**The management of social enterprise organizations
a configurational perspective**

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The management of social enterprise organizations: a configurational perspective

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Abstract

This thesis concerns the management of social enterprise organizations from a configurational perspective. Social enterprises are approached as organizations that have social missions that are achieved through trading, which have existed historically and have received recent research attention. Configurations – the idea of wholes comprising connected elements - is an established research perspective in organization studies with areas that are less understood. This suggests that the combination of social enterprises and configurations has potential as a research area.

The thesis addresses linked research questions around the performance of social enterprise organizations for which senior managers are responsible. The general literature about different views of organizations and their performance is compared with previous specific work on social enterprises, leading to the identification of a research direction that may assist in moving the argument forward. A theoretical framework is set out based on configuration theory aided by critical realist meta theory, within which is embedded a conceptual framework dealing with configurations, fits and fittings.

The design for the methodological process is based on doubly sequential mixed methods. The first phase comprises a qualitative expert interviews stage followed by a quantitative cluster survey stage, and the second phase comprises four case studies that are viewed both qualitatively and quantitatively. The results of the first phase probes plausibility with initial findings together with guidance on how the study could proceed in the second phase. The results of the second phase builds plausibility through a pair of higher performing organization case studies and a pair of lower performing organization case studies.

The discussion addresses the plausibility building phase by comparing the case studies relative to the theoretical and conceptual frameworks and other literature, and then reflects on the analytic generalization of the findings. The conclusion responds to the research questions, and sets out strengths and limitations of the research, together with its contributions. Finally, implications for further research and potential applications to advanced practice are offered.

Acknowledgements

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Minor corrections – May 2020

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CHAPTER 1: INTRODUCTION: STARTING POSITION FOR THE RESEARCH

Ultimately, education in its real sense is the pursuit of truth. It is an endless journey through knowledge and enlightenment

APJ Abdul Kalam (1931-2015)

Man cannot discover new oceans unless he has the courage to lose sight of the shore

Andre Gide (1869-1951)

Travel makes one modest. You see what a tiny place you occupy in the world

Gustave Flaubert (1821-1880)

Travel requires both the courage to investigate and the humility to recognise that one's own journey is modest in comparison with size and number of other possibilities. Similar features apply to this research journey. As for any journey, a point of departure needs to be addressed, together with an intended destination. This chapter introduces and positions these aspects of this research journey, against the background that while it is important in its own terms, it is modest in comparison with those undertaken by others in the past, present and future.

This research is about the management of social enterprise organizations from a configurational perspective. Managing involves the practices of people acting in management roles. One activity of social enterprise managers is to manage such that their organizations perform well. Social enterprises can be considered to be a phenomenon in the world of management and organization.

This chapter addresses two issues. Firstly, the starting point is to consider the management of social enterprise as a subject of research. The nature of social enterprise as a construct and broadly in terms of previous research are addressed. Secondly, the research study is introduced. The context of the research is set out with some research questions that identify where the study intended to end up, and then the structure of the thesis is outlined.

1.1 SUBJECT OF THE RESEARCH

Social enterprise as the subject of research has received interest but presents research obstacles. Interest in social enterprise has been from parties including policy makers, practitioners, and academics. Policy makers have sought to use social enterprise as a way of addressing social problems, such as for the supply of public services in the United Kingdom (UK). Practitioners are responsible for managing social enterprises, although the number of social enterprises in the UK have been disputed (Teasdale et al., 2013). Academic interest has continued to increase since the early 2000s, using the number of peer-reviewed papers per year as an indicator. However, against the background of these differing interests, research advancement, and in particular theoretical progress, can be considered as having two broad groups of obstacles: "definitional confusion" and "language limitations", and "conceptual misunderstanding" and lack of rigour in research methods (Mueller et al, 2015: 246). In order to address these impediments, social enterprise is considered below as an umbrella construct (Hirsch and Levin, 1999), first addressing the nature of the construct and its focus in this study, and secondly the nature of previous research.

1.1.1 Nature of the construct

There are four main stages in the life cycle of an umbrella construct, the last stage having three alternatives, as shown in Figure 1.1: Life cycle of an umbrella construct, after Hirsch and Levin (1999). The first stage is one of initial excitement as the construct emerges. This is followed by a second stage in which the construct is queried, and its validity is challenged. In the third stage, attempts are made to tidy up the construct by means of typologies or "typing". In the fourth stage, the challenge to the construct may be overridden, or it may be permanently contested, or it may collapse. Hirsch and Levin (1999) have identified various constructs which at the time appeared to be located at one or other of these stages. Two criticisms of the umbrella construct life cycle can be made. One possibility is that the biological metaphor of a life cycle might be more complex in the case of constructs, and so while a given construct might generally be located at a particular stage, research that is characteristic of the any of the other stages may be carried out simultaneously. A potential omission is the context that surrounds the construct. Bearing these points in mind, the umbrella construct life cycle can be used to discuss the nature of social enterprise as a way of addressing definition and language issues.

1
Emerging
excitement

2 Validity
challenge

3 Tidying
typologies
(typing)

4a
Challenge
override

4b
Permanent
contest

4c
Construct
collapse

Context
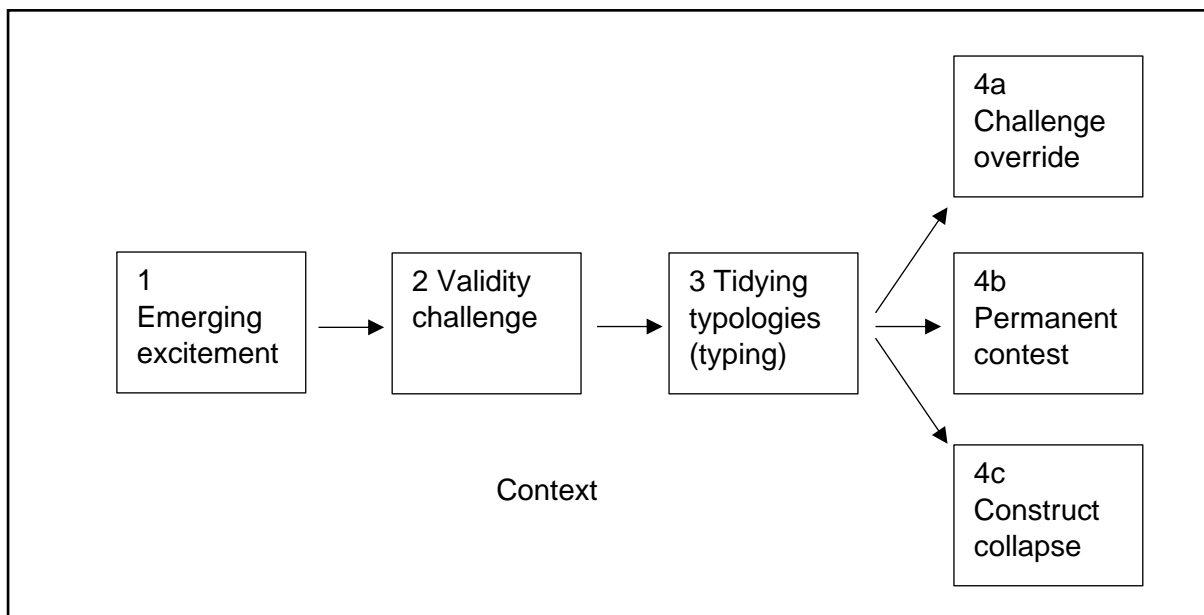
Figure 1.1: Life cycle of an umbrella construct (after Hirsch and Levin, 1999)

In the first stage of emerging excitement definitions are less important and the language used is overly positive. Indeed, earlier research in social enterprise had a tendency to cast them in a "favourable light" (Doherty et al., 2014: 417; Parkinson and Howorth, 2008; Sepulveda et al., 2013). Dey and Steyaert (2010: 85) have identified some descriptions that include "utopian rhetoric and their emphasis on newness". This suggests that earlier research tended to be more favourable in its views on social enterprise than could be supported, and that more even-handed treatment was required.

In the second stage of validity challenge, there is scepticism as a reaction to the overly positive first stage. From this viewpoint there is the possibility of the construct baby being thrown out with the bath water. If a construct covers more and more diverse phenomena, then it may mean less and less. Research studies become harder to compare and the body of knowledge does not accumulate (Hirsch and Levin, 1999). While there may be confusion, such scepticism can, however, be argued to be healthy (Scott, 2011).

The third stage of tidying typologies takes more of a middle line between the first two stages. On the one hand the tidying typologies stage takes as a given that the construct is worthy of development, and on the other hand that this can be achieved productively by assessing types in the construct. These types have been the subject of more recent debate. Types can be understood on two levels: a more general level referring to a small set of terms closely related to social enterprise, and a more specific level referring to social enterprise itself.

At the more general level social enterprise is associated with the terms social venture and social entrepreneurship. Social ventures are considered here to be a broader construct than social enterprise, and to refer to organizations that are social in nature, but which may achieve such objectives in different ways including trading (Smith et al., 2014). Social entrepreneurship is taken to refer to a process in this study (Murphy and Coombes, 2008), which is carried out by social entrepreneurs. Social entrepreneurship is often defined by reference to "novel activity" (Newbert and Hill, 2014: 265). However, the term entrepreneurship is a derivative of entrepreneur, and so can be taken as acting as the manager of an enterprise. The term social can be taken as referring to society and human beings. On this definition, managers/social entrepreneurs carry out social entrepreneurship activities that may be involve change or continuity, which may involve social enterprise organizations.

At the more specific level, social enterprise itself can be considered from the point of view of types. Here, social enterprise is considered to be an entity rather than an activity, as this accords with more general UK practice rather than that in the US (Teasdale, 2012; Dees, 2001). Teasdale (2012) has proposed four types of social enterprise in the UK based on axes of economic/social and collective/individualistic, with years of transition in brackets: co-operatives (1999), community enterprises (2002), social businesses (2006), and earned income for non-profits. This does not preclude other types of social enterprise emerging in the UK, such as from the government's mission-led business review in 2016 (UK Government, 2016). One way of bringing more focus to research in social enterprises, and to be able to make comparisons more readily, is to concentrate on one type. This approach has been used by Battilana et al. (2015), who studied Work Integration Social Enterprises (WISEs) in Europe, which share the aim of helping people who are unemployed get a job, such as The Big Issue in the UK (Battilana et al., 2015: 1659). This study will follow this practice of using a type of social enterprise as an exemplar.

Social businesses have advantages as a type. Social businesses operate closer to the "business" end of the spectrum due to their more economic and individualistic orientation (Teasdale, 2012). They can be qualitatively distinguished from earned income for nonprofits as they are an entity rather than an activity, considered as an ideal type (Teasdale, 2012: 102). However, social businesses can have some overlap with other types – e.g. cooperative-like characteristics if they operate relatively flat organizational structures, elements of community enterprise through community focus and more equitable resource allocation by operating locally with modest remuneration of their senior managers, and even be the converse of earned income for nonprofits by operating their own charities. Furthermore, social businesses are involved with the delivery of welfare services in the UK (Teasdale, 2012: 104). While as an ideal type, social businesses might be expected to fill gaps in welfare services that are

publicly funded, the overlap between types may mean that in practice they deliver such services to the public sector. The relationship of social businesses with the public sector, either as complements or suppliers, adds a further dimension for debate. Consequently, social businesses as a type of social enterprise was chosen as the focus in this research.

Alongside the typology tidying discussed above, social enterprise has the characteristic of an umbrella construct in that it has a central feature that acts as a glue, which can form the basis of a challenge override. This feature, on which there is consensus is that social enterprises give primacy to social objectives that they achieve by trading (Doherty et al., 2014). One working definition of a social enterprise is:

"…a business with primarily social objectives whose surpluses are principally reinvested for that purpose in the business, or in the community, rather than being driven by the need to maximise profit for shareholders and owners." (Department of Trade and Industry (DTI), 2002: 13)

This feature distinguishes social enterprises from other kinds of organizations, such as "pure" businesses that trade but whose social objectives are not primary, and public sector organizations and some charities that have primary social objectives but do not trade as such. Again, in practice there is blurring, such as when a charity is a provider of welfare services to the public sector. Given this central characteristic, how well social enterprises perform in their social objectives and trading is a concern for research.

Encouraging though the potential challenge override by a central feature of social objectives achieved through trading might be, it remains problematic. Trading itself is a challenge for organizations, with high profile failures in the private sector and social sectors (e.g. BHS (BBC, 2016a) and Kids Company (BBC, 2016b), and indeed in social enterprise (e.g. Secure Health (Gould, 2009). What is meant by social objectives is even harder to define, with its potential links to social value, social impact, social capital, and perhaps more fundamentally the contribution to humans as individuals and society. The social performance and economic productivity present a management challenge (Battilana et al., 2015). Furthermore, value can be more internal to the organization or more external (Teasdale, 2012); social value and economic value created by social enterprises can benefit those inside the organizations, such as its managers, staff and volunteers and/or outside such as its customers. Nevertheless, the idea of values, both "social *and* economic" (Newbert and Hill, 2014: 257, citing Porter and Kramer, 2011) and internal and external, provides a focus for development of the social enterprise construct.

Despite typology tidying and challenge override, social enterprise has been a contested concept (Teasdale, 2012). This contest does not prevent research contributions being made.

Indeed, it requires them to be made if there is to be progress towards overriding the challenges to social enterprise or towards the collapse of the construct. However, contributions to discussion on the subject through research are always open to debate.

Should social enterprise collapse as an umbrella construct, this would not preclude the phenomenon and its issues being discussed using other terminology. Teasdale's (2012) view that the recent focus on social enterprise is largely a debate under a different name about types of organizations that have existed for centuries. The same phenomenon and issues may recur using different terms. One way of anticipating construct collapse and changes in terminology is to discuss social enterprise using the more generic and stable language, such as that of management and organizations.

As a construct, social enterprise has to be considered in context (Teasdale, 2012). At least three aspects of context are worthy of consideration: spatial, temporal and technical. The nature of social enterprises in different countries has been a focus of international comparative research (Kerlin, 2010; Galera and Borzaga, 2009). The similarities and differences in conceptions between Europe and the United States has been a particular focus (Defourny and Nyssens, 2010). England is an important site for social enterprise, given its "sophisticated supporting infrastructure" (Teasdale, 2012; Nicholls, 2010). It was also convenient that the research base for this study was in England.

Social enterprise and its related constructs have received research attention from a range of disciplines (Short et al., 2009). However, Management and Other Business disciplines alone make up a sizeable minority of published and cited papers, and some others are more specific areas within management generally (e.g. entrepreneurship). However, Smith (2012: xiii) has observed that the "central assumptions of the social enterprise model have not been rigorously examined by social scientists". An organization and management viewpoint appeared to provide a position of relative strength, although where there were still significant challenges. For these reasons, the context of this study was organizational and managerial, recognizing context.

1.1.2 Nature of previous research

An overview of social enterprise related research can be given. A high-level quantitative review was conducted, as a complement to the more qualitatively oriented discussion regarding the research project components that follows. The review was dated August 2016 using the Social Sciences section of the Scopus database. The search parameters used were social enterprise, social entrepreneurship, and social entrepreneur, with no limit on the start date, where the parameters were used in the documents, or the types of documents. The main limitation was that the database used did not include papers from the Social Enterprise Journal.
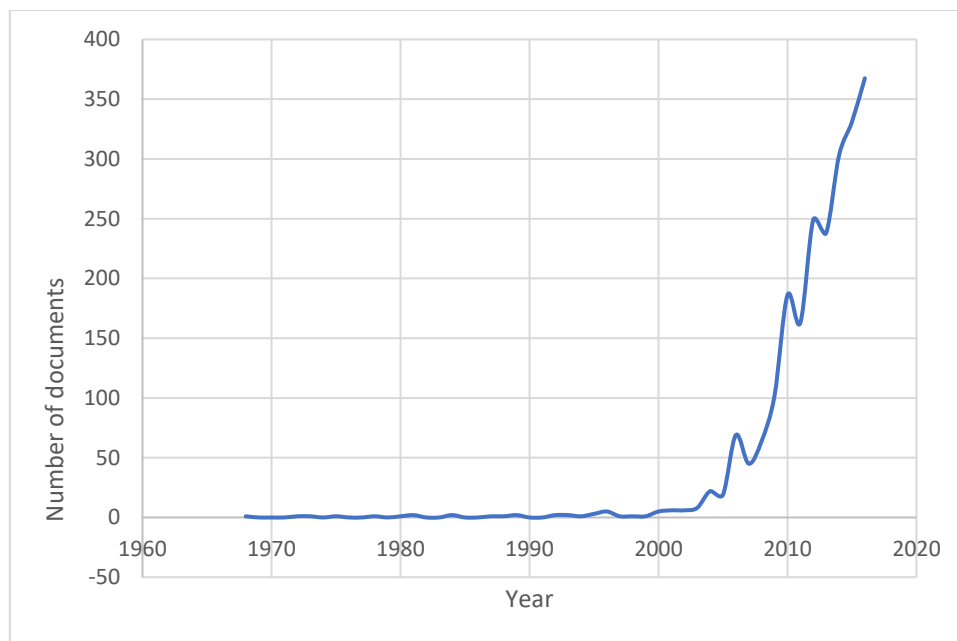
Figure 1.2: Graph of years against documents on social enterprise and related constructs

As can be seen from Figure 1.2: Graph of years against documents on social enterprise and related constructs (n.b. number of papers to end of 2016 estimated on a pro rata basis), the first mentions of social enterprise and related constructs appeared in documents in the late 1960s, although it was not until the early 2000s that the increase per year in documents using these terms began, and the increase per year has been more or less consistent to date. Most of these documents were papers (1369/2091 = 65%). Of the journals in which these papers appeared, the Journal of Social Entrepreneurship featured the most (87/1369 = 6%) followed by the Journal of Business Ethics (53/1369 = 4%). The United Kingdom was second to the United States in document production (US 616/2091 = 29%; UK 405/2091 = 19%). The top three subject areas by numbers of documents were (1) Business, Management and Accounting (1220); (2) Social Sciences (1088); (3) Economics, Econometrics and Finance

(709). These frequency counts show that the number of documents has increased, there is now a body of work in the form of papers spread among more and less specialist journals, and that the UK and England, and Management and related subject areas, are an appropriate context in which to research social enterprise.

Using the same data from the search of Scopus in August 2016 also enabled the keywords associated with social enterprise and related terms to be analysed by frequency, thereby identifying broad research themes. The raw list of keywords was reduced by putting synonyms and closely related terms together to form keyword clusters. These clusters were named either by using one of the keywords or an overall descriptor. The parameters of social enterprise, social entrepreneurship, and social entrepreneur were the first, second and fourth most frequently used terms, which corresponds with their role as search terms. The frequency of associated keyword clusters decreased quickly at first and then slowly. In the interests of manageability, a cut-off point was taken at 80% of the frequency counts, and these keyword clusters are shown in Figure 1.3: Frequency of keyword clusters associated with social enterprise and related terms.
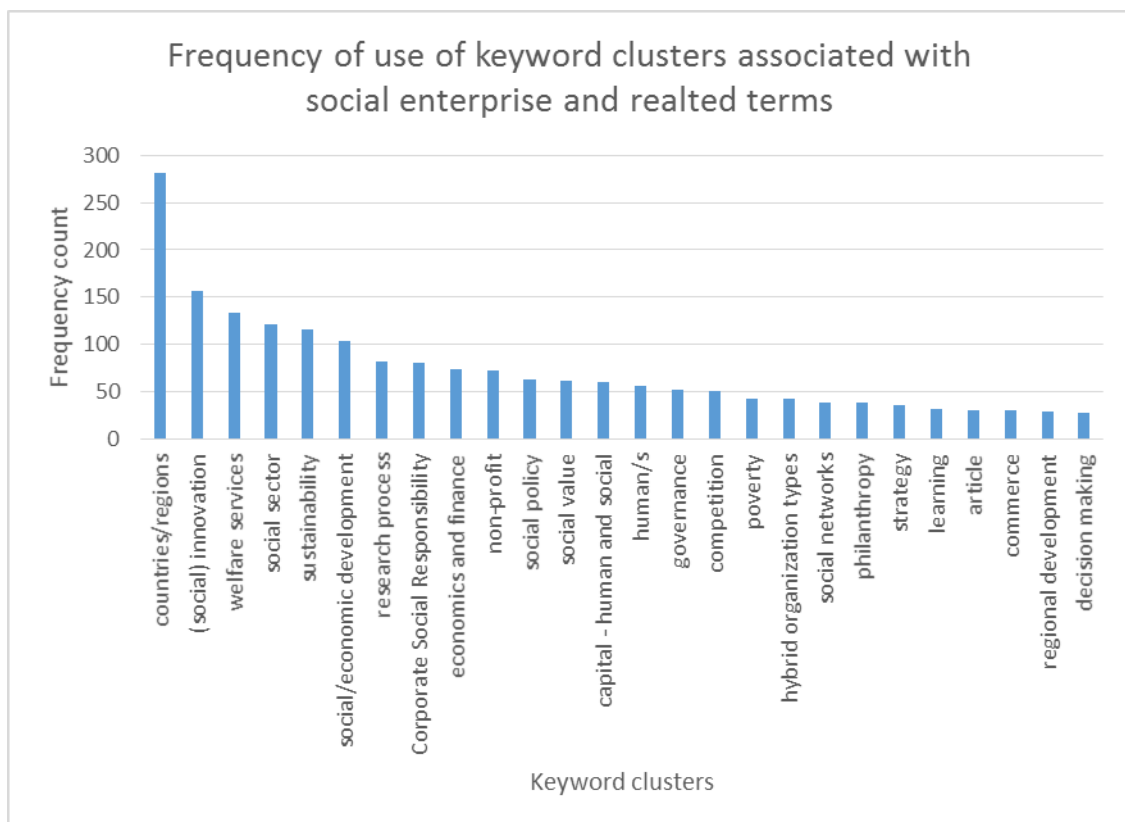
Figure 1.3: Frequency of keyword clusters associated with social enterprise and related terms

The top 26 keyword clusters in Figure 1.3 have several characteristics. Firstly, the importance of context is highlighted, particularly in terms of countries/regions, within which the UK and England were mentioned the most, but also about welfare services and the connection with public provision (or not). The emphasis on newness is shown through social innovation being highly ranked. Several of the keyword clusters are connected to the social/trading central feature of social enterprise – either emphasizing one aspect or the other - e.g. social sector, non-profit, and philanthropy, or economics and finance, competition, and commerce - or both aspects e.g. social/economic development and hybrid organizations. A few keyword clusters highlight management activities: governance, strategy, and decision making. There are also keyword clusters that relate to performance: social value and capital – human and social. The research process and its various stages are also noted. These keyword clusters resonate with the context and stages of social enterprise considered as an umbrella construct.

Search parameters in literature reviews tend to be directed either towards social enterprise, or social entrepreneurship, or both, and are sometimes linked to other search terms. For example, a review by Rey-Marti et al. (2016) focussed solely on social entrepreneurship, and was a bibliographic study, in an effort to provide structure. However, the Web Of Science (WOS) database they used did not include the specialist Journal of Social Entrepreneurship. Phillips et al. (2015) sought to link the terms social entrepreneurship and social innovation in their literature review, which appears promising given the high ranking of social enterprise as a keyword cluster (see above). However, the authors' claim that their work is a systematic review could be open to question. In their review of a handful of literature reviews, Goncalves et al. (2016: 1590-1591) suggest that it has been reasonably common practice to combine the search terms social enterprise and social entrepreneurship in combination with the terms social entrepreneur and social venture, sometimes with other terms. Granados et al.'s (2011) review, while bibliometric in nature, was more focused than some reviews, and considered social enterprise and social entrepreneurship and included both the Journal of Social Entrepreneurship and Social Enterprise Journal. One finding was that the terms social enterprise and social entrepreneurship, and indeed social entrepreneur, were "synonymous in the literature" (Granados et al., 2011: 211), despite their arguable differences as nouns and verb. Goncalves et al.'s (2016: 1591) own more recent review used the terms social enterprise, social business, and inclusive business. Their use of social enterprise as the only broad search term ran the risk of missing some material, although the narrower focus on social businesses was likely to be helpful. While the focus of the review by Hill et al. (2010) was social entrepreneurship, the search terms they used were social enterprise, social entrepreneurship, social entrepreneur and social venture, to which they added community enterprise as one ideal type of social enterprise. These literature reviews appear to be wrangling with social

enterprise as an umbrella construct. There have been attempts to structure the reviews, using of the "synonyms" social enterprise and social entrepreneurship, with some focus on ideal type/s of social enterprise, and use of both broad databases and specific journals.

The importance of theory to enhance the legitimacy of social enterprise has been put forward by Haugh (2012: 10). Indeed, there is a lack of "well-established theories" in the field (Newbert, 2014: 239), and theory appears to lag behind practice (Mueller et al, 2015: 246, citing Dacin et al., 2010; Murphy and Coombes, 2008). Furthermore, Haugh (2012: 10-12) has stated that social enterprise research sits on a spectrum from atheoretical, through theory borrowing and improvement, theory extension, on to theory generation. Atheoretical approaches that cast social enterprise in a favourable light were evident in early research (Doherty et al. 2014: 417, citing Parkinson and Howorth, 2008 and Sepulveda et al., 2013). Mair and Marti (2006) have borrowed from institutional theory for use in the field of social enterprise. Siqueira et al. (2014) have argued that contributions can be made to social entrepreneurship research by extending existing theory. Haugh (2012: 11) has argued that her own research on the emergence of community-led social ventures (Haugh, 2006), is an example of the generation of new theory. Social enterprise has been argued to be theoretically diverse (Doherty et al., 2014), and meta-theories have been noted (Kansikas and Lehner, 2013). Some early atheoretic work is consistent with the initial excitement stage of an umbrella concept. However, social enterprise research has also produced theoretical contributions on a scale from borrowing and improvement, extension, and generation, reflecting the extent to which the field is seen as an empirical category to which existing theories can be applied, or one that requires its own theories.

It is debatable whether social enterprise is, or can be, simply a research site for theory application or whether its characteristics are so unique that new theory is required. Newbert and Hill (2014) have identified that this debate has implications for theory. On one hand social entrepreneurship can be considered to be one environment in which organizations operate, which suggests that it is a subject for established theory to be extended. Dacin et al. (2010) have argued along these lines, and have observed that while entrepreneurship in general and social entrepreneurship in particular can learn from each other, there is no need for new theory and the way forward lies in extending existing theories. On the other hand, social enterprises can be considered so unique that they require new theories, as has been advocated by Nicholls (2010). One issue concerns the use of "neoclassically inspired theories that have come to dominate the management discipline are not reflective of what firms aver to do" (Newbert and Hill: 2014: 261). On this view, care needs to be taken with theories that are business-oriented in favour of more rounded organizational approaches

Methods are needed to handle fieldwork data, requiring increasing rigour and creativity as one proceeds further along the theory spectrum from atheoretic work to generating new theory, in research situations that can be "messy" (Haugh, 2012: 12). However, some research has been conceptual (Short et al., 2009: 165), in an effort to address aspects of typology tidying, and so does not rely on fieldwork data or therefore require methods to deal with them, although such research can still be descriptive, explanatory, or predictive (Short et al., 2009: 165). In order to develop beyond the abstraction of typology tidying and increase relevance to practice (Haugh, 2012: 10) thereby advancing the contested subject of social enterprise, engaging with empirical data is needed. Such empirical work in social enterprise has in the past been dominated by qualitative methods rather than quantitative work, although there has been some mixed methods research (Granados et al., 2011: 209). Doherty et al. (2014: 431) have commented that because of this imbalance, more quantitative work is a priority

Within the qualitative and quantitative strategies that have been used, some methods have been more commonly used than others. Case studies have predominated in qualitative work (Granados, 2011: 209). In quantitative work, surveys have been the most common method (Granados et al. 2011: 209). In mixed methods there has been a roughly even split between sequential and concurrent methods (Granados et al. 2011: 209). Interviews have been the most common data collection technique, and it has been commonplace not to specify analytical techniques used (Granados et al., 2009: 210). More recent research has used more sophisticated methods such as comparative case studies (Pache and Santos, 2013) and sequential mixed methods using quantitative panel data prior to a pair of qualitative case studies (Battilana et al., 2015). Consequently, while some methods have predominated, in particular the qualitative case study, there is evidence of some methodological diversity and enhancements to case study approaches.

1.2 THE STUDY

Having established the nature of the construct of social enterprise/social entrepreneurship and previous research. The outline of this study can now be sketched. The research context and questions are set out. This includes a pause for reflection on the relationship between the researcher and the research. The compositional structure of the thesis in summarised. Accordingly, the intended target of the study is set out.

1.2.1 Research context and questions

The previous sections discussed the subject of social enterprise which informed the study. Research questions were used to frame the research (Punch, 2009: 64-69), in a specifically defined context. The study context is defined, and the research questions are set out below.

The context surrounding the research questions provides definition and helps to avoid repetition in the research questions. The temporal and spatial focus was on contemporary England. Social business was used as an exemplar kind of social enterprise. Performance was defined as social and economic values and performing well extended this to suitable values. Performance was viewed from the perspective of equifinality, the idea that there are different starting conditions and different pathways to the same state. The target level of analysis was the organization as an open system, itself comprising sub-systems. The management of these social enterprise organizations was considered to be the social entrepreneurship practices of people acting as social entrepreneur managers, who engaged in maintenance and change activities. Types of social enterprise, social entrepreneurship, and performance were considered as a way forward.

The study focuses on social enterprise organizations and their performance for research and personal reasons. Part of a way forward for social enterprise research that has been suggested was to focus on social enterprise performance (Mueller et al., 2015: 250). Newbert (2014: 239) argued that building research in social enterprise generally, and so in their performance specifically, can be achieved through "theoretical outcomes, such as models, and by the theorizing process" (citing Weick, 1995). Senior managers of social enterprise organizations are accountable for organizational performance, and accountability is a concern (Connolly and Kelly, 2011). The researcher's background is as a manager of increasing seniority in the field of the provision of human support services. He has worked in and for private, public and social sectors, and been a director of a social enterprise. As a practitioner-researcher, he undertook this study to contribute to a better understanding of social enterprise organizations for its own sake and to improve practice, and to enhance his own capabilities. He saw social enterprise organizations that perform well as one way in a pluralistic society, with private, public and social sectors, to enhance the supply-side of human support services.

The research questions (RQs) (Punch, 2009: 64-69) comprised three linked questions:

RQ 1: Under **what** circumstances do social enterprise organizations perform well?

RQ 2: **Why** do they perform well under these circumstances?

RQ 3: **How** do managers deal with these circumstances so that their social enterprise organizations perform well?

Performing well was taken to refer to an organization operating in a zone between survival and superior performance. More specifically a working definition was that the organization survived the shorter-term (0-3 years) and the medium-term (4-6 years) providing the same set of services. The overall aim of the study was to address these research questions.

1.2.2 Compositional structure of the thesis

The thesis is organized into eight chapters. These chapters are arranged into four blocks. The first block is introductory and comprises Chapter 1. The second block contains three chapters, Chapters 2-4, which are based on previous research by others in the form of a literature review, a theoretical framework, and a methodological process respectively. The third block contains three data chapters in Chapters 5-7. The fourth block contains an integrative Chapter 8. This structure for the thesis is shown in Figure 1.4 and is outlined below block by block.

In the first block, this chapter, Chapter 1: Introduction: Starting position for the research, has sought to open up the study and to locate it in both the subject area of social enterprise and broadly in previous research. Research questions concerning social enterprise organizations and their performance, especially performing well, are used to set out an intended destination for the study.

The second block comprises three chapters that address different literatures. Chapter 2: Literature review: organizations, social enterprise organizations and performance, compares and contrasts previous research on theories of organization and performance with work on social enterprise organizations and their performance. Chapter 3: Theoretical framework: Configuration theory informed by Critical Realism, compares and contrasts a theory with a meta-theory respectively, and produces a conceptual framework. Chapter 4: Methodological process: doubly sequential mixed methods, sets out a design process for the fieldwork. This process comprises phase 1 made up of stage 1: expert interviews followed by stage 2: cluster survey, and then phase 2 made up of comparative cases, with a pair of high performing social enterprises and a pair of low performing social enterprises.

The third block contains three chapters that present results from fieldwork. Chapter 5: Results of phase 1 - plausibility probing: expert interviews and cluster survey, presents results that

assisted in how the study could proceed, selection of the case studies, and some initial findings. Chapter 6: Plausibility building – results for Case 1 and Case 2 presents results from a high performing pair of social enterprises, and Chapter 7: Plausibility building – results of Case 3 and Case 4 presents results from a pair of low performing social enterprises.

The fourth block contains Chapter 8: Discussions and conclusions. This chapter firstly discusses the preliminary findings in brief, the similarity and dissimilarity between the comparative cases in the light of the theoretical framework and literature review, and then further issues. Some conclusions follow, which respond to the research questions, and identify a contribution to knowledge, together with strengths and limitations of the study. Some implications for further research and for advanced practice follow.

Block 1

Chapter 1: Introduction: Positioning the research

Block 2

Chapter 2: Literature review: organizations, social enterprise organizations and performance

Chapter 3: Theoretical framework: configuration theory informed by Critical Realism

Chapter 4: Methodological process: Doubly sequential mixed methods

Block 3

Chapter 5: Results of phase 1 – plausibility probing: expert interviews and cluster survey

Chapter 6: Results of phase 2 - plausibility building: pair of high performing cases

Chapter 7: Results of phase 2 - plausibility building: pair of low performing cases

Block 4

Chapter 8: Discussions and conclusions

Figure 1.4: Compositional structure of the thesis

Summary

The starting point for this study is that social enterprise has characteristics of a contested umbrella construct with features across a life-cycle. Early work was unjustifiably positive, and a validity challenge followed. However, social enterprise remains a contested construct, which may collapse in future if the label is stretched too far. Challenges may be overridden by focusing work on typing around the consensus that social enterprises give primacy to social objectives that they achieve through trading. Through awareness of the nature of social enterprise as an umbrella construct, a foothold was established to start the research.

Previous research on social enterprise can be characterised overall and in relation to components of research. Research interest in social enterprise and related constructs has increased more or less year-on-year since the early 2000s. Themes associated with social enterprise/social entrepreneurship showed that aspects of the social/trading nature are common, together with an emphasis on innovation. Some reference is made to management and performance, with stress on the importance of national and welfare service contexts. The diverse theories, and developing meta-theories, in social enterprise and related constructs have covered atheoretic work, through borrowing and improvement, extension, and generation. However, it is debatable whether social enterprise is a site for theory application or sufficiently unique to require new theory. Methods have been predominantly qualitative case studies, although there is evidence of methodological diversity, including the enhancement of case study work.

The intended destination of this research study was outlined taking into account the nature of the social enterprise construct and the characteristics of previous research. A research and personal context pointed to focusing on social enterprise organizations and their performance, in particular, performing well. Three connected research questions were identified as an intended destination. The compositional structure of the thesis was set out based on eight chapters arrange in four blocks.

CHAPTER 2: LITERATURE REVIEW: ORGANIZATIONS, SOCIAL ENTERPRISE ORGANIZATIONS AND PERFORMANCE

A map does not just chart, it unlocks and formulates meaning; it forms bridges between here and there, between disparate ideas that we did not know were previously connected

Reif Larsen (1980 -)

To put a city in a book, to put the world on one sheet of paper – maps are the most condensed humanized spaces of all…They make the landscape fit indoors, make us masters of sights we can't see and spaces we can't cover.

Robert Harbison (1940 -)

We're all pilgrims on the same journey – but some pilgrims have better road maps.

Nelson DeMille (1943 -)

This literature review is analogous to a map for the research journey. As a map, the chapter bridges from the research questions to the theoretical framework. Indeed, within the literature review there is a bridge between organizational research and social enterprise research. As with maps, this literature review involved some condensation with salient features highlighted. The literature review as a map aimed to assist the journey.

In literature reviewing, social enterprise organizations were viewed as a research site that could benefit from general organizational research and vice versa. It was acknowledged that different literature reviews are possible, and that no one review can be "perfect" (Hart, 1998: 25), although the approach taken here contributed to a "disciplined debate" (Weick, 1999). A narrative overview of general research on organizations and performance was adopted. The aim was to produce a comprehensive narrative synthesis (Green et al., 2006: 103). While narrative reviews have been criticised (Booth et al, 2012: 19) they are common, including in disciplines such as medicine (Ferrari, 2015: 234). The narrative review of organizational research was followed by a scoping review of specific research on social enterprise organizations and performance up to the end of 2016, using similar themes to those in the narrative review. This scoping review adopted a method based on a proposal by Arksey and O'Malley (2005).

The literature review takes the form of setting out two sets of literature: one concerning organizations and their performance in general, and the other more specifically about social enterprise organizations and their performance, and makes a comparison and contrast between them. An overview of research concerns of the two territories are set out first. This is followed by some circumstances that have been associated with organizational performance. These circumstances were addressed in organizational, environmental, and managerial groups. Next the nature of performance is discussed. This is followed by considering decisions about the circumstances and performance, i.e. processes to address the independent and dependent variables. Finally, the research issues that arose are reviewed, together with their potential resolutions. These issues are set out in turn below.

2.1 OVERVIEW OF RESEARCH CONCERNS

2.1.1 Overview of organizations and performance

Organizations and their performance are important and long-standing themes across the management research domain and are central to management theory being practically relevant (Richard et al., 2009: 744-745; March and Sutton, 1997: 698). However, organizational performance is problematic in nature principally because of the typically assumed use of performance as a broadly defined dependent variable associated with various independent variables and a lack of recognition of the complexities of causal structure (March and Sutton, 1997: 698-699; Richard et al., 2009: 719-721). The difficulties caused by such approaches impact on both the academic sphere, where studies can be hard to compare, and on the practical sphere where relevance can be called into question (Richard et al., 2009: 719, 745). Furthermore, decisions to maintain or change independent variables and/or dependent performance variables are made in this context. Consequently, organizational performance is a dominant, yet problematic, construct in management research, about which there is ambivalence and no neat solution (March and Sutton, 1997: 705).

Moreover, the "generalized abstract conceptualization" of performance has been criticised by Miller et al. (2013). They have argued that such a conceptualization does not treat performance as a "scientific tool" that helps to build a knowledge base, but rather as an "instrument of legitimacy" (Miller et al., 2013). This raises the question as to whether research is treating performance in a way that could be helpful to practice. Performance is commonly measured using single indicators in research (Boyd et al., 2005: 244; Richard et al., 2009: 721). This use of one or two narrow indicators of performance has been criticised by Miller et al. (2013). Accounting and financial indicators are often emphasised (Richard et al., 2009: 722). The use of one or two narrow accounting or financial indicators in research is in contrast with the increase in number and breadth of performance measures that has taken place (Richard et al., 2009: 721). The generalized approach to performance, especially using a single accounting/financial indicator, has drawbacks for both research and practice, suggesting that multiple types of performance are worthy of investigation.

The typical formulation of independent variables that explain the variability of dependent performance presents a causal structure that tends to underplay types of complexity. As March and Sutton (1997: 700) have observed, the use of "elementary causal conceptions" in research on organizational performance is common and leads to generally unacknowledged problems. Performance needs to be linked to theories of how organizations achieve "strategic advantage" (Richard et al., 2009: 743). Viewed from this perspective, independent and dependent performance variables constitute a "rich system" (March and Sutton, 1997: 701).

Furthermore, these independent variables and dependent performance variables exist in a dynamic context (Richard et al., 2009: 726). Indeed, decisions are made to address these dynamic variables. Heterogeneity (Richard at al. (2009: 724) and multiple paths to performance (Richard et al., 2009: 744) are to be expected. These issues are aspects of "complex worlds" for which "simple models" may be inadequate (March and Sutton, 1997: 700).

More complex models may be helpful. The use of more complex models is equivalent to looking for a satisfactory solution to a more realistic world, rather than seeking to optimize a simpler model, although both exist in the management domain (Simon, 1979: 498). These theories are of different types and can be broadly categorized into those concerning the organization, its environment, management itself, and the choices made by managers (Richard et al., 2009: 724-725) and the. These aspects formed the basis for further consideration.

2.1.2 Overview of social enterprise organizations and performance

The management of social enterprises and their performance are intertwined (Sanchis-Palacio et al., 2013). Different factors are associated with the performance of social enterprises (Fisac-Garcia et al., 2015). However, there are overarching concerns such as identity, governance and legitimacy (Smith and Woods, 2014: 212-213). Organizational reputation has been linked to performance (Prieto et al., 2014), and organizational respect has been argued to play a role in the psychological contract and job satisfaction of employees of social enterprises (Román et al., 2014: 112-113). Trust was seen as important issue (Seanor and Meaton, 2008: 29-30), together with accountability and autonomy (Connolly and Kelly, 2011: 231-234; Laratta, 2009: 259-261). Rotheroe and Richards (2007: 32) and Rahman and Hussain (2012) respectively discussed the role of performance measurement and performance reporting in accountability and its transparency. Connections have been established between governance and performance (Diochon, 2010: 96-98; Mswaka and Aluko, 2015), and governance dynamics linked to legal principles (Fisher and Corbalán, 2013: 21-22). The legitimacy of social enterprises has been questioned (Nicolopoulou et al., 2015: 163-165), and seeking legitimacy is part of managerial organizing practice (Sarpong and Davies, 2014: 22-24). Consequently, the overall research concern in social enterprise organizations and performance is primarily related to legitimacy.

The body of specific social enterprise literature that was selected for the scoping review was necessarily bounded, and so can be overviewed numerically. Firstly, the literature was analysed generally by author, date and source. There were many different lead authors (290), with the majority (249/290 = 86%) having produced a single reference, and most of the

references (290/348 = 83%) having been written by different lead authors. A minority of lead authors (41/290 = 14%) produced between 2 and a maximum of 5 references. The majority of references were published over the decade 2006-2016, and over this period the number has grown steadily each year with some levelling off in the period 2012-2016. Well over half of the references were published in the five years 2012-2016 (inclusive). While most sources contain only a single reference (92/111 = 83%), a minority of sources (19/111 = 17%) contain multiple references and around three-quarters of the references (256/348 = 74%). Of this handful of sources two journals, Social Enterprise Journal and the Journal of Social Entrepreneurship, predominate. Therefore, the body of social enterprise literature was highly dispersed by author, relatively recent, and focused on a small number of journals but present in many.

Secondly, the literature was analysed by theme by content analysis of titles. The themes were those aspects identified in the overview of generic organizations. This provided an indication of research attention to the themes. The results of frequency counts by themes are shown in Figure 2.1: Frequency counts of themes in a body of social enterprise literature. Of the independent aspects, there was a clear ranking from most to least of organizational, environmental/contextual, and managerial. Much of the performance emphasis could be described as introductory, with less emphasis on single criteria, and less on multiple criteria, and some on other complicating issues such as time. Decision aspects were relatively small themes and were not sub-divided. Accordingly, most of the emphasis was on independent aspects, with a minority on dependent performance aspects, and a much smaller minority on decisions.
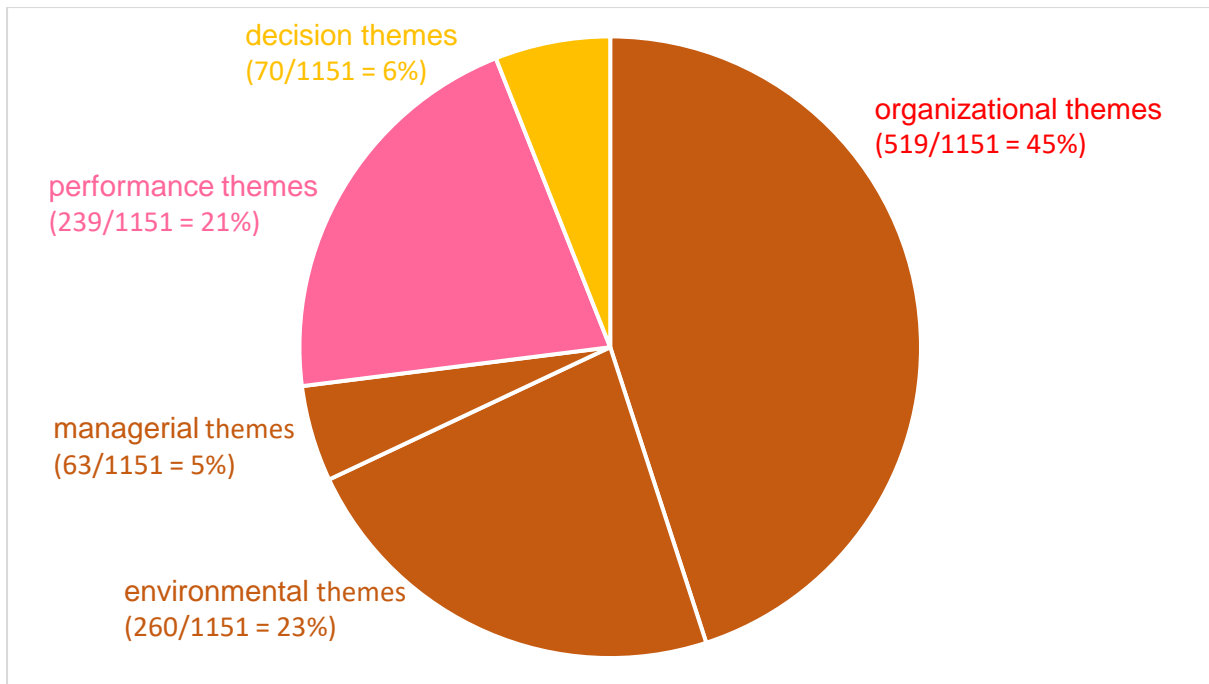
Figure 2.1: Frequency counts of themes in a body of social enterprise literature

Comparison and contrast: overview

There are both similarities and differences in the overviews of general organizations and performance and social enterprise organizations and their performance. There is similarity in that both are concerned with organizational legitimacy, although in organizations in general this is contrasted with a scientific approach and in social enterprises it is a primary focus. Organizations and performance is an established area of research, and performance is interwoven with the management of social enterprises that is a relatively recent area of research. The general attempt to link independent variables to potentially multi-dimensional performance as dependent variables, with decisions to maintain and/or change one or the other sets of variables, has underplayed complexity, suggesting more complex models may help. With respect to specific research on social enterprise organizations, themes related to these independent variables have received most emphasis, performance variables themes are in the minority, and decision themes are in a much smaller minority. For both general organizations and social enterprises, research into their performance links the complexity of explanations with organizational legitimacy.

2.2 STRUCTURAL THEMES

2.2.1 Organization themes - organizations

The main organizational factors that have been associated with organizational performance need to be addressed: strategy, structure, and culture through which resources and capabilities are managed. Structure, culture, and strategy have been linked to organizational effectiveness and performance by Zheng et al. (2010: 768-770), with knowledge management as an intervening factor in their study. Strategy, structure, and culture have been linked to each other. Strategy, defined as goal determination, action adoption and resource allocation, has been linked to structure, defined as organization activity and resource administration (Chandler, 1990: 14). Strategy has been linked to culture, through the latter's potential to hinder organizational change (Lorsch, 1986). Culture has been defined as "the collective programming of the mind that distinguishes the members of one organization from others." (Hofstede et al., 2010: 344). Structure and culture have been connected by DiMaggio (1992), in his discussion of cultural aspects of structure. A central idea of the resources that are managed is that they are "heterogeneously distributed across firms" (Barney: 1991: 99) and related to organizational performance (Nonaka, 1991: 41). Penrose (1959/2009: 22) pointed out that, strictly speaking, resources as inputs are bundles of potential services. Consequently, strategy, structure, and culture are related to each other and to organizational performance, and so are addressed in turn.

Strategy has been associated with organizational performance (Snow and Hrebiniak, 1980). Drucker (2011: ix-x) has discussed the purpose of business, government and non-profit/non-governmental sectors. He has observed that the latter's negative terminology hides their product, which is a "*changed human being*" (italics in original), and that non-profit organizations are in particular need of management (Drucker, 2011: x). Types of strategy have been offered, such as Porter's (1980) generic strategies for competitive advantage of cost leadership, differentiation, and focus, where he warned against a mixed "stuck in the middle" strategy. However, Miller (1992) pointed out specialization in a single strategy also has its risks, and so a mixed approach can be preferable. A "strategy clock" (Johnson et al., 2006; 242-245, based on Bowman in Faulkner and Bowman, 1995) with dimensions of price against perceived product/service benefits indicated strategy several options: price-based, differentiation-based, hybrid, and likely to fail. Ansoff's strategy development directions (Ansoff, 1988), had dimensions of existing and new products and markets, and four main directions of protect/build, product development, market development, and diversification. Methods of strategy development have been split into internal, acquisition(/disposal), and joint development/alliance (Johnson et al., 2006: 348). The growth share matrix, with dimensions

of high and low market growth and market share, has been split four quadrants, labelled stars, cash cows, question marks, and dogs (Johnson et al., 2006: 315). In the Prospectors, Analyzers, Defenders and Reactors (PADR) framework, three positions are pure, whereas the Analyzer operates in both a domain of new ideas and another of efficiency (Miles and Snow, 2003: 29). Each of these "strategy directions" could be pursued in isolation or in combination.

The link between organizational structure and organizational performance has long been studied, although recognised for its ambiguity, with threshold phenomena potentially affecting their relationship (Dalton et al., 1980: 61). Burns and Stalker (1961) addressed mechanistic and organic structures, which they found were more suitable in stable and changing industries respectively. However, in revisiting Burns and Stalker, Sine et al. (2006: 130-131) have concluded that better performance results from greater structural formalization in new ventures that are inherently flexible. Mintzberg (1993: 286-287) identified machine and professional bureaucracies, divisionalized form, adhocracy and a simple form, with hybrids in between, based on different coordinating mechanisms (Mintzberg, 1993: 3-9). While co-ordination and specialization in organizational structures are often antagonistic, some organizations face both stable and changing markets, and so both integration and differentiation may need to be striven for (Lawrence and Lorsch, 1967: 46-47). Organizational structures exist to enable "practical activity", but also support "institutionalized myths", and these two functions can be reconciled by loose coupling (Meyer and Rowan, 1977: 359-360; Weick, 1976). Structure is a potential contributor to performance, with diverse types being more or less appropriate in different environments, although hybrids and loose couplings can play a part.

Organizational culture has been claimed to be at least a partial source of "sustained superior performance" provided it is sufficiently unusual (Barney, 1986: 663; echoed by Lee and Yu, 2004: 357-358). Three of the reasons offered for a culture-performance link are strength/shared values, appropriateness/fit, and adaptability (Kotter and Heskett, 1992: 15, 28, and 44). The strength/shared values explanation relates to supplementary fit between the perceptions of people in an organization, such as its managers, and the appropriateness/fit explanation relates to the supplementary fit between the culture of the organization and its environment. Adaptability is connected to the first of four recurrent themes in organizational performance that are reflected in four commonly used types of culture: adhocracies (Bennis, 1968; Toffler, 1970), and markets, bureaucracies and clans (Ouchi, 1980). All four of these culture types have been used by Cameron and Quinn (2011), who have emphasised type hybridity. The broad equivalence of culture with strategy and structure has been pointed out, together with the tendency of each to become fashionable (Hofstede et al., 2010: 344). The strategy-culture relationship has been argued, even to the extent that "culture trumps strategy"

(Katzenbach et al., 2012). While there may be no agreement regarding defining organizational culture (Smircich, 1983: 339), it can be seen as a kind of "organizational variable" (Smircich, 1983: 355). Much play has been made of managers' potential to change culture (Schein, 2010). Consequently, culture is open for consideration with regard to organizational performance.

2.2.2 Organization themes - social enterprise organizations

The overall mission of social enterprises has received attention. Mission issues addressed include its clarity (Epstein and Yuthas, 2011) and focus (Young and Kim, 2015: 244-245), and its alignment with other aspects such as strategy and performance (Ormiston and Seymour, 2011: 132-133), and its importance and linkage with financing (Alter, 2006), However, there have been concerns about maintaining missions, such as mission drift (Cornforth, 2014: 4-5; Ebrahim et al., 2014) and diffusion (Epstein and Yuthas, 2010). The missions of social enterprise organizations can be developed into their strategies, structures and cultures.

Strategy orientation and the link to performance have been discussed (Liu et al., 2014). Strategy making has been seen as resource allocation (Moizer and Tracey, 2010). Moreover, this has been taken to the next stage by the choice of the "right strategy" to achieve a particular level and kind of performance having been discussed (Andries and Daou, 2016). Some have alluded to business strategies (Kotey and Meredith, 1997). What might be these "right strategies" can be ascertained from the emphases in strategic direction. One direction discussed is growth (Hynes, 2009: 116-117; Steiner and Teasdale, 2016: 201-203). Another direction is scaling (Lyon and Fernandez, 2012: 65; Desa and Koch, 2014: 146-147; Scheuerle and Schmitz, 2015: 130-131). Diversification and concentration is another direction (Frumkin and Keating, 2011: 152-151). Replication, combined with scaling, has also been considered (Blundel and Lyon, 2015: 83-88). Social franchising is one way of spreading a model for social purposes (Zafeiropoulou and Koufopoulos, 2013; 2014). A more qualitative developmental approach has been taken to early stage social enterprises (Lyon and Ramsden, 2006: 27-28). Consequently, strategic directions discussed have been primarily related to ways of progressing quantitively and sometimes qualitatively too.

The structure of social enterprise organizations has been cast both in wider ways, such as "nonprofits", and in terms of narrower dimensions (Cooney, 2006). Some have broadened the view of social enterprise organizations by using synonyms, such as social entrepreneurial organizations (Scheuerle and Schmitz, 2016: 127-130) and social purpose enterprises (Chan, 2015: 47-48). However, a more restricted view through choice of legal entity (Kelley, 2009) and approach to profit, e.g. for-profit (Bruneel et al., 2016: 263-265), fair trade (Huybrechts and Defourny, 2008: 186-187), and non-profit (Cooney, 2006), helps to distinguish structures.

Cooperatives in general as social enterprises have been addressed by Ridley-Duff (2009: 51-52) and by Richards and Reed (2015: 19-21). The qualifier of "social" as in social cooperatives was used by Thomas (2004) and by Riva and Garavaglia (2016) in an Italian context. Cooperative ownership by employees and mutually by members/customers as owners as a specific characteristic of the structure have been considered (Ham and Ellins, 2010: 1176; Tischer et al., 2016: 249-250). However, more corporate structures have been noted (Snaith, 2007: 26-28), such as social business (Bengo et al., 2016: 16-20), social firms (Mason, 2010: 7-8), and Work-Integration Social Enterprises (WISEs) (Hazenberg, et al., 2014). Other non-social enterprise labelled structures have also been discussed, such as charities (Liu and Ko, 2012), NGOs (Reichel and Rudnicka, 2009: 128-130), other philanthropic ventures (Scarlata and Alemany, 2010), and businesses (Sakarya et al., 2012) with which social enterprise organizations sometimes collaborate or work as providers. Consequently, social enterprise structures have tended to emphasise legal and financial aspects.

Culture is also relevant. As part of Davenport and Low's (2013: 90-92) work on fair trade, they contrasted external assessment with internal self-assessment, and noted that the latter better fits the culture of southern fair-trade organizations. Bull and Ridley-Duff (2008) questioned the idea that strong cultures based on shared values lead to high performance. The culture of social enterprises appears to have had less attention as a focus than strategy or structure.

The need for social enterprises for resources and capabilities has been addressed (Albert et al. (2016: 308), together with their allocation (Moizer and Tracey, 2010), and their engagement in capacity building (Todres et al., 2006: 63-64). Finance has been emphasised, particularly funding (Young and Clark Grinsfelder, 2011; Ridley-Duff, 2009: 63-64) and its sources. Chang et al. (2014) discussed income generation, and Langen and Adenaeuer, (2013: 306-307) addressed pricing issues. Investment has been discussed, such as equity finance (Brown, 2006: 78-81), philanthropic venture capital (Scarlata and Alemany, 2010), and grants (Tjornbo and Westley, 2012: 166-168). A cautionary note on mixing sources of revenue was provided by Teasdale et al. (2013: 84-85). Entrepreneurship has been associated with finance (Ma et al., 2012), together with related capacity problems (Camenzuli and McKague, 2015: 74-75). Financial resources and capabilities have received attention.

Resources and capabilities beyond the financial have also been discussed. Ethical capital has also been highlighted (Bull et al., 2010: 253; Frith, 2014: 109-111), together with the broader idea of ethical climate (Laratta, 2010: 225-226). From a human perspective, Richards and Reed (2015: 5-7) and Scheiber (2014) discussed social capital, and Dufays and Huybrechts (2014: 216-217) looked at social networks. The appropriateness of HRM to support social enterprises was investigated by Royce (2007: 17-18) and Sarti and Torre (2015). Training for

social enterprise was discussed by Shuttleworth (2010). Intellectual capital was noted (Agoston, 2014) and the development of knowledge management (KM) capabilities has been addressed by Granados et al. (2013). ICT adoption has been considered (Estapé-Dubreuil and Torreguitart-Mirada, 2012), together with the potential connection between IT and agility (Richardson et al., 2014). Market orientation was discussed by Gidron (2014: 71-72), together with the contribution of marketing (Powell and Osborne, 2015: 28-29) and marketing capabilities (Liu et al., 2015). Aspects related to marketing have also been addressed, such as relational marketing (Zafeiropoulou and Koufopoulos, 2014), brand association (Virutamasen et al., 2015), and sales (McKague and Tinsley, 2012: 20-27). Consequently, different forms of resources and capabilities have been considered.

While social enterprise organizations have often been characterized as hybrids between two fields: business and social (Cooney, 2006), other dimensions can also be discerned, which can affect their resources and capabilities and strategies, structures, and cultures. Reference has been made to the business dimension in the form of commercialization (Khieng and Dahles, 2015: 236-238), business models (Doherty et al., 2006), and business practices (Bull and Crompton, 2006: 44-45). Control dimensions have been addressed, such as regulation (Davis, 2001), and more specifically in the form of company rules (Ridley-Duff, 2009: 55), compliance (Davenport and Low, 2013: 98-99), and Corporate Social Responsibility (CSR) (Cornelius et al., 2008). More external forms of control have also been discussed including the Social Enterprise Mark (Ridley-Duff and Southcombe, 2012; 185-186), "Fair for Life" certification for fair trade (Smith, 2013; 62-66), and codes of ethics for microfinance organizations (Kleynjans and Hudon, 2016). Social dimensions are often linked to innovation, as in Leadbeater (2007) and in Moore et al. (2012: 184-185). However, innovation is sometimes discussed independently (Kirkman, 2012; Florin and Schmidt, 2011: 165-167). The relationship between these dimensions have been characterized in different ways. Battilana et al (2015) considered productive tensions, Dorado and Shaffer (2011: 30-32) discussed confounding logics, and Bruneel et al. (2016: 263-265) addressed competing logics. Accordingly, the four dimensions of financial, control, social and innovation are recurrent, although their relationships vary.

Comparison and contrast - organization themes

There were similarities and differences in organizational factors between general organization research and that relating specifically to social enterprises. In both cases strategy, structure and culture featured, through which resources and capabilities are managed. The social enterprise research emphasized particular strategy directions and legal aspects of structure, with less emphasis on culture. The linkage between strategy, structure, and culture was more developed concerning general organizations than with regard to social enterprises. Similarly, strategy, structure, and culture were more strongly linked with performance in the general organization research, whereas in social enterprise research these features were seen more as having importance in their own right. The issue of hybridity was evident with regard to both general organizations and social enterprises. However, hybridity was more embedded in the general organization research and discussed relative to purity, Whereas hybridity had a central place in the social enterprise work, together with discussion of its dimensions and the relationship between them, with particular emphasis on binary hybridity between social and business dimensions. Similarly, resources and capabilities featured in the general and specific research, with the heterogeneity as a main feature in general organizations and different financial and non-financial types in social enterprise work. Strategy, structure and culture linked with resources and capabilities feature in research on general organizations and social enterprises, with closer connections made in the former and specific aspects highlighted in the latter.

2.2.3 Environment themes – organizations

The environment and context of the organization can have powerful effects on the shape of the organization, its managers, and its performance. These forces from outside the organization are relevant if it is considered to be an open system (Thompson, 1967: 10). The nature of environments have been considered relevant for organizations. For example, Emery and Trist (1965) identified four types of environments: placid-randomized, placid-clustered, disturbed-reactive, and turbulent. Two environmental dimensions that have received particular attention are dynamism (static-dynamic) and complexity (simple-complex) (Duncan, 1972). For example, Azadegan et al.'s (2013) more recent work studied the effects of dynamism and complexity on lean practices to improve the performance of organizations' operations. However, Dess and Beard (1984) and Sharfman and Dean (1991: 683) used munificence as a third environmental dimension. Again, more recent work has considered these three dimensions, this time as moderators of the link between strategy and performance (McArthur and Nystrom, 1991). Accordingly, the dimensions of dynamism, complexity and munificence are useful in analysing organizational environments.

Context has been argued to be narrower than environment, and while treatment of it cannot be comprehensive, some aspects can be elucidated (Pugh et al., 1969: 111) and used as a starting point. Indeed, in Pugh at al.'s (1969: 91) early work on context and organization structures, they identified that researchers have tended to assume that one contextual factor or another is more important than others. Child (1997: 45) emphasised the contextual constraints of technology, size and ownership in Pugh et al.'s (1969) work on the organization structure choices that managers could make in order to avoid "unacceptable performance costs". Technology helps to define what market an organization operates in. Size, whether measured by annual turnover or the number of staff at a point in time, provides an indication of resources available. Ownership is related to institutional forces. Consequently, contextual forces outside organizations that are associated with markets, resources, and institutions are worth considering, as they affect organizations and their dynamics.

A market is an area where "…prices of the same goods tend to equality with due allowance for transportation costs" (Marshall, 1920: 270). Schmalensee (1985) found that market effects were important to the financial performance of businesses and that there was no support for firm effects, while Rumelt (1991: 267) found a very large business effect and a small industry effect from the same data. The relative strength of effect on performance of the corporate level and the business unit level have been debated, with Rumelt (1991) having argued that the business unit effect is twice as big as the corporate effect (33.9% versus 14.8% respectively), while Roquebert et al. (1996) have suggested that this underestimates the corporate effect.

Markets have a product and a geographical dimension (Lipczynski et al. 2013: 236). Different technologies may be employed for products and services between and within industrial sectors. Wan and Hoskisson (2003: 39-40) argued that the country environment can affect performance, as diversification strategies are favourable in less munificent environments and unfavourable in more munificent environments. With regard to regional effect within a country, while there may be performance differences, such as between industrial districts, this is debatable (Staber, 1996: 313-314). Time effects are also relevant because of changes in macroeconomics, with government policy or tax changes from year-to-year (Lipczynski et al., 2013: 346). The market sector, including technology, geography and time, are all potentially relevant to context.

An institution refers to "…repetitive social behaviour that is underpinned by normative systems and cognitive understandings…[that] enable self-reproducing social order." and has been applied to organizations in different ownership sectors and types of organizations (Greenwood et al., 2008: 5). The idea of institutions has been both contrasted and combined with ecology (Haveman and David, 2008: 573), but has also been criticised for explaining both everything and nothing (Havemen and David, 2008: 583). Comparisons have been made between the performance of organizations from different ownership sectors, such as Ozcan et al.'s (1992) study of technical efficiency across hospital types. However, DiMaggio and Powell (1983: 147) have contended from an institutional perspective that a field of organizations tends to become more similar without necessarily becoming more efficient, due to rationality and bureaucratization creating coercive, mimetic, and normative isomorphic processes. Organizations need to attend to both institutionalized myths and practical activity, which can be accommodated by loose coupling, and this may lead to some loss of short-term efficiency but assist with long-term effectiveness (Meyer and Rowan, 1977: 359-360). Rationality itself becomes a myth (Meyer and Rowan, 1977: 346), and good faith is combined with the rituals of inspection and evaluation to maintain legitimacy (Meyer and Rowan, 1977: 359). However, Powell (1991: 194-200) also recognised that endogenous sources of change are also important for completeness. Consequently, while institutional forces still shape fields and organizations, institutional theory includes people as actors with agency partly for a collective such as an organization and partly for themselves (Meyer, 2008: 799), and who do not find it easy to interpret the environment (Daft and Weick, 1984: 294).

From a resource dependence perspective Pfeffer and Salancik (2003: 2) have argued that "The key to organizational survival is the ability to acquire and maintain resources." From a resource dependence viewpoint, the function of management is to influence others in order to shape one's own environment (Pfeffer and Salancik, 2003: 18). This is where networks are important, as familiarity and recommendation help to reduce uncertainty and make doing business more likely (Granovetter, 1974). As well as an influencing role, Pfeffer and Salancik (2003: 17) have argued that managers have a symbolic role to personify the organization and act as a focus for success and failure. There are arguments for large and small organizations, although "…there is no single answer." (Schumacher, 1974: 54). Taking a wider population ecology view, Hannan and Freeman (1984: 149) considered that "…adaptation of organizational structures to environments occurs principally at the *population* level." (italics in original). Different organizational forms replace each other in a population, because strong inertial forces prevent organizational change, and such forces vary with size, complexity, and life cycle (Hannan and Freeman, 1984: 149). Taking a demographic perspective, Carroll and Hannan (2000: 262) used resource partitioning to address market concentration in large firms and the presence of small specialists, in their case brewing firms in the United States. Accordingly, resources can affect organizations' performance, and can shape the role of managers, and be associated with adaptation at population level, organizational size, and organizational forms due to resource partitioning.

2.2.4 Environment themes - social enterprise organizations

Context counts for social enterprise (Overall et al., 2010: 146-147), and so it is important that it is contextualised (Grant, 2007). Environment per se has received less attention than has context. De Bruin and Lewis (2015: 130-132) proposed that context can be thought of as a terrain to be traversed by social enterprise. Context provides both opportunities, constraints, or mixes of the two for social enterprise organizations and their managers. At the organizational level, Linzalone and Saganeiti (2015) addressed management settings enabling sustainable value creation. Inhibiting factors to scaling up impact were discussed by Scheuerle and Schmitz (2015: 131-132). Millar and Hall (2013) considered the opportunities and barriers in health and social care. At a management level, Van Sandt et al. (2009) addressed enabling the original intent and social entrepreneurship catalysts. Newth and Woods (2014: 192-194) considered resistance to social entrepreneurship and innovation. Environmental obstacles and support factors for social entrepreneurship have been investigated by Badulescu et al. (2013). These opportunities and constraints are associated with similarity, such as in Mason (2012: 82-84) on social enterprise isomorphism, and with difference, as in Borzaga and Fazzi (2011) on processes of institutionalization and differentiation. Context matters because it presents opportunities and constraints which can

lead to similarities and differences in other structural factors. Context can be divided into several types of sectors.

Social enterprise organizations operate in a variety of industrial sectors, although some are emphasised in the broad range of possibilities. Some services care for people more directly and some less so, although this is somewhat dependent on whether they are deployed as services with the focus on the outcome or whether the operation of the service enables some other activity or provides benefit itself. More direct services include healthcare (Frith, 2014: 108-109), social work (Gray, 2003), residential (Fedele and Miniaci, 2010: 174-178) and homelessness services (Teasdale, 2010: 25-29), transport (O'Shaughnessy et al., 2011: 183-185), early years/childcare services (Hare et al., 2007: 113-114), auditory services (Murdock and Lamb, 2009: 144-145), and services for older people (Whitelaw and Hill, 2013: 276). Less direct services include employment (Gidron, 2014: 60-63), finance (Jones et al., 2016) including microfinance (Epstein and Yuthas, 2010), and regeneration (Davison, 2010: 61-67). Services that could be used more indirectly to provide benefit are retail (Liu and Ko, 2012), arts (Cato et al., 2007: 102-103), and agriculture (Johansen, 2014: 268-269). The provision of utilities, such as water (Douvitsa and Kassavetis, 2014: 137-140) and energy (van der Horst, 2008: 172), are at the harder end of service provision. These services can sometimes be broken down further. Within health alone, services addressed have ranged from healthcare in general (Frith, 2014: 108-109), the link with social care (Millar et al., 2013: 6-7), the NHS (Davies, 2010: 426-427), and well-being (Farmer et al., 2016: 238-239). With regard to industrial sectors research has tended to emphasise services with some researchers focusing on such operations (Ávila and Amorim, 2016).

The context can vary geographically, by organizational size and life cycle. The importance of research on the geographical context has been advanced by Muñoz (2010), and Spencer et al. (2016) highlighted the relevance of the indigenous nature of social enterprises. Kerlin (2009) compared social enterprises from a global perspective, and Jenner (2016: 55-56) took an international perspective of them, while Marshall (2011) focused on the "international social entrepreneur." Different continents have been considered: Africa (Gupta et al., 2015: 91-93), Australia (Mason and Barraket, 2015: 144-145), Eastern Asia (Defourny and Shin-Yang, 2011: 101-106), and Iberoamerica (Grant, 2007). Europe (Defourny and Nyssens, 2010) and groups of countries within it (Spear and Bidet, 2005) have also been considered. Research has also taken a UK- wide perspective (Shah, 2009: 104-105), used England as context (Millar et al., 2013: 6-7), and an English region as a focus (Mswaka and Aluko, 2015). Regions have been classified as urban (Wallace and Cornelius, 2010) or rural (O'Shaughnessy et al., 2011: 183-184). Organizational size has featured in social enterprise context. Grimmer et al. (2016) considered small size. Small to medium social enterprises were the context for the work of

Barraket and Yousefpour (2013). While the large Mondragon Co-operative Corporation was one case study in research by Ridley-Duff (2010: 125-126). In the organizational life cycle, Lanteri (2015: 44) was concerned with the creation of social enterprises. Lyon and Ramsden (2006: 38-40) extended consideration to "fledgling" social enterprises and their development. Berglund and Schwartz (2013; 249-252) took this further into the start up and running of social enterprises. "Nascent" social entrepreneurs were addressed by Germak and Robinson (2014: 7-8) and by Renko (2013). The geographical context exists as a hierarchy, although small to medium organizational sizes in earlier life cycle stages tend to be emphasized.

Different ownership sectors have been discussed in relation to social enterprise, giving an indication of their wider potential stakeholders. Social enterprises are sometimes discussed as if they are part of the social sector, or the so-called third sector (e.g. Baines et al., 2010: 50-52) or a variant such as civil society (e.g. Nyssens, 2007). Social enterprise is also sometimes set in the context of private sector markets (Defourny and Nyssens, 2010). The public sector also has a relationship with at least some social enterprises, such as through the general shaping of attitudes (Chapman et al., 2007: 81-85) and more directly through procurement (Muñoz, 2009: 70-71). Occasionally reference is made to the informal economy (Minard, 2009: 187-188). Where customers of social enterprises are addressed, it is often terms of disadvantaged people or communities, and then more commonly in relation to low income and poverty (e.g. Nakagawa and Laratta, 2010: 163-164). Occasionally more narrow targeting is discussed, such as in relation to women (Fotheringham and Saunders, 2014: 179-180) or Black and Minority Ethnic (BME) communities (Wallace and Cornelius, 2010). Social enterprises, therefore, have potential stakeholders from different ownership sectors and in different mixes.

Comparison and contrast: environment themes

There were similarities and differences in environmental factors between general organization research and that relating specifically to social enterprises. While in both cases context featured, this closer aspect, with its opportunities and constraints, was emphasized in the social enterprise research. However, the wider environment and its features were also present in the research on general organizations rather than in the more specific work. Research on organizations in general discussed the market. The market was paralleled in social enterprises by industrial sectors leaning heavily toward services, and by demographics of geography including the United Kingdom, size emphasizing small and medium enterprises, and life cycle especially the earlier stages. Similarly, the institutional aspect of general organizations was reflected in social enterprises by ownership sectors linked to stakeholders emphasizing the social sector and customers, especially people who are disadvantaged. Resource

dependency was evident in the general organization work on environmental factors, whereas it did not appear to feature in social enterprise work from an environmental perspective, although it was emphasized in organizational factors. Accordingly, while environmental factors featured in both general organization and social enterprise research, particular aspects were emphasized for social enterprises.

2.2.5 Management themes - organizations

The nature of the leader of a top management team also needs to be considered. There are different types of managers, who exhibit different kinds of management behaviour, will be more or less appropriate to their organizational setting, such as Cameron et al.'s (2006: 19) facilitator, innovator, competitor and monitor. Extroverted leadership has been found to be an advantage, leading to higher profitability, in groups that are passive, but a disadvantage with proactive groups, where introverted leadership helps to get the best from group members (Gino, 2015: 4). Shamir et al. (1993: 590) have argued that charismatic and transformational leadership has a strong effect on followers by activating their self-concepts and other motivational mechanisms. However, in management contexts, quiet introverts can "think deeply, strategize, solve complex problems, and spot canaries in your coal mine" (Cain, 2012: 265). Therefore, there are arguments for the leader/manager to be appropriate for the particular organization and the top management team.

The number of managers in a top management team has been argued to affect performance. Belbin (2013: 4) suggested that four to six people is an ideal size for a team with a "shared objective", as beyond six members a team becomes a group with a broader "common purpose". Guest (2009: 401-402) has advised that boards should be small and comprise nine or less people, and found that board size could have a negative effect on firm performance measured in financial terms, with the effectiveness of large boards being undermined by poor communication and decision making. Whereas Haleblian and Finkelstein (1993: 857-858) found that larger teams, and with CEOs who were less dominant, performed better in terms of profits in an unstable environment, than they did in stable environments with constraints, due to the greater degree of management discretion available. Mueller (2012: 122) has countered the idea that smaller or larger teams lead to improved performance by having argued that the nature of the task is a central consideration, such that small is not necessarily better, and while overstaffing can be an issue, well managed larger teams have more potential to be productive. Time is also a factor with regard to teams, as they have been said to progress through stages such as forming-storming-norming-performing (Tuckman, 1965). Consequently, the number of managers on a top management team can affect performance, although advice on team size varies within limits and the task and environment and time are important considerations.

The size of a senior management team is linked to its diversity, which tends to increase with size. Mello and Rentsch (2015: 624) have argued that evidence is contradictory as to whether cognitive diversity affects team performance, and other criteria, or not because of definitional issues. The importance of team role balance in addition to ability for a team to be successful has been advocated by Belbin (2010: 21), although Battenburg et al (2013: 911) found that

role diversity did not correlate with team performance. Wiersema and Bantel (1992) found that the likelihood of firms undertaking strategic change was related to the make-up of their top management teams in terms of "relative youth, relatively short organizational tenure, high team tenure, high educational level, academic training in the sciences, and heterogeneity in educational specialization." Accordingly, the diversity of a top management team can affect its performance positively, although definition presents challenges, the importance of team role diversity is debatable, and team make-up affects whether organizations are likely to change.

The number and diversity of managers in a senior team can affect performance through their effect on decisions. Minson and Mueller (2012: 222-223) found that decision performance in term of accuracy was lower for pairs compared to individuals, and no better for threes or fours, at least partly because collaboration increases confidence resulting in underweighting of outside peer information. Milliken and Martins (1996: 414-417) have set out different dimensions on which diversity can be considered, including that greater diversity affecting cognition assists decision making through creativity and requisite variety, although greater diversity relates negatively to affect. Consequently, agency through decisions is worthy of consideration.

2.2.6 Management themes - social enterprise organizations

Social entrepreneur managers can be considered as responsible leaders (Maak and Stoetter, 2012), who might be employees or volunteers. The employee profile of social enterprises was considered by Steiner and Teasdale (2016: 211-213) for early stage access to finance that requires connections with wealthy acquaintances, and by O'Shaughnessy (2008: 126-127) in Ireland where rural and statutory support can affect organizational sustainability. Social enterprises can be volunteer-led, such as some cooperatives (Richards and Reed, 2015: 15-16). Whether managers of social enterprises are employees or volunteers, they have an ideological psychological contract that affects their job satisfaction, mediated by organizational respect (Román et al., 2013: 119-120). The managers of social enterprises can be employees with different profiles, or volunteers, and have their own psychological contract and job satisfaction.

The management of a social enterprise might rest mostly on one person. Alternatively, the senior management might be made up of multiple managers. Boards can exhibit varying levels of performance (Crucke et al., 2015), and the management of diversity of those managers is relevant (Brigstock et al., 2010). Furthermore, which particular competences managers of social enterprises have has been argued to be a consideration (Moreau and Mertens, 2013: 171-172). These management competences may be associated with what have been described as differing management practices (Sarpong and Davies, 2014: 32-33).

Accordingly, the make-up of the senior management team in terms of competences, diversity, management practice and performance are considerations.

Comparison and contrast: management themes

There were similarities and differences in managerial factors between general organization research and that relating specifically to social enterprises. In both cases, a single manager and teams of managers were discussed, together with their degree of diversity. However, the general organization research was equivocal on the number of managers in a team and their diversity. Research on organization in general discussed types of leaders and their different behaviours, whereas the social enterprise specific work was more concerned with responsible leaders. The social enterprise work put more emphasis on leaders who could be an employee or volunteer with different managerial implications. Consequently, while there were similarities around single managers and management teams and their practices, the social enterprise research was more concerned with responsible leaders and the possibility that managers could be employees or volunteers.

2.3 PERFORMANCE THEMES

2.3.1 Performance themes - organizations

Organizational performance is related to theories about organizations, and so definitions of its constitution will be at least as many and varied as the theories that are considered, and there can be alternate performance goals and so different ideas of performing well. No universal overview is possible, although attempts can be made, as in this research, to map a useful sized part of the terrain (Cameron and Whetten, 1983: 20). Organizational performance as a construct has been argued to be narrower than that of organizational effectiveness, being focused on financial, economic and marketing performance, rather than on these plus wider considerations (Richard et al., 2009: 722). However, organizational performance and organizational effectiveness have also been argued to be similar, with the same definitions and indicators, as the former has taken over as preferred terminology (Hirsch and Levin, 1999: 207). Organizational performance is connected to the organization's environment, such as its life-cycle stage, where it has been suggested that initial emphasis on innovation and social dimensions, gives way to a shift to economic and efficiency dimensions before a more rounded situation occurs (Quinn and Cameron, 1983: 48-50). Consequently, while single indicator approaches to performance are problematic, what Cameron and Whetten (1983: 3) have termed "universalistic" approaches are not feasible either, which suggests that intermediate approaches are preferable.

For research purposes, a mid-range approach to organizational performance can avoid being either too narrow or too wide. At the narrower end there are multiple measures of a single financial criterion such as profit (Fiss, 2007) or multiple financial criteria extending beyond profit (Hamman et al., 2013). At the wider end are combinations of financial and non-financial measures in "cause-and-effect" relationships relating to strategy (Kaplan and Norton, 1996: 30-31) to which can be added mixes of soft and hard measures, and measures that are of interest to different organizational levels (Holloway, 2009: 394). Discussion over financial and non-financial measures has been echoed in the shareholder and stakeholder debate, where some have viewed shareholders and business to be in conflict with stakeholders and ethics (Goodpaster, 1991; Boatright, 1994), and others have considered stakeholder theory to be a "larger view" (Freeman et al., 2010: 206) encompassing shareholder theory (Freeman, 1994; Jones and Wicks, 1999). Different stakeholders, provided they are considered close enough (Richard, 2009: 723-724), can affect these kinds of performance measures, for example see Chenhall and Langfield-Smith's (2007: 277) discussion on the influence of internal stakeholder disciplines. Whether dissimilar measures can be aggregated or must be kept separate is ultimately a philosophical issue, as they represent two different approaches to value: Moorean

and Kantian respectively (Orsi, 2015; Bradley, 2006). Two recurrent pairs of organizational performance dimensions are economic/social (e.g. see Elkington (1997) on the Triple Bottom Line (TBL) and efficiency/innovation (Hall, Jaffe and Trajtenberg, 2005; Ghemawat and Ricart I Costa, 1993). These four performance dimensions are embodied in Cameron and Quinn's (2005/2011) Competing Values Framework (CVF). Each performance dimension represents a different view of what it is to perform well, including with regard to timeframe.

The twin orientations of superior performance and survival cut across multiple performance dimensions. The superior viewpoint takes a more positive line, emphasising advantage (Powell, 2001), maximization, and opportunity. However, the survival perspective takes a more negative line, emphasising sustainability, satisficing, and risk, and the need for dynamic capabilities (Teece, 2007). Therefore, the superior performance and survival perspective suggest two conceptions of organizations performing well, although they might not be mutually exclusive and between them define a zone of acceptability.

2.3.2 Performance themes - social enterprise organizations

Performance and its measurement have been linked to the management of social enterprises in general (Paton, 2003) and performance management has been addressed (Meadows and Pike, 2010). Achleitner et al. (2014) sought to identify what is important in the performance of social enterprise. Hall and Arvidson (2013) reviewed ways of evaluating social enterprise performance. Bengo et al. (2016: 16-20) have set out indicators and metrics, albeit for the arguably narrower area of social business. Measurement itself has been debated as a source of legitimacy, and on the other side of the coin, there has been debate over the legitimacy of measures used (Cordery et al., 2013; Luke et al., 2013). Luke (2016) has considered the translation of performance data into useful reporting, and Nicholls (2007) has argued that measurement and communication can help improve competitiveness. Consequently, performance is integral to the management of social enterprises.

The performance criteria for social enterprise can be considered in layers of complexity, from the relatively simple to the more complex. The concept of value is a starting point and has been discussed both generally (Ormiston and Seymour, 2011: 127-131) and in terms of social value and economic value (Bellostas et al., 2016). Florin and Schmidt (2011: 170) referred to the combination of these two values as shared value. However, it has also been argued that either social value or economic value primacy strategies are preferable to balance oriented approaches (Pirson, 2012: 43-44). General criteria have also been used, such as viability (Ko, 2012: 257-260), effectiveness Diochon (2013: 305-307), agility (Richardson et al., 2014) and fairness (Doherty and Huybrechts, 2013: 4-5). The qualitatively different social and financial performance dimensions have each been developed. Some have argued that social

enterprises seek to solve "social market failures" (Hackett, 2016: 312-314), although social value creation has ambiguities (Lautermann, 2013: 197-199). Both the broad idea of social performance (Choi, 2015: 270-273) and the narrower social impact (Jiao, 2011) have been used. On the financial side, business performance has been discussed (Sanchis-Palacio et al., 2013). The extent to which missions are achieved is another approach that has been used, although the variety of missions included a range from reintegrating socially excluded individuals (Seddon et al., 2014: 222-223) to reducing crime and improving the perception of police performance (K'nIfe and Haughton, 2013). Different single criteria have, therefore, been considered.

However, there is also the possibility of using multiple criteria. Indeed, Meyer and Gauthier (2013: 23-25) addressed the idea of competing dimensions, albeit in a sustainability context. Social and financial criteria are considered together in Social Return on Investment (SROI). Rotheroe and Richards (2007: 33-35) discussed some advantages of SROI, although Ryan and Lyne (2008) addressed its methodological issues, and Pathak and Dattani (2014: 101-103) considered its challenges in use. In similar vein, the use of the Balanced Scorecard has been considered (Somers, 2005: 48-49), introducing the possibility of using financial, customer, internal business process, and learning and growth criteria. However, the appropriateness of such traditional measurement tools has been questioned Mouchamps (2014). Consequently, Bull (200: 64) adapted the Balanced Scorecard and produced a tool named "Balance". More specific tools with their own criteria have included SCALERS (Bloom and Smith, 2010: 140-144), and SIMPLE McLoughlin et al. (2009: 174-175). While it may be possible to measure intangibles (Bassi, 2012), it has also been recognised that "lived experience" may not be amenable to "social accounting" (Gibbon and Affleck, 2008: 51-52). The use of multiple criteria together enables social enterprise performance to be refined although presents challenges.

Cross-cutting these performance issues are two main views of what constitutes performing well. A binary view of risks and rewards has been advanced (Frumkin and Keating, 2011: 163-164), with emphasis having been placed on advantages (Miles et al., 2014). However, criteria change can be seen as improvement, neutral, or a deterioration. Similarly, the direction in which a performance criterion changes can be considered positive, neutral or negative (Andersson and Ford, 2015: 305-306). However, most emphasis has been placed on improvement e.g. higher levels of performance (Ham and Ellins, 2010: 1176), added value (Hazenberg et al., 2014), and maximization (Andries and Daou, 2016; Mason, 2012: 77). Asking a neutral question of what works (Hall and Arvidson, 2013) or discussing failure (Seanor and Meaton, 2008: 36-37) has been rarer. Sustainability over time has been taken into account, primarily as a financial consideration (Jenner, 2016: 50-51; Zhang and Swanson,

2014: 179-180). Therefore, social enterprises performing well could be seen from the points of view of either advantage or sustainability.

Comparison and contrast: performance themes

There were similarities and differences in performance factors between general organization research and that relating specifically to social enterprises. In both cases performance was embedded in the management of organizations. In general organization research a zone of acceptable performance was identified between survival and superior performance, and this was reflected in a similar way the specific social enterprise work in terms of sustainability and advantage. Research in general organizations discussed multiple performance criteria, such as financial and non-financial, and the parallel in social enterprise is business and social. In the general organizational research, it has been argued that a middle way between single indicator and universalistic approaches to performance as advisable, and social enterprise work debated balance or primacy between social and economic values. This middle way approach to performance, using a limited number of dimensions to consider performance between survival and superiority, was supported by both the general organization and specific social enterprise research.

