Workplace Learning for Efficiency and Effectiveness in Not-for-Profit Organisations

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Abstract

Australian and United Kingdom not-for-profit (NFP) organisations are under increasing pressure to become more efficient and effective in addressing complex societal problems. Research has identified workplace learning as a contributor to efficiency, innovation and performance improvement. However, few studies have explicitly addressed the ways in which workplace learning may contribute to efficiency and effectiveness in NFP settings. This study sought to understand how Australian and United Kingdom NFP organisations which endeavoured to improve the provision of social care services utilised workplace learning while responding to their environments.

Four theories (i.e., organisational learning theory, dynamic capability theory, institutional theory, and social innovation theory) underpin this study. Organisational learning theory enabled a focus on workplace learning approaches and processes. As NFPs are becoming more entrepreneurial, dynamic capability theory provided focus on how managers sense and seize opportunities, reconfiguring their resources. Institutional theory drew attention to organisational behaviour including responses to regulative, normative and socio-cultural pressures. Finally, social innovation theory centred on dimensions leading to social change.

This study was conducted using a qualitative, constructivist approach following an instrumental multi-case study design across four organisations. Data was collected via interviews with managers, staff focus groups and documentation in 2016 and 2018. Inductive analysis of the data identified emergent themes and guided subsequent deductive analysis. Data was analysed separately before a comparative analysis was performed.

Findings indicated that case organisations sought to use knowledge and undertake social innovation guided by their social missions, roles and resources available. All organisations undertook workplace learning for 1) social change, 2) to build organisational capacity and 3) to build sector capacity for improved services. Learning in the workplace was influenced by each organisation's context. The nature of the pressures on each organisation and the success of their selected responses resulted in organisational change, with implications for future workplace learning activity.

The theoretical framework was useful; however, dynamic capabilities theory did not adequately explain the impact of hybrid institutional logics on the NFP organisations which

pursued both social and business goals. It is hoped the modified theoretical framework offered in this study may inform future research and support NFP organisations in their responses to meet external demands for efficiency and effectiveness. Recommendations for policy, practice and future research are suggested.

Key words

Workplace Learning, Social innovation, Social Services, NFP organisations, Strategy.

Declaration

This thesis is an original work of my research and contains no material which has been accepted for the award of any other degree or diploma at any university or equivalent institution and that, to the best of my knowledge and belief, this thesis contains no material previously published or written by another person, except where due reference is made in the text of the thesis.

Signature:

Date:

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Chapter 1: Introduction

> If the third sector is to play a more pivotal role in public service delivery, then the respective third sector organisations need to have not only a sustainable business model but the ability to manage themselves efficiently and effectively. The research into this area is scant and much more research is required. (Greatbanks & Manville, 2016, p. 23)

1.1 Background

In the quotation above, Greatbanks and Manville (2016) draw our attention to what is required for third sector organisations to play a more pivotal role in delivering public services. The third sector comprises not-for-profit (NFP) and non-government organisations (Australian and New Zealand Third Sector Research, 2020; Mazzei, Teasdale, Calò, & Roy, 2020) which are established to work towards a social purpose (Wee, 2018). In this study, third sector organisations are referred to as NFP organisations. Over the past 20 years, NFP organisations have become larger and have played a more significant role in the delivery of public services (Almog-Bar, 2018), which is attributable to reduced public sector expenditure and demographic change (Yang & Northcott, 2019). There are increased expectations for NFP organisations to do more to support vulnerable people and to use their scarce resources efficiently and effectively (Mosley & Smith, 2018; S. Smith, 2018) under conditions that have challenges for their sustainability (Almog-Bar, 2018). This chapter outlines the social and political context of the study—that is, Australian and United Kingdom (UK) NFP organisations utilising workplace learning to improve social care services. Workplace learning in this study can be understood as learning in working life through the development and adaption of competences (Illeris, 2011), which includes "learning taking place at work, through work and for work" (Tynjälä, 2013, p. 11).

The rationale underpinning this research is provided, along with the definition of terms for this study. The chapter concludes with a summary of the chapter and an outline of how the thesis is organised.

1.1.1 Social and political context

NFP organisations are similarly defined in Australia and the UK. An NFP organisation in Australia is defined as "an organisation that does not operate for the profit, personal gain or other benefit of particular people" (Australian Charities and Not-for-profits Commission,

2020). NFP organisations in Australia play a significant role in delivering human services and advocating for social change (Phillips & Goodwin, 2014). In 2017, there were 57, 500 organisations registered with the Australian Charities and Not-for-profit Organisation Commission, which employed 10 per cent of Australia's workforce (Australian Government, 2019). An NFP organisation in the UK broadly describes organisations which do not seek to make private profits (Resource Centre, 2020). In the UK, the numbers are less clear, as NFP organisations may take different legal forms. Indicatively, there were 168,186 registered charities in England and Wales in 2018 (Charity Commission for England and Wales, 2018). NFP organisations in affluent, democratic countries across the world have increased their part in social, economic and political systems and structures (Phillips & Goodwin, 2014). This study focuses on NFP organisations that undertook workplace learning to improve social care services in Australia or the UK.

While there are a variety of terms such as *social care*, *human services*, *community services* and *social services* to describe care provided to support people in difficult personal circumstances in Australia and internationally, there is a general consensus regarding what constitutes social care. Current policy in Scotland states that "social care means all forms of personal and practical support for children, young people and adults who need extra support" (Scottish Government, 2020). In England, social care services support children with disabilities, those who require protection from harm or experience the greatest need (Institute for Government, 2019). Adults with limiting conditions in England may receive personal and practical social care support to retain independence and quality of life (Cromarty, 2019). Correspondingly, social care fields in Australia have been described as including child and family services, domestic and family violence services, and services for older people and those with disabilities (Davidson, Hampson, & Connolly, 2020).

The drivers for social care have changed over time, reflecting the conditions of communities and their increased expectations. Where poverty was an early driver for care (S. Smith, 2018), contemporary needs are now predominantly driven by a complex web of multiple issues which can include mental health, substance misuse, family violence, abuse and neglect (Sanson & Stanley, 2010). These changing requirements and expectations are combined with further challenges for NFP organisations in Australia and the UK.

An Australian service sector review found organisations were under pressure from complex challenges arising from the introduction of new technologies, sector reform and

increased competition (Shergold, 2013). In addition, NFP organisations have come under increased pressure to be more efficient and effective with their resources (Onyx, McLeod, Suhood, & Ramzan, 2017). Competition has forced NFP organisations to adopt more business practices and models (Hume, Pope, & Hume, 2012). In a 2019 survey of community services in Australia, findings reported that 1) issues were becoming more complicated, 2) the demand for services was outstripping what services could provide, and 3) increasing competition and inadequate funding were together impacting negatively on service delivery (Cortis & Blaxland, 2020). In this same survey, other recognised priorities for the sector were meeting diverse needs, measuring outcomes or impact, and ensuring high quality services. The majority of respondents reported that funders had not paid enough attention to ensuring service stability and continuity or to co-designing services together with people with lived experience of disadvantage. Undergoing similar challenges and trends, there are emerging personalised, marketised care schemes NFP organisations may deliver in Australia and the UK which respond to community demands for empowerment and choice as well as the drive for increased government efficiencies (Malbon, Carey, & Meltzer, 2019).

The UK Government adopted austerity measures in 2008 in response to an economic crisis, with vast reductions of welfare support promoted as necessary to prevent the UK becoming bankrupt (P. Alston, 2018). Austerity measures have led to the outsourcing and downsizing of services (P. Alston, 2018), and because of a profound and punitive tightening of eligibility requirements for these services, this resulted in those in need experiencing reduced accessibility to services (Farnsworth & Irving, 2018). Uncertainty remains from the 2016 vote (i.e., Brexit) for the UK to leave the European Union (EU), with the post-Brexit major challenges identified for health and social care as staffing, accessing treatment, regulation, competition law, cross-border cooperation, research, funding and finance (Baird & McKenna, 2019; Murray, Edwards, & Dixon, 2019; The Welsh NHS Confederation, 2020). High staff turnover in the UK health and social care workforce is expected to bring challenges for recruiting, training and retaining staff alongside increasing service user expectations, increasing demands for care and further calls for efficiency and technological change and innovation (Howat, Lawrie, & Sutton, 2015).

1.1.2 Positionality as a researcher

The researcher has considered her roles in learning and development, organisational development and management in the NFP sector over the past 20 years in Australia in

terms of positionality. Needing to carefully balance the researcher's position within the focus of the research led the researcher to ensure there was no prior relationship or contact with the executive of any of the organisations approached to take part in this study. As a second measure, in addition to Australian case organisations, the researcher looked at cases in the other English-speaking countries of England and Scotland, which have a similar social and political context and have undergone similar challenges. The researcher was less familiar with these other countries and this measure helped to counter potential researcher bias. These measures reflect that identity needs to be balanced with care. Further measures taken are detailed in the research design and methodology chapter.

1.2 Rationale of the Study

The increasing role for NFP organisations in delivering public services is well-recognised (Greatbanks & Manville, 2016; Sturgess, 2018), as is their requirement to become more effective and efficient (Mosley & Smith, 2018; S. Smith, 2018) while meeting challenges regarding their sustainability (Almog-Bar, 2018). Workplace learning is a critical process which develops learners' skills and knowledge, and supports organisations to solve issues and implement change (Park & Lee, 2018). It is an integral component of workplace efforts to build efficiency and innovation for quality and performance improvement (Paine, 2018), with innovation which addresses social needs and challenges by social practices termed "social innovation" (Avelino et al., 2019; Howaldt & Schwarz, 2017). There is a growing body of literature regarding workplace learning (Olsen & Tikkanen, 2018). Themes of this literature with indicative references include developing our understanding of workplace learning (Cairns & Malloch, 2011; Engeström, 2018; Illeris, 2011), how the workplace affects learning (Billett, 2011; Fuller & Unwin, 2011), studies of learning in the workplace (Tam & David, 2016; Thomas et al., 2017), the contribution of workplace learning to policy (Lundvall & Lorenz, 2012), management studies (Dahlgaard, Reyes, Chen, & Dahlgaard-Park, 2019) and innovation studies (Olsen & Tikkanen, 2018). Fuller and Unwin (2011) argue that it is essential to consider the broader organisational environment whenever seeking to understand learning at work. However, few studies have explicitly addressed the ways in which workplace learning may contribute to efficiency and effectiveness in NFP settings (Greatbanks & Manville, 2016). This study is an attempt to address this gap in the literature in light of the evolving social and political contextual conditions which have resulted in increased challenges and pressures on NFP organisations in Australia and the UK. The aim of this research was to better understand how NFP organisations in Australia and the UK utilise workplace learning to build skills and knowledge for organisational

efficiency and effectiveness in light of an organisation's context and changing environment.

It is imperative for NFP organisations to be both efficient and effective within an increasingly marketised service system to enable them to provide high quality services to those in need while also remaining sustainable. It is hoped findings from this study will support increased understanding of the contribution of workplace learning to the efficiency and effectiveness of NFP organisations to meet social and business performance outcomes.

1.3 Key Contributions of Study

This study responds to the critical need to improve the understanding of workplace learning in NFP organisations internationally. Workplace learning processes are an integral component of implementing change and making performance improvements so that the NFP sector can meet growing demands to deliver efficient and effective public services. Therefore, the findings of this study have implications that are of relevance to practitioners and policymakers in other countries. Key contributions of this study to theory and professional practice and implications for policy follow.

This study makes a contribution to theory in a number of ways. First, it applies diverse theoretical lenses to examine workplace learning in NFP settings which is under-represented in the literature. Second, the theoretical framework developed combines organisational learning theory, social innovation theory, dynamic capability theory and institutional theory in new ways. At the time no other research could be located that had used these four theories together. Finally, this study examined boundary conditions for dynamic capability theory and used the findings to make recommendations for the use of institutional logics of non-business settings when applying dynamic capability theory to NFP settings.

The study contributes guidance on how, in complex and diverse NFP settings, professional learning and practice can be improved through improved workplace learning approaches and processes in keeping with environmental demands. Recommendations are made for organisations and practitioners on how to improve processes to acquire, share and strategically renew knowledge for increased organisational and sector capacity, and for social change. The study contributes to policy by indicating ways external social policymakers and internal organisational policymakers can create conditions that will

support NFP organisations with knowledge creation and sharing for capacity building and innovation to enable them to deliver more effective and efficient public services.

1.4 Definitions of Key Terms

How key terms are defined for the purposes of this study is outlined below.

Absorptive capacity

This study adopts a definition of absorptive capacity from Cohen and Levinthal (1990), who determine that absorptive capacity represents "the ability of a firm to recognise the value of new, external information, assimilate it, and apply it to commercial ends". This, they continue, "is critical to its innovative capabilities … it is largely a function of the firm's level of prior related knowledge" (p. 128).

Capability

This study adopts a definition of capability by Cairns and Stephenson (2009, as cited in Cairns and Malloch (2017): "Capability is a holistic concept which encompasses both current competence and future development through the application of potential. The concept is applicable across both individuals and organisations" (p. 106).

Capacity building

Capacity building within NFP organisations refers to acquiring the skills, practices and systems required to improve effectiveness and sustainability (Minzner, Klerman, Markovitz, & Fink, 2014).

Dynamic capabilities

This study adopts a definition of dynamic capabilities from Teece (2007), who disaggregated dynamic capabilities for analytical purposes as "the capability 1) to sense and shape opportunities and threats, 2) to seize opportunities, and 3) to maintain competitiveness through enhancing, combining, protecting, and, when necessary, reconfiguring the business enterprise's intangible and tangible assets" (p. 1319). Dynamic capability theory is reviewed in Chapter 2.

