and DCT based reasons which contribute to the overall argument that mission effectiveness could be improved where relevant SE means are adapted and adopted in CSACs based on **Fawcett and Downs (1992)** work on the relationship between theory and research. The following arguments draw on the theory strands, objectives, propositions and case data findings (see Appendix 29).

Business Services

Basic technical fitness parity in non-competitive simple/stable markets is insufficient to maintain SCA in turbulent markets. Simultaneously, firm-specific PIMM is increasingly required to achieve quality service delivery by deploying efficient systems. Relevant performance information was deemed critical in all cases.

Governance

Good governance for SCA in turbulent markets demands knowledge-based optimisation of VRIN/VRIO resources and capabilities, which in turn favour dynamic SE means and methods. Strategic value-creation depends on the deployment of VRIN resources (especially key stakeholders) within a VRIO framework. *Professional skills are required* to design, implement and cyclically revise appropriate firm policies and processes which optimise opportunities in complex multi-stakeholder markets. Legally and ethically compliant governance in CSACs is commonplace, but the *changing operating environment elicited universal interest in dynamic responses.*

Resource Investment

Internal investment can induce myopic self-sufficiency, but CSACs whose risk-managed performance results meet higher external funding criteria are more investment-ready. Overall the cases revealed a lack of confidence in understanding, developing and deploying strategic means to optimise resources and capabilities.

Collaboration

Collaboration is ‘the only game in town’ which can scale up sufficiently to stand in the widening public services gap, but collaboration favours SE dynamic capabilities. Proactive relational capabilities are theoretically central to multi-stakeholder mission effectiveness. Moreover, CSACs’ traditionally relational and alliance-based capabilities are strategic assets, even where they are underutilised. *Complex, multi-stakeholder markets reward well run collaborative alliances in which* strategically reconfigured and orchestrated assets can add value and promote growth where the appetite and dynamic skills exist to engage in mutually beneficial collaboration.

Social Enterprise

As donor income shrinks and results-based contracts grow, SE capabilities are deployed which increasingly demand change in order to generate trading income. Where entrepreneurialism is acceptable to charities it may necessitate challenging counter-cultural change to innovate and engage in competitive trading. *Changing markets demand professional skills to optimise relevant technologies and business models in order to sense, seize and shape complex market opportunities for strategic*

scalability. Resource pool optimisation affords useful stewardship value to reduce the tension arises between trading and philanthropic priorities e.g. SROI.

Growth

The capabilities required for mission-centric growth are predicated mainly on the paths, processes and positions of CSACs, but existing deficits can be remedied by strategic action. Funders and service users require hard evidence of SO-SI results that are driven by effective strategic decision making. Ongoing support cannot be assumed on the basis of past results. With a common vision and professional guidance, the CSAC sub-sector can promote SCA, manageable growth and scalability based on relevant, attractive and competitive SO-SI results. All cases valued growth as an indicator of success, while also accepting the costs of change.

Therefore, the next sections unfold the contribution of this research to new theory.

8.4.2 An SE Theory for CSACs – A Tentative Theory of SE

The foregoing propositionally aligned arguments combine to provide a platform for theory building. Extrapolating from the original theory-based themes and strands, new theory strands are posited. These address mission effectiveness in CSACs, drawing on SE means and methods where appropriate, to fulfill Objective 3: *‘To develop and present, from appropriate empirical case-study evidence, a hybrid theory of mission effectiveness for application within CSACs’*. Links between argumentation and new theory are shown in detail in Appendix 30.

Some of these new theory strands are partly drawn from a comparison of CSAC findings with SE expectations, viewed from a management orientation perspective (Appendix 28). Perhaps the most obvious SE-based changes are those involving a wider range of stakeholders. From an internal management perspective, these include staff and professionals (in-house or outsourced). Looking externally, managers and key internal stakeholders are encouraged to work closely with stakeholders from other organizations. The following assertions are central in DRT:

Business Services

That when key resources and capabilities and their results are strategically aligned and systematically measured and managed, auditable performance improves.

Governance

Good governance in CSACs includes PIMM to optimise the use of VRIO resources.

That when SO-SI are prioritised in strategy and linked to resources and capabilities via PIM, performance improves.

That when internal policy/process is aligned with critical external policy/process, firm performance improves.

Resource Investment

That when robust SO-SI results are linked to optimal resource use, then fundability and investability improve.

Collaboration

Collaboration requires strategic dynamic capabilities which when deployed, can add value, capacity, growth and scale to charities.

That when firm-based relational capabilities are developed and deployed, then alliance-based scalability potential improves.

That when strategic alliance-based capabilities are developed and deployed, then market opportunities and scalability improve.

Social Enterprise

SE means and methods are adaptable to develop innovative income streams and enhance SCA.

That when appropriate SE approaches are utilised, then firms are empowered to innovate, and scalability improves.

That when firms acquire the necessary strategic dynamic capabilities to exploit current positions and embed market-responsive continuous change, then scalability improves.

Mission Effectiveness and Social Entrepreneurship:
Theoretical insights and case-study evidence from three Christian charities
in England

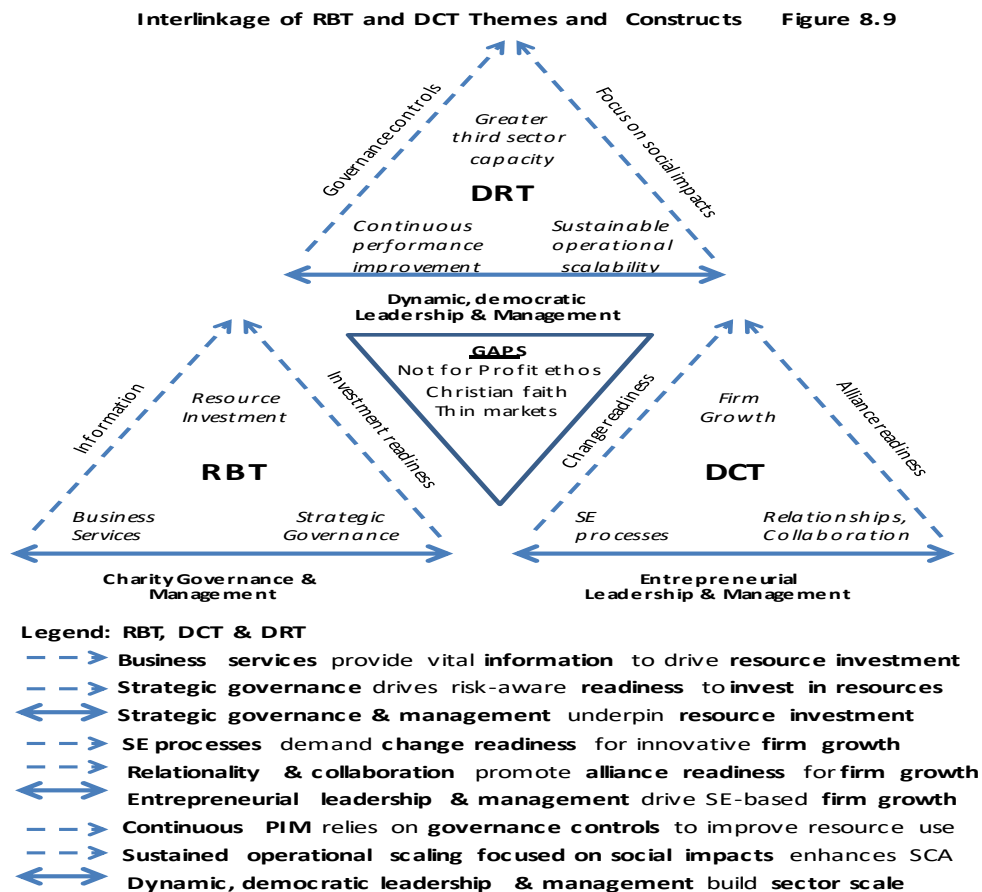
Growth

CSAC paths, processes and positions affect strategic options and choices for mission-centric growth.

That when CSACs deploy well-informed and dynamic strategic SE capabilities decisively to demonstrably and verifiably increase SO-SI, then scalability improves.

That when CSACs exercise those mission-centric SE capabilities which drive SCA in turbulent competitive markets, then they can grow individually and increase sub-sector scalability.