2.4 AGENTIAL DECISION THEMES

2.4.1 Agential decision themes - organizations

Taking a voluntaristic viewpoint, managers of organizations have some degree of choice. Managers exhibit agency, which Emirbayer and Mische (1998: 962) defined as a "…temporally embedded process of social engagement…" Moreover, those in management roles are responsible and accountable for organizations and their performance, and indeed to varying extents to other stakeholders. Decisions can be considered as processes that is synonymous with management and "…most nearly epitomizes the behaviour of managers…" (Harrison, 1996: 46). Various modes of decision making have been offered and have been argued to draw on different modes of learning processes (Shrivastava and Grant, 1985: 98-99). CEOs have been argued to have a positive effect on performance that increases over longer tenures in more stable industries as their learning develops (Henderson et al., 2006: 447). However, their effect decreases over their tenures in dynamic industries, as their paradigms become "obsolete more quickly than they could learn" (Henderson et al., 2006: 447). Managers have the potential to make decisions and learn about their organizations, environment, management and performance.

The characteristics of top management teams has been associated with organizational performance (Finkelstein and Hambrick, 1990: 484). The nature of the organization's "upper echelon" and its views affect the way decisions are structured, and the choices made affect organizational performance (Hambrick and Mason, 1984: 197). The organization can be seen as a reflection of its senior managers (Hambrick and Mason, 1984: 193). Consequently, considerations include the motivational characteristics of individual managers, their character as a collective, and potentially those of other stakeholders. Some have argued that a single manager, such as a CEO, can affect organizational performance to some degree, although this may vary among firms (Mackey, 2008: 1364). Simon (1979: 502-503) observed that managerial rationality is bounded rather than omniscient, and that while "economic man" is said to be able to maximize from known alternatives, "administrative man" searches for alternatives until one satisfices. Ethics have been argued to be a further dimension in a manager's decision making (Forsyth, 1992; O'Fallon and Butterfield, 2005). Emotions have been said to act with rational thinking to restrict options and focus attention on particular aspects, which may have advantages and disadvantages (Hanoch, 2002: 3). Managers' demographics have been argued to affect cognition (e.g. Wiersema and Bantel, 1992: 97) on age and flexibility), ethics (e.g. Ruegger and King, 1992: 184-185) on gender and age and ethicality), and emotion (e.g. Bachkirov, 2015: 867-868) on emotion and cognitive depth). The characteristics of managers has a bearing on their cognition, ethics, and emotions, and so on

their decisions and learning about their organizations, environment, management and performance.

2.4.2 Agential decision themes - social enterprise organizations

Structural factors may be changed or maintained by managers as agents carrying out processes. Millar et al. (2013: 7-9) emphasised strategic change, whereas Epstein and Yuthas (2011) highlighted protecting and regaining mission clarity. Just as the social enterprise field changes over time (Mason and Barraket, 2015: 152), so do individual social enterprise organizations, their environments/contexts and managements. Change or maintenance of structural factors involves processes of decision and learning, since decisions occur over time and what is learnt (or not) from one decision can be fed into the next. Regarding decisions, Kelley (2009) focused on the choice of social enterprise entity from a legal perspective. Stevens et al. (2015) considered attention allocation to multiple goals. With respect to learning, which can be individual or organizational (Liu and Ko, 2012), it can be stimulated (Chang et al., 2014), or can come from failure (Seanor and Meaton, 2008: 36-37). These decision and learning processes can lead to relatively rapid profile shifts, such as has been observed at the organizational level in social enterprises (Van Opstal et al., 2009: 243-249) or to slower development, such as in emerging social enterprises (Todres et al., 2006: 61) or in social entrepreneurs Cornfield, 2015: 93-120). Managers act as agents using decisional and learning processes to either maintain structural factors or to change them at different rates.

Managers and other stakeholders have concerns relating to making changes or to maintaining structural factors, whether organizational, environmental/contextual and/or managerial. The concerns of social entrepreneurs in the form of motivations have been discussed by Boluk and Mottiar (2014: 64-65), Christopoulos and Vogl (2015: 8-10), and Omorede (2014: 262-263). Links have also been made between motivations and the nascent stage of social entrepreneurs themselves (Germak and Robinson, 2014: 17-19) and the initial stage of social enterprise organizations, such as spin-outs from the NHS (Hall et al., 2012: 53-54). An alternative perspective is provided by Kotey and Meredith (1997) who saw concerns as personal values in the case of owner/managers. From a cognitive perspective, Barinaga (2013: 366-369) addressed social entrepreneurial rationalities, and Mauksch (2012: 166-168) discussed going beyond managerial rationality. The ethical dimension of concerns has been touched upon in relation to performance by Gamble and Beer (2015), who considered being spiritually informed, and Cheung (2016) who referred to a humanistic service. Descubes and McNamara (2014) addressed the role of emotional management, suggesting that emotions are a further concern. Consequently, motivational concerns and values, including rationalities,

ethics and emotions, have a role to play in management and political dynamics of social enterprises (Parente et al., 2014: 2014; Tallontire and Nelson, 2013: 45-46).

Comparison and contrast: agential decision themes

There were similarities and differences in decision factors between general organization research and that relating specifically to social enterprises. The general organization research discussed degrees of choice that managers have as agents, and the social enterprise research noted maintenance and change, which in this study related to independent factors, dependent performance factors and/or decision factors themselves. Research in both cases addressed decisions and their modes, and associated learning. Similarly, both sets of research addressed the motivation of managers, which affects their decisions. Indeed, in both cases these motivations were cognitive, ethical, and emotional, although social enterprise work tended to lean towards ideas of rationalities and values. The idea of manager agents exercising some choice over organizational performance, which is affected by their multi-factor motivations, albeit with some different tendencies in social enterprise, is shared by general organization and specific social enterprise research.

2.5 RESEARCH ISSUES AND POTENTIAL RESOLUTIONS

The themes that have been reviewed relating to independent variables, performance as a dependent variable, and agent's decision-making presented a complex picture. One approach to this complexity would have been to retrench by focusing on one independent variable and one dependant variable of performance, or by focusing on an aspect of decision process. However, embracing some of the factors together was potentially illuminating, and enabled the research questions to be viewed in a different way. Such an approach meant acknowledging the dictum that "It is better to be roughly right than precisely wrong" - John Maynard Keynes (1883-1946). The comparison and contrast of the themes in both general organization and specific social enterprise research literatures enabled specific research issues around complexity to be identified. Potential resolutions to these research issues were developed by considering how complexity could be addressed. These two steps are set out below.

2.5.1 Research issues

One aspect of complexity is multi-dimensionality, which has two facets. Firstly, the independent variables that can affect organizational performance are multi-level, comprising the organization, environment and management. Secondly, each level and performance itself is multi-element and so characterized by different types. Organizational strategy, structure and culture, through which resources and capabilities are managed, exhibit hybridity. Aspects of the environment have different features. The diversity of managers' behaviours is a consideration. Performance is also multi-dimensional and provides guidance on pursuing a middle way of a limited number of dimensions. Thirdly, decision processes can take place in different modes, by managers with multi-factor motivations. While general organizations provide a framework, that are generally paralleled in social enterprises, some topics are emphasized.

A further aspect of complexity is that independent variables and dependent performance variables interact with managers' decisions. One general organizational view of this interaction that has been proposed is strategic choice (Child, 1972; 1997), which argued for the interaction between environmental and agents' action and noted the effect that they can have on organizations and their performance. This interpretation of strategic choice is in line with Child (1997) himself, rather than the view of others (e.g. see Hrebiniak and Joyce, 1985: 336) who saw his earlier work on strategic choice linked with performance (Child, 1972) as antagonistic to environmental determinism. Consequently, strategic choice provides something of a middle-way that is non-deterministic and recognises both the environment and agency in relation to organizations i.e. that structure and agency are interrelated. In the

specific social enterprise literature, links have been made between structure and agency, which can be described as a more implicit approach to strategic choice, although this view did not feature strongly. In the body of specific literature studied a minority (66/348 = 19%) of references made this linkage at organizational, environment, and managerial levels. Accordingly, the interplay between structure and agency has been explicit in general organization research, such as through as strategic choice approach, and the links have been approached more implicitly approach in social enterprise work.

2.5.2 Potential resolutions

One potential resolution to the complexity of multi-dimensionality is configuration theory, supplemented by decision theory. In the configuration view, it has been argued that there are "imperatives" in the organizational environment, in aspects of the organization itself, and in the leaders/managers, which shape the organization and its performance characteristics (Miller, 1987). Indeed, Miller (1987: 697) has also discussed hybridity in these imperatives, which may be particularly relevant in times of change, and the lack of research in this area. Configuration theory is advantageous in this study as it takes a holistic view of the organization and its relationship with performance outcomes, rather than considering independent variables associated with performance (Fiss, 2007: 1180). Configurations exhibit fit, both internally between elements within the organization and externally between the organization and its environment. The variety and dynamics of configurations are encapsulated in the concept of equifinality. Equifinality refers to a situation where "a system can reach the same final state, from different initial conditions and by a variety of different paths" (Katz and Kahn, 1978: 30) – i.e. "…two or more organizational configurations can be equally effective in achieving high performance…" (Fiss, 2007: 1181). The core idea of organizational configuration comprising elements can be extended to kinds of organizational performance, and other levels of types of environment, types of management behaviour, and to modes of decisions by managers as agents. Consequently, configuration theory has the potential to be helpful in addressing the organization, its internal and external imperatives, fits and dynamics, and their relationship with performance outcomes, and decision-making.

Regarding social enterprise organizations, configuration theory has been used by Imperatori, and Ruta (2015). However, they did not extend configuration theory across levels, modes of agency and decision, or time. Nevertheless, other theoretical and applied approaches have been taken to types of social enterprise as opposed to the narrower idea of configurations. From a more theoretical perspective, a variety of dimensions have been used. Types have included Alter's (2006) classification of models by mission and money relationships, and his subsequent typology (Alter, 2007), Diochon and Anderson's (2009) process typology that they

link to effectiveness, and Kimura et al.'s (2016) types of social enterprises that they link to various social problems. Changes in social enterprise types over time are evident in Van Opstal et al.'s (2009) work on profile shifts of Work Integration Social Enterprises (WISEs) in Flanders, and multiple pathways for social entrepreneurs in Cornfield (2015). From a more applied viewpoint, case studies have been used to consider social enterprises holistically. Individual cases have been studied, such as Murdock and Lamb's (2009) RNID case, in pairs such as Ridley-Duff's (2010) comparison of Mondragon Cooperative Corporation and School Trends Ltd, and higher multiples such as Pinch and Sunley's (2015) evidence from four UK cities. Indeed, the use of case studies helps to move beyond the social enterprise organization itself to look externally at its environment/context and internally at its management, and over time. While social enterprise organizations are not often approached from an explicitly configurational perspective, let alone one that was extended, types and cases have been considered.

One potential resolution to the complexity of structure and agency interaction is Critical Realism. Both Critical Realism and the structuration (Giddens, 1984) referred to by Child (1997: 60) in strategic choice draw attention to structure and agency. However, these two approaches differ in that structuration sees structure and agency as inseparable, while Critical Realism considers them as having different "properties and powers" and operating over "different tracts of time" (Archer, 2012: 51-52). Making a choice between structuration and Critical Realism does not imply that the latter is necessarily a "better choice" but more a question of ontological affinity (Pozzebon, 2004: 247). Organizational performance has been addressed from Critical Realist perspective by Hesketh and Fleetwood (2006), who advocated it in contrast to "scientific" meta-theory that may suit closed systems but not open organizational systems. Hesketh and Fleetwood (2006: 686) have observed that the "ensemble" of structural and agentic factors was in sympathy with practitioners' views of their activities Critical Realism enables the study of the performance of organizations as open systems, and accepts that there is "causality without correlation, and correlation without causation." (Bhaskar, 2014: vii). Critical Realism provides a meta-theory that enables the investigation of theories (Bhaskar, 2014: xiv). Hence Critical Realism can be used to study configuration theory relating to organizations and their performance.

Regarding social enterprise organizations, theories that address structure and agency have been used. Nicolopoulou et al. (2014) used a conflationary approach by taking a Bourdieusian perspective in studying the legitimacy of British social enterprises. Critical viewpoints have been used (e.g. Mauksch, 2012). A form of realism, approaching pragmatism, has also been adopted, (e.g. Moreau and Mertens, 2013). Critical Realism has appeared in a footnote (Smith, 2013). Accordingly, the use of Critical Realism, as a non-conflationary meta-theory to address

structure and agency, has been noted only briefly in the context of social enterprise organizations. Consequently, the use of Critical Realism in tandem with configuration theory, may assist in studying social enterprises.

Research issues and associated potential resolutions have been addressed. Complexities present research issues. These complexities are in two forms: multi-dimensionality and structure and agency interaction. Multi-dimensionality has two facets: multi-elements and multi-levels. Configuration theory, extended by levels and decisions, and informed by Critical Realism, are potential resolutions to these research issues. Consequently, these potential resolutions can be developed and used to investigate social enterprise organizations performing well as a research site.

Summary

By comparing the two literature reviews of general organizations and their performance and the performance of social enterprise organizations, social enterprises were seen as a sub-set of organizations. However, social enterprise organizations, and their performance have their own specific characteristics. Overall, it is questionable to treat organizations as having independent variables that contribute to organizational performance as a dependent variable, about which decisions to maintain or change the set of variables are made. This treatment of the factors involved impacts on organizational legitimacy, which is a particular concern in social enterprises. The independent variable themes around organization, environment, management, the dependent variable themes around performance, and the themes around decisions concerning general organizations have features that are reflected in research into social enterprises to a greater or lesser extent. The over-simplification of independent and dependent variable approaches points to complexity as a research issue. These complexities are that factors are multi-dimensional, both in terms of comprising multiple elements and being multi-level, and structure and agency interact. Configuration theory, supplemented by decision-making theory, informed by Critical Realism is proposed as a potential resolution of these complexities.

Now that some of the main features of the map have been identified, an attempt can be made at understanding the terrain they represent when put together and what the likely consequences will be. The lay of the land in terms of elevation, slope and orientation enables understanding of water flow and distribution. Now that a map has been established, a vehicle is required, with which to traverse the actual terrain of the circumstances in which social enterprises perform well. This vehicle's overall design is a theoretical framework of configuration theory, supplemented by decision-making theory, and informed by Critical

Realism. The vehicle's detailed design is a conceptual model. It is to these design issues that the next chapter turns.

CHAPTER 3: THEORETICAL FRAMEWORK: CONFIGURATION THEORY INFORMED BY CRITICAL REALISM

Education is a continual process, it's like a bicycle…If you don't pedal you don't go forward

George Weah (1966-)

When I was a kid I used to pray every night for a new bicycle. Then I realized that the Lord doesn't work that way so I stole one and asked Him to forgive me.

Emo Philips (1956-)

A way of seeing is also a way of not seeing

Kenneth Burke (1897-1993)

There is nothing so practical as good theory

Kurt Lewin (1890-1947)

In this study the theoretical framework is analogous to a vehicle used in a research journey. This specific vehicle is one means of transport, that could be improved on over time by further engineering. The design of this vehicle has used wheels that were available, rather reinventing them. As such, the vehicle had both strengths and limitations. The aim was for the vehicle to move forward the argument forward.

The theoretical framework formed the background to an embedded conceptual framework and model. The principal theories employed were Configuration Theory (CT), supplemented by Decision-Making Theory (D-MT), and Critical Realist (CR) meta theory. These two main theories were compared and contrasted in their general approaches and with regard to three specific concepts. Consequently, the theories were used to investigate the three main concepts of configurations, fits, and fittings, and the relationships between them.

3.1 APPROACH

An approach to the theoretical framework was required. This begins with the way in which the theoretical framework was dealt, which is set out first. Then the bases for the two main theories are outlined. Firstly, Configuration Theory supplemented by Decision-Making Theory is addressed, and secondly Critical Realist Meta-Theory is addressed. Finally, the way the three concepts of configurations, fits, and fittings were handled is set out. In this way an orientation to the theoretical framework is provided.

3.1.1 Theoretical framework, conceptual framework and model

This theoretical framework is derived from Configuration Theory, supplemented by Decision-Making Theory, and Critical Realist Meta-Theory, which have both been tested and validated by previous research (Grant and Osanloo, 2014: 16). The inclusion of a theoretical framework here is in tune with an established trend (Grant and Osanloo, 2014: 13). An explanatory conceptual framework is embedded within the theoretical framework (Grant and Osanloo, 2014: 16). As Miles and Huberman (1994: 18) have observed "A conceptual framework explains, either graphically or in narrative form, the main things to be studied – the key factors, constructs, or variables – and the presumed relationships among them." The conceptual framework enabled concepts within the research to be specified and defined (Luse et al., 2012)

The conceptual framework is summarized as a model, which is a "representative device" (Harre, 1976: 16) of a "…complex reality, in need of analysis" (Harre, 1976: 27). Plausibility was the main criterion for this model (Harre, 1976: 39). Building the model was an iterative process that involved learning by doing (Lave and March, 1993: 10) in terms of working through the theories. Models have been used in Configuration Theory in graphical form (e.g. Siggelkow, 2002, 151-156) and discussed Decision-Making Theory (e.g Simon, 1979: 509-510). Models have been used and discussed in Critical Realist Meta-Theory (Archer, 1995: 154-161). The conceptual model appears in graphical form in the summary, as a further means of communication (Heemskerk et al., 2003: 1).

3.1.2 Configuration Theory, supplemented by Decision-Making Theory

A configuration can be defined as "a number of specific and separate attributes which are meaningful collectively rather than individually" (Dess et al., 1993: 775-776), and such attributes are termed elements in this study. Configurations can be classified as deducted conceptual typologies or inducted empirical taxonomies (Short et al., 2008: 1058; Dess et al., 1993: 776), which can be complementary (Meyer et al., 1993: 1183-1184), and are both used (Short et al., 2008: 1062). Dess et al. (1993: 784-785) have identified the main generic configuration constructs for organizations as structure, strategy process, strategy content and

environment. Fiss (2011: 394) has argued that core and peripheral elements are important considerations in configuration research within a typology. Short et al. (2008: 1054) argued that Configuration Theory describes organizations that resemble each other in important ways and explains their success and failure under specific circumstances. Earlier works in Configuration Theory include, for example, Chandler (1962), Miles and Snow (1978), and Miller (1987) (Dess et al., 1993: 776-777). Configuration Theory is influenced by systems theory and contingency theory.

Configurations arise because their variety is limited by the tendency for their attributes to comprise "coherent patterns" (Meyer et al., 1993: 1176). Of the total variety of combinations of configurations that are theoretically possible, only some are observed. This patterning occurs because attributes are in fact interdependent and often can change only discretely or intermittently. Fiss (2007: 1189) has commented that this results in a matrix of organizational design features with some cells are full and others empty. Reasons why empirical configurations observed are so many fewer than those that are possible include that some configurations are self-reinforcing and others not, and there are environmental pressures (Fiss et al., 2013: 7 citing Miller, 1981; 1986). Only a modest percentage of conceivable configurations are observable in practice. This allows researchers to produce "sets of different configurations that collectively exhaust a large fraction of the target population of organizations…under consideration" (Miller and Friesen, 1984: 12).

Configurations are concerned with synthesizing broad patterns and connecting them with performance, rather than abstracting organizational aspects and linking these to performance (Meyer et al., 1993: 1176-1177). An organization, considered as a system has a purpose, and progress toward or away from it can be judged through performance criteria. Equifinality necessarily requires that organizational performance states are considered. Equifinality means the same final state or goal can be "…reached from different initial conditions and in different pathways…" (von Bertalanffy, 1969: 132). In Gresov and Drazin's (1997: 408-418) classification of equifinal situations, degree of conflict in functional demands relates to the multiple functions that organizations must perform to survive (Gresov and Drazin, 1997: 408). They identify three main situations. Firstly, one function can prevail over another, such as innovation over efficiency in a start-up entrepreneurial organization. Secondly, functions can be consistent, such as innovative product design and flexible customer relations. Thirdly, there can be equally important functions that are incompatible or conflicting, such as innovation versus efficiency in a firm at the mature stage of a product life cycle (Gresov and Drazin, 1997: 409). Accordingly, at one end of the spectrum are single functions with a dominant imperative and at the other end are multiple functions that are inconsistent (Gresov and Drazin, 1997: 410). This is echoed in the evolutionary path of performance models from univariate to

multivariate and beyond (Talbot, 2010: 161-163). Linking configurations with multiple performance criteria, which may agree or be in conflict, is a consideration in equifinality.

While configurations can be argued to be "fertile ground" for research (Short et al. 2008: 1065-1066), it remains relatively little understood (Fiss et al., 2013: 2). This is despite configuration theory being a central idea in organization studies (Fiss, 2007: 1180), dating from Weber (1922 [1978]). Configurations leading to high performance has arguably become a dominant research issue in various fields such as human resources management (HRM) (Guest, 1997: 263). Configurations have been produced for diverse organizations, such as Greenwood and Hining's (1993) two archetypes of municipal governments in England and Wales, and Park and El Sawy's (2013) configurations of digital businesses. According to Short et al.'s (2008: 1072) literature review of configuration research 1993-2007, while configuration theory is important to organizational theory, its potential had not yet been realized. Nevertheless, Fiss et al. (2013: 2) were optimistic about the future for configuration research, suggesting that it is undergoing a renaissance in organization studies. In addition to addressing which combinations of attributes occur in configurations, it is also important to understand combinations that do not occur. This understanding may help both in explicitly identifying design features that should not occur in an organization and combinations of design features that may improve the performance of existing organizations (Fiss, 2007: 1189).

Moreover, the configuration-performance relationship is an area of achievement in the configuration literature (Short et al., 2008: 1065). Dess et al. (1993: 776) have observed that classification of organizations is an important role of configuration research, and that normative theory development is enhanced by explaining performance differences among organizations. Direct explanation of performance has been a common aim of configuration research, with performance assessed through accounting data, other quantitative objective measures, and subjective measures (Short et al., 2008: 1064). In addition, some studies have considered configurations' indirect influence on organizational performance (Short et al., 2008: 1065). There is some support for the argument that configurations are related to performance (Short et al., 2008: 1064-1065 citing Ketchen et al., 1997). Ostroff and Schmitt (1993) treated organizational effectiveness as a multidimensional, configurational construct according to Meyer et al. (1993: 1185).

However, there are issues of debate concerning configurations and their link to performance. Most fundamentally configurations can be criticised for oversimplification and more specifically for the weakness of typologies in providing theoretical explanation. Donaldson (1996: 127) has stated that managers "need a framework on to which they can map their experience and which yields highly differentiated and graded prescriptive advice. In configurations they find

stark, but simplistic caricature." Some have considered configurations to be "pseudotheories" formed by casual induction instead of rigorous deduction from theory (Meyer, 1991: 827-828).

However, Meyer et al. (1993: 1179) have rebutted these criticisms by reference to Weber (1963: 398) who developed ideal types and considered them to have theoretical properties. Dess et al. (1993: 776) offered a balanced view, arguing that configurations are both parsimonious and complex. Miller (1996: 511) considered that it is more a question of achieving the right degree of balance of simplicity and complexity. The charge of oversimplification that is out of step with organizational complexity has also been noted by Meyer et al. (1993: 1181-1182), although in their view this is more applicable to configurations with only one or two dimensions. However, complexity increases exponentially as more elements are added to a configuration (Fiss at al., 2013: 2), as there is also an upper limit in the number that can be comfortably handled. There are also some terminological difficulties, for example, Dess et al. (1993: 775) have referred to "…gestalts, configurations or archetypes". Whereas Short et al. (2008: 1056-1057) proposed "configuration" as the over-arching term, with four main subsidiary terms arrangement in a matrix: strategic groups (competitive strategy/context- specific), archetypes (organizational features/context-specific), generic strategies (competitive strategy/generalizable), and organizational forms (organizational features/generalizable). Previous studies are spread across Short et al.'s four-part classification, and there are relatively few studies that have been concerned with more than one type of organizational configuration (Short et al., 2008: 1059).

Nevertheless, there are concerns regarding the configuration-performance link. The overall theoretical problems of performance management and measurement need to be acknowledged as they are "rather large", with many arguing that the "'organizational effectiveness' construct" is "not objectively definable, and therefore not possible to measure." (Talbot, 2010: 50). Concerning the relationship between configurations and performance "questions remain regarding the exact nature of this link" (Short et al., 2008: 1065). Fiss (2007: 1180) considered that the evidence is equivocal on the configuration-performance relationship, although also acknowledged Ketchen et al.'s (1997) meta-analysis. More specifically, previous research on configurations and performance has tended to focus on single financial criteria rather than multiple criteria, e.g. Fiss (2011: 403-404) adopted return on assets (ROA). The use of single criteria has the advantage of simplicity, but ignores that "…tensions always exist", and there are "competing values, preferences and priorities" in all organizations (Cameron et al., 2011:158).

Decision-making theory in the context of management and organizations is well established area of research. However, while Siggelkow (2002) addressed decisions to maintain or

change configurations in an atheoretical way, and in this study fitting decisions feature. Fayol (1916/1949) identified decision-making as what managers do. Rational decision making and optimization and the idea that managers' rationality is bounded and based on satisficing was discussed by Simon (1979). Indeed, different models have been applied to help explain decisions (Allison, 1971). Simon (1991) went on to link bounded rationality to organizational learning, which March (1991) developed in directions of exploration and exploitation. In his discussion on decisions, Barnard (1938: 185-199) included advice on when not to make decisions. While a decision approach has strengths in learning and the recognition that achieving goals and avoiding risks are qualitatively different (Morgan, 1986: 105-108), it has weakness that include the realities of power of managers and other stakeholders (Morgan, 1986: 108-109) and how this varies between the parties. Consequently, considering decision-making theory as a supplement to Configuration Theory appeared worthwhile.

3.1.3 Critical Realist Meta-Theory

A form of Critical Realism was used. Critical Realism is a meta-theory, which Archer (1998: 187) described as an under-labourer compatible with a range of approaches. For example, Elger and Smith (2005) used Critical Realism to influence labour process theory (Smith and Elger, 2014: 127). Consequently, Critical Realism as a meta-theory can be used with more specific theories in research, and in this study is used to inform Configuration Theory supplemented by Decision-Making Theory.

Critical Realism takes the epistemological position that there is an objective world that exists independent of people's perceptions of it and acknowledges that this world will be perceived differently by different people (O'Mahoney and Vincent, 2014: 2-3). Realist perspectives have in common that "…many entities exist independently of us and our investigations of them." Ackroyd and Fleetwood (2000: 6). Critical Realism is a variant of realism, associated with the work of the Bhaskar (Ackroyd and Fleetwood, 2000: 9). In Bhaskar's own terms, the approach adopted in this study is "basic" Critical Realism, which is inherently dialectic, rather than his later Critical Realism with a spiritual turn (Hartwig, 2012).

Critical Realism uses a layered ontology. These layers start with the empirical i.e. observed events that are interpreted, then the actual i.e. events that occur that may or may not have been observed, and then real structures and mechanisms that cause events at the empirical level to take place (Fletcher, 2016: 3). Different combinations of structures and mechanisms can lead to the same outcomes/events, and a given structure or mechanism can be associated with different events/outcomes (Danermark et al., 1997/2002: 58). Structures and mechanisms can contribute to an event/outcome by reinforcing each other, or they can pull in opposite directions resulting in no change (Johansson, 1984: 88-89 in Danermark et al.,

1997/2002: 57). Critical Realism uses a retroductive research strategy and refers to the "…process of building hypothetical models of structures and mechanisms that are assumed to produce empirical phenomena (Blaikie, 2007: 83). What can be achieved is to say that there are *tendencies* (Danermark et al. (1997/2002: 56), or *demi-regularities* (Kessler and Bach, 2014: 170). Williams (2014: 292) has argued that Critical Realism can address "middle range" realism (after Pawson, 2000 and Merton, 1968) by empirically testing limited models of structures and mechanisms, which can be seen as deriving from what Kessler and Bach (2014: 173) term "light theorization".

Critical Realism takes a relationist approach to structure and agency, which is one of the four approaches, the others being determinist, reductionist, and conflationist (Reed, 2005: 290). The relationist approach is adopted in effort to "resolve" the structure and agency dilemma, rather than to "dissolve" it (Reed, 2005: 290). Structure and agency can be seen as a quasi-natural system (McKelvey, 1997: 352). A juggling metaphor is that balls leaving a juggler's hands behave according to physics, but the juggler's hands behave according to the juggler's intentions (McKelvey, 1997: 353). A Critical Realist approach has been argued to offer the potential for "more accurate descriptions" and "better explanations of social phenomena" in open systems (O'Mahoney and Vincent, 2014: 6). Moreover, Critical Realism may lead to some reconceptualization of phenomena (O'Mahoney and Vincent, 2014: 19).

Critical Realism is linked to late modernity where there are mechanisms that create both continuity and change. Archer (2012: 6) used the phraseology of cycles of maintenance/morphostasis and change/morphogenesis. This combination of the "eternal and immutable" and the "ephemeral, the contingent" was embodied in Baudelaire's (1864) seminal definition of what it is to be modern. The current era is taken to be late modernity, i.e. the third phase of modernity that began at the start of the 20th century (Berman, 2010: 16-17). This is to reject the idea that late modernity is "liquid" (Bauman, 2000), that the era is postmodern with non-linear history (Baudrillard, 1999), and that society is purely morphogenetic (Al-Amoudi, 2014: 197). In rejecting postmodernism and traditional science, Critical Realism shares some characteristics with complexity theory (Blaikie, 2010: 104; Blaikie, 2007: 213).

The importance of being human has been emphasised in Critical Realism as central to the idea of agency (Archer, 2000: 17). Within Critical Realism, Sayer (2011: 246) has proposed engaging with values and normativity. These values "inform the evaluations we make" (Sayer, 2011: 246). Moreover, people are fundamentally evaluative beings (Archer, 2000: 12). Human emancipation has been highlighted by Bhaskar (2009: 171) as depending on the "transformation of structures", and so what is maintained and what is changed is important. This focus on values has been noted in considering how Critical Realism might contribute to

the purpose of social science in general by considering the relationship "between facts and values, is and ought/ought not." (Rutzou, 2016: 336).

Some criticisms of Critical Realism have turned out to be due to misunderstandings (Moura and Martins, 2008: 215-216). For example, there have been attempts to reconcile reflexivity with habits and *habitus* (Archer, 2012: 47-86), and so with the work of Bourdieu (e.g. Bourdieu, 2005). Some aspects of these attempts at reconciliation have been termed "friendly fire" by Archer (Archer, 2012: 53) as it often comes from (critical) realists. The attempted reconciliation is the results of confusion between *habitus* and a kind of reflexivity (Archer, 2012: 86). Critical Realism has been criticised for not serving a purpose as well as other approaches. For example, Gunn (2012: 87-89) has argued that Marxism provides a richer understanding of society than does Critical Realism. The meta-theoretic nature of Critical Realism means that it "…cannot produce theoretical claims or policy recommendations *on its own*.", which poses the challenge of to which other theories can it be linked (Moura and Martins, 2008: 216) (italics added). Therefore, Critical Realism retains potential to inform Configuration Theory supplemented by Decision-Making Theory.

3.1.4 Concepts: configurations, fits and fittings

The main concepts that have been used in the conceptual model are configurations, fits and fittings, which connect with the research questions of What?, Why? and How?. This model was located inside the theoretical framework in the overlap between Configuration Theory, supplemented by Decision-Making Theory, and informed by Critical Realist Meta Theory. That is to say that there were aspects of Configuration Theory, Decision-Making Theory and Critical Realist Meta theory that were not included. Configurations, fits and fittings are interrelated, and so fitting includes configuring. Each concept builds on the others. The arrangement of these aspects is shown in Figure 3.1: Outline of theoretical framework and conceptual model

Conceptual model

Configuration Theory

Critical Realist Meta-theory (informative)

Configurations

Fits

Fittings

Decision-Making Theory (supplementary)

Theoretical framework
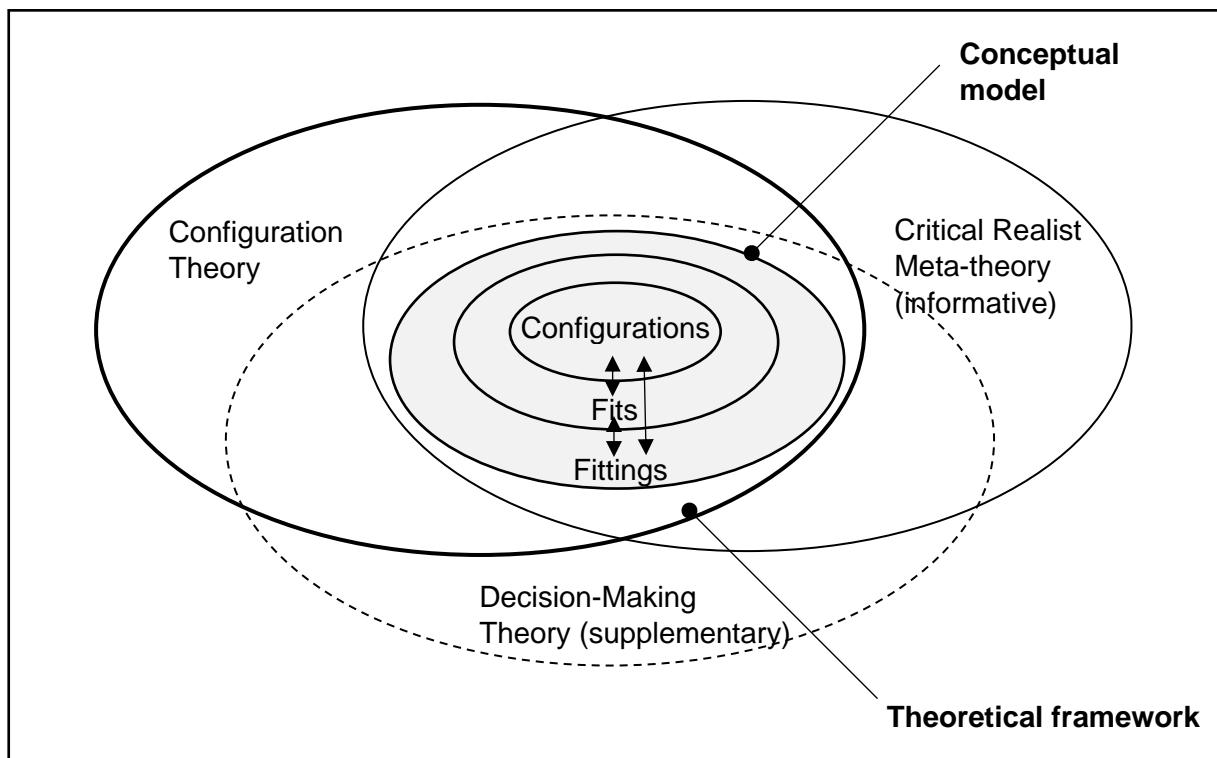
Figure 3.1: Outline of theoretical framework and conceptual model

Having presented background on Configuration Theory, supplemented by Decision-Making theory, and Critical Realist Meta-Theory, attention now turns to the conceptual model. The argument of the conceptual model is an analytic plus argumentative matrix (Dunleavy, 2003: 72-74). Consequently, each of the main analytical concepts, and the links between them, are addressed in turn by the argumentation theories of Configuration Theory, supplemented by Decision-Making Theory, and then Critical Realist Meta-Theory, which are then compared and contrasted. The concepts are addressed in the order configurations, fits, and fittings. The approach is shown in Table 3.1: Outline of conceptual model argument.

		ARGUMENTATION THEORIES		
		Configuration Theory	**Critical Realism**	**compare and contrast**
ANALYTICAL CONCEPTS	**Configurations**			
	Fits			
	Fittings			

Table 3.1: Outline of conceptual model argument

70

3.2 CONFIGURATIONS

Configurations was the first concept to be addressed. A perspective on Configurations from Configuration Theory, supplemented by Decision-Making Theory, was taken first. Then a perspective on Configurations from a Critical Realist Meta-Theory was taken. Each theoretical perspective considers structural and agential modes with reference to some sub-concepts. Finally, Configurations from the two theoretical perspectives is compared and contrasted using analysis by similarity and dissimilarity, which appears in Table 3.3: Similarities and differences in theoretical positions on concepts in the summary.

3.2.1 Configurations from a Configuration Theory and Decision-Making Theory perspective

In order to move beyond discussion of configurations in general, a theoretical basis for its element logics was required. Criteria for selection of element logics were that the focus was organizational performance, robustness, and coverage of configuration elements, layers and aspects. Accordingly, Cameron and Quinn's (2011) Competing Values Framework (CVF) was selected. The CVF was preceded by Ouchi (1980: 129), who discussed the organizational forms of markets, bureaucracies and clans in relation to goal congruence and performance ambiguity. Quinn and Rohrbaugh (1981: 136) proposed four competing values sets based on the models of human relations, internal process, rational goal, and open systems. Cameron and Whetten (1983: 274-275) concluded that in organizational effectiveness "multiple viewpoints all may be legitimate, but under different circumstances and with different types of organizations." The robustness of the CVF has been shown by it congruence with other category approaches (Cameron and Quinn, 2011: 37), its use over many years for many kinds of organization in different countries (Cameron and Quinn, 2011: 27-28), and its reliable and valid tools (Cameron and Quinn, 2011: 175).

The CVF has four element logics, which at the organizational layer are collaborate, control, compete, and create. The aspects of organization that are included in the CVF in the organizational layer are culture, (change) strategy, and performance outcomes. The organizational element logics of the CVF were developed by Cameron and Quinn (2011: 38-41) in four quadrants – see Figure 3.2: Four quadrants of the CVF.
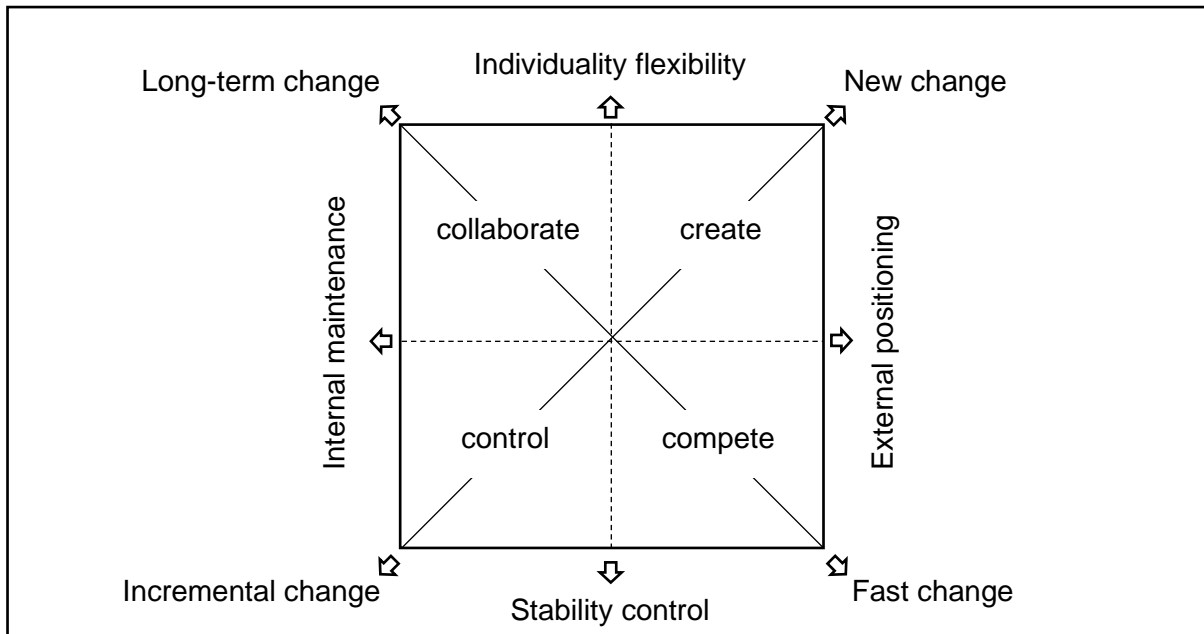
Figure 3.2: Four quadrants of the Competing Values Framework

The quadrants were derived from the pull of two axes. The vertical axis runs from stability and control at one end to flexibility at the other (Cameron and Quinn, 2011: 38). The horizontal axis runs from internal maintenance at one end to external positioning at the other (Cameron and Quinn, 2011: 38-39). Another feature concerns the nature of change shown by the diagonals, one of which runs from long-term change to fast change and the other from incremental change to new change or transformation (Cameron et al., 2006: 32). Together these dimensions frame the four quadrant orientations of collaborate, control, compete and create. Each quadrant is underpinned by different theories of performance effectiveness: human development, control and efficiency, aggressive competition and innovativeness respectively. Each quadrant also tends to emphasize different kinds of resource or capital: human, technological/process, financial, and intellectual respectively. These quadrants can be used for culture, change strategy and performance outcomes. While Cameron et al. (2006: 44) have highlighted that the quadrant orientations compete for resources, they have also noted their complementary nature. The degree of dominance of CVF element logics has been argued to have an effect on organizational performance, as higher performing organizations and their managers tend to be dominant on one element logic and capable on the other three (Cameron and Quinn, 2011: 52-54).

While the CVF had advantages for this study, some aspects required further consideration. Despite its culture origins, Cameron and Quinn (2011: 23) acknowledged that the CVF is not the only approach to help manage culture. Fitzgerald (1988) disagreed that culture can be assessed and changed which undermined the basis of the CVF. Nevertheless, reference has continued to be made to its extensive use in culture research (Yu and Wu, 2009: 37).

More specifically, gaps in this standard CVF and their implications required consideration. The CVF has been extended from culture into change strategies and performance outcomes in the organizational layer (Cameron et al., 2006: 127-132). However, organizational structure is not explicit in the CVF, and so an additional configurational approach was sought for this aspect. This structure gap can be filled through approaches such as Mintzberg's (1993: 286-287) configurations and associated coordination mechanisms of professional bureaucracy/skills, machine bureaucracy/work processes, divisionalized form/outputs, and adhocracy/mutual adjustment respectively. However, such an approach ignores simple structure/direct supervision. As change strategy (process) is present in the CVF, the strategy (content) gap was accepted. While the CVF focuses on the organization, it can be used for parts of an organization (Cameron and Quinn, 2011: 40-44), and by extension to both operating and group organizations. As the CVF focuses inwards on the organization, the environment was another gap that needed to be filled, so that macro (environmental), meso (organizational) and micro (managerial) layers could all be investigated. However, the CVF has ben extended into management behaviour in the managerial layer (Cameron and Quinn, 2011: 135-136).

The importance of the environment has been highlighted (Katz and Kahn, 1966; Cameron and Quinn, 2011: 166). Organizations can only survive if they are able to acquire and maintain sufficient resources from other organizations in the environment through various transactions (Pfeffer and Salancik, 2003: 2). The relationship between the nature of the environment and organizations have been discussed through their practices in general (e.g. Mascarenhas, 1984/1985: 107) and more specifically (e.g. Azadegan et al., 2013: 193). The effects of the environment on decision-makers have also been discussed (e.g. Ashill and Jobber (2014: 268). Dynamism has been identified as the most important feature in the degree of uncertainty of the organizational environment (Duncan (1972: 313), and so most relevant to the CVF. However, in addition to dynamism, complexity and munificence are recurrent environmental dimensions. (Duncan, 1972: 314-317; Dess and Beard, 1984: 54-55; McArthur and Nystrom, 1991: 350-351). A distinction was made between the environment that was closest to the organization – i.e. the task or operating environment involved in transactions with the organization – and the wider environment beyond this (Dess and Beard, 1984: 54). Environments can be considered as different types of markets (Cohen and Cyert, 1975) and non-markets (Sandel, 2012: 8-11). Consequently, the focus was on the operating environment, while recognizing the wider environment, and on dynamism but with complexity and munificence treated as further dimensions.

The managerial layer has been addressed as part of the CVF by Cameron and Quinn, 2011: 135) through management behaviour. These management behaviours are aligned with each of the organizational element logics orientation in the CVF (Cameron and Quinn, 2011: 249).

In the collaborate quadrant the management behaviours are facilitating and mentoring. While the management behaviours in the control quadrant are monitoring and coordinating. Competing and producing are the management behaviours in the compete quadrant. In the create quadrant the management behaviours are innovating and envisioning. Accordingly, the management behaviour element logics are aligned directly with the organizational element logics of the CVF.

Consequently, the extended Competing Values Framework, further extended as required, was selected as a theoretical basis for structural element logics and is shown in Table 3.2: Element logics from a CVF Configuration Theory perspective.

	STRUCTURAL MODE		
	COMPETING VALUES FRAMEWORK		
	LAYERS		
	Organizational	**Environmental**	**Managerial**
Aspects	culture, strategy, performance outcomes, (other – structure)	dynamism	management behaviour
ELEMENTS	collaborate	low	facilitate
	control	medium/low	coordinate
	compete	medium/high	drive
	create	high	innovate
	(other)	(other – complexity, munificence)	(other)

Table 3.2: Element logics from a CVF Configuration Theory perspective

The CVF addresses the structural mode but says less about the agential mode, except regarding the possibility of change (Cameron and Quinn, 2011: 159-163), and so while it assists with the parts, the people also need consideration. These people can be considered through a stakeholder approach, which concerns the groups with a stake in the organization's activities (Freeman et al., 2010: 24). Freeman et al. (2007) divided stakeholders into primary or inner – employees, customers, suppliers, financiers, and communities, and secondary or outer – competitors, consumer groups, media, special interest groups, and government. In this study, managers were emphasized, and a similar view of stakeholders as more and less distant from the organization, with the possibility of operating and group organizations, and one or more management boards. Freeman's (1994) resolution that stakeholder theory incorporates shareholder theory is favoured, rather than Friedman's (1970) argument that businesses are concerned with profit maximization and its emphasis on shareholders. Stakeholder purpose has been used to link organizational strategy with ethics (Freeman and Gilbert, 1988: 64). These ethics can be grouped as about how people ought to be (e.g. virtue ethics - Driver, 2007: 136), what their duties ought to be (e.g. Kantian ethics - Driver, 2007: 80), what they ought to do to achieve the best consequences (e.g. utilitarianism - Driver, 2007: 41), and what they ought to do can be refined and replaced (e.g. pragmatic ethics – Dewey, 1922/2000). Prioritization among stakeholders has been developed into the idea of salience as different combinations of power, legitimacy and urgency (Mitchell, Agle and Wood, 1997: 298). With multiple stakeholders, a person or group may affect or be affected by the organization's objectives being achieved (Freeman, 1984: 46).

3.2.2 Configurations from a Critical Realist Meta-Theory perspective

Taking a Critical Realist view of the structural mode, its meta-theorical nature means that configuration elements are not discussed, although the aspects of culture and structure are addressed. From a Critical Realist perspective, culture and structure are analytically separable (Archer, 1995: 323). This is so even though in everyday life structure and culture are often dealt with as one and the same (Archer, 1995: 323). However, whilst this separation may not made in practice, this does not mean that it is not worthwhile from a research perspective – when we drink water, it does not mean that we should not study it its two chemical elements of hydrogen and oxygen (Archer, 1995: 324). Indeed, in Archer's view (Archer, 1995: 324) "Any formula which serves to compact structure and culture – like Foucault's 'power-knowledge' complex…merely defies and defeats analysis of different *configurations*." (italics added). In daily life, particular configurations of structure and culture are experienced, which people treat as "amalgams", when they are in fact "*specific forms of amalgamation*" (Archer, 1995: 324) (italics in original).

In the agential mode, a distinction has been made between corporate and primary agents (Archer, 1995: 258). Corporate agents have objectives that they can articulate and can pursue organized actions to achieve them (Archer, 1995: 258). These corporate agents shape the context for everyone (Archer, 1995: 260). In contrast primary agents lack a say and have concerns that are kept off the agenda (Archer, 1995: 259). Primary agents live in the context shaped by the corporate agents (Archer, 1995: 260). There can be a tendency to focus on corporate agents to the exclusion of primary agents (Archer, 1995: 258). While primary agents lack a say they still have an effect, albeit in an uncoordinated way with unstated objectives (Archer, 1995: 259). There is a complication that agents may shift over time between corporate and primary categories (Archer, 1995: 259).

Agents have concerns, which are things that they care about as a way of living (Archer, 2012: 109). Three inescapable kinds of concern have been identified: self-worth, physical well-being, and performative achievement (Archer, 2000: 198-199). Concerns can be singular in terms of an ultimate concern or multiple and of different degrees of importance. (Archer, 2012: 109). An agent's degree of engagement with aspects of the world is shaped by these concerns (Archer, 2015: 133). Concerns can be held, changed or abandoned (Archer, 2012: 109). These concerns are configured in relation to those of others (Archer, 2015: 133).

Layers in social systems have been advocated in Critical Realist Meta-Theory. These layers are referred to as laminae or in the context of a laminated system (Bhaskar and Danermark, 2006: 278-297). These terms are used to "mark the irreducibility of the mechanisms at the levels specified" (Bhaskar, 2014: x). This use of these layers guard against "the constant tendency of mainstream-influenced thought to actualizing reductionism, that is to flatten or one-dimensionalize, to de-stratify or de-differentiate reality." (Bhaskar, 2014: x). The range in numbers of laminae is indicated by Bhaskar's (2014: x-xii) five possibilities, which include a suggestion that four to seven layers will be useful. Consequently, from a Critical Realist perspective, a handful of layers in a social system as a whole is advisable as a basis for investigation.

3.3 FITS

Fits in configurations was the second concept to be addressed. A perspective on Fits from Configuration Theory, supplemented by Decision-Making Theory, was taken first. Then a perspective on Configurations from a Critical Realist Meta-Theory was taken. Again, each theoretical perspective considers structural and agential modes with reference to some sub-concepts. Finally, Fits from the two theorical perspectives is compared and contrasted using analysis by similarity and dissimilarity, which again appears in Table 3.3: Similarities and differences in theoretical positions on concepts in the summary.

3.3.1 Fits from a Configuration Theory and Decision-Making Theory perspective

The concept of fits is closely associated with that of configurations in the structural mode. According to Miller and Friesen (1984: 21), "configuration, in essence, means harmony." Similarly, Sigglekow (2002: 128) observed that a configuration implies reinforcing elements and overall system coherence. Fit characteristics have been linked to performance (Miles and Snow, 1994: 18-20). Indeed, Cameron and Quinn (2011: 53) proposed a congruence hypothesis for their CVF, where managers' competences are congruent with the organization's dominant culture, such managers and their organization tend to be higher performing. Despite its potential usefulness, different conceptualizations of categories of fit have led to some confusion (Ostroff and Schulte, 2007/2012: 13).

Drazin and Van de Ven (1985: 515) defined fit as "a feasible set of equally effective, internally consistent patterns of organizational context and structure". However, their definition of fit highlights the need to address fit between different layers. Taking the organization as the reference point, fit can be divided into external – i.e. between the organization and its environment - and internal fit – i.e. within the organization. Both external fit and internal fit need to be considered in studying organizations and their adaptation. This view has been supported by Olson et al. (2005: 50) citing Chakravarthy (1982), "managers may adapt the organization's strategy to cope with changes in the external environment or the organization's structure and behavior to address the requirements of its strategy". According to Olson et al. (2005: 51) Porter's (1980) typology has more of an external focus and Miles and Snow's (1978) typology has more of an internal focus.

The idea of fits within and between layers has been developed further by considering the organization, people, and environment by Ostroff and Schulte (2007/2012: 15). In considering performance, it is important to address the layer of analysis together with an appropriate level of outcome variable (Ostroff and Schulte, 2007/2012: 12). Within the organizational layer fit can be between organizational features (after Ostroff and Schulte, 2007/2012), for example, structure and strategy alignment has been recognized as having a bearing on performance

(Olson et al., 2005: 50). Looking outwards, fit can be between a set of organizational features and the organizational context (after Ostroff and Schulte, 2007/2012). Looking inwards, there can be fit between a person and the organization, such as between a person and their job (Ostroff and Schulte, 2007/2012: 15). Looking within the person or managerial layer, fit can be among people's personal characteristics, such as between employee/supervisor, board member/board member, and manager/manager.

Fit can be a matter of degree. For example, in emphasizing internal fit, Sigglekow (2001) has commented that many mutually reinforcing elements can be said to have a high degree of internal fit. Miles and Snow (1994: 18-20) have linked a scale of degrees of external fit to levels of performance. They associated misfit with failure, which applied to a minority of organizations where desperate measures are taken in a downward spiral. Next, they linked minimal fit with survival and mediocre returns, which they associated with most organizations who struggle but do not succeed to expectations. Tight fit was linked to excellent performance, which only a few organizations achieve who squeeze out uncertainly and confusion so that processes feel simple. When this tight fit is achieved early by a few very high performing organizations, peak performance continues, although some find that this tight fit is fragile and hard to sustain. Consequently, Miles and Snow's (1994: 18-20) view was that the tighter the fit, the higher the performance.

However, tight fit and congruence are not the only degrees of fit that have been associated with higher performance. Indeed, "…the simplistic assumption that congruence is always optimal, and that any kind of incongruence is equally suboptimal, has been mostly abandoned." (Kristoff-Brown and Billsberry, 2013: 3). Loose fit can be associated with higher organizational performance in the context of education with its different realities to business as argued in Weick's (1976) concept of loose coupling. Furthermore, misfit can be valuable if used purposefully in complex and uncertain environments (Voelpel et al., 2006). Accordingly, different degrees of fits can be associated with higher organizational performance in different situations.

Attention has been paid to supplementary and complementary fits (Ostroff and Judge, 2007/2012: 16). Supplementary fit concerns similarity. Muchinsky and Monahan (1987: 269) observed that supplementary fit "…supplements, embellishes, or possess some characteristics which are similar…". In contrast, complementary fit concerns difference and providing something that is missing. Muchinsky and Monahan (1987: 271) stated that complementary fits "…serve to 'make whole' or complement…" Some have used the analogy that supplementary fit means adding more red bricks to other red Lego bricks, whereas complementary fit is about adjacent pieces of a jigsaw. Ashby's (1958) work on requisite

variety and system control may also prove illuminating, e.g. the characteristics of a management team might "fit" because of their difference not because of their similarity. While Muchinsky and Monahan's (1987: 269-271) definitions of supplementary and complementary fit were originally used in the person/managerial and organizational layers respectively, they have since been applied more broadly (Ostroff and Judge, 2007/2012: 17). While some fits can be complementary, such as adjacent quadrants in Cameron and Quinn's (2011) CVF, others can be non-complementary, or "competing", such as the diagonally opposite quadrants in the CVF.

There are further complexities in the concept of fits. Research on different degrees for fit and types of fit may prove theoretically useful, as it has "received little attention" (Ostroff and Schulte, 2007/2012: 46). Miles and Snow (1994: 11) observed that at a snapshot in time, a successful company will have both strong internal and external fit, but that organizations are dynamic. Consequently, "fit is both a state and a process" (Miles and Snow, 1994: 11). However, "Little attention has been devoted to explicating the dynamic process of fit…" (Ostroff and Schulte, 2007/2012). Miles and Snow's (1994: 18-20) observation that early, tight fit can result in high performance that can last almost indefinitely or be fragile, suggests that flexibility and robustness are also considerations. Olson et al. (2005: 50) expressed the importance of fit through their statement that organizational equifinality means that superior performance can be achieved in different ways, and even that the chosen strategy is less important than how well the strategy is implemented. Configurational fit and misfit relates to the latitude of options in Gresov and Drazin's (1997: 408-418) classification of equifinal situations. Kristof-Brown and Billsbury (2013: 1) have reported that fit research tends to split into two between "perceived fit" research and research into the interaction of internal/external factors. Lee and Ramaswami (2013: 227-229) have argued that "individuals' interpretation and response to fit" is likely to vary by national culture. These complexities reinforce the need for research into the concept of fit.

From an agency viewpoint, stakeholders do not exist alone, but rather are connected in various ways. Rowley (1997: 891) developed mapping of stakeholder networks, showing the focal organization. Moreover, Rowley (2000) has shown that the position of the stakeholder in the network, in terms of density or interconnectedness and centrality, tends to affect their nature of their relationships with other stakeholders. This stakeholder typology (Rowley, 1997: 901) identified four stakeholder positions and associated behaviours. Compromiser stakeholders in high density/high centrality positions tend to negotiate, while commander stakeholders in low density/high centrality positions tend to manipulate. While subordinate stakeholders in high density/low centrality positions tend to accede and solitarian stakeholders

in low density/low centrality positions tend to withdraw. These stakeholder positions and behaviours may affect their different purposes.

3.3.2 Fits from a Critical Realist Meta-Theory perspective

From a structural mode perspective, Critical Realism focuses on culture and structure configurations or "amalgams", and from a fit viewpoint it works with the nature of their combinations. Culture and structure need to exist for people to be able to maintain or change them (Archer, 1995: 197). There are four possible combinations of culture and structure (Archer, 1995: 218). Firstly, necessary complementarities mean that aspects of culture or structure go together and reinforce each other (Archer, 1995: 219-220). When there are necessary incompatibilities, there is inconsistency in cultural or structural elements (Archer, 1995: 224). Contingent incompatibilities mean that there is a contradiction between elements of culture or elements of structure, (Archer, 1995: 225). Finally, when there are contingent compatibilities in culture or structure elements there is an open system without barriers (Archer, 1995: 226-227). These compatibilities and incompatibilities between culture and structure provide a context of different kinds of uncertainty for agents.

The structural mode can be considered as alignments within and between layers. These layers have been applied in the field of management and organization. For example, Rees and Gatenby (2014: 139) have observed that "…in the social world we might identify organizations or industries as laminated systems of interest." Layers are entities that have causal powers, which depend on mechanisms that are mainly relational and can be "possessed, exercised, or actualised" (O'Mahoney and Vincent, 2014: 8). Consequently, these relational mechanisms may or may not come into play at any given time. Viewed in this way, relational mechanisms are interactions that align the layers to a greater or lesser extent.

In the agential mode, Critical Realism addresses human relationships between persons or collectivities who may have similar or different concerns. However, agents can misconstrue these human relationships (Archer and Donati, 2015: 63) in a parallel with their fallible reflexivities. Three modes of human relations have been identified (Archer and Donati, 2015: 68-69). In the first human relations mode, people seek to maximize or satisfice in terms of their own preferences but are trapped in the instrumental rationality model. This first mode has been labelled Me-ness with I-It relationships (Archer and Donati, 2015: 68-69). In the second human relations mode of Thee-ness with I-You relationships, parties have a reciprocal relationship, which needs conversations but is prone to misinterpretations (Archer and Donati, 2015: 69). In the third mode of We-ness with I-We relationships, and parties are jointly "framing a common goal and the continuing dovetailing of intentions" (Archer and Donati, 2015: 76). A fourth mode of human relations can be postulated based on positive and negative feedback.

This could be known as They-ness with I-They relationships and would involve parties where each seeks to negotiate with the others. These human relations are associated with relational goods and relational evils, which are desirable and undesirable respectively as people choose to describe them (Archer and Donati, 2015: 66). For example, friendship is a relational good that is commonly desired (Archer and Donati, 2015: 66).

In agential mode, alignment between one layer and another has been discussed. Archer (2007: 88) addressed alignment between one layer and another regarding people and their concerns and reflexivities. Archer (2007: 88) discussed this in relation to a person, whereby "…we talk to ourselves about society in relation to ourselves and about ourselves in relation to society…" This is a dialectal process, which may involve adjustment at one or both levels (Archer, 2007: 88), such as a person and/or the social environment, although some levels can be "missed out" as in Archer's individual and society example. This principle could be extended to different agential layers. This "adjustment and accommodation" process is "rarely optimal…frequently revisable, but it is always reflexive in nature." (Archer, 2007: 88).

The interplay between structure and agency is fundamental to Critical Realism. Structure and agency are separable through "analytical dualism" (Archer, 2012: 51). However, structure and agency "*emerge, intertwine and redefine*" each other (Archer, 2012: 52) (italics in original). Structure imposes constraints and opportunities on agency, and vice versa.

3.4 FITTINGS

Fitting in configurations and fits was the third concept to be addressed. A perspective on Fittings from Configuration Theory, supplemented by Decision-Making Theory, was taken first. Then a perspective on Fittings from a Critical Realist Meta-Theory was taken. Again, each theoretical perspective considers structural and agential modes with reference to some sub-concepts. Finally, Fittings from the two theorical perspectives is compared and contrasted using analysis by similarity and dissimilarity, which again appears in Table 3.3: Similarities and differences in theoretical positions on concepts in the summary.

Configurations and fits can be maintained and/or changed by a process of fitting. Fitting needs to be addressed as well as configurations and fit (Kristof-Brown and Jansen, 2007/2012: 141). As configurations and fits are interrelated, fitting can be directed towards one or the other. Framed in this way, fitting includes configuring, and refitting includes reconfiguring - see Figure 3.3: Fittings, fits, and configurations.
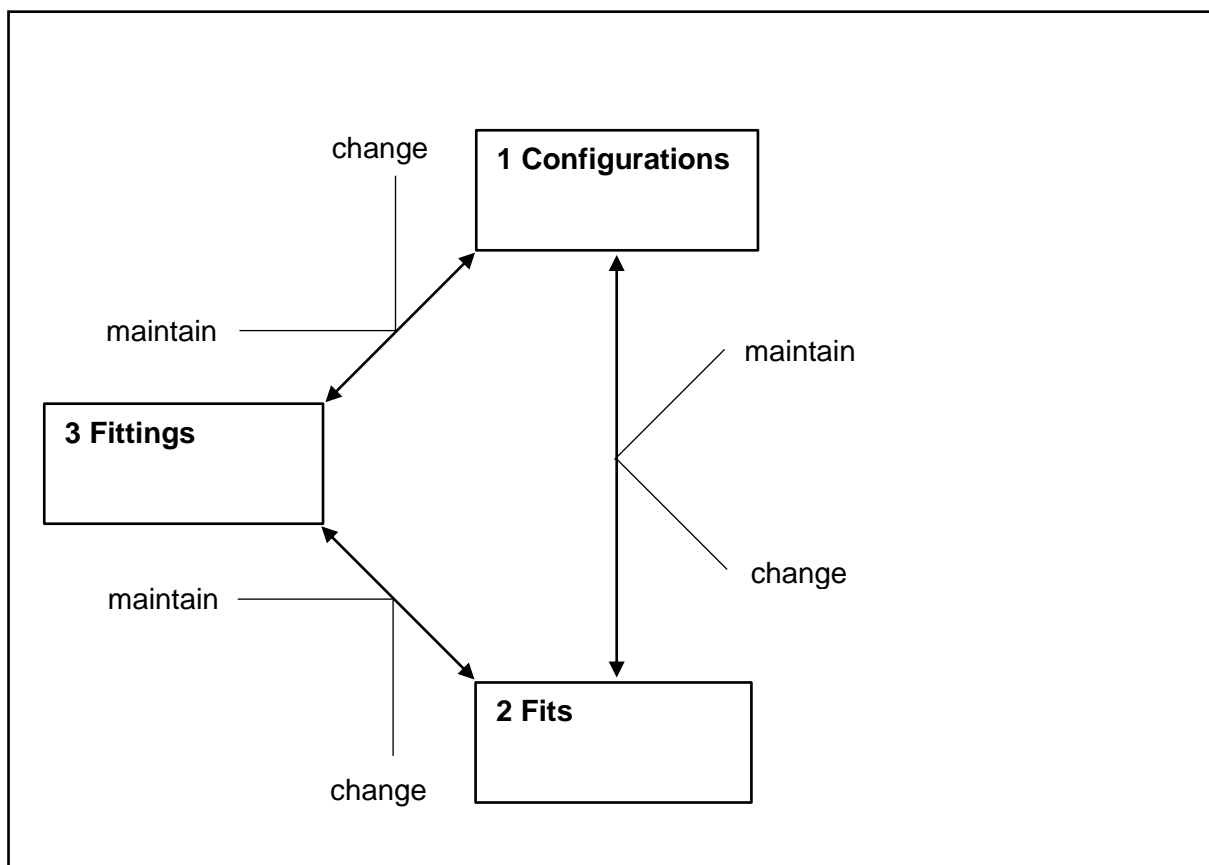
Figure 3.3: Fittings, fits, and configurations

3.4.1 Fittings from a Configuration Theory and Decision-Making Theory perspective

In Configuration Theory the differentiation and integration of maintenance and change in relation to configurations and fits is of concern. The nature of maintenance and change has implications for how time and the decision portfolios are handled. These issues can be considered with respect to comparative opportunities and risks. Then decision making theories can addressed in relation to these points.

The dominant view in Configuration Theory is that the dynamics by which choices are realized in equifinal situations result in punctuated equilibrium. This pattern of change is discrete and intermittent change such that organizational change tends to be episodic and configurations fewer than might otherwise be possible (Fiss et al., 2013: 7 citing Miller, 1986). The concept of punctuated equilibrium is recurrent in Configuration Theory (Miller and Friesen, 1984), in management and organization (Romanelli and Tushman, 1994), and in other fields (Gersick, 1991), and has continued as a topic of research (Tilcsik and Marquis: 2013). Miller and Friesen (1984: 2) have drawn a parallel with atoms which are "prohibited from being between states". Punctuated equilibrium is broadly applicable across individual, group, and organizational fields Gersick (1991:10). Romanelli and Tushman (1994: 1141) empirically tested organizational transformation as punctuated equilibrium in US minicomputer producers, and the weight of evidence was in favour of fast, widespread, and discontinuous change, rather than small, local, and accumulating change developing into fundamental transformations. Miller and Friesen (1984: 3) have argued that change little by little is not compatible with the idea of configurations, and that "only quantum change…allows us to find such configurations."

However, there are paths other than punctuated equilibrium. Miller and Friesen (1984: 2) have conceded that "…things are not quite so restricted in the world of organizations." Indeed, Sigglekow (2002: 156) pointed out that in addition to punctuated equilibrium, there are other types of transition, citing Greenwood and Hinings (1988). Other types of change follow a more gradual linear progression, where the core elements of both past and future configurations are present at the same time during the transition period. However, punctuated equilibrium and more gradual change may not be mutually exclusive in organizations, and this may side-step the sharp contrast between the two camps (Mitchell, 2009: 84-85). The combination of punctuated equilibrium with more gradual change is demonstrated in Sigglekow's (2002) operationalization of choices in equifinal situations. Gersick (1991:10) observed that in the periods of stability that take place between periods of "revolutionary upheaval", only "incremental adaptations" are permitted. Furthermore, the nature of fitting based on systems theory and equifinality is open to question because of its biological backbone. For Eldredge and Gould, (1972: 115) "The norm for a species, or by extension a community, is stability."

This means that modes of change other than punctuated equilibrium may occur, and gradual change is the main alternative.

The timeframe for the maintenance and changes of configurations and fits needs consideration. Time, though fundamental for human existence, is often taken for granted in management and organization studies (Lee and Liebenau, 1999: 1035). Looking into the future, means considering the known and the unknowable, and the tendency for the unknowable to increase as a proportion as the timeframe is extended (Rosenhead, 1989: 194-195) see Figure 3.4: The trumpet of uncertainty with configurations and fits. The increasingly uncertain future can be sub-divided into the relatively short-, medium- and indeed the long-term (Schwartz, 1991: 3-7). Looking backwards, while organizational history can provide insights, historical organizational case studies have tended to be of organizations viewed as successful (Godfrey et al., 2016: 601-602). Historical awareness can put those with a detached approach in conflict with others who feel their versions of the past are threatened. (Tosh, 2015: 1). Temporal focus – past, present and future – and temporal depth – short and long term – are "temporal tensions" and trade-offs that have tended to be under-researched (Slawinski and Bansal, 2017: 374-375). Feedback loops over time can tend towards vicious or virtuous circles that are reinforced – a bad situation becomes worse or a good one becomes better respectively – or stabilized – a bad or a good situation is maintained respectively (Tsoukas and Pina e Cunha, 2017: 394-396)**.** Time and uncertainty tend to give rise to different paths for configurations and fits.
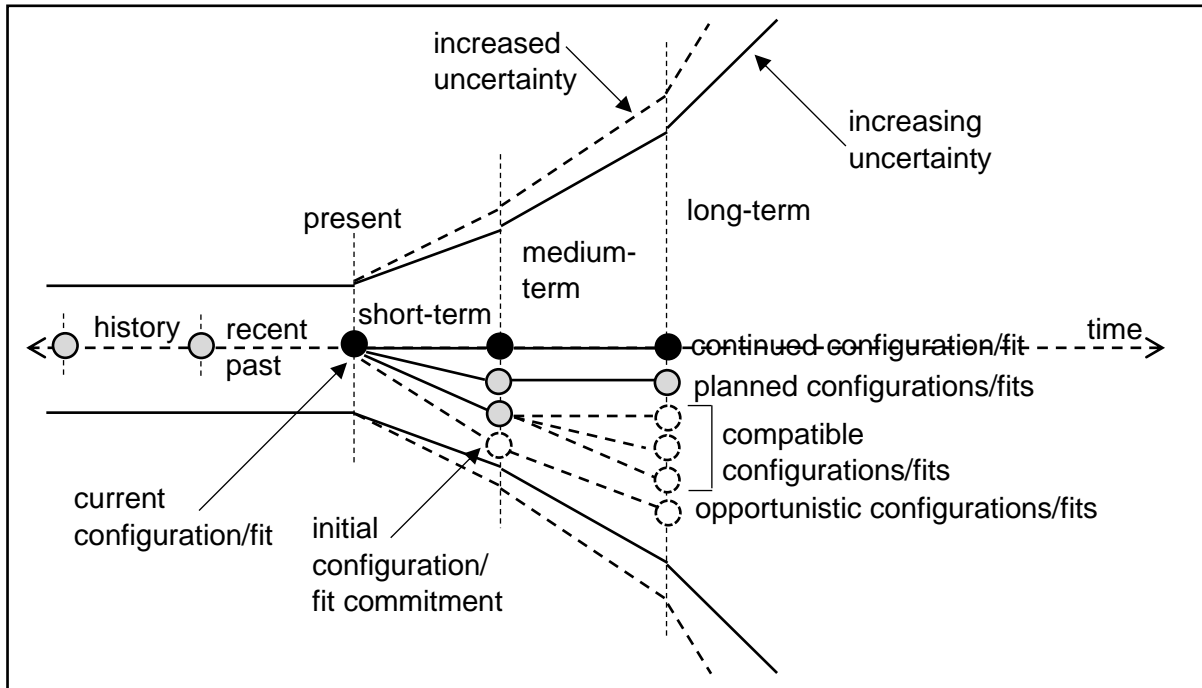
Figure 3.4: The trumpet of uncertainty with configurations and fits

Maintaining and changing configurations and fits can also be integrated and differentiated by parts as well as time. It might be that an organization's configuration and fit is changed in moving to a different services sector, which might also include a change of senior managers. Maintaining and changing configurations and fits involves projects, and "Real life projects are often made complex in that they involve a collection of multiple real options, whose values may interact." (Trigeorgis, 1996: 18). These projects can also be regarded as decision networks, which can aid clarification (Clark and Hastings, 1977: 67). These networks vary by number, and their links and clustering (Barabasi, 2002: 51-53) – see Figure 3.5: Decision portfolios/networks.
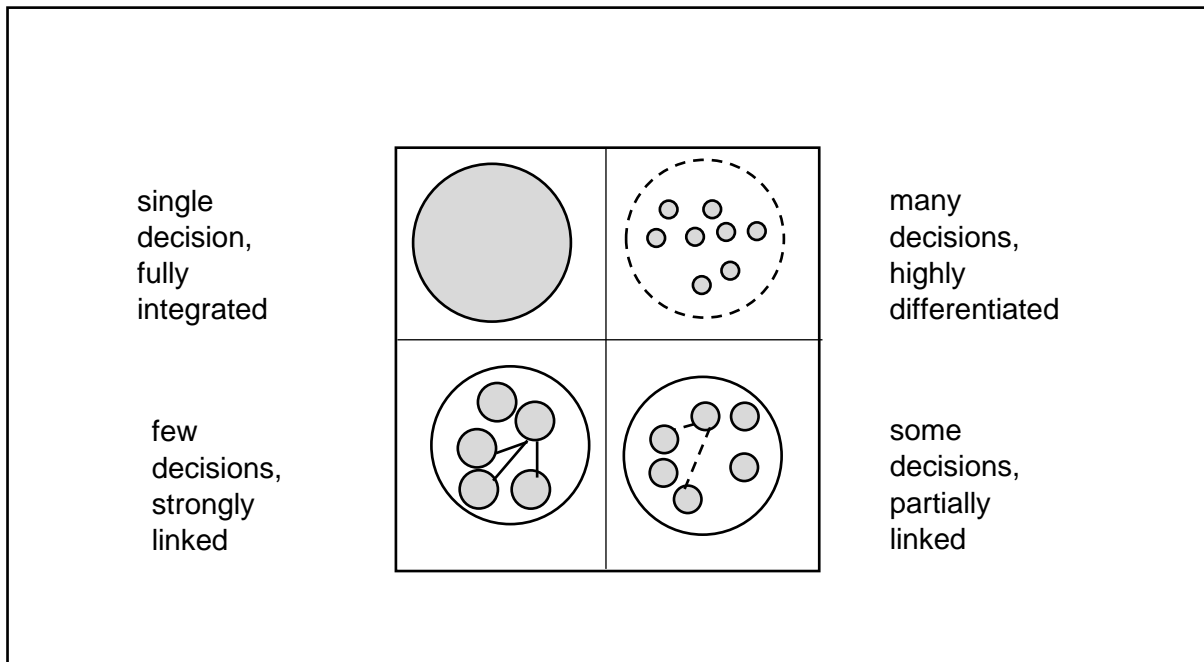
Figure 3.5: Decision portfolios/networks

To evaluate options to maintain or change configurations and fits, some criteria are required. Transaction cost economics involves considering the comparative costs of running an organization under different governance structures (Williamson, 1996: 58), and has developed into a fully formal approach (Williamson, 2010: 686-687). Comparative assessment has been used for evaluation in medical contexts (Williamson, 1996: 5). Some approaches to criteria consider pros and cons – e.g. cost-benefit analysis (De Rus, 2010: 1). Opportunity and risk provide pros and cons and are sometimes treated separately but should be combined (Price, 2008). Indeed, forms of opportunity and risk assessment have been used (Rai et al., 2017). A comparative approach to opportunities and risks has been advocated by Nutt (2000: 16) – see Figure 3.6: Nine strategic positions. While the long-term aim may well be to increase opportunity and to decrease risk by adopting a robust configuration/fit, there are other possibilities, some of which are shown for example overlaid on the figure.
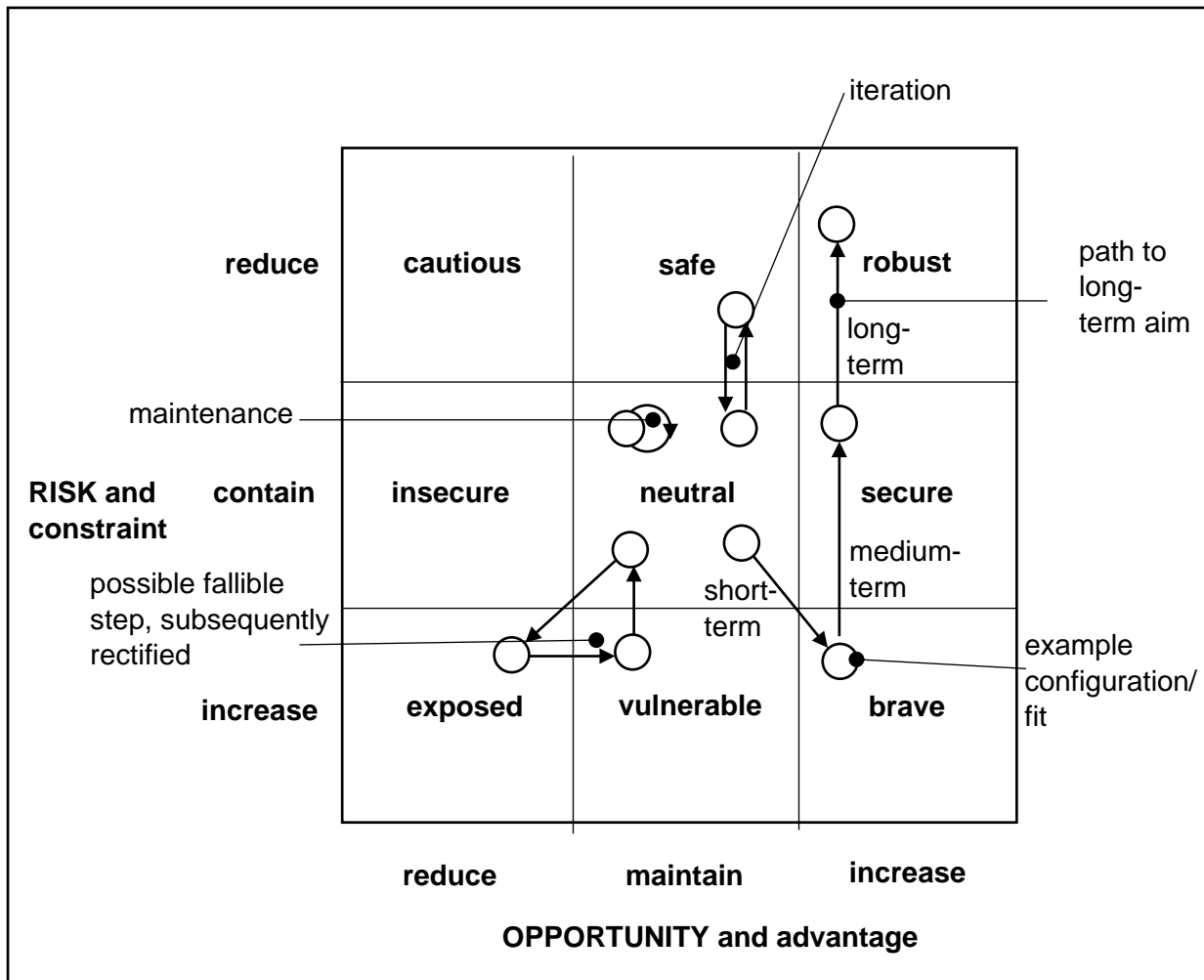
Figure 3.6: Nine strategic positions (after Nutt, 2000: 16)

The process of maintaining and/or changing configurations and/or fits can be approached through decision-making theory. Siggelkow (2002) discussed decisions in his case study on configurations and fits, although did not discuss decision making theoretically. Decision making is an established part of management; Fayol (1916/1949) identified decision-making as what managers do. However, there are different theories concerning the way in which decision-making is carried out, which can depend on the situation. Uncertainty is one consideration in decision-making (Milliken, 1987: 136). Another consideration is the number and diversity of stakeholders' purposes or interests (Cray et al., 1991: 230-234).

Moreover, as Cray et al. (1991: 243-244) have also argued, decision-making theory is a complex field, where exhaustive comparisons of theories are not possible and there is value in taking a more holistic view, which in their case was empirical. Stakeholder relations can also be managed by means of different degrees of engagement ranging from active to responsive and on to passive (Arnstein, 1969), which may affect decision processes. Nevertheless, some broad groups of decision-making theory can be identified with exemplars,

which differing approaches. In consensus decision-making, exemplified by voting, unanimity, vetoing, and super-majorities tend to favour the status quo and maintenance, however, under some circumstances will not always satisfy "fairness" criteria (Arrow, 1950). In process decision-making, there have been multiple conceptualizations, with for example, three phases of awareness, analysis and action (Noorderhaven, 1995: 19-20). Calculation decision-making is exemplified by Rational Choice Theory (RCT) with its uses and limitations (Schoemaker, 1982) and game theory with its zero-sum games and strict competition where one person benefits the expense of another (von Neumann and Morgenstern, 1947). Choice opportunity theories are exemplified by the garbage can model (Cohen and March, 1972) in which problems, solutions and participants are disconnected and come together by chance and opportunity. These kinds of decision-making theories and their exemplars are many and various, providing alternative approaches to considering maintenance and change in configurations and fits.

However, decision-making is not solely a cognitive process. Ethics in management decision making is an established topic (Fallon and Butterfield, 2005). In the field of cybernetics, the good regulator theorem (Conant and Ashby, 1970) has been extended to mean that it is not only effective but also ethical (Ashby 2017/18)**.** However, managers use different combinations of ethics in their decisions (Casali, 2008: 27) which can be modelled multidimensionally (Casali, 2011: 292-293)**.** Similarly, emotion has been established part of decision making in management (Simon, 1987). The cognitive, ethical and emotional aspects of decision-making operate together.

Organizational change involving configurations can be understood as learning processes (Miles and Snow, 2003: 155). As Mintzberg et al. (2009: 186) have observed, organizational learning over time enables complexity to be addressed, which overwhelms prescriptive approaches to strategy. The notion that organizations can learn and retain knowledge was first set out by Cyert and March (1963) following an allusion by March and Simon (1958). According to Cyert and March (1992: 171-172) "Organizations learn…organizations exhibit…adaptive behaviour over time". Learning curves (Wright, 1936) over time and the different paths of organizations becoming equifinal in their performance (von Bertalanffy, 1969: 143) display marked similarity – see Figure 3.7: Learning curves and organizational paths to equifinal performance. The weaknesses of a learning approach to organization include that learning and self-organization may conflict with power and control, and that learning may meet with inertia (Morgan, 1986: 108-109).
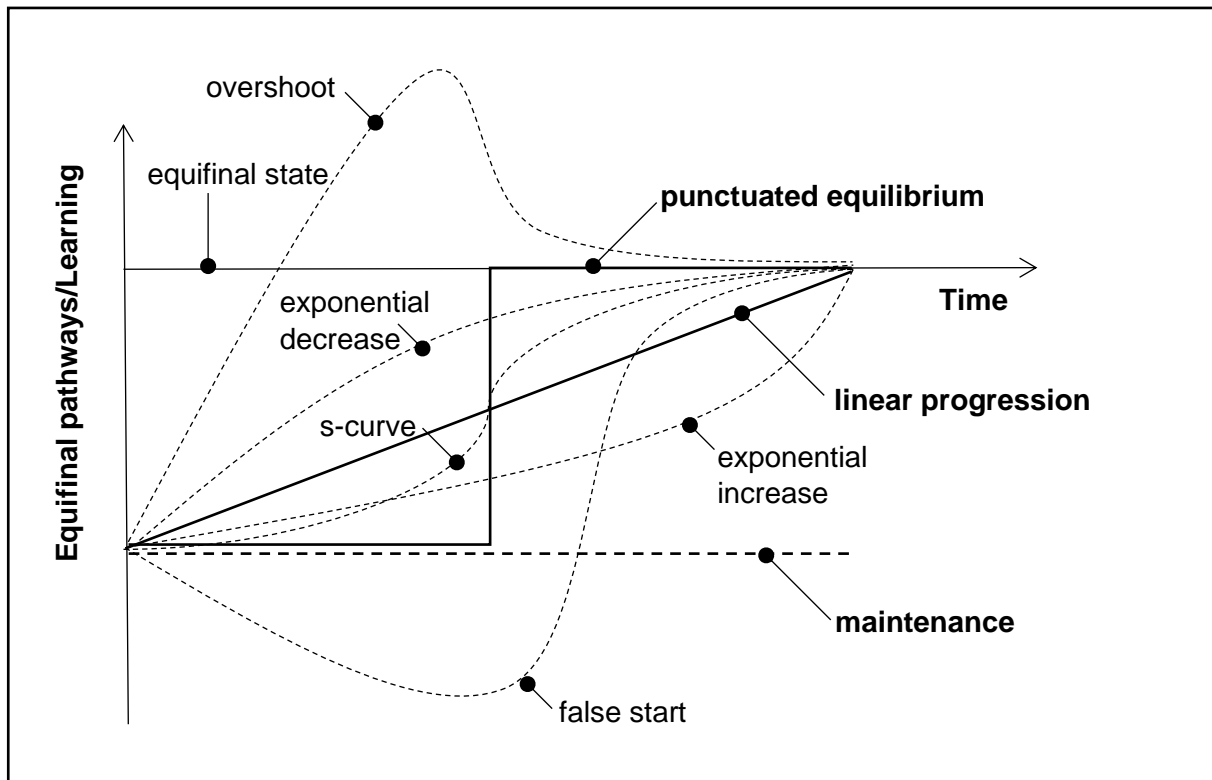
Figure 3.7: Learning curves and organizational paths to equifinal performance

3.4.2 Fittings from a Critical Realist Meta-Theory perspective

Maintaining and changing structure and agency has been addressed by a morphogenetic approach (Archer, 1995: 5-6). Archer (2012: 6) used the phraseology of morphostasis and morphogenesis to refer to maintenance and change respectively. Here Archer (1995: 135) has drawn on Buckley (1967: 58-59). Buckley (1967: 58-59) referred to morphostasis as negative feedback processes tending to maintain a system. Morphogenesis referred to positive feedback processes tending to change a system (Buckley, 1967: 58-59). The morphostasis and morphogenesis approach, sometimes abbreviated to the M/M approach (e.g. Archer, 1995: 148), provides a basis for explaining maintenance and change.