Institution

This study adopts a definition of institution from Scott (2014): "Institutions comprise regulative, normative and cultural-cognitive elements that, together with associated activities and resources, provide stability and meaning to social life" (p. 56). Institutional theory is reviewed in Chapter 2.

Knowledge

A definition of knowledge and knowing in this study is borrowed from Vera, Crossan, and Apaydin (2011), who state that “knowledge and knowing are the content of the learning process—in other words, what we learn or get to know” (p. 157).

Leadership

The definition of leadership by Cohen (1990) is used in this study, as follows: “Leadership is the art of influencing others to their maximum performance to accomplish any task, objective or project” (p. 9). Theories around leadership differ and include trait theories, behaviourist theories, situational and contingency theories, modernist and postmodernist theories and distributed leadership theories (Hafford-Letchfield, 2008).

Learning

This study adopts a definition of learning by Gagné (1985) as cited in Merriam and Bierema (2014), who states that it is “a change in human disposition or capacity that persists over a period of time and is not simply ascribable to processes of growth” (p. 25). Cairns (2011) confirms this active process by offering that “learning is *through* involvement and interaction of an agentic learner with the social system and its influences and features” (p. 81).

Organisational learning

A definition of organisational learning is borrowed in this study from Vera et al. (2011), who explain that “organisational learning is the process of change in individual and shared thought and action, which is affected by and embedded in the institutions of the organization” (p. 154). Organisational learning theory is reviewed in Chapter 2.

Professional learning

Professional learning is a broad construct which refers to learning for professional workers (St Clair, 2003) and, therefore, may refer to learning in the workplace.

Social innovation

This study adopts the definition of social innovation given by Howaldt and Schwarz (2017), as follows: “a new combination and/or new configuration of social practices” (p. 167). Social innovation theory is reviewed in Chapter 2.

Social care service organisations

Social care service organisations provide or support the provision of public services such as health, education, child and family welfare, and community welfare to respond to social needs and health-related social risk factors (National Academies of Sciences, Engineering, and Medicine, 2019). Social service organisations may also advocate for policy change or legislative change for social good (D. Hardina, Middleton, J., Montana, S., Simpson, R.A., 2007). Alternately, these organisations may be called human service organisations, health organisations, community service organisations and more commonly in the UK, social care organisations. The term 'social service care organisation' is used to represent organisations described in any of these ways in this study.

1.5 Summary of Chapter and Thesis Outline

Chapter 1 introduced this study. It described the research setting for the study as NFP organisations in Australia and the UK. The research problem is described earlier in the thesis as the increasing expectations and demands on NFP organisations for greater efficiency and effectiveness, with workplace learning identified by scholars as a critical enabling process. The aim of this study was 1) to investigate how NFP organisations utilise workplace learning to build skills and knowledge for organisational effectiveness and social innovation in light of an organisation's context and a changing environment; and 2) to develop a framework for supporting NFP organisations in skill and knowledge development, which is crucial for organisational effectiveness and social innovation. This study is significant as it will contribute to theory via the development of a multidisciplinary framework which may shed new light on workplace learning in NFP organisations. Importantly, the findings of this study may be beneficial in guiding policy and strategic planning and improving the provision of workplace learning activities in NFP organisations. A definition of key terms employed in the study is provided in an earlier section.

Chapter 2 reviews the literature on *organisational learning theory*, *social innovation theory*, *dynamic capabilities theory*, and *institutional theory*, along with the literature on related research findings. It identifies definitions, developments, and theoretical gaps and limitations for the four theories, which were found to be congruent yet overlapping. Linkages between workplace learning in its context and the theories are made. A conceptual map visually presents how the four theories are combined to create the

theoretical base for this study. Research questions which emerged from the research problem and the literature review are presented.

Chapter 3 outlines the qualitative constructivist approach employed for this international, instrumental multi-case study and the ethical principles upheld. The model of research design is presented, which details the research problem, goals and questions, and the theoretical framework used. Case selection processes and information on participant groups follows. Data collection methods are provided, and an overview of the data collected is presented. The steps taken for data analysis are detailed, with the chapter concluding with the strategies undertaken for triangulation towards achieving quality and trustworthiness in the research results.

Chapter 4 introduces the findings chapters for all case organisations and provides the format which findings chapters 4 to 7 follow. Findings for Case Organisation 1, Children and Family Centre (CFC), are then presented. CFC is an Australian NFP family service institute which aims to improve the lives of individuals and families through relationship-focused services.

Chapter 5 presents findings for Case Organisation 2, Living with Brain Injury (LBI). LBI is an Australian NFP specialist service provider which supports people with acquired brain injury (ABI) and high complex needs such as alcohol and other drug and mental health issues.

Chapter 6 presents findings for Case Organisation 3, Centre for Social Innovation (CSI), an independent NFP UK membership network which provides services to organisations and individuals to access, understand and apply evidence in their service delivery work.

Chapter 7 presents findings for Case Organisation 4, Better Futures for Children (BFC), a UK centre of excellence which supports people and organisations to drive long-lasting change in children’s services and the practices of people responsible for care centres.

Chapter 8 provides a comparative analysis of the findings from each of the case organisations. It utilises the theoretical framework to compare and understand how workplace learning is undertaken within NFP organisations’ environmental contexts. Responses are provided to the three research questions posed in this study.

Chapter 9 discusses the theoretical, practice and policy implications of this study. Theoretical contributions are described. Recommendations are made for how practitioners can better support the use of knowledge, and how policymakers can create more supportive conditions. Limitations regarding data collection and the scope of the study are detailed, followed by recommendations for future research.

Chapter 10 concludes by arguing it is incumbent on NFP organisations and those who work in them to perform and use resources efficiently and effectively to support vulnerable people. It provides a summary of the conclusions drawn from the study, including that workplace learning is a key mechanism in building organisational capacity and the capacity of the sector, and in social change efforts by NFP organisations more broadly. It points to ways to further support NFP managers to identify and meet evolving knowledge requirements.

Chapter 2: Literature Review

"The lens we choose transforms the way we look at things"
(Dewitt Jones, 2018).

2.1 Introduction

Analogous to the above quote by American National Geographic photographer Dewitt Jones, each body of literature provides a specific lens or perspective which changes how we look at data within a given research study. In this chapter, differing areas of the extant literature are reviewed, all of which have the potential to shed light on how NFP organisations utilise workplace learning for organisational efficiency and effectiveness in view of their context and changing environment. Organisational learning theory, social innovation theory, dynamic capability theory and institutional theory were selected for their relevance to this study and importance to the field. Key ideas, theories and seminal works pertaining to these theories are examined and gaps and limitations identified. Examples of the research literature which have been informed by a combination of these theories are then examined, and a conceptual map which links the theories to workplace learning in its context is presented. In accordance with Grant and Osanloo (2014) on the role of theoretical frameworks within dissertation research, the literature review led to the development of the theoretical framework. The theoretical framework provided the structure for the study and led to the development of the research questions. The research questions are presented before the chapter concludes with a summary.

2.2 Organisational Learning Theory

Workplace learning and organisational performance can be connected conceptually through organisational learning theory (Fuller & Unwin, 2011). Organisational learning is an established field of study (Easterby-Smith, Crossan, & Nicolini, 2000) with roots in organisational psychology and management (Fuller & Unwin, 2011). Organisational learning is first defined. This is followed by a review covering the scope of the organisational learning literature before selected theoretical perspectives are examined. Limitations and the significance of this literature to this study concludes this section.

2.2.1 Defining organisational learning

There are many definitions of organisational learning which reflect different perspectives of this concept. While some focus on either cognitive or behavioural development, a growing number of theorists have more recently emphasised both cognitive and behavioural

development and change (Swart, Mann, Brown, & Price, 2011; Tsang, 1997; Vera et al., 2011; Wang & Ahmed, 2003). Key contributions to the definitions of organisational learning over time follow in this section with a comparison of their cognitive and behavioural development orientations, before the definition of organisational learning used in this study is outlined.

Fiol and Lyles (1985) state that “organisational learning means the process of improving actions through better knowledge and understanding” (p. 803). Fiol and Lyles link a cognitive orientation to higher level of learning and a behavioural orientation to a lower level of learning (Swart et al., 2011). Argyris and Schon (1996) state that organisational learning is a process of inquiry through which individuals detect errors and then correct errors. Detecting errors is a cognitive approach, while correction is a behavioural orientation (Swart et al., 2011). Emphasising that cognition guides behavioural change, Levitt and March (1988) explain that “organisations are seen as learning by encoding inferences from history into routines that guide behaviour” (p. 320). Huber (1991) is concerned with potential when he states that “an entity learns if, through its processing of information, the range of its potential behaviours changes” (p. 89). Huber seeks to integrate varying perspectives of organisational learning through a cognitive framework (Swart et al. 2011). This study adopts a definition of organisational learning by Vera et al. (2011), which argues that “organisational learning is the process of change in individual and shared thought and action, which is affected by and embedded in the institutions of the organisation” (p. 154). This is so for its integration of cognitive and behavioural orientations as well as for its recognition of both social and institutional influences.

2.2.2 Organisational learning theory and concepts

Maximising human resources through organisational learning has become increasingly important in the workplace, with a growing base of theory and international research to support these efforts (Werner & DeSimone, 2012). There is an increasing emphasis on the need for workers to adapt to changing labour marketplace requirements (OECD, 2019), and acquiring and integrating knowledge is regarded as highly valuable (Beeby & Booth, 2000; Bloice, 2016). Not all organisational learning is successful. For example, Yukl (2009) finds that organisational learning may fail if core processes such as discovering, sharing or applying new knowledge are not strong. Beeby and Booth (2000) inform us that organisational absorptive capacity needs to be built over time, and that major concerns with efficiency, scope and flexibility of knowledge integration need to be identified. Teece

and Al-AAli (2011) claim that dynamic capabilities are a pre-condition for effective organisational learning.

In the following section, relevant theory and concepts which encompass learning, learning theory, knowledge, knowledge management, absorptive capacity, capabilities and competence, human capital and the learning organisation are first provided. This is followed by a closer review of the organisational learning literature pertaining to knowledge strategy, learning processes, learning levels and evaluation within and across organisations.

2.2.2.1 Learning

This study adopts a definition of learning by Gagné (1985), who states that learning is “a change in human disposition or capacity that persists over a period of time and is not simply ascribable to processes of growth” (p. 25). Where learning was once considered individualistic, the late 20th Century saw a rise in the perspective that learning was socially situated by theorists such as Lave and Wenger (1991). Although for some there was less emphasis on the active agentic learner, Cairns (2011) acknowledges the interaction of agency and social situation by offering that “learning is through involvement and interaction of an agentic learner with the social system and its influences and features” (p. 81)—this is extremely pertinent for workplace learning.

2.2.2.2 Learning theory

Drawing on (Merriam & Bierema, 2014), five learning orientations are outlined below:

1) Behaviourism views learning as a change of behaviour, with theorists including Skinner and Thorndike;
2) humanism views learning as the development of the person, with major contributions coming from Maslow and Rogers;
3) cognitivism views learning as a mental process, with major theorists Piaget and Gagne;
4) social cognitive theory views learning as socially and contextually bound, with the major theorist cited as Bandura; and
5) constructivism, where learning involves creating meaning from experience, with a continuum of perspectives including those of Piaget, Dewey and Vygotsky.

Specifically, Dewey advocated for education to be grounded in experience, while Vygotsky explained the importance of sociocultural context in how meaning is constructed from experience.

The humanistic orientated adult learning theories of andragogy, self-directed learning and transformative learning are the most relevant for workplace learning (Merriam, 2018). Knowles' theory of andragogy describes characteristics of adult learners which include the readiness to learn, cultivating experience that can be drawn upon, increasing self-direction and a focus on problem-centred learning (2015). Self-directed learning is understood as a process (Malcolm Knowles, 1975; M. Knowles, 2015) and characteristic adaptation which, for a workplace learner, features changeability, an active approach, and a dynamic focus on individual objectives and long-term goals (Raemdonck, Thijssen, & de Greef, 2017). Self-directed learning is thought to support ownership of learning in the workplace and to encourage employees to more easily cope with change (Lejeune, Beausaert, & Raemdonck, 2018). Merriam (2018) states that transformative learning involves "making sense of our experience and can result in a change in a belief, attitude, or perspective" (p. 86). Action learning, which in organisations involves teams of people undertaking problem solving and questioning assumptions, is associated with transformative learning (Boshyk & Dilworth, 2010). This is also true for the more recent expositions of expansive learning, which are based on activity theory as a collective response to unclear problems (Engeström, 2018). Learning in the workplace involves evolving the store of knowledge held by staff members, groups and the organisation (Vera et al., 2011). Accordingly, knowledge is reviewed next.

2.2.2.3 Knowledge

Definitions of knowledge are multiple, complex and contested (Beeby & Booth, 2000). Vera et al. (2011) state that "knowledge and knowing are the content of the learning process—in other words, what we learn or get to know" (p. 157). Knowledge has been categorised in various ways. These include, for example, declarative knowledge, which may be referred to as knowledge about something; procedural knowledge, which may be referred to as know-how; causal knowledge, or know-why; conditional knowledge, or know-when; and relational knowledge, or know-with.

In the 1990s, new thinking about sharing and creating knowledge in workplaces was provided by Nonaka and Zack, which is now explained. Commonly cited is Nonaka's classification of knowledge as tacit or explicit. Nonaka (1991) stated that tacit knowledge is

taken for granted and difficult to articulate and that explicit knowledge is formal and easy to communicate and share. Zack (1999) provided an alternate categorisation of knowledge in the context of business firms, with core knowledge required for a firm to operate, advanced knowledge for a firm to be competitive, and innovative knowledge enabling industry leadership.