For clarity this tentative theory is dubbed Dynamic Resource Theory or DRT. DRT incorporates RBT, DCT and SE (see 4.5.3 and 5.5.3) for mission effectiveness. Interlinkages between RBT and DCT for theory building are shown in Figure 8.9:



Mission Effectiveness and Social Entrepreneurship:
Theoretical insights and case-study evidence from three Christian charities
in England

DRT examines performance and scalability to identify means to mission effectiveness through themes and strands drawn from RBT (technical fitness) and DCT (evolutionary fitness), and reflect SE findings shown as directional priorities in Appendix 31. The central idea is that CSACs can achieve SCA and mission via dynamic strategic resource and capability management. *DRT priorities for mission effectiveness are set out in Appendix 32, showing how RBT, DCT and SE-based developments are assessed as urgent and important for action to improve technical and evolutionary fitness in pursuit of mission effectiveness.* DRT theory generation, beginning with the original Conceptual Framework, is shown in Figure 8.10:

Dynamic Resource Theory (DRT) generation from the Conceptual Framework Figure 8.10

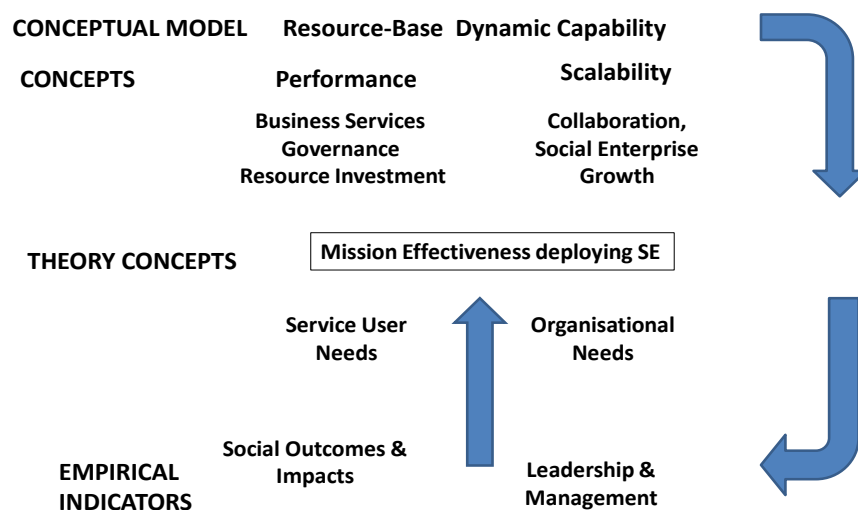


Diagram constructed from Fawcett and Downs 199: 111, citing Blank, Clark, Longwood and Atwood 1989

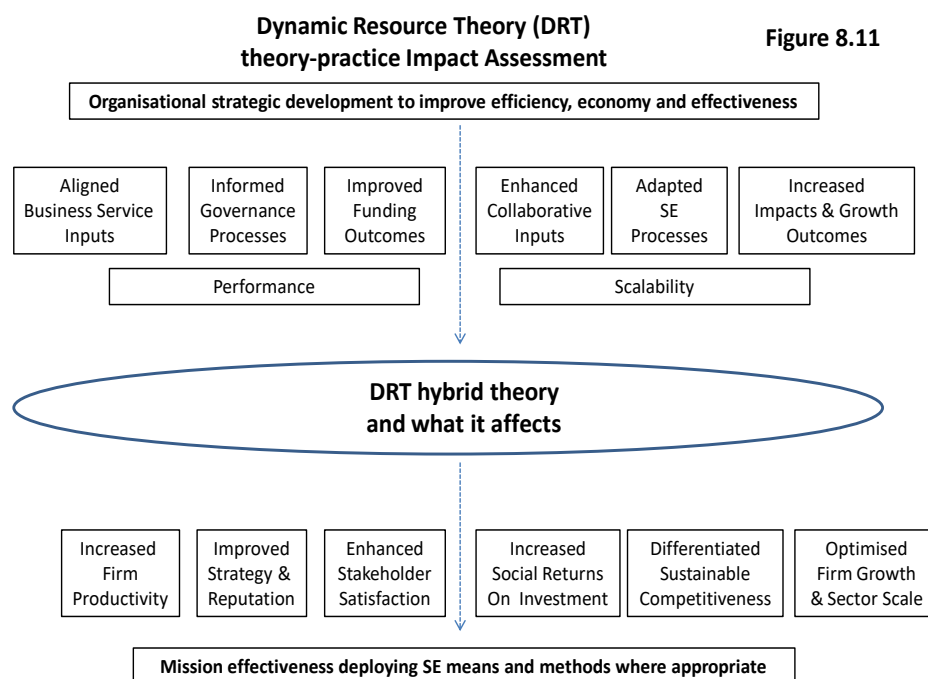
This journey of theory generation from ten RBT and DCT conceptual constructs (Figure 1.3) revealed relevant causal linkages (Figure 8.7), and combined with SE for market-responsiveness (Figure 8.8) before finally modelling DRT (Figure 8.9)

Having outlined emergent SE/business-like strands of new theory for CSAC mission effectiveness, the next section provides an explanatory working model.

8.4.3 An SE Model for CSACs – A Working Model

In the previous section, strands of a new theory for SE-related mission effectiveness in CSACs were proposed. But what might this look like in practice? Who would be responsible for its success? Where does this theory fit into charity strategy for performance and scalability? The purpose of this section is to contextualise the constructs in this new hybrid theory. Appendix 27 shows the logical progression in theory development.

Further support for arguments supporting DRT is provided by its potential theory-impact, illustrated in Figure 8.11 before considering a working model in practice.



Impact Diagram adapted from Remenyi and Bannister 2012: 83

To frame these aspirations, a strategic development model is adapted. It comprises a mixture of elements from a number of descriptive (not prescriptive) strategy schools, entrepreneurial-visionary, learning-emergent, cultural-collective, and configuration-transformative (**Mintzberg et al 1998:5,123,175,263, 301, 353-359, 369**). RBT and DCT are most closely aligned with cultural and configuration strategies, while

SE/entrepreneurship is closest to configuration and learning (p369). Its main advantages include familiar conceptual terms, universal disciplines, and common analytical tools, while its weaknesses include implied managerial rationality, linear relationships and hierarchical control. Each element of strategic development is discussed from the top down, and most will be familiar. This 'best practice' developmental model introduces elements of DRT. Discussions begin with reasons contributing to the main argument, reasons that are supported by key findings. Social metrics may be reviewed via social audit to help CSACs maintain their mission focus under pressures exerted by trading/SE activities (**Valentine 2014:31**). Finally recommendations for action are offered. In practice new models must be implemented and tested.

1. Vision & Mission

For CSACs their spiritual visions provide the motivation explaining why the charity does what it does. While vision as such cannot be achieved, mission can be over the long-term. *Mission* encapsulates the vision by describing the purpose of the charity so as to identify, differentiate and guide its activities for all concerned, but it should never compromise the essential vision. For example, The Salvation Army's vision is based on God's inclusive love for all humanity, while its mission seeks to develop faith in society through practical concern and social justice advocacy. Vision and mission should be owned and supported by all staff.

Visions and missions can develop over time, but if the charity's *raison d'être* changes, it should be reconstituted. While their Biblical foundation is an integrated whole which must be interpreted holistically and applied consistently, there is room at the organisational level to prioritise different scriptural precepts to adapt and develop, e.g. adaptation is vital where a firm's mission is no longer viable. Notwithstanding, vision and mission should not be compromised in pursuit of funding, which has led to the 'de-Christianising' of many charities. Uniquely Christian spiritual motivation and divine calling are in a sense 'VRIO' resources. Only upon their faith foundation can CSACs ultimately succeed, a point understood by boards and executives in aligning their resources and capabilities accordingly to fulfil their *governance* responsibilities.

Note: Spiritual motivation is essential to CSAC *mission*, identity and resource-base use.

Action: Periodically revisit vision and mission, adjust or reconstitute, and publish changes.