Morphostasis and/or morphogenesis takes place as cycles (Archer, 1995: 16). A cycle comprises three overlapping stages of conditioning to a lesser or greater extent by the context, interaction, and reproduction or elaboration (Archer, 1995: 192-194). Herepath's (2014: 859) study in the National Health Service addressed one such cycle. However, there can be multiple cycles. For example, Archer's original study of education systems included two successive morphogenetic cycles, although only the first one appears in Archer (1995: 328). Horrock's (2009: 40) discussed sequences of cycles in terms of previous, focal and subsequent cycles, and noted that how a given cycle is delineated depends on the scope of

the problem being studied. Morphostatic and morphogenetic cycles provide a framework for investigation.

Timeframes need consideration to calibrate these cycles. Archer's comparative study of education systems in England and France covered the period 1789-1848 i.e. almost 60 years (Vaughan and Archer, 1971). Indeed, she has referred to "analytical histories" (Archer, 1995: 328). In contrast, Herepath's (2014: 865) case study of Welsh Government, NHS Wales, and public sector partner agencies took place over the period 2003-2007 i.e. 4 or 5 years. Consequently, studies have encompassed a range of timeframes, from a few years to at least several decades with different timeframe emphases.

The scope of maintenance and change in structure and agency in morphostatic/morphogenetic cycles varies. In the structural mode, there are four main combinations of maintenance and change in culture and structure, depending on different mixes of negative and positive feedback, and resulting in no, limited and high variety. Firstly, there can be morphostasis in both structure and culture, where there is homogeneity and negative feedback that maintains the status quo for the time being (Archer, 1995: 310). Secondly, there can be cultural morphostasis but structural morphogenesis, where there is limited variety and both negative and positive feedback, and so forces for stability and change (Archer, 1995: 312). Thirdly, there can be cultural morphogenesis but structural morphostasis, where again there is limited variety and again both positive and negative feedback and forces for change and for stability, but from the opposite direction (Archer, 1995: 315). Fourthly, in direct contrast to the first situation, there can be morphogenesis in both culture and structure at the same time or in a staggered fashion, with positive feedback, rapid change, and variety creating more variety (Archer, 1995: 318-320). Furthermore, agency can also be morphostatic or morphogenetic (Archer, 2012: 4). Consequently, there can be maintenance of the status quo and different degrees of change in part or in the whole.

The emphasis on positive and negative feedback means that advantages and disadvantages of actions require consideration. Archer (1995: 209) referred to costs and benefits affecting action and how it is interpreted. This has been developed into linking costs and benefits together, such as in cost-free benefits (Archer, 1995: 331). Opportunities have been introduced, such as in the cost of turning down opportunities (Archer, 2012: 85). Risk as the other side of the coin to opportunity, has been treated comparatively, such as in comparative risk assessment (Archer, 2012: 277). Consequently, comparative advantages and disadvantages of actions have been addressed in various ways.

Central to a Critical Realist view of the agential mode is the process of cognitive reflexivity. Reflexivity has been defined as "…the regular exercise of the mental ability, shared by all

normal people, to consider themselves in relation to their (social) contexts and vice versa" (Archer, 2007: 4). Porpora and Shumar (2010: 209-210) argued that reflexivity is essence of being human. Archer (2012: 2) observed that "…reflexive first-person awareness is indispensable…" to society, and that it is rarely acknowledged (Archer, 2007: 25).

The reflexivity process has been framed as having three stages: Discernment, Deliberation, and Dedication (Archer, 2012: 103). In the Discernment stage, people log their concerns without assessing them (Archer, 2000: 235). In the Deliberation stage, questions and answers are iterated (Archer, 2000: 236). In the Dedication stage, people make a judgement that they can live with (Archer, 2000: 237). Archer (2012: 103) labelled these three stages of the reflexivity process the "DDD scheme." Reflexivity has also been considered in the field of learning using "personal dialogue" (Bolton, 2010: xix). Reflexivity can involve one person or there can be "collective reflexivity" involving "two or more parties" (Archer and Donati, 2015: 52).

However, the process of reflexivity can take on different modes. Archer (2012: 13) identified four main modes of reflexivity: communicative, autonomous, meta- and fractured. In communicative reflexivity the internal conversation needs to be confirmed and completed by others before ideas lead to action (Archer, 2012: 13), and this tends to be reproductive (Archer, 2012: 125). In contrast, the internal conversation in autonomous reflexivity is self-contained and leads straight to action (Archer, 2012: 13), and can be considered as instrumentally rational (Archer, 2012: 166). In the case of meta-reflexivity previous inner conversations are evaluated and effective action in society is critiqued - the social order is "peculiarly problematized" (Archer, 2012: 207). In fractured reflexivity, the internal conversations are different as they increase personal distress and disorientation and cannot lead to action (Archer, 2012: 13) but rather lead to a "survivalist" approach (Archer, 2012: 249). The acronym CAMF, made up of the first letter of each mode, is sometimes used as a label for this approach. Archer and Donati (2015: 62) have observed that "When reflexivity is relational, it does not differ in kind from the modes practised by singular subjects…"

The mode of reflexivity adopted is "…forged from the interplay between…social contexts and…ultimate personal concerns.", which can be expressed as concern + context = reflexivity (Archer 2007: 145). Concern has been addressed as part of agential configuration. Context has been addressed as part of structural mode fits between culture and structure and tend to give rise to different logics. Necessary complementarities - and conditions a protection logic where the status quo tends to be maintained (Archer, 1995: 219-220). Necessary incompatibilities - corrective action requires a "…cautious balancing act…" (Archer, 1995: 224) that tends to lead to compromise. Contingent incompatibilities - which may induce warfare,

where opposing parties seek to eliminate each other (Archer, 1995: 225). Contingent compatibilities - interest groups have compatible interests, and the logic gravitates towards an opportunity approach (Archer, 1995: 226-227).

In a form of a classification of increasing uncertainty, Archer has referred to these contexts as continuity associated with communicative reflexivity, discontinuity associated with autonomous reflexivity, and incongruity associated with meta-reflexivity. To this list context which congruity can be added, associated with a compromise-related reflexivity. However, the formula of concern + context = reflexivity does not apply in a mechanical way because social systems are inevitably open because they are "necessarily peopled" to use Archer's phrase (Archer, 1995: 195). Indeed, people, as individuals or groups, have agential creative powers to do unpredictable things (Archer, 1995: 195-196).

However, reflexivity has can discussed beyond its process and modes. Reflexivity has been operationalised differently by Porpora and Shumar (2010: 211), and Luhmann (1970) has described it more in terms of complexity reduction. The process of reflexivity is fallible (Archer, 2012: 103). Archer points out that a reflexivity approach is not seen in "decisionist" or "rationalist" terms (Archer, 2012: 14), although "extreme practitioners" of autonomous reflexivity come close to being users of Rational Choice Theory (RCT) (Archer, 2012: 34). Consequently, it follows that RCT and autonomous reflexivity may have their place but cannot "colonize" every aspect of life (Archer and Tritter, 2000: 13-16). Archer's mode of fractured reflexivity could be further sub-divided as she herself has set out (e.g. Archer, 2012: 249-250) and as others have added to e.g. hyper-reflexivity (de Vaujany, 2008: 16) and comparative unreflexivity (Porpora and Shumar, 2010: 213-214).

Furthermore, while reflexivities have been discussed as pure modes, a person may exhibit dominant and subsidiary modes. As Archer has observed "…all normal, adult human beings practise elements of all four reflexive modes today, yet nearly all have developed a dominant modality…" (Archer, 2012: 17). More specifically, Porpora and Shumar (2010: 217) found mixed mode reflexivity in their communicative meta-reflexives. Meta-reflexivity can be split into two parts: a reflexivity that "embraces" opportunity (Archer, 2012: 293) and a "self-monitoring" aspect (Archer, 2012: 32). This means that analytically meta-reflexivity can be separated into philosophical optimism (Blackburn: 2008) and second-order cybernetics (Ashby, 2017/ 2018: 13) with its parallel of double-loop learning (Argyris, 1999). Moreover, if there is optimistic reflexivity then there might also be philosophically pessimistic reflexivity (Blackburn: 2008). Indeed, Archer and Donati (2015: 60-61) have considered how a musician might reflect on the performance of their orchestra from the point of view of communicative, autonomous and meta- modes of reflexivity. However, to these perspectives could be added one where the

musician reflects on how turning up on time rehearsals, better adherence to the conductor's instructions, and more rigorous individual practice could improve the orchestra's performance – a "pessimistic" reflexivity.

As well as cognitive reflexivity, ethics and emotions also need to be considered. Sayer (2011) considered value and its linkage to normative ethics from a Critical Realist perspective to address what he calls the failure of social sciences "to deal with the quality of ethical sensibilities" (Sayer, 2011: 8). Archer argued for the incorporation of emotions to avoid seeing people as "half a human being" (Archer, 2000: 84-85). Furthermore, in the same way that there can be meta-cognition (Brinol and DeMarree, 2012:1), there can also be meta-ethics (Miller, 2003: 1-3) and meta-emotions (Gottman et al., 2013: 6-7).

3.5 COMPARISON AND CONTRAST

The overall approach together with the three concepts of configurations, fits, and fittings can be compared in turn by the perspectives of Configuration Theory, supplemented by Decision-Making Theory, and Critical Realist Meta-Theory. Concerning approach, Configuration theory, supplemented by decision theory, and critical realist meta-theory each have different theoretical statuses. Configuration Theory, supplemented by Decision-Making Theory, provides a basis for research investigation into specific phenomena that may be plausible which are associated with this study's research questions. Configurations with their limited variety and equifinality, and link to organizational performance, is a fertile basis for research. However, there are grounds for criticizing Configuration Theory. On the other hand, Critical Realist Meta-Theory provides a philosophical underpinning for research to aim for. Critical Realist Meta-Theory is characterized by objective and subjective epistemology and layered ontology. A relationist approach to structure and agency and a focus on mixes of continuity and change are further characteristics of Critical Realist Meta-Theory. Critical Realist Meta-Theory is concerned with humans and their emancipation, although is not immune to criticism. Consequently, Configuration Theory, supplemented by Decision-Making Theory, can be used to populate Critical Realist Meta-Theory, and Critical Realist Meta-Theory to inform Configuration Theory, supplemented Decision-Making Theory.

Concerning configurations, Configuration Theory and Critical Realism are similar in taking what can be regarded as configurational approaches to structural and agential modes. The two theories also have some similarities but also some differences in how the modes operate regarding the other sub-concepts. Both theories include element logic approaches. The theories are similar in their views on agents' purposes and concerns. However, Configuration Theory addresses structural mode element logics, which in this study is through an extended version of the Competing Values Framework (CVF), which is based on four combinations of positive and negative feedback. Critical Realism leaves structural element logics open. Element dominance is relevant in both Configuration Theory and Critical Realism, and both have element dominance in agents' purposes and concerns. However, Configuration Theory deals with degrees of dominance in the structural mode, which Critical Realism leaves open. Both Configuration Theory and Critical Realism take a multi-layered approach, and the difference is in the number of layers that researchers decide to use. The structural aspects of the two theories are similar as they both emphasize culture and structure. The agential aspects of the two theories are also similar, as stakeholders and their salience are closely paralleled by people and collectivities both corporate and primary. However, Configuration Theory adopts a more extensive range of structural aspects, and the two theories have somewhat different approaches to aspect layers. On balance, there are significant similarities between

the two theories with regard to configurations, although the principal difference is that the CVF for example provides structural "content" for Configuration Theory that Critical Realism leaves open.

Regarding fits, both Configuration Theory and Critical Realism consider fits and non-fits in the structural mode and qualitatively different links/relations between people as agents. However, Configuration Theory takes this further and deals with degrees of fit and misfit. Regarding the types of fits, both theories discuss structural fits that are complementary/compatible, and agents can display positive and negative behaviours. The differences between the two theories are that Configuration Theory emphasizes positive structural fit types that are supplementary or complementary, whereas Critical Realism include negative fit types of structural incompatibility and agential relational evils. Structural and agential locations of fits are approached as within and between configurations in both theories, albeit with some differences of detail. The difference is that in the structural/agential fits, Configuration Theory, supplemented by Decision-Making Theory, emphasizes structure with agency as a supplement, whereas Critical Realism deals evenly with their interplay. Consequently, there are again significant similarities between the two theories, this time concerning configuration fits, although the principal differences are that Critical Realism puts more emphasis on negative aspects and the interplay between structure and agency.

Concerning fittings, both Configuration Theory and Critical Realism address actions of change/morphogenesis. However, Configuration Theory is more nuanced regarding types of change, and Critical Realism places more emphasis on maintenance/morphostasis and its combination with change/morphogenesis. Both theories consider timeframes of action into the past and feedback loops and cycles. The different theories place different emphases on timeframes: Configuration Theory on the present, Decision-Making Theory on the future, and Critical Realism on history. Regarding the scope of actions, the theories are similar in considering integration and/or differentiation with a structural emphasis. However, Configuration Theory Supplemented by Decision-Making theory sees the structural and the agential as possibly differentiated, but Critical Realism sees the agential as additional to the structural. Both theories use criteria of advantage and disadvantage, with comparative opportunities and risks arguable as a common approach but differ in the terms used. The logics, relating to four combinations of positive and negative feedback, are similar in groups of Decision-Making Theories and Critical Realist modes of reflexivity, and both approaches are associated with learning. Both Decision-Making Theories and Critical Realist reflexivity modes are affected by interests/concerns and situation/context uncertainty. The differences are that Decision-Making Theories are normative, while Critical Realism's reflexivities have a human focus. In addition, there is a gap in the Critical Realist modes of reflexivity, and there

is a debate around multi-modes. While on many fitting sub-concepts there are again significant similarities between the theories. However, the principal issue is whether to take a "decisionist" or a reflexivity approach as they are mutually exclusive. A reflexivity orientation was selected, using standardized logic terminology throughout of protection, compromise, elimination and opportunity to denote negative, positive and negative, positive or negative, and positive feedback respectively. A reflexivity approach was chosen for its holistic approach and human characteristics.

The similarities and differences concerning the concepts of configurations, fits, and fittings from the perspectives of Configuration Theory, supplemented by Decision-Making Theory, and Critical Realist Meta-Theory are shown in Table 3.3: Similarities and differences on concepts from theoretical positions. The resulting conceptual model is shown in Figure 3.8: Conceptual model.

CONCEPTS/ SUB-CONCEPTS	CONFIGURATION THEORY (CT) AND DECISION-MAKING THEORY (DMT)	CRITICAL REALIST META-THEORY (CR)	SIMILARITIES AND DIFFERENCES
Configurations			
modes	forms of configuration approach	forms of configuration approach	similarities: configurational approach to structural and agential modes; similarities on some sub-concepts differences: vary on other sub-concepts – see below
element logics	structural – CVF (extended by layers) agential – purposes	structural – left open agential – concerns	similarity: agential purposes and concerns; differences: CT addresses structural mode element logics CR open on structural mode
element dominance	structural – degrees of dominance – dominant (intermediate), subsidiary agential – multiple purposes possible	structural – left open agential – concerns can be ultimate (dominant) or multiple	similarity: element dominance relevant; CT and CR have degrees of agential element dominance difference: CT has degrees of dominance in structural modes; CR leaves structural open
layers	meso, macro, micro (extended)	4-7 layers	similarity: multiple layers difference: number of layers used
aspects	structural – organizational: culture, structure, strategy, organizational performance; environmental: uncertainty – dynamism with complexity and munificence; managerial - behaviour agential – stakeholders, salience	structural - culture, structure at multiple levels agential – people and collectivities, corporate and primary	similarities: structural mode - culture and structure; agential mode – stakeholders/people and collectivities and salience/corporate and primary differences: CT extends range of structural aspects; CT and CR have different approaches to aspect layers

CONCEPTS/ SUB-CONCEPTS	CONFIGURATION THEORY (CT) AND DECISION-MAKING THEORY (DMT)	CRITICAL REALIST META-THEORY (CR)	SIMILARITIES AND DIFFERENCES
Fits			
fits and non-fits	structural – degrees: tight, loose, misfit agential – different stakeholder network links	structural: fit or no fit – see types below agential – different human relations	similarity: fit or no fit in structural mode, qualitatively different links/relations between people difference: CT degrees of fit/misfit
types	structural: supplementary, complementary agential: network positions and behaviours	structural: compatible, incompatible – necessary and contingent agential: relational goods and evils	similarity: structural - supplementary, complementary/compatible fits; agential – positive and negative behaviours differences: CT emphasizes structural supplementary, complementary fits, whereas CR also includes structural incompatibility, and agential relational evils
locations	structural: within and between configurations agential: within configuration (purposes), and between configurations structural/agential: emphasizes structural with agential as supplement	structural: within configuration (culture/structure – different kinds of uncertainty) and between configurations (layers) agential: within configuration (concerns) and relations within and between layers structural/agential: interplay in both directions	similarity: structural - within and between configurations; agential – within between configurations difference: CT/DMT structural/agential emphasizes structural with agential supplement, and CR deals evenly with interplay between structural and agential

CONCEPTS/ SUB-CONCEPTS	CONFIGURATION THEORY (CT) AND DECISION-MAKING THEORY (DMT)	CRITICAL REALIST META-THEORY (CR)	SIMILARITIES AND DIFFERENCES
Fittings			
actions	(maintain), change as punctuated equilibrium and/or linear progression	maintain/morphostasis and/or change/morphogenesis	similarity: change/morphogenesis difference: CT – types of change; CR – maintenance/morphostasis and combinations with change morphogenesis
timeframe (of actions)	present; future: short-, medium-, and long-term; past: recent, history; feedback loops	past: recent, history: years – decades; cycles	similarity: past: recent, history; feedback loops in CT/DMT and cycles in CR difference: CT – present; DMT – future; CR – historical emphasis
scope (of actions)	portfolios: integration and/or differentiation; structural bias with agential stakeholder possibilities	structural and agential	similarity: integration and/or differentiation, structural emphasis difference: CT/DMT structural and agential possibly differentiated; CR agential as addition to structural
criteria	advantages and disadvantages - comparative opportunities and risks arguable	advantages and disadvantages - comparative opportunities and risks arguable	similarity: advantages and disadvantages, comparative opportunities and risks arguable; difference: various terms used
process	decision-making process theories with learning association = interests + situation uncertainty	reflexivity process modes (CAMF)/learning = with learning association = concerns + context uncertainty	similarity: logics of decision-making theories and reflexivity modes, with learning linkage, affected by interests/concerns and situation/context uncertainty differences: DMT – normative theories, CR – reflexivity's human focus; CR – gap in reflexivity modes; multi-mode debate

Table 3.3: Similarities and differences in theoretical positions on concepts
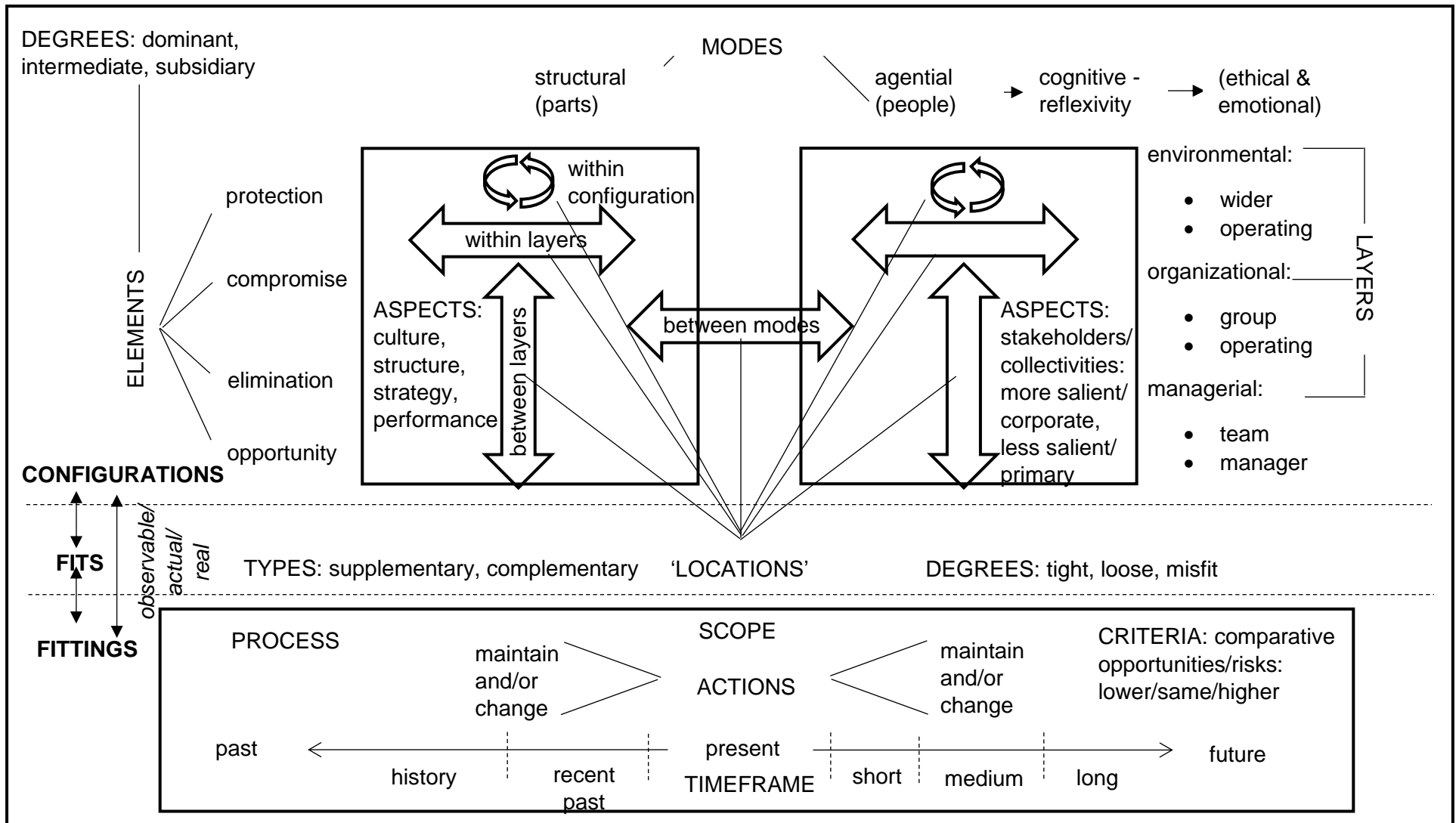
Figure 3.8: Conceptual Model

Summary

The basis for a theoretical framework, in which a conceptual model could be embedded, was set out. Then the overall approaches of Configuration Theory, supplemented by Decision-Making Theory, and Critical Realist Meta-Theory were articulated. Each of the concepts of configurations, fits, and fittings were then considered from the perspective of the two main theories. The findings from each theoretical perspective were then compared and contrasted based on their similarities and differences. From this process, a conceptual model was produced.

CHAPTER 4: METHODOLOGICAL PROCESS: DOUBLY SEQUENTIAL MIXED METHODS

There are many paths to the top of the mountain, but the view is always the same

Chinese proverb

A mighty maze! But not without a plan

Alexander Pope (1688-1744) An essay on man epistle 1 (1733) 1.1

Everybody has a plan until they get hit

Mike Tyson (1966 -)

The methodological process is akin to a route in this research journey. There might be multiple routes that reach the same destination. However, even Mount Everest is mostly climbed by two routes – the South col and the North col – despite there being some eighteen named routes with a couple that are still unclimbed. In a similar way, the planned route through the maze of this methodological process was made up of orthodox steps that were put together in a particular way. However, in travelling the planned route, adjustments were made. Consequently, this chapter sets out the plan for the methodological process for the research, together with modifications that were made along the way.

The purpose of the methodological process was to obtain evidence to confirm, enhance and identify the limitations of tendencies and demi-regularities in the theoretical framework and embedded conceptual model set out in Chapter 3. The theoretical framework was configuration theory informed by critical realist meta theory. The embedded conceptual model comprised the main concepts of configurations, fits and fittings, and was applied to social enterprise organizations in this study. The methodological process is set out below, beginning with the overall approach, and then each of the steps is addressed.

4.1 APPROACH

The overall approach to the methodological process is addressed below through its strategy, design, and analytical framework. Firstly, a strategy of case-based mixed methods is set out. Secondly, a two-phase sequential design is explained, in which the first phase itself comprised two sequential stages. Thirdly, a hierarchical analytical framework is addressed. The aim of addressing the strategy, design, and analytical framework in the approach was to produce a coherent methodological process.

4.1.1 Strategy

The methodological strategy of case-based mixed methods was developed based on consideration of methods from the perspectives of configuration theory, critical realist (CR) meta-theory and social enterprise application.

Research on configurations has yet to "realize its potential" (Short et al., 2008: 1072), although does appear to have been the subject of a "renaissance" (Fiss et al., 2013: 2). Similarly, the dynamics of configurations in the form of equifinality has been studied, although has not received as much attention as might have been hoped (Payne, 2006; Short et al., 2008: 1065). Some have argued that the configuration and dynamic aspects of equifinality both need to be studied in order to understand the other (Dyck, 1997: 794). Changing definitions of equifinality have meant that the earlier definitions that included both conditions and ways of achieving states such as high performance (von Bertalanffy, 1969: 40; Katz and Kahn, 1978: 30), have been modified to focus on conditions rather than ways of achieving these states (Gresov and Drazin, 1997: 403-404). This research urges a return to these earlier definitions, which incorporated both conditions and dynamics (von Bertlanffy, 1969). Most of the work in organizational equifinality has emphasised configurations based on surveys (Short et al., 2008: 1062). However, there have been some case-based approaches (Sigglekow, 2001: 2002).

Case studies have been used in CR research and have been claimed as "*the* basic design for realist research" (Ackroyd and Karlsson. 2014: 23) (italics in original). As an over-arching method, the case study can combine qualitative and quantitative methods (Kessler et al., 2012). Indeed, Byrne (2009: 9) refers to "case-based methods" and sees the opposing of qualitative and quantitative methods as "…useless and destructive…". The idea of the case also provides for multiple levels of analysis, since as a minimum the case is studied in its environment. Moreover, the case study method can also be extended into comparative cases in CR research (Kessler and Bach, 2014: 168-184). Archer's (1995: 324-328) analytical histories are a form of case study, which can be comparative, as in her work on the elaboration of state of the educational systems in England and France (Archer, 1995: 328-342). In case

studies some of issues are not specific to CR, although explicit case selection and recognition of its limitations are emphasised in CR (Edwards et al., 2014: 320). Indeed, CR is relatively new (O'Mahoney and Vincent, 2014: 20) and there is a lack of work on CR methods. Hence the use of the term "CR" in this study should be read as "CR-informed" (Edwards et al., 2014: 321). Nevertheless, CR-informed investigation offers the potential to explain tendencies or demi-regularities (Kessler and Bach, 2014: 170).

A range of methods have been discussed for use in CR-informed research, from more qualitative to more quantitative. For example, Rees and Gatenby (2014: 132-147) have addressed CR and ethnography, and Williams (2014: 282-299) has considered probability and models in CR research. Qualitative methods and quantitative methods have both been used in CR work (Brown and Roberts, 2014: 300-301). Moreover, the use of mixed methods in a single study is considered a cross-cutting feature, together with triangulation in the sense of recognising the multiple aspects of phenomena rather than reality being pinned down through multiple measurements (Edwards et al., 2014: 321). In addition to triangulation of different kinds of data, CR research may use multiple levels of analysis (Edwards et al., 2014: 319).

This CR-informed approach calls for methodological pluralism, and in particular the combination of quantitative/extensive methods and qualitative/intensive methods (Danermark et al., 1997: 175-176), in a way that is complementary (Johnson and Onwuegbuzie, 2004: 18) and more than an "each-way bet" (Bryman, 2008a). A mixed methods approach required the researcher to become "conversant with alternative approaches" (George and Bennett: 2005: 35). With regard to overall validity, it has been argued that "Combining qualitative insights and quantitative analysis – and a healthy dose of scepticism – may provide the most secure results" (Freedman, 2010: 232). Creswell and Plano Clark (2007: 146) advise that the validity of each method used in a mixed methods design should also be considered, despite validity being more traditionally associated with quantitative methods. Internal validity is the extent to which a "causal relationship between two or more variables holds water" and external validity - the extent to which study results can be "generalized beyond the specific research context" (Bryman, 2008: 33).

With regard to social enterprises and their variety, the two main methods adopted have been case studies and surveys. If social enterprise is seen as one potential vehicle for social entrepreneurship, then their cases are likely to display similar attributes. Nicholls (2012: 225) has characterised such case studies as "celebrity" and "descriptive" and has linked this to the "pre-paradigmatic" stage of social entrepreneurship. While providing useful examples, cases with these attributes pose two main problems. Firstly, such cases focus on "celebrity" and some dependent variable of success in an isolated way. Secondly, such cases are weak on

analysis and underpinning theory. Survey work on the other hand, such as Social Enterprise UK's biennial survey, have provided a helpful description of practical aspects of social enterprise organizations and their variety, but does not explain them. However, the State of Social Enterprise Survey 2015 (Social Enterprise UK, 2015) introduced a comparative dimension by drawing parallels with Small and Medium-Sized Enterprises (SMEs). Consequently, the methods used for social enterprise tend to share a descriptive basis but diverge into high profile and highly particular cases and the broad surveys.

A point of commonality in these strategic considerations was the use of case-based methods, including the case study itself, albeit that they are weakly emphasized in configuration theory but strongly in CR. Case-based CR methods allowed different levels of analysis, which was considered beneficial for configurations and to give a more rounded picture of social enterprise. A difference was the use of mixed methods in a single study, as both configurations and social enterprise study methods tend to be either quantitative or qualitative, whereas mixed methods are emphasized in CR. Furthermore, methods that would allow comparison on a theoretical basis, appeared likely to be beneficial for social enterprise and their variety. If social enterprise is at a pre-paradigmatic stage, then this suggested combining methods in steps that enable learning. Consequently, a methodological strategy needed to be case-based, to include mixed methods, and to move in steps from more exploratory to more explanatory, thereby probing then building plausibility.

4.1.2 Design

The plan was for a two-phase/three-stage sequential design. The design began from the premise that case studies would be required to provide analytical generalization. These case studies themselves were to include mixed methods, recognising that case studies are not a method as such. The reason for multiple case studies was so that they could be compared to produce a more compelling and robust investigation and to avoid the risk of reliance on a single case study. However, comparative case studies are demanding of resources, particularly for individual investigators. Indeed, single case designs were avoided with a case that was unusual, extreme, critical, or revelatory. This avoided a focus on a sole "celebrity" social enterprise organization. Moreover, the plan was to select more typical organizations that that were notable theoretically.

The decision to use this kind of comparative case studies meant that the design needed to proceed with some caution. This pointed to a two-phase arrangement with an exploratory phase preceding a phase comprising case studies. The exploratory phase provided some initial findings in its own right, acted as a check on the theoretical framework and conceptual model, and assisted in the selection of case studies. The exploratory phase itself was

designed to have two sequential stages with a qualitative phase followed by a quantitative stage (Creswell and Plano Clark, 2007:75-76). The quantitative second stage was a cluster survey that enabled a numerical cluster analysis to explore the configurational groupings of cases of social enterprise organizations through their similarity and difference (Everitt et al., 2011: 13). Cluster analysis is an established method of classification, and its structure seeking nature can be both an advantage is that it drives out a small number of clusters to explore and a disadvantage in that this structure can be imposed. Before the quantitative stage of numerical cluster analysis care was taken to be qualitatively informed. To provide an initial qualitative stage, expert interviews were selected. Expert interviews are suitable as a method of exploration as they are more efficient than observation through participation or quantitative surveys for that matter (Bogner et al., 2009: 2).

Consequently, the resulting plan could be described as a doubly sequential mixed methods design. The design was doubly sequential because it comprised two phases – an exploratory phase followed by a more explanatory phase of case studies – and within the exploratory phase there were two stages – expert interviews followed by a cluster survey. The first phase contains the qualitative component of expert interviews so that the richness of the area of study can be appreciated (Brady, 2010: 242), alongside the more closed approach of the quantitative work in the cluster survey. The design was sequential on two levels. The design proceeded from more exploratory to more explanatory work, thereby probing plausibly then building plausibility. The three main methods become increasingly case-based in sequence. The two phases created a "funnel of complexity" (after Rihoux and Lobe, 2009: 229), where there was initial simplification through the expert interviews and cluster survey, and then complexifying through the case studies. The design addressed the what, why and how research questions through the main concepts of configurations, fits and fittings respectively. The overall design is shown in Figure 4.1 Methodological design.

Phase 1: Plausibility probing

Stage 1: expert interviews

Qual data collection → Qual data analysis → Qual results

Stage 2: cluster survey

Quan data collection → Quan data analysis → Quan results

Cross-stage compare and contrast

Phase 2: Plausibility building

case study

Qual data collection → Qual data analysis → Qual results

Quan data collection → Quan data analysis → Quan results

Within-case compare and contrast

case study

case study

case study

Cross-case compare

Interpretation

Figure 4.1: Methodological process design

The plan had advantages and disadvantages as a mixed methods design. The timing of the doubly sequential design was straightforward, albeit more complex than a simple sequential design. However, the disadvantage of sequential design was that it took more time to implement, which was multiplied by the doubly sequential arrangement. The concurrent triangulation – convergence model to the second phase of case studies was efficient in collecting qualitative and quantitative data around the same time but demanding in data collection and analysis for an individual investigator.

With respect to weighting in the design as a whole, there was more emphasis on qualitative than on quantitative methods, with a split in the region of 60/40 respectively. In the first phase, the qualitative expert interviews and quantitative numerical cluster survey were equally weighted. In the second phase of case studies, the weighting was around 60% qualitative methods and 40% quantitative methods, as qualitative methods covered more concepts than quantitative methods and there was a slightly greater emphasis on the qualitative methods. Weighting between the first and second phases was one-third and two-thirds respectively.

In the exploratory sequential qualitative expert interviews followed by quantitative cluster survey in Phase 1, the mixing of data was intended to be by connecting data (Creswell and Plano Clark, 2007: 85). While the sequencing provides clear separation of the types of data, this is more complicated when there are also different participants between stages (Creswell and Plano Clark, 2007: 78). In the explanatory concurrent triangulation (convergence model) in the Phase 2 comparative cases the mixing of data was intended to be by merging data (Creswell and Plano Clark, 2007: 85). While each data type produces results within their traditions, the two types of results may not agree and convergence can be challenging (Creswell and Plano Clark, 2007: 66-67). In practice a compare and contrast approach was taken in both phases.

4.1.3   Analytical framework

A framework was required to provide a common basis for analysis that was tied to the theoretical framework. In this study, the conceptual model that was embedded in the theoretical framework was treated as the analytical framework. This analytical framework took the form of a hierarchical tree diagram - see Appendix 4.1: Analytical framework. The tree diagram in this study began with general, abstract theory as the trunk and then branched out further and further until it reached particular, real codes. This theory-to-code arrangement provided the opposite perspective to the code-to-theory view associated with qualitative inquiry (Saldana, 2013: 12-13). The theory-to-code approach was due to the study being driven by pre-existing theories rather than developing new theory – i.e. deduction rather than induction. In the analytical framework the theories were linked to codes/sub-codes through

concepts and categories/sub-categories that shape the data. The analytical framework was used to link the qualitative and quantitative methods in the mixed methods design.

Qualitative data was addressed by thematic analysis which was used based on the analytical framework, focusing on explicit and implicit ideas or themes within the data (Guest et al. 2012: 10). This thematic analysis contrasted with counting words or phrases as in content analysis, although this was tried for part of the expert interview data but did not add to the analysis and so was abandoned. A theme was defined as "a unit of meaning that is observed (noticed) in the data by a reader of the text" (Guest et al., 2012: 50). While Saldana (2013: 14) has argued that coding for themes muddles process with outcomes respectively, however, in this study theme coding was used (Braun and Clarke, 2006). In this study, themes were large and small, but in the tree analogy, they were all wood.

In handling qualitative data, the view taken was that "Coding is a heuristic" (Saldana, 2013: 8) that provides the "bones of your analysis" (Charmaz, 2006: 45). The approach to coding was lumping, which was expedient and did not preclude later splitting, rather than splitting which would have involved more nuanced analysis from the beginning (Saldana, 2013: 23). A code was defined as "a textual description of the sematic boundaries of a theme or a component of a theme" (Guest et al., 2012: 50). Three kinds of coding were used. The principal coding was theoretical, derived from the conceptual model, and so identified systematically linked concepts (Saldana, 2013: 223). To complement the theoretical coding, in some areas inductive coding was also used that was found from the data and was sometimes in the participants' own words (Saldana, 2013: 91). Attribute coding was also used to provide descriptive information about the multiple participants in each phase/stage (Saldana, 2013: 69-70).

With respect to quantitative data, standard instruments were used with established numerical methods of analysis, and these were tied to the analytical framework. Standard instruments were used rather than creating instruments as instrument creation was outside the scope of the study. These instruments that were used in Table 4.1: Quantitative instruments.

TOPIC IN ANALYTICAL FRAMEWORK	INSTRUMENT
Structural	
environment	Technical Environment (TE) and Munificence (M) (Dess and Beard, 1984)
organizational culture	Competing Values Framework (CVF) (OC) (Cameron and Quinn, 2011 and extended to other parts)
organizational change strategies	Competing Values Framework (CVF) (CS)
organizational performance outcomes	Competing Values Framework (CVF) (PO)
management behaviour	Competing Values Framework (CVF) (MB) (and personal correspondence with Cameron)
Agency	
reflexivity	Internal Conversation Indicator (ICONI) (Archer, 2012) (personal correspondence with Carrigan and Archer)
ethics	Managerial Ethical Profile (MEP) (Casali, 2011)
emotion	International Positive and Negative Affect Schedule (I-PANAS-SF) (Thompson, 2007)
team roles	Self-Perception Inventory (SPI) (e.g. Belbin, 2010)

Table 4.1: Quantitative instruments

This research is ethically justified overall, as it has enabled knowledge to be acquired and ultimately sought to "enhance the conditions of life" (Oliver, 2010: 12). Some general ethical principles were adhered to in this study, such as informed consent and anonymity of participants. The research methodology was approved by a research ethics panel at King's College London and allocated the reference REP/(EM)/13/14-10. More specific issues relating to each of the methods are also set out below.

4.2 PHASE 1: PLAUSIBILITY PROBING – STAGE 1: INTERVIEWS WITH SOCIAL ENTERPRISE EXPERTS

The first stage of the first plausibility probing phase comprised interviews with experts in the social enterprise field. The ways in which these expert interviews were approached, the interview data collected, and the data analysed are set out below.

4.2.1 Approach to the expert interviews

There were reasons for undertaking a qualitative study as the first stage of the initial phase of the design. Bartels (2010: 84, citing (and critiquing) King, Keohane and Verba, 1994) referred to the idea that simplification, such as for a survey as in the second stage of this first phase of the design, needs to follow appreciation of rich data as follows: "analysts should simplify their descriptions only after they attain an understanding of the richness of history and culture". Moreover, this is reinforced by Brady (2010: 242) who states that "…the lesson for quantitative researchers is the necessity of paying attention to the causal processes underlying behaviour…" Consequently, qualitative expert interviews were used as the first stage of the phase 1 plausibility probe (Blatter and Haverland, 2012: 229).

The design used interviews for this first stage as they are commonly used in qualitative research articles (Silverman, 2005: 238-239), and are "relatively economical in terms of time and resources" (Silverman, 2006: 113). While interviews can be considered something of a contrivance, in that they do not provide "naturally occurring data", all qualitative data is to some extent natural and to some extent contrived (Potter, 2002; Speer, 2002). The interviews were treated as "reports on external realities" (Silverman, 2006: 144). As Seldon (1988: 9) observes, "Warm, vivid contemporary history has almost always been written by authors who have conducted interviews; dull, clinical history is often produced by those who have buried themselves away in libraries and archives." Therefore, interviews were chosen as an efficient way of obtaining engaging qualitative data on the research topic.

The decision to use interviews was further refined by electing to interview experts. Expert interviews are said to have the advantage of being "efficient and concentrated" (Bogner et al., 2009: 2), reinforcing the views of the general attributes of interviews. It can be argued that expert interviews and elite interviews are fundamentally the same (Littig, 2009: 98-99), and so in this study both literatures were drawn upon. As Littig (2009: 108-109) observes, the term "expert" is preferable when the study includes knowledge of why and how something happens, as is the case here. Nevertheless, elites can be considered a sub-set of experts having greater power (Littig, 2009: 108), and so the distinction is a partial one, especially as the best interviewees may have less positional power. A realist view of expertise and experts was taken, such that "expertise is the real and substantive possession of groups of experts and

that individuals acquire real and substantive expertise through their membership of those groups" (Collins and Evans, 2008). In practice this meant that experts were taken to be those operating in the social enterprise field, rather than commentators on it (e.g. academics, journalists), who were recommended as being part of important groups either by contacts, other experts, or through grey literature (e.g. the media, conference proceedings).

The approach to expert interviews to be used in this study was aligned with Dexter (2006). Dexter's seminal work published in 1970, where he used the term elite interviews, can be regarded as an authoritative guide that is appropriate for various fields including management (Ware and Sanchez-Jankowski, 2006: 1-2). Dexter (2006: 19) defined the principal characteristics of these specialized interviews as being where the investigator is keen for the interviewee to teach the interviewer the problem, question and situation, and in which the interviewer uses their necessarily limited abilities to connect these issues to the research problem in hand. Given this learning relationship between interviewer and interviewee, expert interviews pose challenges for the interviewer, who must be able to "listen with the third ear" to use Dexter's (2006: 28) phrase. By the "third ear" Dexter (2006: 28-29) was referring to perceiving the interviewee's frame of reference, which is different to one's own. It was anticipated that the researcher might need to accept that "things happen in a subtle, confused, foggy and complex way, which cannot be stated or codified simply", and that the desire to "sharpen and simplify" (Dexter, 2006: 29) might only be partially achieved.

4.2.2 Collection of data from the interviews

Interviewees were selected based on an outline plan that incorporated several considerations. The minimum number of interviewees required was estimated at around ten, recognizing that twenty interviews has been regarded as a minimum for a stand-alone study (Warren, 2002: 99) and that this is an initial stage in a wider study. In the event, a suitable degree of saturation was reached through the fourteen experts who were interviewed, with diminishing returns around the tenth interview. The sequence of expert interviews was a learning process for the researcher about the research problem and who to interview (Dexter, 2006: 45). The sequence was in three main blocks: preliminary interviews with those who were likely to be favourably inclined to the study likely and so able to provide orientation information and suggestions of other interviewees, middle interviews that would be particularly strong on the substance of the study, and later interviews with experts in harder to access positions or having more controversial views (Dexter, 2006: 43-46). Care was taken to target a mix of interviewees by role: CEOs/directors of social enterprises and others, national/London-based or in other parts of England, and sector generalists and specialists. The demographics of the experts was not

considered. These experts were selected with through the researcher's existing contacts, by snowballing from the experts, or through grey literature.

Initial approaches to potential interviewees were made by email, attaching an information sheet that provided a general outline of the study and a consent form – see Appendix 4.2: Expert interviews – information sheet, consent form, and interview guide. There then followed an interchange by email and sometimes by phone as well, either with the potential interviewee directly or sometimes through an administrator. Interviews were held in the interviewees' offices for preference (Dexter, 2006: 53) for reasons of privacy and lack of interruptions or background noise, or as a second choice, in cafes as suitable public places. The interviews were of about an hour duration, some slightly longer and one slightly shorter. Interviews took place in the morning or the afternoon, avoiding lunchtime. The interviews were conducted one-to-one with no-one other than the researcher and the interviewee party to the conversation, with one exception where a staff member was also in the room to support the expert.

The interviews were carried out using an interview guide (see Appendix 4.2: Expert interviews – information sheet, consent form, and interview guide) to build validity, which contained and introduction and then main and supplementary questions. This interview guide was piloted through two interviews. Both pilot interviews were followed by a shorter interview about the interview proper. The first pilot interview picked up on phrases that were not clear to the pilot interviewee and served as a live test on timing. The second pilot interview proceeded according to plan, elicited useful data that was not used for ethical reasons given its pilot status, and elicited a response from the interviewee to the effect that it had prompted their reflection that they needed to think more about the issues that arose. Despite some concerns in the first expert interview, which on reflection were due to the interviewees particular preference for examples, the interview guide remained largely as drafted for all the expert interviews, with more emphasis on the dynamic aspect of social enterprises and managers after the first few interviews. Notwithstanding the use of the interview guide, the style of the interviews was relatively informal with phrasing and sequencing of questions varying between interviews (Bryman, 2008: 196).

Each interview commenced with a brief introduction to establish its purpose and to avoid misunderstandings. The introduction also allowed for any questions before the interviewee and interviewer signed and dated the consent forms, providing anonymity for the interviewees and confidentiality in data handling. Copies of the information sheet and consent form were placed on file and one was given to the interviewee to retain. As senior people in their roles, the expert interviewees could reasonably have been expected to be able to look after their own interests. One interviewee commented, despite the promise of anonymity and

confidentiality, that they would be prepared to be quoted publicly, although this was an exception within the set of interviewees. None of the interviewees requested further identification from the researcher, although this was available. As part of the introduction some ice-breaking conversation took place, and it was recognized that this may be have been used by the interviewee to assess how freely they could talk (Dexter, 2006: 51).

After the introduction, recording of the interview began. While there are differing views on how to record the interviews, both audio recording (Ware and Sanchez-Jankowski, 2006: 7) and handwritten note taking were used, and transcripts prepared as soon as possible after the interview (Dexter, 2006: 54). Hand-writing notes enabled the interviewer to communicate in a subtle way to help manage the interview – e.g. writing and not writing was used to signal if the interview was on or off track, taking care not to rush to judgement, and also to allow the researcher moments in which to consider the best next question. Handwriting notes also enabled the researcher to make reflective comments as the interview took place, sometimes coming back to these notes later in the interview. The handwriting of notes also served as a back-up and were used as such on one occasion when the digital recorder failed to restart after an interruption to the interview. The aim of the questions was to encourage the interviewee to speak, with follow-up and probing question, tougher questions later in the interview, and potential periods of silence (Morrissey, 2006: 93-99). What came out of the interviews were the interviewees comments related to the study and other comments that appeared unrelated to the study that might subsequently have been relevant, together with the identification of other potential interviewees.

4.2.3 Analysis of the interview data

It was acknowledged in this first stage that while a theory-driven approach was being taken, which was embodied in the analytical framework, some adaptability in the data analysis was required. This partially open approach is consistent with Ackroyd and Karlsson's (2014: 22) advice and framed here as plausibility probing. The expert interview stage asked interviewees to bring their "external expertise" to bear on the "concrete topic of research" (Froschauer and Lueger, 2009: 224), of social enterprise organizations and their performance. While deduction was used, it was supplemented by some induction. The analysis of the data from the expert interviews were "…condensed, elaborated and put into a systematic context…" (Froschauer and Lueger, 2009: 224).

The first step in analysing the interviews was through the researcher's translation of the raw interview recordings into usable text. Each expert interview recording was echo recorded by the researcher where the words of both the interviewer and interviewee were listened to and repeated by the researcher into a digital recording device. The echo recording edited out non-

words. Dragon voice recognition software was then used to produce a first draft in text of the echo recording. This first draft text was then tidied up for sectioning mistakes and where the software had mistaken words. While not the focus of the research, some gaps and points of humour were preserved in the text, which aided memory. The handwritten notes that were made during the interview were used to check the recording and the resultant text ready for the next step.

The next step of the analysis of the interview transcripts was data condensation following Kvale and Brinkmann's (2009: 205-207) advice. This approach was consistent with the overall lumping approach to analysis (Saldana, 2013: 23). Accordingly, the transcripts were read through in order to obtain an initial overview. The researcher then broke down the text into natural units of meaning. Then the main theme in the unit was restated by the researcher in a more concise form. Some short sections of text from participants were kept verbatim and highlighted as potential illustrative quotes. The themed units were then re-ordered to align more closely with the study. This process was carried out focusing on each expert at a time using a table in Word software into which each interview transcript was pasted.

The next step of the analysis was to collect together the texts from each interview so that they could be compared by theme. Consequently, the restated texts for the expert participants were pasted into tables in Excel software sheets. Collecting the transcripts together in this way shifted the focus from the individual expert to the group of experts and the themes. This collective tabulation enabled text on similar themes from different experts to be aligned on the same row. Analysis proceeded by moving texts about in relation to the analytical framework and conceptual codes and with regard to emergent themes and codes. There were iterations in the analysis, as units of text were further broken down or were merged. In some instances, the analysis prompted re-reading of the original transcripts and further potential illustrative quotes were identified.

The thematic analysis included attribute, conceptual, and inductive coding, which can be outlined. The expert interviewees were profiled by attribute codes in order to ensure a range of perspectives - see Table 4.1: Attribute codes for participants. Orientation around social enterprise organizations was considered a conceptual code containing inductive codes, since the experts were asked to talk about it through an open question. The analysis was led by the configurational layers as the lead analytical theme, with most of the analysis involving conceptual codes with some inductive codes. In the organizational layer, the conceptual codes were principally combinations of logics, either generally or about specific aspects of organization, and mainly concerned the structural mode, with little reference to the agential mode. The inductive themes related to organizational attributes/demographics and

organization/environment boundary management. Within the organizational layer, organizational performance was also linked to conceptual codes of combinations of logics, with inductive themes of profile, rather than necessarily performance, and approaches to measurement. In the environmental layer, the conceptual codes mainly focused on structural mode aspects of environment, although in the agential mode external stakeholders were addressed. The inductive theme was services in the public sector. In the managerial layer, again the conceptual codes mainly concerned different combinations of logics in the structural mode, but on the part of managers and boards, and within the agential mode the emotion of these senior managers. An inductive code was the managers' links to workers. While the experts dealt with configurational conceptual themes, and by induction and implication fits, they had relatively little to say about fittings and reconfigurations. Consequently, the scope of the analytical framework, and by implication its parent conceptual model, was partially confirmed, and other factors identified had some relationship to it.

PARTICIPANT TYPE	ATTRIBUTE CODES
Expert interviews	
Expert interviewees	Number (sequential)
	Current sectors
	Past sectors
	Industry sectors
	Area of operation
	Demographics
Cluster survey	
CICs	Standard Industry Classification (SIC) Codes sectors
	size by turnover
	size by number of employees
	regional location
	age since founding
Senior managers	job title
	gender
	ethnicity
	age
Case studies	
CICs	legal forms
	broad service sector
	SIC sectors
	region
	customer sector
	age
	model
	size
	board

Table 4.2: Attribute codes for participants

4.3 PHASE 1: PLAUSIBILITY PROBING – STAGE 2: CLUSTER SURVEY OF COMMUNITY INTEREST COMPANIES (CICs)

The second stage of the initial plausibility probing phase was a cluster survey of Community Interest Companies (CICs), which are a legal type of social enterprise organization. The way in which the cluster survey was approached, the survey data collected, and the data analysis are explained below.

4.3.1   Approach to the cluster survey

A method for identifying categories of configurations of CICs was needed using a quantitative method to complement to the qualitative expert interviews in stage 1. Cluster analysis was selected and is a set of numerical techniques for finding groups in data (Everitt et al., 2011:5) with a long history, such as in biosciences for classifying species (Fielding, 2007: 1-2). Cluster analysis is one method that has been used in organizational configurational research (Fiss, 2011), together with other methods such as deviation score analysis and set-theoretic techniques. It has also been used on CR-informed research, such as Kessler et al.'s (2012) study of different dimensions of the healthcare assistants' roles in the National Health Service (NHS). Cluster analysis achieves the task of classification in a relatively objective fashion based on similarities and differences. However, it is criticised for producing different results from different techniques, being "structure seeking" (Dess et al. 1993: 789), and not accounting for the combinations at which it arrives. Consequently, some have argued for triangulated approaches incorporating other techniques (e.g. Byrne, 2009; Fiss, 2011), and here cluster analysis is part of the mixed methods design and the apparent criticisms helped the plausibility probing. The term "survey" is used here because the approach meant that the data took the form of a variable by case grid (de Vaus, 2014: 3-5). The analysis considered whether these cases were similar enough to be placed into groups (Williams and Dyer, 2009/2013: 91). Accordingly, cluster analysis was suitable quantitative method for plausibly classifying CICs.

Community Interest Companies (CICs), which are a specific legal form in the UK, were selected as a population of social enterprises from which to select a sample of respondents. Self-identification of a population of organizations as "social enterprises" was rejected, in favour of treating CICs as they must pass their regulator's community interest test. As the legislation to create CICs was put into action in 2005 it was expected that there would be a reasonably high proportion Small- to Medium-Sized Enterprises (SMEs), and Social Enterprise UK's 2015 survey shows this. Smaller organizations subsequently enabled deep case studies although researching them was not expected to be simple (Curran and Blackburn, 2001: 5). The availability of a list of CICs at Companies House, albeit as part of a

wider database of companies, was a practical consideration. These advantages of treating CICs as the population from which to draw a sample outweighed the limitations.

The content of the online questionnaire addressed the structural mode of the main concept of configuration in the analytical framework through standard instruments and so was theoretical rather than empirical (e.g. Kessler et al., 2012; Wright et al., 2003). Focusing on configuration was a simplification to make the questionnaire more manageable, although fits came into play through the subsequent cluster analysis of configurations, and fittings was arguably lightly touched on through change strategies. Surveys can be criticized as superficial, although as here they can be used for comparison and as a prelude to deeper analysis, as argued by Schein (2010: 159-163) in relation to culture. Senior managers were targeted to gain overviews of their organizations, although they had potential disadvantages as respondents, such as reflexivity and potential role misrepresentation.

Firstly, a welcome page was provided, both as encouragement and as a filter, which was followed by an information sheet to address the ethics of informed consent. Secondly, the main part contained questions about layers with some simplification: organizational layer – operating organization came first as a more familiar topic, environmental layer – operating environment, and the managerial layer – in effect the respondent. The third part contained demographic questions concerning the respondents' organizations and the respondents themselves, to enable some comparison with more general demographic data on social enterprises and came after the main substantive part to be less off-putting. The fourth part of the questionnaire asked if respondents would be prepared to be contacted in future and if so then asked for contact details and was positioned last for well-engaged respondents and as a prelude to identifying case studies for Phase 2.

An online questionnaire was used to implement the questions based on guidelines for design of self-completion questionnaires (Bryman, 2008: 221-224) – see Appendix 4.3 Cluster survey – online questionnaire including information sheet and deemed consent. Specific pages design was determined by the Qualtrics online software, which was chosen for its standard presentation, ease of use, and accessibility to the researcher. The online survey had advantages of lower cost, faster response and unrestricted compass compared to a postal survey, and disadvantages such as lower response rates and greater reliance on the motivation of the respondent (Bryman, 2008: 653). The questionnaire was also offered in hard copy by post on request, although no-one requested one, although access was provided to a partially sighted respondent by the questions being read over the phone and recorded by the researcher.

The likely time taken for a respondent to complete the questionnaire due to its length and case-oriented nature was a cause for concern for the response rate, particularly against a background of survey "burn out" tending to favour shorter polls. To address this concern, a slight trade-off was made between an optimum number of questions and completion time of around 30 minutes and the desired standard questions, perhaps slightly weakening validity. The organizational layer used ipsative scales and the environmental and managerial layers used Likert scales, and so while having two types of scale in the same questionnaire was not desirable, at least one followed the other. Ipsative scales can be argued to be superior to Likert scales by forcing prioritisation, typically here by allocating 100 points between four statements, although they are more demanding for the respondent. Response rates below 30% have been argued to be unacceptable, but in practice research studies do have lower rates (Bryman, 2008: 220), and they are more important in statistical generalization studies. The questionnaire was piloted by an existing contact and by two CEOs of social enterprises and was found to be both practical and relevant.

4.3.2 Collection of cluster survey data

The starting point for selecting senior managers of CICs as potential respondents was the company database held by Companies House as at October 2014. Following unsatisfactory use of the searchable CD of companies and subsequent discussion with Companies House, they assisted by extracting CICs from the database of all companies. The extraction was based on variations, including in Welsh, of "Community Interest Company" or the abbreviation "CIC", which all CICs are required to include in their formal titles. At this time there were there were approximately 10,000 CICs in existence (Regulator of CICs, 2014/15: 16), which were part of some 70,000 social enterprises in the UK based on government statistics (Social Enterprise UK, 2015:4).

A random sample was not required for cluster analysis (Fiss, 2011), and the CR-informed approach of the study intended to make analytical generalizations rather than empirical or statistical generalizations. However, a basis for selection was required that provided a starting point, avoided an overly narrow sample, and was transparent. Consequently, selection was modelled on stratified sampling (Bryman, 2008: 173-174) by industrial sector using the condensed Standard Industry Classification (SIC) codes (Companies House SIC 2007). As some of the CICs did not have a designated SIC code, this reduced the number of CICs available for selection by about 70% to some 7,000. This sampling method using sectors could be criticised as being too wide as cluster analysis should be applied to related sectors. However, Fiss's (2011) work in high technology was arguably a grouping of sectors. Here the focus at this stage was on the type of organization (CICs) rather than a sector/s, although

CICs by their nature provide services in the community interest, and they tend to be more prevalent in some sectors (Social Enterprise UK, 2015).

It was decided to approach CICs, and so their senior manager respondents, in batches of 100. This approach kept control of the range of SIC codes and provided for responses building up where the response rate was not known in advance. Selection began by calculating the number of CICs there would be in each sector out of an arbitrary 100 in proportion to the number of CICs in each sector. The starting point/s in each sector were chosen using random numbers. The CICs selected by this method were amended by moving to the next one on the list if they had dormant accounts or were manifestly the same organizations with multiple names This further reduced the number of CICs that were available. Subsequent batches of 100 were selected by choosing the next CICs on the list from the first batch, using the same selection method. Having identified the CICs to approach, they were generally Googled, as only postal addresses were provided in the CIC list. Contact details of senior managers – preferably the CEO or if not generally a director – mainly in the form of email addresses and sometimes Twitter handles were searched for on websites, Facebook, Twitter or by phone. These contact methods meant that CICs that made use of the internet and social media were found more readily, although only half of the CICs selected were contactable by these means. Senior managers were generally emailed, and sometimes Tweeted instead, based on a standard template, which was slightly modified to improve guidance, with a link to the questionnaire on the Qualtrics website. In parallel with this targeted selection approach, Tweeting and Re-Tweeting by four network organizations was also used, which might have helped in a general way, but did not lead to responses.

The selection process continued batch-by-batch until an acceptable sample was obtained. The acceptability of the sample was judged by its size, accepting that the stratified sampling would result in sample that was not too narrow. The sample size was judged against other studies and rules of thumb for clusters. A sample size of around 100 CICs that was intermediate between the 24 responses in Wright et al. (2003) and the 205 responses in Fiss (2011) was one criterion. The rules of thumb that were used for cluster analysis were used as another criterion for sample size. In addition to responses, some feedback emails were received. Ultimately, 13 batches of 100 were considered, about half of which were contacted, and an acceptable sample of 70 usable responses was obtained.

4.3.3 Analysis of cluster survey data

The first step in the survey analysis, following downloading the results into Excel from the Qualtrics online survey software and tidying the column labels and removing partial responses, was to carry out univariate analysis of the demographics of the respondents themselves and their CICs. Regarding the respondents, this analysis was in two main parts. Firstly, the respondents' job titles were analysed, which was an important check on whether the data had indeed been generated by senior managers of CICs or not. Secondly, the demographics of the respondents were analysed by gender, age and ethnicity. In relation to the CICs, on whose behalf the respondents replied, their characteristics were analysed by size – by annual turnover and number of employees, sector – by overall SIC code, region, and age since founding. These analyses provided an overview of the variety in the sample of both the respondents and their CICs and a basis for comparison with wider social enterprise demographics from Social Enterprise UK (2015).

To proceed to the cluster analysis as the second step, a specific clustering technique was chosen. This technique needed to handle mixed mode data, due to both ipsative and Likert scales with different scoring having been used in the questionnaire, some of which were combined in the clustering. This approach to clustering was performed consistently for each of the cluster analyses, whether they involved combining data from different sections and scales or not, resulting in plausible clusters of CICs. A technique was selected of replacing variable values by their ranks which rescales all the variables on the same scale. This technique was one of the main options identified by Everitt et al. (2011: 54) and used by Wright et al. (2003). The clusters were derived by replacing the variable values of the measures used for each aspect by their rank. The variable values were obtained by averaging the relevant measures. These variable values were used to analyse the resultant clusters. The average linkage method was used together with the City Block dissimilarity measure (Wright et al., 2003). No further cluster analysis was carried out using other techniques for sensitivity analysis because plausible clusters were adequate for probing and exploration as a basis for the subsequent case studies. Standard SPSS software was used to perform the clustering.

Having selected a cluster analysis technique, the next and main step was cluster analysis of the multivariate data from the main substantive sections of the questionnaire. The clustering was carried out on aspects in each of the layers: organizational layer – organizational culture, organizational performance outcomes, and change strategy; environmental layer – task environment – dynamism and complexity, and munificence; and managerial layer – management behaviour. The cluster analyses used rules of thumb used to identify plausible clusters. These rules were: producing 3-5 clusters; having a minimum cluster size of 8-10 cases; a ratio of no more than 1:3 between the sizes of the smallest cluster and the largest

cluster; and the size of the steps in the tree-like diagram produced known as a dendrogram. Once the clusters had been identified, tables were prepared showing the averages and ranges for each of the elements in each cluster configuration, and radar diagrams were generated showing these element averages.

Then a further exploratory clustering step was carried out across the layers using organizational culture, technical environment (dynamism and complexity), and management behaviour. Then the relative looseness/tightness of fit for each of the cases within their respective clusters was assessed as the difference between each case's score and the centre (average) of their specific cluster. This approach assumed that cases nearest their cluster's centre has closer fit and so was a proxy for fit. A proxy for performance was calculated for each case by combining measures of efficacy and effectiveness into a performance rating. Efficacy – i.e. the extent to which a case was doing what it intends to do – was calculated as the difference between the scores for organizational culture and for organizational performance outcomes. Effectiveness – i.e. the extent to which a case was meeting its longer-term aim – was calculated as the social/protection score in organizational performance outcomes. These proxies for fit and for performance for each case were plotted on a chart to provide an overview and a basis for theoretical purposive selection of CIC case studies.

4.4 PHASE 2: PLAUSIBILITY BUILDING – COMPARATIVE CASE STUDIES OF CICs

The plausibility building phase of the study was carried out by means of comparative cases of CIC organizations. The approach to the cases studies, how the data was collected and analysed for each of the case studies, together with the comparison of the case studies, are set out below.

4.4.1 Approach to the comparative case studies

This phase addressed multiple concepts, methods, and case studies. The three principal concepts of configurations, fits, and fittings in the analytical framework were covered by the cases. Multiple methods were used. The principal methods were qualitative interviews, supplemented by observations and document study, and a quantitative online questionnaire. These methods were used to investigate the concepts across multiple case studies.

The generally cross-sectional nature of the case investigations was suitable for the concepts of configurations and fits in the analytical framework. However, it was a limitation on the study of the dynamic concept of fittings in the analytical framework. The choice of cross-sectional investigation, rather than a longitudinal investigation, was a trade-off with multiple case studies and the two-phase design. Configurations and fits were studied through all three qualitative methods and the quantitative method. However, the dynamic concept of fittings was studied only by means of the qualitative methods of interviews and document study, which enabled the past and the future to be interrogated relative to the time of the investigation. The possibility was considered of using the quantitative questionnaire for past and future data as well as data at the time of the investigation but was rejected as being impractical. Accordingly, the main concepts of configurations, fits, and fittings were studied in a modified cross-sectional way.

Within each case study, concurrent triangulation was sought where complementary data on the main concepts was used from qualitative and quantitative methods, which had different strengths and weaknesses that did not coincide (Creswell and Plano Clark, 2007; 62). The main methods of qualitative interviews and a quantitative online questionnaire were variants of the methods used in Phase 1 in stages 1 and 2 respectively. However, the supplementary qualitative observations and document study were methods that were newly introduced specifically for this Phase 2. The three qualitative methods and the quantitative method were used to provide triangulation of the main concepts of configurations and fits. However, the concept of fittings used only the qualitative methods of interviews and document study, which provided a lesser triangulation. Overall the weighting between qualitative and quantitative methods was around 60/40 respectively. Creswell and Plano Clark (2007: 83) discussed mixing data, such as by merging through comparing and contrasting as in the triangulation in these case studies and viewed lack of explicit mixing as collecting multiple methods. However,

Bryman (2008: 98) found that around half of a sample of mixed methods studies had no integration, about a third had partial integration, and full integration was relatively unusual, with triangulation studies typically in the intermediate group. Consequently, caution was exercised in carrying out potentially beneficial triangulation using complementary qualitative methods and a quantitative method.

Multiple comparative case studies were used because of their substantial analytical benefits and to reduce risks of uniqueness compared to a single case (Yin, 2014: 64). However, as the number of case studies was limited, studying cases with significant differences between them was envisaged (Pettigrew, 1988). Yin (2014: 63-64) suggested that two cases are stronger than one, and more than two are stronger still. Moreover, Eisenhardt (1989: 545) argued that the range of 4-10 cases is reasonable for cases studies in one research project, and that less than 4 cases tends towards too little complexity and more than 10 cases tends towards too much complexity. Both selecting-for-similarity and selecting-for-difference in case studies based on light-theorization has been advocated (Kessler and Bach, 2014: 173-174). A four-case study format was used by Kessler et al. (2012: 58) in their CR-informed research on Healthcare Assistants (HCAs) in the NHS. Consequently, an arrangement of 4 case studies in two pairs was pursued, with one pair similar and one pair different.

CASE 1 – PAIR 1		MAIN CONCEPTS		
		Configurations	Fits	Fittings
METHODS	Interviews	yes	yes	yes
	observations	yes	yes	no
	document study	yes	yes	yes
	Online questionnaire	yes	yes	no
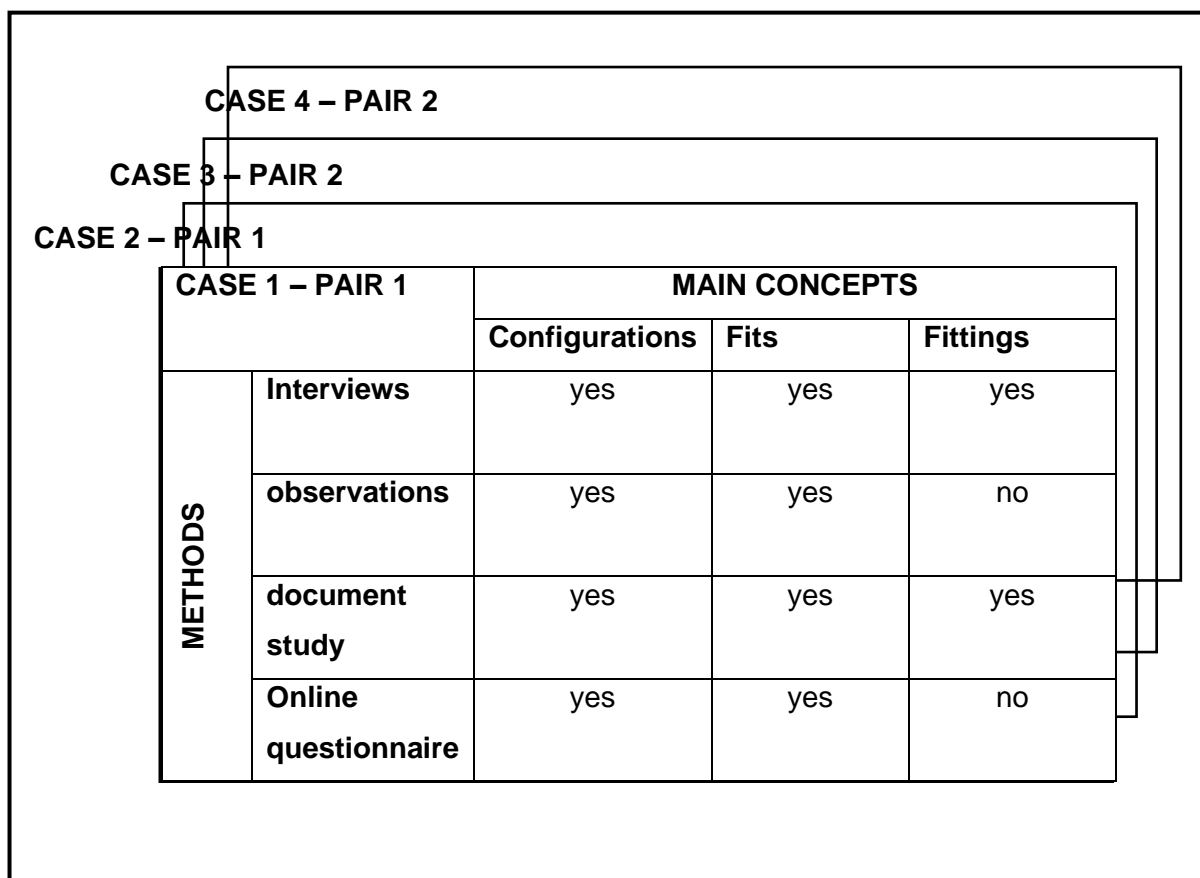
Figure 4.2: Concepts, methods coverage, and cases

4.4.2 Selection of case studies

The case studies were selected for similarity and difference. All four cases – Cases 1-4 – were selected because they were social enterprise organizations and Community Interest Companies (CICs) that were in the same "big" cluster in the previous cluster survey (see above). However, the cases were also selected for their conceptual differences. At selection, these differences were based on two proxy measures. One measure was a type of internal fit - i.e. alignment between organizational culture and management behaviour. The other measure was a type of performance - i.e. alignment between organizational culture and organizational performance outcomes. On this basis, CIC 1 had high internal fit and high performance; CIC 2 had a very low internal fit and high performance; CIC 3 had moderate internal fit and moderate performance; and CIC 4 had moderately high internal fit and moderately low performance. Furthermore, the characteristics of the public sector environment in which all the CICs operated was assumed at selection to be the same, and so it was anticipated that the external fits of the CICs – i.e. between the organizations sharing some clustering or configurational similarity and their similar environments – would be similar.

However, on further investigation what was assumed at selection was shown not to be the case. The environmental niches in which the CICs were located were more diverse than had been anticipated at selection. CIC 1 had a tight external fit, CIC 2 also had a tight external fit, CIC 3 had a loose internal fit, and CIC 4 had a tight external fit, and each environmental niche varied significantly. Consequently, a broader view of the CICs was taken in their investigation through the case studies and they were paired Case 1 with Case 2 and Case 3 with Case 4. The secondary selection criteria for the case studies concerned the similarity of their profiles by attribute codes with each other in practice, although there were also some differences.

Within each case study, senior manager participants were selected. Senior managers were the focus on the assumption that they were the most powerful stakeholders and were responsible for the organizational as a whole and for its performance. The criteria for selection of these senior managers were that they were either board directors or assisting managers, who were remunerated, and who gave their consent. Board directors were explicitly defined legally. Selecting assisting managers, who were closely involved in assisting the board directors across the whole organization, was a more practical question. This selection criterion had the effect of excluding managers in positions with partial perspectives on their organizations. While it was not known at the point of the on-site investigations, the assisting managers selected either subsequently became directors or their positions were previously a director position, which justified the approach. The remuneration criterion was a way of excluding voluntary positions, and this was mostly fulfilled, although remuneration came in different forms. The senior managers identified generally gave their consent to participate, with few exceptions who declined.

4.4.3 Collection of case studies data

A protocol was used to control and standardize the data collection. Data was collected from each of the case studies sequentially with some overlaps, with consideration given to the availability of the senior manager participants. Prior to on-site investigation at each case study, the researcher exchanged emails and a telephone conversation/s with the lead manager i.e. the CEO or equivalent. Within each case study an initial meeting was held with the lead manager who acted as informant (Whyte, 1993: 298) and gatekeeper – see Appendix 4.4 Comparative case studies – organization information sheet, consent form, and agenda for initial meeting. At this initial meeting the preferred order of data collection was discussed. This order was the online questionnaire, the interviews, the observations, and then the document study. Some adjustment to the order was required depending on participant managers' availability. After the data had been collected, checks were made with the lead manager by email and telephone.

The interviews were both similar and different to those used in the previous Phase 1. The similarities between these two sets of interviews were that they were face-to-face semi-structured interviews using an interview guide, with recording using a recording device and handwritten notes, and conducted in an ethical way with an information sheet and consent form for informed consent. These general similarities have been dealt with in Phase 1 – stage 1: expert interviews.

The main differences from the interviews in Phase 1 were the coverage of the interview linked to the nature of the participants. The coverage of the interview included all three of the main concepts of configurations, fits, and fittings in the analytical framework. The interview guide radiated out from the timeframe of past, present, and future within the fittings concept, and this successfully elicited a story from participants – see Appendix 4.5: Comparative case studies – interview information sheet, consent form, and interview guide. The interview guide was trialled with a CEO of another CIC and was amended to improve flow and timing before it was used in the case studies. The participants were senior managers, rather than experts, and were mostly directors. These senior managers were asked to focus on their own CICs rather than to comment more abstractly on social enterprise organizations in general. Interview question were asked in a conversational and relatively fluid format (Rubin and Rubin, 2011), in order to lessen reflexivity between the interviewee and the researcher, and to reduce bias and memory issues, particularly in relation to historical material. The researcher sought to foster a climate of trust with the senior managers in the interviews. Trust was encouraged by being polite, friendly and open, making eye contact, giving them a positive feeling about their contribution, and thanking them for the interview (Arksey and Knight, 1999: 102).

Observations were used as a supplementary qualitative method, which were newly introduced to the study specifically for the case studies. The observations were carried out primarily to help the researcher to appreciate the context of the case studies and data from the other methods (Angrosino, 2007: 54), and to provide some additional data. The position of researcher in the observations was mainly that of an observer-as-participant, as the senior manager participants knew that the observer was a researcher and the observations took place in the managers' natural setting (Angrosino, 2007: 54). The researcher quietly took hand-written notes and positioned himself relatively unobtrusively during the observation sessions. The live nature of the observations was managed by the researcher observing and then analzying, rather than analyzing while observing. Observations were of management meetings and some service delivery sessions, and scheduling was generally later in the data collection process and was opportunistic around other tasks. Occasionally, the researcher's position leant either side of the observer-as-participant role. The role tended towards a complete observer when there were people present other than the senior managers who did

not know the researcher's role and tended toward participant-as-observer when the researcher interjected at a meeting or helped with a service delivery activity.

Document study was also used as a supplementary qualitative method, which were also newly introduced to the study specifically for the case studies. The researcher sought to remaining sceptical about documentation until its purpose was understood (Yin, 2014: 109), and sifted documents to address issues of data overload (Yin, 2014: 109). Initially, the intention was to use organizations' minutes of meetings and reports as documents; however, it was recognized that while these would cover the past, access to documents in the future would be problematic. Consequently, it was decided to collect documents that the CICs had been required to submit annually to Companies House which were publicly available by downloading from their website. These documents provided secondary data (Rapley, 2007: 16), and were used primarily as they provided an opportunity for longitudinal analysis (Bryman, 2008: 297) although their coverage of the analytical framework was restricted (Bryman, 2008: 300). Such minutes and reports as had been collected were used as context only, along similar lines to aspects of the observations. These annual submissions were financial statements or accounts, sometimes with reports attached, which varied according to requirements, and CIC34 reports, and overview and people statements.

The online questionnaire was used to provide quantitative data to enable triangulation and was both similar and different to that used in the cluster survey in the previous Phase 1. The similarities between these two questionnaires were that the same structural and demographic aspects were addressed using the same Qualtrics survey software and approach as in Phase 1 – stage 2 cluster survey. Consequently, these issues of similarity have been addressed above in stage 2. The differences concerned the additional content and the nature of the respondents – see Appendix 4.6: Comparative case studies – online questionnaire additional to cluster survey questionnaire. The additional content was agential and was inserted after the structural topics and demographic questions and so continued the Likert scales used in the later sections of the structural mode. These agential themes were reflexivity, preferred team roles, ethics, and emotions. Preferred team roles using Belbin was only available by using Belbin's own online questionnaire by their kind permission. Consequently, this online questionnaire was adopted as a supplement to the main questionnaire for practical reasons, although it would have been preferable for the online questionnaire to address all the agential themes. The addition of agential mode themes meant that the online questionnaire used in Phase 2 took longer for participants to complete than that in Phase 1. However, in this phase the respondents were senior managers in the case studies, and so were expected to be strongly motivated.

4.4.4 Analysis of case studies data

 A protocol was used to control and standardize the data analysis. In keeping with the convergence model variant of triangulation that was used, analysis of qualitative and quantitative data proceeded in parallel. As stated above, some of the data collected in Phase 2 was similar to that collected in Phase 1 and some was different. Similarly, here the similarities and differences in analysis between the phases are addressed. The first step in data analysis in the cases studies was to work on each of the four methods. The main methods of the interviews and online questionnaire were worked on first and then on the supplementary observations and documents. The second step of the analysis was to work through the data case-by-case. Consequently, the analysis of qualitative and quantitative data could be regarded as simultaneous.

The analysis of the interviews with managers had similarities and differences with the approach take in the Phase – stage 1: expert interviews. The thematic analysis again used attributes, concept and induction codes. Furthermore, the earlier stages of the analysis were the same. The researcher translated the interview recordings into usable text in the same way. Data condensation also followed as before. The texts were collected together for comparison using the same process. These similar approaches are addressed above in Phase 1.

The principal differences between the two groups of interviews concerned the participants and the coverage and approach to the thematic analysis. The Phase 2 interviews were carried out with senior managers on a case-by-case basis. These managers as found were profiled by attributes codes, and these profiles were used as part of the demographic analysis. Furthermore, the analysis concerned small teams of these senior mangers on a case basis, rather than as a group.

The thematic analysis itself was more evenly spread across all three main concepts of configurations, fits and fittings in the analytical framework. The analysis was led by timeframe as part of the fitting concept in order to separate data concerning configurations and fits in the present from that concerning fittings in the past and future. Next both present and past/future data was spilt into organizational, environmental and managerial configuration layers. Then each configuration layer was addressed by structural and then agential modes. The configuration elements and nature of the fits within each layer and mode were then considered. While the thematic analysis was driven by conceptual codes, the inductive codes that emerged were different. For example, inductive codes in configurations were organizational networks and different market/non-market service environment niches in the public sector, and in fittings was predecessor organizations. These inductive codes demonstrated the importance of "other" issues.

The observations were analyzed in a similar way to the interviews in that they were transcribed, but from handwritten notes, and then condensed. This text was tabulated for thematic analysis. While the interviews were designed to cover the themes in the analytical framework, the themes covered in the observations were opportunistic. As the observations were a modest component of the study, no inductive codes emerged. Accordingly, the observation analysis was theoretical in nature (Angrosino, 2007: 68).

The document study also used tabulation and thematic analysis. However, in contrast to the opportunistic nature of the observations, the documents were highly standardized. Nevertheless, as secondary data the documents were also partial in their coverage of the analytical framework. For each case study the data from the document submissions to Companies House were tabulated. Firstly, attribute codes concerning the CIC's governance structure and Standard Industry Classification (SIC) sectors were tabulated. Subsequent tables provided a basis for comparison over time. The overall status of the CIC showed when the organization commenced operating and was active, preceded by dormant status or by a predecessor organization, although the latter required some interview input, and sometimes when the last accounts were submitted, trading ceased, and the company dissolved. The performance of the CICs over time with regard to finance in the accounts and socially in the CIC 34 Community Interest Company report were tabulated and compared over time. However, the accounts only provided a basis for comparison at a high level due to modest reporting requirements for SMEs, and the CIC 34 information was only sometimes quantified. The status of the directors over time was also tabulated as active, resigned or added.

The analysis of the online questionnaire in the case studies in Phase 2 began with raw data in a similar format to that in Phase 1 - stage 2 cluster survey. Again, the data was limited to configurations and fits in the analytical framework, but with additional agential mode themes. Consequently, the data was again downloaded from the Qualtrics survey software into Excel spreadsheet software as before. From this point the analysis was different between the phases, as in Phase 1 cluster analysis with SPSS software was used, whereas in Phase 2 numerical analysis with Excel was used. Furthermore, instead of the focus being on clusters of configurations and fits in cases as in Phase 1, the focus here in Phase 2 was on configurations and fits with regard to individual manager participants and the case study CICs of which they were a part. These configurations and fits were prioritized as main and supplementary, and so the data was divided into these two categories. The main configurations and fits in the structural mode were organizational culture, organizational change strategy, and organizational performance outcomes in the organizational layer, management behaviour in the managerial layer, and dynamism in the environmental layer. This structural mode data was slightly simplified from Phase 1-stage 2, as the focus was on

environmental dynamism only. The main configurations and fits in the agential mode through management reflexivity was an addition. The supplementary configurations and fits were in the also agential mode and were management demographics, team roles, management ethics, and management affect.

The numerical analysis of the data from the online questionnaire produced results, although required some scale conversions, assumptions, and gaps to be accepted. All data in the main aspects needed to be on the same basis, so that they could be compared, hence the need for scale conversions. A basis for comparison of 0-100 scales was chosen in order to produce configurations that could be compared readily and for fit. As the results in the organizational layer used 0-100 scales directly, they were used as they were – i.e. covering organizational culture, organizational change strategy, and organizational performance outcomes. However, neither management behaviour, environmental dynamism, nor management reflexivity used 0-100 scales. Consequently, proportional scaling was used for the data in management behaviour, environmental dynamism and management reflexivity.

The main configurations were calculated by summing the scores for each element for each participant and dividing by the number of contributing scores to end up with score out of 100, which assumed equal weightings. These results were averaged across the participants in each case and a scale used to appraise the resultant elements degree of dominance as dominant, intermediate or subsidiary. An appraisal was also made of the degree of agreement between the participants using a scale of agreement, debate, or disagreement by calculating the square root of the sum of the squares of the differences. These results were tabulated and graphed. The main fits were assessed by taking the average results for the configurations and then calculating their differences by element. These results were appraised by using a scale to assess tight, loose and misfit. In this way, results for configurations and fits by case study and participant were obtained, and while some assumptions were made and a gap in the data accepted, detailed results underpinned broadly classifications of degrees of dominance and degrees of fit.

Other assumptions were made in the analysis. Dynamism was chosen as the most relevant environmental element to focus on as it could be compared with the configuration as they can be characterized as different forms of feedback dynamic. The focus on the single environmental element of dynamism meant that to compare it with multi-element aspects they had to be collapsed into one number by summing the scores for each element weighted by the degree of dynamism of each element. "Pessimistic" reflexivity, aligned with the compromise element, did not feature in the data, as it was not part of the ICONI instrument. This gap was filled by an average score.

There was no requirement for the scales of the supplementary configurations and fits to be on the same basis, as they were not compared numerically, although team roles and ethics were aligned with configuration elements. However, analysis was tailored to suit the topic. The demographics of the senior manager participants in each case study were tabulated and compared by inspection. The preferred team roles for participants in each case were obtained from reports generated by Belbin and summarized in a table in terms of preferred, manageable, and least preferred roles. Totals and ranks by roles and configurations across the management teams were calculated, and their strongest and weakest roles highlighted. The specialist role was ignored as it was superfluous in configuration terms. Similarly, scores for management ethics by participant for each case were calculated by averaging the scores for each cell. Totals and ranks by ethics and configurations across the management teams were calculated, and their similar and dissimilar ethics highlighted. The gap in the opportunity element in pragmatic ethics and the like was accepted. In management emotion, positive and negative affects for each participant in each case were summed and their differences calculated by subtraction. The similarities and dissimilarities in these figures were highlighted. The results were tabulated for each topic in the supplementary configurations and fits.

Following the analysis of the four individual case studies individually, a cross-case analysis was then undertaken. This cross-case analysis was based on a Word table showing the individual case studies against the analytical framework covering configurations, fits, and fittings (Yin, 2014: 165-167). Through examination of the word tables anticipated and unanticipated findings were identified relying on argumentative interpretation (Yin, 2014: 167). This approach follows Miles and Huberman's (1994: 176) "meta-matrix".

Summary

A justified strategy of case-based and mixed methods led to a doubly sequential mixed method design to address an analytical framework covering the main concepts of configurations, fits, and fittings. The first phase of plausibility probing comprised an exploratory sequence of interviews with social enterprise experts followed by a cluster survey of senior managers of Community Interest Companies (CICs). The second phase of plausibility building was made up of case studies of CICs. These CIC case studies were then analyzed comparatively.

The results are presented in this same sequence. Chapter 5 provides the results of the first phase of expert interview and the cluster survey, and then compares and contrasts these initial results. Chapter 6 gives the results of a pair of high performing CIC case studies. Chapter 7 presents the results of a pair of low performing CIC case studies. Chapter 8 discusses the comparative CIC case studies in relation to the literature, and then provides conclusions including responding to the research questions.

CHAPTER 5: RESULTS OF PHASE 1 - PLAUSIBILITY PROBING: EXPERT INTERVIEWS AND CLUSTER SURVEY

In any really good subject, one has only to probe deep enough to come to tears.