Sources of knowledge may be internal or external, with internal knowledge considered more valuable as it is difficult to share. While Nonaka's description of internal knowledge is particular to an individual, Zack (1999) describes the internal knowledge of an organisation as also "embedded in behaviours, procedures software and equipment; recorded in various documents; or stored in databases and online repositories" (p. 138). Although external knowledge may provide new thinking and ways of measuring current internal knowledge, it may also be broadly attainable to others and expensive to access (Zack, 1999). Additionally, Zack states that new insights can also be found by combining common external knowledge with unique internal knowledge.

In the knowledge-based view of the firm, strategic thinking is influenced by the economic role of knowledge (Kong, 2008). In the resource-based view of the firm, the flow of knowledge and its storage as organisational memory are central issues for strategic management (Antunes & Pinheiro, 2020). These views have led to an increasing amount of scholarly attention paid to the area of knowledge management.

2.2.2.4 Knowledge management

Knowledge management refers to efficiently and effectively utilising organisational knowledge for advantage (Jasimuddin, 2006). Knowledge management is a related (Allix, 2013) and overlapping (Vera et al., 2011) discipline to organisational learning, with studies conducted on topics such as knowledge typology, knowledge transfer, knowledge creation, storage and retrieval (Jasimuddin, 2006). Knowledge management attracted the attention of academics through the SECI model (Nonaka, 1991). Nonaka's SECI model describes a spiral of knowledge through four pathways for knowledge creation. The pathways are 1) tacit knowledge to tacit knowledge by direct sharing between individuals by a process of socialisation, 2) explicit knowledge to explicit knowledge through a process of externalisation, 3) tacit to explicit knowledge through a process of combination, and 4) explicit knowledge to tacit knowledge through a process of internalisation.

More recently, knowledge management scholars have responded to the globalised economy, which requires knowledge to be shared over distance and culture, developments in technology and a growing view of the centrality of the employee and organisation's knowledge (often tacit) as key to organisational effectiveness (Renshaw & Krishnaswamy, 2009). Information-focused knowledge management seeks to provide access to required information at the right time (Beverley, 2009). Knowledge management is recognised as a critical organisational tool for all sectors (Omotayo, 2015). Compared with organisational learning, which has a focus on the process of learning, knowledge management has a stronger focus on knowledge as an asset and the content of learning, with absorptive capacity drawing on aspects of both (Vera et al., 2011).

2.2.2.5 Absorptive capacity

The concept of absorptive capacity is an important element of how organisations can explore knowledge and learn from external sources. Cohen and Levinthal (1990) define absorptive capacity as "the ability of a firm to recognise the value of new, external information, assimilate it, and apply it to commercial ends, [which] is critical to its innovative capabilities" (p.128) and argue that it is primarily a function of associated knowledge that a firm already has.

Lichtenthaler and Lichtenthaler (2009) argue that, as absorptive capacity focuses on exploratory learning, it does not necessarily translate into commercialisation, which is a product of exploitative learning. However, Qian and Jung (2017) identify cognitive capacity and technical capacity as two types of absorptive capacity which can support the commercialisation of research knowledge for regional economic growth. Studies have referred to absorptive capacity as a capability within information studies (Gao, Yeoh, Wong, & Scheepers, 2017) or as one of the capacities required for capability in managing knowledge for innovation (Lichtenthaler & Lichtenthaler, 2009).

2.2.2.6 Competence, capability and the capabilities approach

The concept of competence is utilised as a definitional term to delineate the skills and underlying attitudes of employees and/or companies. It has a strong history spanning the 20th Century and formed the basis of a significant literature in the business world (Boyatzis, 1982; Spencer & Spencer, 1993). Based on this approach, elements of what became known as competency-based education and training (CBT) pervaded most Western nations as a vocational education and training (VET) approach for the second half of the 20th Century (Burke, 1989; Harris et al., 1995; Smith & Keating, 1997.) While the

term ‘capability’ is peculiarly English, there are similar ideas in other languages, though there is overlap between the usage of the terms ‘competence’ and ‘capability’ and a similar slippage in language usage between singular and plural versions of ‘competences’, ‘competencies’, and ‘capabilities’ (Cairns & Malloch, 2017; Mulder, 2017). The term ‘capability’ has experienced significant usage with regard to learning across all levels of education, particularly in higher education as a way to initiate more flexible and adaptive graduates (Stephenson & Weil, 1992; Stephenson & Yorke, 1998). Usage of its plural term, ‘capabilities’, has also been frequently applied in the areas of welfare economics and international equity debates as the “capabilities approach” most identified with Sen and Nussbaum (Sen, 1985; Nussbaum, 1995; Nussbaum & Sen, 1993).

Attention to the ideas surrounding the view of the “firm” or business as holding within its resources both explicit and tacit core competencies towards providing a basis for competitive leverage across competitors grew into the resource-based view of the firm in the last two decades of the 20th Century (Wernerfelt, 1984; Hamel & Prahalad, 1994; Hamel & Heene, 1994; Hamel & Sanchez, 1997). It also gave rise to a variation known as the capabilities approach (Stalk, Evand, & Shulman, 1992). The capability approach has had significant impact on the analysis and development of capable organisations (Cairns & Stephenson, 2009; Hase, Cairns, & Malloch, 1998), which strongly linked vocational and workplace learning as a key element in the development of more flexible and adaptable organisations, including manufacturing, educational and service organisations. More recently, Teece (2019) makes a case for an economics and strategic management perspective of the firm he titles “a capability theory of the firm”, arguing that “firms differentiate themselves through learning, entrepreneurship, innovation, and astute decision making; in short, firms are differentiated by their capabilities, especially their capabilities to decide, to innovate, and to change” (p. 3). Capabilities and knowledge are important components within the intellectual capital literature (Pedro, Leitão, & Alves, 2018).

2.2.2.7 Intellectual and human capital

Organisational capital perspectives often refer to financial capital and intellectual capital, with intellectual capital articulated via the three interrelated components of human capital, structural capital and relational capital (Ramírez Córcoles, 2013). After a review of the contributions of notable scholars such as Edvinsson and Sullivan (1996), Sveiby (1997) and Bilhim (2007), (Pedro et al.) provide a general definition of intellectual capital as “a

combination of intangible resources represented by all types of knowledge, information, intellectual property, among others, deriving from human and technological resources" (2018, p. 2519). Tzortzaki and Mihiotis (2014) claim that intellectual capital can be transformed into unique capabilities through knowledge management. Kong (2008) argues that intellectual capital has particular resonance for NFP organisations as it "is not merely an objective in relation to intellectual resources, but is an identity crafted around ability and knowledge of what an organisation can do" (p. 292).

Human capital is important to NFP organisations as, according to Heales, Solley, and Hill-Dixon (2017), it is "the personnel and human resources necessary in order to be able to build the innovative solution" (p. 29). Tan (2014) reviews the criticism levelled around human capital, such as 1) economic thinking should be bounded and 2) business and industry theories are promoted over education, before concluding that a stronger alternative theory has not been developed, and despite imperfections, it remains a strong theory.

2.2.2.8 The "learning organisation"

A review of organisational learning would be incomplete without consideration of the learning organisation, an inter-related concept (Beeby & Booth, 2000) which emerged in the late 20th Century and became a popular idea in the business world. Organisational learning theory is descriptive and concerned with how an organisation learns, whereas learning organisation theory is prescriptive and is concerned with how an organisation *should* learn (Tsang, 1997; Vera et al., 2011). In *The Fifth Discipline*, published in 1990 and subsequently released in several revised editions, Senge argues that learning organisations require the core disciplines of shared vision, personal mastery, mental models, team learning and systems thinking (Senge 2006). Senge was influenced by system thinking, the organisational learning theories of Argyris and Schön, and Fritz's creative processes to address the gap between vision and reality (Reese, 2020). Ideas of organisational learning versus learning organisations were debated with respect to definition, clarity and applicability across institutions, businesses and almost all organisations. Researchers often took a theory building approach of organisational learning, while in comparison, practitioners took a learning organisation prescriptive approach to improving performance (Tsang, 1997). This generated confusion which, rather than being resolved, has become part of the background canvas of the field (Easterby-Smith et al., 2000).

Becoming a learning organisation is often viewed as aspirational, with Yadav and Agarwal (2016) describing challenges such as resistance to change, ignoring situations no one wants to discuss, leadership which is too passive, controlling or short-term focussed, incorporating disregard for team success, or a culture where learning is not valued. Garvin, Edmondson, and Gino (2008) provide helpful guidance with building blocks to support managers build a learning organisation, these being a supportive environment, concrete learning processes and leadership which reinforces learning. The supportive learning environment promoted encourages reflection on action, which is consistent with learning theory of the reflective practitioner (Schön, 1983). Reflective practice is central to social work practice (Mantell & Scragg, 2019) and features in many NFP organisations.

2.2.3 Selected theoretical perspectives

This review now focuses on the organisational learning literature, which is highly relevant to this study. The review includes knowledge strategy, learning processes, levels of learning and evaluation.

2.2.3.1 Knowledge strategy

In the last 50 years, strategic planning and the development of ideas such as knowledge strategy has emerged in an age of emphasis on knowledge as a key resource, and where careful forward-planning or strategy have become major management functions (Tafti, Jahani, & Emami, 2012; Wolf & Floyd, 2017). Casselman and Samson (2007) argue that "we can think of knowledge strategy as a number of key decisions related to knowledge that provide a context or strategic intent for the firm" (p. 70). Vera et al. (2011) inform us that learning and knowledge should be relevant and aligned with an organisation's purpose for positive results. Zack (1999) states that "identifying which knowledge-based resources and capabilities are valuable, unique, and inimitable as well as how those resources and capabilities support the firm's product and market positions are essential elements of a knowledge strategy" (p. 131).

It has been argued that a knowledge strategy must be developed in consideration of competitor activity and may significantly impact how organisations position themselves (Zack, 1999). This view suggests there are two dimensions to a knowledge strategy: the first considers whether the organisation is seeking to explore, exploit or undertake both exploration or exploitation; and the second considers whether the sources of knowledge are internal, external or both (Zack, 1999).

From a business perspective, according to Zack (1999), knowledge exploration for an organisation requires the development or acquisition of knowledge to gain and maintain a strategically competitive position. An organisation's absorptive capacity in a particular area enables it to more readily build and develop further knowledge for exploitation (Cohen & Levinthal, 1990). Knowledge exploitation becomes an opportunity when organisations have significantly more resources and capabilities than required for a competitive position (Zack, 1999). Yukl (2009) describes the challenges for leaders in balancing knowledge exploration and knowledge exploitation, noting that too much prominence on knowledge exploration can result in too much expenditure for the knowledge acquired, and too much knowledge exploitation can reduce agility and discourage other development.

A knowledge strategy, whether formal or informal, is significant and necessary for NFP organisations so that, in a global environment, where knowledge is growing rapidly, they develop and learn to effectively respond to changing social needs, ensuring they maintain relevance and sustain themselves.

2.2.3.2 Learning processes

If learning in organisations is accepted as a significant aspect of effective and efficient functioning, the nature of how the learning works or the processes of learning in an organisation become an important consideration. Human learning has a long history of theories, process discussions and recommendations about learning processes and ways of improving learning in schools and education across different age groups and places. An examination and discussion of workplace learning and organisational learning have more recently emerged, diverging from individual learning (Illeris, 2011; Malloch, Cairns, Evans, & O'Connor, 2011).

Argyris and Schon's contribution to single-loop, double-loop and deutero- learning is now reviewed as a way to understand learning processes in the workplace. Argyris (1999) describes single-loop learning as learning which responds to error detection and correction which does not challenge underlying systems. Single-loop learning is more common in organisations, however both single-loop and double-loop learning are essential. Argyris (1999) states that "double-loop learning occurs when mismatches are corrected by first examining and altering the governing variables and then the actions" (p. 68). Therefore, routine issues are addressed by single-loop learning, which enables the continuation of regular ways of working, and complex issues are addressed by double-loop learning,

which may result in changes to underlying norms, policies or objectives. Deutero-learning is about learning to learn. As Schon (1975) claims:

> Organisational deutero-learning requires that individuals within the organisation develop the competence for continuing shared inquiry into the effectiveness of experience-based theories of organisational action and develop it in the face of unplanned ecological changes in the organisation's inner and outer environments. (p. 15)

Visser (2007) states there is conceptional confusion around deutero-learning, which is sometimes described as double-loop learning and sometimes as a second order learning to single- and double-loop learning. Visser claims deutero-learning is an ongoing behavioural- communicative adaptive behaviour to organisational contexts and patterns, which is often not conscious.

It is important for NFP organisations which are seeking to learn to improve their effectiveness and efficiency to understand different types of learning processes in order that they appropriately match their selection of learning processes to learning requirements for improved outcomes.

2.2.3.3 Levels of learning

Debate on the location of organisational learning has resolved in the wide acceptance of multiple levels of learning (Easterby-Smith et al., 2000). Beeby and Booth (2000) present organisational learning as "a network (perhaps an ecology) of levels of learning which are systemically interdependent via a complex and fluid pattern of two-way input/output transactions and feedback loops between levels" (p. 84). Beeby and Booth (2000, p. 83) note their work builds on that of Coghlan's (1994), with learning described as a "'flow of change' through the individual, team, interdepartmental group and organisational levels and is highly dependent on the effective management of inter-level activity" (p. 83).