2. Values & Culture

In CSACs, Biblical values provide a common moral and ethical framework, which is then developed through context-specific codes of conduct, etc. Non-Christian charities also prescribe formal codes of ethics, which set out the firm's values and expected attitudes and behaviours. These all affect the organisation's culture, or 'the way we do things around here', including the engagement of staff with management and perceptions of the firm by outsiders derived from the way it conducts itself. Like vision and values, these high-level organisational drivers are *not* of primary concern here. However, they are central to the *governance* process which controls the key managerial themes addressed in this thesis. Values and culture determine how strategy is formulated and executed.

Note: Maintaining motivation for charity *mission* demands explicit Biblical or ethical values.

Action: Monitor values and configure culture; reinforce and celebrate *mission* and values.

3. Strategy & Objectives

Mission is achieved through strategy. The formulation of strategy and supporting objectives in charities often falls to the executive/senior management, before being reviewed and authorised by the board. *Strategy* drives the *performance and scalability* aspirations through *policies and processes*. It is at the strategic level within the firm that any theoretical themes and strands are agreed prior to implementation and revision.

VRIN/VRIO resources and dynamic capabilities are managed directly by the charity's executive officers. The key drivers of performance and scalability are competent managers who have developed strategic dynamic capabilities and are empowered to deploy them. Accordingly, DRT is designed to equip charity managers with an SE/businesslike approach to improve *mission effectiveness*. Strategy and objectives provide the main platform for DRT.

Business Services

The strategic benefits of ICT and other VRI-Organisational process-based inputs are commonly underestimated in charities, while the costs of obtaining these benefits are often overestimated. Importantly, effective systems-based VRIO resource management provides an economic platform to strategically integrate PIMM for quality services. As such, PIMM is vital for technical fitness, regardless of market volatility. Business services manage VRIN resources to support mission.

Strategy:

Optimise the value of Business Service inputs via performance-based resource use.

Objectives:

To assess and revise performance measures for improved performance management in the light of missional SO-SI results, social investment criteria and market opportunities.

To identify VRIO resources and link them to missional strategic objectives on a cyclical basis. A bottom-up approach might look something like: information and ideas A are produced by person B using system C through PIMM-integrated processes D+E+F for daily operational decisions from empowered manager G (with hotline access to superiors if required), and quarterly review for tactical decisions and recommendations from executive H, before being reviewed bi-annually with the board sub-committee I which produces recommendations to achieve strategic objective X. The process is then reversed to become top-down deploying participative consultation on significant issues, and rapid agreement typical of flat structures and task-oriented teamwork. This approach produces inimitable processes for market

competitiveness and mission effectiveness. Internal audit can also improve accountability and *effective decisions*.

To invest in efficient ICT-based systems and other resources and capabilities to ensure technical and evolutionary fitness is essential to delivering quality services. But note that not all causal ambiguities are worth investigating in the pursuit of optimal PIMM.

Theory: That if key resources and capabilities and their results are strategically aligned and systematically measured and managed, auditable performance improves

Note: Objectives-based performance information is essential for mission effectiveness.

Action: Periodically identify and evaluate VRIO resources through business services

Where possible link specific resources to *mission*-based strategic objectives

Use PIM systems which integrate data from connected multi-level sub-systems

Engage staff in PIMM design, based on Total Quality Management principles

Plan: Early, low-high disruption, low cost/rapid payback linked to mission effectiveness options

Governance

Governance processes enable the integration of all organisational activities, and so are vital to achieve SCA. Success is the responsibility of charity boards through the value-creating strategies that exploit the performance of VRIO resources to optimise rents. In CSACs, strategic objectives should prioritise verifiable SO-SI results via their internal policies and processes. The external policy environment identifies and prioritises specific social service needs for grant funding and results-based contracts, while wider market opportunities include personal budget funding and specialist niche funding from dedicated trusts. Regardless of funding sources, the governance process must be fully 'joined-up' at all levels within the firm and with external stakeholders to ensure that SO-SI results are achieving mission and SCA.

Strategy: Optimise the value of Governance-based policy and process via SO-SI strategies.

Objectives:

To improve SO-SI performance results and realise value-creating strategy by identifying VRIN resources within a VRO framework to optimise their use in alignment with the key government policies that regulate the market.

To identify, value, cost and compare units of SO-SI for returns, then strategic priorities can be reviewed to improve social returns and reduce unit costs.

Theory: Good governance in CSACs includes PIMM to optimise the use of VRIO resources.

Theory: That if SO-SI are prioritised in strategy and linked to resources and capabilities via PIM, performance improves

Theory: That if internal policy/process is aligned with critical external policy/process, firm performance improves

Note: Resource-based SO-SI results are achieved via firm policies and processes.

Action: Map external policy and market environments, and match to *missional* strategy.

Identify and deploy/acquire VRIO resources to enable effective SO-SI strategy.

Design, pilot and implement a causal chain linking RBT performance to strategy.

Engage key staff to assist strategy formulation and include key external stakeholders in PIM for SO-SI consultation

Engage key staff to advise on internal policy-process and policy professionals to advise on government policy implications

Plan: SO-SI Strategies: Medium-term, moderate disruption, mainly sunk cost of PIMM for high value SO-SI externally reported results

Plan: Policies and Processes: Medium-term, moderate disruption, low-med cost, early payback for VRIO resource-linked strategic objectives

Resource Investment

Investment in and of VRIO resources is essential for the survival and growth of any firm. Currently many investors value PIMM and risk-managed investment-readiness. Thus securing investment is increasingly based on firm performance evidence combined with industry attractiveness, but firm performance is more important to investors than industry performance. The aim is to increase income and stimulate development in the firm's resource-capability base, especially through knowledge and professionalism.

Strategy:

Optimise Resource Investment outcomes on the basis of firm performance and industry attractiveness

Objectives:

To improve PIM-related, risk-managed investment-readiness in order to access investment and funding to build resource capacity and operational scalability.

To increase programme income by applying external investor performance criteria

Theory: That if robust SO-SI results are linked to optimal resource use, then fundability and investability improve

Note: *Missional* performance evidence is required increasingly by social investors

Action: Increase programme income by applying external investor performance criteria

Engage key staff to advise on resource/capability needs and consult professionals to guide on fundraising/investment

Plan: Medium-term, moderate disruption, medium cost/payback for RBT-DCT optimal investment (e.g. training)

Collaboration

Firm scalability in fragmented social service markets depends increasingly on strategic collaboration. Proactive engagement with key stakeholders is essential, probably via partnerships within the firm's sub-sector initially. Key stakeholders add value when proactively engaged by judiciously deploying relational and alliance-based capabilities. Mutual interests are expected to facilitate strategic scalability through intra-sector, inter-sector and cross-sector alliances. However, understanding and assessing relational and alliance-based capabilities is an important early step. As these competencies are recognised and strategically aligned, clarity emerges on how best to deploy them with stakeholders. Networking theories can help identify key external stakeholders, but to succeed, collaborative dynamic capabilities must be supported by senior management.

Strategy:

Optimise Collaboration through Relational and Alliance-based Capability inputs

Objectives:

To proactively improve collaborative opportunities by developing and deploying relational capabilities internally and alliance-based capabilities externally

Theory: Collaboration requires strategic dynamic capabilities which when deployed add value, capacity, growth and scale to charities

Theory: That if firm-based relational capabilities are developed and deployed, then alliance-based scalability potential improves

Theory: That if strategic alliance-based capabilities are developed and deployed, then market opportunities and scalability improve

Note: Dynamic managerial capabilities engage stakeholders to drive growth and scale

Action: Sense market demand and evaluate opportunities for collaborative solutions

Identify and develop mission-aligned relational and alliance-based capabilities

Proactively seek and establish alliances to exploit suitable market opportunities

Assess, engage, develop and deploy strategic relational capabilities in key staff, management and board members

Engage key staff and stakeholders with alliance-based capabilities to facilitate collaborative developments with partners

Plan: Relational Capabilities: Medium-term, low disruption, medium cost, long-term high value payback from trust in ethical relationships

Plan: Alliance-based Capabilities: Medium to long-term, screen suitable partners and plan for major disruptions, high cost/long-term payback through growth and scale

Social Enterprise

SE means and methods offer a 'mix and match' approach to improving mission effectiveness in CSACs. They can be adapted and adopted to meet developmental demands in undersupplied social service markets where continuous change presents new risks for nonprofit suppliers. SE capabilities develop firm proactivity, innovation and calculated risk-taking, thereby enhancing evolutionary fitness in volatile markets. Available tried and tested methods encompass market opportunity valuation, resource-capability reconfiguration costs and benefits, multi-stakeholder asset co-specialisation and orchestration, and strategic choice options. Professional advice may prove essential.