Edith Wharton (1862 – 1937)

My determination is not to remain stubbornly with my ideas, but I'll leave them and go over to others as soon as I am shown plausible reasons which I can grasp.

Antonie van Leeuwenhoek (1632 – 1723)

Learn to see what you are looking at

Christopher Paolini (1983 -)

This chapter produced initial results to probe the plausibility of the conceptual framework prior to building plausibility. These initial results had two related purposes. The substantive dimension sought to check on the relevance or otherwise of the research concepts/themes and to suggest areas for development. The process dimension aimed to shape how the study could proceed. Both the conceptual framework and the methodological process were built on previous research by others, and this plausibility probing phase sought to critique this.

This chapter presents the results of the first of two phases of fieldwork. This phase was conducted in two sequential stages, and the results reflect this arrangement. Stage 1 comprised qualitative semi-structured interviews of experts. Stage 2 was a quantitative numerical cluster survey of responses from senior managers of Community Interest Companies (CICs). Both stages addressed the conceptual framework. The results of both stages are presented based on the three layers of organizational incorporating organizational performance, environmental, and managerial.

5.1 RESULTS OF STAGE 1: EXPERT INTERVIEWS

5.1.1 Introduction to stage 1

The purposes of stage 1 was to provide initial results concerning the plausibility of the conceptual framework and as to how the study could proceed. These initial results were obtained through the qualitative analysis of interview transcripts based on the conceptual framework. The interview transcripts were obtained through semi-structured interviews with experts in social enterprise. Generic terminology for configuration elements of protection, compromise, elimination, and opportunity has been used where appropriate alongside more practical equivalent terms of social, control, business, and innovation. In this way, a broad-brush picture was sought of social enterprise organizations and of their configurations.

Participants were selected purposefully based on individual suitability and collective diversity. Individual suitability of candidates as experts was assessed on the depth of their knowledge of social enterprise and the extent to which they were able to influence others. This assessment was carried out by means of pre-interview checking of their current job titles and organizations on the internet and in-interview checking of their current and previous roles. Diversity was assessed based on the different contexts in which the experts worked and their demographics. The candidate experts were emailed and telephoned as appropriate for each. The nature of the selected participants is summarized in Table 5.1: Profile of expert interviewees. Of the 14 experts who were interviewed, 13 agreed to be interviewed. One other potential participant was approached who wished to participate but was prevented from doing so by logistics and so found an equivalent replacement who agreed to take part as the 14th participant. Two further potential participants were approached but declined to take part.

The results of the expert interviews are arranged in the following sections. Firstly, an orientation is offered first given the somewhat problematic nature of social enterprise itself according to the experts. The results for the layers are then set out in the order organizational, including organizational performance, environmental, and managerial. Finally, an overview is provided.

No.	Role	Current sectors	Past sectors	Industry sectors	Area of operation	Demographics
1	Management advisor	social enterprise/social/private	social enterprise/social/private	All	South East England	M/white/middle aged
2	Finance director	social enterprise/public	private	Education	England	M/white/younger
3	Civil servant	social enterprise	social	All	UK	F/white/middle aged
4	Consultant/ interim manager	social/public	social/private/ public	Property	UK	M/white/middle aged
5	Chief Executive	social enterprise	social enterprise/ private/public	Health and social care	South East England	F/white/middle aged
6	Chief Executive	social enterprise	public	Housing	North West England	M/white/middle aged
7	Chief Executive	social enterprise	social/private/public	Education/ training	UK	M/white/middle aged
8	Chief Executive	social enterprise/social/private	private/public	All	North East England	F/white/middle aged
9	Investor	social enterprise/social	private	All	UK	M/white/younger
10	Network organization director	social enterprise	social enterprise/ social	All	UK	M/white/younger
11	Consultant	social enterprise/private/public	social enterprise/ social/public	All	South East England	F/white/middle aged
12	Commissioner	public	public	All	West Midlands	M/white/middle aged
13	Chief Executive	social enterprise/public	public	Health and social care	East of England	F/white/middle aged
14	Politician	public	public/private	All	UK	M/white/middle aged

Table 5.1: Profile of expert interviewees

5.1.2 Orientation

Social enterprise was defined by the experts by both working and official definitions with some reluctance, and more comfortably by characteristics. Varied working definitions were offered by 13 of the 14 experts. They took different perspectives: integrated - an organization that exists primarily for social reasons, backed by a commercial business model, by general principles, as an overlap between ownership sectors, as an alternative to businesses or charities, business-like, by legal forms, and by financial issues. 3 official definitions were noted, including the integrated definition by DTI/BIS - a business with a social purpose where the majority of its profits are reinvested back into the social purpose, and the attribute-based definitions by Social Enterprise UK, and the Social Enterprise Mark. Definition by characteristics mainly addressed the combination of social and commercial attributes, with some discussion about social and commercial characteristics separately. Other characteristics of social enterprise that were discussed included their innovation, structure, dynamics, more environmental issues such as demographics, and their stakeholders.

However, defining social enterprises took place against a background of difficulties.

'…we've got a lot of muddying of the water…' (Expert 11)

Every organization was said to have some social and some commercial impact. However, this held in each sector, as private sector businesses have Corporate Social Responsibility (CSR), charities in the social sector have charitable purposes but increasing commercial focuses, and in services managed by the public sector there is interest in business approaches. Despite the modern use of social enterprise since around the 1990s, through individuals such as Pearce and by Blairite governments, there was said to be fragmentation and lack of clarity as social enterprises have no single purpose or identity, so no-one knows what it is.

Against this background, it was observed that some quote social enterprises as a panacea, although they should be used more widely. Labelling was considered, with definitions varying by a person's perspective, audience, and country (e.g. UK v Europe and v US). Self-labelling meant that some organizations that were probably social enterprises did not consider themselves to be, and others that probably were not social enterprises claimed they were. When social enterprises were seen as a spectrum there were grey areas on the edges, and when considered in ownership sector terms they were in an overlap. There was a specific issue around blurring social enterprise with social innovators. However, types and legal forms of social enterprise offered some way forward. Indeed, building better social enterprise organizations was said to be more important than their definition.

A range of possible futures for social enterprise were discussed and outlined as opportunities, issues and constraints. Firstly, opportunities included incremental or accelerating growth in the number of social enterprises and influencing businesses to become more social and/or challenging other kinds of organization. Furthermore, social enterprises were part of a wave of increasing political and public concern to move from shareholding to stakeholding. Secondly, issues included a lack of importance and understanding of social enterprise organizations, so that they might be overtaken by other organizational forms, such as more ethical businesses and business-like public organizations (e.g. GoCos/state-owned enterprises). Thirdly, constraints included social enterprises being characterised as an unworkable half-way house with weak supporting infrastructure, trying and failing to operate in tough environments, leading to failures and going out of fashion. On balance, discussion focused more on opportunities than issues, and more on issues than constraints.

Three layers – organizational, environmental, and managerial – provided explanations for social enterprise organizations that perform well and those that do not perform well. For both organizations performing well and not performing well, the experts tended to prioritize the organizational layer over the environmental and managerial layers. Within this prioritization between the layers there were two main differences of emphasis between factors for organizations performing well and those not performing well. Firstly, in performing well less emphasis was placed on the environmental factors, whereas in not performing well more emphasis was put on environmental factors and on the adaptability aspect of boundary management. Secondly, in performing well more emphasis was placed on stakeholders - particularly on workers - and on organizational dimensions, than in not performing well. The multi-layered and multi-dimensional nature of contributors to social enterprise performance was evident.

"…is there one thing that makes an organization high performing or not? No, there isn't. There's a lot of interlocking different things." (Expert 2)

A mix of configurational characteristics was needed for a social enterprise organization to perform well.

5.1.3 Organizational layer

In the organizational layer, the four configurational elements of protection, compromise, elimination, and opportunity, covered most of the factors discussed by the experts both in organizations performing well and not performing well. The relevance of organizational dimensions of strategy, structure and culture was identified. In the dominant view of examples of organizations performing well, protection and elimination elements were emphasized relative to the compromise and opportunity elements.

"…I'll look at financial is actually pretty important, so I'll look at the figures. And how it's articulated whether they're changing lives or not. For me it's that simple" (Expert 5)

However, there was also a subsidiary view that elimination and compromise elements were more important than protection and opportunity elements. This subsidiary view placed more emphasis on orderly business than on social innovation. Sometimes the experts focused on more than one configuration element and at other times on one configuration element. Whereas, in examples of organizations not performing well, there tended to be a more even emphasis across the four configuration elements. Consequently, while all four configuration elements were relevant in the organizational layer, protection, elimination, and compromise, rather than opportunity, were more important in performing well.

Different mixes of configurational characteristics can be associated with performing well. Nevertheless, the configurational characteristic that social enterprise organization that perform well have in common is that they are run in a business-like way to achieve social objectives. Consequently, high performing social enterprise organizations can have different combinations of configurational characteristics, although they have in common being run in a business-like way to achieve social objectives.

Social enterprise organizations in general were considered stronger at managing culture and being able to motivate people through their social aims. However, social enterprises were weaker at technical skills. Indeed, the delivery capability of some social enterprises was questioned. The generally small size of social enterprise organizations was said to aid adaptability but also to lead to them suffering from a lack of resources. In life cycle terms, despite preparatory work, some social enterprise organizations never got going. Three years was considered a tipping point for success or failure. With increasing age came greater expectation of an organization. Over their lifecycles, social enterprise organizations change their business models from time to time.

It was argued that the different kinds of social enterprise organization provided a more interesting debate than the definition of a social enterprise organization. Variety in these kinds of organization was said to be high. The ways in which social enterprises could be segmented was considered to be unsettled and in need of improvement. Segmenting social enterprises into the characteristic ways in which they achieve social impact was seen as providing a basis for their comparison and performance measurement. However, despite their claimed high variety, and accepting their demographic characteristics related to their environments, much of the diversity of social enterprise organizations was captured by types of ways of combining social and financial objectives and legal forms.

Different ways of combining social and financial objectives were used to identify types of social enterprise. Philanthropic businesses were distinguished by time as financial objectives were achieved before social ones. Lockstep or trade-off social enterprises achieved social with financial objectives. Within the lockstep type were Work Integration Social Enterprises (WISE) that focus on getting people furthest from the labour market into work, such as through (re-) training. Even more specialized were social firms, which create work for people furthest from the labour market. Outside of these types was a grey area, which contained some organizations that labelled themselves social enterprises in an attempt to give themselves an advantage, those that are set up defensively to protect a service, and some philanthropic businesses where the absolute amount given to social purposes might be relatively large but which represents a relatively small proportion of profits. In general, lockstep social enterprises appeared to be less controversial than philanthropic businesses, and of those the organizations that did not work specifically with people furthest from the labour market were less specialized.

It was observed that social enterprises could take on different legal forms. Most of the points made centred on company oriented legal forms: Company Limited by Guarantee (CLG) and Company Limited by Shares (CLS), either separately, or in combined legal structures, which sometimes included Charities as part of the mix. Community Interest Companies (CICs) were argued to encapsulate social enterprises in general.

"I see CICs as a microcosm of the social enterprise world" (Expert 3)

Social enterprises that were spin-outs from public sector were mentioned as representing the separating out of legal entities from public sector organizations. Multi-organization legal arrangements were addressed: group structures, consortia, franchises, and Joint Ventures (JVs). Other legal forms were noted: cooperatives, community benefit societies, housing associations, charitable incorporated organizations, and registered charities. However, company-oriented and related organizational arrangements were emphasized.

Beyond the organizational layer itself, boundary management concerning the link between organizational and environmental layers was noted. The two aspects of boundary management were organizational adaptability and relationships with the organization's outside world. Boundary management was particularly problematic for organizations that did not perform well. Two responses to managing the boundary were addressed. Firstly, commercial approaches using appropriate business models was advocated to be less influenced by the environment and to provide a degree of insulation from it. Secondly, joining consortia of various types was a response to social enterprises' small size, which had advantages and disadvantages.

Workers – staff and volunteers - who were not managers had some role to play as internal stakeholders.

5.1.4 Organizational performance

Performance was considered to be an important topic. The issues of performance measurement and kinds of performance criteria created a debate regarding whether social enterprises used the same approaches as other businesses would use or more complicated approaches. Social and financial performance were essential elements. Social performance was considered to have more problematic issues than financial performance. Financial performance was seen as generally more straight forward in nature.

Performance was distinguished from profile in the case of some social enterprises. Performance for some organizations was sometimes promoted as better than it was. Some social enterprise organizations were high profile due to being seen as interesting or different for assorted reasons, such as their degree of diversification. However, different or interesting features of organizations did not mean that they were high performing. More fundamentally, the social enterprise status of some high-profile organizations was doubted, due to their questionable methods of financing and the looseness of their social missions. Consequently, some higher profile organizations might not be social enterprises, and those that are might perform relatively poorly in practice.

The four configuration elements covered most of the performance criteria that were addressed. However, the protection and elimination elements were emphasized relative to the compromise and opportunity elements. In addition to a more static view of configurational criteria elements, the experts also discussed them from a dynamic perspective and talked about trajectories over time. Sustainability was the overarching dynamic view that was framed as viability into the future. This viability was principally associated with social and financial elements. More specific dynamic criteria included quality improvement. Performance criteria were seen mainly through the perspective of the four configurational elements, and this was sometimes extended into a dynamic view.

The combination of performance criteria by means of appropriate trade-offs was a critical feature.

"So I think in quite a lot of social enterprises, the ability to be comfortable with making trade-offs and making trade-offs efficiently and making them regularly" (Expert 7)

Social enterprise organizations that performed well achieved on both social and commercial criteria. These high performing organizations avoided unacceptable trade-offs where social impact damaged financial performance or vice versa. In contrast, social enterprise organizations that did not perform well failed to have an acceptable trade-off between social mission and financial position. In these low performing organizations, the financial/elimination

element was considered especially problematic. The need to trade-off configuration elements of social/community/protection with business/elimination was a distinction that was made between social enterprises and "traditional" business. Appropriate trade-offs between performance criteria, in particular between social and financial criteria, was considered important for social enterprises performing well and even a defining feature relative to businesses in general.

Beyond social and financial performance considerations, other issues were discussed. A distinction was made between how well an organization is working internally and how well it's impacting externally. Furthermore, and also related to the organization as a system in a context, were issues around causation, where social enterprises work as part of a wider environment and so there are issues of attribution concerning external impact. Ways of measuring performance arose. Firstly, ideal standards using measurement methods (e.g. Social Return On Investment (SROI)) but where there are calculation issues and factors such as the organizational life cycle are relevant were discussed. Secondly, ranking against other organizations using rating systems were addressed (e.g. NatWest SE100 Index where CICs have featured), with issues around the rating measurement process and measuring the wrong things. Not directly discussed was a third possibility that change in performance over time could be addressed by a change in an ideal standard or shift in a ranking. Other issues noted included proxy measures using published data, input/output measures, soft and hard information, and use of electronic data gathering. There was criticism of control frameworks, such as Investors in People (IiP) and ISO standards, as bases for performance measurement, and a preference for a focus on vital behaviours. A distinction was made between how well social enterprises appear to be doing and how well they are really doing.

The nature of performing well and not performing well was discussed. While difficulties in defining performing well were acknowledged, it was described as signifying a combination of financial and social performance. As such, there could be a mix of social enterprises that could be considered as performing well. A range of synonyms for performing well were offered: (really) good, between good and great, successful, and high performing. At the upper end of performing well, the experts were sanguine with few examples of exceptionally high performance. Survival was considered debatable as an acceptable lower limit of performing well. Regarding assessing performing well, collaborative/social and financial/competitive types of criteria were emphasised, while creative and controlling criteria received less comment.

Social enterprise that did not perform well were also discussed. These low performing organizations were considered to be an inevitable characteristic of the population of social enterprises; a proportion of social enterprise organizations were bound not to perform well.

The failure rate for social enterprises was believed to be like that of other kinds of organization. Ultimately, not performing well was viewed as ceasing trading, perhaps quickly and unexpectedly, such that workers become unemployed, and so was akin to unplanned termination. In contrast a planned termination, such as if the service was no longer required, need not be regarded as a failure. Consequently, low performing social enterprises were inevitable as part of the population, and ultimately not performing well meant an unplanned cessation of trading.

Not performing well was also considered difficult to define and seen as not given sufficient attention compared to performing well. Not performing well was more of a grey area. While going out of business might be the mark of an unsuccessful social enterprise, its services might not be needed anymore, there could be reasons to call time, or sometimes the situation is unmanageable. The way some social enterprises operated was considered as potentially less satisfying than others. Survival through grant money was questioned. It was observed that the balance between social and financial performance could drift too far in either direction, and there could be other unacceptable tensions between criteria. The possibility was considered that other forms of organization, such as charities, could be more appropriate. The whole system could be more important than a particular organization.

Comparison of performance across all social enterprises was recognized as being hard to do.

"…you can't really go comparing the work of the donkey sanctuary with the work of a domestic women's refuge…" (Expert 10)

Performance comparisons at type or sub-type level was considered more appropriate. Furthermore, it was noted that performance reporting varied by legal form. For example, CICs were said to have to meet requirements for coverage and transparency/robustness in their annual accounts and reports. Demographics was a further issue raised, with differences in performance considerations by industry sector, size and region.

5.1.5 Environmental layer

With regard to the dimensions of the social enterprise environment, dynamism and complexity featured, although munificence received more attention. Public policy changes such to the benefits system were seen as a particular dynamic issue. In general, there was complexity around the tension between grassroots possibilities of social enterprise and acceptance at the macro level, with the role of government as equivocal in its effects, and a lack of understanding about the potential and contribution of social enterprise. Munificence was emphasised more heavily, in terms of both opportunities and constraints. Opportunities included knowledge in the form of sharing of between social enterprises themselves and interest on the part of

universities and their students. There was a lack of advice available to social enterprise organizations. There was also recognition that environments are benign from time to time, but that the size of opportunities needed to be assessed for viability. On the demand side, constraints included the tough economic environment against a background of government funding cuts, making markets competitive and commercially difficult. On the supply side, constraints on the social enterprises themselves focused on finance restrictions limiting organization size due to debt and grant financing rather than equity or venture capital, and tax incentives being more favourable to charities. The lack of training, education, and support for social enterprise managers, including in finance, was a further constraint.

"It feels a bit like being in a dinghy with the water being chucked in, and us chucking it out as fast as we can" (Expert 13)

The overall environment was, therefore, characterised by difficult markets with some areas relatively favourable, uncertainty around social enterprise organizations, and dynamism particularly relating to public policy.

The environment of social enterprise organizations was addressed both generally and with reference to services in the public sector, with no prompt having been given for this split. The presence of opportunities for success and constraints for failure providing the operating context was acknowledged, and on balance considered to be better for social enterprises than previously, and similar to that of SMEs. Market potential was discussed, both in the public and private sectors, together with possibility that priorities could be defined based on demand changes due to shifts in inequality. Challenging the status quo of some markets and the big private sector suppliers was mentioned. The informational and legislative context of social enterprise in the UK was raised. Geographical dimensions arose, such as the UK as an international centre for social enterprise, the rising profile nationally of social impact, and the relevance of local context. Many environmental issues were demographic in nature – i.e. sector, size, age, region. The experts observed that social enterprises could perform well in various demographic categories, such as industry sector, organizational size, life cycle and nature of people supported. However, these demographic niches were speculative rather than definitive.

The challenging, varied and common context of services in the public sector was addressed as a specific context, in which social enterprises, intermediaries and the government influence each other.

"…when you think we'd been through one of the biggest recessions this country has ever had, we've seen the highest cuts, biggest cuts in public sector spend, and lots of social enterprises work in public sector space, so that's been really, really difficult" (Expert 8)

Dynamism and complexity were discussed in depth, while munificence received even more attention from multiple perspectives. The central point was emphasized that public services are subject to the trajectory of government policy, and as such can be unstable and difficult with changes in funding and delivery. The Public Services (Social Value Act) 2012 was noted as an attempt by government to recognise social and other values and to level the playing field between smaller organizations such as social enterprises and big private sector providers. However, from a commissioning perspective, there was said to be intention in the Act, but difficulties in its implementation. The shift to direct charging was identified as a dynamic that some social enterprises might not cope with. Tensions around spin-outs were also noted. Changes in government client bodies and their decision makers accompanied by a reluctance by the public sector to let go was another issue. Much of the complexity around social enterprise was related to lack of understanding on both demand and supply sides, which was in the process of being bridged. While there was said to be some improvement in political recognition of social enterprise, its value was considered yet to be proven and commissioners' knowledge was considered low. Furthermore, social enterprises themselves were seen as bad at explaining how they generate value. This situation raised difficulties, as while social enterprises were to be encouraged there was a commissioning, procurement, and delivery process to be operated by the public sector and social enterprises needed to be able to comply, especially regarding tendering.

Reduction in government funding was a central issue affecting munificence in public services. Local authority funding was one source of opportunity and constraint that was specifically identified. Some markets were said to be more competitive than others, given the diversity of communities and interests served. These markets ranged from those that were attractive to private sector providers, to near monopolies and situations where no-one else wanted to run the service. This variation in market competition was associated with the idea that social enterprises were suitable for niches. The degree of regulation in different sectors was a consideration. Contract size was noted as an issue affecting munificence for social enterprises. The large size of contracts relative to the commonly small size of social enterprises created a mismatch. This mismatch was often bridged by the mechanism of tiering of contracts, either with large private providers contracting with government bodies and then letting sub-contracts to smaller providers including social enterprises, or government bodies operating a tiering system with preferred and often larger contractors at the top and other smaller contractors lower down. Other ways of addressing the issue of size noted were loans and guarantees that are not always appropriate, consortia that could be hard to operate, and attempting to integrate contracts through a managing agent. Therefore, the public services

context was considered as particularly illustrative of the environment in which social enterprises operate.

External stakeholder groups were identified. Again, there was general and public sector stakeholders, but with some intertwining. The people being supported by a social enterprise were very important, with those around them such as family members and careers, also considered. The community was also important but less so. Social investors were highlighted, noting that they invest in the people behind social enterprises, who have a track record in whom they have confidence and so trust to set objectives and to measure performance. Some social investors did not know how social enterprise organizations run. Intermediaries were identified, such as trade associations and lobbying groups seeking to shape the view of social enterprise organizations particularly within government, and others focusing more on promoting individual agency. Government client bodies commissioning services on behalf of the people being supported were a consideration, acknowledging that they are subject to reorganization. In the quasi- government and government sectors, universities had a role in education, regulators in providing an element of control, and the government itself in taking an interest in social enterprise. Multiple stakeholder groups were roughly placed on concentric contours radiating out from focal social enterprise organizations.

5.1.6 Managerial layer

With regard to stakeholders, most attention was given to the managers and boards as internal stakeholders of social enterprises. Indeed, managers were identified as the most influential stakeholders.

 "… I always believe organizations are about the people who run them – that's it." (Expert 11)

Social enterprise organizations were linked to their managers as they needed people to make them work, and how a social enterprise is defined depended on the motivations of those who ran it.

Social enterprise managers were seen as different to managers of other kinds of organization, and as having different orientations between themselves. Different types of managers were considered necessary for different kinds of organization: types, industry sectors, scale, and life cycle. Social enterprise managers were considered to have some attributes in common with those in the private and charity sectors, with some qualitative differences, and sharing of similar values. Managers were seen as coming from social, business, and public sector backgrounds, and had differing views on their duties, with some being paid and others not.

The capability to speak the languages of the social, business and public sectors, and especially to combine social and commercial aspects was seen as relevant, which suggested

a mix of outlooks. Some capabilities identified were social and soft skills, associated with a non-dictatorial style, inspiring others, networking with customers, the community and wider, but ultimately not seeing business as trading. Other capabilities that were addressed revolved around focusing on business skills and outcomes, including understanding objectives, making trade-offs, dealing with uncertainty and finance, especially as social enterprises typically work in difficult markets. Managers tended to have lower financial literacy than in comparable businesses. Managers' lower financial skills were compounded by accountants' lack understanding of social enterprises. Other capabilities related to understanding industrial sector level systems, ideas and concepts and their use in motivating others, working for no reward, learning and innovation, and for CEOs especially, changing the pace of change, the mindset, and language.

Emotion underpinned the impact of managers as human beings. These emotions were mostly in the form of passion and drive, and sometimes manifested as distress due to failure. Motivation could come in the form of religion. Motivation in social enterprise was seen as different from the commercial world, but similar across social enterprises. However, there might be conflict between socially based emotions and the need to make business-like decisions. Consequently, there could be emotional tension within each manager.

Boards and their orientations were discussed. Board composition was addressed in the form of members backgrounds in business or social/community sectors.

"I guess you need people with other capabilities that come in from different backgrounds and do you accept those or do you want to stay purely in the social sector. And so there is tension in there as to who is part of your team as it were" (Expert 9)

Boards were expected to be performance driven and to focus on people such as the staff. Regarding workers, staff were identified as being crucial and volunteers as important. As a team, a mix of orientations was expected, although it was noted that this could lead to tensions. However, management groups might perform better than individuals, avoiding issues such as founder syndrome.

5.1.7 Overview of stage 1

An overview of the nature and content of each layer was undertaken. The organizational layer was the most influential layer. There was a variety of types of social enterprise organizations that can be defined by the combinations of configurational elements of social, control, finance and innovation. In order to perform well, social enterprises need to be business-like, although they tended to be strong at culture and social aims but poor at technical skills. The different kinds of social enterprise can be distinguished by their various approaches to combining social and financial elements and legal forms such as CIC. The management of the boundary between the organization and the environment is important. Commerciality to design and operate appropriate business models can help to insulate the organization from the environment. Within the organizational layer, workers in the form of staff and volunteers were important.

Organizational performance was considered an important topic. Performance of social enterprises was distinguished from their profiles, and there was not necessarily a connection between the two. The four configurational elements of social, control, financial, and innovation covered most static and dynamic performance criteria. It was considered crucial to trade off performance criteria, especially between social and financial elements. It was preferable to make performance comparisons by some common basis by type of social enterprise, as otherwise such comparisons are problematic.

In the environmental layer, the general environment for social enterprises was difficult with some areas of advantage creating niches. Services in public sector were illustrative of social enterprise environments. The external stakeholders that were identified were general and government-related with some intertwining between them.

Managers were considered to be the most influential stakeholders. In the managerial layer, the managers of social enterprises differed from those of other kinds of organization and differed from each other by organization type and by mix of social, business and public sector outlooks. Managers' emotion was mostly passion with some distress, which was linked to the tension between social and business elements. Teams of managers were thought to be advantageous compared to individual managers. However, it was acknowledged that tensions arise in management teams. Accordingly, managers were addressed in an agential way. Overall, different types of social enterprise organizations trade-off performance criteria in generally difficult but niched environments, with differences between managers.

The results of the first stage were used to make a preliminary appraisal of the scope of the conceptual framework that was the basis for the expert interviews. The majority of the experts'

comments fell within the concepts/themes of the framework, indicating reasonable coverage albeit of a general nature.

"I'm really, really pleased with the scope of your work – it seems good" (Expert 6)

There were few points raised that had no connection with the area under study, and no alterative frameworks offered. However, some aspects received more or less attention, showing that the framework's concepts/themes were of varying importance to the experts.

The results of this first stage were also used to inform the choice of the population of organizations to be studied for the second stage of plausibility probing in Phase 1 and the selection of comparative cases studies for Phase 2 of the fieldwork. The impact of the problematic nature of the definition of social enterprise organizations on the choice of organization population was considered with reference to the experts' identification of organizational types where there was relative clarity. Two alternatives stood out: social firms and CICs. CICs were selected over social firms because a listing of CICs was more readily publicly available due to their legal definition as a sub-set of companies, and they were less specialized, and were likely to emphasize "social business". Similarly, the difficulties of comparing performance across social enterprises suggested that case studies could be selected from CICs based on some conceptual similarities and differences and common demographics. This approach would address the challenge identified by one interviewee.

"You have a task ahead of you to get good case studies" (Expert 14)

Conceptual similarities and differences would be based on configurations, fits and fittings. Common demographics would be based on small operating organizations, locally based, reasonably young, with small teams of senior managers, providing similar services in the public sector. Consequently, it was decided that CICs would be targeted from which comparative cases could be selected,

5.2 RESULTS OF STAGE 2: CLUSTER SURVEY

5.2.1 Introduction to stage 2

The purpose of stage 2 was to provide further initial results concerning the plausibility of the conceptual framework and as to how the study could proceed. These initial results were obtained through the quantitative analysis of responses to a questionnaire, based on the conceptual framework. The responses were obtained from senior managers of CICs through sections of closed questions from standard instruments on an online survey platform. The cases were clustered for each trace. The logic for producing the clusters is shown in Appendix 5.3: Application of rules to obtain plausible clusters. A further sensitivity analysis was not undertaken as this probing phase was concerned with exploration. Generic terminology for configuration elements of protection, compromise, elimination, and opportunity has been used where appropriate alongside more practical equivalent terms of social, control, business, and innovation. These numerical cluster results provided an insight into CICs and their configurations.

The CICs invited to participate were selected by a form of stratified sampling by sector of active organizations. These CICs were emailed or sometimes tweeted through their senior managers or equivalent using contact information on their organizations' websites. Based on a listing of CICs obtained from Companies House, 13 batches of 100 CICs were considered, and of these, half were contactable. From those contacted, a sample of 70 usable responses were obtained. The response rate was 10%. A sample was obtained that was sufficiently large for cluster analysis.

The sample of CICs were profiled by sector, size, region, and age. Where appropriate these profiles were compared with results from Social Enterprise UK's (SEUK) State of Social Enterprise Survey 2015. Note that 20% of social enterprises were CICs according to SEUK (2015: 9) and of these there were three times more Companies Limited by Guarantee (CLG) than Companies Limited by Shares (CLS). Sectors in the sample are shown in Table 5.2: Sector profile of sample of CICs. The three most common sectors, which accounted for over half of the sample, were education, human health and social work activities, and art entertainment and recreation. The first two of these sectors were reflected as emphasis on education in SEUK (2015: 19) and on improving health and well-being in SEUK (2015: 37). In addition, trading with the public sector is the second most common main source of income for social enterprises (SEUK, 2015: 25). The size of CICs in the sample is shown in Table 5.3: Size profile by turnover and employees of sample of CICs. Almost two thirds of the sample had a modest turnover of £100,000 or less, while in SEUK (2015: 13) about half of social enterprise had this turnover. The number of employees in the sample of just over two thirds

micro (1-9), a quarter small (10-49), and medium (50-249) in single figures were similar to the social enterprises in SEUK (2015: 43). The locations of CICs in the sample is shown in Table 5.4: Regional location profile of sample of CICs. In the sample, three quarters of CICs operated in England, with the remaining quarter split between Scotland, Wales, Northern Ireland and UK wide. However, SEUK (2015: 15) suggested a more even distribution of social enterprises, albeit with a higher percentage in England. The age of the CICs in the sample are is shown in Table 5.5: Age since founding profile of sample of CICs. In the sample almost three-quarters of CICs are up to 5 years old, whereas in SEUK (2105: 12) just under half are in the same age bracket. Based on these results, the sample half of the CICs were focused on 3 sectors of which 2 are common, their small size was unsurprising, they were even more England-based than is usual, and even more of them were young compared to social enterprises in general. Consequently, the sample of CICs was considered sufficiently typical for cluster analysis.

Code	Name	Number out of 70	Equivalent percentage %
D	Electricity, gas, steam and air conditioning supply	1	1
E	Water supply, sewerage, waste management, and remediation activities	1	1
G	Wholesale and retail trade and motor repairs	2	3
H	Transportation and storage	2	3
I	Accommodation and food service activities	5	7
J	Information and communication	4	6
K	Financial and insurance activities	2	3
L	Real estate activities	3	4
M	Professional, scientific, and technical activities	5	7
N	Administrative and support service activities	1	1
P	Education	16	23
Q	Human health and social work activities	12	17
R	Art, entertainment and recreation	11	16
S	Other service activities	4	6

Table 5.2: Sector profile of sample of CICs

Size:	Number out of 70	Equivalent percentage %
Turnover (£ thousands)		
0-10	10	14
10-50	26	37
>50-100	10	14
>100-250	10	14
>250-500	5	7
>500-1m	3	4
1m-2.5m	6	9
Number of employees		
1-4	28	40
5-9	20	29
10-19	15	21
20-49	3	4
50-99	2	3
100-249	2	3

Table 5.3: Size profile by turnover and employees of sample of CICs

Region:	Number out of 70	Equivalent percentage %
London	7	10
South East	6	9
South West	6	9
East of England	4	6
West Midlands	11	16
East Midlands	3	4
Yorkshire and Humber	4	6
North West	6	9
North East	6	9
England	**53**	**76**
Wales	**3**	**4**
Scotland	**6**	**9**
N. Ireland	**0**	**0**
National	**8**	**11**

Table 5.4: Regional location profile of sample of CICs

Age:	Number out of 70	Equivalent percentage %
1 year	3	4
2 years	18	26
3 years	10	14
4 years	9	13
5 years	11	16
6 years	4	6
7 years	2	3
8 years	1	1
9 years	2	3
10 years	1	1
11+ years	9	13

Table 5.5: Age since founding profile of sample of CICs

The respondents were profiled by job title, and by demographic factors of gender, ethnicity, and age. These titles and factors are shown in Table 5.6: Profile of respondents by job title and demographics. Again, where appropriate these profiles were compared with results from Social Enterprise UK's (SEUK) State of Social Enterprise Survey 2015. Most respondents were CEOs or directors or equivalent. The respondents were almost evenly split between male and female, and this is similar to the SEUK (2015: 36) result that leadership of social enterprises were split 60/40 between male and female respectively. The majority of respondents were of white ethnicity with 10% BAME ethnicity, which reflects the SEUK (2015: 36) result of 12% of leaders of social enterprises that were of BAME ethnicity. Most respondents were more or less middle-aged, and a small minority were younger or older. Based on these results, the respondents were senior managers, who were balanced between male and female, mostly of white ethnicity, and middle-aged, which was typical compared with leaders of social enterprise in general.

	Number out of 70	Equivalent percentage %
Job title		
CEO or equivalent	33	47
Director or equivalent	30	43
Senior Manager or equivalent	6	9
Other	1	1
Gender		
Male	32	46
Female	38	54
Ethnicity		
Asian/Asian British	3	4
Black/African/Caribbean/Black British	4	6
White	62	89
Other ethnic group	1	1
Age		
18-25	1	1
26-34	6	9
35-44	19	27
45-54	24	34
55-64	18	26
65 and over	2	3

Table 5.6: Profile of respondents by job title and demographics

The results of numerical cluster analysis show similarities and differences in the sample CICs, and so takes a middle line between treating them as either homogenous or as completely heterogenous. In this study the clusters can be considered as configurations. The following sections consider some structural aspects in each of three layers, which are designated as traces. Three traces of the organizational layer are addressed: organizational culture, organizational performance outcomes, and organizational change strategy. Two traces of the environmental layer are considered: technical environment and munificence. In the managerial layer the single trace of management behaviour is dealt with. After the traces have been addressed in their respective layers, and overview that draws them together is provided.

5.2.2 Organizational layer – traces of culture, performance outcomes and change strategy

Organizational culture

Configurations in the organizational layer were considered through clusters of organizational culture as a trace. Cluster analysis of organizational culture resulted in 3 clusters. Cluster 1 comprised 33 cases, Cluster 2 comprised 12 cases, and Cluster 3 comprised 25 cases. The average score and range of scores for each of the four elements were calculated. These numerical results for the 3 clusters and their average cluster are shown in Table 5.7: Clusters/configurations in organizational culture. The result of converting these numerical results into graphical results are shown in Figure 5.1: Organizational culture clusters. Each cluster had configurational characteristics.

Cluster 1 was a configuration in which both the protection and opportunity elements were relatively dominant, and the elements of compromise and elimination were relatively subsidiary. This configuration of the elements is shown by relatively high average scores in the protection and opportunity elements, and relatively low average scores for the compromise and elimination elements. The resultant configurational shape of Cluster 1 was a trapezoid profile.

Cluster 2 was a configuration in which both the protection and compromise elements were relatively dominant, and the elements of elimination and opportunity were relatively subsidiary. This configuration of elements is shown by relatively high scores for protection and compromise elements, and relatively low average scores for elimination and opportunity. The resultant configurational shape of Cluster 2 was a trapezoid profile.

Cluster 3 was a configuration in which protection was dominant, the elements of compromise and opportunity were relatively subsidiary, and elimination was especially subsidiary. This configuration of the elements is shown by a relatively high average score for protection, relatively low average scores for compromise ad opportunity, and a particularly low average score for elimination. The resultant configurational shape of Cluster 3 was an extreme kite that was almost a triangle.

The similarities and differences between these configurational clusters were considered. The similarities were that the protection element was dominant, and the elimination element was subsidiary in all three clusters. The differences were the degree of relative emphasis on either or both elements of compromise and opportunity. The overall average of the 3 clusters was a kite profile that was dominant on the protection element, with subsidiary compromise and opportunity elements, and a more subsidiary elimination element.

Elements:	Protection	Compromise	Elimination	Opportunity	number of cases
Cluster 1 averages	**36.81**	**14.63**	**15.35**	**33.21**	**33**
Cluster 1 ranges	20.83-55.00	2.33-29.17	5.83-28.00	15.83-58.17	
Cluster 2 averages	**35.49**	**44.38**	**6.22**	**13.92**	**12**
Cluster 2 ranges	19.50-46.67	26.83-77.17	0.00-13.00	3.33-38.33	
Cluster 3 averages	**59.01**	**13.45**	**2.23**	**25.31**	**25**
Cluster 3 ranges	47.50-96.00	0-36.00	0.00-5.67	1.67-50.00	
Overall averages	**44.51**	**19.31**	**9.10**	**27.08**	**70**
Overall ranges	19.50-96.00	0.00-77.17	0-28.00	1.67-58.17	

Table 5.7: Clusters/configurations in organizational culture
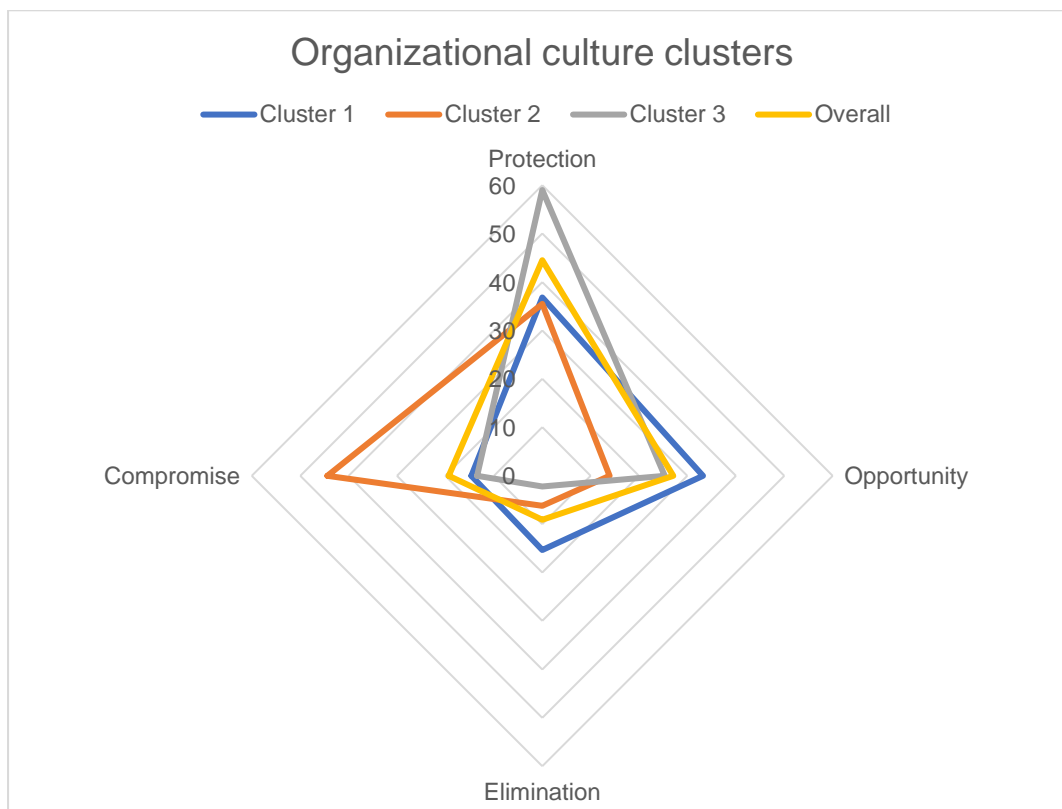
Figure 5.1: Organizational culture clusters/configurations

Organizational performance outcomes

Configurations in the organizational layer were also considered through clusters of organizational performance outcomes. Cluster analysis of organizational performance outcomes resulted in 3 clusters. Cluster 1 comprised 28 cases, Cluster 2 comprised 9 cases, and Cluster 3 comprised 33 cases. These numerical results for the 3 clusters and their average cluster are shown in Table 5.8: Clusters/configurations in organizational performance outcomes. The result of converting these numerical results into graphical results are shown in Figure 5.2: Organizational performance outcomes clusters. Each cluster had configurational characteristics.

Cluster 1 was a configuration in which all four elements of protection, compromise, elimination, and opportunity had similar intermediate dominance. The configuration of the elements is shown by similar average scores for each of the elements. The resultant configurational shape was approximately square in profile.

Cluster 2 was a configuration in which the opportunity element was most dominant, the compromise element was less dominant, the protection element was subsidiary, and the elimination element was even more subsidiary. This configuration of element is shown by a relatively high score for opportunity, a lower but still relatively high score for compromise, a lower score for protection, and an even lower score for elimination. The resultant configurational shape of Cluster 2 was an uneven kite profile, tending towards an uneven triangle.

Cluster 3 was a configuration in which the protection element was dominant, the compromise and opportunity elements were relatively subsidiary, and the elimination element was especially subsidiary. This configuration of the elements is shown by a relatively high average score for protection, relatively low average scores for compromise and opportunity, and a particularly low average score for elimination. The resultant configurational shape of Cluster 3 was a kite.

The similarities and differences between these configurational clusters were considered. The similarities were that the elimination element was not dominant in any of the clusters. The differences were that each of the three clusters had varying degrees of dominance on the elements of protection, compromise and opportunity. The overall average of the 3 clusters was an uneven quadrilateral profile, close to a trapezoid, that was dominant on protection and opportunity elements, subsidiary on the compromise element, and even more subsidiary on the elimination element.

Elements:	Protection	Compromise	Elimination	Opportunity	number of cases
Cluster 1 averages	**24.29**	**21.85**	**23.01**	**30.86**	**28**
Cluster 1 ranges	0-38.33	7.83-34.50	8.33-46.33	16.67-52.33	
Cluster 2 averages	**14.56**	**31.09**	**5.41**	**48.94**	**9**
Cluster 2 ranges	5.33-19.67	15.83-45.83	0.00-10.67	26.67-76.00	
Cluster 3 averages	**45.66**	**20.98**	**8.42**	**24.93**	**33**
Cluster 3 ranges	29.67-100.00	0.00-47.67	0.00-20.00	0.00-43.50	
Overall averages	**33.11**	**22.63**	**13.87**	**30.39**	**70**
Overall ranges	0-100.00	0-47.67	0-46.00	0-76.00	

Table 5.8: Clusters/configurations in organizational performance outcomes
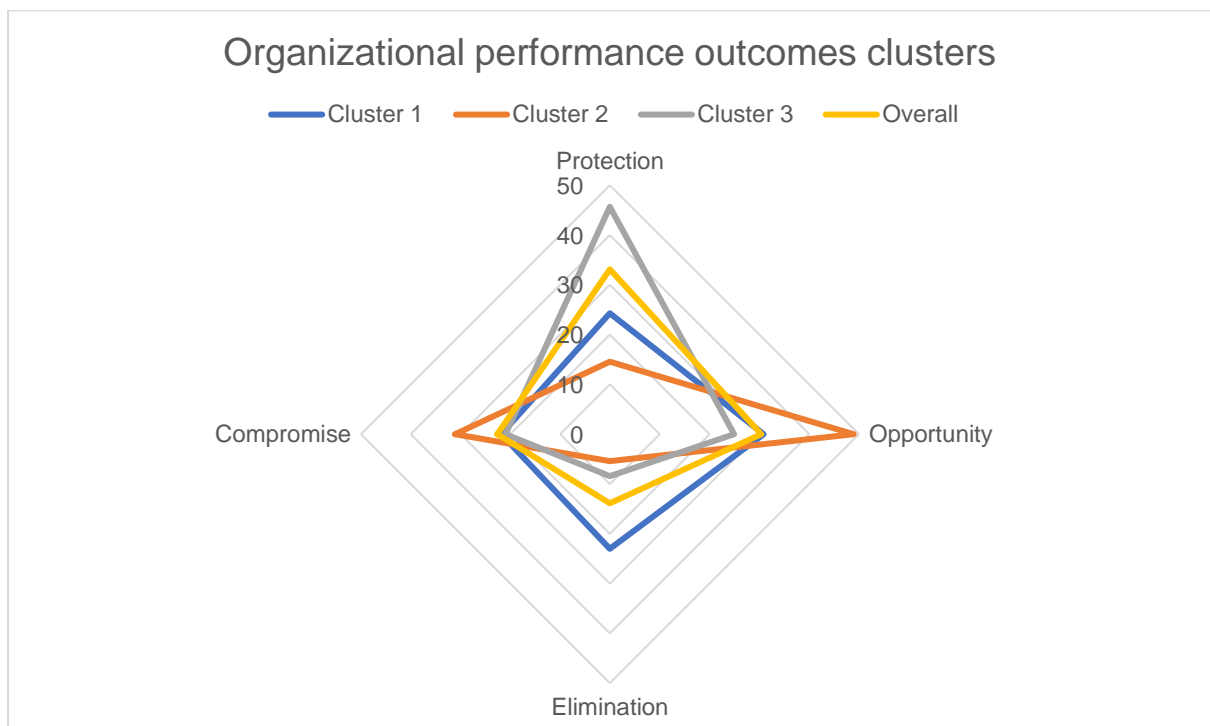
Figure 5.2: Organizational performance outcomes clusters/configurations

Organizational change strategy

Configurations in the organizational layer were also considered through clusters of organizational change strategy, which provided an additional dimension on the organizational layer and an indication of the organizations' directions. Cluster analysis of organizational change strategy resulted in 3 clusters. Cluster 1 comprised 26 cases, Cluster 2 comprised 35 cases, and Cluster 3 comprised 9 cases. The numerical results for the 3 clusters and their average cluster are shown in Table 5.9: Clusters/configurations in organizational change strategy. The result of converting these numerical results into graphical results is shown in Figure 5.3: Organizational change strategy clusters. Each cluster had configurational characteristics.

Cluster 1 was a configuration in which the protection and opportunity elements were relatively dominant compared to the more subsidiary compromise and elimination elements. The configuration of the elements is shown by relatively high average scores for protection and opportunity and relatively low average scores for compromise and elimination. The resultant configurational shape was a near trapezoid.

Cluster 2 was a configuration in which the four elements were close to being equal, with the compromise and opportunity elements slightly more dominant than the protection and elimination elements. This configuration of the elements is shown by their similar average scores, with slightly higher scores for compromise and opportunity. The resultant configurational shape was a near rhombus.

Cluster 3 was a configuration in which protection element was most dominant, the compromise and opportunity elements were relatively subsidiary, and the elimination element was especially subsidiary. This configuration of the elements is shown by a relatively high average score for protection, relatively low average scores for compromise and opportunity, and a particularly low average score for elimination. The resultant configurational shape of Cluster 3 was an elongated kite, tending towards a triangle.

The similarities and differences between these configurational clusters were considered. The similarities were that the elimination element was not dominant in any of the clusters. The differences were that each of the three clusters had varying degrees of dominance on the elements of protection, compromise and opportunity. The overall average of the 3 clusters was close to an isosceles trapezoid, that was somewhat more dominant on the protection and opportunity elements relative to the compromise and elimination elements.

	Protection	Compromise	Elimination	Opportunity	number of cases
Cluster 1 averages	**30.23**	**15.06**	**17.69**	**37.02**	**26**
Cluster 1 ranges	10.00-48.83	5.33-21.00	4.17-40.00	29.33-60.50	
Cluster 2 averages	**22.86**	**28.38**	**21.79**	**26.97**	**35**
Cluster 2 ranges	3.83-36.67	18.17-60.00	8.67-32.83	16.17-39.33	
Cluster 3 averages	**48.48**	**20.93**	**9.39**	**21.20**	**9**
Cluster 3 ranges	32.50-100.00	0.00-32.67	0.00-22.00	0.00-34.17	
Overall averages	**28.89**	**22.47**	**18.67**	**29.96**	**70**
Overall ranges	3.83-100.00	0.00-60.00	0.00-40.00	0.00-60.50	

Table 5.9: Clusters/configurations in organizational change strategy
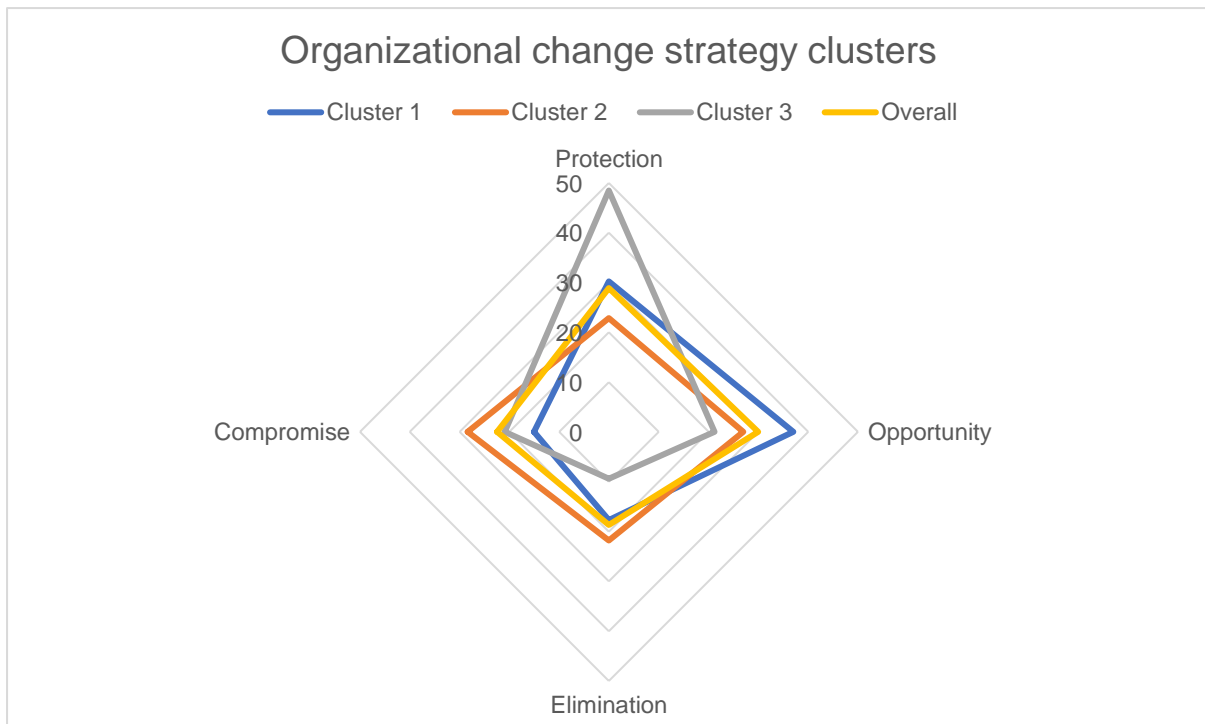
Figure 5.3: Organizational change strategy clusters/configurations

5.2.3 Environmental layer – traces of task environment and munificence

Configurations in the environmental layer were considered as two traces: firstly, the task environment comprising dynamism and complexity elements, and secondly and separately the element of munificence. The environmental layer was addressed in this way, as while dynamism is most relevant in this study, it was linked with complexity as the two dimensions of the task environment, and munificence was added for probing purposes and partly in response to the results of the expert interviews. The task environment with dynamism and complexity elements is addressed first followed by munificence.

Task environment

Cluster analysis of the task environment resulted in 4 clusters. Cluster 1 comprised 26 cases, Cluster 2 comprised 17 cases, Cluster 3 comprised 10 cases, and Cluster 4 comprised 17 cases. The average score and range of scores for the two elements for each of the clusters were calculated. These numerical results for the 4 clusters and their average cluster are shown in Table 5.10: Clusters/configurations in task environment. The result of converting these numerical results into graphical results are shown in Figure 5.4: Task environment clusters. Each cluster had configurational characteristics.

Each task environment cluster was defined in terms of dynamism and complexity. Cluster 1 had intermediate and close to equal dynamism and complexity. Cluster 4 also had close to equal dynamism and complexity, although both were relatively dominant. Cluster 2 had dominant dynamism and intermediate complexity. Cluster 3 had intermediate dynamism and dominant complexity. These degrees of dominance for 4 clusters were shown by the scores for dynamism and complexity. While no shape was appropriate, the comparison between dynamism and complexity can be seen from the bar chart in Figure 5.4: Task environment clusters.

	Dynamism	Complexity	number of cases
Cluster 1 averages	**56.17**	**50.01**	**26**
Cluster 1 ranges	31.40-65.80	20.00-60.00	
Cluster 2 averages	**71.13**	**45.88**	**17**
Cluster 2 ranges	65.80-80.00	33.40-53.40	
Cluster 3 averages	**51.14**	**73.30**	**10**
Cluster 3 ranges	48.60-57.20	66.60-100.00	
Cluster 4 averages	**70.44**	**70.96**	**17**
Cluster 4 ranges	62.80-85.80	66.60-93.40	
Overall averages	**62.55**	**57.42**	**total 70**
Overall ranges	31.40-85.80	20.00-100.00	

Table 5.10: Clusters/configurations of task environment
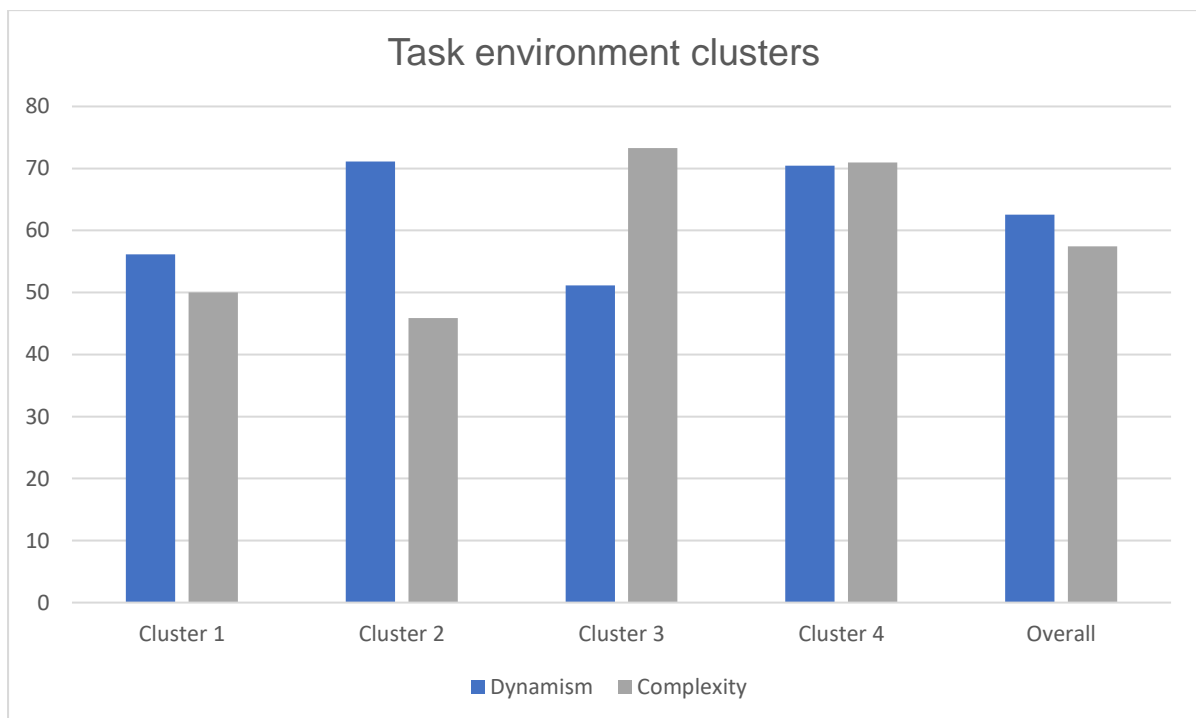
Figure 5.4: Task environment clusters/configurations

Munificence

Cluster analysis of environmental munificence resulted in 3 clusters. Cluster 1 comprised 30 cases, Cluster 2 comprised 14 cases, and Cluster 3 comprised 26 cases. Again, the average score and range of scores for the one element for each of the clusters were calculated. These numerical results for the 3 clusters and their average cluster are shown in Table 5.11: Clusters/configurations of environmental munificence. The result of converting these numerical results into graphical results are shown in Figure 5.5: Environmental munificence clusters. Each cluster had configurational characteristics.

Each environment cluster was defined in terms of munificence. Cluster 1 had intermediate munificence, Cluster 3 had dominant munificence, and Cluster 2 lay between the other two clusters. The degrees of dominance were shown by the scores for munificence. While no shape was appropriate, the relative degrees of munificence for each cluster can be seen from the bar chart in Figure 5.5: Environmental munificence clusters.

	Munificence	number of cases
Cluster 1 averages	47.07	30
Cluster 1 ranges	28.00-56.00	
Cluster 2 averages	60.00	14
Cluster 2 ranges	60.00-60.00	
Cluster 3 averages	72.77	26
Cluster 3 ranges	64.00-92.00	
Overall averages	59.2	total 70
Overall ranges	28.00-92.00	

Table 5.11: Clusters/configurations of environmental munificence
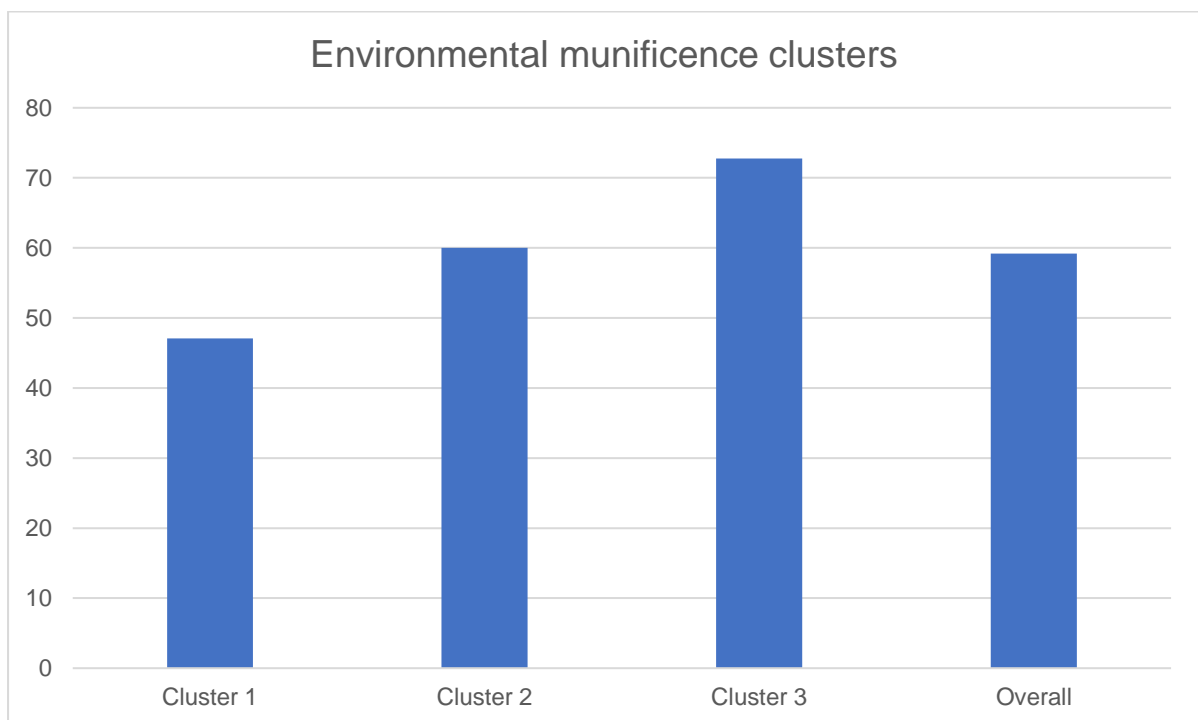
Figure 5.5: Environmental munificence clusters/configurations

5.2.4 Managerial layer – trace of management behaviour

Configurations in the management layer were considered through clusters of management behaviour as a trace. Cluster analysis of management behaviour resulted in 3 clusters. Cluster 1 comprised 27 cases, Cluster 2 comprised 15 cases, and Cluster 3 comprised 28 cases. The average score and range of scores for each of the four elements were calculated. These numerical results for the 3 clusters and their average cluster are shown in Table 5.12: Clusters/configurations management behaviour. The result of converting these numerical results into graphical results are shown in Figure 5.6: Management behaviour clusters. Each cluster had configurational characteristics.

Cluster 1, Cluster 2 and Cluster 3 were all dominant on all four configuration elements of protection, compromise, elimination, and opportunity. This configuration of elements is shown in the similar and high scores for each cluster. The resultant configurational shapes of each cluster are close to square profiles.

The similarities and differences between these configurational clusters were considered. The similarities were that all three clusters were dominant on all four elements. There were some minor differences between the configurational clusters. However, their similarity was notable. The overall average of the 3 clusters was an almost square profile that was dominant on all four elements.

	Protection	Compromise	Elimination	Opportunity	number of cases
Cluster 1 averages	**81.98**	**81.96**	**74.19**	**82.35**	**27**
Cluster 1 ranges	73.40-90.00	73.40-93.40	50.00-86.60	73.40-90.00	
Cluster 2 averages	**69.57**	**68.65**	**62.65**	**76.67**	**15**
Cluster 2 ranges	53.40-83.40	53.40-86.60	46.60-70.00	66.60-90.00	
Cluster 3 averages	**93.56**	**92.49**	**86.78**	**95.25**	**28**
Cluster 3 ranges	86.60-100.00	76.60-100.00	66.60-100.00	90.00-100.00	
Overall averages	**83.95**	**83.32**	**76.75**	**86.29**	**70**
Overall ranges	53.40-100.00	53.40-100.00	46.60-100.00	66.60-100.00	

Table 5.12: Clusters/configurations in management behaviour
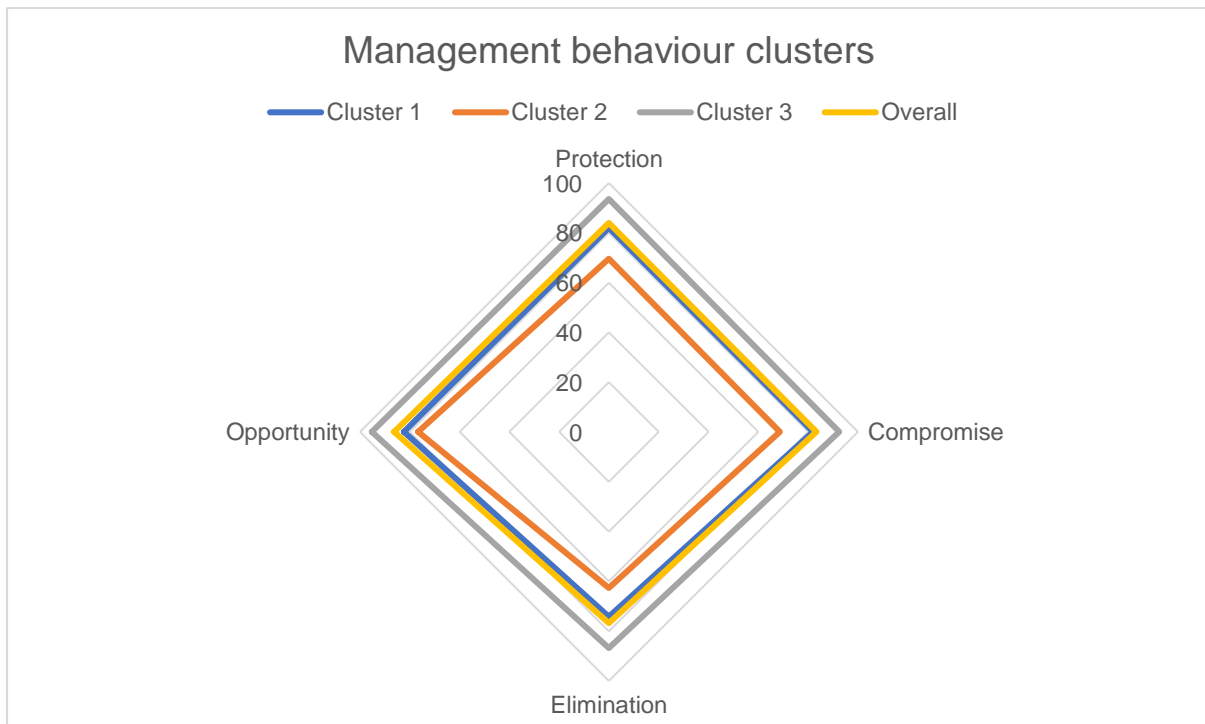
Figure 5.6: Management behaviour clusters/configurations

5.2.5 Overview of stage 2

Cluster analysis resulted in 3 or 4 clusters/configurations being identified for each trace. As the CICs were all operational, these clusters/configurations indicated that there was a degree of equifinality in the sample. The clusters/configurations were compared by the similarities and differences between them in each layer and then an overview was undertaken.

In the organizational layer, clusters/configurations were identified in the three traces of organizational culture, organizational performance outcomes, and change strategy. Based on overall averages in the aspects, protection and opportunity elements were dominant relative to compromise and elimination elements. This overall average configuration of elements corresponded with the tendency of relatively small and young organizations, which were characteristics of the sample of CICs. Furthermore, at the overall average level, it was notable that the elimination element was the most subsidiary. From this perspective the sample of CICs were not very business-like in general. Moreover, each aspect had one cluster/configuration where protection was particularly dominant, compromise and opportunity elements were subsidiary, and the elimination element was very much subsidiary. Consequently, there was a cluster of CICs in each aspect that particularly emphasized the social element and de-emphasized the business element. Beyond this, other clusters in the three aspects adopted different configurations of elements. These different configurations indicated alternative approaches by clusters of CICs.

In the environmental layer, clusters/configurations were identified in the two traces of technical environment and munificence. In the technical environment clusters/configurations, the degrees of dominance in their elements of dynamism and complexity both varied from intermediate (i.e. around a mid-point of the scale) to reasonably dominant (i.e. between the mid-point and the upper end of the scale). However, these degrees of dominance of dynamism and complexity in the technical environment were combined in different ways in the clusters/configurations. Likewise, the separate single environmental element of munificence had clusters/configurations that varied from intermediate to reasonably dominant. These configurations indicated that the CICs were generally operating in environments that were challenging to different extents and in different ways.

In the managerial layer, the clusters/configurations for the single aspect of management behaviour were similar to each other. The clusters/configurations were each equally dominant on all four elements. The differences between the clusters/configurations were small. Indeed, while cluster analysis enabled clusters/configurations to be driven out of the data, they were in effect the same cluster/configuration. This similar configuration/s indicated that managers sought to balance their effort equally into all four elements, in a form of each way bet.

A tentative and necessarily limited overview of 5 of the traces of the cluster analysis was also sought. The starting point was an overall cluster analysis. In this analysis the organizational layer was represented by the organizational culture trace, the environmental layer by the technical environment trace, and the managerial layer by the management behaviour trace. These three traces of the layers were combined through an overarching cluster analysis that resulted in 3 clusters. The clusters contained the following numbers of cases: Cluster 1 – 14 cases; Cluster 2 – 28 cases; and Cluster 3 – 28 cases. The relative looseness/tightness of fit for each of the cases within their respective clusters was assessed as the difference between each case's score and the centre of their specific cluster. This approach assumed that cases nearest to their cluster's centre had closer fits and was a proxy for fit.

Then three kinds of performance were considered. Firstly, at the time of the investigation all 70 cases existed as operational entities, and so were at least above the survival threshold. Secondly, efficacy was considered – i.e. the extent to which a case is doing what it intends to do – a proxy for which is the difference between the scores for organizational culture and for organizational performance outcomes. Thirdly, effectiveness was considered – i.e. the extent to which a case is meeting its longer-term aim – a proxy for which is the social/protection score in organizational performance outcomes. The proxies for efficacy and effectiveness were combined into a performance rating. This approach assumed that the proxy performance rating would be an indicator of the degree of organizational performance.

Lastly, change strategy was considered. As change strategy had already been clustered, each cases cluster was noted directly.

The result of this overview is summarized in Figure 5.7: Layers cluster fit, performance rating and change strategy clusters with an associated key. Each numbered case is colour coded by its layers cluster and is plotted by its proxies of layer cluster fit and performance rating. Each case's change strategy cluster appears next to its case number. The figure shows cases distributed across all four quarters with no apparent pattern, emphasizing the need for further investigation through the comparative cases.
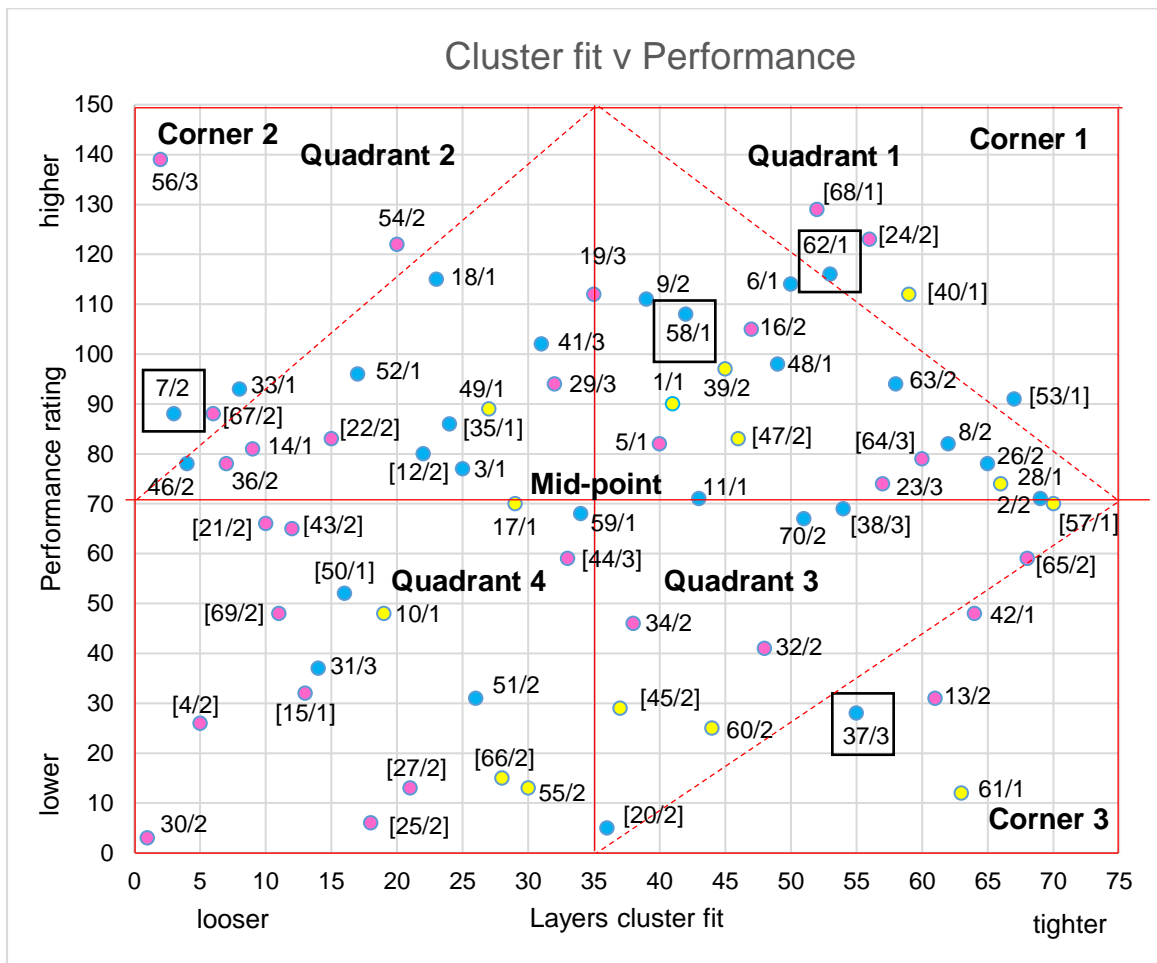
Figure 5.7: Layers cluster fit, performance rating and change strategy clusters

Key for Figure 5.7:

Case numbering	
X/Y	case identification number/change strategy cluster
Colour coding	Layers clusters based on organizational culture, technical environment and management behaviour
🟡	Cluster 1
🔴	Cluster 2
🔵	Cluster 3

Figure 5.7: Layers cluster fit, performance rating and change strategy clusters was the starting point for selecting cases studies for further investigation. Four case studies were to be selected in two pairs by selecting to similarity and selecting to difference. Selecting to similarity required two cases in Quadrant 1 that had different degrees of tighter layers cluster fit and higher performance rating. This pair was tentatively classified as performing as expected at this stage or the investigation. Selecting to difference required two cases – one in Quadrant 2 and one in Quadrant 3 – i.e. looser layers cluster fit and higher performance, and tighter layers cluster fit and lower performance, respectively. This pair was tentatively classified as not performing as expected at this stage of the investigation. Quadrant 4 was not relevant for this study.

The selection process for the four case studies is set out in Table 5.13: Case studies selection. Firstly, exclusion criteria were applied to the complete list of potential cases in the cluster survey, which reduced the number of cases significantly and resulted in a long list of possible cases. Then inclusion criteria were used to identify a short list of probable cases comprising four first and second choice pairs: cases 16 & 62; 58 & 48; 7 & 33; 37 & 42. The first-choice cases in each pair were approached through their chief executives or equivalents. Three out of four first choices agreed to participate as cases studies: 58, 7 and 37. Case 16 declined but the second choice of 62 agreed. This resulted in a final selection of cases.

Step	Description and criteria	Number of cases
Complete list	All potential case studies from cluster survey	70
exclusion criteria	• not accessible – i.e. not prepared to be contacted again about the research • in Quarter 4 – i.e. low cluster fit and low performance • too neutral – not sufficiently distinctive • 'outlier' cases – inappropriate for various reasons e.g. distant geographical location • too young – i.e. not 3 or more years old	excluded 52
Long list	Possible case studies	18
inclusion criteria	• closeness, but not extreme proximity, to Corner 1 and mid-point for select to similarity pair of cases in Quadrant 1 • closeness, but not extreme proximity, to Corners 2 and 3 in Quadrants 2 and 3 respectively for select to difference pair of cases • same layers cluster • change strategy cluster/s as found • demographic similarities: size – SME tending towards small; sector – well-being as overlap between education and health; region – "heart of England" as broad area in central part of England in which cases operated; plus service providers in the public sector and operating organizations	reduced by 10
Short list	Probable case studies	8
consent criterion	• agreement or not by CEOs of case studies	
Final selection	Confirmed case studies	4

Table 5.13: Case studies selection

The final selection of cases conformed to both the theoretical and demographic inclusion criteria. Cases 62 and 58 were in different appropriate positions in Quadrant 1, case 7 was in an appropriate position in Quadrant 2, and case 37 was in an appropriate position in Quadrant 3. All four cases were in layer cluster 3. While as found and so fortuitous, the pair of cases 62 and 58 were both in change strategy cluster 1, case 7 was in change strategy cluster 2, and case 37 was in change strategy cluster 3.

The demographics for all four cases in the final selection were similar. By size the cases were SMEs tending towards small. By sector the cases provided well-being services as overlap between education and health. By region the cases operated in the "heart of England" as broad area in central part of England. Furthermore, the cases all provided services in the public sector and were operating organizations i.e. deliverers of services rather than managers of organizations that delivered services. The cases in the final selection are highlighted by

being shown in black squares in Figure 5.7: Layers cluster fit, performance rating and change strategy clusters.

This final selection of cases 62, 58, 7, and 37 was made on the assumption of all else being equal. However, the case studies in Phase 2 of the investigation was in part to test this assumption. Indeed, the pairing of cases was change to 62 with 7, and 58 with 37, and they were eventually designated case studies 1-4 respectively.

Summary

To summarize Phase 1 of the fieldwork, overviews of the results of Stage 1 and Stage 2 were compared and contrasted. This is encapsulated in Table 5.14: Summary of plausibility probing. The summary is addressed layer by layer.

In the organizational layer there was a general similarity between the results, a difference that led to paradox, and qualitative differences. The principal similarity was that there were social enterprise types and configurations, which had commonalities and distinctions. The main paradox was that social enterprises needed to be business-like to perform well, yet they were strong at culture and social aims and poor at technical skills and the sample of CICs were not very business-like. Qualitatively, management of the boundary between the organization and the environment was important, and commerciality was a way of insulating the organization. Furthermore, staff and volunteers were important stakeholders.

Regarding organizational performance, there were similarities of scope and a qualitative difference. One scoping similarity was that the 4 element configurations of protection/social, compromise/control, elimination/business, and opportunity/innovation, provided a common basis covering most of performance criteria. Secondly, there were trade-offs made between pairs of element criteria: social/financial and control/innovation. Qualitatively, performance comparison was needed by type of social enterprise.

In the environmental layer, there was an overall similarity but qualitative differences. In general, there was agreement that environments were challenging and variable. Qualitatively these environments were niched, with some areas of advantage. Furthermore, services in the public sector provided an illustrative environment, where general and government related stakeholders were relevant.

In the managerial layer, there was a basic similarity and differences, one of which led to another paradox. Overall, managers acted over the range of configuration elements. The paradox was that managers differed but also showed significant similarity. Management teams were principal stakeholders, with collective tensions and personal emotional tension between passion and distress.

Overall there was similarity where the results of the two stages converged and there was divergence and difference. Generally, there was agreement in the diversity in organizations and their performance within difficult environments, and the conceptual framework drew out these similarities and differences. Differences indicated that while there is a general environment, it is niched. Furthermore, managers' approaches were paradoxically different and similar. The similarities and differences from this phase of fieldwork were generalized on

one hand and specific but by proxy on the other. This provided further impetus for the comparative case studies that built the plausibility of theoretical generalization and moved further from the typical to the characteristic. These four comparative case studies were selected to similarity and to difference, all else being equal, from the CIC sample, and used mixed methods.

Initial results	Part 1: Expert interviews	Part 2: Cluster survey	Comment: compare/contrast
conceptual framework:			
organizational layer	• variety of types of social enterprise comprising combinations of elements, and social and financial approaches and legal forms • need to be business-like to perform well, yet strong at culture and social aims and poor at technical skills • management of organizational/ environmental boundary important and commerciality helps to insulate organizations from environment • workers important – staff and volunteers	• organizational configurations based on 4 elements • organizational culture configurations – providing a more static view – on average protection element is dominant, compromise and opportunity elements subsidiary, and elimination element particularly subsidiary • change strategy configurations – providing a more dynamic view – on average relatively even dominance of elements	• similarity: some similarities and differences in social enterprise configurations • difference: paradox that social enterprises need to be business-like to perform well, yet strong at culture and social aims and poor at technical skills and sample of CICs are not very business-like • difference: boundary management includes commercial insulation • difference: staff and volunteers are important stakeholders
organizational performance	• 4 elements cover most static and dynamic criteria • criteria trade-offs crucial, especially between social and financial • preferable to make performance comparisons on common basis by type of social enterprise	• organizational performance outcome configurations based on 4 elements • performance configurations vary on the 4 elements • performance configurations trade-off the elements both between social and financial and between control and innovation criteria	• similarity: 4 element configurations provide a common basis covering most performance criteria • similarity: trade-offs made between pairs of criteria – social/financial and control/innovation • difference: performance comparison needed by type of social enterprise
environmental layer	• general environment difficult with some areas of advantage creating niches • services in public sector illustrative of social enterprise environments • external stakeholders intertwine general and government related	• environments challenging to various extents in different ways • technical environment configurations combine different degrees of intermediate and dominant dynamism and complexity • munificence configurations different degrees of intermediate to dominant	• similarity: challenging and variable background environments • difference: some areas of advantage and niches • difference: services in public sector illustrative of environment • difference: general and government related stakeholders

Initial results	Part 1: Expert interviews	Part 2: Cluster survey	Comment: compare/contrast
managerial layer	• social enterprise managers differ from those of other kinds of organization, and differ from each other by organization type and by mix of social, business and public sector outlooks • managers most influential agents, with emotion mostly passion with some distress linked to social/business tension • teams advantageous compared to individuals, but then tensions arise	• management behaviour configuration/s dominant on all 4 elements	• similarity: managers' act on a range of elements • difference: paradox that managers differ but show significant similarity • difference: management teams are principal stakeholders, with collective tensions and personal emotional passion/distress tension
overview	• types of social enterprise organizations trade-off performance criteria in generally difficult but niched environments with differences between managers • scope of the framework was satisfactory and studying CICs and selecting case studies from them was justifiable	• clusters of CIC organizations adopted different configurations and had variable performance configurations in variably challenging environments with similar management behaviours • cross-layer configurations fit proxy v performance rating proxy differentiate CICs in sample	• similarity: diversity in organizations and performance with difficult environments • difference: environment general and niched; managers' approaches different and similar • similarity: framework draws out similarity and difference • difference: similarities and differences are generalized or specific but by proxy and so give impetus for case studies
research process:			
methods	• qualitative expert interviews using semi-structured questions	• quantitative cluster survey using online platform with standard instruments	• comparative case studies using mixed methods
population	• 14 experts - definition of social enterprise is problematic • easier to define CICs and social firms	• sample of 70 CICs • sample organizations and their senior manager respondents typical of social enterprises	• 4 comparative case studies drawn from CIC sample • Selection to similarity and to difference, all else being equal

Table 5.14: Summary of plausibility probing

CHAPTER 6: RESULTS OF PHASE 2 - PLAUSIBILITY BUILDING: PAIR OF HIGH PERFORMING CASES

6.1 INTRODUCTION

If you think adventure is dangerous, try routine, it's lethal

Paulo Coelo (1947 -)

It is the theory that describes what we can observe

Einstein (1879 – 1955)

Everything has beauty, but not everyone sees it

Confucius (551 - 479 BC)

The relation between what we see and what we know is never settled

John Berger (1926 – 2017)

The Good, the Bad and the Ugly

1966 film title – directed by Sergio Leone (1929 – 1989)

Using the metaphor of a journey for research, the results are what has been seen along the way. The plausibility probing results in the previous chapter (Chapter 5) were what was tentatively observed. Having made these more tentative observations, the plausibility building results in this chapter (Chapter 6) and the next one (Chapter 7) are more assured. There is, however, an element of adventure. From a Critical Realist (CR) perspective the observations relate to structures and mechanisms, and in this study, this means configurations and fits, and so fittings. These configurations, fits and fittings are the theory that describes the observations. As CR is concerned with not only the empirical, but also the actual and the real where the structures and mechanisms operate, different combinations of configurations, fits and fittings can lead to different events or performance – this is a CR view of equifinality and a particular view that is being taken here. Of course, the relationship between the observations and themes with theory and concepts is never ending.

Similarities and differences between the case studies are shown in Table 6.1: Profile of case studies. The results of the case studies are presented in two pairs, which cover different degrees of organizational performance. Chapter 6 deals with Case 1 and Case 2 that dealt with CIC 1 and CIC 2 respectively, which both showed high performance. Chapter 7 deals with Case 3 and Case 4 which concern CIC 3 and CIC 4 respectively, which showed low

performance. Consequently, this chapter is concerned with CICs that have been high performing.

The results are set out case-by-case. The main sections in each case study are based on the principal linked concepts and themes that address each of the connected research questions. Configurations addressed the first question of under what circumstances social enterprise organizations perform well. Fits deals with the second question why these configurations explain social enterprises performing well. Fittings focuses on the third question of how managers act to maintain and/or change configurations and their fits so that social enterprises perform well. The data that was analyzed for Cases 1-4 are listed in Appendices 6.1-6.4 appendices, which also provide comment on the board directors and other senior managers who participated. The results for each case study are set out in the following order: configurations and fits – qualitative results; configurations and fits – quantitative results; and fittings – qualitative results.

The configurations and fits – qualitative results were drawn primarily from the analysis of interviews with board directors and other senior managers as appropriate to each case, except where noted as having been obtained from the analysis of documents or observations. Accordingly, there was a degree of data triangulation, as the interviews and observations were primary data and the documents were secondary data. While there was some quantitative data, mainly in the documents, this was largely used in a qualitative way and helped calibration in some areas. The configurations and fits were addressed at a conceptual point in time (the "present"), although in practice the data covered a collection period of 2015-2016. The configurations and fits were set out layer by layer (and sub-layers), showing interactions between structural and agential modes within and between layers as they arose. The organizational layer is followed by the environmental layer, and then the managerial layer.