In more recent work, Coghlan, Rashford, and Neiva (2016) describe the construct of the levels of the organisation as follows: "a) a point of view so one can look at organising from whichever level one chooses; b) a platform for analysis; and c) an entry point for learning and change" (p. 21). Learning and change involves a cyclical process of experiencing, processing, interpreting and taking action (Beeby & Booth, 2000). The model developed by Coghlan (1994) requires different learning behaviour at different levels of the organisation, with the levels reflecting complexity. At the first level is the requirement for individual

learners to be reflective and open to experiences. Buffardi, Harvey, and Pasanen (2019) add that the individual learner must be willing to assimilate and use new knowledge. The second level involves team learning, which involves dialogue for both content and process issues. Indeed, Nonaka (1991) describes individuals within teams interacting, engaging and reflecting to integrate varying perspectives for a new shared perspective. Trusting relationships is an important factor for team learning (Buffardi et al., 2019). The third level is the interdepartmental level, in which differing cultural perspectives need to be navigated. The fourth level represents organisational level learning, which requires integrating all three of the previous levels with both learning from outside the organisation and the organisational strategy. Time and resources are required to acquire, explore and utilise knowledge gained (Buffardi et al., 2019). Beeby and Booth (2000) added a fifth level, inter-organisational learning. This learning also requires time and resources, and sharing specialised knowledge with competitors may be discouraged (Buffardi et al., 2019).

Beeby and Booth (2000) caution that learning between organisations requires attention to how differences in perspectives and cultures influence learning processes and content. They advocate for dialogue as the most effective way to support organisations to share established knowledge or build new knowledge. Learning can be prevented from spreading to the remainder of the organisation due to factors such as prohibiting organisational systems and the insufficient critical mass of skilled and knowledgeable people cooperatively working for change (Beeby & Booth, 2000). Engeström's (2011) expansive learning theory and knotworking are helpful towards understanding inter-organisational learning. Engeström (2011) introduced expansive learning theory, which focuses on "learning processes in which the very subject of learning is transformed from isolated individuals to collectives and networks" (p. 91). Expansive learning studies have led to the development of negotiated knotworking (Engeström, 2011), which may be undertaken when individuals from across organisations seek to pull threads of knowledge together in different ways, and learn together to understand more deeply complex human problems and search for ways to ameliorate them. This more recent theory and the research which has flowed from the Finnish theorist has been promising. It is also practically located in the cultural-historical activity theory genre (CHAT; Tkachenko and Ardichvili, 2017).

The notion of levels of learning theory is helpful, as it provides insights into the learning undertaken at the individual, interpersonal, organisational and institutional levels, all of

which can contribute to complex capacity building (Punton, 2016). Learning at different levels is required for effective responses to complex and entrenched social problems.

2.2.3.4 Evaluation

Individual and organisational learning (in all its forms and locations) should be examined, observed and evaluated if its applicability and contribution to success and progress is to be understood and made visible. Learning is often undertaken as an improvement strategy in the workplace, and its evaluation is important to establish how effective it has been as well as the contribution it has made to workplace performance (Hopkins, 2017).

Kirkpatrick (1994) created a framework for evaluating training program effectiveness, which has since been applied widely. Kirkpatrick and Kirkpatrick (2006) provided minor updates to this system and claim that training evaluation is necessary to showcase training work and its contribution towards achieving organisational goals. Other evaluation models in the literature have been heavily influenced by Kirkpatrick's model (Reio, Rocco, Smith, & Chang, 2017), including that of Kaufman, Keller, and Watkins (1996), who provided a five-level evaluation framework.

In Kirkpatrick's model, the *Level 1* evaluation is at the level of reaction. At this level, the measurement captures how satisfied participants are with training. This is often carried out via a brief survey at the end of a workshop via what has been widely known as a 'happy sheet', which consists of a series of questions often asking participants to provide ratings on a five-point scale to ascertain participant reactions to the subject and trainer. Kirkpatrick (1994) cautions this is not a measure of learning, however negative reactions correlate with reduced possibilities of learning. The *Level 2* evaluation is at the level of learning. Changes in knowledge, skills and attitudes because of participation in training programs are measured against learning objectives. The *Level 3* evaluation is of changes in behaviour due to the participation in training. This usually involves a measurement of change often two to three months after participants have returned to their workplace. Kirkpatrick (1994) states that, for changes to occur, four conditions are needed: a personal desire for change, knowledge of the what and how, the right environment and the knowledge that change will be rewarded. The *Level 4* evaluation is at the level of results and return on investment. However, a return on investment is extraordinarily difficult to calculate as the contribution of training is almost impossible to isolate from many other factors impacting outcomes. Kaufman et al. (1996) and Kirkpatrick differ slightly on the early levels, but only Kaufman et al. suggest a *Level 5* evaluation, which is a mega

analysis at the level of societal contributions. Kirkpatrick's model has been recognised as having limitations with regard to producing formative and process evaluations while also being noted for its strength in providing clarity to training evaluation concepts (Reio et al., 2017).

In this thesis, the examination of organisations and workplace learning explores what evaluation processes are utilised and their contribution to learning.

2.2.4 Limitations and significance

Organisational learning theory takes into account the socio-organisational context (Nuño-Solinís, 2017) but has been criticised for being too internally focused. Geppert (2017) claims a fundamental weakness of organisational learning is the disregard for the social and societal contexts in which organisational learning takes place, and the role that institutions play in organisational learning processes. Despite these limitations, as this study examines an NFP organisation's workplace learning for efficiency and effectiveness, organisational learning theory has significance. It provides helpful connections between workplace learning and organisational performance (Fuller & Unwin, 2011) while providing a gateway to examine learning and change approaches and processes.

2.3 Social Innovation Theory

The second theoretical and research area of influence in the development of the basis for this thesis is social innovation theory. Innovation theory dates back to the highly influential work of Schumpeter in the early 20th Century, with Ogburn and Tarde other notable earlier theorists who considered social and cultural dimensions of innovation (Godin, 2017). Innovation studies moved towards economic and technological perspectives before a more recent revival from a growing consensus that the significant social challenges faced now require a social innovation response (Howaldt, Domanski, & Kaletka, 2014). Government policy and market solutions have provided inadequate responses to intractable social problems (Murray, Caulier-Grice, & Mulgan, 2010). Within innovation scholarship, social innovation is the name applied to innovation which seeks to create social change (M. L. Shier & Handy, 2015).

Over the last three decades NFP social service organisations in many countries have increased responsibility for addressing social welfare needs, with their role to better meet the emerging needs of service users with improved services and creating social change assuming greater importance (M. L. Shier & Handy, 2015). Innovation is both necessary

for NFP organisations to improve the effectiveness of service delivery and for their renewal and survival (Choi & Choi, 2014). This review first considers definitions of social innovation, before reviewing developments in social innovation theory, social innovation typologies, and considerations for successful social innovations. The limitations of this theory are reviewed before the value of this theory and the research area are identified for this study.

2.3.1 Definitions

Scholars have offered a variety of definitions and recommendations regarding how the concept of social innovation should be captured. Pol and Ville (2009) suggest “an innovation is termed a social innovation if the implied new idea has the potential to improve either the quality or the quantity of life” (p. 881). Tracey and Stott (2016) argue that “social innovation is an overarching concept incorporating a range of organisational and inter-organisational activity designed to address the most deep-rooted problems of society” (p. 55). Cajaiba-Santana (2014) comment that, “since social innovations are oriented toward social practices, we need to reflect on social structures, how they enable and constrain agents while acting upon those practices” (p. 43). Mulgan (2006) explains that “social innovation refers to innovative activities and services that are motivated by the goal of meeting a social need and that are predominantly diffused through organisations whose primary purposes are social” (p. 146). This study adopts the clear and concise definition of social innovation given by Howaldt and Schwarz (2017), which states that it is “a new combination and/or new configuration of social practices” (p. 167).

2.3.2 Developments

In a bibliometric study, van der Have and Rubalcaba (2016) found growing bodies of social innovation literature in the categories of community psychology, creativity research, social and societal challenges and local development, and consider social innovation literature as an area where inter and multidisciplinary approaches are important. van der Have and Rubalcaba (2016) identify two core elements: “1) a change in social relationships, systems, or structures, and 2) such changes serve a shared human need/goal or solve a socially relevant problem” (p. 1932). Despite the emphasis on solving social problems, the literature recognises that social innovation may also have negative outcomes. In a study of transformative social innovation involving three case studies, Avelino et al. (2019) identify that although actors experienced empowerment, there were also disempowerment processes present. For example, where social innovation initiatives interacted with public

institutions, moves towards self-reliance were used as justifications for reduced budgets and outsourcing.

Social innovation is described as a new innovation paradigm, with processes opening to wider collaborations, co-creations and empowerment as well as to new objectives in meeting social needs (including wicked problems and creating social value) and new targets for innovation (including new practices, methods and regulations; (Howaldt & Schroder, 2017). Within a NFP context, M. L. Shier and Handy (2015) claim that organisations may be innovative in many ways, with innovation which aims to create social good conceptualised as social innovation. M. L. Shier and Handy (2016) state that, for direct social service provider non-profits, “a socially innovative program or initiative is one that aims to support improved social outcomes and/or addresses emergent social issues that have a negative impact on general groups of service users” (p. 253).

Scholars have developed typologies of social innovation. Typologies group objects into types with specific attributes, ensuring objects and relationships between objects are identified. They are helpful tools in examining complex phenomena, as they contain theory building at multiple levels (Rabadjieva, Schröder, & Zirngiebl, 2017). Jaskyte and Lee (2006) measured administrative, process and product innovations in organisations while considering differing levels of impact. M. L. Shier and Handy (2015) draw on Jaskyte and Lee’s work and, through thematic analysis of survey and interview data collected from social service non-profits in Canada, developed a typology of social innovation in direct service non-profits which contains major categories of transformative social innovations, product-based social innovations and process-based social innovations. These typologies are helpful and relevant to this study. More helpful is a large recent research study which developed a typology of five key dimensions of social innovation which collectively form a framework to analyse dimensions of social innovations in all settings.

A major research project named SI-DRIVE, was funded by the European Commission, to address the lack of clarity regarding social innovation (Howaldt & Schroder, 2017). This project, which reviewed social innovation theory, empirical research and trends, involved 25 research partners and 13 advisory board members drawn from European and non-European countries over a four-year period commencing 2014 and finishing in 2017. This comprehensive project included a comparative analysis of over 1000 social innovations and looked at over 80 case studies. From this project, Howaldt and Hochgerner (2017) point to the long history of social innovation research and identify building blocks towards a

theory of social innovation as 1) innovation theory highlighting Schumpeter's contribution; 2) social theories including social change, practice and development theories; and 3) social innovation studies in areas such as social entrepreneurship, social economy, development and design thinking.

Howaldt (2017) claims the social innovation typology developed by the SI-DRIVE project categorises key dimensions of the social innovation that "fundamentally affect the potential of social innovations, their scope, and their impact" (p. 120). As presented in Figure 2.1 (below), five components were identified: 1) process dynamics, which consider mechanisms for diffusion; 2) governance, networks and actors, which consider who is involved and how; 3) concepts and an understanding of social innovation as social practice; 4) addressed societal needs and challenges, which include social demand, societal challenges and systemic challenges; and, finally, 5) capacity building, empowerment and conflict, which considers capability building, resources and constraints (Howaldt & Schroder, 2017).

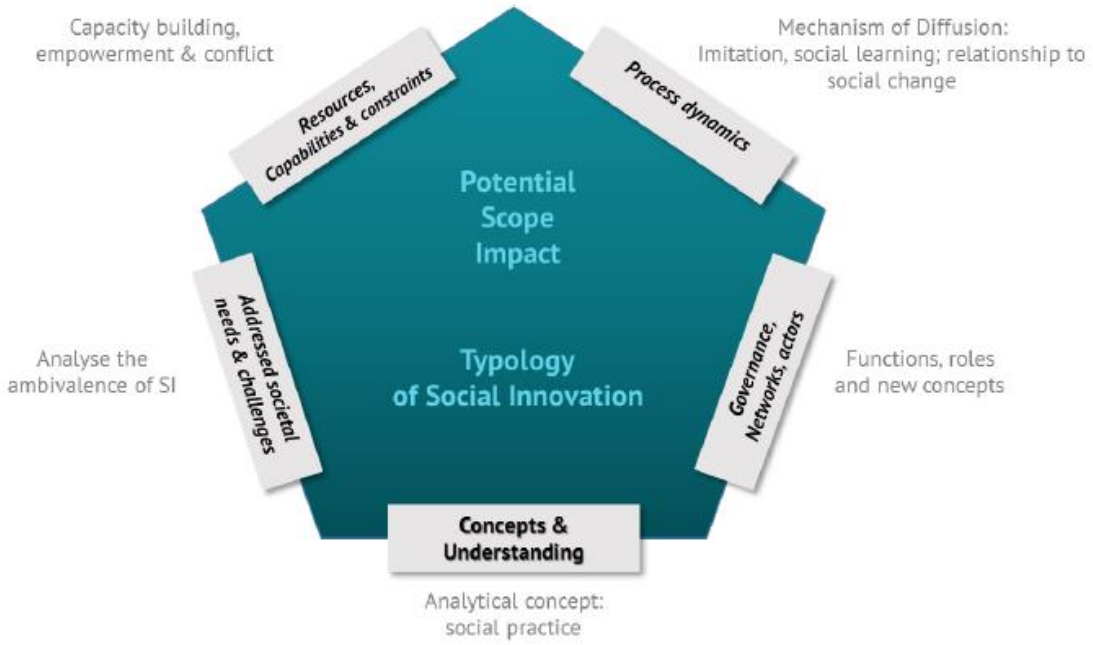

Figure 2.1: Typology of social innovation.