Strategy:

Optimise SE, especially Innovative processes for SCA, anchored in robust Change Readiness capabilities for continuous change in complex, unstable markets

Objectives:

To identify the entrepreneurial dynamic capabilities that are required to exploit unique market positioning, organisational processes and potential future paths successfully

To develop a robust multi-dimensional approach to calculated risk-taking

To develop innovative products, processes, structures and business models and thereby increase earned/trading income at acceptable risk levels in changing markets

Theory: SE means and methods are adaptable to develop innovative income streams and enhance SCA

Theory: That if appropriate SE approaches are utilised, then firms are empowered to innovate, and scalability improves

Theory: That if firms can exploit current positions and embed market-responsive continuous change, then scalability improves

Note: Risk-managed SE innovations provide new solutions to supply social demands

Action: Identify missional social needs which suggest/require entrepreneurial solutions

Honestly and openly discuss and explain cultural attitudes to SE and risk

Outline potential innovative solutions, and assess related risks and costs

Evaluate the implications of change (feasibility, suitability, acceptability)

Accept, modify or reject potential solutions, giving learning-based reasons

SE approaches leverage benefits, especially via innovative products and market-responsive structures and systems

Turbulent conditions and growing social needs are precipitating professionally-assisted change in complex markets

Plan: Social Entrepreneurship: Medium to long-term, select and test potential SE methods and risks of planned disruptions, medium-high cost/medium-term payback for balancing income streams with other value-adding charitable activities

Plan: Change Readiness: Continuous and multi-faceted, professional planning and implementation minimise disruption, low-high cost of short-to-long payback for evolutionary fitness and SCA

Growth

Growth is achieved in different ways according to market demands and firm positions. To achieve growth, SE means and methods are increasingly adapted and adopted in social service markets by nonprofits. Key strands from RBT, DCT and SE include

effective decision-making, SO-SI and manageable growth. Most CSACs are called to meet growing social needs where markets are so thin as to be non-viable without other related income streams (e.g. donations, grant funding and unrelated trading income). Thus, the term 'charity' implies giving in return for survival-level income/rents. Note that knowledge-based capabilities are now essential to meet social needs and enhance SCA.

Strategy:

Optimise firm Growth on the basis of missional Social Outcomes and Impacts.

Objectives:

To develop and deploy dynamic leadership and managerial capabilities built on Godly relationships, relevant knowledge and effective decision making

To improve sustainable competitive advantage through SO-SI results which meet social needs and market demands

To achieve manageable CSAC growth and operational scalability

Theory: CSAC paths, processes and positions affect strategic options and choices for mission-centric growth

Theory: That if CSACs deploy mission-centric dynamic strategic SE capabilities, to increase SO-SI, then scalability improves

Theory: That if dynamic capabilities are utilized, then non-random, size-independent growth and scalability potential improves

Note: CSACs can adopt and adapt mission-building SE means and methods to grow

Action: Describe how firm mission and SO-SI are linked in terms of SE and mission

Consider the effect of SO-SI results on firm growth aspirations

Plan for missional growth based on performance, scalability and appropriate SE

'Good fruit' or positive SO-SI results in CSACs are important for mission

Firm growth for operational sub-sector scalability for SCA in current markets requires teamwork and professionalism

Plan: Social Outcomes and Impacts (SO-SI): Medium- to long-term, moderate disruption, medium cost/medium-term payback for strategic SO-SI capabilities to drive mission effectiveness

Plan: Firm Growth: Medium to long-term, potentially transformational creative disruption - then incremental change/growth for minimum disruption, medium-high cost/medium-long payback for maintaining or sustaining missional growth

Moving on from strategy, the firm's operating environment is considered next.

4. Environmental Analysis & Position Audit (Strategic Market Fit)

Environmental analysis examines critical factors in the firm's external operating environment, while position audit guides managers to optimise their resources. The external and internal environments influence each other, although the former is beyond the control of the latter. Environmental and positional analyses reveal key context-specific information to charity governors/executives for missional strategic planning, decision-making and policy-making. Where performance and scalability are achieved through dynamic capabilities, heterogeneous firms may shape markets as well as being shaped by them. Importantly, social services are imperfectly 'marketised' in England, resulting in complexity and turbulence which demand entrepreneurial solutions.

Theory: Understanding the external and internal environments is vital for mission in CSACs

Action: External analyses include; Uncertainty analysis, PESTEL and 5 Forces,
Internal analyses include: Resources, Value Chain, Portfolio, Comparative, Lifecycle

5. Strategic Analyses & Choices

To achieve mission effectiveness on the basis of performance and scalability requires the careful analysis, evaluation and selection of strategic choices. Given the current environmental complexity and volatility, governors/executives must develop and deploy dynamic capabilities.

It could be argued that all the points in this organisational-management framework have strategic implications, but here the term strategy is used to mean planned and emergent long-term direction and development. While business strategy methods must be approached and adapted with care (**Collins 2006**), they do offer potentially useful efficiency and SE/trading insights. Many charities map their position using SWOT Analysis and Gap Analysis because they are simple and quick. However, simple models can lead untrained managers to poor understanding of the issues and false reassurance.

Similarly, when using more SE/businesslike tools to identify strategic options, a basic understanding of Generic, Product/Market and Growth Analyses does shed some light, but is rarely fully optimised without specialist guidance. Given the foregoing reservations it is unsurprising that charity managers often evaluate and promote strategic options without sufficient awareness of influencing techniques to persuade decision-makers to support their favoured options (e.g. the '3 ity's' option evaluation tool i.e. suitability (logic), acceptability (risk/return/stakeholder interests), and feasibility (resources)).

Theory: Firm SO-SI strategy is a mission-based concern for the board and senior executives

Action: Analyse firm position using mapping tools (e.g. SWOT and Gap Analyses)
Analyse strategic options (e.g. using Generic, Product/Market and Growth Analyses)
Evaluate strategic choices (e.g. Suitability/Acceptability/Feasibility, and IF Triangles)

6. DRT Means & Methods

In Chapter 1 the meaning of SE means and methods in this research was outlined. SE means are described as creating social value through *proactivity, risk-taking, and innovation*, and SE methods are broadly categorized as '*the processes, tools, and techniques of business entrepreneurship, putting societal benefit before personal gain*'.

To maintain clear links with the original theories, comments have been restricted to a few methods, for example: resources, capabilities, measurement, systems, strategy, structure, hierarchy, governance, leadership, management, teamwork, investment, risk, adaptation, change, trust-building, learning, and knowledge-based decision-making. These elements of organisational management all contribute to mission effectiveness.

This theory building attempt seeks to combine 'best practice' management means and methods with those most common in charities and those which have emerged from SE. This hybrid approach facilitates flexibility in the process of strategic development.

Theory: Dynamic capabilities create, extend and modify the resource base for mission

Action: Review the performance of current means and methods for mission effectiveness