The configurations and fits - quantitative results were drawn from the analysis of questionnaires completed by board directors and other senior managers as appropriate to each case. The configurations and fits were addressed at a conceptual point in time (designated the "present"), although again in practice the data covered a collection period of 2015-2016. Note that the layers addressed here are a simplification. From a structural viewpoint, in the organizational layer only the operating organization is addressed; in the environmental layer only the technical/operating environment is addressed; and in the managerial layer all the respondents are treated as a team. From an agential viewpoint, the focus is solely on the management team of directors and other senior managers.

The configurations and fits – quantitative are set out for configurations and then for fits. For configurations, the degrees of dominance of configurational elements for the structural mode

are followed by those for the agential mode. For the fits, the degrees of configuration element fits are set out in the following order: structural mode – within configurations, within layers, and then between layers; agential mode; and then between structural and agential modes. Supplementary configurations and fits were also investigated. The supplementary configurations and their fits in terms of similarity and dissimilarity were addressed together. The supplementary configurations and their associated fits relate to the agential mode, as they concern the characteristics of the management team. Note that management ethics and emotion were considered as a supplementary to management reflexivity, as the focus of the study was cognitive. These supplementary configurations and fits cover management demographics, preferred team roles, ethics and emotion. The numerical tables are accompanied by text.

The fittings – qualitative results were also drawn primarily from the analysis of interviews with board directors and other senior managers as appropriate to each case, except where noted as having been obtained for the analysis of documents or observations. Fitting was addressed over two main conceptual periods in relation to the CICs – the "past" which in practice was generally 2012-2014, and the "future" which in practice was 2017-2018. However, a third period of "pre-history" was added prior to the launch of each CIC, i.e. generally pre-2012, because of the relevance of predecessor organizations. The fittings are set out by time periods under each of the main layers of organizational, environmental and managerial, although there are links between them. A by exception approach is taken relative to the previous sections that addressed the "present" i.e. 2015/16. This tends to (over-)emphasize changes and assumes that all else was maintained.

Criterion	similarity between cases	Case 1 - specific nature	Case 2 - specific nature	Case 3 - specific nature	Case 4 - specific nature
social enterprise organization	Community Interest Company (CIC)	Company Limited by Guarantee (CLG)	Company Limited by Guarantee (CLG)	Company Limited by Guarantee (CLG)	Company Limited by Guarantee (CLG)
broad service sector	well-being	public engagement, research and insight, and complaints and advocacy in health	children's sports and PE	training for vulnerable children and adults	training about children's online safety and/or anti bullying
SIC sectors	delivery organization rather than management only	market research and public opinion polling; and data processing, hosting and related activities	other sports activities	other education	other education
region	"heart of England"	locality	urban	urban	schools in "heart of England" and social workers in another region of the UK
customer sector	public sector	local authority and National Health Service (NHS)	state schools	local authority, schools, and criminal justice system	state schools and social workers
age	3 years plus as at 2015/16	launched 2012	launched in 2011	launched in 2012	launched in 2012
model	embedded – synonymous business activities and social programmes	contracts for Healthwatch and other related activities	pooled funding and membership to organize schools sports	contracts and funding to deliver training to vulnerable children and adults	fees to provide sessions to train pupils and social workers in online safety and anti-bullying for children
size	SME	small	small	small	small
board	small team	5 directors plus Chief Executive (CE)	4 directors plus operational director	3 directors plus 1 manager	3 directors with lead director acting as operational director

Table 6.1: Profile of case studies

6.2 CASE 1 RESULTS: CONFIGURATIONS, FITS AND FITTINGS

6.2.1 CONFIGURATIONS AND FITS – QUALITATIVE RESULTS

Organizational layer

As an operating organization, CIC 1 was focused on public engagement in healthcare and Healthwatch in particular. The organizational culture of CIC 1 was mixed. The degree of process the organization employed was notable, particularly compared with small charities that had also been operating for around 3 years. Attention to process was illustrated by financial and commercial processes of getting money in, paying staff wages, and acquiring a forward order book. However, at the same time, the community focus was being maintained.

"Our view is that we have gone past that romantic idyll" (Director 1)

Consequently, the organizational culture of CIC 1 blended business pragmatism with regard for people.

CIC 1's strategy was based on three partially overlapping, ever-present and growing services: engagement, research and advocacy. From the documents, during 2015 complaints advocacy was delivered by an external contractor managed by CIC 1, and then the service was brought in-house. From the documents and observations, the services were packaged in three ways: delivering a local Healthwatch contract; delivering community engagement and social research through subscription and consultancy activities; and NHS complaints advocacy. The sector served was primarily healthcare, and mostly hospitals with only a few GP surgeries. Sometimes related sectors, such as social care, were also served. The focus was largely on Healthwatch, and reference by the board to it as a contract was relatively recent. However, the research and advocacy services meant that CIC 1 was not completely reliant on the Healthwatch income stream and the cost base was spread. CIC 1 offered a subscription service and a consultancy service to its client base.

CIC 1 had a vision, statements about the future, a strategy, business plan, and a way of selecting contract tenders. This approach was to ensure that the vision was deliverable.

"We are putting in place the structures and the vision, strategy and business plan to make sure that is this isn't just pie-in-the-sky" (Director 3)

The strategy and developing business plan had a 5-year horizon to avoid standing still by continuing to develop through growth. This growth meant increasing the client base and investing in staff. Both the community and staff were considered stakeholders. Growth beyond a limit would present a risk of overreach.

"And so, it's an investment or a speculation if you like - to speculate to accumulate." (Manager 1)

The pressure on local authorities as clients could have been a threat or an opportunity. Through having made a distinction between CIC 1 and its original and current Healthwatch contract, the board sought to reduce its reliance on it. This was feasible because the organization now had a platform, record, client base, and network on which to develop opportunities. The directors considered the reliance on the original and current Healthwatch contract to present an unacceptable risk.

"To what extent do we stick within what we know and to what extent do we find new fields. I think that balance is quite an interesting one at our time of development." (Manager 1)

The directors also had a contingency plan for the orderly closure of CIC 1. As managers the directors sought an attitude to risk that was neither under- nor over-cautious.

From observations, the business plan due to be refreshed in 2016. The review of business plan was to involve input from staff and perhaps consultants, and a workshop session was to be run. A risk management session seen as having a loose link to reviewing the business plan. The main risk management target was for no contract to be worth more than 50% of turnover by mid-2016.

Growth was planned through winning more contracts through tendering. The central plank concerned Healthwatch contracts – firstly re-securing the original and current local contract, albeit at a lower price than previously, secondly mobilizing a recently won second contract for 3 years in the vicinity, and thirdly by tendering for other nearby contracts of higher value. From the observations, the new Healthwatch contract recently awarded had been running reasonably well, so a partnership model rather than take-over model was preferred, so that some aspects could be kept, and it would be viewed more favourably by the client. Whereas, CIC 1 had considered bidding for another Healthwatch contract which was known to be struggling.

"…you have only two choices - you have to get on and tender or you have to downsize" (Director 1)

In addition to growth through Healthwatch contracts, the plan was also to continue diversification into shorter one-off contracts for research and to seek other advocacy contracts. Sector diversification beyond healthcare was also considered e.g. housing, education, and the prison service. Opportunities to work in the private sector and perhaps acting as a broker for community funds of big private companies were also vague possibilities.

The directors acknowledged two limitations on the growth strategy. Firstly, CIC 1 could continue its current way of operating with up to a few Healthwatch contracts. Beyond a few contracts, operations would need to change substantially. Secondly, tender processes needed to improve in terms of tender selection and/or a win ratio better than 1 in 10, further accreditations to pass more pre-qualifications, and a more mature quality management system. In this way, limiting the number of Healthwatch contracts and improving process was part of the growth strategy.

CIC 1 needed to be independent organizational structure to enable it to function effectively in working with public sector organizations. There was a perception on the part of some that CIC 1 having been funded to a significant extent by the local authority would not challenge it. CIC 1's independence was important, such as in chairing hostile public meetings concerning service closures. The managers controlled threats to CIC 1's independence, and became more confident in doing so.

"We always have to think hard about the line that we draw" (Director 3)

However, as an independent entity, external communication was an issue. Communication challenges were mostly due to CIC 1's brand not being well known due to confusion concerning the overlap between the organization and its Healthwatch contract. This meant that CIC 1 did not have a name in the marketplace beyond Healthwatch and was hard to distinguish from other structures such as the Patient Advice and Liaison Service (PALS) and hospitals in the community.

"Because we are an outward facing organization, we can't afford to be the voice of the public if the public doesn't have the foggiest idea of who we are." (Director 3)

External communication issues were made more acute by the necessarily outward facing nature of the organization and were considered by some to be an Achilles heel requiring more resource.

The internal organizational structure included workers who were employees and those who were volunteers. There was board that comprised 5 directors. From the documents, Director 1 as the chair was remunerated £10-15K, and the other four directors revived £0-5k in two bands according to whether they held special responsibilities or not. Manager 1 as Chief Executive attended board meetings but was not a director. From the observations, while Director 1 chaired the board meeting, Manager 1 was the focus for much of the board meeting

Employees were organized into four operational departments, which each covered one of the main services of engagement, research and insight, and complaints and advocacy, and one administrative support department. Each department was headed up by a manager who was

a member of the Senior Management Team (SMT), which was led by Manager 1. The volunteers were mainly organized into a Healthwatch advisory group, which provided a social conscience and views on healthcare services. There was also a strategic advisory group comprising senior representatives of partner bodies that CIC 1 monitored and for whom it provided studies under its subscription service e.g. NHS Trusts, CCGs, and local authorities. There was also a defunct provider group. There were also two regular consultants who worked on projects and tendering, and some support services outsourced to providers. However, this structure was being tuned.

"I think the structure is a bit fluid. It hasn't settled down as fast as I would have anticipated." (Director 2)

Consequently, the internal structure had been developed but changes were still being discussed.

The main internal stakeholders in the operating organization, aside from the directors and other managers, were the workers, both employed staff and volunteers. The staff had been built up to around 20 Full Time Equivalents. Staff were skilled, knowledgeable and committed. However, there was a staff skills gap around commerciality and business development, which was being filled by consultants focusing on relationships and tenders. This was especially a problem when people were employed who had an academic background.

"We need sales people, but we don't want sales people" (Director 2)

Staff turnover, including in the Senior Management Team, despite its positive aspects had led to continuity problems and was posited as being related to staff benefits. Consequently, there had been some consolidation and more stable staffing associated with the introduction of a pay rise, loyalty reward and training. Other benefits, such as a pay scales, reward and recognition, and career progression, were embryonic. The appropriate comparison for salaries was argued to be the charity and not-for-profit sector rather than the public sector.

"…you can't compare with public sector salaries otherwise you go out of business; you have to compare yourself with your competitors. The problem is that we don't have any natural competitors at the moment. So, we have to do a bit of a balancing act with the rest of the charity sector, not-for-profit sector." (Director 2)

In CIC 1, volunteers had an important role in providing views on healthcare issues, which was centred on the Healthwatch advisory group. It had recently been acknowledged that while volunteers were willing, their input required structuring as part of the broader workforce. Consequently, volunteers were now being trained and managed.

"Everybody is a volunteer, but nobody tells you what to do, you sort of go in there and do what you think is going to be helpful." (Director 3)

This management of volunteers had further benefit of helping recognition of CIC 1 more widely.

CIC 1's overall organizational performance was strong. It had a developed model for the delivery of its main contracts, especially Healthwatch. However, internal efficiency and effectiveness was not a good as external contract performance. CIC 1 has had an impact on helping patients and improving standards of healthcare because of its system knowledge. From the observations, performance of CIC 1 was monitored through a balanced scorecard as a good thermometer according to Manager 1/Chief Executive.

Financial performance was delicately balanced, as CIC 1 had exceeded the profit trajectory but was below the income trajectory, which meant that it was not investing in the right place for funding streams and generating income, and this was echoed in the observations. Furthermore, from the observations, profits were important for building reserves and potential customers who required strong finances from tender bidders. While profit was not the aim, CIC 1 made profits/surpluses that were reinvested e.g. in IT systems and staff training.

From the documents, CIC 1 was active in 2015/16 and performing well. Between 2015 and 2016 net current assets grew from £120-125k to £180-185k and reserves from £120-125k to £180-185k. The directors were remunerated and received travel expenses. There were no transfers of assets other than for full consideration.

"…being not-for-profit doesn't mean you don't make profit; all it is is what do you do with it.…We're not here to make a loss and were not here to rip folk off either" (Director 4)

From the observations, consulting income was increasing, the cost base was secure, and the upward trajectory of finances was notable, and would have been even more favourable when 1 or 2 more contracts had been won.

CIC 1 took a rounded view of its performance non-financial performance. In the documents, social impact was expressed in broad quantitative terms and was closely related to the organization's principal activities, as delivery of 1 Healthwatch contract, a wide range of community engagement and social research projects, and complaints advocacy cases that grew from some 200 to nearly 400. CIC's delivery on the ground was considered first rate, and there was positive feedback from the local authority and health bodies. From the observations, in 2016 accreditations were achieved in Investing in Volunteers and the Quality Performance Mark for Advocacy. From the observations, client satisfaction was indicated by repeat business linked to community impact and awareness of the organization. CIC 1 had won

awards for its original and current Healthwatch contract, which was communicated to customers such as commissioners, and had helped new business to be won. CIC 1's social impact was summed up by being regarded with some nervousness by those it sought to influence through its work.

From the observations, internal and external stakeholders were considered. From the observations, staff satisfaction was being monitored, and there was a staff training programme and appraisals, together with concerns about turnover and sickness. External stakeholder relationship issues were also discussed, along with duplication of work in health sector in connection with local and national political situation. From the documents, the stakeholders were identified as health and social care partners, network of volunteers, and members, with the public de-emphasized. Consultation with stakeholders was carried out by public consultation, meetings, and close working. Stakeholder consultation shaped CIC 1's work programme.

From observations, CIC 1 was open to peer review. The Chief Executive saw a role for appreciative enquiry.

"Daley Thompson the decathlete was told by his coach to focus on what he was good at, rather than focus on what he was not so good at, as this would help him to improve all round" (Manager 1)

From observations, CIC 1's offices were modern and recently purpose built, and the office atmosphere was of a small, open and stable business.

Healthwatch England was a form of group organization for CIC 1, as it was an umbrella body. As a national body, Healthwatch England had a statutory role to support the local Healthwatch network, which was a major part of CIC 1's activities. CIC 1 was one of the leading providers within Healthwatch England, as it was at a relatively mature stage, relatively large, had a regional role, and had won Healthwatch awards. However, from CIC 1's managers' perspective, Healthwatch England's actual purpose was unclear, and it was weak in marketing Healthwatch. Furthermore, two of Healthwatch England's most senior managers were to leave their posts. Consequently, there were both opportunities and risks in CIC 1 being a member of Healthwatch England.

Environmental layer

The wider environment was dominated by Healthwatch funded by the government for public sector organizations, such as hospitals, to receive input from the public to enhance their performance. Therefore, there was a reliance on the Secretary of State for Health to support

Healthwatch, so that organizations such as CIC 1 could deliver contracts to support the patient's voice.

"...the government is obsessed with everybody being efficient, forgetting that sometimes there are certain things that you have to do pay for if you are going to provide." (Director 4)

Central government funded local authorities for Healthwatch, although Healthwatch was not well known nationally. Local authorities were under pressure and funding for Healthwatch contracts based on population was not ring-fenced, and so local authorities were not obliged to pass it all on. Under the Health and Social Care Act (2012) Healthwatch providers had to be social enterprises. CIC 1 fed findings to MPs in order to indirectly communicate the achievements of Healthwatch to government. While the situation was stable in the medium term, relatively straightforward, with funding available, a change in government policy could change the situation and degree of funding was dependent on the local authority.

The operating environment was assessed as being reasonably challenging and tougher than previously. The contract context meant that even larger value contracts were for around three years. Such contracts did not provide a long-term future in themselves. The boundaries of the health sector moved over time.

Income from both the original and current Healthwatch contract and the advocacy contract was due to be cut significantly by 10% over the next year. There was also concern that government cuts would include Healthwatch funding and that the devolution agenda might lead to rationalization of Healthwatch contracts. The health sector client organizations were under pressure. Consequently, local authorities looked for savings from service providers while maintaining delivery quality. CICs were considered an acceptable organizational form for provision of services in the public sector in a different way, which combined principles and the community interest with business.

The health sector was complicated. There was duplication of effort among competing bodies competing for engagement related work. The distressed local health economy was another complicating factor. The public were generally confused about Healthwatch. People who did volunteer views on health services were mostly those who used them, rather than younger people and those at work. The Healthwatch advisory group provided a link with the public's views, although its membership was due to be refreshed.

The public sector customers tended to see engagement as a necessary protocol. CIC 1 worked to demonstrate the value of independent evaluation and to help humanize the process. Public sector customers were comfortable with CIC 1 given its remit of working for the benefit of local communities. CIC had built a reputation with customers and had strong local alliances,

such that contracts were both tendered for and negotiated in the three service streams. CIC 1 engaged in relationship development rather than overt selling. The strategic advisory group helped sales, although its purpose and membership were changing. However, CIC 1 had to work to persuade public sector customers that it could do a better and cheaper job than they could themselves.

On its own patch, CIC 1 had no natural competitors. There was an element of competition between the organizations delivering Healthwatch contracts, who were a mix of smaller local organizations, such as CIC 1, and larger national organizations. The smaller local providers, some of whom focused on cost cutting unlike CIC 1 which focused more on income generation, saw CIC 1 as a potential predator. There was more overt competition with the larger national providers, although were more like franchises, and there was debate over local versus national provision. These bigger players had the ability to influence top decision makers. There was evidence that the Care Quality Commission (CQC) preferred big, national organizations for contracts. CIC 1 tended to be more competitive in tenders where price was lower weighted. However, CIC 1 had grown its reputation with commissioners who had power over the contracts. Competitors tended to be bigger social sector and private sector providers for Healthwatch and private sector providers for advocacy. As CIC 1 was a relatively self-contained competing entity, its provider group was all but defunct, protecting the organization from training its future competitors. CIC 1 worked with others in partnership for preference but otherwise would tender against them.

Managerial layer

CIC 1 had a selected and stable board that made up the management team which comprised Directors 1-5 as Non-Executive Directors (NEDs), as confirmed in the documents, with Manager 1 as Chief Executive in attendance. The board was considered effective because its members got on well and they each had different skills and opinions. Consequently, the directors were able to challenge and add different things without being polarized.

"…we all bring bits from our particular expertise to the table, and then it's about thrashing out what is the best way forward." (Director 2)

The board had a comprehensive timetable for its own meetings, and with the Healthwatch advisory group, the public in relation to Healthwatch, the staff in workshops, and informal events. There was a recently formed finance sub-committee, and one of its tasks was to create a delegation framework to manage risk. The board had recently made the decision to go for growth through being competitive, despite a toughening operating environment

The board was considered small but provided enough challenge. It was observed that bigger boards tended to have a sub-group that do the challenging due to duplications of views.

"…there are only four viewpoints that one can have as it were, and the board itself will come with a view based on those four viewpoints." (Director 3)

The directors were chairs of other organizations, which helped them to shift the roles. Nevertheless, the possibility of adding one or two more directors was considered. The directors had similar principles and ethics, and a passion for sound management. While all directors received some remuneration, they were not working for dividends. There were two governance issues: the appropriateness of Director 2 carrying out operational finance work, and management of the conflict of interest of Director 5 who chaired another organization with a Healthwatch contract.

The directors had different organizational roles and had different skills. Director 1 was the chair and responsible for the board's operation, whereas Manager 1 as Chief Executive was responsible for the company. Director 1 had a public sector background, was entrepreneurial with leadership and organizational skills, and supported Manager 1. As an accountant, Director 2 was cautious with a governance and controlling role that brought forward negative issues, such as compliance and legislation. Director 3 was analytical and weighed evidence. With a business background, Director 4 was keen on shared learning and supported Manager 1 in redrafting the business plan. Partly due to his role of chairing another Healthwatch provider, and having deep voluntary sector knowledge, Director 5 tended to be questioning. The main skills gap was in marketing. Ethics were addressed explicitly by Director 3, who had

deep knowledge of the subject, who took a political view and saw ethics as a way of promoting CIC 1 rather than as a problem. From an emotional perspective, Director 1 and Director 4 were proud of CIC 1. Director 2 was sometimes surprised by other directors' comments, frustrated when management quality was lacking, and irritated when decisions were implemented too slowly. The diversity between directors was evident.

The directors' differing backgrounds and skills manifested in similarities and differences in their approaches to risk. Director 1 and Director 3 tended to be in favour of taking a risk and Director 2 tended to be against risk taking.

"But I would say Director 2 is probably the one who is putting the brakes on most of the time, because she's the one with the financial nous" (Director 3)

Director 4 tended to absorb discussions on risk, and Director 5 tended to ask questions but not make decisions. Consequently, there was a balance of approaches to risk among the directors.

Manager 1 as Chief Executive had a pivotal role in attending the board and leading the Senior Management Team (SMT). While the board largely delegated to Manager 1, limits were still being tested. Manager 1 sought to resolve tension between the board and the SMT, especially around business development. Manager 1 relied on sharing a common vision to ride out times when board and SMT members were maddening. As there was no natural successor to Manager 1 in the SMT and there had been staff turnover, succession planning was important. Manager 1's style was open, friendly, and collective, and was based on reputation rather than commerciality. There was a concern that while Manager 1's hands-on approach had worked to date overall; it would not work as the organization grew. Manager 1 was both decisive and reflective, getting the balance right most of the time, but sometimes leaning too far one way of the other.

The SMT comprised four managers led by Manager 1. From observations, SMT meetings mixed informal and formal aspects, with Manager 1 in the chair. While the distinction between the strategic board and the managerial SMT was clear in principle, the practice was different and there was some muddling of functions. This confusion manifested in the SMT attending board meetings, except for confidential items. Manager 1 argued that this arrangement helped understanding, delegation and succession. This was challenged by Director 3, whose view was that only board directors plus the chief executive and a finance officer should be present and observed that what should have been small board meetings were being increased to some 10 people changing the dynamic. Director 1 as chair was due to consider this further.

6.2.2 CONFIGURATIONS AND FITS – QUANTITATIVE RESULTS

Configurations

The degrees of dominance of configurational elements were investigated for the structural mode layer by layer – organizational, environmental and managerial – and then for the agential mode focusing on the managerial layer. The degrees of configuration element and environment dominance were designated dominant, intermediate, and subsidiary. These degrees of dominance of configurational elements are summarized below in Table 6.2: Configurations in Case 1. The table shows that the degrees of configuration and environment dominance were mostly intermediate. All configuration elements and environment characteristics were intermediate, except in the organizational layer, where organizational culture and organizational performance outcomes were dominant in the protection configuration element. Indeed, while the result for change strategy in the organizational layer was intermediate, it was towards the dominant end. The implications of the generally intermediate degrees of dominance are that all configuration elements have some emphasis. The implication of protection being dominant in the organizational layer was that its social mission was emphasized. These configuration results align with the congruence paradox where one configuration element is expected to be dominant and the paradox hypothesis where the other configuration elements are also emphasized to a reasonable degree.

Table 6.2: Configurations in Case 1 also shows there was also much agreement among managers, some debate and little disagreement. The debate was around organizational culture and environmental characteristics. The only instance of disagreement was due to Manager 1's rating of environmental complexity as higher than that of Directors 1-4.

Table: Configurations in Case 1

	Protection										Compromise										Elimination										Opportunity										Environment									
	D1	D2	D3	D4	D5	M1	average	outcome	(2)similarity	outcome	D1	D2	D3	D4	D5	M1	average	outcome	(2)similarity	outcome	D1	D2	D3	D4	D5	M1	average	outcome	(2)similarity	outcome	D1	D2	D3	D4	D5	M1	average	outcome	(2)similarity	outcome	D1	D2	D3	D4	D5	M1	average	outcome	(2)similarity	outcome
STRUCTURAL MODE																																																		
Organizational layer																																																		
Organizational Culture	31.67	34.83	34.00	58.33		38.00	39.37	dominant	21.69	debate	16.67	26.67	10.00	20.83		13.83	17.60	intermediate	12.86	debate	21.67	19.17	23.00	3.33		20.33	17.50	intermediate	16.10	debate	30.00	19.33	33.00	17.50		27.83	25.53	intermediate	13.56	debate										
Organizational Change Strategy	31.67	22.67	18.50	32.50		28.00	26.67	intermediate	11.98	agree	18.33	27.17	24.50	22.50		20.33	22.57	intermediate	6.91	agree	20.83	22.00	24.50	17.50		16.83	20.33	intermediate	6.38	agree	29.17	28.17	32.50	27.50		34.83	30.43	intermediate	6.24	agree										
Organizational Performance Outcomes	27.50	36.17	25.83	36.67		39.00	33.03	dominant	11.88	agree	20.00	23.00	22.17	16.67		11.83	18.73	intermediate	9.14	agree	25.00	23.33	23.83	15.00		21.33	21.70	intermediate	7.95	agree	27.50	17.50	28.17	31.67		27.83	26.53	intermediate	10.64	agree										
Environmental layer																																																		
Environmental Dynamism (1)																																									71.43	39.29	53.57	46.43		60.71	54.29	intermediate	24.95	debate
environmental munificence (1)																																									40.00	40.00	35.00	25.00		50.00	38.00	intermediate	18.17	debate
environmental complexity (1)																																									25.00	25.00	41.67	33.33		75.00	40.00	intermediate	41.50	disagree
Managerial layer																																																		
Management Behaviour (1) (4)	26.92	23.60	22.67	23.08		24.69	24.19	intermediate	3.41	agree	24.36	25.84	26.67	27.69		24.69	25.85	intermediate	2.76	agree	23.08	24.72	22.67	23.08		23.46	23.40	intermediate	1.58	agree	25.64	25.84	28.00	26.15		27.16	26.56	intermediate	1.99	agree										
AGENTIAL MODE																																																		
Managerial layer																																																		
Management Reflexivity (1) (3) (4)	27.86	15.00	22.30	27.78		19.35	22.46	intermediate	11.08	agree	25.00	25.00	25.00	25.00		25.00	25.00	intermediate	0.00	agree	27.86	34.29	28.38	27.78		26.61	28.98	intermediate	6.07	agree	19.29	25.71	24.32	19.44		29.03	23.56	intermediate	8.39	agree										

notes:
(1) denotes where conversions have been applied to original data
(2) similarities assessed by the square root of the sum of the squares method
(3) Management Relexivity results assumed for Compromise
(4) Management Behaviour and Management Reflexivity treated here as "collapsed" concepts (opened up in Fit tables)
scale used for dominance for structural organizational layer and managerial layer, and for agential managerial layer is 0-16.67: subsidary, 16.68-33.33: intermediate, 33.34-50+: dominant
scale used for structural environmental layer is 0-33.33: subsidary, 33.34-66.66: intermediate; 66.67-100: dominant
(temporary) scale used for similarity/outcome is 0-12.5: agree; 12.6-25: debate; and 25+: disagree
could indicate where figures are near a boundary in due couse

Table 6.2: Configurations in Case 1

Fits

The degrees of fit between configuration elements was investigated for the structural mode within layers and then between layers – organizational, environmental, and managerial – for the agential mode, and then between the structural and agential modes. These degrees of fit between configurational elements are summarized below in Table 6.3: Fits in Case 1. The table shows that the degrees of fit were almost all tight fit. All degrees of fit were tight fit, with one exception that was between structural and agential modes. Here there was a loose fit in the protection configuration element between organizational culture and management reflexivity. However, even in this case the score for loose fit was close to the tight fit boundary. From a structural mode perspective, there were tight fits both internally (between organizational factors, and between organizational and managerial layers) and externally (between organizational and environmental layers). From an agential mode perspective, there were tight fits between the management reflexivity of the managers. There were also a tight fits between structural and agential modes. The implication of all these tight fits is that the factors supplemented or reinforced each other both within and between layers and between modes.

	Protection/Protection		Compromise/Compromise		Elimination/Elimination		Opportunity/Opportunity		Environment/Environment	
	difference	outcome	difference	outcome	difference	outcome	difference	outcome	difference	outcome
1A WITHIN STRUCTURAL LAYERS										
Within organizational layer										
Organizational Culture/Organizational Change Strategy	12.70	tight fit	4.97	tight fit	2.83	tight fit	4.90	tight fit		
Organizational Culture/Organizational Performance Outcomes	6.33	tight fit	1.13	tight fit	4.20	tight fit	1.00	tight fit		
Organizational Change Strategy/Organizational Performance Outcomes	6.37	tight fit	3.83	tight fit	1.37	tight fit	3.90	tight fit		
Within managerial layer										
Management Behaviour/Management Behaviour (1)	3.41	tight fit	2.76	tight fit	1.58	tight fit	1.99	tight fit		
Within environmental layer										
NA (2)										
1B BETWEEN STRUCTURAL LAYERS										
Between organizational and environmental layers										
Organizational Culture/Environmental Dynamism									9.49	tight fit
Change Strategy/Environmental Dynamism									3.15	tight fit
Organizational Performance Outcomes/Environmental Dynamism									6.35	tight fit
Between organizational and managerial layers										
Organizational Culture/Management Behaviour	15.18	tight fit	8.25	tight fit	5.90	tight fit	1.03	tight fit		
Change Strategy/Management Behaviour	2.48	tight fit	3.28	tight fit	3.07	tight fit	3.87	tight fit		
Organizational Performance Outcomes/Management Behaviour	8.84	tight fit	7.12	tight fit	1.70	tight fit	0.03	tight fit		
Between environmental and managerial layers										
Environmental Dynamism/Management Behaviour									3.70	tight fit
2 WITHIN AGENTIAL MODE										
Management Reflexivity/Management Reflexivity	11.08	tight fit	0.00	tight fit	6.07	tight fit	8.39	tight fit		
3 BETWEEN STRUCTURAL AND AGENTIAL MODES										
Organizational Culture/Management Reflexivity	16.91	loose fit	7.40	tight fit	11.48	tight fit	1.97	tight fit		
Organizational Change Strategy/Management Reflexivity	4.21	tight fit	2.43	tight fit	8.65	tight fit	6.87	tight fit		
Organizational Performance Outcomes/Management Reflexivity	10.58	tight fit	6.27	tight fit	7.28	tight fit	2.97	tight fit		
Environmental Dynamism/Management Reflexivity									3.37	tight fit
Management Behaviour/Management Reflexivity	1.73	tight fit	0.85	tight fit	5.58	tight fit	3.00	tight fit		

notes:

scale used for dominance for degree of fit: 0-16.6: tight fit; 16.67-33.33: loose fit; 33.34-50+: misfit

query whether same scale appropariate for Managemenet Behaviour and Management Reflexivity as square root of sum of squares used

Management Reflexivity - fit is calculated by means of the square root of the sum of the squares

Management Reflexivity - Compromise has been assumed - see Configurations

there is no necessary relationship between environmental dynamism, munificence, and complexity and no fit calculation is appropriate -

could indicate where figures are near a boundary in due couse

Table 6.3: Fits in Case 1

Supplementary configurations and fits

Table 6.4: Management demographics in Case 1 shows that managers' demographics were similar by one factor and dissimilar in the other two factors. Managers similar as they were all from a white ethnic group. The managers had some dissimilarity by age, as while 4 of them were in the 55-64 age group, and one was younger and the other was older. There was gender dissimilarity as of the 6 managers 3 were female and 3 were male.

Table 6.5: Management preferred team roles in Case 1 shows that ranks of team roles by paired by configurations were broadly similar. However, ranks by team role alone showed some dissimilarities. Most notable was that the management team was stronger on coordinator and shaper team roles, and weaker on completer finisher and implementer team roles, which were each in the compromise and elimination configurations respectively. However, these team role strengths and weaknesses were not extreme. An implication of these team roles is that the management team had preferences that well covered the range of roles and configurations. Furthermore, the team role strengths and weaknesses were in complementary configurations, such that they compensated for each other to some extent. Moreover, the team role strengths and weaknesses were allowable for this board as it was able to delegate operational matters to the Senior Management Team.

Table 6.6: Management ethics in Case 1 shows ranks by both ethics and configurations were broadly similar and scores were generally high. However, there were some specific though modest dissimilarities. The most notable dissimilarity in ethics was ethical reputation where one camp of Director 1, Director 2 and Manager 1 scored this more highly that did the other camp of Director 3 and Director 4. The most notable dissimilarities between specific managers were between Director 1, Director 2 and Manager 1, especially Director 1 rating Ethical economic more highly that did Manager 1. An implication is that the management team was highly ethical across the board. However, the importance of the organization's reputation divided the board somewhat and an ethic in the elimination configuration element. Ethic dissimilarities between Director 1, Director 2 and Management 1 were notable given their roles as chair, director with responsibility for governance and finance, and chief executive respectively, especially between the chair and chief executive concerning the importance of finance in the elimination element.

Table 6.7: Management affect in Case 1 shows positive and negative affect scores were broadly similar between the managers. For all managers positive affect outweighed their negative affect. However, Director 1 had a notably higher difference between positive and negative affect. There was a weak implication that the structural configurations were not perfectly aligned with those of the managers' reflexivities but that on balance the managers

were comfortable with the position. It could also be that alignment of reflexivities with other stakeholders was also comfortable.

	Director 1	Director 2	Director 3	Director 4	Director 5*	Manager 1*	similarity/dissimilarity
Age range	55-64	55-64	65 or over	55-64	55-64	45-54	dissimilar
Gender	Male	Female	Female	Male	Male	Female	dissimilar
Ethnic group	White	White	White	White	White	White	similar
					*from observation	*non-board director	

Table 6.4: Management demographics in case 1

Configuration	Team role	Director 1		Director 2		Director 3		Director 4		Director 5	Manager 1		total by role	rank by role	total by config	rank by config
Protection	Resource Investigator	3	preferred	1	least preferred	3	preferred	2	manageable		3	preferred	12	2	22	1=
	Team Worker	2	manageable	2	manageable	1	least preferred	3	preferred		2	manageable	10	4		
Compromise	Co-ordinator	3	preferred	2	manageable	3	preferred	2	manageable		3	preferred	13	1=	18	3
	Completer Finisher	1	least preferred	1	least preferred	1	least preferred	1	least preferred		1	least preferred	5	6		
Elimination	Shaper	3	preferred	3	preferred	3	preferred	2	manageable		2	manageable	13	1=	21	2
	Implementer	2	manageable	1	least preferred	2	manageable	2	manageable		1	least preferred	8	5		
Opportunity	Plant	2	manageable	3	preferred	3	preferred	1	least preferred		2	manageable	11	3=	22	1=
	Monitor Evaluator	1	least preferred	3	preferred	3	preferred	2	manageable		2	manageable	11	3=		
	(Specialist)	2	manageable	3	preferred	2	manageable	2	manageable		2	manageable	11	3=		
				strongest												
				weakest												

Table 6.5: Preferred management team roles in case 1

Configuration	Ethic	Director 1	Director 2	Director 3	Director 4	Director 5	Manager 1	total by ethic	rank by ethic	av by config	rank by config	similarity
Protection	Care	4.00	3.75	4.75	4.00		5.00	21.50	4	21.25	3	dissimilar
	Virtue	5.00	3.00	4.00	4.00		5.00	21.00	5=			similar
Compromise	Rule deontology	4.67	5.00	5.00	5.00		4.33	24.00	1	23	1	similar
	Act deontology	4.33	4.33	5.00	4.33		4.00	22.00	3=			similar
Elimination	Act utilitarian	4.00	5.00	5.00	4.00		5.00	23.00	2	21.67	2	similar
	Rule utilitarian	4.00	4.50	4.50	4.00		4.00	21.00	5=			similar
	Ethical economic	5.00	4.00	4.00	4.00		3.67	20.67	6			dissimilar
	Ethical reputation	5.00	5.00	3.50	3.50		5.00	22.00	3=			dissimilar
Opportunity	(Pragmatics)	NA										
similarity		similar	dissimilar	dissimilar	dissimilar		dissimilar					

notes:
similarity for rows and columns = 1 or less

Table 6.6: Management ethics in Case 1

	Director 1	Director 2	Director 3	Director 4	Director 5	Manager 1	comment
Postive affect	23	20	20	19		19	similar
Negative affect	9	12	12	12		11	similar
Positive less negative affect	14	8	8	7		8	similar/dissimilar

Table 6.7: Management affect in Case 1

6.2.3 FITTINGS – QUALITATIVE RESULTS

Organizational layer

In history, prior to 2012, a local health network called LINk monitored healthcare organizations. All LINks were swept aside in the wake of the Francis reports that dealt with poor care at Mid-Staffordshire hospital. LINk was to be replaced by a lean hub organization with delivery by others. This hub was envisaged to have three strands: a community group to provide social conscience, a strategic customer group, and a provider group.

In the past CIC 1 was launched in 2012 as a spin-off from the local authority. It was formed as a CIC so that it would be independent, especially from the local authority, and in the public interest with its profits reinvested. For about a year CIC 1 operated the LINk, which provided initial funding and establish credibility. Then CIC 1 was awarded the local Healthwatch contract through a non-competitive process.

From the documents, the local Healthwatch contract began in 2014. Three service streams were developed: engagement, research and advocacy. From observations, initially the advocacy contract was sub-contracted in 2014 and later brought back in house. Originally there were 5 staff members, including secondments from the local authority and someone from the LINk providing corporate memory. From the documents, in 2013 community engagement and social research through subscription and consultancy activities was framed more narrowly as user engagement and tailored projects through a subscription service to identify service improvements but then broadened in 2014.

From the documents, in 2013 stakeholders were identified as the local public, health and social care commissioners, providers of health and social care services, and users of health and social care services, with CIC 2's own volunteers added in 2014. This list was subsequently simplified. Stakeholder consultation was described as by means of individual and joint meetings in 2013, and in a more complicated way as public consultation and engagement, and meetings with health and social care partners in 2014, before a more concise framing was devised thereafter. In 2013 tangible actions that were the results of stakeholder consultation were changing the subscription offer to include carrying out tailored commissions. In 2014 stakeholder consultation was influenced high level projects and shaped the future work programme.

The board realized that the lean hub and provider model would not work, partly because it relied on assessment of the providers, and so started to develop an in-house team. Manager 1 decided against a core and provider partner model for 2 reasons. Firstly, there was concern that work packaging would have created silos whereas an in-house team could handle

crossovers. Secondly, use of external providers would have created a financial penalty as they would have had to charge VAT but there was no VAT on the original Healthwatch contract.

Similarly, the initial business plan prepared by a consultant was found to be flawed by not protecting CIC 1's independence. It was evident that reliance on one Healthwatch contract was risky. From the observations, a 5-year business plan was produced in 2014. The turnover that CIC 1 obtained through running LINk and then the local Healthwatch contract meant that processes and infrastructure could be put in place early on, which was uncommon and unlikely to have been carried out by a purely commercial company. CIC 1's early success was attributed to its clarity of vision.

From the documents, both financial and non-financial performance was secure. Financial performance started positively and improved quickly. Net current assets doubled from £50-55k to £100-105k and reserves also doubled from £50-55k to £105-110k in the two years 2013 to 2014. The board of directors was remunerated in 2014, Director 1 having been remunerated in 2013 as chair and the first director to be appointed. Broad quantitative social impact differed in nature, scale and type over this period. The community engagement and social research projects grew from several in 2013 to a wide range in 2014. Complaints advocacy through the external contractor was added in 2014, with around 150 cases handled.

Much focus was put on future strategy. The strategy of maintaining things as they were was dismissed – i.e. delivering one local Healthwatch contract plus the existing advocacy contracts and research consultancy. Maintaining the status quo was considered easy and complacent. However, the original Healthwatch contract was due to be competitively tendered, in contrast to the non-competitive original award, with a new contract to begin in 2017. This meant that CIC 1 would face competitors on its home turf and would need to submit a competitive bid that would mean looking at costs.

The future strategy concerned growth without fragmentation and its outworkings. A second Healthwatch contract already won was to be added to the rebidded original one, if won, in 2017, so there was already a growth trajectory. Further Healthwatch contracts were to be tendered for, beyond the local area. The default was to work in partnership with local providers to give customers the double benefit of CIC 1's expertise and local delivery, although this would have meant integrating organizational cultures. The existing partially overlapping services of engagement, research and advocacy each had growth potential, and there was scepticism about new tangential services. Different sectors beyond healthcare were considered, such as the proximate area of social care, and others that were more distant such as housing. Going beyond the public sector into the private sector was also considered.

There were some outworkings of this growth strategy. Growth meant an increase in turnover and a reduction in reliance on any one customer. The income trajectory might have meant that it would have taken 7 years to get to where the directors wanted to be in 5 years. Turnover was expected to be around £2m by 2018. Staff numbers would also have increased under the growth strategy. Management capability would also have had to change, as commerciality, delegation to the SMT, marketing and external communication would have become more important. The intention was to grow but retain CIC 1's reputation as an exemplar of good practice.

From the documents, CIC 1 continued to be active. Financial performance continued to be strong. Net current assets grew from £185k-190k to £230-235k. Reserves grew from £185-190k to £235-240k. In 2017 the directors continued to be paid as before. Broad quantitative social impact grew, with a move from one local HealthWatch contract to 3 contracts in 2017 and 4 contracts in 2018. A range of community engagement and social research projects continued, and complaints advocacy cases grew to over 400 but fell back somewhat in 2018. In 2018 the total directors' remuneration grew to £90-100k with pension payments of £0-5k, which was due primarily to the CEO/Manager 1 being appointed as an additional director during the year. From the documents, stakeholders were the same and were consulted as before. Healthwatch England continued as the umbrella body for Healthwatch contract providers. The strategy of controlled growth was realized through replication.

Environmental layer

Prior to the launch of CIC 1 in 2012 there had been national concern at the poor patient care at Mid-Staffordshire Hospital which was criticized in the Francis reports of 2010 and 2013. From the observations, one aspect of the Mid-Staffs case was that national government decided that scrutiny of hospitals by LINks had not worked, and so they were to be replaced by Healthwatches as independent bodies with greater reach, professionalism and sustainability.

At the time that CIC 1 was launched in 2012 Healthwatch was a new statutory function. It had been introduced to address failings in the monitoring of health bodies, such as hospitals, and to give more of a voice to the public. The local authority's solution was twofold: to create an organization, which became CIC 1, as a spin-off, and then to create a benign environment for CIC 1 by non-competitive award of contracts for LINk and then Healthwatch.

The wider environment of the public sector customer base would affect CIC 1's future. The directors expected Healthwatch to be secure in the medium term, and probably after an election around 2020 under another Conservative government. CIC 1 intended to look for

government departments who had budgets for public engagement and research to help their decision making.

"And we don't see it changing because looking at the macro political field, unless they make a total Horlicks of Europe it's really likely to have another Tory government in 2020, so there is no indication that Healthwatch is under any threat…" (Director 4)

CIC 1's future would be heavily influenced by national politics and so would need to shape its strategy to suit.

On the assumption that Healthwatch was not completely replaced, the operating environment for Healthwatch contracts, and related areas such as advocacy, was expected to get tougher nationally. The increasingly complexity was expected to need more innovation, opportunism and organization by organizations like CIC 1 that wanted to grow. The variation in performance of organizations providing Healthwatch contracts meant that some would be under pressure, and either not get contract renewals or renewals at too low a price. This might have created opportunities for stronger performing organizations such as CIC 1. Working outside CIC 1's local area might have meant CIC 1 facing big national competitors. Increasing pressure on local authorities might have created opportunities to work more closely with them to reduce duplication in public engagement. Indeed, if the public sector shrank, there would be more opportunities for social sector organizations like CIC 1. However, if government contracts ceased the future would be very different beyond the public sector.

Managerial layer

In history before 2012, a local authority councillor had an idea of creating an organization to replace the local LINk. This organization would handle public engagement in healthcare and avoid some duplication. Director 4 was a member of the previous local LINk. He was asked to sit on a working group with a consultant, predating his involvement with CIC 1.

Director 1 was appointed as chair in 2012 and then set about forming his board team. From the documents, the board comprised Directors 1-5 in 2012-2014. In 2012 there were 2 further directors – ANO 1 and ANO 2 – consultants charged with launching CIC 1 who resigned within the year. The team of permanent directors were selected for their ability to contribute in different ways. Director 1 himself had long experience in local government, community engagement, and semi-commercial arrangements, and had retired as a chief executive. Director 2 also had public sector experience and had skills in finance, governance and administration. Director 3 provided a patient's perspective having had a bad personal experience at an NHS hospital, and she was a local politician and knowledgeable about audit and risk. Director 4 had a business background, together with local connections through the

previous LINk, and considered himself a healthcare outsider. Director 5 had deep knowledge of the social sector. Initially the board ran the organization with Director 1 acting as CEO, and then recruited Manager 1 as Chief Executive. From observations, Director 1 and Manager 1 were co-founders as first board member and first employee respectively.

In the future of 2017 to 2018 and beyond, the board was expected to expand by 2 directors with expertise in target markets. A gradual replacement of board members was also anticipated. This refreshment of directors was envisaged to provide new vision and energy. The essential feature of the board would remain trust among its members and between the board and the SMT. The SMT would need a finance person at some point. The directors expected to continue to be future orientated.

Manager 1 as Chief Executive and lead manager would have needed to shift her style significantly as the role would change in the growth strategy. Manager 1 would have needed to delegate more, do more growing the business, and do more performance management of people. Her role with more contracts would have been different. Ultimately a Chief Executive with more drive and pragmatism would have been required. From the documents, in 2017 the Manager 1 was appointed as a director to augment the established board of Directors 1-5. However, Manager 1 left the board and the organization within a year. In 2018 Directors 4 and 5 also left the Board, leaving a three-director board, comprising Directors 1-3.

For data analyzed for case study 1 see Appendix 6.1: Comparative case studies – list of data analyzed for case study 1.

6.3 CASE 2 RESULTS: CONFIGURATIONS, FITS, AND FITTINGS

6.3.1 CONFIGURATIONS AND FITS – QUALITATIVE RESULTS

Organizational layer

CIC 2 was in business to provide social benefit. The financial versus service quality equation was evident.

"And I mean we're not in this business to make money, we're in to allow the schools to feel that they're getting a quality service." (Director 4)

This hard-headed and caring approach permeated CIC 2's culture.

CIC 2 had a clear purpose and strategy, with a brand name with positive associations, and looked ahead to changes in government strategy for school sport.

"I think it's quite simple and obvious what it should be doing – it should be providing better opportunities and outcomes and supporting greater participation in sport – that's it." (Director 2)

From the documents, the principal activities were fourfold: providing different levels of competitive sport for primary and secondary schools in the area; providing guidance on sports and activities for those delivering in schools; developing and sustaining disability sport in the area; and developing young people in leadership and volunteering through sport. The competitive sport provision drew inspiration from London 2012 and its legacy.

Through the main service, some 100 intra- and inter-school sports competitions were facilitated per year across a wide range of sports. From the observations, indoor athletics masterminded by Manager 1 typified the competitions that were organized through CIC 2. One such event was held at the gym of a local secondary school with teams from primary schools, at which there was a sense of competition through community and community though competition. Other activities were also enabled, such as Bike Ability where children learnt cycle safety, and Project Ability for disabled children's sport. The continuing professional development (CPD) for staff provided was high quality and tailored. There were also less explicit services, such as where CIC 2 helped member schools with their Ofsted assessments. Changes in services offered and delivered were seamless, and there was limited growth that avoided over-stretching.

CIC 2 had a clear operating model and structure. The workforce could have appeared small but looking behind the scenes was large. Manager 1 as operational director was employed and worked almost full-time, under the part-time direction of Director 1 and supported by other

board directors, with some administrative support. There was a sense in which the directors operated with a survival of the fittest mentality showing a competitive mindset. However, the model for CIC 2 was almost at capacity for the staffing.

However, the workforce also included many volunteers. Student leaders at secondary schools helped with school competitions. There were also trained child ambassadors in tailored school clubs to encourage other children to engage in sport. These children who provided part of the voluntary workforce were more engaged in sport and their work benefited their education. PE teachers also helped by organizing these student volunteers and the member schools provided facilities for competitions. Volunteers from sports clubs also participated as coaches and referees, and some events were held at these clubs, with the benefit that the children became more familiar with them. The complexity that arose was largely logistical, as big sports events had many competitors and needed lots volunteers, that required transport and facilities.

Organizational performance was secure. Funding was a combination of the School Games Organizer (SGO) grant and membership fees from schools. This government funding was stable with some improvement, and the membership rates had been held constant. Some additional funds had been obtained by Manager 1 from a company to fund marketing. Some assets had already been purchased. As time had permitted, efforts had been made to reduce overheads. Control of accounts was achieved by Manager 1 preparing financial projections and an accountant auditing the accounts.

The finances were positive. From the documents, in terms of financial performance over the years 2015 and 2016, net current assets and reserves were positive, small and growing. Between 2015 and 2016 net current assets grew from £0-5k to £5-10k and reserves from £0-5k to £5-10k. From the documents, there was no directors' remuneration, although this was due to the secondment arrangement from the School. From the documents, there were no transfers of assets other than for full consideration. Financial performance hinged on the very cost-effective price per pupil. This cost effectiveness was the result of a good service being provided for schools at the right membership pricing, which was charged on a sliding scale.

Non-financial performance was centred on success in organizing competitions and other activities. The take-up of competitions by schools was high because the they received what they had asked for. The competitions created opportunities for local children. The online fixture booking system was efficient and meant that PE teachers no longer had to ring each other up. CIC 2 was highly ranked nationally by School Games Organizer (SGO) reports. From the observations, Manager 1 as the operational director reported annually to the directors on 5 aims, 4 of which were non-financial and the last related to the funding environment. These aims were: competitions and the inclusion of children with disabilities; collaboration with sports

clubs; development of the workforce; performance measurement e.g. percentage engagement with local schools; and monitoring of potential changes in funding due to national government policy.

From the documents, qualitative social impact, was identified as having four aspects, which were closely related to the organization's principal activities. These four aspects of social impact were: sporting opportunities for young people in the area; guidance and support for those teaching in schools; opportunities for disabled young people to participate in sport; and development of young people's leadership skills and participation in sport through different pathways. No quantitative assessment of social impact was carried out.

Overall, it was considered a significant achievement to have provided the services to schools for the funding available. CIC 2 spent considerable time communicating with schools and other stakeholders.

"…consulting with stakeholders is a really massive part of what we do." (Director 4)

However, the network of stakeholders was somewhat fragmented – e.g. the link between the schools and sports clubs could have been closer.

The group organization was a School, which was considered as such because it was the registered office of CIC 2 and all its directors were teachers there. The School's culture was expressed in its ethos of analyzing situations, quick reactions and not being wrong. The School had principles of high-quality provision and accountability, and the staff took inspiration from its inspirational children. The School and CIC 2 shared the same values, style, strong branding and high expectations. This meant that the School enabled CIC 2 because:

"…we would always want to support people that are on the edge with things, because that is where you get development and excitement" (Director 2)

The School had financial liability for the staff of CIC 2 through a secondment arrangement, which the head teacher recommended to the governors. The School also provided non-financial support for Director 1 and Manager 1, such that the latter felt part of the school. CIC 2 would not have existed without the School, and PE and sport in the area would have been poorer without it. As a small special school, the School has had a positive influence across many local mainstream schools through CIC 2, although other schools could have been more supportive of disability sport. The local schools that were members of CIC 2 formed part of an extended group organization. There was a form of symbiosis between the School and CIC 2, although with some debate about the degree of mutual impact. The School had a record of success with multiple Outstanding Ofsted inspections, and so CIC 2 also needed to match this outstanding success. On the basis that CIC 2 would only be as good as the people in it, the

School provided the operational director and board directors with independence and support in the belief that they would be more productive and more motivated to continually develop. The School was prepared to accept financial and reputational risk while realizing the opportunity of enabling school PE and sport.

Environmental layer

In the wider environment, government policy on school sports was an overriding factor. The directors of CIC 2 agreed with the government policy and sought to keep informed of any changes, and from the observations also advised key government influencers. Government funding in physical exercise at school was framed as an investment with a return in the form of long-term health benefits and an investment to return ratio of 1:11. The form of this investment was government funding for SGOs was an important part of the income for CIC 2, with the primary school sports premium having provided extra funding.

The government guidance was for 60 minutes of physical activity per day for primary school students. However, issues concerning this physical activity included childhood obesity, children's transition between primary and secondary schools, early years introduction, and other factors such as targeting students who don't do physical activity and the value of walking to school. The London 2012 Olympics had been a high-profile sports event, although its legacy was not felt to have been managed effectively. The importance of sport was also highlighted by organizations such as the Premier League for Sport who now focused more on sports projects rather than on community projects. The directors were conscious of the downsides of professional sport, such as corruption and doping.

In the operating environment, the competitive and participatory aspects of school sports were both emphasized. From the documents, the environmental sector was classified as other sports activities. In addition to the direct benefits of PE, the directors were conscious of the associated benefits to students of transferable skills and shaping lives, and the wider benefits of creating a better society through children learning to work with others and to volunteer. These wider topics were aspects of the government's Big Society programme that had met with mixed reviews. However, the pressures on school timetables and student testing had a limiting effect on the time that could be allocated for physical activity. Nevertheless, government SGO funding that was secure and increasing, with organizational forms such as social enterprise used by schools to channel this government funding, and schools in other areas were envious of CIC 2 and its activities. Overall, this context was relatively benign.

The operating environment was dominated by local schools as direct customers who paid CIC 2, which delivered what they wanted, hence its high national ranking among groups of state schools. From the documents, the stakeholders were identified as mainly primary schools that

pay for the service as members. CIC 2's success had led to its membership expanding to those schools who had not joined when it was launched. Schools saw the membership fees as money well spent to such an extent that they rarely left, there is a waiting list and they would pay a higher membership fee if government grants were removed. The location and schools sports league structure of local schools meant that CIC 2 operated a monopoly.

The scale of activities was indicated by a membership of around 40 schools who were mostly primary schools with some secondary schools and special schools, with a range of sports offered which varied in popularity. CIC 2 helped the transition of children from primary to secondary school by having established links between primary feeders and secondary schools through participation and volunteering.

CIC 2's success had created pressure on schools from parents as indirect customers asking why their school was not a member. Receiving positive feedback from students and their parents was valued by the directors. This feedback had to be set against parents and teachers being over-zealous about competition. With regard to childhood obesity, there was a parent education issue around children's diets and a need for some height/weight testing for them. From the observations, the local area was described as middle class with more supportive parents compared to other local areas.

The directors made comparisons between CIC 2 and other school sports organizations in the region, each with its own local area. Only one other organization in the region had the same outstanding provision as CIC 2, and it used a similar model and had good communication with schools' head teachers but had somewhat different services and charged higher membership fees. Comparator organizations in the region that were CICs tended to perform better than non-CIC organizations because their operational directors/SGOs focused on the role, whereas the others also had school teaching roles that detracted from their operational director/SGO roles. Comparator organizations sharing a boundary of CIC 2's area of operation were not performing as well and provided less value for money, and so at the margins there had been some migration of schools towards CIC 2. There was a view that it was up to these lower performing comparator organizations to improve.

Managerial layer

CIC 2 had a steering group of member schools that met termly. From the documents, stakeholder consultation was carried out through these steering group meetings, although no explicit mechanism by which action took place as a result of steering group meetings was identified in this period. Information concerning steering group meetings was available online to members. The attendees tended to be teachers who were PE coordinators at member schools and sometimes head teachers, although from the observations the intention had been

that all attendees were head teachers. There was some concern attendance at steering group meetings could have been better. However, when things were going well, the steering group was happy for them to continue. The committee made major decisions about money and influenced operations. From the observations, example decisions were to invest in a significantly improved App to coordinate sports competitions and a one in/one out policy for member schools as CIC 2 was almost at full capacity. Manager 1 had good relationships with committee members, and her style was to explain the benefits of how money could be spent rather than demanding it.

The management team comprised 4 board directors – Directors 1-4. From the documents, this was the established board membership. These board directors were assisted by Manager 1 as operational director. From the observations, CIC 2's directors never had to override the steering group. Each director had a different role in the team. Director 1 was the lead manager. Director 2 provided strategic overview, and as head of the School ensured its reputation was being maintained, provided a listening ear for customers and would only have got involved if problems had arisen which they had not to date. Directors 1 and 4 were both deputy heads of the School. Directors 1 and 2 were part of wider regional PE strategy. Director 3 was now more of an advisor and helper, particularly for Manager 1, and was content to focus on his job at the School. Director 4 considered Director 1 as having the direct responsibility for CIC 2, highlighting the latter's more active role. Manager 1 had acted as operational director for around 2 years, reporting on performance termly. The style of the management team was to have the right people to make decisions, to develop practice, and to react to customer needs. They wanted people with vision who could sometimes stop and look forwards.

"I think the ability to reflect is absolutely essential here – that you can have people who can sit, assess something and come up with even better ways of doing something that was already very good is what keep that whole thing moving" (Director 4)

While ethics were not explicit, emotion was noted. The team was considered resilient, and directors commented on being delighted, pleased, and proud of CIC 2.

Director 1 as lead manager was an optimist who felt that more could always be done, although that educators were not explorers by nature. Director 1's background and family circumstances had acted as his motivator in sport and education. He believed he had learnt to listen better. He spoke with pride at his involvement with CIC 2 and was delighted that schools who were not initially members of CIC 2 had since joined. Director 1 line managed Manager 1, initially meeting weekly and then as required.

Manager 1 as operational director was highly rated locally and nationally and had all the skills required. The management of CIC 2 was dependent on the skills of the person in the

operations director role. She had improved service quality compared to her predecessor, and was more experienced and known in the area, having deep knowledge of sports development in the region and a background as a sportsperson. Similarities between Manager 1 and Director 1 were a commitment to sport and going beyond what was expected, although there was still a capacity issue. Manager 1 did not see herself as running CIC 2 as a company with money changing hands, although it was and did. Manager 1 had a belief in sport that made it easy for her to promote its impact on everybody.

"I think the biggest thing for me is I suppose I'm living proof of how sport can change a life." (Manager 1)

For Manager 1, sport was about more than competition; it was about honesty and respect and about camaraderie and enjoyment. Consequently, Manager 1 was passionate about sport.

From the observations, Director 1 reported to the steering committee that CIC 2's services had improved under Manager 1, and so CIC 2 was fortunate to have had someone with Manager 1's abilities. The steering committee was informed that Manager 1 had decided to move to another job in late 2016, and so she left CIC 2.

6.3.2 CONFIGURATIONS AND FITS – QUANTITATIVE RESULTS

Configurations

Table 6.2: Configurations in Case 2 shows that just over half of the degrees of configuration and environment dominance were intermediate, with the rest split almost evenly between dominant and subsidiary. The degrees of configuration element dominance that were dominant and those that were subsidiary both occurred in the structural mode in the organizational layer and in the agential mode in the managerial layer. In the structural organizational layer, configuration elements were dominant for protection in organizational culture and in organizational performance outcomes. Indeed, for protection, while organizational change strategy was intermediate, it was close to the borderline of being dominant. In contrast, in the structural organizational layer, the degree of dominance was subsidiary in the compromise configuration element for organizational performance outcomes, although the score was not far from the borderline of being of intermediate dominance. More clearly in the structural organizational layer, the degree of dominance was subsidiary in the elimination configuration element for organizational culture and organizational change strategy, and in the opportunity configuration element for organizational culture. In the agential managerial layer, the configuration element was markedly dominant in elimination for management reflexivity. In contrast in the agential managerial layer, the degree of dominance was subsidiary in the protection configuration element for management reflexivity.

Table 6.8: Configurations in Case 2 also shows there was some agreement among managers for under half of the configuration elements, while in over half of the elements there was debate and disagreement. There was debate in the structural mode concerning the organizational and environmental layers, and in the agential mode managerial layer. The disagreement was in the structural mode only and concerned the organizational and environmental layers. In the structural organizational layer, there was disagreement about organizational culture and organizational change strategy in both protection and compromise configuration elements. In addition, in the structural organizational layer, there was debate around the configuration elements of opportunity in organizational culture and elimination in change strategy. In the structural environmental layer, there was disagreement about dynamism and munificence and there was debate around complexity. In the agential managerial layer, a feature of the debate was that it manifested in three of the four configuration elements of managerial reflexivity – protection, elimination, and opportunity. There was no scope for debate or disagreement in compromise management reflexivity as an assumption was made regarding that configuration element.

	Protection							(2)		Compromise							(2)		Elimination							(2)		Opportunity							(2)		Environment							(2)	
	D1	D2	D3	D4	M1	average	outcome	similarity	outcome	D1	D2	D3	D4	M1	average	outcome	similarity	outcome	D1	D2	D3	D4	M1	average	outcome	similarity	outcome	D1	D2	D3	D4	M1	average	outcome	similarity	outcome	D1	D2	D3	D4	M1	average	outcome	similarity	outcome
STRUCTURAL MODE																																													
Organizational layer																																													
Organizational Culture	41.67	60.50	18.33		41.67	40.54	dominant	29.90	disagree	37.50	19.33	75.00		58.33	47.54	dominant	42.04	disagree	7.50	6.83	6.67		0.00	5.25	subsidiary	6.09	agree	13.33	13.33	0.00		0.00	6.67	subsidiary	13.33	debate									
Organizational Change Strategy	23.33	53.00	24.33		28.33	32.25	intermediate	24.25	disagree	25.00	11.00	53.33		25.00	28.58	intermediate	30.78	disagree	21.67	2.00	0.00		16.67	10.08	subsidiary	18.56	debate	30.00	34.00	22.33		30.00	29.08	intermediate	8.45	agree									
Organizational Performance Outcomes	40.00	45.00	33.33		39.17	39.38	dominant	8.28	agree	18.33	4.33	16.67		16.67	14.00	subsidiary	11.24	agree	23.33	19.67	16.67		13.33	18.25	intermediate	7.38	agree	18.33	31.00	33.33		30.83	28.38	intermediate	11.76	agree									
Environmental layer																																													
Environmental Dynamism (1)																																					60.71	25.00	50.00		32.14	41.96	intermediate	28.29	dissimilar
environmental munificence (1)																																					70.00	25.00	50.00		35.00	45.00	intermediate	33.91	dissimilar
environmental complexity (1)																																					50.00	33.33	50.00		58.33	47.92	intermediate	18.16	debate
Managerial layer																																													
Management Behaviour (1) (4)	24.14	25.93	27.45		23.81	25.33	intermediate	2.93	agree	26.44	25.93	23.53		27.38	25.82	intermediate	2.84	agree	21.84	23.46	23.53		23.81	23.16	intermediate	1.55	agree	27.59	24.69	25.49		25.00	25.69	intermediate	2.26	agree									
AGENTIAL MODE																																													
Managerial layer																																													
Management Reflexivity (1) (3) (4)	7.03	2.21	28.68		7.50	11.35	subsidiary	20.43	debate	25.00	25.00	25.00		25.00	25.00	intermediate	0.00	agree	39.84	39.71	28.68		56.25	41.12	dominant	19.68	debate	28.13	33.09	17.65		11.25	22.53	intermediate	17.14	debate									

notes:
(1) denotes where conversions have been applied to original data
(2) similarities assesse by the square root of the sum of the squatres method
(3) Management Relexivity results assumed for Compromise
(4) Management Behaviour and Management Reflexivity treated here as "collapsed" concepts (opened up in Fit tables)
scale used for dominance for structural organizational layer and managerial layer, and for agential managerial layer is 0-16.67: subsidiary, 16.68-33.33: intermediate, 33.34-50+: dominant
scale used for structural environmental layer is 0-33.33: subsidiary, 33.34-66.66: intermediate; 66.67-100: dominant
(temporary) scale used for similarity/outcome is 0-12.5: agree; 12.6-25: debate; and 25+: disagree
could indicate where figures are near a boundary in due couse

Table 6.8: Configurations in Case 2

Fits

The degrees of fit between configuration elements was investigated for the structural mode within layers and then between layers – organizational, environmental, and managerial – for the agential mode, and then between the structural and agential modes. These degrees of fit between configurational elements are summarized below in Table 6.9: Fits in Case 2. The table shows that most degrees of fit were tight, a minority were loose fit, and a couple were misfits. Within the structural mode layers, degrees of fit were assessed within the organizational layer and within the managerial layer. Within the structural organizational layer, the degrees of fit varied across the configuration elements. The varied degrees of fit for configuration elements were, on balance, in rank order of tightest first: protection and elimination (both all tight), opportunity (mostly loose fit with some tight fit) and compromise (mix of tight, loose and misfit). Viewed another way, the degree of fit between organizational change strategy and organizational performance outcomes was consistently tight fit across the configuration elements. However, there were tight, loose and misfits between organizational culture and organizational performance outcomes and between organizational culture and organizational performance outcomes. Within the structural managerial layer, the degrees of fit were tight across all four configuration elements i.e. protection, compromise, elimination, and opportunity.

Between the structural mode layers, the degrees of fit between organizational and environmental layers and between environmental and managerial layers were tight fit. However, in the structural mode the fits between organizational and managerial layers were mostly tight. The degrees of fit were all tight in the protection configuration element. The degrees of fit were also tight in the compromise, elimination and opportunity configuration elements for organizational change strategy and organizational performance outcomes, but loose in organizational culture.

In the agential mode, there were loose fits between three of the configuration elements – i.e. protection, elimination, and opportunity. The fit between the compromise configuration element was tight because of an assumption that was made.

Between the structural and agential modes, the degrees of fit varied across the configuration elements. The varied degrees of fit for configuration elements were, on balance, in rank order of tightest first: opportunity (all tight fit), compromise (mostly tight fit), protection (mostly loose fit with one tight fit), and elimination (mostly loose fit with one misfit).

	Protection/Protection difference	outcome	Compromise/Compromise difference	outcome	Elimination/Elimination difference	outcome	Opportunity/Opportunity difference	outcome	Environment/Environment difference	outcome
1A WITHIN STRUCTURAL LAYERS										
Within organizational layer										
Organizational Culture/Organizational Change Strategy	8.29	tight fit	18.96	loose fit	4.83	tight fit	22.42	loose fit		
Organizational Culture/Organizational Performance Outcomes	1.17	tight fit	33.54	misfit	13.00	tight fit	21.71	loose fit		
Organizational Change Strategy/Organizational Performance Outcom	7.13	tight fit	14.58	tight fit	8.17	tight fit	0.71	tight fit		
Within managerial layer										
Management Behaviour/Management Behaviour (1)	2.93	tight fit	2.84	tight fit	1.55	tight fit	2.26	tight fit		
Within environmental layer										
NA (2)										
1B BETWEEN STRUCTURAL LAYERS										
Between organizational and environmental layers										
Organizational Culture/Environmental Dynamism									9.95	tight fit
Change Strategy/Environmental Dynamism									4.54	tight fit
Organizational Performance Outcomes/Environmental Dynamism									4.44	tight fit
Between organizational and managerial layers										
Organizational Culture/Management Behaviour	15.21	tight fit	21.72	loose fit	17.91	loose fit	19.03	loose fit		
Change Strategy/Management Behaviour	6.92	tight fit	2.77	tight fit	13.08	tight fit	3.39	tight fit		
Organizational Performance Outcomes/Management Behaviour	14.04	tight fit	11.82	tight fit	4.91	tight fit	2.68	tight fit		
Between environmental and managerial layers										
Environmental Dynamism/Management Behaviour									7.84	tight fit
2 WITHIN AGENTIAL MODE										
Management Reflexivity/Management Reflexivity	20.43	loose fit	0.00	tight fit	19.68	loose fit	17.14	loose fit		
3 BETWEEN STRUCTURAL AND AGENTIAL MODES										
Organizational Culture/Management Reflexivity	29.19	loose fit	22.54	loose fit	35.87	misfit	15.86	tight fit		
Organizational Change Strategy/Management Reflexivity	20.90	loose fit	3.58	tight fit	31.04	loose fit	6.56	tight fit		
Organizational Performance Outcomes/Management Reflexivity	28.02	loose fit	11.00	tight fit	22.87	loose fit	5.85	tight fit		
Environmental Dynamism/Management Reflexivity									14.24	tight fit
Management Behaviour/Management Reflexivity	13.98	tight fit	0.82	tight fit	17.96	loose fit	3.16	tight fit		
notes:										
scale used for dominance for degree of fit: 0-16.6: tight fit; 16.67-33.33: loose fit; 33.34-50+: misfit										
query whether same scale approapriate for Managemenet Behaviour and Management Reflexivity as square root of sum of squares used										
Management Reflexivity - fit is calculated by means of the square root of the sum of the squares										
Management Reflexivity - Compromise has been assumed - see Configurations										
there is no necessary relationship between environmental dynamism, munificence, and complexity and no fit calculation is appropriate -										
could indicate where figures are near a boundary in due couse										

Table 6.9: Fits in Case 2

Supplementary configurations

Table 6.10: Management demographics in Case 2 shows that managers' demographics were similar on one factor and dissimilar on the other two factors. Managers were similar as they were all from a white ethnic group. There was some gender dissimilarity as 4 managers were male and 1 was female, although all the male managers were board directors, and the female manager as operational director was not a board director. The managers had some age dissimilarity, as 2 were in the 35-44 age group, 1 was in the 45-54 age group, 1 was probably in the 35-44 or the 45-54 age groups, and 1 was in the 55-64 age group.

Table 6.11 Management preferred team roles in Case 2 shows ranks of team roles paired by configurations for Directors 1-3 and Manager 1 varied with roles in the Elimination and Opportunity elements rated above those in the Protection and Compromise elements. Ranks be team role alone showed dissimilarities. Across this team, their strongest roles were Implementer and Plant, which were set against their weakest specific roles of Team Worker and Coordinator. The Implementer strength reduced the risk of having three directors as Plants. As the lead director/line manager and operational director respectively, who therefore contributed most to work on the ground, Director 1 and Manager 1 had complementary role strengths and weaknesses.

Table 6.12: Management ethics in Case 2 shows ranks across Directors 1-3 and Manager 1 were highly ranked across the board of different ethics, such that when they were clustered by configuration elements there was little to choose between them. Manager 1 had the highest ratings, with the three directors close together. Two things stood out at a more specific level. Firstly, two of the biggest differences in scores were between Director 1 and Manager 1, who worked closely together – Director 1 considered Virtue and Economic ethic to be less important than did Manager 1. Secondly, Director 2 rated two ethics in the Elimination element particularly highly – Rule utilitarian and Ethical reputation, reflecting his position as head teacher of the School.

Table 6.13: Management affect in Case 2 shows that positive affect scores had some dissimilarity and negative affect had more dissimilarity between the managers. For all managers positive affect outweighed their negative affect. However, Manager 1 had a notably greater difference between positive and negative affect. On balance the managers tended to be content at work. There was a weak implication that the structural configurations were not perfectly aligned with those of the managers' reflexivities but that on balance the managers were comfortable with the position. Manager 1 was more comfortable with the arrangement than the board directors. It could also be that alignment of managers' reflexivities with those of other stakeholders was also comfortable for the managers.

	Director 1	Director 2	Director 3	Director 4*	Manager 1*	similarity/dissimilarity
Age range	35-44	55-64	35-44	(35-44, 45-54)	45-54	dissimilar
Gender	Male	Male	Male	(Male)	Female	
Ethnic group	White	White	White	(White)	White	similar
				* observed	*non-board director	

6.10: Management demographics in Case 2

Configuration	Team role	Director 1		Director 2		Director 3		Director 4	Manager 1		total by role	rank by role	total by config	rank by config
Protection	Resource Investigator	2	manageable	3	preferred	2	manageable		2	manageable	9	3=	15	3=
	Team Worker	2	manageable	1	least preferrred	1	least preferrred		2	manageable	6	4=		
Compromise	Co-ordinator	2	manageable	2	manageable	1	least preferrred		1	least preferrred	6	4=	15	3=
	Completer Finisher	3	preferred	2	manageable	1	least preferrred		3	preferred	9	3=		
Elimination	Shaper	3	preferred	2	manageable	2	manageable		2	manageable	9	3=	21	1
	Implementer	3	preferred	3	preferred	3	preferred		3	preferred	12	1		
Opportunity	Plant	3	preferred	3	preferred	3	preferred		1	least preferrred	10	2	19	2
	Monitor Evaluator	1	least preferrred	2	manageable	3	preferred		3	preferred	9	3=		
	(Specialist)	1	least preferrred	1	least preferrred	3	preferred		1	least preferrred	6	4=		
				strongest										
				weakest										
note:														
Manager 1 included - could also be excluded														

6.11: Preferred team roles in Case 2

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Configuration	Ethic	Director 1	Director 2	Director 3	Director 4	Manager 1	total by ethic	rank by ethic	av by config	rank by config	similar (i.e. within 1 or less)
Protection	Care	3.50	4.00	4.00		4.25	15.75	5	15.88	3	similar
	Virtue	3.00	4.00	4.00		5.00	16.00	4			dissimilar
Compromise	Rule deontology	5.00	4.00	4.00		5.00	18.00	2=	17.50	1	similar
	Act deontology	4.67	3.67	4.00		4.67	17.00	3=			similar
Elimination	Act utilitarian	4.00	4.00	4.00		5.00	17.00	3=	16.88	2	similar
	Rule utilitarian	4.50	5.00	4.00		4.50	18.00	2=			similar
	Ethical economic	2.67	3.67	3.33		4.33	14.00	6			dissimilar
	Ethical reputation	4.50	5.00	4.00		5.00	18.50	1			similar
Opportunity	(Pragmatics)	NA									
		31.83	33.33	31.33		37.75					similar/dissimilar
similarity		dissimilar	dissimilar	similar		similar					
notes:											
similarity for rows and columns = 1 or less											

6.12: Management ethics in Case 2

	Director 1	Director 2	Director 3	Director 4	Manager 1	comment
Postive affect	24	21	18		24	similar
Negative affect	11	10	9		6	similar
Positive less negative affect	13	11	9		18	similar/dissimilar

6.13: Management affect in Case 2

6.3.3 FITTINGS – QUALITATIVE RESULTS

Organizational layer

In history before 2011, the School had been involved in the national schools sports partnership programme since 2005 and was a sports college. The bid for the sports college and the schools sports partnership was backed by a previous head teacher. The School had specialisms in sport and applied learning, which allowed it to expand staffing capacity. The School developed a reputation in sport and applied learning in both disability and mainstream schools.

The school sports partnership was the predecessor operating organization to CIC 2. The sports college was an example of good practice within a school setting. The schools sports partnership sought to meet schools' needs in PE and school sport. The sports partnership model was a strong top-down network that was government funded and driven. The sports partnership laid foundations that were subsequently built on by CIC 2. The sports college and school sports partnership were both regarded as very successful and were ranked highly nationally.

In the past between 2011 and 2014, the School initially decided that it wanted an arm to run local school sports. The School through its head teacher (Director 2) backed Director 1 and colleagues to launch CIC 2, as the School had always provided people with opportunities to develop ideas. The School made an initial investment in CIC 2, including a one-year interest free loan of several thousand pounds. Director 1 had considered start-up loans:

"But going back to head teachers to say that some of their money they had put into the pot is going on interest, it doesn't go down very well with schools really." (Director 1)

The School having had a head teacher and governors who were prepared to take a risk were essential to the creation of CIC 2. However, from the observations, there was some initial criticism that CIC 2 was based at the School.

Director 1 considered that a modified organization was required to continue the work the previous schools sports partnership.

"You know, I don't think it's that ground-breaking what we did really, but it is thinking outside the education box." (Director 1)

What was required was an organizational model to sustain the previous service, rather than a profit-making business as such. From the observations, optional legal forms were considered, including charity and cooperative trust, and advice was taken, leading to choosing a social enterprise form, and launching in 2010 as a CIC. CIC 2 got off the ground quickly by delivering

school competitions. CIC 2 was efficient, combining resources and better coordinating activities, and had more financial flexibility than the previous schools sports partnership. In order to create enough capacity school membership fees needed to be added to the government SGO grant. Considering different models for membership fee pricing was challenging, and in due course prices were lowered. CIC 2 maintained the standards of service of the previous schools sport partnership. CIC 2 then improved performance by delivering more services to more schools than had been previously the case. A small profit was made and re-invested each year.

Director 1 was supported by Director 3 in developing CIC 2. At launch the majority of schools in the schools sports partnership had been recruited. The workforce was restructured in the first two years. While more staff had been involved previously in the sports partnership with more meetings, projects then had been more fragmented.

From the documents, as part of organizational performance, financial performance varied, with net current assets and reserves growing and then falling. Over the period 2012 to 2014, net current assets grew from £0-5 to £15-20k and then fell back to £0-5k. Reserves followed the same trajectory, as they grew from £0-5k in 2012 to £15-20k in 2013, and then fell to £0-5k in 2014. The qualitative assessment of social impact covered the four aspects previously identified, with a slight modification in 2014 from guiding and supporting those delivering in schools to the more specific those teaching in schools.

In the future of 2017 to 2018, the School's aims included the development of sport for children with disabilities. This emphasis accorded with the School being a special school. CIC 2 had always had disability sport as an objective. The School considered there to be opportunities for the future for CIC 2 in this area.

The future of CIC 2 as an operating organization was mainly dependent on the continuation of government funding and school membership fees. The member schools were to be advised of the best way of structuring spending of the soon to be increased sports premium grant. CIC 2 had cash reserves, which had attracted tax, as a contingency plan for one year in the event of the main SGO grant ceasing. Other contingency plans considered were increasing membership fees, making efficiency savings, and reducing services. These contingency plans had been agreed by the steering group.

Two main plans for the future of CIC 2 were advanced: a preferred gradual development and a step change. The gradual development would have involved adding a few more member schools up to a manageable limit within the existing model and historical league boundaries. The step change plan would have involved a rapid doubling of organizational size by replicating the existing model in a neighbouring area. This step change plan was unpalatable

because it would have had to be aggressive, put other people out of jobs, and perhaps resisted if league expansion was included. However, it was observed that if the step change plan were viewed by a business as a decision, then it might have gone ahead. An alternative view was expressed that the future was not about plans but about maintaining performing well, improving, and analyzing environmental changes:

"A bit like Formula 1, which I like, Bernie Ecclestone was saying that's what his vision is, rather than, it's to be the best I can be now – I haven't got a five-year vision because what comes along next, what it might mean, I need to react to that to step us forward. So that's kind of it." (Director 2)

There was confidence that the organization would survive for the next 5 years, although the next 10 years was less clear because of a possible change of government. Moreover, in 10 years' time, the old school sports partnerships might have returned and so things would have come full circle.

Workforce capacity was a significant issue for the future. Expansion of workforce capacity would have enabled more demanding tasks to be undertaken on obesity, transition, early years PE including outdoor play, and more training support for new and existing teachers in high quality PE. A review of capacity for the operational manager role was being considered with new arrangements for the SGO role. One option under consideration was to use apprentices, who could work across several schools. Another option was to coordinate the sharing of PE teachers between primary schools, where there was no specialist PE teacher. One way of raising additional funds to address workforce capacity that was under consideration was company sponsorship of events.

Based on the documents, CIC 2 continued to be an active organization into the future, and much was maintained. However, three changes were apparent. The inspiration from the Olympics in London 2012 and its legacy were downplayed by removing references to them. There was also a subtle shift in one activity from providing guidance for those individual teachers delivering in schools to providing training and resources for schools as organizations. Financial performance continued to improve as net current assets grew from £10-15k in 2017 to £15-10k in 2018, and reserves grew from £10-15k in 2017 to £15-20k in 2018.

Environmental layer

In history before 2011, the change of government from Labour to the Conservative/Liberal Democrat coalition in 2010 saw the dismantling and the end of funding for schools sports partnerships which had run for 10 years, which led to redundancies. Accordingly, this led to the demise of the school sports partnerships that was the forerunner of CIC 2. However, the

new government did establish and fund School Games Organizers (SGOs) instead. The previous performance assessment for schools sports partnerships (PESSCL) was substituted by performance assessment for SGOs. At the time, the London 2012 Olympics were on the horizon.

The local schools sports partnership that had existed comprised some of the more demanding schools in the region, and so the School started to provide more support. Most schools appreciated the service and were passionate and protective of it. Schools were clustered with a coordinator in each cluster. Those running the various schools sports partnerships in the region were a close knit group, and since then staff turnover has been relatively high.

There was also a small, local and long-established primary school sports association. This association had constitutional, structural, financial and insurance issues, which had to be addressed. Furthermore, the long-established nature of the sports association meant that it had influence, although people were not willing to take on roles to drive it forward. The School had to deal with the sports association.

"And we battled against some figures who had been working in school sport in the area for a long time and who really wanted to cling onto their power and authority as associations." (Director 4)

Ultimately, what became CIC 2 had to negotiate to acquire some of the roles of the sports association. What became CIC 2 could have taken over a neighbouring schools sport partnership but declined. Around 2010 there was a change in the landscape of people volunteering in school sports, so that people expected to be recompensed, although not necessarily paid.

In the past between 2011 and 2014, in the wider environment the government saw school games as a vehicle for competition, imitating sport in private schools, and repackaged school sports funding. This culture was matched by a local ethos of competition in school sports. The government shifted its position on SGO funding from education to competition and community, with 60-70% funded by health and the rest by education. The directors recognized that the government was a client from a business perspective and so lobbied the local MP.

In the operating environment, Director 1 and colleagues sought to shape the situation by presenting different models to consortiums of head teachers, who were to become the customers of CIC 2 and so principal stakeholders. Some of these meetings with head teachers were very difficult.

"And some of that involved some very uncomfortable meetings with head teachers that still don't smile at me today." (Director 1)

From the observations, some of the older head teachers preferred a more traditional organizational arrangement of a schools sports partnership, and so there was some cultural change as the organization moved to become a CIC.

Options were presented with different funding solutions for a 5-year business plan. These consultations involved selling the case to head teachers who tended to prefer the status quo to beneficial change. The head teachers were also used to getting a free service from the sports partnership and were not used to income generation and balancing their own books. There was also the need to convince head teachers that the School knew about sports in general and not just disability sport. Ultimately the proposal was almost universally accepted by the schools that had been in the sports partnership, leaving only a handful of schools who initially declined to become members.

In the future of 2017 to 2018, the potential change anticipated in the wider environment was a new government policy, and this was echoed in the observations. It was expected that government funding for schools sports would remain stable and that CIC 2 would continue to receive funding as a highly ranked entity in schools sports. However, changing school sports funding could have presented challenges or opportunities. A reduction in government funding to local authorities for sports education and health was a risk. Policy development to further promote the health benefits of sport was an opportunity. There might have been more policy focus on reducing child obesity as a newsworthy topic, which might have shifted emphasis from competition to participation. National performance at major international sports events tended to influence government sports policy, with poor results more likely to lead to a change, although good results could be capitalized upon too. The potential extension of the school day was also a consideration but might lead to more or less PE. The directors were confident of being able to respond to changes in government policy and in their contingency plans if they were required.

In the operating environment, there were also potential opportunities and risks. In the short term, the sport premium grant was due to double in 2017, which was advantageous. In the future, traditional geographical boundaries might blur and so school sports leagues might expand which might provide opportunity. Change in sports leagues might have been enabled by older people in the PE community retiring and a newer generation taking over. The regional network of schools and sports clubs was likely to become more closely aligned, perhaps under an umbrella body such as the Youth Sports Trust or UK Sport.

Managerial layer

In history before 2011, Director 1, Director 4 and ANO previously worked together at the School on the sports college and the schools sports partnership. They did not want to see their achievements go to waste through the demise of these organizational arrangements.

In 2011 Director 1 had proposed CIC 2 to Director 2 as his boss at the School as a way of providing a service and channeling government money when CICs were being pushed by government. Director 2 decided to support the proposal. Director 4 considered that CIC 2 would not have got off the ground without Director 1. Consequently, Director 1 has provided strong continuity throughout the life of CIC 2.

In the past between 2011 and 2014, management arrangements for CIC 2 had been similar from the start. The steering committee helped communications, which had been criticized by a minority of schools. From the documents, in 2012 and 2013 the mechanism for action was identified as decisions made at steering group meetings are acted on by the director, but this was left unspecified from 2014. The committee had a chair who had worked in education, was independent, and had been chair of the previous sports association to demonstrate that it had not been taken over. The board and steering committee were closely aligned.

"I can't think really of an occasion where the board has disagreed with anything that has been recommended from the that group to date." (Director 1)

Employing staff was expensive, and so a secondment approach from the School was adopted, although CIC 2 met the costs of the operational director's salary. Directors 1-4 were in place from the start. From the documents, in 2011 there were 5 directors – Directors 1-4 plus ANO, who was the first operational director. ANO then resigned from the board in 2012, leaving the four other directors. While ANO was replaced as operational director, this position ceased to be a board position in 2012. ANO as the first operational director and a board director left after a year. Director 2 remained head of the School. Director 3 became head of PE at the School and so after the launch became less involved with CIC 2. Director 4 was deputy head of the School along with Director 1. The second operational director was in post for about 2 years and was less skilled and so received more support. Manager 1 was in a previous sports role and had some contact with her predecessor as operational director.

In the future of 2017 to 2018, from the observations, Manager 1 left her post as operational director at the start of this period. A new manager was appointed to act as operational director, with reduced capability compared to Manager 1. The directors' response to the risk posed by this reduction capability was to provide more support than had been required for Manager 1. From a management team perspective, the directors believed they have improved by learning

from their mistakes. This learning meant that they now looked further into the future and carried out better strategic planning. Director 1 was confident about CIC 1 and its future and was particularly delighted about the opportunities for the future for disabled children's sport.