Source: Howaldt and Schroder (2017).

Heales et al. (2017) describe key resources or innovation assets which support capacity building as financial capital, physical capital, political capital, knowledge capital, and cultural capital.

2.3.3 Applying a social innovation typology

The large *Social Innovation: Driving Force of Social Change* project, which was funded by the European Union, integrated theories and research methodologies to advance social innovation, undertook global mapping of over 1000 social innovations and involved over 80 in-depth case studies in seven policy fields (Howaldt, Schroder, Butzin, & Rehfeld, 2017). It was found mutual learning, knowledge building and sharing were highly important input and process mechanisms at the individual and organisational levels for the adoption, diffusion and imitation of social innovations (Howaldt et al., 2017). As part of this project, Heales and Green (2017) examined 15 case studies from health and social care which related to the practice fields of integrated care, new models of care, or electronic or mobile health framed by the SI-Drive social innovation typology. Heales and Green (2017) found that integrated care involved a reworking of relationships within healthcare for improved quality of service. They identified the significant mechanisms of social change as cooperation, competition and learning, while also finding that current systems favour traditional models, which makes it difficult to acquire the funding and support required. In reviewing new models of care, Heales and Green (2017) found that much of the learning centred on specific models rather than on innovation processes. However, process themes did emerge, such as looking to different contexts and inspiring others through example.

The final social innovation reviewed was electronic or mobile health. In reviewing cases of social innovation in the electronic or mobile health field, Heales and Green (2017) revealed that this field has significant potential and adaptability even though policy does not sufficiently address concerns regarding data privacy, and that financing is an issue for non-profit business models. Furthermore, they highlight the role of institutionalisation as an impetus for social change, noting that by “commissioning, endorsing or legitimising socially innovative programmes, institutionalisation can have impact on social values and expectations of the health service… it adapts society by changing people’s understanding of what they are entitled to” (p. 86).

2.3.4 Considerations for success

The potential of social innovation to be successful has been described under specific conditions regarding context, roles and collaboration. Scholars have described the potential of social innovation under specific conditions. Heales et al. (2017) argue that

contextual factors such as public expectations, policy priorities, buy-in, available funding/the availability of non-financial resources, competition, and the type of system and level of bureaucracy form a defining dimension of social innovation. They state that the "extent to which the context enables the innovation and the extent to which the innovation adapts or works within the context" (p. 86) determines the success of a social innovation, with possibilities for adaption to context to take many forms. The main constraints of financial, human and knowledge capital may be ameliorated by strengths in other forms of capital and through collaborations; thus, charismatic leadership is a common feature in social innovation (Heales et al., 2017).

The roles of social innovators such as citizens, professionals or policymakers, are important to consider as they come with varying experiences, expertise and motivation which can have important impacts on the success of social change efforts. For example, Mulgan (2006) states that "social innovation is likely to be most successful when there is close involvement of people with the strongest understanding of needs and where there are sophisticated metrics of success that can reward rapid learning and evolving end goals" (p. 160). Heales et al. (2017) describe professionals, citizens, policymakers and technicians as forming the four social innovator roles. Professionals contribute to social innovation their professional expertise, citizens contribute through their direct or indirect personal experiences, policymakers contribute through a policy lens, and technicians contribute through specific technical expertise. M. L. Shier and Handy (2016) describe the importance of cross-sector partnerships to overcoming barriers and increasing the likelihood of creating social value. M. L. Shier and Handy (2016) interviewed 31 executive directors of direct social service non-profit organisations in Canada and identified four categories their executive directors considered in relationship to cross-partnerships: the structure of the engagement, alignment of partnering organisations, clarity of outcomes, and the interpersonal dynamics among partnership actors.

Jaskyte and Lee (2006) found that working with organisational partners within and from outside the sector holds promise, with organisations bringing many resources to partnerships and innovation more likely to occur. However, they caution that social work administrators and staff require more skills in working collaboratively in partnerships. Scholars of service innovation have recorded the importance of customer involvement and collaboration. Specifically, users co-creating innovation can provide an advantage from the perspectives of reduced cost, increased quality and gains in knowledge for organisations (Sharma, Conduit, & Rao Hill, 2014). These latter aspects offer some important guidance

and the role of ‘actors and networks’ constitutes an element of analysis for the current study.

2.3.5 Limitations and significance

Policymakers have adopted social innovation, which has led to an expanding body of literature that has not yet achieved conceptual clarity (van der Have & Rubalcaba, 2016). Scholars have described social innovation as without consensus concerning relevance or meaning (Pol & Ville, 2009), without measurement (Choi & Choi, 2014) and without clarity of the boundaries of social innovation processes (Cajaiba-Santana, 2014). Some of these concerns are garnering increased attention. For example, through *The theoretical, empirical and policy foundations for building social innovation in Europe* (TEPSIE) project, a consortium of European research institutions and global social innovation experts developed measurement indicators for social innovation and its framework condition, while acknowledging this is an early step towards a broad scale measurement system (TEPSIE, 2014).

Howaldt and Schwarz (2017) claim the literature is polarised between actor-centred and structuralist perspectives, leading to social innovation being attributable to actors or context and resulting in the use of social innovation as a metaphor of change rather than an analytical concept. However, along with van der Have and Rubalcaba (2016), they see many ways forward for scholars, and particularly note opportunities for institutional scholars to examine institutional entrepreneurship with regard to social innovation. Although social innovation theory is still developing, it is significant in its ability to provide helpful ways to investigate NFP organisations’ social change efforts towards understanding the contribution of workplace learning for these endeavours.

2.4 Dynamic Capability Theory

Dynamic capability theory is the third theoretical perspective which was utilised in designing the present study. This theory constitutes part of the strategic management literature and has been developed from a business perspective. The theory is located as an extension of the resource-based view of the firm, which focuses on how tangible and intangible resources of firms are utilised for competitive advantage (Barney, 1991; Wernerfelt, 1984). Recently, however, Teece (2019) argued for a capability-based view of the firm. Dynamic capability theory commenced with a focus on organisational survival in fast-paced environments and supports the understanding of processes for innovation

(Teece, Pisano, & Shuen, 1997). Wilden, Gudergan, Nielsen, and Lings (2013) claim that dynamic capabilities can enhance firm performance by supporting firms to effectively and efficiently understand and respond to changing environments and to influence the market. The literature on the concept of dynamic capabilities has grown rapidly. Although the literature holds inconsistencies, dynamic capabilities have attracted scholars' attention due to their theoretical and practical potential to support firms acquiring a competitive advantage in changing environments (Zahra, Sapienza, & Davidsson, 2006).

Contemporary NFP organisations are operating in more dynamic political and social change environments, with traditional differences between for-profit and NFP organisations diminishing (Hume et al., 2012; Kipley, Lewis, & Helm, 2008). Cordes-Berszinn (2013) claims that dynamic capabilities can help organisations meet their goals, whether they are for- or not-for-profit.

2.4.1 Definitions

While the notion of capabilities describes capacities to function, in times of change, capabilities which are rigid may become detrimental to an organisation (Piening, 2013). Dynamic capabilities have been defined by various scholars. Commencing with key definitions, Teece et al. (1997) state they are "the firm's ability to integrate, build, and reconfigure internal and external competences to address rapidly changing environments" (p. 516). In describing their definition as similar to Teece et al. (1997), Eisenhardt and Martin (2000) state that dynamic capabilities "are the organizational and strategic routines by which firms achieve new resource configurations as market emerge, collide, split, evolve and die" (p. 1107), yet differences are evident. Teece et al. (1997) emphasise complex routines and organisational level methods which contain some contradictory but not insurmountable understandings alongside the definition by Eisenhardt and Martin (2000), who pay attention to simple routines and managerial mechanisms (Peteraf, Stefano, & Verona, 2013).

Further definitions include contributions from Helfat et al. (2007), who state that dynamic capabilities comprise "the capacity of an organisation to purposefully create, extend or modify its resource base" (p. 4), and Agwunobi and Osborne (2016), who state "dynamic capabilities are uncommon competencies, resulting from a difficult to imitate collection and configuration of organisational routines, structures, and assets, which confer sustainable competitive advantage" (p.144). Kislov, Waterman, Harvey, and Boaden (2014) argue that "third-order (dynamic) capabilities denote an organisation's ability to generate, extend and

modify its lower-order capabilities to improve effectiveness and respond to the changing environment" (p. 3). Ma and Todorovic (2011) found that "dynamic capabilities thus are the organisational and strategic routines by which firms achieve new resource configurations as markets emerge, collide, split, evolve, and die" (p. 3). Dynamic capabilities are differentiated from operational capabilities, which enable ongoing operations (Wilden et al., 2013), as well as from core capabilities as packages of resources and capabilities, which have strategic importance at certain points (Wang & Ahmed, 2007). They are shaped by learning and knowledge mechanisms (Zollo & Winter, 2002). In this study, following a recommendation from (Cordes-Berszinn, 2013) to select a purposive definition, the relevant understanding of dynamic capabilities is borrowed from (Teece, 2007), who disaggregated dynamic capabilities for analytical purposes as "the capability 1) to sense and shape opportunities and threats, 2) to seize opportunities, and 3) to maintain competitiveness through enhancing, combining, protecting, and, when necessary, reconfiguring the business enterprise's intangible and tangible assets" (p. 1319). This definition is later used to establish tables and characteristics in the case studies.

2.4.2 Dynamic capabilities

Dynamic capabilities help to explain links between organisational knowledge processes and competitive advantages (Cordes-Berszinn, 2013). Some studies are centred on individual dynamic capabilities. Agwunobi and Osborne (2016) detail a health system's ability to improve quality while simultaneously being able to reduce costs as an example of a dynamic capability. Alarcón-del-Amo, Casablancas-Segura, and Llonch (2016) investigated reactive and proactive stakeholder orientations as dynamic capabilities which influence the performance of public universities. Butler and Soontiens (2015) focus on networking for the offshoring of higher education and classify networking capabilities as operational or dynamic. Chakraborty and Dobrzykowski (2013) developed a conceptual model showing complexity as the driver of supply chain processes in healthcare and found supply chain processes in this context to be a dynamic capability. Dobrzykowski, McFadden, and Vonderembse (2016) demonstrate that a comprehensive lean orientation can serve as a dynamic capability enabling hospitals to improve patient safety concerns. Piening (2013) states that examples of dynamic capabilities in research have included research and development activities, new product development, alliancing or partnering, and strategic decision-making and resource allocation. Wang and Ahmed (2007) found that adaptive capability, absorptive capability and innovative capability are the central factors of dynamic capabilities and are underpinned by processes of integration,

reconfiguration, renewal and recreation. All of these research studies present dynamic capabilities as a set of significant elements in organisational adaptation and progress. In this study, analysis of dynamic capabilities in practice is framed by evidence elements from the dynamic capability framework, reviewed in the following section.

2.4.3 Dynamic capability framework

The dynamic capabilities framework (Teece, 2007, 2018) comprises high order dynamic capabilities, also referred to as dynamic capacities. These dynamic capabilities are *sensing and shaping*, *seizing opportunities*, and *transforming and reconfiguring*. Substantial theoretical effort has been made to enhance the understanding of the underlying organisational and managerial processes of dynamic capabilities (Wilden et al., 2013). Teece (2007) explicates these processes as the microfoundations of dynamic capabilities and claims they can help scholars understand the foundations of enterprise success and provide managers with strategic guidance to improve enterprise performance. The literature on each of these dynamic capabilities (including their microfoundations) is reviewed in the current study.

Teece (2007) claims the sensing and shaping of new opportunities involves “scanning, creation, learning and interpretive activity” (p. 1322), with new opportunities created through recognising and taking advantage of a lack of balance in the economy or, as per Schumpeter, destroying balance. Sensing refers to a process of understanding an organisation’s market and the factors which influence it, including demand, supply and technological possibilities, with sensing more difficult in times of emerging trends (Agwunobi & Osborne, 2016). Leih and Teece (2016) argue that identifying strategic difficulties is extremely important and that leaders should monitor their organisation’s external and internal environments and establish which challenges to prioritise. Sensing and shaping capabilities are described as entrepreneurial (Agwunobi & Osborne, 2016; Teece, 2011), with entrepreneurial characteristics identified as including being proactive, self-motivated and being able to integrate information (Ljungquist, 2014).

The microfoundations underpinning sensing and shaping capacity as explicated by Teece (2007) are processes to 1) direct internal research and development and select new technologies; 2) tap development in external science and technologies; 3) tap supplier and complementor innovation; and 4) identify target markets, changing customer needs and customer innovation.

The seizing capacity for business settings involves decisions and investment in the development of new products, processes or services in response to opportunities sensed (Teece, 2007). Seizing involves moving resources to take hold of opportunities and gain value (Teece, 2011). Leih and Teece (2016) assert that, within the dynamic capabilities framework, seizing refers to deciding on promising opportunities and, in a timely and proficient manner, acting to turn these opportunities into realities. Working out which opportunities are most promising and how to maximise them is a leadership activity, and without efficient and timely implementation of plans opportunities may slip by. Čirjevskis (2015) describes analysing and deciding as seizing techniques, while Agwunobi and Osborne (2016) argue that seizing opportunities involves risk-taking and that leaders may be averse to this, particularly in environments which are highly regulated. Seizing capabilities include business model design for customer satisfaction and value, securing capital and necessary and motivated staff, and forging strong external relationships with "suppliers, complementors, and customers" (Teece, 2011, p. 514). Teece (2007) notes that organisational identification and commitment can greatly enhance performance.