Rectify deficiencies by adapting and adopting relevant SE means and methods

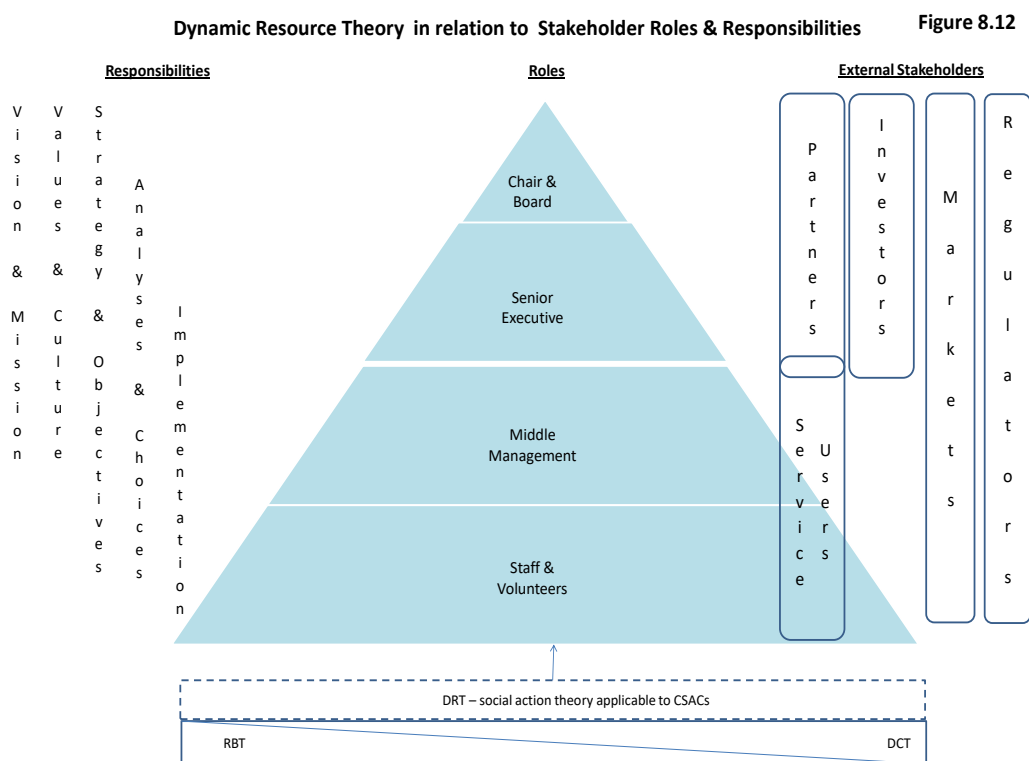
7. DRT Implementation

The implementation of mission-centric strategic decisions is undertaken through the firm's governance framework of policies, procedures, protocols and processes. Organisations are integrated holistic bodies where decisions implemented in one area will affect other areas. So care is necessary in selecting approaches to implementation, utilising internal categorizations. For example, based on technical fitness derived in part from VRIN resources and Value Chain primary/secondary categorization, strategies to drive primary services (e.g. frontline care service delivery and product design) could be optimised by upgrading and aligning secondary services (e.g. infrastructure and technology functions) more closely to mission. Alternative categorizations include functional/operational and centralised/devolved.

Theory: Mission effectiveness is driven by VRIO processes and dynamic management

Action: Evaluate and build links between processes, capabilities, strategy and mission. Adapting and implementing a new hybrid theory of RBT and DCT requires a systematic approach to holistic strategic planning for mission effectiveness. To clarify elements of this developmental approach to strategy the DRT priorities for mission effectiveness are summarised in Appendix 32. In addition, organisational responsibilities can be based, at least partially in resources and capabilities managed using DRT. DRT informs higher level governance and executive responsibilities, such as vision, mission, culture and values in addition to guiding lower level management responsibilities such as measurement, analysis and implementing improvements. Practitioners and the sector as a whole would gain value from adopting and adapting DRT in an uncertain/unstable environment where external stakeholders affect their responsibilities. Thus the organisational hierarchy shown in Figure 8.12 can adapt activities via DRT to promote SE means to effective mission:

Mission Effectiveness and Social Entrepreneurship: Theoretical insights and case-study evidence from three Christian charities in England



This section explains how this contribution towards a hybrid RBT-DCT theory of SE, **(DRT)**, could be customised for the not-for-profit sector. It has been argued that when the use of ordinary resources and capabilities is optimised and developed through strategic dynamic capabilities - then social and economic sustainability will be achieved, enabling effective mission.

The next two sections, 8.5 and 8.6, discuss how DRT is relevant to policy-makers in:

Charities: through governance to integrate performance, strategic collaboration and enterprise in turbulent markets to achieve SCA.

Government: to provide long-term funding to nonprofits for participative social service through scalable competitive-collaborative providers.

The next section discusses the implications of DRT for policy makers in practice.

8.5 Practical Implications for Practitioners

In the previous sections a new theory (DRT) of mission effectiveness was developed for CSACs, and an organisational-managerial framework illustrated aspects of its application. Some practical advice was offered to strategic level decision-makers in the form of prioritised theory-based recommendations for planning and action. These decision-making elements are realised through the policies, procedures, protocols and processes that determine the way that firm activities are conducted at all levels of the strategic pyramid. This section addresses policy implications of DRT for leaders/managers, noting that a typical CSAC senior executive is:

- passionate about making a difference for their target service users
- employed at a relatively low rate of pay, and routinely works long hours
- probably a university graduate, but has mainly learnt firm-specific skills 'on the job'
- aware of resource deficits e.g. in finance, and own and staff and board skills
- strictly compliant with regulations, charitable objects and stewardship duties

Given these challenges it is important to consider how he/she might approach changes implied by DRT theory. Bearing in mind that the theory is new and untested, leaders unaccustomed to SE means would probably progress cautiously along a continuum towards DRT-related mission effectiveness. The DRT approach is distinct from other SE approaches insofar as it prioritises performance-based sub-sector scalability.

To assist leaders considering DRT, Table 8.1 adapts **Fawcett and Downs' (1992: 178-185)** 'transcending options' framework. The transcendent continuum enables leaders to honestly assess their current positions and to systematically aspire to future transcendent positions in which mission effectiveness is optimised. For example, moving across from the 'securing, escaping, reserving' behaviours of choosing stage, into and through the low risk seeking stage into the dynamic and creative transcending stage may well require major change, and therefore time.

Mission Effectiveness and Social Entrepreneurship:
Theoretical insights and case-study evidence from three Christian charities
in England

TABLE 8.1 - TRANSCENDING OPTIONS FOR DRT ADOPTION

	Choosing Options		Seeking Options		Transcending Options	
Description	Selecting from a perceived set of restricted choices		Overcoming barriers to take new opportunities		Achieving change and growth as personal-societal factors allow	
Characteristics	Established policies for predictable outcomes		Continue existing policies and pilot DRT policies		Freedom and confidence to lead, change and grow	
Behaviours	<i>Securing</i>	safety and predictability	<i>Redefining</i>	Substituting new roles	<i>Creating</i>	problem-solving, refreshing missions
	<i>Escaping</i>	single task focus for reassurance	<i>Risking</i>	supported risk-taking	<i>Optimising</i>	exploiting suitable opportunities
	<i>Reserving</i>	cost-centred conservation	<i>Expanding</i>	Enthusiasm, motivation...		

The strategic development of an organisation requires careful consideration of a number of options. Leaders will select those options which reflect their understanding of the advantages and disadvantages of options which are feasible, suitable and acceptable. Beyond these highly rational criteria, other more cultural and personal criteria play a role. For example, position on the lifecycle, risk appetite, education and skills, and the cost of implementing DRT relative to the size of the charity.

DRT was developed from case studies in large national CSACs. However, its founding principles are common to charities of all types and sizes. The extent to which smaller charities will be able to adopt and adapt DRT will vary significantly.

8.5.1 Practitioner Implications for Performance

Some practical advice was offered to strategic level decision-makers in the form of prioritised theory-based recommendations for action and planning. These decision-making elements are reflected in policies, procedures, protocols and processes that determine the way that firm activities are conducted at all levels of the strategic pyramid. For clarity these are subsumed as 'policy'. Therefore the following sub-sections outline some probable policy implications of DRT for managers, supported by key staff and stakeholders, and possibly by consultants.

Business Services

Policy:

Annually: identify and re-evaluate VRIO resources, and highlight investment priorities for budgetary forecasting

Annually: assess and revise performance measures for improved PIMM in the light of specified:

- missional SO-SI results, per current Mission Statement (Board), as follows...
- social investment criteria, per current Investment Schedule (Finance Mgr), as follows...
- market opportunities, per current Marketing Strategy (Marketing Mgr), as follows...

Change: Creating a direct link between resources and strategy

Impact level: Initially senior and middle management design teams with inputs from key staff and PIMM consultants. Program changes impact most on administrative staff

Mission Effect: Targeted, economic and efficient support for operational activities

Governance

Policy:

Half-yearly review of: SO-SI performance measures and results in the light of:

- changes in government policy (Advocacy/Policy/Communications Mgr), as follows...