For the data analyzed for case study 2 see Appendix 6.2: Comparative case studies – list of data analyzed for case study 2.

6.4 SUMMARY

Case 1 and Case 2 used different approaches to their configurations, fits and fittings to both achieve high performance. **Case 1** was centred on CIC 1 which provided public engagement, research and insight, and complaints and advocacy services, primarily for Healthwatch contracts intended to give a public voice in NHS healthcare.

The organizational layer comprised CIC 1 with a blended business and community culture. There was a growth strategy based on public Healthwatch contracts delivered by an independent structure. CIC 1 had strong all-round performance as a provider within the Healthwatch England umbrella. CIC 1's environmental layer involved medium-term Healthwatch contracts delivered against a background of cuts, competition for customer relationships, and public confusion. The government provided non-ring-fenced funding for local authority intermediary customers and legislated requiring providers to be social enterprises. The managerial layer was a board of 5 selected and diversely skilled Non-Executive Directors with a pivotal Chief Executive in attendance, who had a hands-on and collective style with her Senior Management Team and other staff.

The four configuration elements of protection, compromise, elimination, and opportunity generally had intermediate degrees of dominance. The protection element dominant in parts of the organizational layer in the structural mode. The degrees of fit in the configuration elements in the structural mode, agential mode and between them, were almost all tight.

CIC 1 and was formed as a spin-off from the local authority to replace a LINk. CIC 1 was then non-competitively awarded the end of the LINk contract and then the local Healthwatch contract. The organization performed securely, and then pursued a controlled growth strategy through Healthwatch contract replication that increased performance. The national environment in the past was that LINks had been discredited in the wake of the Francis reports into poor care at Mid-Staffordshire Hospital. These reports led to Healthwatch being established to provide patient input to the NHS, which initially provided a benign contract environment for CIC 1. Healthwatch was expected continue in medium term under a Conservative government, with contracts becoming tougher and favouring stronger performing providers such as CIC 1. Initially a local councillor sponsored what become CIC 1 and used a consultant and a former LINk member and director-to-be to develop the concept. This led to a chair being appointed, who selected 4 more Non-Executive Directors with diverse skills who then appointed a Chief Executive to be in attendance. The board was then expected to increase by 2 and gradually turnover with a shift in the Chief Executive's style, but while the Chief Executive became a director she then left and the board shrank to 3 of its original members.

CIC 1 began in a sheltered environment that enabled the board and Chief Executive to develop it into a securely performing provider of the local Healthwatch contract and related activities. It was then able to grow by replication in the second round of Healthwatch contract awards by capitalizing on its relatively strong performance.

Case 2 was centred on CIC 2, which provided children's sports and PE for a network of local state schools as part of the School Games Organizer (SGO) system.

CIC 2 had a culture of mutual competition and community. Its strategy supported participation through high quality services. There was a structure of hands-of directors, a hands-on operational director, and a volunteer workforce. Financial performance was secure and social impact provided by being a highly ranked SGO group of member schools backed by the School. The operating environment allowed CIC 2 to operate as a monopoly provider by consent of the local school community as paying members. Government SGO funding was an investment in participation with a return through long-term health benefits. The managerial layer comprised 4 directors, plus a non-board operational director who was line managed by one of the board directors who was instrumental in setting up CIC 2 and important to its running.

The degrees of dominance in the four configuration elements of protection, compromise, elimination, and opportunity were intermediate in just over half of instances, dominant in a quarter, and subsidiary in the remaining quarter. The degrees of fit in the configuration elements were mostly tight, with a minority that were loose and a couple of misfits. Notably, structural mode configurations generally leant toward the protection element and the agential configuration towards the elimination element, and they were similar on compromise and opportunity elements.

Previously, there was a school sports partnership that established an operational model and was also run by the School. This was superseded by CIC 2 following consultation with heads of school. Then CIC 2 improved its price per pupil and services. In the future CIC 2 gradually improved in its local area rather than replicating in another neighbouring area. Previously, the Conservative/Liberal Democrat coalition government withdrew funding from school sports partnerships and funded competitive sport instead through SGOs. In the short-term other funding was due to increase, in the medium term the school and club network and leagues would develop, and SGO funding was secure pending a change of government policy. Before CIC 2 was launched, two of its directors and its first operational director had worked together on the schools sports partnership. Then Director 1 proposed CIC 2 to the School and so a board of 4 directors from the School was formed and remained in place, although the

operational director changed twice. The third operational director then left to be replaced in the future, with Director 1 providing support and continuity.

CIC 2 built on the preceding school sports partnership, having been launched after in-depth consultation with school heads most of whom became customer members. It continuously improved its services over time. While Case 1 and Case 2 used different configurations, fits and fittings to both achieve high performance, other cases were investigated whose approaches were low performing.
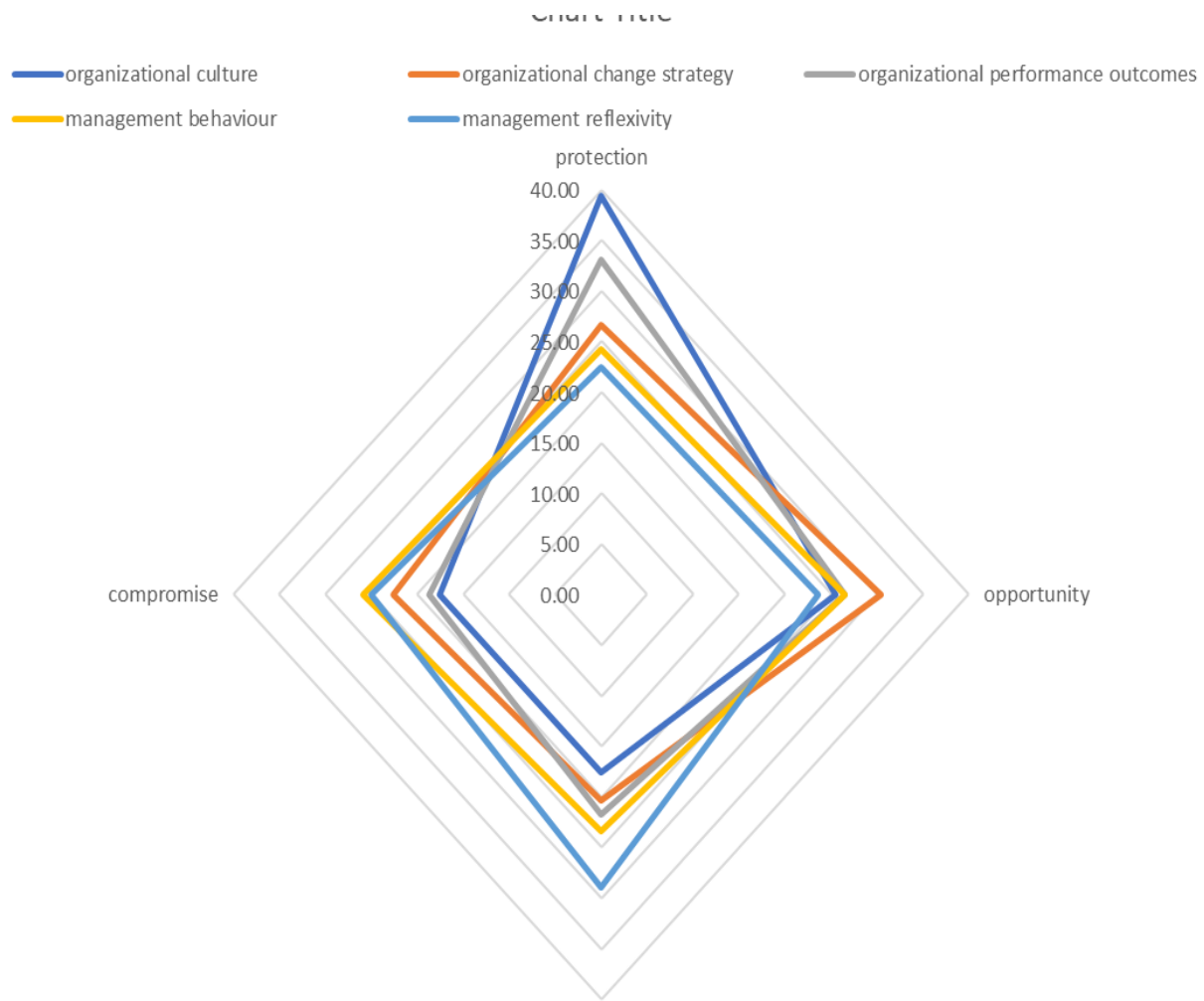
Figure 6.1: Case 1: Configurations, fits, and fittings

Figure 6.2: Case 2: Configurations, fits, and fittings

CHAPTER 7: RESULTS OF PHASE 2 - PLAUSIBILITY BUILDING: PAIR OF LOW PERFORMING CASES

7.1 INTRODUCTION

Bad times have a scientific value. These are occasions a good learner would not miss.

Ralph Waldo Emerson (1803 - 1882)

All that glisters is not gold

Shakespeare (1564 – 1616)

A thing is not necessarily true because a man dies for it

Oscar Wilde (1854 - 1900)

Without the possibility of death adventure is not possible

Reinhold Messner (1944 -)

Having set out the results from having observed a pair of cases with high performance in the previous chapter (Chapter 6), this chapter deals with results of having observed a pair of cases with lower performance. These case studies concerning CIC organizations that did not perform as well as others added to plausibility building. However, this is not to say that there were not some positive features of this pair of CICs, although ultimately, they were lower performing. In managing a CIC, no matter how positive the intention, there are various factors at work that might pose obstacles. There is always the possibility that CICs may not work out as well as intended.

Note:

Between the cluster survey from which Case 3 was selected and its investigation as a case study, CIC 3 lost one of its contracts, which had implications such as the need to make redundancies, and so its performance had deteriorated.

7.2 CASE 3 RESULTS: CONFIGURATIONS, FITS, AND FITTINGS

7.2.1 CONFIGURATIONS AND FITS – QUALITATIVE RESULTS

Organizational layer

In the operating organization, the culture of CIC 1 was informed by its ethos of delivering services by combining no toleration for prejudice with a bartering approach to informing people and especially the young. The organization had better control processes, which it could get away with not having previously as a start-up. CIC 1 was a local leader in their field, with a proven individual approach.

In the operating organization the organizational structure from a legal perspective of being a CIC was considered challenging. On one hand the organization was seen in abstract terms as a legal entity or legal person. On the other hand, CICs and charities were considered to be the same in that they were supposed to put people before profit, although this was less and less true of charities.

"It's kind of ruthless because we are now a business" (Manager 1)

The service strategy was to provide training services for vulnerable people, where challenge based on trust was appropriate. The main services were general training, alternative education provision, and criminal justice support, with some other services such as in community centres. There was a shift from services for adults, such as ex-offenders, to services for youth, and from later to earlier intervention, which was confirmed in the documents.

Overall organizational performance was assessed as better than comparators such as other local agencies who were no longer operating. Performance was successful on balance, considering financial and non-financial achievements. However, resources in general were problematic, as while CIC 3 had knowledge, it did not have an established distribution network for its services. Finance was the main limitation and at a crossroads, with the loss of a school contract, a turnover decrease, and unstable income. From the observations, since initial contact with CIC 3 through the cluster survey, its situation had changed because of a loss of a school contract, which led to redundancies and income less than expenditure. CIC 3's trajectory had been upwards but was now downwards. From the observations, 100% of CIC 3's profits were put back into the organization, even though 50% could have been distributed to the directors.

The documents confirmed that the financial performance of CIC 3 had reached a turning point, with net current assets changing into liabilities, and reserves becoming a deficit. Net current liabilities were marginal in 2015 but became more significant in 2016, and reserves were

significant in 2015 but became a marginal deficit in 2016. Social impact remained as before quantitatively in 2015, and then in 2016 CIC 3 stopped reporting on it. The qualitative social impact of CIC 3 was maintained. Stakeholder consultation was maintained in 2015, and then in 2016 was changed by including stakeholder representation on the management (oversight) committee. Both salaries and bonuses for Director 1 and Director 2 increased in 2015/2016, although Director 3 received no remuneration.

While CIC 3 had obtained renewed funding from charities, obtaining new charity funding was hard, and even funding was now for development costs to be contract ready rather than for projects. Hence the focus was shifted to tendering for contracts. However, there was a lack of experience in tendering and the bid success rate dropped. Those contracts that were available were short-term and created problems in being absorbed into other work.

The operating organization comprised the 3 directors of which 2 acted as executives, a manager, and workers. The workers were mainly volunteers, such as ex-offenders trained as mentors for young offenders, some of whom needed paid work and hoped to be employed by CIC 3 in due course. There was an opportunity to blend the life experience of volunteers, who could become very skilled, often having been through support programmes themselves, with the more academic skills of staff. However, there were risks associated with the turnover of volunteers such as repetition of training rather than developing people. The staff that were employed changed over time.

Group organizations were formed through temporary partnerships. One kind of partnership was shorter term opportunistic consortia relationships with big providers – companies and charities – who had greater bargaining power than CIC 3 with risks of abortive or unattractive work. Another kind of partnership was longer term collaborative relationships with clients, such as the police and probation service, who could provide funds but could put off service users and change into competitors. These group organization partnerships provided opportunities for funding but with risks of power imbalance and reversal.

Environmental layer

The wider environment provided commercial opportunity in the public sector. There was a general reduction in funding. This led to a reduction in the number of charities (sic) and the need for providers to be business-like. Government policy on public services has tended to award most public service contracts to big private sector companies, leaving smaller providers as sub-contractors to these main contractors who take a management fee and cream off the attractive work. Furthermore, the big providers were able to lobby government. There was a question about whether society trusts CICs sufficiently. There was concern over a backlash against the social sector generally, perhaps due to the actions of high-profile charities such as Kid's Company. There was a more specific concern about a backlash against CICs that are perceived as less transparent than charities and have directors that can earn salaries. The playing field was not level.

The operating environment Regarding environmental dynamism, what was demanded by customers changed every 6 months – in effect the goal posts moved frequently. Generally, the outlook for the local authority as the main client was that its sparse funding would reduce further over the next five years. Contracting in the caring sector had become very competitive with cutbacks and a focus on short term results. Conversely demand, such as for adolescent mental health services, was increasing, and already more people presented in crisis more often. This context favoured a private sector approach.

"[We are] fighting for every little bit of money that's going [and that had made us] become more business-like" (Manager 1)

The situation was described as "schizophrenic" in that polar opposites were being juxtaposed, such as by using the language of collaboration but ideas being held back. Social enterprises operating as sub-contractors ended up delivering poorer quality services for less money. From an environmental complexity perspective, the social enterprise world was difficult.

In the operating environment, the network of stakeholders was reasonably complex. On the supply side there was principally a pool of volunteers. Whereas on the demand side there were multiple stakeholders, such as service users - especially young people, social services, schools, police, probation service, local authorities and their various teams, funders, and the local community. Alongside CIC 3 there were other providers, including smaller enterprises, and agencies, some of which were closing, leaving others that CIC 3 used to work with in collaboration and now worked in competition.

There were also big competitors, both companies and charities. Competitors charities were an oligopoly, including Barnardos, Shelter, and the Salvation Army.

"I suppose it's about a bit like Chelsea and Man United - you know them at the top and then we're at the Championship team end" (Director 2)

It was noted that the government had a tendency to put money into charities without looking into them properly e.g. Kid's Company. A further stakeholder was the CIC Regulator that was argued to be probably more active than the Charities Commission.

From the observations, Director 1's strong views on the sector included that some providers were big organizations that were really businesses masquerading as commercial charities, who bought out smaller organizations and had supply chains that were hard to get into. Director 1 was doubtful that central and local government wanted supply base diversity to include social enterprises. Director 1 considers that money can be acquired provided it is locally distributed. CIC 3 identified with the locality and was known there as the only provider of some services, as other organizations had closed.

Managerial layer

There was an oversight committee was established at the request of a funder who was keen to enhance management processes. The committee needed different skills and two people had already left it, and so some refreshment was required. Furthermore, someone died over the last year. There was a consultant who was helping to develop the committee. However, as it had been in place for less than a year, it was not yet doing its job of providing and overview and looking outwards. For the time being, Director 1 and Director 2 were performing the oversight committee's role. Nevertheless, the idea of the committee as a focus for reflection was considered useful.

From the observations, there was an oversight committee that included non-directors, who had sector experience from different perspectives. The oversight committee was introduced earlier than planned, partly driven by funders' requirements. Protocols were observed in several ways at an oversight committee meeting. The topics covered at the meeting included new business, lack of a CRM system, targeting specific business rather than seeking charitable trust grants, provide some services for people for free, and cynicism about CIC 3 becoming part of the supply chain of a large private main contractor,

The management team itself comprised the 3 directors and the manager. The management team's performance was described on a wide spectrum from poor to impressive. It was noted that neither of the executive directors – Director 1 and Director 2 – were trained as managers. Internal communication could have been better. Director 1 and Director 2 acted as executive directors with complementary skills, with Director 1 as Managing Director and business manager, and Director 2 in charge of operations and projects. This allocation of roles was

driven by changes in the environment. The potential loss of either Director 1 or Director 2 was acknowledged to be a severe risk. Director 3 operated more like a non-executive director. From the documents the established team of Director 1, Director 2 and Director 3 remained in place.

The management team had different roles and relationships. Director 1 and Director 2 were like brothers who had arguments but bro-hugged in the office at the end of the day. Director 3 operated at a long distance to the other two directors. Manager 1 was part of the informal office team with Director 1 and Director 2. The need for reflection was noted for the team to practice what it preached to its service users. Director 1 and Director 2 had strict morals and values and went out of their way to help people. However, there was some difference of opinion between Director 2 with Director 1 and Director 3 about the acceptability of some funding sources. The management team saw itself as emotionally resilient in the face of their bids being rejected.

From the observations, CIC 1 the 3 directors met monthly. Director 1 focused on the business and Director 2 focused on projects, and they acted in full-time executive capacities in the management team. Director 3 provided support to obtain funding. There was also Manager 1, who mainly worked on the alternative education provision service, with whom Director 1 and Director 2 met weekly. Some workers - in addition to Director 1, Director 2 and Manager 1 - were paid and some volunteered.

Protocols were followed with a light touch at a staff meeting. The staff meeting was inclusive and humorous at times, with senior staff taking the lead. The discussion covered current projects current and potential clients, and possible sources of income, and that religion-based organizations have their own rules and that the public sector where further cuts were expected. Bidding for contracts was discussed, together with the importance of relationships with other bidders and the incumbent. Technical aspects of training were talked about. The meeting took place in CIC 3's training room in its office, which was reasonably well equipped for small group seminars, with motivational quotes about learning on the door.

"When I was 5 years old, my mother always told me that happiness was the key to life. When I went to school, they asked me what I wanted to be when I grew up. I wrote down 'happy'. They told me I didn't understand the assignment, and I told them they didn't understand life."

John Lennon (1940 – 1980)

There was also artwork by Manager 1 on the walls. The staff meeting closed with a discussion about a staff meal.

Director 1 as the lead manager had to take a business view. He was sceptical and assigned financial values to items. This was in the interests of financial stability and cash flow. He believed that he had to be money oriented, and commented in relation to the rest of the staff and volunteers that:

"…turns me into a really horrible nasty person to this lot" (Director 1)

Director 1 had not learnt management from books, but rather from his own experience, intuition and using other managers are exemplars. Director 1 considered that he now had a different mindset and that even the way he dressed was different. His compartmentalizing skills had improved, and now runs his life like a business and it had improved significantly. Director 1 had a clear conscience. When faced with a drastic change of role his core beliefs remained but things changed around them, as he said:

"…don't tell anybody this, you start thinking right wing a little bit." (Director 1)

Director 1 got emotional about the organization, but then could turn off his emotions to see the situation more clearly. While more serious now due to experiences such as making people redundant, he retained a sense of humour. Director 1 was forced to work in this way by commissioners.

7.2.2 CONFIGURATIONS AND FITS – QUANTITATIVE RESULTS

Configurations

The degrees of dominance of configurational elements was investigated for the structural mode layer by layer – organizational, environmental and managerial – and then for the agential mode focusing on the managerial layer. These degrees of dominance of configurational elements are summarized below in Table 7.1: Configurations in Case 3. The table shows that of the degrees of dominance in configuration elements and environment, about half were intermediate, and the other half was split roughly in half again between dominant and subsidiary. The dominant elements in the structural mode were in all three factors in the protection element and in organizational performance outcomes in the opportunity element in the organizational layer. However, change strategy in the protection element and organizational performance outcomes in the opportunity element were close to the dominant/intermediate borderline. In the agential mode the dominant element was in the elimination configurational element for management reflexivity, although was close to the dominant/intermediate borderline. The subsidiary elements in the structural mode were in all three factors in the elimination element and in organizational performance outcomes and organizational culture in the compromise element, although the latter was on the subsidiary/intermediate borderline. In the agential mode the subsidiary element was in the protection element for management reflexivity. The remaining configuration elements were intermediate. In the structural mode the most notable intermediate elements were mainly in the opportunity element in the organizational layer, across all three factors in the environmental layer, and in the across all three elements in management behaviour in the managerial layer. In the agential mode, the intermediate elements were in compromise (assumed) and opportunity in management reflexivity, with the latter close to intermediate/dominant borderline. These configuration results align with the congruence paradox by emphasizing one configuration element, and to some extent with the paradox hypothesis by also emphasizing other configuration elements to some degree, although to varying degrees. However, it was notable that the configuration elements in the structural and agential modes were roughly a mirror image.

Table 7.1: Configurations in Case 3, also shows that overall there was mostly agreement with little debate and no disagreement. Against this background of agreement, the debates were in the structural mode, in the organizational layer and the environmental layer. In the organizational layer the debate was around the compromise element in the organizational culture factor. In the environmental layer, the debate concerned intermediate munificence. Consequently, the debates were mainly around the generally subsidiary element of

compromise, and around intermediate munificence and so the extent to which resources were, or were not, readily available.

Structural mode:	Protection							Compromise							Elimination							Opportunity							Environment						
	D1	D2	D3	average	outcome	similarity	outcome	D1	D2	D3	average	outcome	similarity	outcome	D1	D2	D3	average	outcome	similarity	outcome	D1	D2	D3	average	outcome	similarity	outcome	D1	D2	D3	average	outcome	similarity	outcome
Organizational layer																																			
Organizational Culture	45.00	47.50	45.67	46.06	dominant	1.83	agreement	5.00	11.67	30.67	15.78	subsidiary	18.83	debate	15.83	12.50	8.83	12.39	subsidiary	4.95	agreement	34.17	28.33	14.83	25.78	intermediate	14.02	agreement							
Organizational Change Strategy	40.00	31.67	34.83	35.50	dominant	5.95	agreement	17.00	23.33	20.17	20.17	intermediate	4.48	agreement	11.67	15.83	14.67	14.06	subsidiary	3.04	agreement	31.33	29.17	30.33	30.28	intermediate	1.53	agreement							
Organizational Performance Outcomes	51.83	43.33	35.17	43.44	dominant	11.79	agreement	1.83	21.67	13.83	12.44	subsidiary	14.13	agreement	3.17	10.00	16.83	10.00	subsidiary	9.66	agreement	43.17	25.00	34.17	34.11	dominant	12.85	agreement							
Environmental layer																																			
Environmental Dynamism - conversion				NA							NA							NA							NA				60.71	71.43	60.71	64.29	intermediate	8.75	agreement
environmental munificence - conversion				NA							NA							NA							NA				45.00	30.00	60.00	45.00	intermediate	21.21	debate
environmental complexity - conversion				NA							NA							NA							NA				41.67	41.67	41.67	41.67	intermediate	0.00	agreement
Managerial layer																																			
Management Behaviour - conversion	25.00	27.27	25.86	26.04	intermediate	1.62	agreement	27.78	27.27	22.41	25.82	intermediate	4.19	agreement	20.83	22.08	24.14	22.35	intermediate	2.36	agreement	26.39	23.38	27.59	25.78	intermediate	3.07	agreement							
Agential mode:																																			
Managerial layer																																			
Management Reflexivity - conversion	10.71	2.42	16.41	9.85	subsidiary	9.95	agreement	25.00	25.00	25.00	25.00	intermediate	0.00	agreement	37.50	31.45	32.81	33.92	dominant	4.49	agreement	26.79	41.13	25.78	31.23	intermediate	12.14	agreement							

important notes:
scale used for dominance for structural organizational layer and managerial layer, and for agential managerial layer is 0-16.67: subsidiary, 16.68-33.33: intermediate, 33.34-50+: dominant
scale used for structural environmental layer is 0-33.33: subsidiary, 33.34-66.66: intermediate; 66.67-100: dominant
Management Behaviour and Management Refelxivity treated here as "collapsed" concepts (opened up in Fit tables)
inserting high level scores by each respondent would be better
square root of the sum or the squares would be better than using a range
Management Reflexivity - Compromise - assumed numbers

Table 7.1 Configurations in Case 3

Fits

The degrees of fit between configuration elements was investigated for the structural mode within layers and then between layers – organizational, environmental, and managerial – for the agential mode, and then between the structural and agential modes. These degrees of fit between configurational elements are summarized below in Table 7.2: Fits in Case 3. The table shows that the degrees of fit were tight fit in some areas and some particular areas of loose fit and even misfit. Tights fits were evident in the structural mode within the organizational layer and the managerial layer, and within the agential mode. However, in the structural mode, the fits between the organizational and environmental layers were loose across the board, and partially loose in the protection configuration element between the organizational and managerial layers. Between the structural and agential modes, between the organizational and managerial layers there were misfits and loose fit in the protection element and loose fit in the elimination element. Again, between structural and agential modes, in the managerial layer there was borderline tight/loose fit in the protection element. The implication of these tight fits and loose fits with some misfits is that while there was supplement and reinforcement in some area, there were notable areas of undermining especially between structural organizational and environmental layers, and some conflicts.

	Protection/Protection		Compromise/Compromise		Elimination/Elimination		Opportunity/Opportunity		Environment/Environment	
	difference	outcome	difference	outcome	difference	outcome	difference	outcome	difference	outcome
1A WITHIN STRUCTURAL LAYERS										
Within organizational layer										
Organizational Culture/Organizational Change Strategy	10.56	tight fit	4.39	tight fit	1.67	tight fit	4.50	tight fit		
Organizational Culture/Organizational Performance Outcomes	2.61	tight fit	3.33	tight fit	2.39	tight fit	8.33	tight fit		
Organizational Change Strategy/Organizational Performance Outcomes	7.94	tight fit	7.72	tight fit	4.06	tight fit	3.83	tight fit		
Within managerial layer										
Management Behaviour/Management Behaviour (1)	1.62	tight fit	4.19	tight fit	2.36	tight fit	3.07	tight fit		
Within environmental layer										
NA (2)										
1B BETWEEN STRUCTURAL LAYERS										
Between organizational and environmental layers										
Organizational Culture/Environmental Dynamism									22.13	loose fit
Change Strategy/Environmental Dynamism									17.01	loose fit
Organizational Performance Outcomes/Environmental Dynamism									18.09	loose fit
Between organizational and managerial layers										
Organizational Culture/Management Behaviour	20.01	loose fit	10.04	tight fit	9.96	tight fit	0.01	tight fit		
Change Strategy/Management Behaviour	9.46	tight fit	5.65	tight fit	8.29	tight fit	4.49	tight fit		
Organizational Performance Outcomes/Management Behaviour	17.40	loose fit	13.38	tight fit	12.35	tight fit	8.33	tight fit		
Between environmental and managerial layers										
Environmental Dynamism/Management Behaviour									14.82	tight fit
2 WITHIN AGENTIAL MODE										
Management Reflexivity/Management Reflexivity	9.95	tight fit	0.00	tight fit	4.49	tight fit	12.14	tight fit		
3 BETWEEN STRUCTURAL AND AGENTIAL MODES										
Organizational Culture/Management Reflexivity	36.21	misfit	9.22	tight fit	21.53	loose fit	5.45	tight fit		
Organizational Change Strategy/Management Reflexivity	25.65	loose fit	4.83	tight fit	19.87	loose fit	0.95	tight fit		
Organizational Performance Outcomes/Management Reflexivity	33.60	misfit	12.56	tight fit	23.92	loose fit	2.88	tight fit		
Environmental Dynamism/Management Reflexivity									5.15	tight fit
Management Behaviour/Management Reflexivity	16.20	tight fit	0.82	tight fit	11.57	tight fit	5.45	tight fit		

notes:

scale used for dominance for degree of fit: 0-16.6: tight fit; 16.67-33.33: loose fit; 33.34-50+: misfit

query whether same scale appropariate for Managemenet Behaviour and Management Reflexivity as square root of sum of squares used

Management Reflexivity - fit is calculated by means of the square root of the sum of the squares

Management Reflexivity - Compromise has been assumed - see Configurations

there is no necessary relationship between environmental dynamism, munificence, and complexity and no fit calculation is appropriate -

could indicate where figures are near a boundary in due couse

Table 7.2: Fits in Case 3

Supplementary configurations and fits

Table 7.3: Management demographics in Case 3 shows that management demographics were similar on one factor and dissimilar on the other two factors. Managers were similar as they were all from a white ethnic group. The was some gender dissimilarity as 2 managers were male and 1 manager was female. The male managers acted as executive directors and the female manager acted as a non-executive director. The managers had some age dissimilarity, as there was one director in each of the age groups: 35-44, 45-54, and 55-64.

Table 7.4: Management preferred team roles in Case 3 shows the ranks of team roles paired by configurations for Directors 1-3 varied, with roles for Opportunity and Protection elements rated above those for Compromise and Elimination. Ranks by team roles alone showed that most of them were rated as more or less manageable overall. However, in contrast with most these other roles, this team's strongest specific role was Plant, and the weakest role was Implementer. Plant as the preferred role for all three managers might have tended to attract them together and to helped them to generate ideas, but also to them taking strong ownership of these ideas rather than collaborating with others. The Implementer role being least preferred by both Director 1 and Director 2 as executive directors was a potential concern. However, overall, the role preferences of Director 1 and Director 2 were generally complementary, and so they would have been foils for each other.

Table 7.5: Management ethics in Case 3 shows that the team of directors had a rounded and almost equally high view of ethics across the 3 configuration elements that were rated. However, there was some lower rating of specific ethics in the Protection and Elimination elements. Director 2 rated all ethics particularly highly, with both Director 1 and Director 3 rating Protection/Virtue ethics and Elimination/Ethical economic lower than him. Consequently, from an ethical stand point, Director 1 and Director 3 were similar in outlook, and different from Director 2 who had a particularly high and rounded moral code.

Table 7.6: Management affect in Case 3 shows that positive and negative affect scores and the difference between them was similar for all three managers. Director 1 as lead manager was slightly less positive on balance than the other managers. However, positive affect outweighed negative affect. Consequently, the management team was emotionally positive at work.

		Director 1	Director 2	Director 3	similarity/dissimilarity
Age range		35-44	55-64	45-54	dissimilar
Gender		Male	Male	Female	dissimilar
Ethnic group		White	White	White	similar

7.3: Management demographics in Case 3

Configuration	Team role	Director 1		Director 2		Director 3		total by role	rank by role	total by config	rank by config
Protection	Resource Investigator	3	preferred	1	least preferred	3	preferred	7	2=	14	2
	Team Worker	2	manageable	3	preferred	2	manageable	7	2=		
Compromise	Co-ordinator	2	manageable	2	manageable	2	manageable	6	3=	12	3
	Completer Finisher	2	manageable	3	preferred	1	least preferred	6	3=		
Elimination	Shaper	3	preferred	1	least preferred	1	least preferred	5	4=	9	4
	Implementer	1	least preferred	1	least preferred	2	manageable	4	5=		
Opportunity	Plant	3	preferred	3	preferred	3	preferred	9	1	16	1
	Monitor Evaluator	3	preferred	2	manageable	2	manageable	7	2=		
	(Specialist)	1	least preferred	2	manageable	2	manageable	5	4=		
				strongest							
				weakest							

7.4: Management preferred team roles in Case 3

Configuration:	Ethic:	Director 1	Director 2	Director 3	total by ethic	rank by ethic	av by config.	rank by config.	similaity/dissimilarity
Protection	Care	4.50	5.00	4.75	14.25	2	13	2=	similar
	Virtue	3.00	5.00	3.00	11.00	6			dissimilar
Compromise	Rule deontology	5.00	5.00	5.00	15.00	1	14	1	similar
	Act deontology	4.00	5.00	4.67	13.67	4			similar
Elimination	Act utilitarian	3.50	5.00	4.00	12.50	6	13	2=	dissimilar
	Rule utilitarian	4.50	4.50	4.50	13.50	5			similar
	Ethical economic	3.67	4.00	3.00	10.67	8			dissimilar
	Ethical reputation	4.50	5.00	4.50	14.00	3			similar
Opportunity	(Pragmatics)				NA				
		32.67	38.50	33.42					
similarity		dissimilar	similar	dissimilar					
Note: similarity for rows or columns = 1 or less									

Table 7.5: Management ethics in Case 3

	Director 1	Director 2	Director 3	comment
Positive affect	21	20	21	similar
Negative affect	14	11	11	similar
Positive less negative affect	7	9	10	similar

Table 7.6: Management affect in Case 3

7.2.3 FITTINGS – QUALITATIVE RESULTS

Organizational layer

In the history, prior to 2011, from the documents the organization existed as a dormant company for 3 years prior to its launch (2009-2011). The organization was registered as a limited company in 2008 which was dormant for three years. Then it was realized that a limited company per se would not work, although the organization became a CIC accidentally and this was linked to their national introduction.

CIC 3 began operating in 2011 from a home and then from an office. CIC 3 progressed without a track record but based on the directors' good personal reputations. The original plan was to run a children's home; however, this was not financially viable. Consequently, CIC 3 continued with the kind of training-based services they had provided at their previous youth services organization.

In the past of 2012 to 2014, from the documents CIC 3 was formally launched in 2012. From the outset, its principal activities were training and aftercare support for criminal justice and addiction services for vulnerable adults. CIC 3 remained active throughout the timeframe of consideration of 2012-2018. Initially, Director 1 and Director 2, as the two executives, drew small salaries. Financially, CIC 3 began with marginal net current assets and reserves. Social impact was not stated for 2012 as there was no CIC34 report for that year. Similarly, stakeholder consultation was not stated for 2012 as there was no CIC34 report for that year.

From the documents CIC 3 continued its principal activities. Salaries increased slightly for Director 1 and Director 2, but they were also paid bonuses. CIC 3 progressed financially, with significant net assets and reserves in 2013, but this was tempered in 2014 when were only marginal net assets but still significant reserves. Quantitatively, social impact was constant at 150 volunteers trained, 138 young people supported, 98 ex-offenders and recovering addicts supported, and 82 volunteering opportunities. Social impact was also constant qualitatively, in the form of enhanced learning experiences, improved employment chances, and helping make safer and stronger communities. Stakeholder consultation was maintained. Stakeholder consultation covered service users, agencies, funders, commissioners, partner agencies, families and local communities, and was undertaken by feedback, evaluations and reports, which resulted in the devising and development of projects.

From observations, during the first two years of operation, CIC 3 was able to attract funding as a new organization. Funding was available for CICs, including charity grants that were likely to be renewed. Turnover increased, the directors were paid more, and CIC 3 took on everything that people expected of them. The financial position was good at the end of 2014.

Then an alternative education provision contract for a school was lost in 2015. CIC 3's trajectory was initially upwards from 2012 to 2014 and was then downwards in 2015/16.

CIC 3 was expected to have a future in 2018 to 2019 and beyond. While some two years of partial funding had been obtained in 2015/16, it was considered the future would all come down to finances. It was thought that CIC 3 would need to shift:

"…we need to be a lot more business-like to survive" (Manager 1)

Two service scenarios were identified. The first scenario was to continue with the existing three services of training, alternative education provision and criminal justice support. The second scenario was to move strongly into vocational training through two new tenders, thereby dropping alternative education provision and criminal justice support, but recognizing moral and legal responsibility to previous service users. This second scenario was modelled on what a private sector organization would do and might have required an amended mission and perhaps change of legal structure to a charity or a Charitable Incorporated Organization (CIO). This second scenario of making a transition to vocational education was hoped to have lower competition.

Based on the documents, at least until 2017 CIC 3's principal activities continued. Financially, CIC 3 stabilized. Net current liabilities remained significant, but the marginal deficit was turned into marginal reserves. The qualitative social impact of CIC 3 was maintained. Stakeholder consultation was maintained including stakeholder representation on the management (oversight) committee. Salaries for the 3 people who acted as executive directors were reduced and no bonuses were paid, and again Director 3 was unpaid.

Environmental layer

In history before 2012, the process of the operating environment becoming more competitive started before Director 1 and Director 2 had left their previous organization. In the past from launch in 2012 to 2014 the operating environment was such that CIC 3 did not have to be business-like or fight for money, as small pots of funding could be found to keep the organization going. Nevertheless, there was a reduction in the number and diversity of charities in the area. Some social enterprises were taken over by private sector businesses and an offer was made by a business to CIC 3 after about 18 months. Funders influenced CIC 3 to move from 2 directors to 3, and to add an oversight committee.

In the future and regarding the wider environment, CIC 3 intended to keep an eye on government policy to help frame the services offered. The operating environment for its existing services was expected to get much worse, with local authority cuts expected to be devastating. Both risks and opportunities were perceived. Local services might have been cut

if they can't be paid for with a danger that the situation among providers might become cutthroat. Possibilities might include gaps in young people's services that have to be filled perhaps in association with the NHS, legal highs might have provided more work in schools, increased demand for vocational education, and perhaps increased referrals. The workforce could have been expanded through the pool of volunteers.

Managerial layer

In history before 2012, even before CIC 3 was launched, Director 1 and Director 2 worked for the same youth services organization and they were advised by Director 3. Director 1 and Director 2 comprised the board of the dormant company that preceded CIC 3.

In the past of 2012 to 2014 the oversight committee did not exist. Director 1 and Director 2 were founder directors and practitioners. Director 3 became a director later, and from the documents this was in 2013. Director 1 had a background in youth work and criminal justice support with some knowledge of both legitimate and illegitimate business, but had to give up a degree in business due to the pressures of work at CIC 3 Director 2 had a previous background in youth services that was charity funded. Director 3 had a background in funding in the private sector and ran her own business in funding and bidding for the public and social sectors. Manager 1 had a youth services and art background.

In the future of 2017 to 2018, the oversight committee was expected to become more supportive. The directors intended to meet more often. The directors also intended to clarify their roles. Manager 1 usually had a good idea of what would happen in the future, but in this instance, he had no idea.

Based on the documents, the make-up of the directors changed. The partnership between Director 1 and Director 2 was broken up by the latter resigning in 2017, with ANO 1 as his replacement as a director also resigning within the same year. In 2018 the board still comprised the long-standing Director 1 and Director 3. However, following the loss of Director 2 and ANO 1 within a year, Manager 1, together with ANO 2 and ANO 3 as workers, were appointed to the board.

For data analysed in case study 2 see Appendix 7.1: Comparative case studies – list of data analysed for case study 3.

7.3 CASE 4 RESULTS: CONFIGURATIONS, FITS AND FITTINGS

7.3.1 CONFIGURATIONS AND FITS – QUALITATIVE RESULTS

Organizational layer

As an operating organization, CIC 4 providing training services in the "heart of England" to schools and to social workers in another part of the UK. On one hand normal business was emphasized and on the other that minimal social impact was acceptable.

"You are fighting. And running a CIC is no different than running a normal business." (Director 1)

"So, you've got the lack of revenue for the company but then the fact that if just one kid is protected, then that's got to be worth it." (Director 2)

CIC 4 had both business and social cultural drivers.

CIC 4's strategy was to provide training in online safety and anti-bullying, and the documents also confirmed this. The training was underpinned by understanding of the issues. The training took time to develop, had to be made age appropriate, and was hard to replicate, although training material was plagiarized by others. The different way that Director 1 delivered the training was considered a unique selling point. Director 1's strength was her skill in training kids. However, there was a downside, as she tended to deliver the training herself, as CIC 4's other trainers were considered inferior. Online training was not seen as a viable alternative to face-to-face training. Guides associated with training were peripheral.

This training was marketed in a low key way by giving advice and receiving referrals. CIC 4 had featured in the national media. However, Director 1's availability, geography and customer budgets were constraints. Insufficient marketing in the face of competition was considered a reason for CIC 4 not having performed to its potential.

CIC 4 undertook training work in a jobbing fashion, with limited resources, and hand-to-mouth funding. The low resourcing meant no permanent full-time staff were employed. Instead there was reliance on variable temporary staff operationally and volunteers managerially. In trading, charging was based on a minimum per workshop if someone other than Director 1 were to run it, such rates having been static for 20 years. Efficiencies were looked for by running more than one workshop at a location.

CIC 4's organizational structure was centred around Director 1 as the lead manager and main trainer, who received some income. Director 2 and Director 3 were volunteers. From the observations, the handful of paid part-time trainers, who needed DBS vetting due to working

with children, had reduced and at the time of investigation was down to just Director 1 and one other working part-time. There was also a paid administrative support worker. However, from the observations, this administrative help arrangement for Director 1 was not working, and so recruitment was required. The group of experts were volunteers. From the observations, the expert group was inactive, with some members removed. Consequently, there was a small workforce, some of which was not working well, and there were no operational volunteers.

From the documents, demand side stakeholders on the were schools, businesses, police, and supply side stakeholders were finance and marketing. However, these "stakeholders" were labeled "shareholders", which suggested some confusion on the part of the directors as to their status. Consultation with the expert group as indirect stakeholder representatives was undertaken through face-to-face and remote meetings. However, action to maintain or change the training due to feedback on the sessions, involved treating the customers as the stakeholders. This meant that there was some disconnect between stakeholder consultation and action.

CIC 4's organizational performance was variable. From the documents, CIC 4 was active in 2015/16. Training impact varied in line with training days and turnover. Feedback was positive with repeat businesses and CIC 4 had testimonial providers. However, there was concern that CIC 4 was not performing to its potential.

From the documents, financial performance meant that there were small liabilities and small deficits annually, even when additional funding from a charitable trust was received in 2015. However, from the observations, at the time of the investigation, CIC 4 was reported to be in profit. From a qualitative social viewpoint, children were trained to help keep them safe online and to stop them being bullied. From a quantitative social impact perspective, the number of training workshops varied by year. Furthermore, CIC 4 continued to receive positive feedback about its training sessions, and website traffic was reported to be high.

Nevertheless, trading difficulties led to other sources of funds being sought, although these also presented difficulties. Donations were received from organizations and the public. Local public donations were inefficient as income was diminished by using an agency so that 25% of the value of collections was received by CIC 4. A small grant was obtained in 2015. Self-financing by Director 1 continued to some degree with some payback and income. Costs were barely covered. However, the social mission was emphasized.

Rather than being part of a group organization, CIC 4 had its group of experts. The group was created by Director 1 as a loose circle around her. There was some continuity of membership, such as two teachers and a police officer. This group provided knowledge of the service context from the coalface.

Environmental layer

The wider environment dynamics included increased use of social media and mobile devices by children and bullying becoming more commonly experienced by children who can become damaged adults. Digital technology had progressed faster than had government thinking on safeguarding, so social sector organizations needed to assist. In society, parents and carers were naïve about children's use of the internet and the damage being done to kids. Online safety concerns for children prompted national media interest in CIC 4. Some kids were becoming less able to talk in the real world, including about what upsets them. Consequently, training was needed but face-to-face training might need supplementing with online communication. There were also gaps in child/parent understanding and mental health issues. Increasing use of technology had both advantages and worrying aspects.

The operating environment was mainly shaped by customers and competitors. While new cohorts of pupils meant that there was a continuous need for training, obtaining funds from the trading environment was getting tougher. Decision influencers were important for sales but exploiting them was a failure due to lack of support for Director 1. Customers were mostly in the public sector. Councils, as the funders of the two main niches of state schools and social workers, had restricted and tightening budgets.

"The problem you have is that you have to charge to do it, but the target market has no money." (Director 1)

 "Things are getting tighter. Schools are very budget conscious now." (Director 2),

The training was seen differently by the schools as the direct customer, as they were concerned about whether it highlighted a problem and its cost, and the parents of pupils as the indirect customer, who were concerned for children's safety and not costs. Consequently, customers were problematic.

There were competitors just as in other service sectors.

"You get just as much back-biting." (Director 1)

A major competitor was the Child Exploitation and Online Protection Command (CEOP), which was based in the public sector and part of the police that deals with online protection and bullying when it becomes threatening. CEOP is part of the National Crime Agency (NCA), which has specialist police and powers combined with other expertise from business, government, specialist charities, and others, and can be regarded as a public sector led multi-sector network. CEOP's service quality was reported as mostly good. Charities were also competitors, including 4 large ones, whose service quality was not necessarily good, but who

could provide training for free or charge a minimal fee. While CIC 4's training was considered complementary to others' services, neither CEOP nor these charities wanted to work with them.

Managerial layer

From the documents, the 4-director board had been reduced to 3 remaining directors – Directors 1-3 - after ANO 2 resigned in 2015. Consequently, the management team comprised these three directors at the time of the investigation. Director 1 as lead manager earning some income from CIC 4, considered her role to be central and the other two directors to be kind and constructive.

"Without me the whole thing crashes, because as sweet as Director 2 and Director 3 are and helpful, they're not involved in the day to day running of it."

Whereas Director 2 and Director 3 saw their voluntary jobs more in terms of light but formal oversight of Director 1.

"So the overall decision with stuff does lie with Director 1, and we're just there to make sure that she functions competently, efficiently and compliantly." (Director 2)

All three directors earned income from private sector business interests. Director 2 and Director 3 were also actively involved with charities in the social sector on a voluntary basis, and Director 3 was also a carer in the informal sector. None of them were involved in the public sector outside of CIC 4.

From the observations, all three current directors were considered alike. However, the directors had different skills: Director 1 in training, Director 2 in finance, and Director 3 in marketing. While Director 2 had been elected chair, Director 1 effectively chaired a board meeting. A social worker attended a board meeting as a potential new director, which did not transpire.

The three directors expressed different ethical stances. Director 1 considered working for CIC 4 was about making a difference by keeping kids safe and providing her with income to contribute to her lifestyle. Director 2's multi-ethics orientation was shown by his splitting of his time between family, earning money, and voluntary work doing good, such as helping Director 1 with CIC 4. Director 3 considered that CIC 4 was not about a campaigning moral stance, yet she was concerned about children's exposure to harmful online material, so that balanced and realistic solutions were required. All three directors expressed positive emotion about CIC 4's overall purpose. Director 1 was very passionate. Director 2 felt strongly about helping people

and felt it to be the reason why he existed. Director 3 was also passionate, particularly about anti-bullying.

Director 1, as the lead manager, had a pivotal role, as she undertook day-to-day running and operational work. From the observations, Director 1 set out the problem of wearing multiple hats that had led to a bottleneck and having a lonely existence. From the observations, she delivered an online safety course at a school that engaged the children.

 "It wouldn't happen without me." (Director 1)

Director 1 was vital to CIC 4 as she had the training skills and was the fee earner. She ran it as her business and was in control of decisions. However, her criticality to CIC 4 presented a risk if she could not continue as the driving force. From the observations, she had maintained her earnings over time and wanted to follow in her grandmother's and mother's footsteps in being socially caring. Director 1 worked on CIC 4 because she felt so passionate.

7.3.2 CONFIGURATIONS AND FITS – QUANTITATIVE RESULTS

Configurations

The degrees of dominance of configurational elements was investigated for the structural mode layer by layer – organizational, environmental and managerial – and then for the agential mode focusing on the managerial layer. These degrees of dominance of configurational elements are summarized below in Table 7.7: Configurations in Case 4. The table shows that a large majority of the degrees of configuration element and environment dominance were intermediate, with the small minority split between dominant and subsidiary. The degrees of configuration element dominance and subsidiarity both occurred in the structural mode in the organizational layer. The degrees of configuration element dominance were in the protection element of organizational culture and the compromise element of organizational performance outcomes. The degrees of configuration element subsidiarity were in the compromise element of organizational culture and in the elimination element of both organizational culture and organizational performance outcomes. However, taken as a whole, the few dominant and subsidiary elements were the exception in against the bulk of intermediate elements

Table 7.7: Configurations in Case 4, also shows that there was agreement between the two managers on a large majority of configuration elements, and debate and disagreement on a small minority of elements. There was debate in the structural mode, and this concerned the protection element in organizational change strategy, the compromise element in the organizational culture, and on environmental munificence. There was disagreement in the structural mode, and this concerned the opportunity element in organizational culture and environmental complexity. There was no scope for debate or disagreement in compromise management reflexivity as an assumption was made regarding that configuration element.

	Protection			average	outcome	(2) similarity	outcome	Compromise			average	outcome	(2) similarity	outcome	Elimination			average	outcome	(2) similarity	outcome	Opportunity			average	outcome	(2) similarity	outcome	Environment			average	outcome	(2) similarity	outcome
	D1	D2	D3					D1	D2	D3					D1	D2	D3					D1	D2	D3					D1	D2	D3				
STRUCTURAL MODE																																			
Organizational layer																										borderline									
Organizational Culture	50.00		46.00	48.00	dominant	2.83	agree	0.00		26.33	13.17	subsidiary	18.62	debate	0.00		13.50	6.75	subsidiary	9.55	agree	50.00		14.17	32.08	intermediate	25.34	disagree							
Organizational Change Strategy	8.33		42.50	25.42	intermediate	24.16	debate	33.33		16.33	24.83	intermediate	12.02	agree	25.00		20.83	22.92	intermediate	2.95	agree	33.33		20.33	26.83	intermediate	9.19	agree							
Organizational Performance Outcomes	25.00		24.33	24.67	intermediate	0.47	agree	41.67		32.17	36.92	dominant	6.72	agree	8.33		18.67	13.50	subsidiary	7.31	agree	25.00		24.83	24.92	intermediate	0.12	agree							
Environmental layer																																			
Environmental Dynamism (1)																													57.14	42.86		50.00	intermediate	10.10	agree
environmental munificence (1)																													80.00	50.00		65.00	intermediate	21.21	debate
environmental complexity (1)																													66.67	25.00		45.83	intermediate	29.46	disagree
Managerial layer																																			
Management Behaviour (1) (4)	28.75		25.26	27.01	intermediate	2.47	agree	20.00		25.26	22.63	intermediate	3.72	agree	23.75		24.21	23.98	intermediate	0.33	agree	27.50		25.26	26.38	intermediate	1.58	agree							
AGENTIAL MODE																																			
Managerial layer																																			
Management Reflexivity (1) (3) (4)	28.72		18.75	23.74	intermediate	7.05	agree	25.00	25.00		25.00	intermediate	0.00	agree	19.15		27.08	23.12	intermediate	5.61	agree	27.13		29.17	28.15	intermediate	1.44	agree							

notes:
(1) denotes where conversions have been applied to original data
(2) similarities assesse by the square root of the sum of the squatres method
(3) Management Relexivity results assumed for Compromise
(4) Management Behaviour and Management Reflexivity treated here as "collapsed" concepts (opened up in Fit tables)
scale used for dominance for structural organizational layer and managerial layer, and for agential managerial layer is 0-16.67: subsidary, 16.68-33.33: intermediate, 33.34-50+: dominant
scale used for structural environmental layer is 0-33.33: subsidiary, 33.34-66.66: intermediate; 66.67-100: dominant
(temporary) scale used for similarity/outcome is 0-12.5: agree; 12.6-25: debate; and 25+: disagree
could indicate where figures are near a boundary in due couse

Table 7.7: Configurations in Case 4

Fits

The degrees of fit between configuration elements was investigated for the structural mode within layers and then between layers – organizational, environmental, and managerial – for the agential mode, and then between the structural and agential modes. These degrees of fit between configurational elements are summarized below in Table 7.8: Fits in Case 4. The table shows that a large majority of degrees of fit were tight and a small minority were loose, and there were no misfits. Most of the few loose fits were in the structural mode and were in within the organizational layer and between the organizational and managerial layers. Within the organizational layer all the loose fits were in relation to organizational culture. There were loose fits in the protection element between organizational culture and both organizational change strategy and organizational performance outcomes, and in the compromise element between organizational culture and organizational performance outcomes. Between the organizational and managerial layers, both loose fits were also relative to organizational culture, and were in the protection and elimination elements between organizational culture and management behaviour. The other loose fit was between the structural mode and agential mode and occurred in the protection element between organizational culture and management reflexivity. Consequently, of the several loose fits most were relative to organizational culture, and particularly the protection element, and were within the organizational layer, between the organizational and managerial layers, and between the structural mode and agential mode. However, overall the degrees of fit between configuration elements and the environment were generally tight fits.

	Protection/Protection		Compromise/Compromise		Elimination/Elimination		Opportunity/Opportunity		Environment/Environment	
	difference	outcome	difference	outcome	difference	outcome	difference	outcome	difference	outcome
1A WITHIN STRUCTURAL LAYERS										
Within organizational layer										
Organizational Culture/Organizational Change Strategy	22.58	loose fit	11.67	tight fit	16.17	tight fit	5.25	tight fit		
Organizational Culture/Organizational Performance Outcomes	23.33	loose fit	23.75	loose fit	6.75	tight fit	7.17	tight fit		
Organizational Change Strategy/Organizational Performance Outcomes	0.75	tight fit	12.08	tight fit	9.42	tight fit	1.92	tight fit		
Within managerial layer										
Management Behaviour/Management Behaviour (1)	2.47	tight fit	3.72	tight fit	0.33	tight fit	1.58	tight fit		
Within environmental layer										
NA (2)										
1B BETWEEN STRUCTURAL LAYERS										
Between organizational and environmental layers										
Organizational Culture/Environmental Dynamism									6.77	tight fit
Change Strategy/Environmental Dynamism									0.29	tight fit
Organizational Performance Outcomes/Environmental Dynamism									2.83	tight fit
Between organizational and managerial layers										
Organizational Culture/Management Behaviour	20.99	loose fit	9.46	tight fit	17.23	loose fit	5.70	tight fit		
Change Strategy/Management Behaviour	1.59	tight fit	2.20	tight fit	1.06	tight fit	0.45	tight fit		
Organizational Performance Outcomes/Management Behaviour	2.34	tight fit	14.29	tight fit	10.48	tight fit	1.46	tight fit		
Between environmental and managerial layers										
Environmental Dynamism/Management Behaviour									0.07	tight fit
2 WITHIN AGENTIAL MODE										
Management Reflexivity/Management Reflexivity	7.05	tight fit	0.00	tight fit	5.61	tight fit	1.44	tight fit		
3 BETWEEN STRUCTURAL AND AGENTIAL MODES										
Organizational Culture/Management Reflexivity	24.26	loose fit	11.83	tight fit	16.37	tight fit	3.94	tight fit		
Organizational Change Strategy/Management Reflexivity	1.68	tight fit	0.17	tight fit	0.20	tight fit	1.31	tight fit		
Organizational Performance Outcomes/Management Reflexivity	0.93	tight fit	11.92	tight fit	9.62	tight fit	3.23	tight fit		
Environmental Dynamism/Management Reflexivity									1.42	tight fit
Management Behaviour/Management Reflexivity	3.27	tight fit	2.37	tight fit	0.86	tight fit	1.77	tight fit		
notes:										
scale used for dominance for degree of fit: 0-16.6: tight fit; 16.67-33.33: loose fit; 33.34-50+: misfit										
query whether same scale appropariate for Managemenet Behaviour and Management Reflexivity as square root of sum of squares used										
Management Reflexivity - fit is calculated by means of the square root of the sum of the squares										
Management Reflexivity - Compromise has been assumed - see Configurations										
there is no necessary relationship between environmental dynamism, munificence, and complexity and no fit calculation is appropriate -										
could indicate where figures are near a boundary in due couse										

Table 7.8: Fits in Case 4

Supplementary configurations and fits

Table 7.9: Management demographics in Case 4 shows that management demographics were similar on two factors and dissimilar on the other factor. Managers were similar as they were all in the 55-64 age group and all from a white ethnic group. There was some gender dissimilarity as 2 managers were female and 1 was male.

Table 7.10: Management preferred team roles in Case 4 shows ranks of team roles paired by configurations for Directors 1-3 varied with roles in the opportunity element ranked most preferred, followed by protection, and then compromise and elimination which were equally rated. Note that the team role questionnaire was the only one completed by Director 2. There was a spread of roles across the three directors. Their strongest specific role was plant, and their weakest role was implementer. Have three strong plants who are also relatively weak implementers presented a risk, particularly as monitor evaluator, which is in the same opportunity configuration element, was nearly as highly rated as plant. The risk was that while the management team would be attracted to work together, they might have become too attached to their own ideas at the expense of collaborating with others.

Table 7.11: Management ethics in Case 4 shows ranks between Director 1 and Director 3 were generally ranked highly across different ethics. When the ethics were clustered by configurations there was a broad similarity, although the rankings (most highly ranked first) were opportunity, then protection, and then equal compromise and elimination. Both managers had similar ratings for the ethics, with Director 1 having made slightly higher ratings than Director 3. The main specific difference was that Director 1 rated ethical economic lower than did Director 3.

Table 7.12 Management affect in Case 4 shows positive affect and negative affect scores had some similarity between the managers. For both managers positive affect outweighed their negative affect. However, Director 3's balance between positive and negative affect was not far from being neutral. On balance the managers tended to be content at work. However, there was a weak implication that the structural configurations were not perfectly aligned with those of the managers' reflexivities but that on balance the managers were comfortable with the position. It could also be that alignment of managers' reflexivities with those of other stakeholders was acceptable to the managers.

	Director 1	Director 2	Director 3	similarity/ dissimilarity
Age range	55-64	(55-64)	55-64	similar
Gender	female	(male)	female	dissimilar
Ethnic group	white	(white)	white	similar

Table 7.9: Management demographics in Case 4

Configuration	Team role	Director 1		Director 2		Director 3		total by role	rank by role	total by config	rank by config
Protection	**Resource Investigator**	3	preferred	3	preferred	2	manageable	8	2=	14	2
	Team Worker	2	manageable	2	manageable	2	manageable	6	4=		
Compromise	**Co-ordinator**	2	manageable	2	manageable	2	manageable	6	4=	12	3=
	Completer Finisher	2	manageable	3	preferred	1	least preferred	6	4=		
Elimination	**Shaper**	2	manageable	2	manageable	3	preferred	7	3	12	3=
	Implementer	2	manageable	2	manageable	1	least preferred	5	5		
Opportunity	**Plant**	3	preferred	3	preferred	3	preferred	9	1	17	1
	Monitor Evaluator	2	manageable	3	preferred	3	preferred	8	2=		
	(Specialist)	(2)	manageable	(1)	least preferred	(3)	preferred	(6)	(4=)		

Table 7.10: Management preferred team roles in Case 4

Configuration	Ethic	Director 1	Director 2	Director 3	total by ethic	rank by ethic	av. by config	rank by config	similar/ dissimilar
Protection	Care	4.25		4.00	8.25	3	8.63	2	similar
	Virtue	5.00		4.00	9.00	1=			similar
Compromise	Rule deontology	4.67		4.00	8.67	2	8.84	1	similar
	Act deontology	5.00		4.00	9.00	1=			similar
Elimination	Act utilitarian	5.00		4.00	9.00	1=	8.25	3	similar
	Rule utilitarian	4.00		4.00	8.00	4			similar
	Ethical economic	2.67		4.33	7.00	5			dissimilar
	Ethical reputation	4.50		4.50	9.00	1=			similar
Opportunity	(Pragmatic)								NA
totals		35.09		32.83					
similarity		dissimilar		similar					

Table 7.11: Management ethics in Case 4

	Director 1	Director 2	Director 3	comment
Positive affect	22.00		19.00	similar
Negative affect	13.00		15.00	similar
Positive less negative affect	9.00		4.00	similar

Table 7.12: Management affect in Case 4

7.3.3 FITTINGS – QUALITATIVE RESULTS

Organizational layer

In history before 2012, prior to becoming a CIC, the organization began as a limited company in 2008 under another name. The people involved and the shareholders were unable to put in enough time and were not able to earn a return. From a search of the Companies House website, the predecessor organization was a private limited company that has dissolved. The aim was to make a profit and make a good living. This acted as a brake on sales, as some organizations did not agree with providing children's services, in particular online safety and anti-bullying, through a business driver.

"…what was happening was that a lot of doors were being shut in our faces." (Director 1).

Consequently, the legal structure of the organization was reviewed. From the observations, the alternative of a charity was seen a requiring too onerous regulation. As a lighter regulated alternative, the CIC legal structure was adopted and was considered more acceptable because of profit reinvestment and the more modest aim of making a living.

In the past of 2012 to 2014, the organization was (re-)launched as CIC 4 in 2012, and the change in legal structure from limited company to CIC was beneficial.

"But we said we're a CIC, we're not for profit, and it has opened a lot of doors…" (Director 1).

Becoming a CIC led to operating in a more organized way and more revenue due to more customer interest. Earnings were reinvested and Director 1 as lead manager lent CIC 4 money. Turnover was initially low but then increased.

There were three groups that formed a workforce of a kind. There was a small number of paid part-time trainers, which was reduced. From the observations, there were student workers used for administration and operational support that had been a net cost to CIC 4. There was also a group of voluntary experts associated with Director 1 as lead manager, rather than a group organization as such. From the documents, there were two additional stakeholders in the past - health on the demand side and IT training on the supply side - which were subsequently removed.

From the documents, CIC 4 was active in 2012 to 2014. From a financial point of view there were small liabilities and small deficits in each year. From a quantitative social impact perspective, the number of training workshops in online safety and bullying prevention varied by year, with the highest number having been delivered in the first year of operation. This was supplemented in the first year of operations by start-up tasks such as launching a website and providing employment.

In the future of 2017 to 2018, CIC 4 was planned to provide the same services as before. It was considered that CIC 4 would remain small if nothing changed, and an increased income stream was an objective. This led to a critical assessment of CICs versus charities as legal structures, and their suitability for CIC 4. While CICs were considered appropriate in some situations, they were considered problematic in others.

"The CIC is good for certain organizations and it was right for us at the time" (Director 1)

"Because they ask for your charity number and when you say, 'we haven't got one' they say, 'well we can't help you'" (Director 1)

Hence the central strategy was to convert CIC 4 to a charity, despite some charities' bad publicity. From the observations, the intention was to reconfigure as a charity in the short- to medium-term. Consequently, there was a plan for a change to more fund raising and growth, with a recognition that Director 1 would need to learn new fund-raising skills. Funding would shift to grants from trusts and donations from the public, with donation efficiency improved by merging with a donation collection CIC. Other funding sources were expected to be gifts from philanthropic individuals and organizations. High profile volunteers were a possibility to help with fund raising. However, it was noted that in the nirvana of big tech companies cooperating in online safety and anti-bullying, there would be no need for most of the services provided by CIC 4.

From the observations, the new plan to change to a charity was based on weighing opportunities and risks. The opportunities were adopting a stable legal form that was preferable to public sector customers, receiving preferential treatment compared to CICs, and adding to income through grants and donations from businesses and people. Risks that were recognized were time-consuming and competitive grant applications, competition for funds among charities, and financial and reputational issues with bucket collections. The operational training workload on Director 1 had meant that she had made no progress on converting CIC 4 to a charity.

From the observations, there were some underlying issues that needed to be dealt with whatever the future legal structure of the organization. A marketing strategy for services was required. The restricted funding in state schools and for social work meant that in future working for private sector customers was considered, such as for private fostering companies and businesses. However, such private markets were recognized as an inappropriate use of donations and would need to be on a commercial basis. Commercial and tendering capability needed to be developed. The idea of using a superhero character to train children online was being considered, with considerations that included funding, Intellectual Property Rights (IPR),

and contracts/licensing. Knowledge was considered different in big and in small organizations such as CIC 4. Time pressure was considered the same for any type of organization.

However, from the documents, while CIC 4 remained active in 2016, this was the last year for which accounts were filed, there was no trading in 2017, and the company was dissolved in 2018. A charity converted from CIC 4 has not been traced despite a search of the Charity Commission website. However, it remained the case that over the course of about 6 years the organization went from a limited company to a CIC and was planned to become a charity.

Environmental layer

In history before 2012, in the wider environment society originally had the internet as a censor-free communication channel for adults and not for children. However, older people and parents began to buy mobile devices for children, who increasingly accessed online services, which presented advantages and disadvantages. However, the idea of organizations making profit from services to address potential risks was problematic.

The past of 2012 to 2014 wider environmental societal problems of risks posed by children using the internet, especially through mobile devices, continued, as did the problematic nature of making a profit from dealing with these risks. The operating environment was dominated by customers and competitors. Schools and social work departments of local authorities as public sector customers were short of funds to purchase training in children's online safety and anti-bullying. CEOP and large charities as CIC 4's competitors were active, with both taking a combative line with CIC 4.

In the future of 2017 to 2018 the dynamics of the wider environment were such that as online applications evolved, new negative consequences were expected that could be mitigated by education and training. However, in the operating environment, CEOP supplemented by large charities were expected to continue. Possible changes on which the directors speculated were government redirecting/increasing funding for training by CIC 4 and/or CIC 4 associating with IT providers and celebrity influencers. The situation could be simplified by increased integration of children's services.

Managerial layer

In history before 2012, from the observations, Director 1 as lead manager recounted her experience in the private sector. She had begun work at the private limited company that has dissolved, which became CIC 4, as a trainer and not as a manager. Each of the three directors had previous experience in the private sector in big businesses. Director 2 had also had experience with a small charity. Director 3 also had charity and informal sector caring experience.

In the past from 2012 to 2014, from the documents, the board initially comprised 5 directors – Directors 1-3 and ANO 1 and ANO 2. ANO 1 resigned in 2014, making 4 directors. Changes in personal circumstances were accepted as a reason for departures generally. From the observations, the departure of ANO 1 was considered a reason for CIC 4 faltering.

From the observations, in the past Director 2 and Director 3 were selected for skills that Director 1 did not have. However, given the public sector home of target customers, it was notable that none of the directors had experience in that sector. Director 2 had financial, accounting and compliance skills and considered himself unconsciously competent as a figurehead and sounding board. Director 2 had known Director 1 previously as a client and wanted to help those in need served by CIC 4. Part of the interest in CIC 4 for Director 1 and Director 2 was due to being parents. Director 3 had marketing and logistics skills, considered herself to be able to look for suitable and practical solutions, and believed in what Director 1 was trying to accomplish. Director 1 and Director 3 had shared interest outside CIC 4. All of Directors 1-3 had previous experience of bullying, either personally or vicariously through close family. Consequently Director 2 and Director 3 were linked to Director 1 by ties beyond being directors of CIC 4.

From the observations, Director 1 as the lead manager rationalized that CIC 4 was set up with her at the centre. She was both the prime mover and the main constraint.

"It became very much a one-man-band" (Director 1)

From the start of CIC 4, Director 1 favoured innovation and minimized process. From the observations, Director 1 took up the business idea at a time when the Byron Review on the topic was published, trialed the training, and then distributed power by appointing other directors.

In the future of 2017-2018 the management team of Directors 1-3 was planned to continue. It was recognized that the functioning of CIC 4 would depend on Director 1, who wanted to continue to innovate. However, from the observations, an operational support worker was required to reduce work pressure on Director 1 to allow her more time for management and to grow the organization. It was speculated that the government could take over the online safety and anti-bullying sub-sector though a public sector-based organization other than CEOP and could perhaps employ Director 1, which would mean that CIC 4 would not need to continue for benign reasons. Whether CIC 4 continued would determine whether management team changes would have been required. However, the risk posed by Director 1's criticality to CIC 4 crystallized in the form of ill health. From the documents, the dissolution of CIC 4 meant that the directors did not continue.

For data analyzed for case study 4 see Appendix 7.2: Comparative case studies – data analyzed for case study 4.

7.4 SUMMARY

Case 3 and Case 4 used different approaches to their configurations, fits and fittings and were both associated with low performance. **Case 3** was centred on CIC 3 which provided training for vulnerable children and adults in various forms, and specifically as alternative education provision and as criminal justice system support.

CIC 3 had a mixed culture. The strategy was to train vulnerable people, shifting from adults to children and from late to early intervention. It had a business-like structure. Performance was good relative to comparators that had gone out of business but with severe resource limitations. There was no group organization as such, but temporary partnerships with main contractors and customers. The operating environment was challenging, with changing customer demands, local authorities and other public sector customers short of money, and demand stakeholder complexity. This was combined with strong competition from big companies and charities. The managerial layer comprised a board of two executive directors with complementary skills that behaved like brothers, plus one non-executive type director, and a manager. There was also an advisory oversight committee. The lead director/manager had to take a hard business view.

The degrees of dominance in the four configuration elements of protection, compromise, elimination, and opportunity were intermediate in just over half of instances, dominant in a quarter, and subsidiary in the remaining quarter. The degrees of fit in the configuration elements were mostly tight fit. There were some areas of loose fit in the protection and elimination elements, and notably between the organization and its environment. There were misfits in the protection element between structural and agential modes.

Previously the organization was a dormant private company with a plan to run a children's home. On review the organization was converted to a CIC offering training for vulnerable people. CIC 3 then initially expanded, obtaining charitable funding as a new CIC together with contract income. It then lost a school contract which was a turning point. Although partial future funding was obtained, CIC 3 remained in transition to vocational training which was considered a less competitive arena. The trend towards a more competitive environment began before CIC 3 was launched. While to begin with there was no need to fight for money, local charities were closing. The future environment was expected to get even tougher with devastating cuts to local authority spending, which posed more risks than opportunities. From a managerial perspective, the two executive directors who were directors of the former dormant company, had worked at the same youth service organization and were advised by the other director.

They both became founder directors with the other director joining later along with a manager. Then the oversight committee was formed. However, in the future one of the executive directors left, so breaking up the brotherhood, and there was other turbulence in board membership.

While CIC 3 was not the private company or children's home provider originally envisaged, its training service for vulnerable people was initially successful through mixed grant and commercial funding. However, this initial growth was halted by losing a contract, which was followed by a period of unresolved transition.

Case 4 was centred on CIC 4 which provided training about children's online safety and/or anti-bullying.

CIC 4's culture contrasted normal business with acceptable minimal social activity. The strategy was to provide training for schools and social workers on a jobbing basis. The structure was centred on the lead director and trainer, who earned some income. There were also volunteer directors, a reducing handful of part-time trainers, weak administrators, and a loose group of partly inactive experts rather than a group organization. There was marginal financial performance, and positive feedback about training sessions but confusion over stakeholder consultation. The operating environment was morally questionable as a market. Conditions were getting more difficult with state schools and social worker departments having few funds. There was a major public sector led network and large charities in the field, which did not want to work with CIC 4. There was a background of increased use of mobile devices and social media giving advantages and disadvantages to children. The managerial layer comprised three directors who were alike but with different skills, with one director central and the other two as advisors. The central director was also the lead trainer.

The degrees of dominance in the four configuration elements of protection, compromise, elimination, and opportunity were mostly intermediate, with a small minority split between dominant and subsidiary. Culture was skewed towards the protection element and performance skewed towards the compromise element. The degrees of fit in the configuration elements were mostly tight including between the organization and its environment. There was a small minority of loose fits which were mostly in the protection element, and no misfits.

Previously the organization was private limited company that performed poorly partly due to organizations disagreeing with providing the services through a business driver. Consequently, it was relaunched as CIC 4 which helped sales. While there was initial growth this then reversed with a shrinking workforce, consistent small deficits, and variable social impact through training sessions. The response was a central strategy for the future that was to convert to a charity so that grant, donation, and gift funding could more readily be obtained.

However, CIC was dissolved, and no successor charity was traced. From an environmental perspective, the increased use of social media and mobile devices provided advantages and disadvantages for children and was studied in the Byron Review before CIC 4 was launched. Once CIC 4 existed these risks developed together with growing concern about making profits from training services to reduce the risks. Customers had few funds and competitors were combative. This situation was expected to continue, unless the government or tech companies changed their approaches. The lead manager worked for the predecessor organization as a trainer rather than a manager. When CIC 4 was launched it initially had five directors, and two directors then resigned, which may have contributed to the organization faltering. This left three directors who had different skills and ties outside the organization. The board intended to continue, with a reduction in pressure on the central lead director. However, the risk of her centrality crystallized as ill health and CIC 4's dissolution meant the director team did not continue.

The predecessor organization of a private limited company was problematic, partly because of debate over the appropriateness of making profits from the children's services offered. This issue was not resolved by conversion to CIC 4. The debate, combined with marginal finances and poor health of the lead director, resulted in dissolution of CIC 4. Consequently, Case 3 and Case 4 used different approaches to their configurations, fits and fittings and were both associated with low performance.
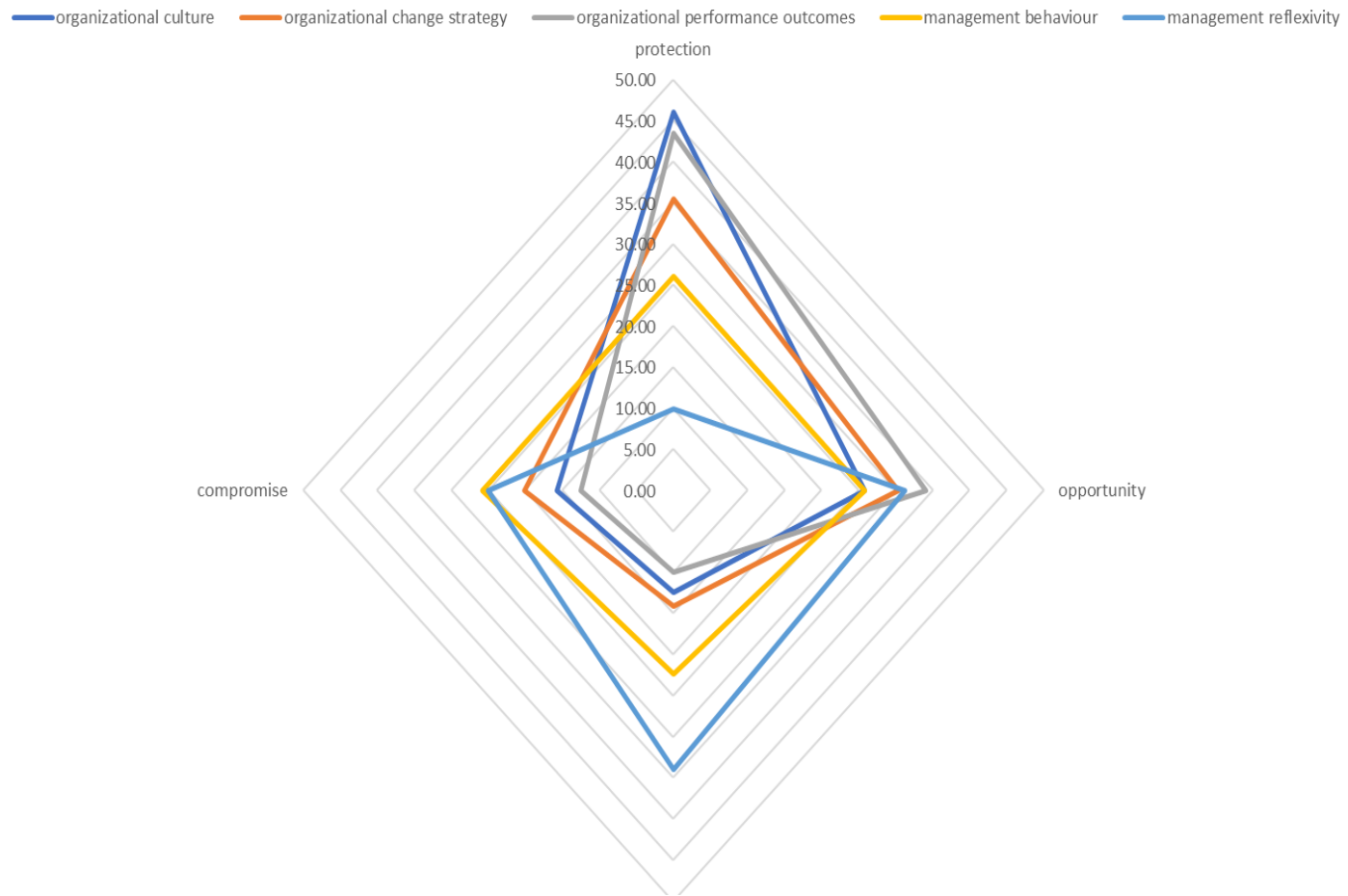
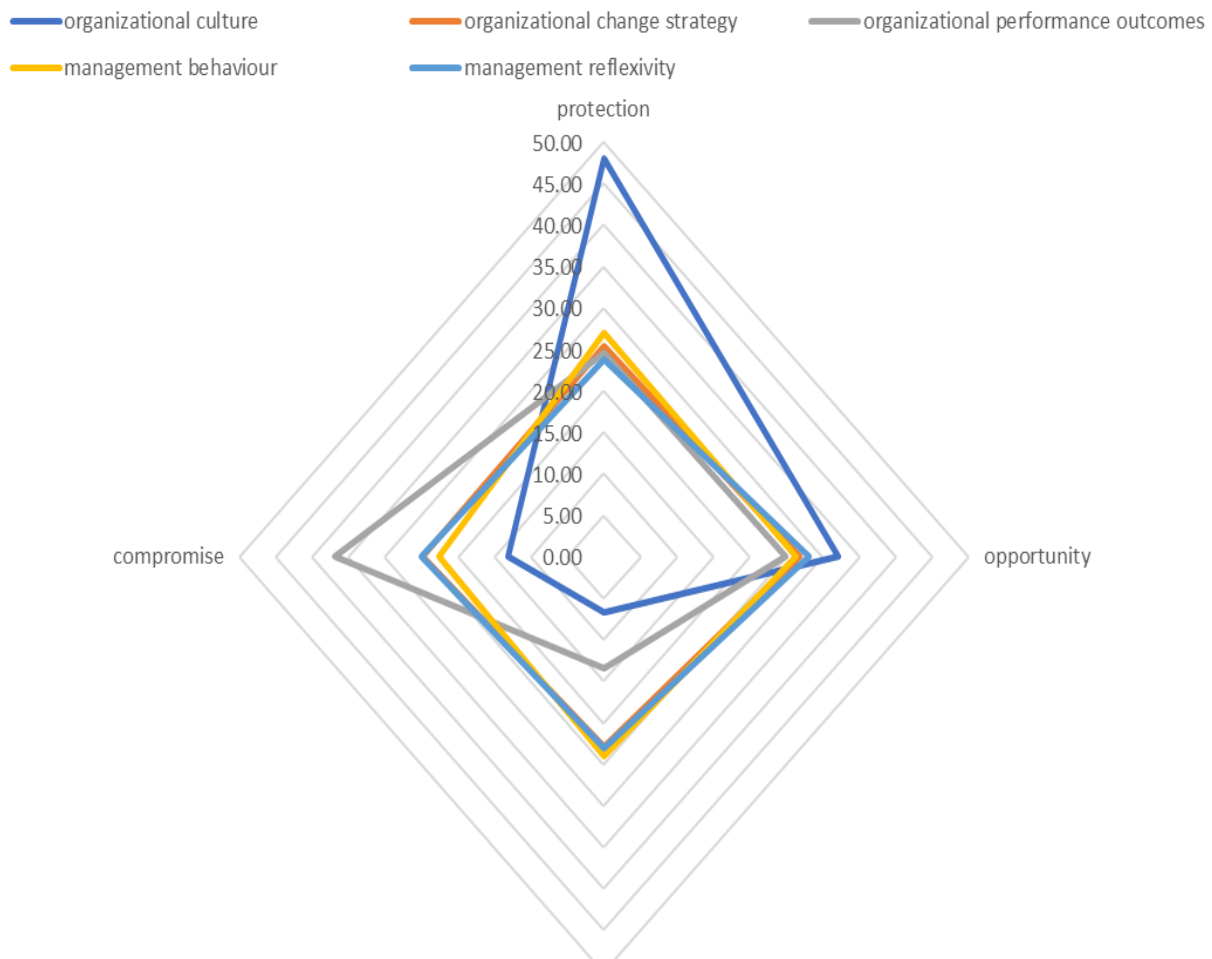**Figure 7.1: Case 3: Configurations, fits, and fittings**

Figure 7.2: Case 4: Configurations, fits, and fittings

CHAPTER 8: DISCUSSIONS AND CONCLUSIONS

If we could first know where we are, and whither we are tending, we could then better judge what to do and how to do it

Abraham Lincoln (1809 – 1865)

If all the ways I have been along were marked on a map and joined up with a line, it might represent a minotaur

Pablo Picasso (1881 – 1973)

You only grow by coming to the end of something and by beginning something else

John Irving (1942 -)

In this latter part of this research journey, where it has ended up was considered, together with what might lie beyond. To do this, the intended destination was compared with the actual journey's end, by taking into account the travel in between. In reflecting on the journey, some aspects were as anticipated, and others were unexpected. Having made this comparison, some conclusions were made, including the general direction of other potential journeys.

To enable this reflection, the chapter is set out in three parts to discuss each of the three research questions in turn. The discussion includes conditions from the cross-case comparison and the convergence and divergence between them and the research literature. Following the discussion, some conclusions are drawn that respond to the research questions and consider some implications.

The research questions, which were set out in Chapter 1 are:

RQ1: Under **what** circumstances do social enterprise organizations perform well?

RQ2: **Why** do they perform well under these circumstances?

RQ3: **How** do managers deal with these circumstances so that their social enterprise organizations perform well?

8.1 INTRODUCTION TO DISCUSSIONS

The four case studies that were compared (Yin, 2014: 165-167; Miles and Huberman: 1994: 176) were similar in overall profile, and one pair was high performing and the other pair was low performing. Their different performance was designated by reference to the working definition use in the study. Performing well - i.e. high performance - meant surviving the short-term and the medium-term while providing the same set of services. Conversely, not performing well - i.e.- low performance - meant not surviving the medium-term with the same set of services. The short-term was calibrated as 1-3 years since launch and the medium-term as 4-6 years. The case studies were centred on social enterprises that were Community Interest Companies (CICs) all providing well-being services in the public sector, and were of similar small size, young, and located in the heart of England. The first high performing case was CIC 1 which provided public engagement, research and insight, and complaints and advocacy services, primarily for Healthwatch contracts intended to give a public voice in NHS healthcare. The second high performing case was CIC 2, which provided children's sports and PE for a network of local state schools as part of the School Games Organizer (SGO) system. The first low performing case was CIC 3, which provided training for vulnerable children and adults in various forms, and specifically alternative education provision and criminal justice system support. The second low performing case was CIC 4, which provided training about children's online safety and/or anti-bullying.

The discussion concerns candidate conditions. The conditions were considered to be candidates, as they were derived from results as a basis for discussion. The three principal similarities and differences between conditions in the case studies were considered one-by-one, and a simplified form of necessary and sufficient conditions was used where a necessary condition must be present and a sufficient condition can be present for high performance (Ragin, 1987: 99). The first principal similarity/difference was where both high performing cases were similar, and they were different from both low performing cases. These conditions were labelled necessary and sufficient conditions, and so tended to be threshold conditions. The second principal similarity/difference was where both high performing cases were similar, but they were also similar to one or more of the low performing cases. These conditions were labelled necessary but not sufficient, and so tended to be combinatory conditions. The third principal similarity/difference was where one high performing case was similar to one or more of the low performing cases. These conditions were labelled sufficient but not necessary, and so also tended to be combinatory conditions. Other patterns were possible, including no pattern, although these were not part of the study.

The discussion also considers the convergence and divergence of the candidate conditions with the cross-case comparison with the previous research literature. The terms "converge"

and "diverge" are used to refer to whether there is similarity or difference between these two kinds of material, and this is similar to their use by Cohen et al. (2011: 189). Where there is convergence there are expected outcomes, where there is divergence there were unexpected outcomes, and there was the possibility that issues would arise that were outside the immediate scope of the study. Where there is convergence, the conditions remain tendencies (Danermark et al., 1997/2002: 56), with configurations as structures, fits as mechanisms, and fittings as how these play out over time.

The following discussion is organized around the three main concepts of configurations, fits, and fittings, and their three aligned and respective research questions. Both the concepts and the research questions are linked. The framework used was to consider structural modes and agential modes, and within each of these to address organizational, environmental, and managerial layers. The first section considers this framework in terms of configurations and research question 1. The second section considers the fits within and between this framework and research question 2. The third section addresses fittings through the framework over time and research question 3. The fourth and final section then provides further discussion concerning the analytic generalization of the findings.

8.2 DISCUSSION OF CONFIGURATIONS

The configurations are addressed with those in the structural mode followed by those in the agential mode, and within each mode organizational, environmental, and managerial layers are considered in turn. The configurations were as at the time of the short-term/medium-term interface (i.e. 3-4 years). For reference concerning the conditions, the following tables are provided: Table 8.1: Conditions from cross case comparison – configurations – structural mode and layers and Table 8.2: Conditions from cross case comparison – configurations – agential mode and layers. Note that shading in the tables indicate that a condition is present in a case and white space shows that it is not. Supporting detail is provided in Appendix 8.1: Cross-case comparison – configurations.