The microfoundations underpinning seizing capacity explicated by Teece (2007) are as follows:

1) Delineating the customer solution and the business model,
2) selecting enterprise boundaries to manage complements and 'control' platforms,
3) selecting decision-making protocols, and
4) building loyalty and commitment (p. 28).

The *transforming and reconfiguring* dynamic capability involves continually aligning and realigning assets with the dynamic environment (Teece (2007). The requirement of organisations to continually renew (Teece, 2011) as well as to transform and reconfigure resources and assets to maintain evolutionary fitness (Leih & Teece, 2016) is a key aspect of dynamic capability theory. Although this renewal is most apparently required when there is radical change in the operating environment, transforming capabilities are also required to ensure operating procedures and assets continue to "achieve the best strategic fit: firm to ecosystem, structure to strategy, assets to each other" (Teece, 2011, p. 514). Čirjevskis (2015) proposes a conceptual model of application for dynamic capabilities in which transforming is merged with a resource-based view of resources, so that transforming relates to the re-orchestration of valuable, rare, imperfectly imitable and non-substitutable

resources. Ljungquist (2014) argues that managers can have limiting and framing biases; just to manage, managers must have a deep understanding of the existing resource base, and to reconfigure and develop resources is a more complex orchestration. The literature offers indicators that transformation and reconfiguration can be accomplished through collaborative relationships enabling knowledge creation and innovation (Butler & Soontiens, 2015), creating a culture of change and directing resources away from established and declining areas to those with potential for growth, new leadership, or repurposing resources to better align with a changing environment (Leih & Teece, 2016).

The microfoundations underpinning this capacity according to (Teece, 2007) are as follows:

1) Decentralisation and near decomposability,
2) cospecialisation,
3) governance, and
4) knowledge management (p. 1319).

Teece (2007) argues for the importance of decentralisation of management approaches, as traditional hierarchical approaches result in management becoming distant and less in touch with the realities of their marketplace. He notes the importance of managing asset combinations to enhance value. According to Teece's model, key components of knowledge management are learning, knowledge transfer, know-how integration, achieving know-how and intellectual property protection.

Together, the microfoundations of the three high-order dynamic capabilities presented create what Teece (2007) describes as the foundations of dynamic capabilities and business performance (see Figure 2.2 below). Theoretical elements are drawn from Teece's work for this study.

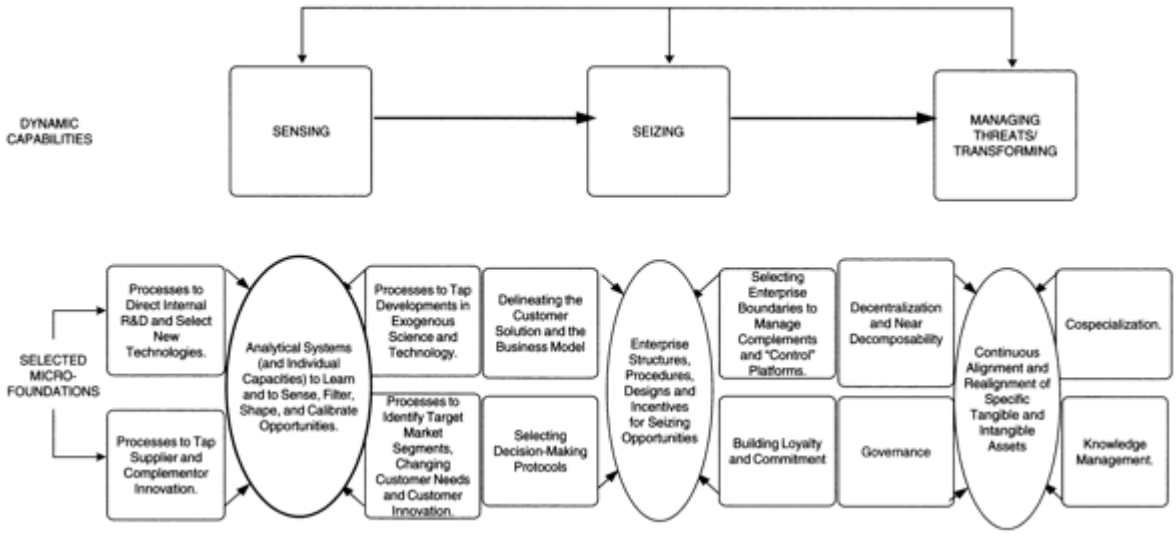

Figure 2.2: Foundations of dynamic capabilities and business performance.

Source: Teece (2007).

2.4.4 Limitations and significance

Dynamic capability theory has attracted substantial criticism in the literature, while scholars seek to clarify and forward the theory on a range of fronts. Arend and Bromiley (2009) identify four limitations to the dynamic capabilities literature: 1) that other established concepts cover the same ground and it does not provide novel theoretical predictions; 2) theoretical foundations are unclear or vary, and a focus on change and performance without the organisational context leaves it without foundation; 3) measures for dynamic capabilities are unclear, although a germane base has been established; and 4) practical implications are unclear, although they have potential to be very important. In response to criticisms including those of Arend and Bromiely, Helfat and Peteraf (2009) argue that dynamic capabilities began as an approach with the theory developing relatively quickly, and the issues identified indicate development in the field.

Concerns remain regarding the boundary conditions of dynamic capability theory, including the pace of change required for dynamic capabilities to be effective, and the type of firms where the theory is the most and least useful (Barreto, 2010). Responding studies include Wilden et al. (2013), who investigated large Australian firms and found that the potential of dynamic capabilities for superior performance is more likely to be realised when they are deployed in highly competitive external environments by organisations with more organic structures, and Drnevich and Kriauciunas (2011), who investigated Chilean firm performance and found that environmental dynamism and diversity positively affect the contribution of dynamic capabilities to firm performance.

Dynamic capability theory holds promise for NFP organisations who seek a strategic management framework which enables them to pursue their social missions while enhancing organisational efficiency and effectiveness (Kong, 2008). In this study, it can provide ways to examine how NFP organisations can 1) sense the environment so as to understand the context for workplace learning; 2) shape and seize opportunities such as entrepreneurial approaches to inter-organisational learning; and 3) utilise workplace learning to renew capability so as to maintain fit with a dynamic environment.

2.5 Institutional Theory

Institutional theory is core to understanding organisational behaviour and has developed over considerable time (Chandler & Hwang, 2015). It has attracted attention from scholars with interests in economics, sociology and political theory.

2.5.1 Definition

This study adopts a definition of institutions offered by Scott (2014), as follows: “Institutions comprise regulative, normative, and cultural-cognitive elements that, together with associated activities and resources, provide stability and meaning to social life” (p. 56).

The main principles of institutional theory described by Flynn (2017) are 1) rationalised myths, where organisational structure may be adopted due to social meanings rather than related to task performance; 2) isomorphism; and 3) organisational legitimacy. Organisations are under the regulative, normative and socio-cultural pressures which shape them (Dimaggio & Powell, 1983), as they seek them to become isomorphic with other organisations in their field as they pursue legitimacy—this is a key contributor to their survival and success (Díez-Martín, Díez-de-Castro, & Vázquez-Sánchez, 2018).

2.5.2 Development of institutional theory

Scott (2008, 2014) traces the maturing of institutional theory from a looser conceptualisation in the mid-19th Century to a tighter conceptualization today. Institutional environments in early arguments were viewed as determinant and uniform, with analysis predominantly at the intra-organisational level and concerted attention on structural elements. Old institutionalism was associated with economic theory and concerned with the regulation of social behaviour through concrete social processes (Najeeb, 2014). New institutional theory was developed through the influence of US sociologists and shifted focus to organisational ecologies scholars (Albuquerque Filho, Bulgacov, & May, 2017;

Najeeb, 2014; Scott, 2008, 2014). Following a seminal article by J. W. Meyer and Rowan (1977), views changed regarding the formal structures of organisations, and explanations based on rationality were extended to include socially shared meanings. Other seminal articles at this time included Zucker (1977), who explored the microfoundations of institutions and the cognitive aspects guiding behaviour, and Dimaggio and Powell (1983), who described isomorphic processes. Also noteworthy were Scott and Meyer (1983), who took a macro-analytical perspective and suggested that organisations are shaped by both technical and institutional forces (Najeeb, 2014). The very influential articles of J. W. Meyer and Rowan (1977) and Dimaggio and Powell (1983) are considered more fully to provide a more comprehensive review of their important scholarly contributions.

In their seminal article, J. W. Meyer and Rowan (1977) identify the mismatch between existing institutional thinking based on control and coordination in a rational manner, and the organisational research which did not support this. They emphasise an alignment between organisations and their socially constructed environments, with formal organisational structures including staffing structures, policies and procedures enforced by public expectations, stakeholder views, professional knowledge and legal definitions and positions. Meyer and Rowan describe tensions between ceremonial rules and the goal of efficiency, and propose as a solution that organisations may deploy the strategies of decoupling from rules through encouraging professionalism, making goals more ambiguous, avoiding integration and emphasising human relations and/or utilising the logic of building confidence and good faith both internally and externally. Scholars cite DiMaggio and Powell (1983) for their strong theoretical contribution describing structural isomorphism (Albuquerque Filho et al., 2017; Najeeb, 2014; Scott, 2008).

Dimaggio and Powell (1983) describe three isomorphic processes as they seek to explain the homogeneity of organisations, which they note is particularly evident within established fields. They offer a typology which describes three ways in which institutional isomorphism occurs: “1) coercive isomorphism that stems from political influence and the problem of legitimacy; 2) mimetic isomorphism resulting from standard responses to uncertainty; and 3) normative isomorphism, associated with professionalisation” (p. 150). They assert this analytical framework helps to provide an understanding of the issues of irrationality, power (and its application), and a lack of innovation in organisational life.

Many scholars have considered Dimaggio and Powell’s concept of isomorphic pressures for analysis of organisational studies in a variety of settings. In an analysis of the evolution

of organisations, Kieser (1989) affirms “the importance of world views or belief systems” (p. 559) in institutional choices and argues that cultural evolution as a concept is broader and more integrating than analysing adaptive change through the lens of economic efficiency. Sharfman, Shaft, and Tihanyi (2004) propose a model for the environmental performance of multinationals; in doing so, they provided an example of businesses striving to surpass regulatory standards to meet social pressures. Najeeb (2014) highlights the implications for human resource management policies and practices in response to coercive isomorphism, normative isomorphism and mimetic isomorphism, as well as the increasing role of institutional theory within human resource management studies. Responses to isomorphic pressures have also led to an interest in agency and actorhood.

Following debates on whether agency or structure is dominant, Cardinale (2018) comments that there is movement to agreement that “both agency and structure matter” (p. 132). For Scott (2008), institutions are found to have agency; organisational actors may strategically respond to various institutional pressures by conforming, compromising, avoiding, defying and/or manipulating market systems. Pope, Bromley, Lim, and Meyer (2018) draw upon neo-institutional theory to argue that organisational actorhood has advanced a movement for organisations in all sectors towards social responsibility. They undertake a meta-study of nearly 200 surveys to review formal structure documentation which expresses organisational actorhood, such as “mission statements, vision statements, and strategic plans” (p. 1), as well as documentation that reflects organisational social responsibilities such as “core values, ethics codes, and responsibility communications” (p. 1). Pope et al. (2018) found a pervasiveness of cultural forces, highlighting the trends of rationalisation and scientisation leading to the expectation that all organisations (including non-profits) detail and communicate their structures and how these contribute to their goals. These issues have particular resonance with the aims and research approach taken in the current study and are important considerations in the application of institutional theory.

2.5.3 Applying institutional theory

Competing views on institutional theory have insights to offer. Scott (2014) argues that although differing approaches could be merged, more can be gained by viewing institutions such as organisations through three pillars: regulative, normative and cultural-cognitive. These pillars draw on the work of both old and new institutionalists from a variety of disciplines. Scott’s (2014) three pillars of institutions (see Table 2.1 below)

provides an analytical framework for a deeper-level analysis of organisations and the pressures upon them. Institutional theory points to social legitimacy from regulative, normative or cognitive factors as an input for organisational change (Palthe, 2014).

Table 2.1: Scott's (2014, p. 60) Three Pillars of Institutions.

	Regulative	Normative	Cultural-Cognitive
Basis of Compliance	Expedience	Social obligation	Taken-for-grantedness Shared understanding
Basis of Order	Regulative rules	Binding expectations	Constitutive schema
Mechanisms	Coercive	Normative	Mimetic
Logic	Instrumentality	Appropriateness	Orthodoxy
Indicators	Rules Laws Sanctions	Certification Accreditation	Common beliefs Shared logics of action Isomorphism
Affect	Fear Guilt/Innocence	Shame/Honour	Confusion/Certainty
Basis of legitimacy	Legally sanctioned	Morally governed	Comprehensible Recognisable Culturally supported

Institutional logic as a concept emerged as part of institutional theory after Friedland and Alford (1991) criticised neo-institutionalism for insufficient attention of the broader forces on organisations (Lounsbury & Boxenbaum, 2013). Institutional logics are defined by Thornton and Ocasio (2008) as "the socially constructed, historical patterns of material practices, assumptions, values, beliefs, and rules by which individuals produce and reproduce their material subsistence, organise time and space, and provide meaning to their social reality" (p. 101). Organisations are becoming more analogous with blurring between what was once separate traditional sectors of business, government and non-profits (Bromley & Meyer, 2017). This is variously described as organisations adapting to other institutional logics or undertaking a bricolage of logics to become a hybrid organisation.