Mission Effectiveness and Social Entrepreneurship:
Theoretical insights and case-study evidence from three Christian charities
in England

- changes in market conditions and trends (Marketing, Sales, and Finance Mgr),
...
- changes in firm strategy, learning from competitors' strategies (Board, CEO, COO),...
- changes in firm position, resources, and budgets (CEO, COO, Finance Mgr),
...

Change: Creating inclusive links between stakeholders, SO-SI, resources and strategy

Impact level: Initially board and senior management strategy teams, then with key managers, staff, stakeholders and consultants. Governance changes impact all staff

Mission Effect: Timely, consultative, context-aware change-responsive policies and processes

Resource Investment

Policy:

Quarterly review of: risk-management, income streams, investment readiness (Board, CEO, COO, Investment Advisor and Finance Mgr), in the light of:

- PIM-related financial results (COO, Finance Mgr, Investment Advisor), as follows:...
- PIM-related SO-SI results (COO, Finance Mgr, Investment Advisor), as follows:
- New Fundraising initiatives (CEO, COO, Marketing, Sales & Finance Mgrs), as
...
- New programme income opportunities (CEO, COO, Finance Mgr, Investment Advisor), ,...
- Bids for new external investment (Board, CEO, Finance Mgr, Investment Advisor), ...

- Re-ordering priorities within rolling changes to Strategic Plan (Board, CEO, COO), ...

Change: Creating a direct link between PIM results, income, investment and strategy

Impact level: Initially senior management strategic investment teams with inputs from key managers, staff, advisors and the board. Strategic changes impact all staff

Mission Effect: Close links between performance results and investment for SO-SI and SCA.

Having considered performance, the implications for DRT-based scalability are discussed next.

8.5.2 Practitioner Implications for Scalability

Continuing with the original conceptual framework (as adapted to DRT development for CSACs), the scalability dimension is now considered in terms of theme-based policies.

Collaboration

Policy:

Annually: assess, develop and deploy relational capabilities internally with reference to:

- relational factors affecting trust (CEO, COO, HR Mgr), as follows:...
- factors affecting staff retention (CEO, COO, HR Mgr, Finance Mgr), as follows:...
- cultural factors affecting attitudes and behaviours (Board, CEO, COO, HR Mgr),...

Mission Effectiveness and Social Entrepreneurship:
Theoretical insights and case-study evidence from three Christian charities
in England

Annually: assess, develop and deploy alliance-based capabilities externally with reference to:

- robust and well understood missional progress in performance-related objectives (COO), as follows...
- stakeholder management and networking capabilities of players (COO, HR Mgr), as ...
- clarity regarding essential capability deficits and remedial training etc. (COO, HR Mgr),...

Half yearly: assess collaborative opportunities in the light of:

- firm resource deficits and potential partner resource complementarities (Board, CEO,),..
- like-minded potential partners with similar values, culture and strategies (Board, CEO,),.
- relevant information on policy trends, market opportunities and alliance gains (COO), ...

Change: Creating in-house capacity to engage with beneficial collaborative opportunities

Impact level: Primarily, board, staff and stakeholders with experience, expertise and interest in collaborative development. Collaboration introduces change at all levels

Mission Effect: Combined, reconfigured, orchestrated resource bases can facilitate scalability

Social Enterprise

Policy:

Annually: assess whether entrepreneurial means are required to exploit market positioning, organisational processes and potential future paths, with particular reference to:

Mission Effectiveness and Social Entrepreneurship:
Theoretical insights and case-study evidence from three Christian charities
in England

- proactivity (Board, CEO, COO, HR Mgr, key staff, external stakeholders), as follows:...
- innovation (Board, CEO, COO, HR Mgr, key staff, external stakeholders), as follows:...
- risk-taking (Board, CEO, COO, HR Mgr, Finance Mgr, key staff), as follows:...

If these afford mission-centric market opportunities, consider some SE methods including:

- new business models (Board, CEO, COO, all key staff), as follows:...
- new organisational structures (Board, CEO, COO, all key staff), as follows:...
- new products and services (Board, CEO, COO, all key staff and stakeholders),

Annually: assess the firm's readiness to change, with reference to:

- external risk exposure and opportunity readiness (Board, CEO, COO, all key staff)...

Change: Creating an entrepreneurial, continuous change culture to exploit opportunities

Impact level: Initially all key stakeholders, internal and external, will be involved. Learning and adaptation impacts are significant for all key staff, mainly affecting leaders.

Mission Effect: Strategic agility promotes ethical opportunism to increase mission effectiveness.

Growth

Policy:

Annually: assess the potential effects on firm growth and operational scalability of:

- decision-making (and execution) effectiveness (Board, CEO, COO, key staff, external), as follows..
- SO-SI results (Board, CEO, COO, HR Mgr, key staff, external stakeholders), as...

- growth planning (and execution) (Board, CEO, COO, HR Mgr, Finance Mgr, key staff),...

Annually: consider mission-centric strategic options in terms of:

- generic strategies, products/markets, growth methods (Board, CEO, COO, all key staff).
- suitability, acceptability, feasibility (Board, CEO, COO, all key staff).
- functional and operational implementation (Board, CEO, COO, all key staff).

Change: Creating the capacity and expectation for transcendent and sustainable growth.

Impact level: Initially all key stakeholders, internal and external, will be involved. Relevant dynamic capabilities are developed and deployed, impacting all key staff.

Mission Effect: Linking the resource base and SO-SI to market growth opportunities promotes mission.

Following theoretical applicability, practical adaptations can now be proposed.

8.5.3 Practitioner Adaptations and Developments

Even the best theoretical solutions must be adapted to solve context-specific problems. All new ideas for solving old problems present challenges e.g. *'If at first the idea is not absurd, there is no hope for it'*, Einstein, cited in **Atkinson (2014: 13)**. A great 'absurdity' is that Jesus' prayer (**Bible: John 17:21**) *'that all of them may be one, Father, just as you are in me and I am in you'* is answered when Christians carry out social action 'good works' together in the *'unity of faith'* (**Bible: Ephesians 4:13**).

In addition, Atkinson offers twelve problem-solving tools, which are designed to empower people by changing their mindsets. Similarly, **McKeown (2012)** proposes seventeen rules for winning in uncertain times in a structured and targeted approach to emboldening individual readers. Finally, Collins writes for executives on limitations and adaptation of business thinking in the social sector (**Collins 2006**). It is also

noteworthy that DCT promotes size-independent growth, and thus it applies to smaller charities. Importantly, the case data show that SE means are more easily implemented in smaller, younger, flexible charities (as represented by ROC).

To achieve optimal performance and scale, firms must adapt and change. DRT is designed to provide a management approach based on RBT, DCT and SE theories. But all 'toolkit' solutions should be prioritised initially on the basis of importance and urgency and then considered for their suitability, feasibility and acceptability. Further, charities can improve mission effectiveness methodically in stages (Table 6.1).

8.6 Policy Implications for Policymakers

It is unusual for untested theories to have early or radical effects on the external policy process. For CSACs governance based on their interpretation of Biblical values is contextual. Government policies drive the statutes and regulations that frame the market for CSAC services, determining what can and cannot be done. DRT promotes policy alignment, and further aims to improve scalable performance. Certain policies are mentioned because they have implications for the adoption and adaptation of DRT by CSACs, but without predicting the effect of those policies.

8.6.1 Policy Implications for Charity Governance

DRT recommends a performance-based approach to governance, which prioritises resource optimisation to achieve missional SO-SI strategies. This governance process employs internal policies and processes which systemically engage with relevant external policy and process to embed best practice and maintain compliance.

Public bodies too are under pressure demonstrate auditable performance improvements especially in network and cross sector partnerships (**Ferlie et al 2005: 257-281; 326-342; 347-370; 491-512**). Social impact target setting, performance management, audit, accountability and regulation are frequently mentioned in the literature e.g. **Power (1997), Paton (2003), Budd et al (2006)**, and by practitioners.

Following recent scandals (e.g. the Kids Company) fundraising too has come under intense scrutiny (**FRSB 2016**).

DRT recognises these aspects of modern charity governance, alongside growing governance regulation enforceable by the Charity Commission (**Charities [Protection and Social Investment] Act 2016**). The pivotal roles of the board and senior executives were discussed in the literature review and mentioned in this chapter notably in respect of selecting strategic options. **Hudson and Lowe (2009: 221-241)** provide useful insights under headings such as rational choice, incrementalism, the role of personality, charismatic leadership and structuration.