8.2.1 Structural mode

In the organizational layer, a combinatory condition was the degree of dominance in configurational logic elements in the focal operating organization of protection/social dominant, elimination/financial subsidiary, and both compromise/control and opportunity/innovation intermediate, based on Cameron and Quinn's (2011) Competing Values Framework (CVF). These configurational logic elements are different combinations of feedback polarities. The protection/social element logic is negative feedback, the compromise/control element logic is negative and positive feedback, the elimination element logic is negative or positive feedback, and opportunity/innovation element logic is positive feedback. This combinatory condition was partially consistent with Cameron and Quinn's (2011: 52-54) observation that higher performing organizations tend to be dominant on one element logic and capable on the other three. This combinatory condition was also consistent with the idea that the fit within configuration element logics can be complementary (Ostroff and Judge, 2007/2012: 17) or competing (Cameron et al., 2011:158). These combinations of logics are addressed in relation to social enterprises as productive tensions (Battilana et al., 2015), confounding (Dorado and Shaffer, 2011: 30-32), and competing (Bruneel et al., 2016: 263-265). These element logics help to explain the hybridity in organizations Miller (1987: 697) and in social enterprises (Cooney, 2006).

In the organizational layer, one threshold condition was a commitment to quantitative or qualitative development, rather than solely to the services provided. Quantitative development in social enterprises has received considerable attention in the form of growth (e.g. Steiner and Teasdale, 2016: 201-203); scaling (e.g. Lyon and Fernandez, 2012: 65) and replication combined with scaling (Blundel and Lyon, 2015: 83-88). Qualitative developmental in early stage social enterprises has also been addressed (Lyon and Ramsden, 2006: 27-28).

Another threshold condition was and the presence of a group organization/network. Group organizations affect financial performance, although the degree has been disputed relative to operating organizations ("corporate" versus "business unit") (Rumelt, 1991; Roquebert et al., 1996). Networks help by reducing uncertainty through familiarity and recommendation (Granovetter, 1974), and occur in the world of social enterprises (Dufays and Huybrechts, 2014: 216-217). The ideas of group organizations and networks can overlap.

In terms of organizational performance, one threshold condition was good social and financial performance. Florin and Schmidt (2011: 170) have discussed shared value in social enterprises as the combination of social value and economic value (Bellostas et al., 2016). Indeed, social and economic performance in organizations has been discussed more generally (e.g. Elkington, 1997). A further threshold condition was a high rating relative to extant comparators. This condition points to consideration of stakeholders and taking a "larger view" (Freeman et al., 2010: 206). The combinatory condition was degrees of element dominance in organizational performance that were protection/social dominant/most dominant, and mixed dominance in elimination/financial, compromise/control and opportunity/innovation. The four elements used here helped to avoid the problems of both both single indicator and "universalistic" approaches (Cameron and Whetten, 1983: 3), and recognized that two dimensions would be considered too limiting from a configurational perspective (Meyer et al.,1993: 1181-1182). This combinatory condition was also consistent with Pirson's (2012: 43-44) view that in social enterprises either social value or economic value primacy strategies are preferable to balance oriented approaches, and with the notion that other elements are also relevant. Overall, limited insight has been provided into what constitutes superior performance (Powell, 2001) and survival (Teece, 2007).

From an environmental perspective, one threshold condition was benefiting from central government funding through intermediaries. While social enterprises provide services in the public sector environment, the narrower specific context (Pugh et al., 1969: 111) was particularly relevant. Context counts for social enterprise (Overall et al., 2010: 146-147). Another threshold condition was a trading context that was benign for social enterprise organizations. However, the market structures (Cohen and Cyert, 1975) were starkly different within the high performing pair and the low performing pair of case studies. In the higher performing cases, CIC 1's market was regulated by legislation and was a form of imperfect competition, but CIC 2 was able to act as a geographical monopoly. While in the low performing pair of cases, CIC 3 operated in close to perfect competition, with resource partitioning (Carroll and Hannan, 2000: 262) in the form of sub-contracting, and CIC 4 worked in a non-market (Sandel, 2012: 8-11) with oligopolistic "competitors". A combinatory condition was that the dynamism, and munificence and complexity, of the operating environment was

intermediate (Duncan, 1972: 314-317), creating an environment for open systems (Thompson, 1967: 10) with some constraints. The case studies operated in the well-being sector, which has been identified as a target for social enterprises (Farmer et al., 2016: 238-239), and markets affect financial performance (Schmalensee, 1985).

In the managerial layer, each of the three conditions were combinatory. One combinatory condition was intermediate dominance in the element logics of management behaviour, this pattern of management behaviour tends to support the managers having all round competences, although whether this was appropriate in social enterprises (Moreau and Mertens, 2013: 171-172) was unclear. Another combinatory condition was the adoption of a small board of directors. Whether smaller or larger teams improve performance has been debated depending on the task (Mueller, 2012: 122), although there has been advice that the maximum board size is nine (Guest (2009: 401-402) and that a team is four to six and more than six is a group (Belbin, 2013: 4). This supports the notion of small boards of around four to six being appropriate, particularly when closely supporting senior managers are included, although the low performing CIC 3 and CIC 4 were borderline in having too few directors. A further combinatory condition was the presence of a group/s intended to advise the board. Connections have been established between governance and performance in social enterprises (Diochon, 2010: 96-98). If these advisory groups are part of governance, then they have the potential to affect performance positively if they are functional, and might also assist with other concerns of legitimacy and identity (Smith and Woods, 2014: 212-213).

8.2.2 Agential mode

In the organizational layer, the threshold condition was that the operating organization was a permanent member of an umbrella organization/network. Rowley (1997: 901) considered the position of organizations in networks in terms of density and centrality, and how this affects their network relationships. However, this threshold condition was framed in terms of the presence or absence of formal network membership, although there may have been informal networks too. Nevertheless, this points to a simplified view of this stakeholder typology, where the high performing cases are able to negotiate or manipulate and the low performing cases acceded or withdrew. These network positions and relationships also link to discussion about networks in social enterprise (Dufays and Huybrechts, 2014: 216-217). The combinatory condition was that the operating organization comprised workers in a combination of paid employees and unpaid volunteers. It has been argued that workers in social enterprises have an ideological orientation (Román et al., 2013: 119-120). However, the extent to which the motivations of paid employees and unpaid volunteers vary is unclear.

From an organizational performance viewpoint, a threshold condition was being highly rated as member of such an umbrella organization/network. Such networks are a focus for those affected by or that may affect the organizations performance in terms of achieving objectives (Freeman, 1984: 46). Those organizations with higher performance may have greater salience i.e. a combination of power, legitimacy and urgency (Mitchell, Agle and Wood, 1997: 298). These higher performing organizations are corporate agents that have objectives that they can articulate and can pursue organized actions to achieve them (Archer, 1995: 258), and can shape the context (Archer, 1995: 260). Whereas lower performing organizations are primary agents, who lack a say and have concerns that are kept off the agenda (Archer, 1995: 259). The idea that network connections are important for social enterprises and their performance has been highlighted by Steiner and Teasdale (2016: 211-213) and by O'Shaughnessy (2008: 126-127).

In the environmental layer, one threshold condition was the presence of immediate customers in the public sector with some funding for the services offered. Public sector procurement is an issue of concern for social enterprises (Muñoz, 2009: 70-71) and for all four cases in the study. Regarding resources and capabilities of social enterprises, finance has been emphasised, particularly funding (Young and Clark Grinsfelder, 2011; Ridley-Duff, 2009: 63-64). This is consistent with Freeman et al. (2007) identifying customers as primary stakeholders. The other threshold condition was that there were either no competitors or competitors who were weak or disadvantaged in some way. While Freeman et al. (2007) identified competitors as secondary stakeholders, they affect market structure (Cohen and Cyert, 1975). In the high performing cases, CIC 1's competitors were weak or disadvantaged relative to social enterprise incumbents, and CIC 2 as a geographic monopoly had no competitors. While in the low performing cases, CIC 3 faced big, strong commercial competitors, and in CIC 4's non-market (Sandel, 2012: 8-11) there were powerful oligopolistic "competitors". The combinatory condition was having central government as the arm's length customer. This was arguably inevitable given that the cases provided well-being services to customers in the public sector, and so were part of the delivery of welfare services in the UK (Teasdale, 2012: 104). While government policy on welfare services was of overall concern, the immediate customers in the public sector were a pressing concern for social enterprise performance, as discussed above.

In the managerial layer, there was one threshold condition of the presence of groups to advise the board that had functionality. These advisory groups functioned in the high performing cases, whereas they did not in the low performing cases, where CIC 3 had a group at an early stage (Tuckman, 1965), whereas CIC 4 had a loose group, such as it was, with one director at its centre forming a micro-network prone to manipulation (Rowley, 1997: 901).

The first combinatory condition concerned the dominance in elements for directors' management reflexivity of elimination/financial dominant, protection/social subsidiary, and compromise/control and opportunity/innovation intermediate. These element logics map onto Archer's (2012) framework of reflexivities (CAMF). Protection/social logic is equivalent to communicative reflexivity and compromise/control element logic is equivalent to the "pessimistic" reflexivity that was added. The elimination/financial element logic is equivalent to autonomous reflexivity, and the opportunity/innovation element logic is equivalent to (a part of) meta-reflexivity. The primacy of autonomous reflexivity in social enterprise directors and senior managers, with its instrumental logic and business-like emphasis, is consistent with Boluk and Mottiar's (2014: 53-54) observation that they use business knowledge to solve social issues, if somewhat at odds with their conclusions about the mix of their motivations (Boluk and Mottiar (2014: 64-65). This is significant as the characteristics of top management teams have been associated with organizational performance (Finkelstein and Hambrick, 1990: 484), to the extent that the organization can be seen as a reflection of its senior managers (Hambrick and Mason, 1984: 193). The study was limited concerning "pessimistic" reflexivity, although there were exemplars in the cases.

The second combinatory condition concerned dominance in elements for directors' ethics, which were high with equal dominance in all ethics. Ethics play a part in decision making in general (Fallon and Butterfield, 2005; Ashby 2017/18), and more specifically in social enterprise, such as through codes of ethics for microfinance organizations (Kleynjans and Hudon, 2016). While different combinations of ethics used by managers were obtained by Casali (2008: 27), in this study managers had more all-round ethical profiles, potentially linked to their role as responsible leaders (Maak and Stoetter, 2012) of social enterprises and their ideological psychological contract (Román et al., 2013: 119-120). The study was limited in its investigation of pragmatic ethics.

The third combinatory condition was in the dominance in elements for directors' emotions, which were both positive and negative, with high positive affect outweighing moderate negative affect. This emotional profile was similar across the high and low performing cases, and corresponds with there being no significant fractured reflexivity where emotional distress prevents action (Archer, 2012: 13).

The fourth combinatory condition was directors and closely supporting senior managers being entitled to payment. If payment of directors is seen as part of governance which is a concern in social enterprises (Smith and Woods, 2014: 212-213), then it may have a part to play, although the different in motivations of the paid and unpaid volunteers was not clear (Román et al., 2013: 119-120).

The condition of preferred team role dominance for directors had no pattern, and so was neither a threshold nor a combinatory condition, and so no discussion is offered.

8.2.3 Summary

The conditions from the comparative case studies were largely convergent with previous research with some points of note. This was the position for both structural and agential configurations, which are addressed in turn.

Regarding configurations in the structural mode, in the organizational layer the degree of dominance in configurational element of the operating organization being: protection/social dominant, elimination/financial subsidiary, and both compromise/control and opportunity innovation intermediate, was convergent with the literature and helped explain social enterprise hybridity. Furthermore, in the organizational layer, the operating organization's emphasis on quantitative growth and/or qualitative development in social enterprises was convergent with the literature. In addition, in the organizational layer, the presence of group organizations and networks, while blurred, was convergent with the literature that they can help organizational performance. With regard to organizational performance, good social and financial performance embedded in a performance configuration with dominant protection/social performance, and mixed dominance among the other elements was convergent with the literature. A high performance rating relative to extant comparators was convergent with the literature when a stakeholder approach was taken. Within services in the public sector, context was important, and especially a market structure that was benign to social enterprises – either a regulated imperfect market or a form of monopoly. These environmental configurations were convergent with the literature. In the managerial layer, equal dominance in management behaviour configurations, coupled with all round competences, and a small board, were convergent with the literature. The presence of groups to advise the board converged with the literature when a governance perspective was taken.

With respect to configurations in the agential mode, in the organizational layer the presence of an umbrella organizations/network was convergent with the literature by taking a stakeholder view. The use of both employees and unpaid volunteers and their ideological motivations was convergent with the literature, although the extent to which their motivations might be similar or different in social enterprise organizations was unclear. Being highly rated in an umbrella organization/network was convergent with the literature on stakeholder salience. In the environmental layer, and regarding services in the public sector, immediate customers with the ability to buy the services offered, and either no competitors or competitors who are disadvantaged in some way so creating a level playing field was convergent with the literature. In the managerial layer, the dominance in elements for directors' management

reflexivity of elimination/financial dominant, protection/social subsidiary, and compromise/control and opportunity/innovation intermediate, was convergent with the literature if directors are considered as social entrepreneurs. All round ethics if viewed as a particular profile also converged with the literature, as did positive emotion outweighing negative emotion. Payment of directors was also convergent with the literature by taking a governance view.

CONFIGURATIONS – structural mode at short-term/medium-term interface (i.e. approximately 3/4 years)	High perf CIC 1	High perf CIC 2	Low perf CIC 3	Low perf CIC 4	nec.	suff.	condition
1 structural mode - organizational layer							
dominance in the element logics for the aspects: protection dominant, elimination subsidiary, and intermediate for compromise and opportunity similar: present in CICs 1-3 different: not present in CIC 4 - both more similar and more different.					yes	no	combinatory
commitment to qualitative growth and/or qualitative development: similar: CICs 1 and 2 different: CICs 3 and 4 – commitment to services					yes	yes	threshold
group organizations/networks: similar: present in CIC 1 and CIC 2 different: not present in CIC 3 nor CIC 4					yes	yes	threshold
2 structural mode - organizational layer – performance							
dominance in element logics of performance: similar: CICs 1-3 - protection dominant/most dominant and mixed different: CIC 4 – compromise dominant and mixed					yes	no	combinatory
good social and financial performance: similar: present in CICs 1 and 2 different: not present in CICs 3 nor 4 – weak on social or financial					yes	yes	threshold
high rating/ranking against comparators that are still operating: similar: present in CICs 1 and 2 different: not present in CICs 3 and 4					yes	yes	threshold

CONFIGURATIONS – structural mode at short-term/medium-term interface (i.e. approximately 3/4 years)	High perf CIC 1	High perf CIC 2	Low perf CIC 3	Low perf CIC 4	nec.	suff.	condition
3 structural mode – environmental layer							
operating environment with intermediate – dynamism, and munificence and complexity: similar: present in all cases CICs 1-4 difference: none					yes	no	combinatory
operating environment is benign to social enterprise: similar: present for CIC 1 through regulated competition and CIC 2 through geographic monopoly different: not present for CIC 3 through near perfect competition nor for CIC 4 through non-market with oligopolistic "competitors"					yes	yes	threshold
wider environment central government funding and local intermediaries similar: present for CIC 1 and CIC 2 different: not present for CIC 3 in public sector procurement and sub-contracting nor in CIC 4 where no central funding outside public and social oligopolistic competitors					yes	yes	threshold
4 structural mode – managerial layer							
management behaviour logics – intermediate similarity: present in all cases CICs 1-4 different: none					yes	no	combinatory
small boards of directors with minor variations similarity: present in all cases CICs 1-4 difference: none					yes	no	combinatory
group/s to advise the board similarity: present in all cases CICs 1-4 difference: none					yes	no	combinatory

Table 8.1: Conditions from cross case comparison – configurations – structural mode and layers

CONFIGURATIONS – agential mode at short-term/medium-term interface (i.e. approximately 3/4 years)	High perf CIC 1	High perf CIC 2	Low perf CIC 3	Low perf CIC 4	nec.	suff.	condition
5 agential mode – organizational layer							
operating organization – workers are combination of paid employees and unpaid volunteers similarity: present in CICs 1-3 difference: not present in CIC 4 – no worker volunteers	▒	▒	▒		yes	no	combinatory
operating organization – permanent member of umbrella organization/network similarity: present for CIC 1 and CIC 2 difference: not present for CIC 3 – temporary partnerships not CIC 4 – distant connections through one director	▒	▒			yes	yes	threshold
6 agential mode – organization layer – performance							
highly rated member of umbrella organization/network similar: present in CIC 1 and CIC 2 different: not present in CIC 3 not CIC 4	▒	▒			yes	yes	threshold
7 agential mode – environmental layer							
immediate customers in public sector with some funding for services similarity: present for CIC 1 and Healthwatch and CIC 2 for school sports difference: not present for CICI 3 and training for vulnerable people not for CIC 4 for online safety/anti-bullying	▒	▒			yes	yes	threshold
no, weak, or disadvantaged competitors similarity: present for CIC 1 and for CIC 2 difference: not present for CIC 3 nor for CIC 4	▒	▒			yes	yes	threshold
central government as arm's length customer similarity: present in all cases CICs 1-4 difference: none	▒	▒	▒	▒	yes	no	combinatory

CONFIGURATIONS – agential mode at short-term/medium-term interface (i.e. approximately 3/4 years)	High perf CIC 1	High perf CIC 2	Low perf CIC 3	Low perf CIC 4	nec.	suff.	condition
8 agential mode – managerial layer							
dominance in elements for directors' management reflexivity aspect similar: CICs 1-3 elimination dominant, protection subsidiary, and compromise and opportunity intermediate different: CIC 4 - elements of equal dominance					yes	no	combinatory
dominance in elements for directors' ethics similar: high with equal dominance - present in all cases CICs 1-4 difference: none					yes	no	combinatory
dominance in elements for directors' emotions – positive and negative similar: high positive affect outweighs moderate negative affect similar: present in all cases CICs 1-4 difference: none					yes	no	combinatory
directors and closely supporting senior managers entitled to payment similar: present in CICs 1-3 different: not present in CIC 4 – volunteer NEDs					yes	no	combinatory
preferred team role dominance for directors no similar/difference pattern					no	no	non-applicable
groups to advise the board had functionality similarity: present in CIC 1 and CIC 2 difference: not present in CIC 3 and CIC 4					yes	yes	threshold

Table 8.2: Conditions from cross case comparison – configurations – agential mode and layers

8.3 DISCUSSION OF FITS

The fits are addressed in turn through the structural mode, agential mode and between the structural and agential modes. The fits between structural and agential modes was limited by the particular focus on directors and data limitations. The fits were as at the time of the short-term/medium-term interface (i.e. 3-4 years). For reference concerning the conditions, the following tables are provided: Table 8.3: Conditions from cross case comparison – fits – structural mode and layers, Table 8.4: Conditions from cross case comparison – fits – agential mode and layers, and Table 8.5: Conditions from cross case comparison – fits – agential mode managerial layer/structural mode and layers. Again, shading in the tables indicates the presence of conditions. For ease of reference detail is provided in Appendix 8.2. Cross-case comparison – fits.

The following discussion includes degrees of fit i.e. tight and loose fit. These fits characterize two different ways a system, such as an organization, handles positive and negative feedback. Generalizing Weick (1976: 6), tight fit/coupling increases the tendency for a system to have to – or be able to – respond to environmental change – i.e. amplification. Whereas loose fit /coupling decreases the tendency for a system to have to – or be able to – respond to environmental change – i.e. attenuation.

8.3.1 Structural mode

In fits between organization and environment, a balanced business and social organization in a market that is benign was a threshold condition. This qualitative view of this external fit connects two configurational features together. These configurational aspects are a benign market structure (Cohen and Cyert, 1975), as applied to the high performing cases of CIC 1 which was in a market regulated in favour of social enterprises, and CIC 2 which was a geographic monopoly, with a hybrid business and social organization (Cooney, 2006). A tight degree of external fit was a combinatory condition. Miles and Snow (1994: 18-20) associated tight external fit with superior performance, which is partially consistent with this combinatory condition. External fit can also be seen as alignment between layers in the social world (Rees and Gatenby, 2014: 139). Moreover, Miles and Snow (1994: 18-20) found that the earlier tight fit is achieved the better. While Kristof-Brown and Billsberry (2013: 3) have argued that congruence is not always optimal, with regard to external fit in this study, tight fit is needed. The loose external fit of CIC 3 as a low performing case is consistent with Miles and Snow's (1994: 18-20) view that such organizations tend to struggle for survival. Furthermore, CIC 4 as the other low performing cases, did have tight external fit, although it operated in a non-market (Sandel, 2012: 8-11). The configurational context of external fit was relevant.

In fits within the organizational layer, including performance, the threshold condition was reinforced of a balanced business and social organization that was a hybrid (Cooney, 2006). The condition of tight/mostly tight fit was a combinatory condition and was again consistent with the view that tight fit tends to be associated with high performance as debated by Kristof-Brown and Billsberry (2013: 3). Nevertheless, these internal tight fts run counter to the idea of loose coupling reconciling "practical activity" and "institutionalized myths" (Meyer and Rowan, 1977: 359-360. Furthermore, tight internal fits are also inconsistent with Weick (1976: 1-3) who argued for loose coupling in the context of unconventional and less rational organizations. By chance the case studies had a training/educational element which partially overlaps with Weick's (1976: 103) discussion of educational organizations, raising the probability that the case organizations were more conventional and more rational than those Weick (1976: 1-3) had in mind.

In the fits between organizational and managerial layers the threshold condition of a balanced business and social organization with a small board reinforced these two configurational conditions previously discussed but now combined them. A combinatory condition was the presence of tight/mostly tight fit. This tight fit is consistent with Cameron and Quinn's (2011: 53) hypothesis that higher performing organizations and managers tend to be where managers' competences are congruent with the organization's dominant culture, and this might be extended to strategy and structure.

In the fits within the managerial layer, i.e. between the directors and supporting senior managers, the management behaviour was a tight fit, and a combinatory condition. A further combinatory condition was the presence of a small board. Again, this condition recurred and so was reinforced. These two conditions are linked. It is argued that board size is linked to the communication which improves with greater size and then deteriorates around nine directors (Guest, 2009: 401-402). Diversity has a more contested role in board performance (Mello and Rentsch (2015: 624), although diversity of managers is relevant in social enterprises (Brigstock et al., 2010). However, as discussed above, the configurations of management behaviour of the directors in the case studies were similar, so from this perspective there was little diversity.

8.3.2 Agential mode

In the fits between the organizational/environmental layers, the threshold condition was the presence of volunteer workers and network organization membership in a benign market. This threshold condition connects and reinforces network organization membership and benign market structure discussed in above in configurations. However, this condition develops the previous discussion about workers as both employees and volunteers (Román et al., 2013:

109-110), volunteers may have a role as a feedback mechanism to either amplify feedback from the environment through tight fit or attenuate feedback through loose fit (Weick, 1976: 6). The extent of this feedback amplification or attenuation depends on the salience of the volunteers as stakeholders (Mitchell, Agle and Wood, 1997: 298). However, as Archer (1995: 259) has observed the volunteers' shifting from primary agents to corporate agents and vice versa, so varying their degree of salience.

In the fits between the organizational/managerial layers, the threshold condition was the presence of volunteer workers and network organization membership with directors who are business-like. This threshold condition connects and reinforces previously discussed conditions concerning volunteer workers, network organization membership, and business-like directors. Network organizations have similar characteristics to volunteer workers discussed above in terms of being feedback mechanism that can amplify or attenuate feedback (Weick, 1976: 6), with the extent of such amplification or attenuation depending on their salience as stakeholders (Mitchell, Agle and Wood, 1997: 298).

In the fits within the managerial layer, - i.e. fits between aspects of each of the directors and their closely supporting senior managers in their respective case boards - one combinatory condition was that their management reflexivities were a tight fit. Cognitive reflexivity is the essence of being human (Porpora and Shumar, 2010: 209-210), and Mello and Rentsch (2015: 624) have argued that evidence is contradictory as to whether cognitive diversity affects team performance. Consequently, it is equivocal as to whether tight fit in managers' reflexivities contributes or not to organizational performance through team performance. Furthermore, similar profiles of mixed reflexivities between directors in boards emphasizing instrumental logic and being business-like is not supported as either an advantage or a disadvantage. However, a focus on rationalities (plural) by directors of social enterprises is worthwhile (Barinaga, 2013: 366-369), and mixed reflexivities go beyond "managerial rationality" (Mauksch, 2012: 166-168). From a cognitive perspective, Barinaga (2013: 366-369) addressed social entrepreneurial rationalities, and Mauksch (2012: 166-168) discussed going beyond managerial rationality.

Managers' cognition, ethics, emotion and demographics interact (e.g. Ruegger and King,1992: 184-185; Hanoch, 2002: 3), which were beyond the scope of the study. However, another combinatory condition was that the ethics of directors were a tight fit, with loose fit exceptions, reinforcing the idea that the social enterprise directors were all round responsible leaders (Maak and Stoetter, 2012). Another combinatory condition was the emotion of directors within their teams was generally tight fit, with some loose fit exceptions, and emotion affects cognitive depth (Bachkirov, 2015: 867-868). Another combinatory condition concerned the

demographics of directors in their board teams, where similarity is equivalent to tight fit and diversity is equivalent to loose fit. This combinatory condition was the presence in the respective board teams of age and gender diversity, and similarity of ethnic group. The diversity of managers has been identified as relevant for social enterprises (Brigstock et al., 2010). The presence of complementary team roles of directors was another combinatory condition. This condition is consistent with the importance of team role balance for a team to be successful advocated by Belbin (2010: 21), although Battenburg et al (2013: 911) found that role diversity did not correlate with team performance. A further combinatory condition was that the directors had diverse skills, pointing to the importance of competences of managers of social enterprises (Moreau and Mertens, 2013: 171-172).

8.3.3 Agential mode/structural mode

The three fits between the agential mode and structural mode that were studied were all combinatory and their similar fit characteristics meant that they can be taken together. In the fits within the agential managerial layer and structural managerial layer, the combinatory condition was that management reflexivity of directors and their management behaviour was tight fit/mostly tight fit. Similarly, in the fits between the agential managerial layer and structural organizational layers the combinatory condition was that the management reflexivity of directors and the organizational aspects were almost all tight fit. Furthermore, in the fits between the agential managerial layer and structural environmental layer, the management reflexivity of directors and environmental dynamism was tight fit.

The agential mode and the structural mode "*emerge, intertwine and redefine*" each other (Archer, 2012: 52) (italics in original). While, these processes take place over time, here a tentative cross-sectional view was taken at the time of the interface between the short-term and the medium-term. In general, all things being equal, the conditions of tight fit between the agential and structural modes mostly constrain each other, thereby providing mutual negative feedback and so tending toward morphostasis (Buckley, 1967: 58-59); Archer, 2012: 6). However, this overall tendency can be nuanced, as even tight fit is unlikely to mean complete constraint between the agential and structural modes. While almost all social systems are open (Bhaskar, 2014: vii), they are also at least partly closed, and so a combination of maintenance/morphostasis and change/morphogenesis is expected (Archer, 2012: 6). Nevertheless, these tight fits point to an emphasis on maintenance combined with change that differentiate by scope and time in the organizational, environmental, and managerial layers. A limited discussion of structure and agency interaction follows in the next sub-section.

8.3.4 Summary

The conditions from the comparative case studies were largely convergent with the literature. However, this convergence was clearer cut regarding structural fits. The agential fits were generally convergent with the literature, which itself is more equivocal than the structural fit literature. The fits between the agential and structural modes were tentative, as they linked to Fittings/Research question 3. Structural, agential, and agential/structural fits are summarized below.

Structural fit between the organization and its environment that is tight and achieved early – here in the short-term – is convergent with the literature for high performance. Conversely, when this external fit is loose in a highly competitive market it is problematic. However, tight external fit was not associated with high performance in a non-market. Fits within the organization were also convergent with the literature with regard to being associated with high performance. Indeed, the high performing social enterprises appeared more rational and so had less use for loose internal fits than might have been expected from the literature on hybridity and loose coupling. Similarly, the tight fits between the organizational and managerial layers was convergent with the literature. The tight fit in the behaviour of directors was convergent with the literature that contested the need for board diversity and the likely effectiveness of small boards.

Agential fit between the organization and its environment was equivocal, as the role of volunteers and network organizations could be either tight or loose fit depending on stakeholder salience and timing. However, this equivocation was convergent with the literature. Accordingly, these volunteers and network organizations may either attenuate or amplify signals from the environment to the organization or vice versa. The previous point was reinforced and linked to business-like directors, suggesting that they use volunteers and network organizations whether these stakeholders act as attenuators and/or amplifiers. Tight fit or similarity in the directors' cognitive reflexivity was a further point of equivocation, although convergent with literature that cognitive diversity of board contributes to high performance. Indeed, each director having mixed reflexivities that include autonomous business-like reflexivity was also equivocal, which was convergent with literature that this can be and advantage or a disadvantage. However, this point converged and diverged with the literature on going beyond "managerial rationality", as mixed reflexivities would achieve this, but the emphasis on autonomous business-like reflexivity might contradict it. Similarity in strong emphasis on all ethics, more positive than negative emotion, and similar ethnicities were convergent with the literature. Whereas the complementarity of team roles, skills, and age and gender was also convergent.

The fits between the agential mode and the structural mode that were studied were all tight fit/mostly tight fit. More specifically, there were tight fits between managers' reflexivities and the structural organizational, environmental and managerial layers. This mostly tight fits could not be said to converge or diverge with the literature, as they were one possibility. However, from a tentative perspective, all things being equal, these mostly tight fits suggested substantial maintenance and some change, which is dealt with in the next section.

FITS – structural mode at time of short-term/medium-term interface (i.e. 3-4 years)	High perf CIC 1	High perf CIC 2	Low perf CIC 3	Low perf CIC 4	nec	suff	condition
1 Structural mode - organizational/environmental layers							
tight degree of external fit – i.e. between organization and environment similar: Case CICs 1, 2 and 4 tight fit different: Case CIC 3 – loose fit	■	■		■	yes	no	combinatory
balanced business and social organization in market that is benign similar: CICs 1 and 2 different: CICs 3 mixed organization and CIC 4 normal business and minimal social emphasis, and both in hostile markets	■	■			yes	yes	threshold
2 Structural mode - organizational/organizational layer and aspects, including performance							
tight/mostly tight fit similar: present in all cases CICs 1-4 different: none	■	■	■	■	yes	no	combinatory
balanced business and social organization similar: CICs 1 and 2 different: CICs 3 mixed organization and CIC 4 normal business and minimal social emphasis	■	■			yes	yes	threshold
3 Structural mode - organizational/managerial layers and aspects							
tight/mostly tight fit similar: present in all cases CICs 1-4 different: none	■	■	■	■	yes	no	combinatory
balanced business and social organization with small board similar: CICs 1 and 2 different: CIC 3 mixed organization and CIC 4 normal business and minimal social emphasis with small boards	■	■			yes	yes	threshold

FITS - structural mode at time of short-term/medium-term interface (i.e. 3-4 years)	High perf CIC 1	High perf CIC 2	Low perf CIC 3	Low perf CIC 4	nec	suff	condition
4 Structural mode - managerial/managerial layer and aspects							
management behaviour of directors and close managers - all tight fit similarity: present in all cases CICs 1-4 difference: none					yes	no	combinatory
small board similar: present in all cases CICs 1-4 different: none					yes	no	combinatory

Table 8.3: Conditions from cross case comparison – fits – structural mode and layers

FITS – agential mode at time of short-term/medium-term interface (i.e. 3-4 years)	High perf CIC 1	High perf CIC 2	Low perf CIC 3	Low perf CIC 4	nec	suff	condition
5 Agential mode - organizational/environmental layers and aspects							
volunteer workers and network organization membership in benign market similar: present in CICs 1 and 2 different: agents not present in CICs 3 nor 4 and in hostile market	■	■			yes	yes	threshold
6 Agential mode - organizational/managerial layers and aspects							
volunteer workers and network organization membership with directors who are business-like similar: present in CICs 1 and 2 different: not present in CICs 3 nor 4	■	■			yes	yes	threshold
7 Agential mode - managerial/managerial layer and aspects							
management reflexivities of directors are tight fit similar: present in CICs 1, 3 and 4 different: CIC 2 – mostly loose fit	■		■	■	no	yes	combinatory option
ethics of directors are tight fit with loose fit exceptions similarity: present in all cases CICs 1-4 different: done	■	■	■	■	yes	no	combinatory
emotion of directors generally tight fit, with some loose fit exceptions similarity: present in all cases CICs 1-4 difference: none	■	■	■	■	yes	no	combinatory
demographics of directors - loose fit on age and gender and tight fit on ethnic group similarity: present in all cases CICs 1-4 difference: none	■	■	■	■	yes	no	combinatory
directors team roles complementary similar: present in CIC 1-3 different: not present in ICC 4 – supplementary team roles	■	■	■		yes	no	combinatory
directors have diverse skills similar: present in CIC 1 and CIC 4 different: not present in CIC 2 and CIC 4 – similar skills	■			■	no	no	combinatory option

Table 8.4: Conditions from cross case comparison – fits – agential mode and layers

FITS – agential mode/structural mode at time of short-term/medium-term interface (i.e. 3-4 years)	High perf CIC 1	High perf CIC 2	Low perf CIC 3	Low perf CIC 4	nec	suff	condition
8 Agential mode – managerial layer/Structural – managerial layer							
management reflexivity of directors/management behaviour of directors is tight fit/mostly tight fit similar: present in all cases CICs 1-4 different: none					yes	no	combinatory
9 Agential mode – managerial layer/Structural – organizational layer							
management reflexivity of directors/organizational aspects are almost all tight fit similar: present in CICs 1 and 4 different: CIC 2 and CIC 3 have some loose fits and some misfits					no	no	combinatory option
10 Agential mode – managerial layer/Structural mode – environmental layer							
management reflexivity of directors/environmental dynamism is tight fit similar: present in all cases CICs 1-4 difference: none					yes	no	combinatory

Table 8.5: Conditions from cross case comparison – fits – agential mode managerial layer/structural mode and layers

8.4 DISCUSSION OF FITTINGS

The fittings are addressed through three alternating periods and events over time. These were: history to launch, short-term to a turning point in the short-term, and medium-term to end position. This sequence of three main cycles are delineated to suit the study in hand (Horrocks, 2009: 40). The fittings were approached primarily through configurations ("configuring") rather than fits due to data limitations, although as previously established configurations and fits are inextricably linked. The discussion considers both maintenance and change through a comparative approach. The conditions that arose all concerned configurations and one aspect of fit previously discussed, and so these are not revisited here, but rather maintenance and change are dealt with. The high-performance cases are the main focus of attention, reflecting the emphasis of the research question/s.

8.4.1 Maintenance and change

Table 8.6 – Fittings was prepared to summarize maintenance and change in these high performing cases and is the basis of the discussion below. Furthermore, for ease of reference three overview tables are then provided: Table 8.7: Conditions from cross-case comparison – fittings – history to launch; Table 8.8: Conditions form cross-case comparison – fittings – short-term to short-term turning point; Table 8.9: Conditions from cross-case comparison – fittings – medium term to end position. Once again, shading in the tables indicates that a condition is present. For ease of reference supporting detail is provided in Appendix 8.3: Cross-case comparison – fittings.

LAYERS	History (pre-launch)	Launch (year 0)	Short-term (0-3 years)	Turning point (within 3 years)	Medium-term (4-6 years)	End position (year 6)
Environmental						
structural	government policy*	benign market*		benign market *		benign market*
			benign market*	benign market *	benign market*	
agential			customers*		customers*	
			weak competitors*		weak competitors*	
			central govt.		central govt.	
Interface						
external fit					tight fit*	
Organizational						
structural	in public sector* network* services estab.	re-launch same services				extant* same services* in operation
			network*		network*	
			operating model*	operating model	operating model*	
				operating model		
agential			worker numbers*		worker numbers*	
			network*		network mgrs*	
performance		NA				
structural	long lived*; active; "unsuccessful"					survival*
			sales*	sales volume*	sales volume*	
			sales	sales volume*	sales volume*	
			service quality*		service quality*	
agential			network rating*		network rating*	
Managerial						
structural	managers are potential directors	some managers become directors	board size		board size	board members
			advisor group		advisor groups	
agential			board members*	board members	board members	
			advisor group/s members*		advisor group/s members	

Table 8.6: Fittings

The table maps maintenance and change relating to the high performing pair of CICs – CIC 1 and CIC 2 - over three cycles (two of which are calibrated) and concerning environmental, organizational, and managerial layers, for structural and agential modes where appropriate. This order was chosen so that external fits at the interface between organization and environment could be shown. The table is colour coded as follows:

Colour	Represents
blue	maintenance
yellow	change – linear progression - advantage
green	change – punctuated equilibrium - advantage
pink	change – linear progression - disadvantage
red	change – punctuated equilibrium - disadvantage

Arrows are used to denote alternative paths through the table. The conditions are summarized in the table, with an asterisk* used to denote the threshold conditions, and no asterisk to denote combinatory conditions. Aspects of this table are discussed below.

In overview, in the high performing cases fittings comprised combinations of configurational maintenance and change. The change that was present included both linear progression and punctuated equilibrium. This combination of maintenance and types of change is not consistent with the dominant view that configurations tend to exhibit only punctuated equilibrium (Fiss et al., 2013: 7). These combinations of maintenance and changes show that configurations in social enterprise organizations are not restricted to punctuated equilibrium (Miller and Friesen (1984: 2). Maintenance is a substantial consideration (Archer, 2012: 6; Buckley,1967: 58-59), as is change by both linear progression and punctuated equilibrium (Sigglekow, 2002). The high performing CICs adopted both strategic change (Millar et al., 2013: 7-9) and strategic maintenance (Epstein and Yuthas, 2011).

Moreover, the maintenance and change related to structural and agential modes and to organizational, environmental, and managerial layers, in the form of both threshold and combinatory conditions. The rich interplay between structural and agential modes has been proposed by Archer (2012: 52). The multi-layered nature of fittings points to an interplay between them. Consequently, there is a range of relevant concerns that can be discussed by example. Organizational strategy has long been associated with organizational performance (Snow and Hrebiniak, 1980), and in social enterprises there are concerns about maintaining missions and their drift (Cornforth, 2014: 4-5), and by extension, their development. Context is relevant for social enterprises (Overall et al., 2010: 146-147), although it may be hard to elucidate (Pugh et al., 1969: 111). Management behaviours can be appropriate to their organizational setting (Cameron et al., 2006: 19), and an overriding consideration for social enterprise leaders is that they are responsible (Maak and Stoetter, 2012). Organizational

performance is also configurational with financial and non-financial dimensions (Kaplan and Norton, 1996), which may compete in social enterprises (Meyer and Gauthier, 2013: 23-25). Organizations can be a reflection of their senior managers (Hambrick and Mason, 1984: 193), and those of social enterprises have particular motivations (Boluk and Mottiar, 2014: 64-65). Consequently, fitting the configurations in all these aspects and more is a consideration.

Two events that are worthy of note are the (re-)launch of the CICs and turning points in the short-term. The launches exhibited punctuated equilibrium, as the predecessor organizations were shut-down and the CICs began to operate. However, there was continuity and maintenance between the two sets of organizations, such as benign markets, services, and some of the senior managers. However, choice of legal entity, as a restricted view of organizational structure, is a concern in social enterprises (Kelley, 2009). The short-term turning points were also examples of punctuated equilibrium, if considered by changes in organizational performance. In one of the high performing cases – CIC 1 – there was upward quantitative step change around the third year when a second Healthwatch contract was won as the second wave of Healthwatch contracts were let. There was no short-term turning point in the other high performing case – CIC 2 – as its operating model continued to be improved qualitatively. The short-term turning points of the low performing cases contrasted sharply with those of the high performing cases – CIC 3 lost a significant contract around the end of its second year, which caused a quantitative contraction, and CIC 4's sales volume started to decline after its first year. For "fledgling" social enterprises (Lyon and Ramsden (2006: 38-40), the advantages and disadvantages and the timing of short-term turning points was a consideration.

The high performing cases exhibited configurational equifinality (von Bertalanffy, 1969: 132; Katz and Kahn, 1978: 30; and Fiss, 2007: 1181) by following alternative pathways through a restricted set of conditions. Both high performing cases followed a maintenance path across some conditions. CIC 1's path also included linear progression in some conditions, and punctuated equilibrium in others, and CIC 2 combined more maintenance with some linear progression. The optional paths concerned the benign market, the operating model, and sales volume. CIC 1's path was distinctive in its growth orientation (Hynes, 2009: 116-117; Steiner and Teasdale, 2016: 201-203) and particularly scaling (Lyon and Fernandez, 2012: 65; Desa and Koch, 2014: 146-147; Scheuerle and Schmitz, 2015: 130-131). While CIC 2's path was distinctive in its qualitative developmental approach (Lyon and Ramsden, 2006: 27-28). The path alternatives occurred in the environmental and organizational layers together with performance, but not in the managerial layer, where maintenance was more to the fore. While research attention to equifinality has been modest (Payne, 2006; Short et al., 2008: 1065),

addressing it here in terms of configurations in social enterprises assists understanding of both (Dyck, 1997: 794).

The strategic positioning of the high performing CICs contrasted sharply with those of the low performing CICs. This positioning was considered by taking a comparative approach (Williamson, 1996: 5) to opportunities and risks (Nutt, 2000: 16) from the point of view of the social enterprises. The high performing CICs moved towards a robust position where opportunity was increased, and risks were reduced, by either quantitative growth (CIC 1) or qualitative development (CIC 2). Whereas the low performing CICs moved towards an exposed position where opportunities were reduced and risks increased, by quantitative shrinkage and qualitative maintenance (CIC 3 and CIC 4). The timing of the strategic positioning was relevant. The high performing CICs began to move towards their robust positions in the short-term and the medium-term. Whereas the low performing CICs moved toward exposed positions in the short-term, and were either in transition to different services at the end of the medium-term (CIC 3) or dissolved intending to become a charity (CIC 4) – both defined here as not surviving the medium-term. This overarching comparative approach to strategic positioning provided some insight to the performance management adopted by social enterprises (Meadows and Pike, 2010).

Underlying maintenance and change in modes and layers, the alternative configurational pathways through them, and strategic positioning were negative and positive feedback cycles. Negative and positive feedback cycles are present in maintenance/morphostasis and change/morphogenesis respectively (Archer, 2012: 6; Buckley, 1967: 58-59). Negative and positive feedback are also present in stabilizing and reinforcing cycles that can be either "virtuous" and to an organization's advantage, or "vicious" and to its disadvantage (Tsoukas and Pina e Cunha, 2017: 394-396). Here advantage is defined as increased opportunity and/or reduced risk and disadvantage as reduced opportunity and/or increased risk (Nutt, 2000: 16).

In the low performing cases there were initial stabilizing and reinforcing cycles that were virtuous, followed after the downward turning points in the short-term by vicious stabilizing and reinforcing cycles. With respect to learning in social enterprises, the directors and organization (Liu and Ko, 2012) in the low performing CICs learnt from failure (Seanor and Meaton, 2008: 36-37) at their short-term turning points. CIC 3's directors responded to losing a significant contract and an increasingly competitive environment by becoming more business-like, while CIC 4 responded to the difficulty in getting customers to pay for their service in a non-market by switching their sources of income away from fees and towards donations. Further realization led the directors of the low performing CIC's to resolve their situations by seeking to change to a different set of services and sector (CIC 3) or by dissolving with the intention to

reform as a charity (CIC 4) – both defined here as not surviving. However, in the high performing cases both stabilizing and reinforcing cycles were virtuous. Learning was stimulated (Chang et al., 2014) and came from success. Decision making and reflexivity can be fallible (Archer, 2012: 103). Combinations of feedback cycles, learning curves (Wright, 1936), and different paths to equifinality (von Bertalanffy, 1969: 143), and a lack thereof, were considerations.

8.4.2 Summary

The conditions from the comparative case studies were largely convergent with previous research with some points of note. The combinations of maintenance, linear progression and punctuated equilibrium were convergent with a wider perspective of the literature, rather than a narrower view that takes punctuated equilibrium as the default in configurations. Moreover, these combinations of maintenance and types of change applied to structural and agential modes and to organizational, environmental and managerial layers. The alternative pathways taken by high performing social enterprise organizations was convergent with equifinality. In the high performing case studies equifinality took the form of a substantial degree of similarity, coupled with some differences in benign markets, operating models and sales volume. Alternative paths were found that were distinguished by a tendency for more quantitative growth and punctuated equilibrium, and by more qualitative development and linear progression. Strategic positioning converged with the literature. Combinations of feedback cycles that were negative and stabilizing and positive and reinforcing, paralleled by learning, converged with the case conditions for both high and low performing CICs.

FITTINGS – history and launch history, short-term (1-3 years) and medium-term (4-6 years)	High perf CIC 1	High perf CIC 2	Low perf CIC 3	Low perf CIC 4	nec	suff	condition
history – before launch of CICs (period)							
1 organizational layer							
predecessor organization present similar: present in all cases – CICs 1-4 different: none					yes	no	combinatory
predecessor organization is in public sector: similar: present in CIC 1 and CIC 2 different: not present in CIC 3 nor CIC 4					yes	yes	threshold
part of national network in public sector similar: present in CIC 1 and CIC 2 different: not present in CIC 3 nor CIC 4					yes	yes	threshold
services established similar: present in all cases – CICs 1-4 different: none					yes	no	combinatory
2 organizational layer – performance							
active similar: present in CICs 1, 2 and 4 different: not present in CIC 3 - dormant					yes	no	combinatory
long lived similar: present in CIC 1 and CIC 2 different: not present in CIC 3 nor CIC 4					yes	yes	threshold
unsuccessful according to government or organization similar: present in CIC 1 and CIC 4 different: not present in CIC 2 – successful nor CIC 3 - neutral					no	no	combinatory option
3 environmental layer							
swept aside by change of central government policy similar: present in CIC 1 and CIC 2 different: not present in CIC 3 – adopted alternative services to original intention, nor CIC 4 – national report on concerns					yes	yes	threshold

FITTINGS – history and launch history, short-term (1-3 years) and medium-term (4-6 years)	High perf CIC 1	High perf CIC 2	Low perf CIC 3	Low perf CIC 4	nec	suff	condition
4 managerial layer							
managers became directors of successor CIC similar: present in all cases – CICs 1-4 difference: none					yes	no	combinatory
launch of CICs (event)							
1 organizational layer							
re-launch similar: present in all cases – CICs 1-4 different: none					yes	no	combinatory
services from predecessor carried forward similar: present in all cases – CICs 1-4 different: none					yes	no	combinatory
2 organizational layer – performance							
NA	NA	NA	NA	NA			
3 environmental layer							
negotiated contract/membership similar: present in CIC 1 and CIC 2 different: not present in CIC 3 – partially through contact nor CIC 4 – jobbing					yes	yes	threshold
4 managerial layer							
directors included manager/s from predecessor organization similar: present in all cases – CICs 1-4 different: none					yes	no	combinatory

Table 8.7: Conditions from cross-case comparison – fittings – history to launch

FITTINGS – short-term and short-term turning point history, short-term (1-3 years) and medium-term (4-6 years)	High perf CIC 1	High perf CIC 2	Low perf CIC 3	Low perf CIC 4	nec	suff	condition
short-term (period)							
1 structural mode – organizational layer							
operating model initially established and improved similar: present in all cases – CICs 1-4 different: none					yes	no	combinatory
continued to improve operating model similar: present in CIC 1 and CIC 2 different: not present in CIC 3 – became more business-like not CIC 4 – became less business-like – both in response to changing trading conditions					yes	yes	threshold
group organizations/network established similar: present in CIC 1 and CIC 2 different: not present in CIC 3 – patchy partnerships and CIC 4 - lack					yes	yes	threshold
2 structural mode – organizational layer - performance							
quality of service improved similar: present in all cases – CICs 1-4 different: none					yes	no	combinatory
sales maintenance/incremental growth similar: present in CIC 1 and CIC 2 different: not present in CIC 3 – grew then shrank, not CIC 4 shrank from Year 1 high point					yes	yes	threshold
3 structural mode – environmental layer							
operating environment and market stable similar: present in CIC 1 and CIC 2 different: not present in CIC 3 – market more competitive, nor CIC 4 – non- market with strong "competition" from the start					yes	yes	threshold
4 structural mode – managerial layer							
board size stable similar: present in CIC 1 and CIC 2 different: not present in CIC 3 – grew nor CIC 4 - shrank					yes	yes	threshold
board advisory group/s present and stable similar: present in CIC 1 and CIC 2 different: not present in CIC 3 – introduced, nor in CIC 4 - lack					yes	yes	threshold

FITTINGS – short-term and short-term turning point history, short-term (1-3 years) and medium-term (4-6 years)	High perf CIC 1	High perf CIC 2	Low perf CIC 3	Low perf CIC 4	nec	suff	condition
5 agential mode – organizational layer							
numbers of workers - staff and/or volunteers - grew steadily similar: present in CIC 1 and CIC 2 different: not present in CIC 3 – grew then shrank, not CIC 4 - shrank	░	░			yes	yes	threshold
umbrella organization was stable similar: present in CIC 1 and CIC 2 different: not present in CIC 3 – partnerships unstable, nor CIC 4 – connections reduced	░	░			yes	yes	threshold
6 agential mode – organizational layer - performance							
rating/ranking in umbrella organization gradually improves similar: present in CIC 1 and CIC 2 different: not present in CIC 3 nor CIC 4 – personal reputations but that of organization debatable	░	░			yes	yes	threshold
7 agential mode – environmental layer							
immediate customers stable similar: present in CIC 1 and CIC 2 different: CIC 3 and CIC 4 customers became increasingly price sensitive	░	░			yes	yes	threshold
no, weak, disadvantaged competitors stable similar: present in CIC 1 and CIC 2 different: not present in CIC 3 nor CIC 4 - competitors become stronger	░	░			yes	yes	threshold
arm's length customer of central government was stable similar: present in all cases – CICs 1-4 different: none	░	░	░	░	yes	no	combinatory
8 agential mode – managerial layer							
membership of board of directors stable similar: present in CIC 1 and CIC 2 different: not present in CIC 3 and CIC 4 - board membership changed	░	░			yes	yes	threshold
membership of board advisory groups developed similar: present in CIC 1 and CIC 2 different: not present in CIC 3 nor CIC 4	░	░			yes	yes	threshold

FITTINGS – short-term and short-term turning point history, short-term (1-3 years) and medium-term (4-6 years)	High perf CIC 1	High perf CIC 2	Low perf CIC 3	Low perf CIC 4	nec	suff	condition
short-term turning point (event)							
1 turning point and timing							
turning point in short-term: similar: present in CIC 1 – Year 3, CIC 3 – Year 3 and CIC 4 – Year 1 different: not present in CIC 2					no	no	combinatory option
2 organizational layer							
operating model changed/changing similar: present in CIC 1, CIC 3 and CIC 4 different: not present in CIC 2					no	no	combinatory option
3 organizational layer - performance							
service volume increases or remains constant similar: present in CIC 1 and CIC 2 different: not present in CIC 3 nor CIC 4 which both shrank					yes	yes	threshold
4 environmental layer							
trading environment more benign or stable similar: present in CIC 1 and CIC 2 where trading more difficult different: not present in CIC 3 nor CIC 4					yes	yes	threshold
5 managerial layer							
board directors stable similar: present in CIC 1, CIC 2, and CIC 3 different: not present in CIC 4 - resignation					yes	no	combinatory

Table 8.8: Conditions from cross-case comparison – fittings – short-term to short-term turning point

FITTINGS – medium term to end position history, short-term (1-3 years) and medium-term (4-6 years)	High perf CIC 1	High perf CIC 2	Low perf CIC 3	Low perf CIC 4	nec	suff	condition
medium term (period)							
1 structural mode – organizational layer							
organization developed and operating model maintained similar: present in CIC 1 and CIC 2 different: not present in CIC 3 – changing and developing alternative operating model nor CIC 4 changing operating model	▨	▨			yes	yes	threshold
group organizations/network stable similar: present in CIC 1 and CIC 2 different: not present in CIC 3 – patch partnerships, nor in CIC 4 - lack	▨	▨			yes	yes	threshold
2 structural mode – organizational layer - performance							
quality of service stable/maintained similar: present in all cases – CICs 1-4 different: none	▨	▨	▨	▨	yes	no	combinatory
sales grew or maintained/stabilized similar: present in CIC 1 – grew, and in CIC 2 and CIC 3 maintained different: not present in CIC 4 - shrank	▨	▨	▨		yes	no	combinatory
3 structural mode – environmental layer							
operating environment and market stable similar: present in CIC 1 and CIC 2 different: not present in CIC 3 – more competitive, not CIC 4 – "competitive" non-market	▨	▨			yes	yes	threshold
4 structural mode – managerial layer							
board size changes similar: present in CIC 1 different: no	▨		▨	▨	no	no	combinatory option
board advisory groups maintained similar: present in CIC 1, CIC 2, and CIC 3 different: not present in CIC 4 – lack of board advisory group	▨	▨	▨		yes	no	combinatory

FITTINGS – medium term to end position history, short-term (1-3 years) and medium-term (4-6 years)	High perf CIC 1	High perf CIC 2	Low perf CIC 3	Low perf CIC 4	nec	suff	condition
5 agential mode – organizational layer							
number of staff and/or volunteers maintained similarity: present in CIC 2 and CIC 3 difference: not present in CIC 1 – growth, nor CIC 4 - shrank					no	no	combinatory option
extant umbrella organization has senior management change or stability similar: present in CIC 1 - change and CIC 2 – stability different: not present in CIC 3 – unstable relationships, not CIC 4 reduced connections					yes	yes	threshold
6 agential mode – organizational layer - performance							
rating/ranking as provider within umbrella organization maintained similar: present in CIC 1 and CIC 2 different: not present in CIC 3 – patchy partnerships nor CIC 4 - lack					yes	yes	threshold
7 agential mode – environmental layer							
immediate customer stable similar: present in CIC 1 and CIC 2 different: not present in CIC 3 not CIC 4 due to increased price sensitivity					yes	yes	threshold
no or disadvantaged competitors stable similar: present in CIC 1 and CIC 2 different: not present in CIC 3 – highly competitive market, not CIC 4 – highly "competitive" non-market					yes	yes	threshold
arm's length customer of central government stable similar: present in all cases – CIC 1-4 different: none					yes	no	combinatory
8 agential mode – managerial layer							
board maintained with some similar and some different directors similar: present in CIC 1, CIC 2 and CIC 3 different: not present in CIC 4 – all directors resigned					yes	no	combinatory
membership of board advisory group/s maintained similar: present in CIC 1, CIC 2 and CIC 3 different: not present in CIC 4 – loose connections reduced					yes	no	combinatory

FITTINGS – medium term to end position history, short-term (1-3 years) and medium-term (4-6 years)	High perf CIC 1	High perf CIC 2	Low perf CIC 3	Low perf CIC 4	nec	suff	condition
9 structural mode - organizational layer/environmental layer							
tight fit maintained in benign market similar: present in CIC 1 – regulated competition and CIC 2 – geographic monopoly different: not present in CIC 3 – low fit and highly competitive and CIC 4 – "competitive" non-market					yes	yes	threshold
position at end of medium-term (event)							
1 existence and timing							
exist at Year 6 and not in transition to new service similar: present in CIC 1 and CIC 2 different: not present in CIC 3 – in transition, nor CIC 4 - dissolved					yes	yes	threshold
2 organizational layer							
in operation in Year 6 similar: present in CIC 1, CIC 2, and CIC 3 different: not present in CIC 4 – not in operation					yes	no	combinatory
3 organizational layer – performance							
surviving and thriving in Year 6 similar: present in CIC 1 and CIC 2 different: not present in CIC 3 – transitioning, not CIC 4 – not surviving					yes	yes	threshold
4 environmental layer							
continues to be benign for social enterprises/CICs similar: present in CIC 1 and CIC 2 different: not present in CIC 3 nor CIC 4 – hostile for social enterprises/CICs					yes	yes	threshold
5 managerial layer							
board of directors maintained similar: present in CIC 1, CIC 2, and CIC 3 different: not present in CIC 4 – board resigned					yes	no	combinatory

Table 8.9: Conditions from cross-case comparison – fittings – medium term to end position

8.5 FURTHER DISCUSSION: ANALYTIC GENERALIZATION

Analytic generalization and related matters concerning the conditions for social enterprise organizations to perform well required further discussion. The need to consider analytic generalization stemmed partly from the use of comparative case studies as a means of building plausibility in the extended configuration perspective adopted. The comparative cases had some similarities with laboratory experiments in that both are "…generalizable to theoretical propositions and not to populations or universes" (Yin, 2014: 21), as would have been the situation with a statistical approach. This approach to generalization is also compatible with being informed by critical realism (Edwards et al., 2014: 324). Consequently, the two steps required by analytic generalization were addressed.

8.5.1 Step 1: findings from case studies and theory

The first step was to take the previous discussions on how the case studies supported theory (Yin, 2010: 21-23) (or not), and to consider what they add to existing knowledge about social enterprises through the extended configurational perspective. This extended configuration approach concerned "configurations of configurations" over time, and so was a development of more usual single and static configurational approaches in social enterprise, such as in Imperatori and Ruta (2015). As such the extended configurational approach was at the mid-point of theory extension on Haugh's (2012: 10-12) spectrum of theory in social enterprise and was consistent with treating social enterprise as a special research site. The extended configurational approach added to knowledge of social enterprises by enabling the study of the nature of combinations between configurations, fits, and fittings in the structural and agential modes of social enterprises that tend to be associated with their performance. This moved debate beyond independent and dependent variable approaches. The findings were that some combinations of configurations, fits and fittings tended to be associated with high performance and other combinations were not. Moreover, the case studies showed that a focus on one issue or another was insufficient in explaining these tendencies.

Nevertheless, the implications of the findings for the relationship between social and trading activities and objectives needs consideration, as they are defining characteristics of social enterprise (Teasdale, 2012: 101, citing Peattie and Morley, 2008). Social and trading activities can be framed as two structural configuration elements. The findings included that both high and low performing cases can have either similar and intermediate degrees of dominance or social dominant and trading subsidiary elements, although in principle the converse could also occur. Consequently, the findings were that the degree of non-complementary fit ("tension") between social and trading elements and the availability of resources to pursue them, can be

either tighter/more similar or looser/more different within limits. To perform well in this study business needs to be social.

However, only two elements, as in social and trading activities, is considered insufficiently complex from a configurational perspective, hence the use of the four element Competing Values Framework (CVF) (Cameron and Quinn: 2011), where generically the element logics can be termed protection (social), compromise, elimination (trading), and opportunity. From this viewpoint the finding was that high and low performance could be associated with either all four elements with roughly equal dominance – a square configurational profile – or with protection (social) dominant, intermediate compromise and opportunity, and subsidiary elimination (trading) – a specific kite configurational profile. These two configurations displayed limited variety and showed that the complementary fits between elements were also important. Compromise and opportunity elements were partial substitutes for protection (social) and elimination (trading) elements. These two configurations were consistent and inconsistent respectively with congruence/dominance and paradox hypotheses (Cameron and Quinn, 2011: 53-54).

However, there are at least three structural aspects of organization, which were used in the study to varying extents, each using the common generic element logics: culture, strategy and structure. Furthermore, looking outside the organization, the environmental layer was also relevant, both the narrower context and the wider environment. Again, a configurational view was taken of environmental uncertainty, led by dynamism, and including complexity and munificence. While these environmental configurations had at least moderate dominance, the qualitative nature of the market structure was a distinguishing factor together with the tightness of fit in these different market structures. Looking inside the organization at the management layer, the management behaviour configurations that also used the same four generic element logics, were of equal dominance in all cases and so not a distinguishing factor. Overall, the fundamental social and trading tensions in social enterprises benefited from being seen in an extended multi-element and multi-layer context in which there were limited options.

A configurational approach was also used in the study to conceptualize the criteria of performance outcomes from the combinations of structural factors and created scope for debate. Again, the CVF was used. Each generic performance element was based on a corresponding performance theory cluster: protection (social) – human development and participation; compromise – efficiency and capable processes; elimination (trading) – aggressive competition and customer focus; and opportunity – innovativeness and new resources (Cameron and Quinn, 2011: 53). The working definition for performing well required survival of a social enterprise organization in the medium term, calibrated as 4-6 years.

Survival is arguably more readily identifiable than superior performance. In the elimination/trading element the high performing cases were robust and the low performing cases were exposed. In the protection/social element the three CICs that operated locally had a magnifying effect on the community beyond immediate customers that was superior to that of some of their larger competitors. These thresholds on all four elements warrant more attention. The performance working definition also required that social enterprise survival was based on the same set of services. However, while the same set of services stipulation applied to three of the cases, the low performing CIC 3 ended up transitioning to a new set of services around the same core competence and with some mission continuity, which poses a question around degrees of diversification. While transition between organizational forms was somewhat anticipated in the study through the conceptual framework including a backward looking aspect that translated into history before the launch of the CIC cases, what was not anticipated were the progressions to and degenerations from the CIC social business form that were found. The high performing CICs progressed from public sector organizations and remained CICs, whereas the low performing CICs progressed from private sector limited companies to CICs and then one considered a change of form and the other aimed to degenerate into a charity. This conceptualization of performance criteria and the debates that arose from the findings may benefit from further research.

The senior managers of the CICs as agents had the opportunity to reflect on their situations and to maintain and/or change the combination of structural factors, including performance outcomes. They could engage in fitting/configuring in the interests of improving social and trading activities and objectives. However, the possibilities were limited by the interplay between structural and agential modes that meant that they provided both opportunities and constraints for each other (Archer, 2012: 50-54). The main finding was that managers had similar reflexivity configuration profiles, with elimination (trading) dominant, compromise and opportunity intermediate, and protection (social) subsidiary. Indeed, the profiles of managers' ethics were also similar and with an all-round emphasis and their emotion profiles were similar with positive affect outweighed negative affect. Therefore, the managers were expected to have relative strength in trading activities and objectives and/or an instrumentally rational approach to social activities and objectives. The fit between the managers' reflexivities and the organizational configurations was tight but nuanced. However, if a manager's reflexivity is fallible, then so is decision-making on fitting/reconfiguring. The make-up of the management teams might contribute to degrees of fallibility, such as through a lack of cognitive diversity, too few managers (around 4 or less), and by such teams containing an imbalance of team roles. Consequently, while the profiles of managers in the CICs were similar and partially

expected and partially surprising, their degrees of fallibility as management teams was an issue that might benefit from further investigation.

The extended theoretical approach to configuration theory - covering configurations, fits and fittings - was addressed through a similarly extended methodology. Standard instruments were used to deal with the structural and agential modes and their interplay. The principal structural mode instrument was the CVF (Cameron and Quinn, 2011) and the principal agential mode instrument was ICONI (Archer, 2012: 316-329). Other supplementary instruments were used as required. The common denominator between the two modes of configurations were combinations of feedback polarities. Complementary qualitative instruments were used to provide richer data. A common analytical framework enabled quantitative and qualitative comparisons. The contributions of this extended methodology were that it enabled the linking of configurations between structural and agential modes and a multi-layer approach in modified cross-sectional comparative case studies using mixed methods. Such an extended methodology was not commonly used to study configurational topics. The extended methodology was also helpful in highlighting the potential of boundary cases, such as that centred on CIC 3.

Furthermore, the methodology helped to resolve a paradox in the initial plausibility building phase. In this first phase, experts said that social enterprise needed to be business-like to perform well, yet the cluster survey suggested that CICs tended not the be business-like. The comparative case studies in the plausibility building phase showed that the CICs were not business-like in the structural organizational layer but were business-like in the agential managerial layer. Social and trading tensions were subtle across modes and layers and not solely one-dimensional.

8.5. Step 2: findings applied to similar situations

The second step in analytic generalization was to consider the extent of the conditions under which the empirical findings previously discussed might be generalized. The case studies were Community Interest Companies (CICs) as legal entities, social businesses as organizational forms, and operated in quasi-markets for services in the public sector. This step meant considering "…*similar situations* where *analogous events* might occur." (Yin, 2010: 21-23) (italics added). Consequently, generalization needed to consider other jurisdictions beyond CICs as legal entities, organizational forms beyond social business, and conventional markets.

A view of the social enterprise world was used to frame this discussion – see Figure 8.1: Conceptualizing social enterprise, legal jurisdictions and organizational forms, which was developed from Teasdale (2012: 102), which in turn was adapted from Teasdale (2010).
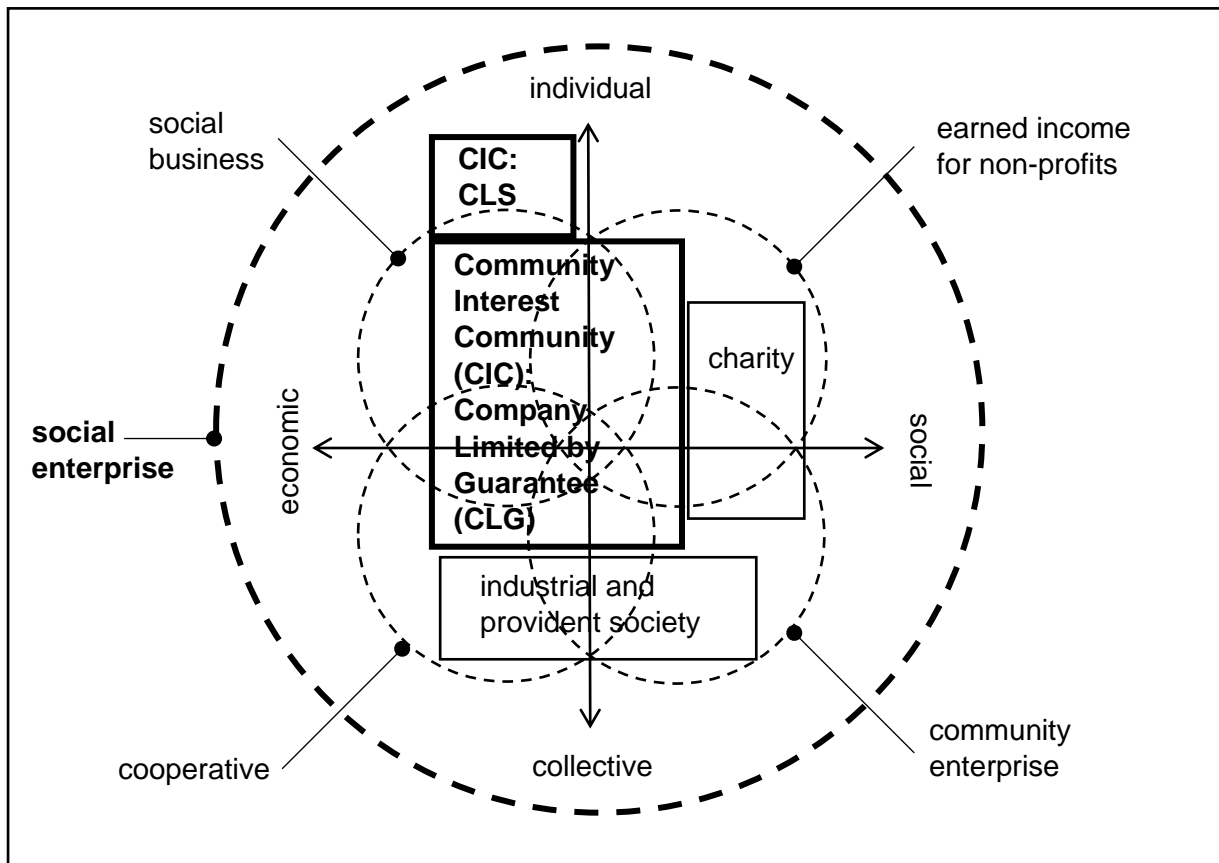
Figure 8.1: Conceptualizing social enterprise, legal jurisdictions and organizational forms

The figure shows what were seen here as four organizational forms as circles, which *overlap* (Teasdale, 2012: 102) and are partially open categories: social business, cooperative, community enterprise, and earned income for non-profits. Overlaid on these organizational forms are legal entities as rectangles as two types of CIC, industrial and provident society, and charity. These forms and entities are shown within a social enterprise field, which is also considered as partially open field as an umbrella construct (Hirsch and Levin, 1999).

Organizational forms and legal entities intertwine. The CIC jurisdiction covers entities that are companies governed principally by The Companies Act 2006 in the United Kingdom, although most of them operate in England. They must satisfy the CIC regulator that their activities are for the benefit of the community. CICs are a form of social business, as they are intended to sustainably recycle money to increase services of social benefit (Yunus, 2010: 6). However, the characteristic of social business not to use profit/surplus as an aim in itself nor to pay dividends to owners (Yunus. 2010: 12), means that CICs that are Companies Limited by Guarantee (CLG) (as the cases studies were) can be included, but CICs that are Companies Limited by Shares (CLS) are generally excluded. There might be other forms of social

business that are not CICs, such as a company where a controlling golden share is owned by a charity.

Looking more broadly in the social enterprise world, CICs can be close to other organizational forms beyond social business. CICs can be close to cooperatives to the extent that directors can be disadvantaged people, and CICs can be similar to industrial and provident societies at the margin. For example, in case study 2 the main alternative to a CIC considered was indeed such a society, and CIC 2 was run with a steering group of members that was closely aligned with the board of directors. Earned income for non-profits can be close to CICs, such as through the option of a CIC being the trading arm of a charity. However, in this situation a differentiated model would be used comprising two organizational forms and legal entities, rather than the integrated models in the CIC case studies. CICs can overlap with community enterprises, as they are one of the of legal entity options open to communities. Consequently, CICs that are CLGs are social businesses, which partially overlap with other organizational forms and are close to other legal entities at the margin. Therefore, the findings of the study are at partially generalizable to other kinds of social enterprise and jurisdictions, although might need adjustment in situations that are most distant from social business.

In discussing conventional markets, they can be defined as approximating to the characteristics of perfectly competitive market structures (Cohen and Cyert, 1975: 49-51), such as having more or less homogenous services and maximization or satisficing of utility and profit. While services in the public sector may be quasi-markets at high level, they can be tiered and have conventional market characteristics at a lower level. For example, the market in case 3 in which CIC 3 operated was increasingly of this conventional kind, as the social enterprise organization came to operate as a sub-contractor to large and highly commercial companies and charities operating as oligopolistic suppliers (Cohen and Cyert, 1975: 233). Furthermore, a CIC can be a social firm, termed a Work Integration Social Enterprise (WISE) in continental Europe, employing people who are disadvantaged in the labour market and operating in the private sector. Again, CIC 3 displayed an aspect of such a social firm by operating as a sub-contractor and having employed ex-offenders in the past and tending to use them as volunteers later. However, it would be expected that social enterprise organizations in conventional markets have at least equal dominance on the elements of the CVF – e.g. for CIC 3 to be closer to the profile of CIC 1 which operated in a market regulated in favour of social enterprises. Alternatively, in a conventional market it might be expected that a social enterprise would be dominant on the elimination/trading element, however, this was not observed in this study. Generalizing this aspect of the study, hybrid organizations across the range of market structures needs further investigation. Nevertheless, the findings can be

said to be partially generalizable to more conventional markets, although might need adjustment in more extreme markets tending towards perfect competition.

8.6 CONCLUSIONS

8.6.1 Responses, contribution, and critique

Responses to the research questions can now be offered. However, before commenting in turn on the three research questions set out in Chapter 1 and repeated at the start of this chapter, some overall observations can be made. The common thread in responding to the research questions is combinations of feedback in the management of social enterprise organizations from a configurational perspective. Feedback manifests both quantitatively and qualitatively, and differently in the responses to each of the research questions.

The candidate conditions that were addressed in the above discussion were highly convergent with the previous research literature. This convergence was the case where the previous research literature was clearer cut and where it was more equivocal. Consequently, the candidate conditions have now become simply conditions, without qualification. Accordingly, the practical conditions will not be repeated here and can be found in the preceding discussion. Rather more general responses appear here.

On the other hand, however, the conditions are tendencies. Threshold conditions mark out the boundaries of a space within which social enterprise organizations tend to perform well. There may be other such spaces. The combinatory conditions are those that, once within the space, tend to be able to be put together in a limited number of ways. Of these combinatory conditions a few were optional.

Regarding Research question 1, the circumstances under which social enterprises perform well can be considered through conditions based around configurations comprising multiple different element logics. These element logics are protection/social with negative feedback, compromise/control with negative and positive feedback, elimination/financial with negative or positive feedback, and opportunity/innovation with positive feedback. From a structural perspective, aspects of the focal social enterprise organizations have element logics that tend towards dominant protection/social, subsidiary elimination/financial, and intermediate compromise/control and opportunity/innovation. From an agential perspective, the reflexivity of the senior managers of these social enterprise organizations tend towards elements that are elimination/financial dominant, protection/social subsidiary, and compromise/control and opportunity/innovation intermediate. However, these configurations made up of elements of feedback logics also apply to organizational, environmental, and managerial layers in structural and agential modes. These configurations are hybrids with element tendencies that

tended to be both complementary and non-complementary, which feeds into the next research question.

With respect to Research question 2, social enterprise organizations perform well because the fits between configurations provide amplification i.e. positive feedback and/or attenuation i.e. negative feedback. The configurations mostly fitted tightly together in the structural mode, and so feedback was attenuated, all things being equal. The situation was similar in the agential mode, where there were tight fits, and so again feedback was attenuated, all things being equal. Regarding the limited agential mode/structural mode fits that were investigated – i.e. between the senior managers as agents and structural organizational, environmental and managerial layers – there were tight fits that pointed to substantial maintenance and limited change, which feeds into the next research question.

Concerning Research question 3, managers deal with configurations and fits by means of combining stabilizing cycles of negative feedback and reinforcing cycles of positive feedback. These cycles apply to configurations and their related fits and so lead back to the two previous research questions. These feedback cycles take place in structural and agential modes in organizational, environment, and managerial layers. For a social enterprise organization to perform well these cycles are advantageous or "virtuous" tending to result in an increase in opportunity and a reduction in risk in the short-term and in the medium-term.

In adopting a configurational perspective, the study sought to make a contribution to research on social enterprise organizations that is articulated next. By adopting a perspective, the study necessarily had strengths and limitations, which are also set out below. Lastly some implications for further research and to advanced practice are provided.

This research has provided a specific contribution to knowledge through a configurational perspective for the management of social enterprise organizations. This contribution can be set out by reference to Imperatori and Ruta (2015) who used a configurational approach to social enterprise. Imperatori and Ruta (2015) focused on organizations and chose communitarian, bureaucratic and democratic configuration elements. Whereas in this study protection/social, compromise/control, elimination/financial, and opportunity/innovation elements were used, which have both similarities and differences to their approach to configuration elements. This research also added to Imperatori and Ruta (2015) by considering the structural mode and the agential mode with respect to three layers: organizational, environmental and managerial. Furthermore, by being informed by the interplay between the structural mode and the agential mode, this study has also enhanced the role of critical realism by building on Smith (2013: 68). In this way, the complexities in research on the management of social enterprise organizations of multiple elements, multiple

layers, and the dynamics of the interplay between structural and agential modes have been addressed.

More generally this research has added to the growing body of research on social enterprise organizations. This addition is not dependent on the contested concept of social enterprise (Teasdale, 2012: 100). As an umbrella construct, concerns about social enterprise can be overridden (Hirsch and Levin, 1999) by recognizing that such hybrid social and business organizations (Cooney, 2006) are part of the past, present and future. Contributing to social enterprise research through theory and fieldwork results, has helped in moving away from the atheoreical towards theoretical borrowing, improvement, extension and generation (Haugh, 2012: 10-12). This study has been more in sympathy with theoretical extension (Dacin et al., 2010) than with new theory (Nicholls, 2010).

This research can be critiqued by considering its strengths and limitations. Since strengths and limitations are different sides of the same coin, they are addressed by topic, theory and methods. The topic focus on research questions around social enterprises performing well led to strength as a supply-side view, that emphasized organizations and their management from the inside out. This meant that there was a limitation on the demand side concerning customers and an outside in view. The ultimate fieldwork focus on Community Interest Companies (CICs) was a sound and practical way of resolving the problem of social enterprise as a contested concept (Teasdale, 2012). However, the focus on CICs did not allow for investigation of self-definition of social enterprise. Nor were CICs treated comparatively with other legal entities with social missions achieved through trading. Services in the public sector were a legitimate research choice, as social enterprises are active in this area (Teasdale (2012: 101), however this meant that private sector markets (Defourny and Nyssens, 2010) were ignored. Well-being services was a data-driven decision, however, an upfront choice of service sector, such social enterprises in housing, would have been an alternative. The attention given to small, young social enterprises provided a clear starting point of their launch, although predecessors were found in practice. An alternative would have been to study larger, longer established organizations, although all organizations have a roiling short-term and medium-term.

The theoretical focus on configuration theory informed by critical realism as a meta-theory was a strength of the study. Focusing on four elements of protection/social, compromise/control, elimination/financial, and opportunity/innovations, rather than the two of business and social (Cooney, 2006) was also a strength of the study. These elements were based on recurrent feedback combinations in the literature regarding structure (Cameron and Quinn's (2011) Competing Values Framework (CVF)) and agency (Archer's (2012: 13) communicative,

autonomous, meta- and fractured framework (CAMF). This theoretical approach enabled the interplay between structure and agency to be considered, albeit as a simplified interaction, and for multiple layers to be introduced. However, this approach did not allow for a purely structural or purely agential perspective. Neither did this view provide for emphasizing one layer to the exclusion of others, such as the organizational (Imperatori and Ruta, 2015, 327), environmental, or managerial layers.

The methods used in the study were a strength from a mixed methods perspective. However, the combination of quantitative/extensive methods and qualitative/intensive methods (Danermark et al., 1997: 175-176), was a limitation from a purely qualitative or quantitative perspective. The plausibility probing (Blatter and Haverland, 2012: 229) and plausibility building phases used in the study were a strength in the context of research in social enterprise that could be pre-paradigmatic (Nicholls, 2012: 225). An alternative view would be to use a single method and phase. The two pairs of comparative cases were a strength (Yin, 2014: 63-64). While four comparative cases were in the reasonable range, an increase to ten cases would have been even better but would have required more resources.

8.6.2 Implications for further research and applications to advanced practice

The study had implications for further research projects and directions. Combining limitations by topic, theory and method discussed above would create a plethora of possible research projects. However, a small sub-set of potential studies are considered here. Two projects have been derived from adopting research positions on either side of this study, and another two projects have been developed by considering research positions related to this study. Further research has also been considered more widely from the perspective of directions for research in general.

This first project could be practice-oriented and study how senior managers make decisions to improve the performance of an organization with a social mission that is achieved through trading. The focus could be on a single manager, such as a CEO, but more likely on a team/group of senior managers, such as a board of directors which would still exist if membership changed. The emphasis would be on what the senior managers do over time in such an organizational setting. The senior managers would be the focal stakeholders within a stakeholder network (Rowley, 1997: 891). The salience of the senior managers and other stakeholders (Mitchell, Agle and Wood, 1997: 298). would be a consideration. The overarching method would be a longitudinal case study over the short-term and medium-term i.e. a total of around six years. This might involve recruiting participants-as-observers rather than complete participants as blending in completely could compromise the research

(Angrosino, 2007: 55). Interviews, observations and diary methods would be appropriate for this research.

The second project could be a study of variables that correlate with performance outcomes. The variables could be assembled from previous research. The principal research method would be a statistical survey to complement annual descriptive surveys (e.g. State of Social Enterprise Surveys, Social Enterprise UK, 2015). A comparison could be made between different types of providers of human support services. The types of provider could be by choice of legal entity (Kelley, 2009), and include Community Interest Companies (CICs), charities, private companies, and so on. The performance outcome variable could be in the form of customer satisfaction. The null hypothesis could be along the lines that there is no statistically significant relationship between different populations of legal entity and performance outcome.

The third and fourth projects would be located within complexity theory, which shares some characteristics with critical realism (Blaikie, 2010: 104; Blaikie, 2007: 213), which was used to inform this study. The third project would use a different comparative approach (Ragin, 1987: 1). This approach would compare the conditions for a performance measure, such as social impact, for a group of social enterprises by means of Boolean qualitative comparison (Ragin, 1987: 85-86) and fuzzy set qualitative comparative analysis (fsQCA). Such a related topic, theory and method would benefit from this study as a predecessor.

The fourth project would be based on network theory as a subset of the complexity theory noted above. The focus would be on the study of demand and supply networks for human support services. These networks could be mapped for a town. The method would be social network analysis. Formal network organizations arose as a feature of this study, which might assist.

The study also suggested further research directions that have potential. The extended configurational approach used in this study could be reframed as a set of options for senior managers of social enterprises, to provide some middle ground between highly fragmented approaches and one-size-fits-all versions of best practice. Regarding performance, a promising direction for future work could be the thresholds for survival and potential for superior performance of social enterprises in different configurational elements/dimensions, which could be developed into tendencies for comparative disadvantage/advantage between organizational forms. Performance thresholds could be shaped by the interrelationship between different degrees of diversification with mission continuity and core competence for social enterprises. Taking a wider view, organizations' progression to and degeneration from social business as an organizational form over their life cycles could be addressed. These

forms could include those within social enterprise, the wider Voluntary, Community and Social Enterprise Sector (VCSE), and beyond. Reasons for transition could include responses to different market structures. The degree of fallibility of senior teams managing social enterprise organizations might be addressed by considering the interplay between their individual internal conversations (reflexivities) and their collective external conversations. The incorporation into methodology of boundary case organizations that perform well enough might be also be illuminating. Empirical generalization suggests that social enterprise organizations with configurations of different degrees of element dominance could be reinterpreted as hybrid organizations. These organizational hybrids could be studied in different market structures, from quasi-markets, which could include quasi-monopolies at one extreme, to more conventional markets approximating to perfect competition. Finally, the role of a range of organizational forms within and beyond social enterprise could be mapped against different services that foster or restore well-being in a way similar to that adopted in Sheaff et al. (2016: 3-4), recognizing such services are diverse (Farmer et al., 2016: 239) with overlapping outcomes (Kelly et al., 2019: 1153).

The study also has applications to advanced practice. Reflexivity is the essence of being human (Porpora and Shumar, 2010: 209-210). Indeed, "…reflexive first-person awareness is indispensable…" to society Archer (2012: 2), which is rarely acknowledged (Archer, 2007: 25). Accordingly, brief first-person reflexivity on the part of the researcher is appropriate. I began this study as a management practitioner-researcher. Through the research I have become a researcher-practitioner. In one potential future I may become a practitioner-researcher again, with enriched management practice and enhanced management capability through the study. I have learnt through "personal dialogue" (Bolton, 2010: xix).

Enabling the researcher to engage in an internal conversation, has provided some personal emancipation. Emancipation can be defined as freedom from constraint and risk and provision of opportunity and advantage.

However, personal emancipating and the emancipation of others are intertwined.

Not for ourselves alone are we born

Marcus Tullius Cicero (106BC-43BC)

Consequently, the potential for human emancipation through research, which has been highlighted by Bhaskar (2009: 171), involves both the researcher and other people in practice. This could capitalize on the research. The focus of such practice would be on managers to maintain and/or change organizations with social missions achieved through trading. Emancipation for other management practitioners could be through the researcher's own work

in practice as a senior manager, through the researcher working with other managers, or through the researcher providing guidance to support other's decisions and reflexivity.

Summary

Discussions and conclusions are set out. The approach to the discussion is laid out, which was to derive candidate conditions for the similarity/dissimilarity analysis of four comparative case studies. The comparative case studies were a plausibility building phase that followed a plausibility probing phase. One pair of case studies were centred around high performing Community Interest Companies (CICs) and the other pair was centred around low performing CICs. This work led to the identification of candidate conditions that were discussed relative to previous literature in order to appraise convergence or divergence. The discussions are set out by main concepts and their associated research questions: configurations/research question 1, fits/research question 2, and fittings/research question 3. A further discussion considers the analytic generalization of the findings. Following the discussions, conclusions are provided in two parts. Firstly, responses to the research question are offered, a contribution articulated, and strengths and limitations of the study set out. Secondly, implications for further research are developed from this study's limitations and further discussion, and implications to advanced practice for the researcher and others are proposed.