Hybrid organisations are guided by competing institutional logics or principles which challenge managers, as there are competing ways to interpret reality, different norms to guide behaviour and differing ways of measuring success (Johansen, Olsen, Solstad, & Torsteinsen, 2015). Social enterprises have been an area of study for those interested in hybrid organisations, with Fitzgerald and Shepherd (2018) summarising social and commercial institutional logics and (W. Smith, Gonin, & Besharov, 2013) identifying four areas of tension between social missions and business ventures. The identified tensions are 1) performance tensions from divergent financial and social outcomes; 2) organising tensions from internal dynamics such as structure, culture and processes; 3) belonging tensions from differing identity expectations; and 4) learning tensions including growth and scale to attain short-term business gains and also long-term social outcomes. Fitzgerald and Shepherd (2018, p. 476) acknowledge an argument that all organisations, profit or NFP, may demonstrate commercial and social traits on a continuum. Aimers and Walker (2018, p. 2) claim that “hybridity is often introduced to a third sector organisation as a result of that organisation aligning itself, or partnering, with state priorities and managerial systems in order to seek state funding contracts” (p. 2).

Blurred institutional logics led Child, Witesman, and Spencer (2016) to investigate whether sector remains a useful concept for researchers of non-profit organisations and related fields. They found that fair trade social entrepreneurs working within blended spaces considered the concept of sector as applicable and important, leading them to promote a more nuanced adoption of the blurring hypothesis. Knutsen (2012) cautions business tools cannot be directly transferred into non-profit organisations and claims the complexity of under pressure non-profit organisations adapting private and government logics creates the risk of them being compromised.

The focus on institutional logics is reflected in institutional studies that focus on complexity and change. Raynard (2016) identifies that the experience of complexity is influenced by whether the combined logics are incompatible, whether there is consensus of prioritisation of logics in a field and the degree in which logics overlap. While some studies on sustaining organisational hybridity have pointed to stability to engage with hybridity, others have pointed to adaptive processes to move between elements, with a third pathway of structured flexibility suggested by W. Smith and Besharov (2019).

2.5.4 Limitations and significance

Clegg (2010) argues that institutional theory should focus more on issues of power than of norms, as power is a foundational concept to understanding society including organisations. However, the cognitive-cultural pillar of institutional theory provides a useful vehicle to examine shared understandings of NFP organisations, which are embedded with shared understandings of advantage and disadvantage and social justice principles. Suddaby (2010) argues that institutional theory is being overextended beyond its primary purpose “to understand how organisational structures and processes acquire meaning and continuity beyond their technical goals” (p. 14). He argues a focus by institutional scholars on outcomes and institutional influences on organisations has not sufficiently captured organisations’ inside story. The investigator agrees that institutional theory on its own is insufficient to capture this inside story but proposes that it can be a very useful lens when combined with other theories.

Institutional theory is the dominant theory pertaining to organisational studies (Scott 2008) and highly relevant to this study, as understanding workplace learning requires a consideration of its wider context (Fuller & Unwin, 2011). This includes understanding varying institutional logics, pressures and responses.

2.6 Examples of Literature Combining Theoretical Perspectives

Previous researchers have combined some of the presented theories to support analysis of areas of interest from different perspectives, or to leverage the strengths and ameliorate weaknesses of theories. Examples include the combinations of 1) *institutional theory* and *social innovation theory*, 2) *organisational learning theory* and *institutional theory*, and 3) *dynamic capability theory* with *institutional theory.*

Harrisson (2013) in a theoretical paper argues that *institutional theory* offers insufficient explanations of change and that *social innovation* theory fills this gap. In a Swedish participatory case study of the development of a research and innovation agenda, Lindberg and Portinson Hylander (2017) utilise *institutional theory* and *social innovation* to discuss the navigation of institutional dynamics in social innovation processes. They highlight that social innovation indicates institutional change.

Other studies have combined *organisational learning* and *institutional theory* within their theoretical framework. Rządca and Strumińska-Kutra (2016) examined local governance learning through a qualitative case study utilising *organisational learning theory*, such as

single- and double-loop learning and *institutional theory*. They argue that, in order to capture the variance of governance learning processes, types of learning and institutional conditions for learning should be considered at the micro-, mezzo- and macro-level. Phang, Kankanhalli, and Ang (2008) in a qualitative single in-depth case study combine structuration theory with *organisational learning*, organisational culture, organisational politics and *institutional theory* in their aim to provide a fuller understanding of organisational learning in technology changes in public organisations. The study exposed linkages between organisational elements and claimed that the theoretical framework revealed the influence of the institutional environment on organisational learning, which then influenced the institutional environment. Finally, Shortell (2016) argues that multiple theories and perspectives are required to be utilised to understand the development and evolution of accountable care organisations (ACOs) in the US. Shortell provided commentary on the key arguments and contributions of the theories claiming *institutional theory* and transaction cost economics theory accentuated external shaping factors, while *organisational learning theory* and high reliability theory highlighted internal influencing factors on performance. Shortell states that these perspectives are required to recognise the diverse character of these organisations to understand performance variations.

In another combination, Filho, Bulgacov, and May (2017) blended *dynamic capability theory* with *institutional theory* in a case study of journalistic enterprise in Brazil. They found that organisational practices which utilised dynamic capabilities were conditioned by institutional influences. They recommend further studies which take an institutional perspective of dynamic capabilities so as to better connect dynamic capabilities to organisational theory.

Finally, Giniuniene and Jurksiene (2015) in a review of findings of other research sought to explain the relationships between *dynamic capabilities*, *organisational learning* and *innovation*, and suggest that dynamic capabilities as an overarching framework positively influences routines and processes for organisational learnings and innovation, thereby improving the performance of the firm. It is noteworthy that all empirical studies reviewed combining theoretical perspectives have adopted a case study approach.

2.7 Developing a Theoretical Framework

A clear theoretical framework is key to undertaking coherent and credible research (L. Atkins & Wallace, 2012), as it provides the structure with the selected theories reflecting the research questions for the study (D. Adom, Adu-Gyamfi, & Agyekum, 2018). Multiple

theories are used for the current study, as no single theory was deemed adequate to investigate and describe the multi-faceted nature of workplace learning expected to be used by non-profit organisations when seeking to improve their efficiency and effectiveness. Alongside multiple theories to structure the investigation of workplace learning, an examination of the context of each organisation is critical, as workplace learning is context dependent (Fuller & Unwin, 2011).

Four theories have been reviewed, and due to the important perspectives they provide, they form the theoretical framework which guided the structure, methods and analysis of this study (see figures 2.3 and 2.4). Specifically, *organisational learning theory* supports the understanding of organisational approaches and processes for learning and change for improved performance. *Social innovation theory* supports the investigation of the contribution of workplace learning to create more effective responses to social problems. *Dynamic capability theory* is utilised to examine and explain how NFP organisations 1) sense and shape the environment to understand the operational context, 2) seize opportunities including entrepreneurial approaches to knowledge sharing; and 3) renew themselves through continued development to meet changing needs. Finally, *institutional theory* is utilised to examine and analyse regulative, normative and cognitive-cultural pressures on NFP organisations and how they respond.

Organisational learning theory, dynamic capability theory, social innovation theory and institutional theory all have their roots in social theory. Organisational learning theory, institutional theory and dynamic capability theory are organisational theories, while social innovation theory may be applied in organisations or wherever social innovation occurs. These theories are congruent with some overlap and are utilised to emphasise different elements for analysis in this study. Concept maps are presented to provide representations of the individual and shared contributions of the various theories to workplace learning in context (Figure 2.3), as well as to the theoretical framework (Figure 2.4).

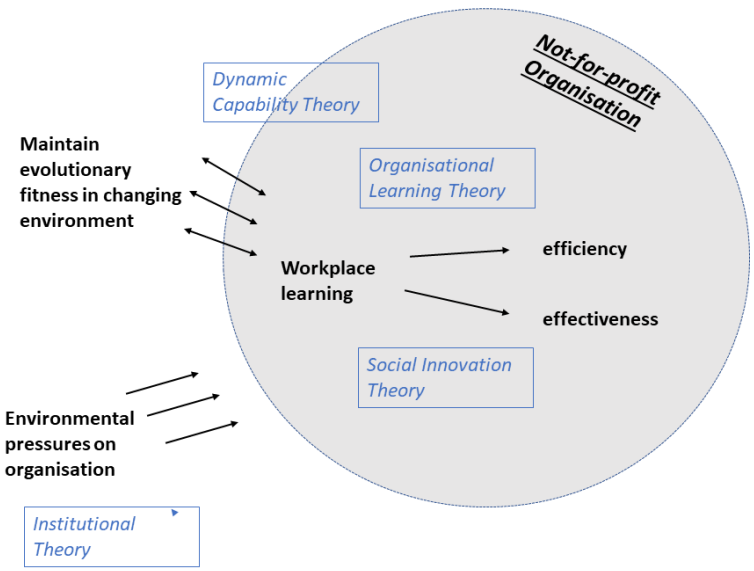

Figure 2.3: Theories linked to workplace learning in context.

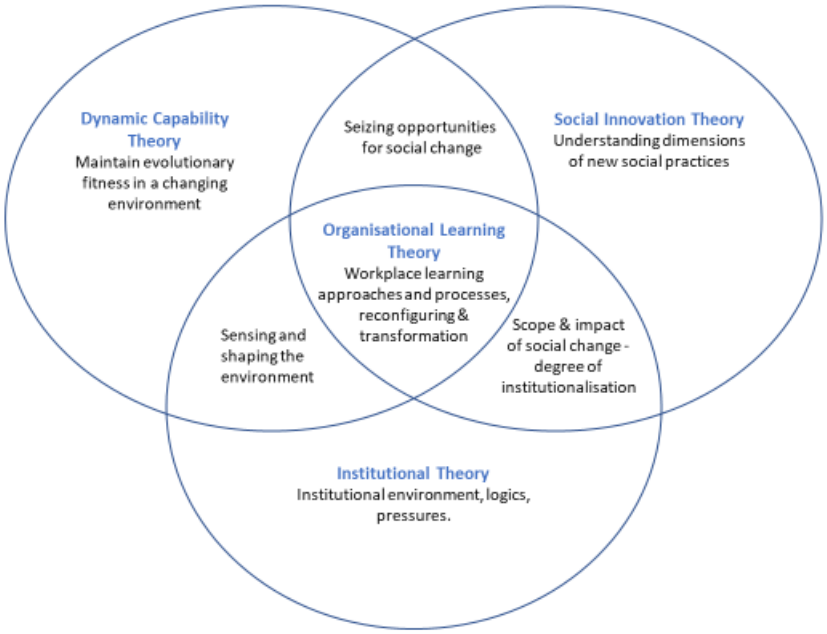

Figure 2.4: Theoretical framework.

The following is a description of what is included within this framework to support the study.

1) *Organisational Learning Theory*

As *organisational learning theory* encompasses a broad range of approaches, several elements were selected as they are specifically appropriate for this study. In particular, the examination and explanation of

- explicit and implicit knowledge strategies (Zack, 1999),
- learning processes (Argyris & Schon, 1996),
- levels of learning participants (Beeby & Booth, 2000), and
- evaluation of learning activity (Kirkpatrick & Kirkpatrick, 2006).

2) *Social Innovation Theory*

As *social innovation theory* is appropriate to examine social innovation, this study draws on the work of Howaldt and Hochgerner (2017), which enables the examination and explanation of five dimensions of social innovation, as follows:

- Concepts and understanding;
- addressed societal needs and demands;
- actors and networks;
- resources, constraints and capabilities; and
- process dynamics.

3) *Dynamic Capability Theory*

Dynamic capability theory is appropriate for this study as it provides a strategic management lens to enhancing performance in a changing environment. This theory contributes elements from the dynamic capabilities framework of dynamic capacities for 1) sensing and shaping, 2) seizing opportunities, and 3) reconfiguration and transformation. Concerning the microfoundations for these dynamic capabilities, Teece (2007) is used to support a closer examination and analysis of these elements. This strategic management theory developed for business settings may not fit perfectly within an NFP setting and it was anticipated this study would assess fit and make recommendations for NFP organisations.

4) *Institutional Theory*

Institutional theory is the final piece of this theoretical jigsaw and is an appropriate addition as the dominant theory pertaining to organisational studies (Scott, 2008). The work of Dimaggio and Powell (1983) and Scott (2014) is utilised to examine and generate insights

from old and new institutionalism with elements from Scott's integrated framework of the three pillars of institutions: regulative, normative and cognitive-cultural.
The analysis of the elements is theoretically driven, and a detailed view of the theoretical model elements is provided in Appendix A. Other literature from this review is drawn upon for further analysis and discussion purposes when helpful.

2.8 Research Questions

This study investigates workplace learning in the context of NFP organisations who are responding to increasing pressures and demands to improve efficiency and effectiveness while maintaining a fitness with a changing environment. In reviewing theoretical frames, it was clear that no single theory or conceptual framework was comprehensive enough to do this. Therefore, the development of a theoretical framework was required to better understand questions arising from the reviewed research. This theoretical framework and the identified gaps in the research literature supported the following research questions:

RQ1 How do NFP organisations approach the acquisition and sharing of their knowledge?
This question is linked to theoretical perspectives as follows:

a. Strategic approaches to the acquisition and sharing of knowledge can be investigated through Dynamic Capability Theory. Dynamic capability literature is under-represented in NFP settings.
b. Knowledge strategies, learning systems & processes in the workplace can be examined through Organisational Learning Theory. Workplace learning studies are under-represented in NFP settings.
c. Knowledge acquisition and sharing in the workplace must be understood within its NFP context. Institutional Theory enables examination of the institutional context.
d. Social change is a focus of NFP organisations. Social Innovation Theory enables the investigation of knowledge acquisition and sharing as processes that may contribute to social change.