8.6.2 Policy Implications for Interfirm Collaboration

Much has been said about collaboration in this thesis. Further, trends in the public sector (e.g. New Public Management) and the business sector (e.g. Corporate Social Responsibility) have helped enshrine social capital in policymaking. Collaboration seeks to counter the high transaction costs of fragmented social services by combining partners' resources and capabilities. However, for smaller local/regional charities in particular, obstacles to successful collaboration include:

1. Fear of losing future market opportunities due to undercapitalization and uncertainty.
2. Collaborating in multiple competitive bids may undermine the long-term future of the firm.
3. Ambiguous ownership and lack of performance metrics create complexity and confusion.
4. High transaction costs of proactively engaging with multiple key stakeholders.

Ferlie et al (2005: 605-606) advise funders to overcome these obstacles by providing incentives. By contrast, **Flynn (2007: 201-269)** provides useful guidance on outsourced social services, including marketisation and contracting. Helpfully, he also offers insights into the competition-collaboration tension and the conditions

encouraging successful collaboration, 'joined up government', and cross-cutting multi-agency policy (pp185-196). But what would induce CSACs to collaborate for scale?

8.6.3 Policy Implications for Third Sector Scale

DRT is an effectiveness-based approach designed to help charities facing adverse economic conditions in England. Fiscal responses include welfare cuts, and Big Society philosophy encouraged community and individual engagement enabled by legislation including the Localism, Public Services (Social Value) and Charities Acts, facilitated by new legal forms (e.g. CICs) and greater reporting disclosure (SORP 2015). Ferlie et al 2005: 591- 610) outline similar global policy trends:

'Throughout the world, governments have been restructuring their public services...A central component of this transformation of the public services in many countries has been a substantial increase in government contracting with nonprofit and for-profit organisations...NGO's (nonprofits) are particularly attractive to governments in the current political environment' (p591).

He rationalises increased NGO public service provision asserting that (p600):

1. Direct public service monopolies should be replaced by more responsive NGO providers – but can current nonprofit funding enhance performance and scale?
2. Competition between NGOs for public contracts introduces efficiency into the system – but do competitive policy pressures maintain service level quality?
3. NGO roots in local communities afford greater opportunities for citizen participation – but can communities replace local authority funding capacity?

DRT does not presume to answer critical policy dilemmas such as ethical and moral confusion, family fragmentation and economic opportunity but it does address some of the problems facing charities that help those affected. Improved CSAC mission-centric performance and scalability could reward affordable funding.

Importantly, the view taken by government policymakers is explained (p604):

‘Perhaps no subject is more widely discussed among public managers, private funders, and nonprofit staff than sustainability and infrastructure concerns Yet technical assistance to enhance NGO capacity requires an ongoing and long-term commitment from funders.’

Social policy is the main area of government policy that encompasses the work of CSACs (a form of NGO), including income maintenance, health services, community care, children, education, housing and criminal justice **(Flynn 2007: 66-115)**. The political dimension of policy formulation and implementation should not be overlooked, as political history and management trends continue to influence policymaking in the context of macro-economic policy **(Hudson and Lowe 2009: 41-86; 243-261, and Dorey 2005:162-196)**. Nor should the power of organised interests acting through policy networks be underestimated, as explained by **Dorey (2005: 124-161)**, and expanded through the Rhodes Five Policy Network Model **(Hudson and Lowe 2009: 154-156)**. Relevant recent UK Government policy updates **(Social Enterprise: Policy 2017)** include:

Funding competition: open programme round 2 (2016) - 1 February 2017

Understanding mission-led businesses: terms of reference - 5 December 2016

Charities (Protection and Social Investment) Act 2016: – 29 July 2016

Social Value Act: information and resources - 3 May 2016

Cabinet Office Commissioning Academy relaunched by social enterprise - 14 April 16

Social investment: a force for social change - UK strategy 2016 - 11 March 2016

This selection of SE policies confirms government interest in key areas of this thesis. Generally speaking, authors were in agreement that the future of social and welfare policy in Britain requires targeted long-term funding alongside active service user participation (a *‘quid pro quo’*), to scale up non-governmental social services.

8.7 Conclusions

Performance and scalability were selected for research because of their potential to enhance the sustainability and increase the capacity of CSACs, so that these charities could achieve their spiritually-motivated social missions more effectively. SE means and methods were proposed as increasingly popular drivers of charities' missions, as they attempt to meet growing social needs in increasingly complex social markets. Thus, mission effectiveness using appropriate SE means and methods is the goal of the DRT theory.

This research was introduced in Chapter 1 with descriptions of the challenging background of the English social sector in the context of three national CSAC cases. Terminology was defined, and the two main theories RBT and DCT were depicted within a Conceptual Framework (Figure 1.2). Finally, the thesis structure provided an overview of all the chapters.

Next, in Chapter 2 the theory-based conceptual constructs selected for this research were described, explored and explained through the research problem, questions, aim, objectives and propositions. Notably the development of the sub-propositions and sub-questions was discussed in the light of the author's motivation to improve CSAC performance and scalability.

Chapters 3-5 reviewed the contextual, theoretical and empirical literatures. Initially a wide range of context-related literature provided a broad understanding. Then relevant aspects of RBT and DCT were explained, in Chapters 5 and 6 respectively. Six themes emerged from these theories, three each from RBT and DCT. From these themes, ten manifested elements or strands were selected. Some gaps were revealed, inviting a new theory. Next wide empirical literatures offered insights into mission effectiveness in CSACs. Then the impacts of both the theoretical and empirical literatures on the research propositions and questions were assessed, providing reassurance of a close fit. Finally the strengths and weakness of RBT and DCT were outlined in terms of SE to resolve Objective 1.

Next, in Chapter 6 the methodology underpinning this research was developed using a standard Methodological Framework, the 'Research Onion' for this interpretivist, inductive multiple case study. Case study methods were selected to elicit qualitative primary data comprised questionnaires, observations, semi-structured interviews and publicly available information. The selection of the three national case study participants was explained and justified, before finally addressing issues of data collection, analysis, ethics, validity and reliability.

Primary data was presented on a case-by-case basis showing the case data and analysis, in Chapter 7. Objectives-based analysis involves pattern matching, explanation and synthesis. Then the empirical within-case findings were synthesised across the cases to reveal mission effectiveness in terms of SE. These synthesised findings enabled theoretical aspects of the functional and operational nature of CSACs to be explained in terms of SE, thus triggering arguments for a new hybrid version of these theories suitable for CSACs.

This final chapter of the main research elicited a new theory of SE-oriented mission effectiveness, DRT, from the evaluation and interpretation of key empirical findings in the light of propositions derived from RBT and DCT. This theory was argued and modelled before some probable implications for practitioners and policy makers were considered. DRT is designed to enable CSACs to evaluate their performance and scalability and to enhance them by adopting and adapting SE means to optimise their resources and capabilities in pursuit of their missions.

In conclusion, this research has contributed uniquely to knowledge by proposing how charities which adopt and adapt SE means can achieve mission effectiveness. This outcome is realised by improving performance and, where appropriate, scaling up their operations. While noting the centrality of faith, it confirms that CSACs can indeed play a more effective role in the English social action arena by drawing on this contribution to theory and practice. CSAC leaders can adapt and apply DRT to promote effective mission, thereby increasing the 'salt and light' in our society.

8.8 Chapter Summary

In this chapter the key data findings were appropriately interpreted against the RBT and DCT theories. Deficiencies emerging from those theories serve to inform a new hybrid theory based on RBT and DCT using SE means, tentatively named the Dynamic Resource Theory (DRT). DRT aims to improve mission effectiveness in charities, with particular reference to CSACs. The elements of this new approach were derived from evidence which reflects inferred causal linkages *inter alia*. Further, in every case they supported (at least partially) the initial research propositions which were drawn from the literature and observation.