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APPENDICES

**APPENDIX
4.1:
ANALYTICAL
FRAMEWORK**
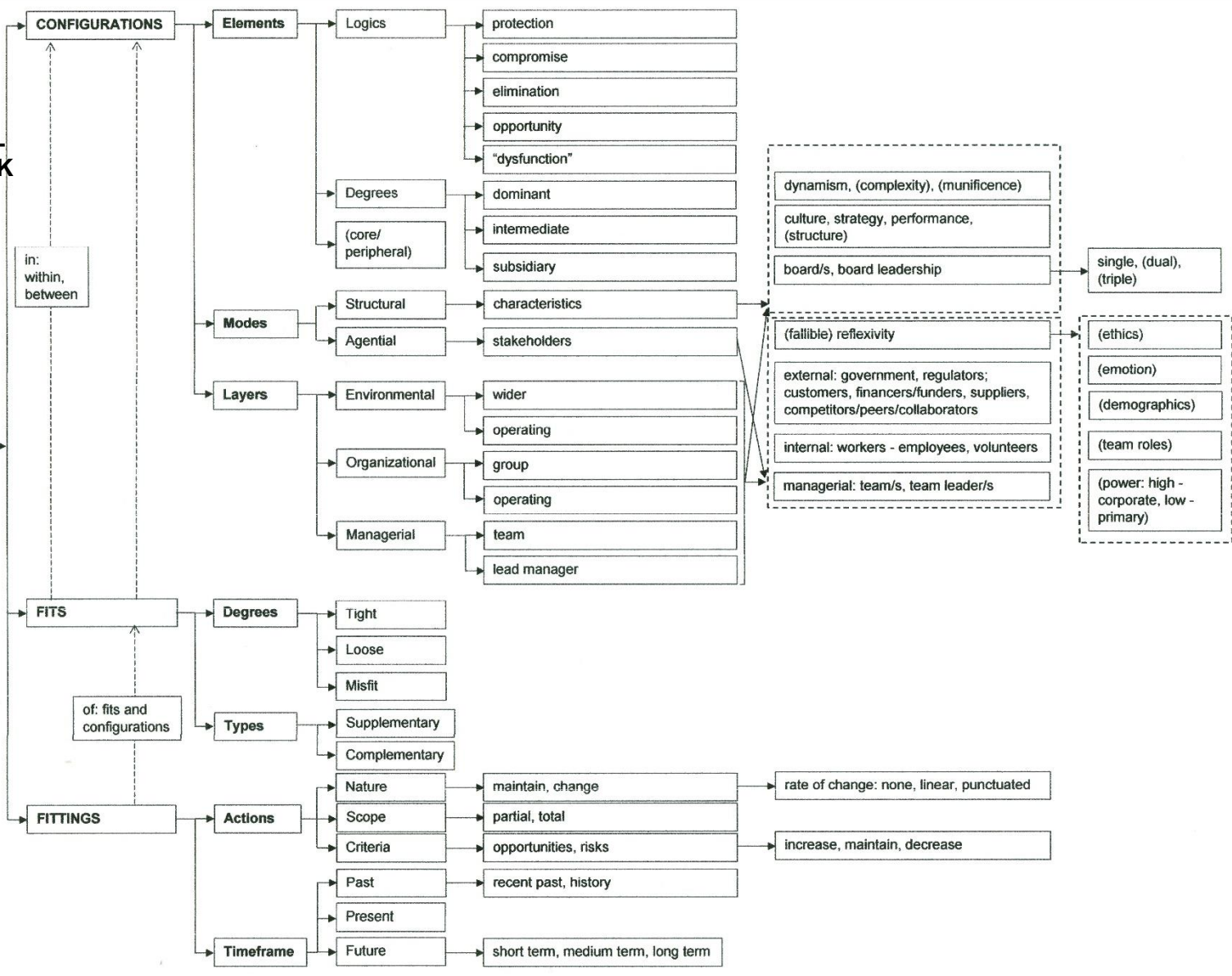
INFORMATION SHEET FOR INTERVIEWEES

REC Reference Number: **REP(EM)/13/14-10**

YOU WILL BE GIVEN A COPY OF THIS INFORMATION SHEET

The Right Chemistry?: Equifinality in Social Enterprise Organizations in England

I would like to invite you to participate in this postgraduate research project. You should only participate if you want to; choosing not to take part will not disadvantage you in any way. Before you decide whether you want to take part, it is important for you to understand why the research is being done and what your participation will involve. Please take time to read the following information carefully and discuss it with others if you wish. Ask me if there is anything that is not clear or if you would like more information.

Why the research is being done

The aim of this research is to explain the organizational chemistry in social enterprises that is associated with variations in performance, and in particular with high performance. The project is being funded partly by the researcher himself and partly by an Economic & Social Research Council (ESRC) Studentship. It is anticipated that the principal form of dissemination of the research findings will be an examined MPhil/PhD dissertation/thesis, although in addition synoptic research reports, press releases, and journal articles may be produced.

What your participation will involve

I am recruiting a small group of interviewees with specialized information about social enterprise organizations. If you agree to be interviewed, then I will arrange a one-off meeting with you in the near future in your office or a convenient public location. Our conversation will be around an hour long, although this can be tailored by mutual agreement.

Your comments will be treated as confidential and the transcription, analysis, and reporting of the interview will be anonymised. The interview will be recorded, subject to your permission, and I will also make written notes, and these records will be deleted upon transcription together with any other identifiable data such as emails and voicemails. The data collected will be

confidential in compliance with the UK Data Protection Act 1998, and only the researcher and the researcher's supervisor can access it.

You may find the interview beneficial. The interview itself provides you with an opportunity to provide specialized information to a researcher and to reflect on the topics that we will discuss. Furthermore, as an interviewee, after completion a copy of the dissertation/thesis will be sent to you together with a synoptic research report, if you so wish.

Further information

It is up to you to decide whether to take part or not. If you decide to take part you are still free to withdraw from the study at any time and without giving a reason. You may withdraw any information already provided up to the point at which your data has been integrated into a report that includes all interviewees, currently estimated as 31.03.14. If you decide to take part you will be given this information sheet to keep and be asked to sign a consent form.
If you have any questions or require more information about this study, please contact the researcher using the following contact details: Stephen Bennett via email at stephen.bennett@kcl.ac.uk or by phone on 07676 607001 or by post at Department of Management, King's College London, Franklin-Wilkins Building, 150 Stamford Street, London, SE1 9NH

If this study has harmed you in any way, you can contact King's College London using the following details for further advice and information: Dr. Juan Baeza via email at juan.baeza@kcl.ac.uk or phone on 020 7848 4634 or by post at Department of Management, King's College London, Franklin-Wilkins Building, 150 Stamford Street, London, SE1 9NH

CONSENT FORM FOR PARTICIPANTS

Please complete this form after you have read the Information Sheet and/or listened to an explanation about the research.

KING'S
College
LONDON

Title of Study: The Right Chemistry? : Equifinality in Social Enterprise Organizations in England

King's College Research Ethics Committee Ref: REP(EM)/13/14-10

Thank you for considering taking part in this research. The person organising the research must explain the project to you before you agree to take part. If you have any questions arising from the Information Sheet or explanation already given to you, please ask the researcher before you decide whether to join in. You will be given a copy of this Consent Form to keep and refer to at any time.

Please tick or initial

- **I agree to participate in the study as indicated on the relevant information sheet.**

- **I understand that if I decide at any time during the research that I no longer wish to participate in this project, I can notify the researchers involved and withdraw from it immediately without giving any reason. Furthermore, I understand that I will be able to withdraw my data up to the point of incorporation with other data.**

- **I consent to the processing of my personal information for the purposes explained to me. I understand that such information will be handled in accordance with the terms of the UK Data Protection Act 1998.**

- **I understand that confidentiality and anonymity will be maintained and it will not be possible to identify me in any publications**

- **I consent to interviews being audio recorded.**

Yes	No

- **The information you have submitted will be published as a dissertation/thesis; please indicate whether you would like to receive a copy.**

Yes	No

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Participant's Statement:

I _____

agree that the research project named above has been explained to me to my satisfaction and I agree to take part in the study. I have read both the notes written above and the Information Sheet about the project and understand what the research study involves.

Signed   **Date**

Investigator's Statement:

I _____

confirm that I have carefully explained the nature, demands and any foreseeable risks (where applicable) of the proposed research to the participant.

Signed   **Date**

INTERVIEW GUIDE

PREAMBLE
>Thanks for agreeing to be interviewed as part of my research, which as you know from the information sheet is about **social enterprise organizations and their performance** >I've been able to carry out other interviews with people already, which have been really useful in moving the project on >After asking you a little about yourself I'd like us to cover the **several main areas relating to the topic, taking about 1 hour** – although of course this can be adjusted to suit. General start: A Introduction: you, social enterprises; B Diversity of social enterprises; C Examples of high/low performing social enterprises – Specifics middle: D Performance; E Organizational factors; F Patterns in those factors; G Environment of social enterprises; H Decisions to change by social enterprises;– General close: I Looking ahead; J Close. >Do you have any **questions for me** at this stage? >The **information sheet gives an overview of my research**, why it's being done, what your participation will involve, and some further information – do you have any **questions on that**? >The **consent form assures confidentiality and anonymity** – do you have any **questions about it**, are you happy to sign it, including permission to use **audio recording**? We can press the pause button or turn it off at any point. You'll see that I also make written notes, which I can also stop doing at any point. >Are you **ready** to make a start? [If not then discuss. If question about the researcher then try "I'm very much wearing my researcher's hat in this situation. Of course I have done other things in my career (due to age), and I'd be happy to talk a little about that after our interview if that's OK. If need to discuss now or later then: Currently PhD student at KCL, SSPP in Department of Management – part-funded by myself and part by ESRC – in second year of my study having spent 1st year in literature reviewing and research training – intend to finish study around end of 2015/2016. Have worked in/for private, public, and social sectors in a variety of roles, mostly connected to "knowledge" in some way, including most recently as an executive director of a social enterprise. Worked in "support management" – individuals, organizations, communities (focus here for this research). Envisage a portfolio of roles post-PhD – combining practice and academia
A INTRODUCTION
Q1: Can you give me **your current job/role title** and what your current post involves, and then give me a little information on previous roles that you've undertaken?
Q2: Would you **define organizations** that **you work with as social enterprises**? Why?
Q3: Are you **familiar with any particular services, geography, customer bases, and/or legal frameworks** for social enterprise organizations?
B SOCIAL ENTERPRISES AND THEIR DIVERSITY
Q4: How would you **define organizations that are social enterprises**? What do they have **in common**?
Q5: What do you think about the **diversity of social enterprise organizations** that currently exist in England?
Q6: What **different kinds of social enterprise** organizations make up this diversity (as you define it)? What **differentiates** these different groups from each other?
C EXAMPLES OF SOCIAL ENTERPRISES PERFORMING AT DIFFERENT LEVELS
Q7: Can you think of an **example/s of a <u>high</u> performing social enterprise** organization that you are familiar with? – What organizational factors do you believe were associated with <u>high</u> performance? What in particular did <u>high</u> performance mean in that situation/s?
Q8: Can you think of an **example/s of a <u>low</u> performing social enterprise** organization that you are familiar with? – What organizational factors do you believe were associated with <u>low</u> performance? What in particular did <u>low</u> performance mean in that situation/s?

Q9: Can you **compare your examples of high and low performing social enterprise organizations**?
What organizational factors were similar/different?
In what ways did high and low performance differ?
D PERFORMANCE OF SOCIAL ENTERPRISES (n.b. order swapped with original section D)
Q15: How would you **define performance** for social enterprise organizations?
Q16: What are the **criteria that you use to assess the performance** of social enterprises**?**
Q17: How do you **discern high and low performance** in social enterprise organizations?
E ORGANIZATIONAL FACTORS
Q10: What **organizational factors** do you think **affect social enterprise performance** in general?
Are the **organizational factors** the **same, different, or a bit of both** with regard to social enterprises that are
Q11a: **high performing**?/**Q11b**: **low performing**?
[n.b. Qs 12, 13 and 14 omitted]
F ORGANIZATIONAL FACTORS OCCURING TOGETHER
Are there any **organizational factors that tend to occur together** in:
Q18a: **high performing** social enterprise organizations?
Q18b: **low performing** social enterprise organizations?
[prompt could be – are there any other groupings of organizational factors?]
G ENVIRONMENT
Does the **context of social enterprise organizations affect** which **organizational factors** are **important** for high/low performance from the point of view of:
Q19a: The macro environment – e.g. national socio-economic conditions?
Q19b: The meso environment – e.g. sectors in which social enterprises work such as health, education, housing etc.?
Q19c: The micro environment – e.g. the particular geographical area/locality ion which a social enterprise works?
H DECISIONS TO CHANGE BY SOCIAL ENTERPRISES
Q20: Are there different ways in which social enterprise organizations decide to make significant changes ?
Q21: Are there different outcomes from social enterprise organizations decision making? – change/no change; form of elaboration?
I LOOKING AHEAD
Q24: What do you think might be the **future(s)** for social enterprise organizations?
J CLOSE
Q25a: Is there **anything that you would like to add now** that hasn't been covered?
Q25b: If you do think of **anything else later** that you would like to add, then please feel free to email or phone me, and we'll take it from there
Q26: Given the nature of our conversation, is there **anyone else** that you suggest I should contact with a view to asking for an interview?
Q27: Would you be prepared to be **contacted for any follow-up work**?

APPENDIX 4.3: CLUSTER SURVEY - ONLINE QUESTIONNAIRE INCLUDING INFORMATION SHEET AND DEEMED CONSENT

CIC survey - Final - 06.11.14

Start of Block: Title page

Q1

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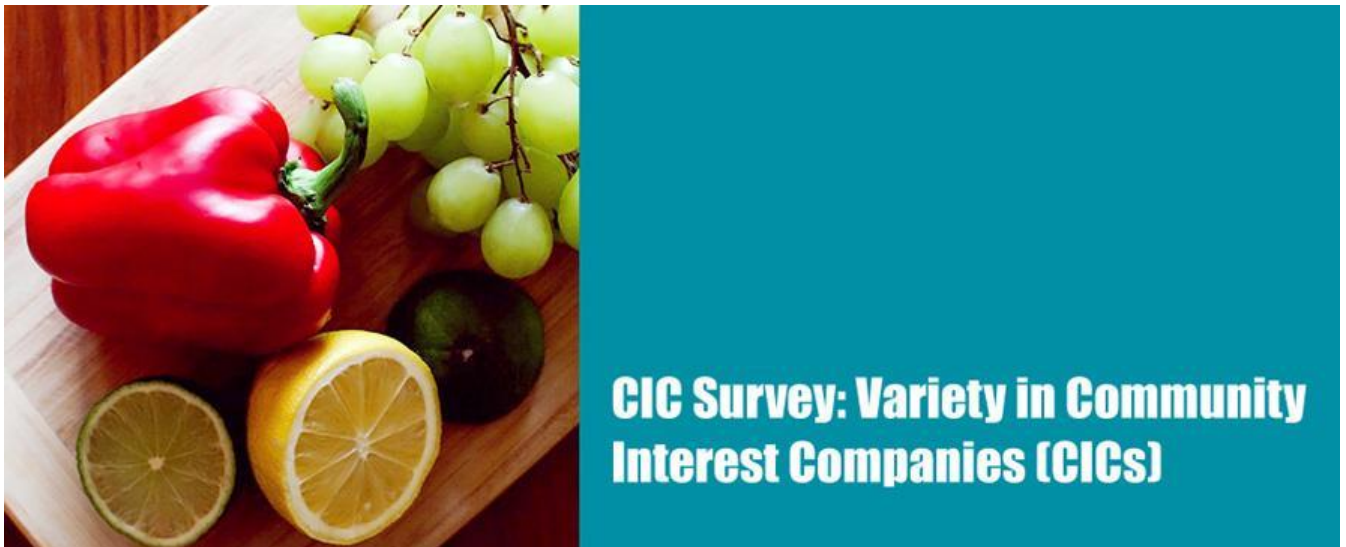
Q2 Are you a CEO/senior manager of a CIC in the UK able to provide an overview for your organization?

○   Yes (1)

○   No (2)

Q3 This survey has 6 sections covering: your organization, change strategies, performance outcomes, organizational context, your management behaviour, and brief demographics, and takes around 30 minutes to fill in. If you exit the survey before completing it, you can re-click the survey link to continue the survey later, but only from the same machine. By completing the survey you will

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be contributing your knowledge to doctoral research on the chemistry of social enterprises: The Right Chemistry?: Variety in Social Enterprises. Further information on the research is available at www.stephenrbennett.co.uk

Q4 **INFORMATION SHEET FOR SURVEY RESPONDENTS**
 REC Reference number: REP(EM)/13/14-10 The Right Chemistry?: Variety in Social Enterprise Organizations I would like to invite you to participate in this postgraduate research project. You should only participate if you want to; choosing not to take part will not disadvantage you in any way. Before you decide whether you want to take part, it is important for you to understand why the research is being done and what your participation will involve. Please take time to read the following information carefully and discuss it with others if you wish. Ask me if there is anything that is not clear or if you would like more information. **Why the research is being done** The aim of this research is to explain the organizational chemistry in social enterprises that is associated with variations in performance, and in particular with high performance. The project is being funded partly by the researcher himself and partly by an Economic & Social Research Council (ESRC) Studentship. It is anticipated that the principal form of dissemination of the research findings will be an examined MPhil/PhD dissertation/thesis, although in addition synoptic research reports, press releases, and journal articles may be produced. **What your participation will involve**   I am recruiting a large group of senior managers of social enterprises to respond to this online survey questionnaire. If you agree to respond then please complete the questionnaire. It is envisaged that the online questionnaire will take you around 30 minutes to complete. If you would prefer to complete a hard copy of the questionnaire by post, then please contact me by email at stephen.bennett@kcl.ac.uk Your comments will be treated as confidential and your answers will be anonymised. The data collected will be confidential in compliance with the UK Data Protection Act 1998, and only the researcher and the researcher's supervisor can access it. You may find responding to the questionnaire beneficial. Some questions may prompt you to consider some aspects of your organization. Respondents will be contributing to research in social enterprise. Respondents will also benefit from being able to access a synoptic research report, which will be made available electronically/online once the study is complete. **Further information** It is up to you to decide whether to take part or not. If you decide to take part you are still free to withdraw from the study at any time and without giving a reason. A survey respondent may withdraw their data up to the point that it has been integrated into a report that includes all survey responses currently estimated as 30.06.15.

 Submission of a completed questionnaire implies consent to participate.
 Submission of a partially completed questionnaire implies consent to participate by pressing the 'next' or 'continue' buttons, and for data entered up to this point to be included in the study.   If you agree to take part you may be asked whether you are happy to be contacted about participation in a further future phase of the study. Your participation in responding to the questionnaire will not be affected should you choose not to be re-contacted. If you have any questions or require more information about this study, please contact the researcher using the following contact details: Stephen Bennett via email at stephen.bennett@kcl.ac.uk or by phone on 07676 607001 or by post

at Department of Management, King's College London, Franklin-Wilkins Building, 150 Stamford Street, London, SE1 9NH If this survey has harmed you in any way, you can contact King's College London using the following details for further advice and information: Dr Juan Baeza via email at juan.baeza@kcl.ac.uk or phone on 020 7848 4634 or by post at Department of Management, King's College London, Franklin-Wilkins Building, 150 Stamford Street, London, SE1 9NH Authorship of relevant sections of the survey is acknowledged (c) Cameron

End of Block: Information sheet

Start of Block: Organization

Q5 **Your organization** These six questions ask you to identify the way you experience your organization as it is today. Please rate each of the statements A, B, C, and D by dividing 100 points between them depending on how similar the description is to your organization. 100 indicates very similar and 0 indicates not at all similar. You may divide the 100 points in any way among the four alternatives in each question. Remember the total must equal 100. The assessment uses this method to better demonstrate how trade-offs always exist in organizations, and resources are never unconstrained. Click and drag to move sliders. Example combinations adding up to 100 are 100/0/0/0 or 25/25/25/25 or 9/42/28/21

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Q6 **A1. Dominant characteristics**

_____ The organization is a very personal place. It is like an extended family. People seem to share a lot of themselves (1)

_____ The organization is a very dynamic and entrepreneurial place. People are willing to stick their necks out and take risks (2)

_____ The organization is very results oriented. A major concern is with getting the job done. People are very competitive and achievement oriented. (3)

_____ The organization is a very controlled and structured place. Formal procedures generally govern what people do. (4)

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Q7 **A2. Organizational leadership**

_____ The leadership in the organization is generally considered to exemplify mentoring, facilitating, or nurturing. (1)

_____ The leadership in the organization is generally considered to exemplify entrepreneurship, innovating, or risk taking. (2)

_____ The leadership in the organization is generally considered to exemplify an aggressive, results-orientated, no-nonsense focus (3)

_____ The leadership in the organization is generally considered to exemplify coordinating, organizing, or smooth-running efficiency (4)

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Q8 **A3. Management of employees**

_____ The management style in the organization is characterized by teamwork, consensus and participation. (1)

_____ The management style in the organization is characterized by individual risk taking, innovation, freedom, and uniqueness. (2)

_____ The management style in the organization is characterized by hard-driving competitiveness, high demands, and achievement. (3)

_____ The management style of the organization is characterized by security of employment, conformity, predictability, and stability in relationships. (4)

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Q9 **A4. Organizational glue**

_____ The glue that holds the organization together is loyalty and mutual trust. Commitment to this organization runs high. (1)

_____ The glue that holds the organization together is commitment to innovation and development. There is an emphasis on being on the cutting edge. (2)

_____ The glue that holds the organization together is the emphasis on achievement and goal accomplishment. Aggressiveness and winning are common themes. (3)

_____ The glue that holds the organization together is formal rules and policies. maintaining a smooth-running organization is important. (4)

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Q10 **A5. Strategic emphases**

_____ The organization emphasizes human development. High trust, openness, and participation persists. (1)

_____ The organization emphasizes acquiring new resources and creating new challenges. Trying new things and prospecting for opportunities are valued (2)

_____ The organization emphasizes competitive actions and achievement. Hitting stretch targets and wining in the marketplace are dominant. (3)

_____ The organization emphasizes permanence and stability. Efficiency, control and smooth operations are important. (4)

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Q11 **A6. Criteria of success**

_____ The organization defines success on the basis of the development of human resources, teamwork, employee commitment, and concern for people. (1)

_____ The organization defines success on the basis of having the most unique or the newest products. It is a product leader and innovator. (2)

_____ The organization defines success on the basis of winning in the marketplace and outpacing the competition. Competitive market leadership is the key. (3)

_____ The organization defines success on the basis of efficiency. Dependable delivery, smooth scheduling, and low cost production are critical. (4)

End of Block: Organization

Start of Block: Change strategies

Q12 **Change strategies** These six questions ask you to identify the way you experience change strategies in your organization as it is today. As in the previous section, please rate each of the statements A, B, C, and D by dividing 100 points between them depending on how similar the description is to your organization. 100 indicates very similar and 0 indicates not at all similar. You may divide the 100 points in any way among the four alternatives in each question. Remember the total must equal 100. Click and drag to move sliders. Example combinations adding up to 100 are 100/0/0/0 or 25/25/25/25 or 9/42/28/21

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Q13 **B1. Change initiatives tend to materialize from our analysis of:**

_____ Feedback from our employees (1)
_____ Emerging external opportunities (2)
_____ The behaviours of our competitors (3)
_____ Internal process measurement (4)

✳

Q14 **B2. During the process of planning for change, we assess:**

_____ Our people's willingness to change (1)
_____ The interests of our external stakeholders (2)
_____ The payoffs of the potential change (3)
_____ Our technical capacity to make the change (4)

✳

Q15 **B3. During the planning process we focus on:**

_____ Preparing to alter the human culture (1)
_____ Developing a strategic vision (2)
_____ Making the business case for change (3)
_____ Developing clear plans and budgets (4)

✳

Q16 **B4. At the outset of our implementation of change, we emphasize that change leaders have:**

_____ High levels of trust in their people (1)
_____ An ability to adapt quickly (2)
_____ An intense performance focus (3)
_____ Logical, step by step processes to follow (4)

✳

Q17 **B5. During the implementation process our senior managers:**

_____ Model the new behaviours required by the change (1)
_____ Use powerful symbols to highlight a meaningful vision (2)
_____ Communicate that the change is a top priority by rewarding success and correcting failures (3)
_____ Carefully monitor the costs of change (4)

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Q18 **B6. During the implementation process we:**

_____ Listen to the problems encountered by our people (1)
_____ Stay flexible and adapt to feedback from multiple sources (2)
_____ Persist in the face of resistance or adversity (3)
_____ Minimize disruption to our workflow (4)

End of Block: Change strategies

Start of Block: Performance Outcomes

Q19 **Performance outcomes** These six questions ask you to identify the way you experience performance outcomes in your organization as it is today. As in the previous section, please rate each of the statements A, B, C, and D by dividing 100 points between them depending on how similar the description is to your organization. 100 indicates very similar and 0 indicates not at all similar. You may divide the 100 points in any way among the four alternatives in each question. Remember the total must equal 100. Click and drag to move sliders. Example combinations adding up to 100 are 100/0/0/0 or 25/25/25/25 or 9/42/28/21

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Q20 **C1**

_____ We excel in retaining our best employees (1)
_____ We excel in launching new products or services (2)
_____ We excel at acquiring financial revenues (3)
_____ We excel in our percent of on-time deliveries (4)

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Q21 **C2**

_____ We excel in our employee morale (1)
_____ We excel in the number of new sources of revenue created (2)
_____ We excel in the amount of cash we have on hand (cash flow) (3)
_____ We excel in internal cost savings (4)

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Q22 **C3**

_____ We excel in the number of top quality people we have hired (1)
_____ We excel in the return on investment from our innovations (2)
_____ We excel in profitability (Return on Assets) (3)
_____ We excel in our improvements regarding error and defect rates (4)

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Q23 **C4**

_____ We excel in our improvement in stress-related health care costs (1)
_____ We excel in obtaining revenues from new products or services (2)
_____ We excel in increasing shareholder value (EVA) (3)
_____ We excel in our reduction of redundancy and waste (4)

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Q24 **C5**

_____ We excel in getting a return on investment from our training and education (1)
_____ We excel at increasing our brand recognition (2)
_____ We excel at reducing our cycle time (3)
_____ We excel at increasing our share price (4)

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Q25 **C6**

_____ We excel at reducing grievances and complaints from employees (1)
_____ We excel in obtaining growth in sales (2)
_____ We excel in our overall performance ranking in the industry (3)
_____ We excel in quality improvement (4)

End of Block: Performance Outcomes

Start of Block: Context

Q26 **The context of your organization** To help appreciation of the context in which your organization operates, please provide some information about the sector in which your organization works.

Q27 Which service/product sector best describes the context of your organizational?

    ○   Artistic and literary activities (1)

    ○   Education (2)

    ○   Human health and social work activities (3)

    ○   Manufacturing (4)

    ○   Physical well-being activities (5)

    ○   Radio and television activities (6)

    ○   Real estate activities (7)

    ○   Sporting activities (8)

    ○   Transportation and storage (9)

    ○   Wholesale and retail trade and motor repairs (10)

    ○   Other - please specify (11)

_____

Q28 To what extent do you agree or disagree with these statements, based in your judgement of your sector relative to the average of all sectors:

	Strongly Agree (1)	Agree (2)	Slightly Agree and/or Slightly Disagree (3)	Disagree (4)	Strongly Disagree (5)
Most of the value in our sector comes from a few services/products compared with the average for all sectors (1)	○	○	○	○	○
The total value being created in our sector is highly variable over time	○	○	○	○	○

compared with
the average for
all sectors (2)

A large proportion of supplies/inputs to our sector come from fewer other sectors compared to the average of all sectors (3)	○	○	○	○	○
The majority of organizations in our sector are spread more evenly geographically compared with the average of all sectors (4)	○	○	○	○	○
The number of people working in our sector is growing more quickly compared with the average of all sectors (5)	○	○	○	○	○
The total value being created in our sector is growing more quickly compared with the average of all sectors (6)	○	○	○	○	○
The total number of people working in our sector is highly variable over time compared with the average of all sectors (7)	○	○	○	○	○
Our sector provides a more numerous and diverse set of services/products compared to the average of all sectors (8)	○	○	○	○	○

Geographically the majority of people working in our sector is spread more evenly compared with the average of all sectors (9)	○	○	○	○	○
The profitability in our sector is highly variable compared with the average for all sectors (10)	○	○	○	○	○
The percentage of sales by a few providers is higher in our sector compared with the average of all sectors (11)	○	○	○	○	○
The total value in our sector is created in fewer geographical areas compared with the average of all sectors (12)	○	○	○	○	○
If all other sectors expanded then this would place heavy additional requirements on our sector compared with the average of all sectors (13)	○	○	○	○	○
Profitability in our sector is growing more quickly compared with the average of all sectors (14)	○	○	○	○	○

| The number of organizations providing the same services/products in our sector is growing more quickly compared with the average of all sectors (15) | ○ | ○ | ○ | ○ | ○ |

Q29 **Your management behaviour** Please describe your own personal management behaviour. Please respond to the statements based on your current behaviour most of the time, rather than how you might imagine behaving in the future.

Q30 To what extent do you agree or disagree with these statements

	Strongly Agree(1)	Moderately Agree (2)	Slightly Agree and/or Slightly Disagree (3)	Moderately Disagree (4)	Strongly Disagree (5)

I communicate in a supportive way when people in my organization share their problems with me (1)		○	○	○	○
I encourage others in my organization to generate new ideas and methods (2)	○	○	○	○	○
I motivate and energize others to do a better job (3)	○	○	○	○	○
I keep a close track of how my organization is performing (4)	○	○	○	○	○
I regularly coach subordinates to improve their management skills so they can achieve higher levels of performance (5)	○	○	○	○	○
I insist on intense hard work and high productivity from my subordinates (6)	○	○	○	○	○
I generate, or help others obtain, the resources necessary to implement their innovative ideas (7)	○	○	○	○	○
I make certain that all employees are clear about our policies, values and objectives (8)	○	○	○	○	○
I make certain that others have a clear picture of how their job fits with others in the organization (9)	○	○	○	○	○
I build cohesive, committed teams of people (10)	○	○	○	○	○

I give my subordinates regular feedback about how I think they're doing (11)	○	○	○	○	○
I articulate a clear vision of what can be accomplished I the future (12)	○	○	○	○	○
I foster a sense of competitiveness that helps members of my organization perform at higher levels than members of other organizations (13)	○	○	○	○	○
I assure that regular reports and assessments occur in my organization (14)	○	○	○	○	○
I interpret and simplify complex information so that it makes sense to others and can be shared throughout the organization (15)	○	○	○	○	○
I facilitate effective information sharing and problem solving in my organization (16)	○	○	○	○	○
I make sure that others in my organization are provided with opportunities for personal growth and development (17)	○	○	○	○	○
I constantly restate and reinforce my vision of the future to members of my organization (18)	○	○	○	○	○
I am always working to improve the processes we use to achieve our desired output (19)	○	○	○	○	○

I push my organization to achieve world-class competitive performance in service and/or products (20)	○	○	○	○	○
I have consistent and frequent personal contact with my internal and external customers (21)	○	○	○	○	○
I make sure that we assess how well we are meeting our customers' expectations (22)	○	○	○	○	○
I coordinate regularly with managers in other units in my organization (23)	○	○	○	○	○
I facilitate a climate of continuous improvement in my organization (24)	○	○	○	○	○

Q31 **Demographic information** To help with comparative analysis, please provide brief information about yourself and your organization.

Q32 What is your job title? please specify:

_____

Q33 What is your age?

○   18-25 (1)

○   26-34 (2)

○   35-44 (3)

○   45-54 (4)

○   55-64 (5)

○   65 or over (6)

Q34 What is your gender?

○   Male (1)

○   Female (2)

○   Prefer not to say (3)

○   Other - please describe (4)
_____

Q35 What is your ethnic group?

- ○ White (1)

- ○ Mixed/Multiple Ethnic Groups (2)

- ○ Asian/Asian British (3)

- ○ Black/African/Caribbean/Black British (4)

- ○ Other Ethnic Group (5)

- ○ Other - please describe (6)

_____

Q36 How many employees work in your organization?

- ○ 1-4 (1)

- ○ 5-9 (2)

- ○ 10-19 (3)

- ○ 20-49 (4)

- ○ 50-99 (5)

- ○ 100-249 (6)

- ○ 250-499 (7)

- ○ 500-999 (8)

- ○ 1000 or more (9)

Q37 What was your organization's annual turnover last year?

○ £0 - £10,000 (1)

○ £10,001 - £50,000 (2)

○ £50,001 - £100,000 (3)

○ £100,001 - £250,000 (4)

○ £250,001 - £500,000 (5)

○ £500,001 - £1 million (6)

○ £1 million - £2.5 million (7)

○ £2.5 million - £5 million (8)

○ more than £5 million (9)

Q38 How old is your organization/how many years since founding?

☐ 0 (1)

☐ 1 (2)

☐ 2 (3)

☐ 3 (4)

☐ 4 (5)

☐ 5 (6)

☐ 6 (7)

☐ 7 (8)

☐ 8 (9)

☐ 9 (10)

☐ 10 (11)

☐ 11+ (12)

Q39 In which region does your organization mainly operate - select from list?

▼ East Midlands (1) ... National (13)

Q40 Name of your organization (preferred but optional):

_____

Q41 Would you be prepared to be re-contacted regarding this study?

○   Yes (1)

○   No (2)

Q42 Contact email address (preferred but optional):

_____

Q43 Contact name (preferred but optional):

_____

End of Block: Demographics

INFORMATION SHEET FOR CASE STUDIES

REC Reference Number: **REP(EM)/13/14-10**

YOU WILL BE GIVEN A COPY OF THIS INFORMATION SHEET

Social Enterprises Performing Well

I would like to invite you to participate in this postgraduate research project. You should only participate if you want to; choosing not to take part will not disadvantage you in any way. Before you decide whether you want to take part, it is important for you to understand why the research is being done and what your participation will involve. Please take time to read the following information carefully and discuss it with others if you wish. Ask me if there is anything that is not clear or if you would like more information.

Why the research is being done

The aim of this research is to explain the organizational chemistry in social enterprises that is associated with their variety, and in particular with performing well. The project is being funded partly by the researcher himself and partly by an Economic & Social Research Council (ESRC) Studentship. It is anticipated that the principal form of dissemination of the research findings will be an examined MPhil/PhD dissertation/thesis, although in addition synoptic research reports, press releases, and journal articles may be produced.

What your participation will involve

I am recruiting a small group of social enterprise organizations as case studies. Each organization has particular characteristics that are important to the research. The findings from each case study will be compared to provide an overall analysis. If you agree to your organization being a case study, then I will arrange an initial meeting with you in your office or a convenient public location. I would then like to gather information by online questionnaires and by interviews with key people, the study of relevant documents, and some observation, in order to profile the organization as it is now, and to ascertain how it came to be as it is over time, together with looking to the future. Generally the online questionnaires take about an hour to complete altogether, and each of the interviews will be around an hour long, although this can be tailored by mutual agreement.

Interviews, documents and all other data will be treated confidentially and anonymously. Interviews will be recorded, subject to permission, and I will also make written notes, and these records will be deleted upon transcription together with any other identifiable data such as emails and voicemails. All data collected will be confidential in compliance with the UK Data Protection Act 1998, and only the researcher and the researcher's supervisor can access it.

You may find being a case study is beneficial to your organization. The case study provides you with an opportunity to provide specialized information to a researcher and to reflect on the topics that we will address. Furthermore, as a case study, after completion a copy of the dissertation/thesis will be sent to you together with a synoptic research report, if you so wish.

Further information

It is up to you to decide whether to take part or not. If you decide to take part you are still free to withdraw from the study at any time and without giving a reason. You may withdraw any information already provided up to the point at which your data has been integrated into a report, currently estimated as 31.12.15. If you decide to take part you will be given this information sheet to keep and be asked to sign a consent form. Such consent will apply to the case study as a whole. Note that in addition, consent will be sought from individuals from whom specific information is to be gathered, e.g. key people to be interviewed.

If you have any questions or require more information about this study, please contact the researcher using the following contact details: Stephen Bennett via email at stephen.bennett@kcl.ac.uk or by phone on 07676 607001 or by post at Department of Management, King's College London, Franklin-Wilkins Building, 150 Stamford Street, London, SE1 9NH

If this study has harmed you in any way, you can contact King's College London using the following details for further advice and information: Dr. Juan Baeza via email at juan.baeza@kcl.ac.uk or phone on 020 7848 4634 or by post at Department of Management, King's College London, Franklin-Wilkins Building, 150 Stamford Street, London, SE1 9NH

CONSENT FORM FOR CASE STUDIES

Please complete this form after you have read the Information Sheet and/or listened to an explanation about the research.

KING'S College LONDON

Title of Study: Social Enterprises Performing Well

King's College Research Ethics Committee Ref: REP(EM)/13/14-10

Thank you for considering taking part in this research. The person organising the research must explain the project to you before you agree to take part. If you have any questions arising from the Information Sheet or explanation already given to you, please ask the researcher before you decide whether to join in. You will be given a copy of this Consent Form to keep and refer to at any time.

Please tick or initial

- **I agree to participate in the study as indicated on the relevant information sheet.**

  [ ]

- **I understand that if I decide at any time during the research that I no longer wish to participate in this project, I can notify the researchers involved and withdraw from it immediately without giving any reason. Furthermore, I understand that I will be able to withdraw my data up to the point of incorporation with other data.**

  [ ]

- **I consent to the processing of my personal information for the purposes explained to me. I understand that such information will be handled in accordance with the terms of the UK Data Protection Act 1998.**

  [ ]

- **I understand that confidentiality and anonymity will be maintained and it will not be possible to identify me in any publications**

  [ ]

- **I consent to interviews being audio recorded.**

Yes	No

- **The information you have submitted will be published as a dissertation/thesis; please indicate whether you would like to receive a copy.**

Yes	No

Participant's Statement:

I _____

agree that the research project named above has been explained to me to my satisfaction and I agree to take part in the study. I have read both the notes written above and the Information Sheet about the project, and understand what the research study involves.

Signed   **Date**

Investigator's Statement:

I _____

confirm that I have carefully explained the nature, demands and any foreseeable risks (where applicable) of the proposed research to the participant.

Signed   **Date**

AGENDA FOR INITIAL MEETING

Participants:

Date:

Location:

Purpose: Discussion of research process for case study

1 Introductions

- Stephen Bennett/
- Overview of PhD research - social enterprises performing well
- Nature of case study - focusing on the history of the organization to date, its journey, and future trajectory, and how the management team thinks about it

2 Ethics/informed consent

- Information sheet – hard copy will be brought to the meeting
- Organizational consent – forms in hard copy will be brought to the meeting for signing
- Ethics arrangements for specific online questionnaires and interviews with individuals

3 Information request

Please see table below, which sets out the steps/kinds of information requested in a preferred order

No	Step	Notes	Who/time
1	Initial contact by email/phone	Confirmation of participation	CEO/Director & Researcher
2	Initial documents	Study of organization's website and related documents; Companies House information	Researcher
3	Initial face-to face meeting	Discussion of research process for case study	CEO/Director & Researcher – 1 hour
4	Documents	Study of Internal reports, minutes of meetings, strategic reviews/plans, key external reports etc.	Researcher
5	Online questionnaires	Questionnaire about the organization and how managers think about it, supplemented by questionnaire on team roles	CEO/Director and Management Team – 1 hour per person (total)
6	Face-to-face interviews	Semi-structured interviews on the history of the organization to date, its journey and trajectory	CEO/Director and Management Team & Researcher – 1 hour per person
7	Internal meeting/s	Opportunity for researcher to appreciate work in practice	Researcher – attends scheduled meeting/s
8	Any final queries/checks	Opportunity for any final checking of information	CEO/Director and Management Team & Researcher – as required
9	Case study findings	Presentation on what has been found – at discretion of CEO/Director	CEO/Director & Researcher – to be decided

4 Questions/discussion

Any further points from with either side not already covered

APPENDIX 4.5: COMPARATIVE CASE STUDIES – INTERVIEWS INFORMATION SHEET, CONSENT FORM AND INTERVIEW GUIDE

INFORMATION SHEET FOR CASE STUDY INTERVIEWEES

KING'S
College
LONDON

REC Reference Number: **REP(EM)/13/14-10**

YOU WILL BE GIVEN A COPY OF THIS INFORMATION SHEET

Social Enterprises Performing Well

I would like to invite you to participate in this postgraduate research project. You should only participate if you want to; choosing not to take part will not disadvantage you in any way. Before you decide whether you want to take part, it is important for you to understand why the research is being done and what your participation will involve. Please take time to read the following information carefully and discuss it with others if you wish. Ask me if there is anything that is not clear or if you would like more information.

Why the research is being done

The aim of this research is to explain the organizational chemistry in social enterprises that is associated with their variety, and in particular with performing well. The project is being funded partly by the researcher himself and partly by an Economic & Social Research Council (ESRC) Studentship. It is anticipated that the principal form of dissemination of the research findings will be an examined MPhil/PhD dissertation/thesis, although in addition synoptic research reports, press releases, and journal articles may be produced.

What your participation will involve

I am recruiting a small group of social enterprise organizations as case studies. Each organization has particular characteristics that are important to the research. The findings from each case study will be compared to provide an overall analysis. Your organization has agreed to be a case study and has given overall consent. If you agree to take part in an interview, then I will arrange a meeting with you in your office or a convenient public location. I would then like to gather information in order to profile the organization as it is now, to ascertain how it came to be as it is over time, together with looking to the future, and to ask how you think

about the organization. Generally the interview will be around an hour long, although this can be tailored by mutual agreement.

Interviews, documents and all other data will be treated confidentially and anonymously. Interviews will be recorded, subject to permission, and I will also make written notes, and these records will be deleted upon transcription together with any other identifiable data such as emails and voicemails. All data collected will be confidential in compliance with the UK Data Protection Act 1998, and only the researcher and the researcher's supervisor can access it.

You may find taking part in an interview is beneficial. The interview provides you with an opportunity to provide specialized information to a researcher and to reflect on the topics that we will address. Furthermore, as a case study interviewee, after completion a copy of the dissertation/thesis will be sent to your organization together with a synoptic research report, which you can see if you so wish.

Further information

It is up to you to decide whether to take part or not. If you decide to take part you are still free to withdraw from the study at any time and without giving a reason. You may withdraw any information already provided up to the point at which your data has been integrated into a report, currently estimated as 31.03.16. If you decide to take part you will be given this information sheet to keep and be asked to sign a consent form relating to the interview.

If you have any questions or require more information about this study, please contact the researcher using the following contact details: Stephen Bennett via email at stephen.bennett@kcl.ac.uk or by phone on 07976 607001 or by post at Department of Management, King's College London, Franklin-Wilkins Building, 150 Stamford Street, London, SE1 9NH

If this study has harmed you in any way, you can contact King's College London using the following details for further advice and information: Dr. Juan Baeza via email at juan.baeza@kcl.ac.uk or phone on 020 7848 4634 or by post at Department of Management, King's College London, Franklin-Wilkins Building, 150 Stamford Street, London, SE1 9NH

CONSENT FORM FOR CASE STUDY INTERVIEWEES

Please complete this form after you have read the Information Sheet and/or listened to an explanation about the research.

KING'S
College
LONDON

Title of Study: Social Enterprises Performing Well

King's College Research Ethics Committee Ref: REP(EM)/13/14-10

Thank you for considering taking part in this research. The person organising the research must explain the project to you before you agree to take part. If you have any questions arising from the Information Sheet or explanation already given to you, please ask the researcher before you decide whether to join in. You will be given a copy of this Consent Form to keep and refer to at any time.

Please tick or initial

- **I agree to participate in the study as indicated on the relevant information sheet.**

  ☐

- **I understand that if I decide at any time during the research that I no longer wish to participate in this project, I can notify the researchers involved and withdraw from it immediately without giving any reason. Furthermore, I understand that I will be able to withdraw my data up to the point of incorporation with other data.**

  ☐

- **I consent to the processing of my personal information for the purposes explained to me. I understand that such information will be handled in accordance with the terms of the UK Data Protection Act 1998.**

  ☐

- **I understand that confidentiality and anonymity will be maintained and it will not be possible to identify me in any publications**

  ☐

- **I consent to interviews being audio recorded.**

Yes	No

- **The information you have submitted will be published as a dissertation/thesis; please indicate whether you would like to receive a copy.**

Yes	No

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Participant's Statement:

I _____

agree that the research project named above has been explained to me to my satisfaction and I agree to take part in the study. I have read both the notes written above and the Information Sheet about the project, and understand what the research study involves.

Signed   **Date**

Investigator's Statement:

I _____

confirm that I have carefully explained the nature, demands and any foreseeable risks (where applicable) of the proposed research to the participant.

Signed   **Date**

INTERVIEW GUIDE – MAIN INTERVIEW WITH MANAGERS IN CASE STUDY ORGANIZATIONS

Questions and notes for interviewer
Overall notes for interviewer   *-This guide has been prepared on the basis that some information has already been obtained (see case study plan), along the lines of: initial meeting with the CEO/Director, some document study, preferably online questionnaires, and possibly some observation*
1 PREAMBLE
-**Thank you** for agreeing to be interviewed as part of my PhD research – as you know from the information sheet it's about **social enterprise organizations**, particularly Community Interest Companies (CICs), and **under what conditions they perform well**
-I've **done some work already** interviewing some experts in the field and to conducting a survey, and my **current work** is about looking at a small, select group of **case study organizations** and comparing the findings to see what we can learn
>The overall aim of the interview is to **talk about how your organization got to where it is now, and to touch on what the future might bring**. After this preamble (1), I'd like us to work through a few sections covering: a little about yourself in relation to the organization (2), where are you now as an organization (3), where did you start from (4), how did you get from where you started to where you are now (5), what does your future look like (6), and some final points to Close (7) - we can alter this order as we go. The interview is likely to take about an hour, although we can adjust it to suit. Do you have **any questions** for me at this stage?
>The **information sheet gives an overview of my research**, why it's being done, what your participation will involve and some further information – do you have **any questions** about that?
>The **consent form assures confidentiality and anonymity**, and includes permission to use audio recording – do you have **any questions** about it, are you **happy to sign it**? We can pause the recoding or turn it off. You'll see that I also make written notes to help me, I can also stop doing that at any point.
>Are you **ready** to make a start?
[-*If not ready to start yet, then the most common question is likely to be something around who I am and what I've done in the past – this may be partly because of my age. This can be useful as it can help interviewees to "talk up" rather than "talk down". If need to say more on this then I'm a PhD researcher in the Department of Management, School of Social Science & Public Policy, King's College London. I wanted to do some research in the area of social enterprise to make a contribution – that's the point of a PhD and wider impact beyond it is encouraged (e.g. by ESRC as partial funders along with myself). Previously, I've been a chartered surveyor, senior lecturer, knowledge manager, and company director – most recently I was a director of a kind of social enterprise]*
2 INTRODUCTION
>Can you **tell me about your job title and role** in the organization? [*position*]
>**How did you come to be here**? [*previous personal history*]
>**How long** have you been here? [*place in the organization's history*]

3 WHERE ARE YOU NOW?
How would you **describe/characterize your organization currently?**   -"Organization" means it's arrangements, external environment and internal working/how it works/operates – both from a formal/hard and informal/soft perspective
How would you **describe/assess the current compatibility** between these aspects?
How would you assess the organization's current performance?   -On different dimension that you think are relevant
How would you describe the **way you currently go about running your organization?**   -"Running" includes maintaining and changing things/how they work/operate
How do you and the other managers currently work together in deciding how to run the organization?
Who are **currently the main stakeholders** inside and outside your organization?   - Work outwards from the management team
4 WHERE DID YOU START FROM?   -Link: Let's compare all of that – i.e. where you are now with where you started from
How would you **describe/characterize your organization when it started?**   -"Organization" means it's arrangements, external environment and internal working/how it works/operates – both from a formal/hard and informal/soft perspective
How would you **describe/assess the compatibility then** between these aspects?
How would you **assess the organization's performance then?**   -On different dimension that you think are relevant
How would you describe the **way you went about running your organization then?**   -"Running" includes maintaining and changing things/how they work/operate
How did you and the other managers currently work together then in deciding how to run the organization?
Who were **the main stakeholders then** inside and outside your organization?   - Work outwards from the management team

5 HOW DID YOU GET FROM WHERE YOU STARTED TO WHERE YOU ARE NOW?
What do you think have been the **main points of continuity or changes over this period in how you would you describe/characterize your organization?**
In what ways has **the compatibility between these aspects stayed the same or changes over this period**?
How would you **assess the continuity of change in the organization's performance over this period?**
Do you think that you and your colleagues **have stayed the same or have changed in the way you go about running the organization**?
Has the way that you, and the other managers, work together stayed the same or changed in deciding how to run the organization?
Have **the main stakeholders stayed the same of changed** inside and outside your organization? -Changes could be quantitative e.g. new stakeholders appearing or others disappearing, or qualitative e.g. degrees of power and interest for the different stakeholder varying
What were the main **opportunities and constraints** that you and your colleagues have dealt with since starting the organization that might have led to change or things staying the same in the organization?
Can you **tell me the story** of how you and your colleagues went about keeping some things the same and changing other things in the organization?
Given what you and your colleagues have done, **what kind of principles/reasoning** did you use to maintain or change things in the organization?
Did the **opportunities and constraints** that you were faced with tend to **push you and your colleagues to approach maintaining/changing things in the organization in one direction or another**?
How would you **characterise the way that you and your colleagues think things through concerning maintaining/changing the organization**?
How would you describe the **approach that you and your colleagues take to making changes in the organization**?
6 WHAT DOES YOUR FUTURE LOOK LIKE?
What would you say is the **most likely trajectory for the shape of the organization**?
What would you say is the **most likely trajectory for the way that you and your colleagues run the organization?**
What the main **opportunities and constraints that the organization faces today?**
7 CLOSE
Bearing in mind everything we've talked about, is there **anything that you would like to add**/modify/develop? -If there is anything else later that you would like to add, then please feel free to email or phone me, and we'll take it from there
As you know, I'm gathering information about your organization – are there **any particular pieces of information/sources** that you think I should take a look at?
Would you be prepared for me to **contact you to check anything** (if required)?
Any **final questions for me**?
Thank you

Case study- Abridged questionnaire for managers

Q1 Social Enterprises Performing Well: Questionnaire for Managers

✳

Q2 Have you been invited to complete this questionnaire by Stephen Bennett/the researcher as part of a case study about your organization?

○ Yes (1)

○ No (2)

Q3 This survey has two parts, the first one having various sections: Part 1 concerns how you think about your organization: thinking things over, factors in decision-making, feelings in general, and team roles - this last section being addressed through a separate supplementary online questionnaire   Part 3 covers brief demographic information about you The first part is the longer than the second part.

 This questionnaire takes around 15/20 minutes to fill in, and the separate supplementray questionnaire on team roles takes aoound 15/20 minutes to fill in, making a total of about 30/40 minutes. If you exit the survey before completing it, you can re-click the survey link to continue the survey later, but only from the same computer.

 By completing the survey you will be contributing your knowledge to doctoral research on social enterprises. Further information on the research is available from Stephen Bennett/the researcher

Q4 **INFORMATION SHEET FOR QUESTIONNAIRE RESPONDENTS**
 REC Reference number: REP(EM)/13/14-10 Social Enterprises Performing Well I would like to invite you to participate in this postgraduate research project. You should only participate if you want to; choosing not to take part will not disadvantage you in any way. Before you decide whether you want to take part, it is important for you to understand why the research is being done and what your participation will involve. Please take time to read the following information carefully and discuss it with others if you wish. Ask me if there is anything that is not clear or if you would like more information. **Why the research is being done** The aim of this research is to explain the organizational chemistry in social enterprises that is associated with variations in performance, and in particular with high performance. The project is being funded partly by the researcher himself and partly by an Economic & Social Research Council (ESRC) Studentship. It is anticipated that the principal form of dissemination of the research findings will be an examined MPhil/PhD dissertation/thesis, although in addition synoptic research reports, press releases, and journal articles may be produced. **What your participation will involve**   I am recruiting a small group of social enterprises as case studies, and your organization has kindly ageed to take part. As part of the case study, I am asking some managers to respond to this online questionnaire. If you agree to respond then please complete the questionnaire. It is envisaged that this online questionnaire will take you around 15/20 minutes to complete,and the separate online questionniare on team roles will take another 15/20 minutes to complete, making around 30/40 minutes in all. If you would prefer to complete a hard copy of the questionnaire by post, then please contact me by email at stephen.bennett@kcl.ac.uk Your comments will be treated as confidential and your answers will be anonymised. The data collected will be confidential in compliance with the UK Data Protection Act 1998, and only the researcher and the researcher's supervisor can access it. You may find responding to the questionnaire beneficial. Some questions may prompt you to consider some aspects of your organization and how you think about it. Respondents will be contributing to research in social enterprise. Respondents will also benefit from being able to access a synoptic research report, which will be made available electronically/online once the study is complete.
Further information It is up to you to decide whether to take part or not. If you decide to take part you are still free to withdraw from the study at any time and without giving a reason. A questionnaire respondent may withdraw their data up to the point that it has been integrated into a report that includes all questionnaire responses currently estimated as 31.03.16.

 Submission of a completed questionnaire implies consent to participate.
 Submission of a partially completed questionnaire implies consent to participate by pressing the 'next' or 'continue' buttons, and for data entered up to this point to be included in the study. If you have any questions or require more information about this study, please contact the researcher using the following contact details: Stephen Bennett via email at stephen.bennett@kcl.ac.uk or by phone on 07976 607001 or by post at Department of Management, King's College London, Franklin-Wilkins Building, 150 Stamford Street, London, SE1 9NH If this questionnaire has harmed you in any way, you can contact King's College London using the following details for further advice and information: Dr Juan Baeza via email at juan.baeza@kcl.ac.uk or phone on 020 7848 4634 or by post at Department of Management, King's College London, Franklin-Wilkins Building, 150 Stamford Street, London, SE1 9NH   Authorships, and where appropriate permissions, relating to

particular parts/sections of the questionnaire are acknowledged: How you think about your organization: Thinking things over - Mark Carrigan; Factors in decision-making - Gian Luca Casali; Feelings in general - Edmund Thompson; Team roles - Meredith Belbin and Belbin International (separate questionnaire - use kindly contributed by the company for research purposes)

Q30 **PART 1: HOW YOU THINK ABOUT YOUR ORGANIZATION** This part comprises four sections - the last one is dealt with by a separate supplementary questionnaire. The sections mostly ask you about the degree of something using a scale, and in some cases ask for a selection/s.

Q31 **A Thinking things over Some of us are aware that we are having a conversation with ourselves, silently in our heads. We might just call this 'thinking things over'. Is this the case for you?**

○   Yes (1)

○   No (2)

Q32 **On the whole**

	Strongly Agree (1)	Agree (2)	Somewhat Agree (3)	Neither Agree nor Disagree (4)	Somewhat Disagree (5)	Disagree (6)	Strongly Disagree (7)
I do daydream about winning the lottery (1)	○	○	○	○	○	○	○
I think about work a great deal, even when I am away from it (2)	○	○	○	○	○	○	○
I dwell long and hard on moral questions (3)	○	○	○	○	○	○	○
I blot difficulties out of my mind, rather than trying to think them through (4)	○	○	○	○	○	○	○
My only reason for wanting to work is to be able to pay for the things that matter to me (5)	○	○	○	○	○	○	○
Being decisive does not come easy to me (6)	○	○	○	○	○	○	○
I try to live up to an ideal, even if it costs me a lot to do it (7)	○	○	○	○	○	○	○
When I consider my problems, I just get overwhelmed by emotion (8)	○	○	○	○	○	○	○

So long as I know those I care about are OK, nothing else really matters to me at all (9)	○	○	○	○	○	○	○
I just dither, because nothing I do can really make a difference to how things turn out (10)	○	○	○	○	○	○	○
I'm dissatisfied with myself and my way of life - both could be better than they are (11)	○	○	○	○	○	○	○
I know that I should play an active role in reducing social injustice (12)	○	○	○	○	○	○	○
I feel helpless and powerless to deal with my problems, however hard I try to sort them out (13)	○	○	○	○	○	○	○

Q33 In general, what are the **three** most important areas of your life now - those that you care about deeply? Please click on your **top three choices** from the list of items below

- [ ] overcoming present difficulties (12)

- [ ] performative achievements (5)

- [ ] inter-personal relationships with family (1)

- [ ] spirituality (9)

- [ ] socio-ethical preoccupations (8)

- [ ] intrinsic interests (7)

- [ ] resolving problems (10)

- [ ] work/career (4)

- [ ] financial success (6)

- [ ] establishing a better way of life (11)

- [ ] inter-personal relationships with friends (2)

- [ ] inter-personal relationships at work (3)

End of Block: A Thinking things over

Start of Block: B Factors in decision-making

Q34 **B Factors in decision-making When fulfilling the requirements of your position in your organization, please indicate the importance of the following in your decision-making process:**

	Extremely Important (1)	Very Important (2)	Fairly Important (3)	Not Very Unimportant (4)	Not at all Important (5)
Providing the highest economic return (profit) for the organisation (1)	○	○	○	○	○
Minimising costs for the organisation (2)	○	○	○	○	○
Protecting the reputation of the organisation (3)	○	○	○	○	○
Optimising resources of the organization (4)	○	○	○	○	○
Attaining organisational yearly budgets (short term) (5)	○	○	○	○	○
Being in line with the organisational mission (6)	○	○	○	○	○
Generating the greatest overall benefits for the organization (7)	○	○	○	○	○
Not harming the clients (8)	○	○	○	○	○
Respecting organisational' rules and regulations that have been created for the greatest benefit for all stakeholders (9)	○	○	○	○	○
Obeying the law (10)	○	○	○	○	○

Creating the greatest overall benefit for the local community (11)	○	○	○	○	○
Creating the greatest overall benefit for the wider community (12)	○	○	○	○	○
Being most in line with your core personal values (13)	○	○	○	○	○
Being most in line with the person you want to be (14)	○	○	○	○	○
Respecting dignity of those affected by the decision (15)	○	○	○	○	○
Being able to empathise with clients (16)	○	○	○	○	○
Acting openly when making decisions (17)	○	○	○	○	○
Making care for our clients paramount in determining decision alternatives (18)	○	○	○	○	○
Giving the opportunity to all affected parties or their represetatives to have input to the decision making process (19)	○	○	○	○	○
Treating others as you want others to treat you (20)	○	○	○	○	○
Treat people as ends not as means (21)	○	○	○	○	○

Ensuring that confidentiality is maintained at all times (22)	○	○	○	○	○
Maintaining a fair process at all times (23)	○	○	○	○	○
Ensuring that the organization ''duty of care'' is maintained at all times (24)	○	○	○	○	○

Q35 **C Feelings in general Thinking about yourself and how you normally feel, to what extent do you generally feel:**

	Never (1)	Rarely (2)	Sometimes (3)	Often (4)	Always (5)
Upset (1)	○	○	○	○	○
Hostile (2)	○	○	○	○	○
Alert (3)	○	○	○	○	○
Ashamed (4)	○	○	○	○	○
Inspired (5)	○	○	○	○	○
Nervous (6)	○	○	○	○	○
Determined (7)	○	○	○	○	○
Attentive (8)	○	○	○	○	○
Afraid (9)	○	○	○	○	○
Active (10)	○	○	○	○	○

End of Block: C Feelings in general

Start of Block: D Team roles

Q36 **D Team roles You will receive a separate email regarding this section, so please continue this questionnaire and view the separate email later.**

 You will receive a separate email regarding team roles from an organization called Belbin International, inviting you to complete a supplementary online questionnaire. Please follow their instructions concerning completing the questionnaire. Please ignore the reference to observers' reports.

 The researcher, Stephen Bennett, will retrieve your results from Belbin International. Belbin

International hold the copyright to this team role questionnaire and have kindly agreed to make it available to Stephen Bennett for research purposes.

Q37 **PART 2: DEMOGRAPHIC INFORMATION   To help with comparative analysis, please provide brief information about yourself.**

Q38 Your name:

_____

Q39 What is your job title? please specify:

_____

Q40 Your contact email address:

_____

Q41 Name of your organization:

_____

Q42 What is your age?

○ 18-25 (1)

○ 26-34 (2)

○ 35-44 (3)

○ 45-54 (4)

○ 55-64 (5)

○ 65 or over (6)

Q43 What is your gender?

○ Male (1)

○ Female (2)

○ Prefer not to say (3)

○ Other - please describe (4)
_____

Q44 What is your ethnic group?

○   White (1)

○   Mixed/Multiple Ethnic Groups (2)

○   Asian/Asian British (3)

○   Black/African/Caribbean/Black British (4)

○   Other Ethnic Group (5)

○   Other - please describe (6)

_____

End of Block: 3 Demographics

APPENDIX 6.1: COMPARATIVE CASE STUDIES – LIST OF DATA ANALYZED FOR CASE STUDY 1

Interview – Director 1

Interview – Director 2

Interview – Director 3

Interview – Director 4

Interview – Manager 1

Questionnaires – Director 1

Questionnaires – Director 2

Questionnaires – Director 3

Questionnaires – Director 4

Questionnaires – Manager 1

Observation 1 – Initial conversation with Manager 1

Observation 2 – Senior Management Team (SMT) meeting

Observation 3 – Board meeting

Documents – Statutory submissions to Companies House

Notes:

Directors 1-4 as board director and Manager 1 as Chief Executive took part.

From the documents, Director 1-4 were board directors, and from the observations Manager 1 attended board meetings and indeed from the documents subsequently became a board director.

Director 5 declined to take part:

From the interviews his position was potentially a conflict of interest that was managed by his role being focused on questioning rather than providing answers. Furthermore, from the documents, Director 5 subsequently resigned as a board director.

APPENDIX 6.2: COMPARATIVE CASE STUDIES – LIST OF DATA ANALYZED FOR CASE STUDY 2

Interview – Director 1

Interview – Director 2

Interview – Director 3

Interview – Director 4

Interview – Manager 1

Questionnaires – Director 1

Questionnaires – Director 2

Questionnaires – Director 3

Questionnaires – Manager 1

Observation 1 – Initial conversation with Director 1

Observation 2 – Indoor athletics competition

Observation 3 – Steering committee meeting

Documents - statutory submissions to Companies House

Notes:

Manager 1 as operational director was included in both interviews and questionnaires:

From the documents, the operational director role had previously had board director status. Throughout the life of CIC 2 the operational director role was influential in its operations, and the part played by Manager 1 in this role was highlighted.

Director 4 declined to take part in the questionnaires:

Director 4 declining to complete the questionnaire was due to pressure on his time as a busy teacher and leader in a busy school, although he was able to take part in an interview.

APPENDIX 7.1: COMPARATIVE CASE STUDIES – LIST OF DATA ANALYZED FOR CASE STUDY 3

Interview – Director 1

Interview – Director 2

Interview – Director 3

Interview – Manager 1

Questionnaires – Director 1

Questionnaires – Director 2

Questionnaires – Director 3

Observation 1 – Initial conversation with Director 1

Observation 2 – Oversight committee meeting

Observation 3 – Staff meeting

Documents - statutory submissions to Companies House

Notes:

Manager 1 was not asked to complete the questionnaires:

The reason Manager 1 was not asked to complete the questionnaires was that he was not a director at the time of the investigation, and his role concerned only one of the services and was administrative rather than managerial in nature. However, from the documents, Manager 1 did become a director later. Nevertheless, Manager 1 was included because of his close operational relationship with Director 2 and to a lesser extent with Director 1.

APPENDIX 7.2: COMPARATIVE CASE STUDIES – LIST OF DATA ANALYZED FOR CASE STUDY 4

Interview – Director 1

Interview – Director 2

Interview – Director 3

Questionnaire – Director 1

Questionnaire – Director 2 – partial only – see note

Questionnaire – Director 3

Observation 1 – Initial conversation with Director 1

Observation 2 – Online safety training session

Observation 3 – Board meeting

Documents - statutory submissions to Companies House

Notes:

Director 2 did complete the preferred team role questionnaire, but not the main questionnaire:

He had previously agreed to complete the questionnaires, but despite reminders ultimately declined by default. However, Director 2 did take part in an interview, and featured in documents and observations, which made up for his failure to complete the questionnaires to some extent. While he did not give a reason for not completing the questionnaires, it was more understandable in the light of the future of CIC 4.

APPENDIX 8.1: CROSS-CASE COMPARISON - CONFIGURATIONS

	HIGH PERFORMING CASE	HIGH PERFORMING CASE	LOW PERFORMING CASE	LOW PERFORMING CASE
CONFIGURATIONS	**CASE STUDY 1 – CIC 1**	**CASE STUDY 2 – CIC 2**	**CASE STUDY 3 – CIC 3**	**CASE STUDY 4 – CIC 4**
Structural mode - organizational layer and aspects	operating organization: tendency for element aspects towards protection dominant, elimination subsidiary, with compromise and opportunity intermediate – small differences between aspect configurations	operating organization tendency for element aspects towards protection dominant, elimination subsidiary, with compromise and opportunity intermediate, but culture also compromise dominant - large differences between aspect configurations	operating organization: tendency for element aspects towards protection dominant, elimination subsidiary, with compromise and opportunity intermediate, but culture and change strategy also opportunity dominant - differences between aspect configurations	operating organization: tendency for element aspects towards similar and different degrees of dominance – small and large differences between aspect configurations
	operating organization: culture - blended business and community; structure: independent; strategy: growth in Healthwatch contracts	operating organization: culture – mutual competition and community; structure - hands-on directors and operational director and volunteer workforce; strategy – participation through high quality services	operating organization: culture – mixed; structure - business-like; strategy - train vulnerable people and shift from adults to children and late to early intervention	operating organization: culture - contrasted normal business with acceptable minimal social activity; structure – centred on lead director and trainer; strategy – training for schools and social workers on jobbing basis
	group organization: Healthwatch England umbrella	group organization: school and SGO school network	group organization: temporary partnerships only with main contractors and customers	group organization: none
Structural mode - organizational layer - performance	protection most dominant with intermediate element logics	protection dominant, opportunity intermediate, with compromise and elimination subsidiary	protection and opportunity dominant, with compromise and elimination subsidiary	compromise dominant, with opportunity and protection intermediate, and elimination subsidiary
	strong all-round performance	secure financial performance and social impact	severe resource limitations	marginal financial performance with positive feedback on training
	highly rated provider within NHS England	highly ranked in SGO schools network	good relative to relative to comparators who are now out of business	confusion on stakeholder consultation

Structural mode – environmental layer and aspects	operating environment: intermediate – dynamism, and munificence and complexity	operating environment: intermediate – dynamism, and munificence and complexity	operating environment: intermediate – dynamism, and munificence and complexity	operating environment: intermediate – dynamism, and munificence and complexity
	operating environment: benign - regulated competition with cuts, but favouring incumbent social enterprises	operating environment: benign - monopoly by local member school community consent	operating environment: hostile - strong competition and customers short of money with changing requirements	operating environment: hostile - non-market with low with reducing funding and few strong "competition"
	wider environment: non-ring-fenced funding and legislation for providers to be social enterprises	wider environment: government SGO funding as investment in sport participation with long-term health benefits	wider environment: procurement arrangements for public sector services and sub-contracting	wider environment: increased use of social media and funding restricted to a few public and social sector organizations
Structural mode - managerial layer and aspects	intermediate management behaviour element logics	intermediate management behaviour element logics	intermediate management behaviour element logics	intermediate management behaviour element logics
	small board of directors = 5 NEDs, plus CEO in attendance leading SMT	small board of directors = 4, and 1 operational director	small board of directors = 3 with 2 executive directors plus 1 NED, and 1 manager	small board of directors = 3, central director and 2 NEDs
	group/s to advise the board – liaison groups	group to advise the board – member steering group	group to advise the board – advisory committee	group to advise the board - group of experts
MODES – AGENTIAL				
Agential mode - organizational layer and aspects	operating organization: workers are paid employees and unpaid volunteers	operating organization: workers are paid operational director and administrator and unpaid volunteers	operating organization: workers are paid staff and unpaid volunteers	operating organization: workers are paid jobbing trainers and administrator and no volunteer workers
	group organization: member of Healthwatch England umbrella organization/network in which highly rated	group organization: member of SGO umbrella organization/network school and highly ranked	group organization/s: temporary partnerships with contractors and clients	group organization: distant connections links with individual people through one director
Agential mode - environmental layer and aspects	immediate customers were LAs as intermediaries with some funding	immediate customers were local member state schools and heads with some funding	immediate customers were mainly poorly funded LA or public sector organizations funded by them	immediate customers were mostly state schools and social work departments with little money
	no competitors on patch and elsewhere weaker SE	no competitors	competitors were big companies and charities	"competitors" were a major public sector led network and

	incumbent providers and non-SE-based competitors			large charities that did not want to collaborate
	customer at arm's length was central government	customer at arms-length was central government	customer at arms-length was central government	customer at arms-length was central government
Agential mode - managerial layer and aspects	management reflexivity aspect elements - elimination dominant, protection subsidiary, and compromise and opportunity intermediate = business-like dominant, social subsidiary, control and innovation intermediate	management reflexivity aspect elements - elimination dominant, protection subsidiary, and compromise and opportunity intermediate = business-like dominant, social subsidiary, control and innovation intermediate	management reflexivity aspect elements - elimination dominant, protection subsidiary, and compromise and opportunity intermediate = business-like dominant, social subsidiary, control and innovation intermediate	management reflexivity aspect elements of equal dominance = equal dominance of social, control, business-like and innovation
	ethical aspect – high with equal emphasis	ethical aspect – high with equal emphasis	ethical aspect – high with equal emphasis	ethical aspect – high with equal emphasis
	emotional aspect – high positive affect outweighed moderate negative affect	emotional aspect – high positive affect outweighed moderate negative affect	emotional aspect – high positive affect outweighed moderate negative affect	emotional aspect – high positive affect outweighed moderate negative affect
	management demographics aspect – middle aged, male and female, and white	management demographics aspect – middle aged, male and female, and white	management demographics aspect – middle aged, male and female, and white	management demographics aspect – middle aged, male and female, and white
	team roles – similar dominance across preferred elements	team roles – elimination and opportunity preferred over protection and compromise	team roles – opportunity and protection preferred over compromise and elimination – Plant preferred and Implementer least preferred	team roles – opportunity preferred over protection, then compromise and elimination – Plant preferred and Implementer least preferred
	chair selected other NEDs and this remunerated board selected the pivotal hands-on paid CEO	lead director was pivotal and line managed the hands-on paid operational director, with other directors in support – all directors were also paid teachers at the school	2 executive directors were paid, with the NED who did not take payment in support of them	lead director/paid trainer with 2 volunteer NEDs
	advisory group/s – liaison groups had some functionality	advisory group – member steering group had functionality	advisory group – advisory committee did not have functionality	advisory group - loose group of experts did not have functionality

APPENDIX 8.2: CROSS-CASE COMPARISON - FITS

	HIGH PERFORMING CASE	HIGH PERFORMING CASE	LOW PERFORMING CASE	LOW PERFORMING CASE
FITS	**CASE STUDY 1 – CIC 1**	**CASE STUDY 2 – CIC 2**	**CASE STUDY 3 – CIC 3**	**CASE STUDY 1 – CIC 1**
1 Structural mode - organizational/ environmental layers	all tight fit	all tight fit	all loose fit	all tight fit
	business and community/benign regulated competition	mutual competition and community/benign geographic monopoly	mixed position/hostile with strong competition	normal business with minimal social activity/hostile non-market with strong "competition"
2 Structural mode - organizational/ organizational layer and aspects incl. performance	all tight fit	mostly tight fit	all tight fit	mostly tight fit
	blended business and community	mutual competition and community	mixed position	normal business with minimal social activity
3 Structural mode - organizational/ managerial layers and aspects	all tight fit	mostly tight fit	mostly tight fit	mostly tight fit
	blended business and community/small board	mutual competition and community/small board	mixed position/small board	normal business with minimal social activity/small board
4 Structural mode - managerial/ managerial layer and aspects	all tight fit	all tight fit	all tight fit	all tight fit
	small board	small board	small board	small board
AGENTIAL MODE				
5 Agential mode - organizational/ environmental layers and aspects	paid and unpaid voluntary workers with umbrella organization/LAs as intermediary customers for central government	paid and unpaid voluntary workers with umbrella organization/schools as intermediary customers for central government with no competitors	paid and unpaid voluntary workers with temporary partnerships with contractors/clients/customers are intermediary public sector organizations with LA itself	paid workers, but no volunteers, with distant personal connections/customers are state schools and social work departments with public sector

			with LA as ultimate customer with big companies/charities as competitors	led network and big charities as competitors who don't want to work with CIC 4
6 Agential mode - organizational/ managerial layers and aspects	paid and unpaid voluntary workers with umbrella organization/directors business-like dominant, social subsidiary, control and innovation intermediate	paid and unpaid voluntary workers with umbrella organization/directors business-like dominant, social subsidiary, control and innovation intermediate	paid and unpaid voluntary workers with temporary partnerships with contractors/clients/directors business-like dominant, social subsidiary, control and innovation intermediate	paid workers, but no volunteers, with distant personal connections/ directors equal dominance of social, control, business-like and innovation
7 Agential mode - managerial/ managerial layer and aspects	management reflexivities aspect of directors are tight fit	management reflexivities aspect of directors are mostly loose fit	management reflexivities aspect of directors are tight fit	management reflexivities aspect of directors are tight fit
	management ethics aspect of directors and CEO is tight fit with loose fit exceptions	management ethics aspect of directors and operational director is generally tight fit with loose fit exceptions	management ethics aspect of directors and operational director is generally tight fit with loose fit exceptions	management ethics aspect of directors is tight fit with few loose fit exceptions
	management emotion aspect of directors is generally tight fit, with some loose fit exceptions	management emotion aspect of directors is generally tight fit, with some loose fit exceptions	management emotion aspect of directors is generally tight fit	management emotion aspect of directors is tight fit
	management demographics aspect of directors and CEO is loose fit on age and gender and tight fit on ethnic group	management demographics aspect of directors and operational director is loose fit on age and gender and tight fit on ethnic group	management demographics aspect of directors and indeed manager is loose fit on age and gender and tight fit on ethnic group	management demographics aspect of directors is tight fit on age, loose fit on gender, and tight fit on ethnic group
	team roles aspect of directors and CEO complementary	team roles aspect of directors and operational manager complementary, with director 1 and the operational director having complementarity	team roles aspect of directors were generally complementary, the 2 executive directors having complementarity	team roles aspect of directors similar
	diversely skilled NEDs with pivotal CEO	board directors and operational director shared knowledge base	the 2 executive directors were like brothers, and were supported by the NED and manager	the 3 directors were alike but with different skills, with the lead director/trainer supported by 2 NEDs
STRUCTURAL/ AGENTIAL MODES				

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8 Agential mode – managerial layer/Structural – managerial layer	management reflexivity of directors/management behaviour of directors is tight fit	management reflexivity of directors/management behaviour of directors mostly tight fit and some loose fit	management reflexivity of directors/management behaviour of directors is tight fit	management reflexivity of directors/management behaviour of directors is tight fit
19 Agential mode – managerial layer/Structural – organizational layer	management reflexivity of directors/organizational aspects are almost all tight fit	management reflexivity of directors/organizational aspects are mostly tight fit and loose fit, with a small minority of misfit	management reflexivity of directors/organizational aspects are mostly tight fit, with some loose fit, and a minority of misfits	management reflexivity of directors/organizational aspects are almost all tight fit
10 Agential mode – managerial layer/Structural mode – environmental layer	management reflexivity of directors/environmental dynamism is tight fit	management reflexivity of directors/environmental dynamism is tight fit	management reflexivity of directors/environmental dynamism is tight fit	management reflexivity of directors/environmental dynamism is tight fit

APPENDIX 8.3: CROSS-CASE COMPARISON – FITTINGS

FITTINGS	HIGH PERFORMING CASE	HIGH PERFORMING CASE	LOW PERFORMING CASE	LOW PERFORMING CASE
	CASE STUDY 1 – CIC 1	CASE STUDY 2 – CIC 2	CASE STUDY 3 – CIC 3	CASE STUDY 4 – CIC 4
HISTORY - BEFORE LAUNCH OF CICs				
1 Organizational layer	predecessor organization – LINk	predecessor organization – School Sports Partnership	predecessor organization – private company, while working for previous employer	predecessor organization
	public sector organization	public sector organization	private sector organization	private sector organization
	part of national network in public sector	part of national network in public sector	stand-alone	stand-alone
	services established were monitoring of NHS	services established were school sports/PE	services established were training for vulnerable people	services established were training for online safety and/or anti-bullying
2 Organizational layer - performance	active	active	dormant	active
	long lived	long lived	short lived	short lived
	unsuccessful according to central government	successful according to organization but decision to transition by central governmental	neutral, since dormant	unsuccessful according to organization
3 Environmental layer	all LINks swept aside by concerns of the Francis report	all Schools Sports Partnerships swept aside in change of government	original service concept not viable, hence shift to training for vulnerable people	concerns about risks to children posed by the internet in Byron report
4 Managerial layer	managers included a director of successor CIC	managers included two of the directors of the successor CIC	managers were two of the directors of the successor CIC	managers included two of the directors of the successor CIC
LAUNCH OF CICs				
1 Organizational layer	re-launch	re-launch	re-launch	re-launch
	carried forward previous services but done differently	carried forward previous services and done in a similar way	carried forward some similar services to those done by previous employer and done in a similar way	carried forward previous services and done in a similar way
2 Organizational layer - performance	NA	NA	NA	NA

3 Environmental layer	negotiated spin-out from LA with a non-competitively tendered local Healthwatch contract	intensive negotiations with local network of schools	some work and funding via previous personal contacts	work obtained on a jobbing basis, including through giving information
4 Managerial layer	directors included a manager of predecessor organization	directors included three managers of the predecessor organization	directors were the two managers of the predecessor organization	directors included two of the managers of the predecessor organization
SHORT-TERM				
Configurations				
1 structural mode – organizational layer	organization initially established and improved operating model	organization initially established and improved operating model	organization initially established and improved operating model	organization initially established and improved operating model
	continued to improve operating model	continued to improve operating model	operating model became more business-like through contract management in response to trading environment	operating model became less business-like through gradual change from fees to donations and a grant in response to trading environment
	group organizations/network established	group organizations/network established	patchy partnership development in social, business, and public sectors	lack of group organization continued
2 structural mode – organizational layer - performance	quality of service improved	quality of service continuously improved	quality of service improved	quality of service improved initially
	sales grew incrementally by increase in sales of project services alongside delivery of core Healthwatch contract	membership sales stable with growth at the margin	sales grew initially, then shrank stepwise	initial sales level gradually shrank year-on-year
3 structural mode – environmental layer	operating environment and market stable	operating environment and market stable	operating environment and market changed from more benign and renewable grants for delivery becoming rarer and replaced by grants for tender-readiness, with increase in competitiveness of commercial contracts	operating environment and market was a non-market with decreasing demand for paid for training, and increasing "competition" from public sector-led network (CEOP) and social sector (charities) - led to shrinkage and reduction
4 structural mode – managerial layer	board size stable	board size stable	board size changed from 2 to 3 as 1 director added	board size reduced

	board advisory groups present and stable	board advisory group present and stable	board advisory group was not present initially and then introduced	lack of board advisory group continued
5 agential mode – organizational layer	numbers of staff and volunteers grew steadily	numbers of volunteers grew steadily	numbers of staff grew initially and then reduced through redundancy, numbers of volunteer grew initially and continued through redundant staff – both in hope of getting paid job	initial low number of staff was reduced
	umbrella organization was stable	umbrella organization was stable	partnership relationships became more unstable and complex	distant connections through one director reduced
6 agential mode – organizational layer - performance	rating as provider within Healthwatch England umbrella gradually improves	ranking as SGO umbrella gradually improves	directors' personal reputations stable and positive, but appraisal as organization unclear	one director's personal reputation in national media grew, but appraisal as organization unclear
7 agential mode – environmental layer	immediate LA customer for Healthwatch was stable	immediate school customers for SGO were stable	immediate customers of LA, and those public sector organizations it funds, become increasingly cost conscious so price sensitive as austerity increasingly manifests	immediate customers of state schools and social worker departments became increasingly cost conscious and so price sensitive
	competitors stable for Healthwatch – some incumbents performing less well and potential entrants find tendering is not easy	lack of competitor/potential competitors stable for SGO in geographical area	increase in commerciality of competitors	increase in pressure from "competitors"
	arm's length customer of central government was stable	arm's length customer of central government was stable	arm's length customer of central government was stable	arm's length customer of central government was stable
8 agential mode – managerial layer	membership of board of directors was stable	membership of board of directors was stable	membership of board changed when NED was added – avoiding potential 1 v 1 decision deadlock; and lead director became more commercial after turning point	membership of board of directors changed through resignations
	membership of board advisory groups developed	membership of board advisory groups developed	board advisory group did not exist and was then established	membership of loose group of experts reduced

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			but did not have time to improve	
SHORT-TERM TURNING POINT				
1 turning point and timing	yes – mainly Year 3	no	yes – mainly Year 3	yes – mainly Year 1
2 organizational layer	second Healthwatch contract won and operating model to change – for future delivery	organization and operating model stable	operating model changed and staff redundancies made	operating model's future questionable by Year 3 as donations needed in the light of hard to obtain fees
3 organizational layer - performance	step-up in service volume and financial growth	organizational performance and service volume stable	step-down in service volume and financial	gradual reduction in service volume since Year 1 and annual small financial deficits each year
4 environmental layer	second wave of Healthwatch contracts being tendered	environment stable	customer terminated a contract in Year 3	trading difficult from the start and no improvement
5 managerial layer	board of directors with CEO in attendance stable	board of directors stable, although operational director left in Year 3	board of directors stable	one director resigned in Year 2
MEDIUM-TERM				
Configurations				
1 structural mode – organizational layer	organization developed and operating model maintained	organization developed and operating model maintained	organization further developed the business-like operating model with contract management for existing services, and started to develop alternative operating model for new different service of vocational training	organization continued with operating model and becoming became less business-like through continuing change from fees to donations
	group organizations/network stable	group organizations/network stable	existing patchy mixed sector partnerships continued, and started to develop new connections for new different service	lack of group organization continued
2 structural mode – organizational layer - performance	quality of service stable	quality of service stable	quality of service maintained	quality of service maintained

	sales grew in steps by retention of original contract and its replication in further Healthwatch contracts with some project work alongside	sales/membership maintained	sales stabilized and finances improved	sales continued to decline and then ceased
3 structural mode – environmental layer	operating environment and market stable with more opportunity through second wave of Healthwatch contracts being tendered	operating environment and market stable, opportunity to replicate resisted	operating environment and market continued to be highly competitive commercially through contracts, expectation that new service market would be less competitive with better funding	operating environment and market continued as a non-market with strong "competition"
4 structural mode – managerial layer	board size increased and then reduced	board size maintained	board size maintained by replacement and then increased	board size maintained and was then discontinued
	board advisory groups maintained	board advisory group maintained	board advisory group maintained	lack of board advisory group continued
5 agential mode – organizational layer	numbers of staff and volunteers grew in steps to work on growing number of Healthwatch contracts	numbers of staff and volunteers maintained	lower numbers of staff and volunteers maintained	low number of staff decreased further then terminated
	umbrella organization had senior management changes	umbrella organization maintained	partnership relationships continued to be unstable and complex	distant connections through one director reduced even further then ceased
6 agential mode – organizational layer - performance	rating as provider within Healthwatch England maintained	rating as provider within SGO maintained	directors retained personal reputations and appraisal as organization remained unclear	one director's personal reputation in national media continued, but appraisal as organization still unclear and then ceased
7 agential mode – environmental layer	immediate LA customer for Healthwatch was stable	immediate customers of local state schools maintained	immediate customers of LA, and those public sector organizations it funds, continued to be cost conscious and so price sensitive	immediate customers of state schools and social worker departments continued to be cost conscious and so price sensitive
	competitors stable for Healthwatch – some incumbents performing less	lack of competitors continued	competitors remained highly commercial	pressure from "competitors" continued

	well and potential entrants find tendering is not easy			
	arm's length customer of central government was stable	arm's length customer of central government was stable	arm's length customer of central government was stable	arm's length customer of central government was stable
8 agential mode – managerial layer	membership of board changed to include CEO as of right, then CEO left with partial replacements, and 2 existing NEDs also resigned	membership of board maintained	membership of board changed with one of the executive directors resigned and left the organization, his replacement resigned within a year, and then manager and others became board directors	membership of board of directors remained and then all resigned
	membership of board advisory groups developed	membership of board advisory group maintained but with changes as customer school staff turned over	membership of advisory board maintained	membership of loose group of experts reduced and then terminated
Fits				
1 Structural mode - organizational layer/environmental layer (external fit)	tight fit in benign market of competition regulated in favour of SEs and favouring incumbents was maintained by the directors, and benign market continued	tight fit in benign market with geographical monopoly was maintained by the directors, and benign market continued	loose fit in hostile competitive market was tightened by directors, but market hostility continued to increase for existing services	tight fit in hostile non-market with oligopolistic and strong "competition" changed by directors seeking to change balance of funding to less fee-paying work and more donation funded work
POSITION AT END OF MEDIUM-TERM				
Existence and timing	yes – Year 6	yes – Year 6	yes – Year 6 – in transition	none – Year 6
Organizational layer	in operation	in operation	in operation	ceased trading in Year 4 and dissolved in Year 6 – intended to transition to charity, but not found by researcher
Organizational layer – performance	surviving and thriving through growth	surviving and thriving through continuous improvement	surviving by maintaining existing services and transitioning to potential new service	not surviving
Environmental layer	continues to be benign to SEs/CICs	continues to be benign for SE/CICs	continues to be hostile for SEs/CICs in existing services	continues to be hostile to SEs/CICs

			and less competitive for potential new service	
Managerial layer	board of directors maintained	board of directors maintained	board of directors maintained	all directors resigned