Chapter 8 brought the main research in this thesis to a conclusion. Section 1 outlined a cautious step-by-step approach to converting theory into management guidelines and policies. In Section 2 the role of propositions and prior literature in evaluating and interpreting key data findings was explained. Section 3 provided an extensive case-by-case evaluation and interpretation of the findings to infer causal linkages and elicit evidence for SE means to mission effectiveness. In fulfilment of Objective 3, a new market-driven hybrid theory for charities (DRT) was argued, proposed and modelled (using organisational strategic development theory) in Section 4. Next, in Section 5 probable implications for practitioners arising from DRT were considered alongside guidance based on impact assessment. A short outline discussion followed in Section 6 on potential implications of DRT implementation for internal and external policymakers. In Section 7 the main research concluded that the tentative new theory offers grounds for optimism based on greater third sector capacity derived from improving mission effectiveness.

Unsurprisingly, major changes are required if CSACs are to increase mission-centric, performance-based, and scalable social action. Next, the final chapter offers some reflections on this thesis and some suggestions for further research.

9. PERSONAL REFLECTIONS AND RESEARCH SUGGESTIONS

9.1 Introductory Comments

In Chapter 8 the evidence-based research gave good confirmation for the proposed hybrid DRT theory which could assist CSACs to play a more effective role in England, thus partially answering the main research question. To aid effectiveness, the new theory combines RBT and DCT theoretical constructs with SE means to enhance mission effectiveness. The limitations of this thesis and the wide variations among CSACs render a single solution impracticable, but suggest a 'pick and mix' approach. Effectiveness gains are available from adopting and adapting a partial solution alongside other models of best practice. By comparison this short chapter is subjective inasmuch as it consciously makes room for personal reflection.

This introduction is followed by two brief main sections. The first considers the limitations of this research journey by reflecting on the challenges, constraints and known limitations. An explanation of the main learning outcomes is provided, before explaining how this enquiry could possibly have been conducted differently. Then a short selection of related current and future research is discussed. The thesis ends on a hopeful note for the future of charity-based social action in England.

9.2 Limitations of the Research

9.2.1 Reflections – Different Agendas and Scoping Challenges

The research journey began with a vision of charities delivering greater societal benefits as their leaders became better equipped. Changing approach from price-sensitive consultancy to developing evidence-based research was greatly assisted by centralizing the role of mainstream theory. Indeed, one of the by-products of this research has been the realization of the central role played by theory and how research planning should, as far as possible, take good regard for theory.

The ideal of equipping charity leaders to achieve their missions effectively was exciting but impossible unless I could limit the scope of this enquiry. Critical evidence was forthcoming (but limited) from the participants' information. Scope narrowed by focusing on dyad improvements which could later inform national scalability strategy.

The lesson learnt was to establish a sound theoretical framework before presenting the final questions to the selected participants, thereby enabling a close fit between evidence-data to be sought and that which is obtained.

9.2.2 Constraints - Time, Costs and Participant Access

Like so many before it, this research project was constrained by time, money and access. Time has flown, despite the sacrificial efforts of my Director of Studies Professor Kenneth D'Silva in his diligent approach to equip me with research skills. The research got off to a less than firm start, with several single case studies proving unsustainable. Reluctantly I took an opportunity to scope multiple cases in order to reduce risk, and finally selected three meaningfully appropriate cases with a fourth case in reserve. This period began in early 2008 and finally settled on the current thesis in late 2010, in the meantime incurring heavy work-related opportunity costs.

However, costs were somewhat defrayed as the university kindly granted me a fee waiver and provided some teaching and research supervision. Juggling a small business alongside study was challenging, but thankfully not insurmountable.

Participant access was distanced following the data collection process, as staff changes among the respondents in TSAEP and ROC made it operationally challenging to obtain further access. Regardless, CTE reviewed and much endorsed the emergent DRT theory. In particular, the CEO valued insights into potential dynamic improvements, noting that the research provided perceptive insights. These promoted mission effectiveness, as reflected in changes subsequently undertaken.

9.2.3 An Assessment of the Effects of Known Limitations

The foregoing constraints inevitably detract from the full value of this thesis, mainly in terms of depth of evidence, quality of findings, and generalisability.

Despite recognising the dangers of my experience-based bias towards CSACs to this purposive research, some reflexivity will have inevitably crept in. Further, during this period my concentration was more than deflected by serious illnesses in my family.

In respect of the research data, it would have been possible to construct more robust argumentation if more cases had been used, if a narrower scope had been deployed and if mixed methods had been adopted to include quantitative data. However, the three cases are not unrepresentative, and their differences may well reveal patterns which infer causality. On the other hand, narrowing the number of constructs to enable more in-depth analysis would probably not have improved the generalisability of the findings, and consequently that of the emergent new tentative theory.

Two other known limitations should be mentioned. First, I come from a professional rather than an academic background, and so was unaccustomed to aspects of research, especially argumentation and some subtle refinements of academic English. Further, I had collected data to support new theory before fully and firmly associating the thesis with existing theories. This hesitant start led to a small measure of back-fitting, somewhat earlier than desirable, theoretical constructs onto the original data and interpolating responses.

Despite these limitations, I feel comfortable in asserting that the initial approach was not entirely misplaced. Practical problem-solving was a key motivating factor, and so even though a touch belatedly applying specific theories to the task, this has enriched the final result. Although RBT and DCT have not been improved, their inclusion and combination with SE means should be useful to practitioners.

Overall, with the wisdom of hindsight, I would have spent significantly more time and effort in planning the research would possibly have studied full time to save time.

9.3 Current and Future Research

9.3.1 Some Personal Outcomes

In summing up, my self-evaluation leads me to believe that I have acquired three key benefits from undertaking this research:

1. **Obtained a good understanding of research methods/methodology** which has been honed over recent years, and enabled wider engagement with research.
2. **Made a relevant contribution to knowledge** – one that partially addresses some CSAC and wider stakeholder concerns to improve affordable and effective social action. The new knowledge derived from this research can assist CSACs to strategically improve performance, increase scale and thereby build capacity in England's third sector.
3. **Developed a topical and publishable offering** which has engendered interest following review among both practitioners and academics. Expressions of interest received from various quarters convince me that this research is publishable at relevant conferences and in journals.

9.3.2 Current Research Trends

Early exploratory and descriptive research and government support for SE have raised its profile and stimulated rapid growth in the SE or 'fourth sector'. Specific areas of interest not developed here, such as finance, value, well-being, power dynamics and institutionalization have brought SE closer to formal theorisation. Notably, in recent years the research focus has continued to include performance, market orientation, sustainability, investment, networking, learning, competency, innovation, scalable impacts, mission, effectiveness, and the politics of social change.

In the Christian community interest in social impacts is growing, while government interest in stimulating nonprofit engagement in social action continues unabated (Section 8.6.3). Last but not least, private sector excesses in recent decades and research into low-income consumer markets have focused some on social issues. Concern is often genuine, but challenging, as poverty by nature offers few rewards.

9.3.3 Future Research for Developing SE in CSACs

A number of problems arise when researching the potential for developing SE in CSACs. For example, their skills, size, structures and incentives to work with others. Most are small to medium sized charities which may lack the capital and infrastructure to take on more responsibilities, and may not wish to collaborate with larger partners for a variety of reasons. Similarly, while many churches would like to become more engaged with social issues they may struggle with theological approaches, and worse still they may be tempted to exert unwelcome controlling influence over specialist charities.

Notwithstanding, latent capacity exists for CSACs to achieve their missions more effectively. As political will among key players is developed, it is possible that small successes will lead to greater successes over time. Research has a vital role to play here by offering evidence-based guidance to key stakeholders. Evidence-based advice is perhaps most easily achieved through university-charity collaborations which deploy the engaged scholarship stance, for example through action-based research. Certain aspects of under-performance and poor scalability could be addressed partly through research into the intrinsic and extrinsic value of spiritually-motivated Christian mission. For example, quantifying attributable and comparable individual and communal wellbeing results arising from the application of 'salt and light' to challenges in civil society. But of course DRT can be used beyond CSACs.

Most of the data revealed challenges that are common to nonprofits and SEs of all motivations and missions, including non-faith and other faith organisations. All operate in policy-driven social markets where RBT promotes market competitive efficiency and DCT takes a dynamic, entrepreneurial approach to effectiveness in volatile conditions. Fruitful social missions will benefit society as a whole.

This original contribution to knowledge ends with hope for more effective CSAC missions which can improve and increase social action, in turn contributing to a more just and caring society. But can our efforts produce a genuine 'Big Society'?

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