RQ2 How do NFP organisations alter their knowledge base in response to changes in their operating environment?

This question is linked to theoretical perspectives as follows:

a. Organisations sense and seize opportunities in their environment and reconfigure their assets including their knowledge base to meet these. Dynamic Capability Theory enables an investigation of these processes.

b. Knowledge exploration and exploitation, organisational learning systems and processes can be examined through Organisational Learning Theory.

c. Institutional Theory enables an investigation of the NFP operating environment and wider institutional context.

RQ3 How do NFP organisations understand the impact (successes/failures) of their workplace learning activities?

This question is linked to Organisational Learning Theory as this theory enables an investigation of feedback and evaluation systems for workplace learning activity.

2.9 Summary

This chapter reviewed the literature on organisational learning theory, social innovation theory, dynamic capability theory, and institutional theory. It examined definitions and developments and included reviews of major contributions to each of the literature areas. Theoretical limitations were recognised before the significance of each theory to the study was conveyed. Although all theories were found helpful on their own, they were combined to provide a structure to frame this study. Concept maps were developed and depicted 1) linkages between workplace learning in its context and the theories, and 2) how the theories related to each other with congruence but overlap. The elements for the theoretical framework were drawn from the identified theories and a detailed view developed. Research questions which emerged from the purpose of the research and the literature review were presented. The following chapter details the research approach, design and methodology utilised for this study to examine the research questions posed.

Chapter 3: Research Design & Methodology

> Like swimmers who dive into the dazzling Australian surf without first checking for rocks, rips, and dumpers, being beguiled by the excitement of data gathering and launching in without any plan for design or management is courting danger—and sometimes fatal. (Bazeley, 2013, p. 13)

3.1 Introduction

Research approaches and method selections can be considered a language for inquiry insofar as they provide insight into the systems of thought guiding the inquiry (Small, 2009). This chapter details the qualitative constructivist approach which was selected to answer the research questions and guide this international, instrumental multi-case study. The ethical principles which were adhered to throughout the study are outlined. The research design (e.g., the research problem, aim, questions and the theoretical framework) is described and presented visually. This is followed by information on case selection and participant groups and the ways in which they were recruited. The data collection methods are detailed and an overview of the data collected is provided. Data analysis processes are described using a sequence guided by Bazeley (2013). The strategies utilised for triangulation to achieve quality and trustworthiness are provided. Following this chapter is an introduction to all case studies, after which findings for each of the four case studies are presented.

3.2 Qualitative Approach Guided by Constructivist Worldview

Consideration of the research questions as advised by (Michael Patton, 2015) revealed they did not lend themselves to numerical responses; rather, the answers required depth and detail made possible by qualitative research. The nature of this study is exploratory and descriptive, and it is taken through a qualitative approach guided by the investigator's constructivist worldview. As explained by Creswell (2018), "*qualitative research* is an approach for exploring and understanding the meaning individuals or groups ascribe to a social or human problem". Qualitative inquiries are underpinned by an ontological assumption that the nature of reality is subjective, multiple and socially constructed (J. W. Creswell, 2013; Mertens, 2010). Three core concepts of qualitative research are self-reflexivity of the researcher, context and thick description (Tracy, 2020).

Constructivism is an approach to qualitative research where researchers carefully listen to people's words and actions in their own settings, focusing on contexts and their

background and position so as to interpret the meanings of others (J. Creswell, 2018). Taking a variety of forms, constructivism has a nuanced and multi-faceted nature (Van Bergen and Parsell 2018, p.42). However, there is general consensus that within a constructivist approach, the epistemological assumption is that the researcher collaborates with the participants, with both the researcher and participants influenced by their experiences and bringing these to the knowledge generated (Lincoln, Lynham, & Guba, 2011).

3.2.1 Instrumental multi-case study

An instrumental multi-case design was selected for this study which builds on other studies selection of case study methodology when utilising the combined theoretical perspectives. This study aimed to gain an in-depth understanding of how NFP organisations which seek to improve the provision of social care services approach and undertake organisational and inter-organisational workplace learning while also responding to changes and pressures in their environment. It also aimed to go beyond this to develop a framework for supporting NFP organisations in the skill and knowledge development which is crucial for organisational effectiveness and social innovation. Multi-case studies are primarily instrumental, as they go beyond the case (Stake, 2006).

According to Yin (2009), a case study approach can be a preferred strategy when "a) 'how' or 'why' questions are being posed, b) the investigator has little control over events, and c) the focus is on a contemporary phenomenon within a real life context" (p. 3). Case study methodology is frequently used in social science research, however perspectives of key methodologists such as Yin and Stake sometimes align, sometimes complement and sometimes differ (Yazan, 2015). Indeed, in accordance with varying methodological approaches to case study, there are correspondingly differing definitions, so much so that Flyvbjerg (2011) recommends avoiding academic definitions.

After initial consideration of Yin as a guiding methodologist, the investigator, similarly to Boblin, Ireland, Kirkpatrick, and Robertson (2013), considered Yin's postpositivist position and Stake's constructive position and the philosophical assumptions they use to guide their work before deciding that Stake's guidance was a better fit for this study. Therefore, for the purposes of this study, the definition of 'multi-case study' is consistent with Stake (2006) explanation: "a special effort to examine something having lots of cases, parts, or members" (p. vi). Stewart (2012) advises that a key difference between a single case study and multi-case studies is that multi-case studies are comparative.

The instrumental cases used for this study comprise the NFP organisations rather than the specific function of workplace learning, as functions “lack the specificity, the organic character, to be maximally useful for case study” (Stake, 2006, p. 2). The quintain or the common characteristic which is a focus of each case is organisational and inter-organisational workplace learning. In a multi-case study, a better understanding of the quintain is sought in a collection of bounded cases (Goddard, 2010).

The setting for this study draws on the researcher’s professional background in learning and development, organisational development and management within NFP service organisations in Melbourne, Australia. This is an international study which includes cases in Australia and the UK. At the commencement of this study, the researcher was influenced by professional experiences with UK experts alongside current limited literature in managing skill and knowledge development in the social services, which mainly originated in the UK (e.g., series of reports and papers from the Social Care Institute for Excellence, London). Alongside the intention to look at case studies in less familiar settings due to positionality, this sparked an interest for the case studies to be set in both Australia and the UK as the basis of the research.

3.2.2 Ethical principles

Ethical principles include minimising harm, respecting autonomy, protecting privacy, offering reciprocity and treating people equitably (Hammersley & Traianou, 2012). Explanatory statements were issued for all methods of data collection. Consent forms were issued to participants in interviews and focus groups, with signed forms for all participants received by the researcher. Data was stored in accordance with Monash University standards and procedures. Ethical principles were upheld at all stages of this study. The Monash University Human Ethics Committee (MUHREC) reviewed and provided certified approval that this study (reference CF16/880 – 20160000444) met the requirements of the *National Statement on Ethical Conduct*.

3.3 Research Design

Qualitative case study has been described as a pliable approach by key authors including Merriam, Meyer and Stake (Hyett, Kenny, & Dickson-Swift, 2014). Most, although not all, constructivist studies do not commence with a theoretical framework (Adom, Yeboah & Ankrah, 2016). However, Merriam who like Stake maintains a constructive approach to qualitative case study (Yazan 2015, Ebneyamini & Sadeghi Moghadam 2018, Harrison,

Birks, Franklin & Mills 2018), details steps to design qualitative case study research which include conducting a literature review and then constructing a theoretical framework (Merriam, 1998).

As suggested by Bazeley (2013), visualising the framework for a study and refining it as the study progresses can assist in clarifying and sharpening the focus of the study. Bazeley (2013) helpfully pointed towards Maxwell (2013) for assistance with this process. Figure 3.1 was developed in accordance with Maxwell to visually portray the research design for this study. It includes the previously presented research problem, aim, theoretical framework and research questions. Data collection and measures for validity are expanded on shortly. Maxwell (2013) advocates that the components of research designs should fit together well, with the elements influencing each other. Furthermore, Maxwell informs that qualitative research methodology is refined recursively with components influencing each other rather than being a linear process, which was what occurred in this research journey.

Figure 3.1: Research design.

3.4 Case Selection

Consistent with Stake, (2006) case organisations were identified which 1) provided strong opportunities to learn about the phenomenon which was organisational and inter-organisational workplace learning, and 2) provided diversity across contexts, and 3)

provided opportunities to learn about complexity and contexts. Six identified organisations from Australia and the UK were then invited to participate that met the following criteria:

1. Organisation had verified NFP status
2. Organisation had a declared interest in improving the delivery of social care services.
3. Organisation was active in organisational and inter-organisational workplace learning.

Organisations that contacted the researcher and were interested to participate were selected resulting in a final case study sample of four NFP organisations.

Case study NFP organisations were identified through searching and screening the websites of Australian and UK NFP organisations to identify organisations which are actively involved in delivering organisational and inter-organisational workplace learning to improve social care services (Appendix B provides a sample of website screening for one case organisation).

The recruited case organisations are known in this study by the following pseudonyms:

- Case Organisation 1 (Australia) – Child and Family Centre (CFC)
- Case Organisation 2 (Australia) – Living with Brain Injury (LBI)
- Case Organisation 3 (England) – Children Services Improvements (CSI)
- Case Organisation 4 (Scotland) – Brighter Futures for Children (BFC).

3.4.1 Participant groups

Participant groups representing different parts of the organisational structure and design were identified for their ability to contribute different perspectives of significance to this study due to their varying workplace roles. Managers possess a broad view of the functionality of the organisation and play an important role in leading organisational processes. Staff had experiences of workplace learning processes and activity. An existing Service User Advisory Council at Case Organisation 2 had an important role in supporting the organisation and potential to provide an additional perspective. Information on each of these groups and recruitment measures are now detailed.

3.4.1.2 Group 1: Managers

Group 1 participants hold executive manager positions within the case study organisations which enabled them to discuss how and why their organisation undertakes professional support, research and development activity. The study had a target of three to 10 managers in total, for initial individual audio-recorded interviews and follow-up interviews if agreed. CEOs who were approached and indicated their organisation being open to explore participation in this study were emailed an explanatory statement and consent form for circulation through their organisations. These documents requested any managers who held work roles which enabled them to discuss how and why their organisation undertakes knowledge, research and development activity interested in voluntarily participating to return the completed forms with their contact details to the researcher.

3.4.1.3 Group 2: Staff

Group 2 participants were any staff members of the agreed NFP organisations involved in the delivery or supporting the delivery of workplace learning activities aged 18 years and over. The study aimed to recruit staff at each organisation for audio-recorded focus group interviews of three to eight staff members, with participants to record some responses on sticky notes. CEOs who agreed to their organisations being part of this study were emailed an explanatory statement and consent form for circulation through their organisations requesting staff who undertake workplace learning activity interested in voluntarily participating in focus group to return the completed forms with their contact details to the investigator. Advice on a convenient time and location was sought from CEOs, which eventuated with all interviews being conducted in the workplace during business hours.

3.4.1.4 Group 3: Service Users Advisory Group

An existing Service User Advisory Group at Case Study Organisation 2 was invited to be part of this study through the CEO after further ethics approval was obtained. The intention was for observation and audio recording of a regular meeting and a brief audio-recorded focus group interview of 10 minutes duration at the conclusion of the meeting. This group was only to go ahead if all members of this group agreed. Unfortunately, it eventuated this group were in recess for the period of data collection, so no data was collected from this group.

3.5 Data Collection

Multiple and varied sources of data were collected to obtain a depth and breadth of understanding (Stake, 2006) of contextual factors affecting workplace learning in NFP organisations and to increase data credibility (M. Patton, 2002). This section details data collection methods and outlines the data collected.

3.5.1 Data collection methods

Data was collected through website screening, semi-structured interviews, focus group interviews and public documents.

3.5.1.1 Website screening

Website screening was conducted to obtain public information about the organisation. Websites were reviewed to gather information on potential case organisations with tables created of how organisations presented themselves publicly, their vision and mission, values and areas of workplace learning activity. Appendix B provides an example of this review.

3.5.1.2 Semi-structured interviews

Individual audio-recorded semi-structured interviews were conducted initially with Group 1 Manager participants, and in follow up with Group 1 Manager and Group 2 Staff participants. These interviews were conducted with some pre-determined questions (see Appendix C: interview questions for managers, staff focus groups and follow-up interviews, including probes) with flexibility retained to ask further questions, explore the current topic and to open new topics. Semi-structured interviews allow emergent understandings to flourish, provide less constraints when interviewees are sharing complex points of view and retain the flexibility required for the researcher to explore what the interviewee finds meaningful and important (Tracy, 2020). The purpose of qualitative interviews is to capture from the respondents their views, their judgments, the terms they use and the complexities of their experiences, with the assumption made that these perspectives are meaningful and able to be shared (Patton, 2002).

Audio-recordings were played back on the day of data collection and observational notes reviewed and memos created. All recordings were professionally transcribed, with the researcher reviewing each transcript against recordings, editing for accuracy where required and creating further research memos.

3.5.1.3 Focus groups

Focus groups are a well-established method of data collection (Parker & Tritter, 2006). They are guided discussions, with questions developed to ensure that conversations cover required topics. Focus groups were conducted with Participant Group 2 staff only. Members of other participant groups were not invited to participate in these group interviews. Focus groups may provide additional insights through the group process as participants interact and develop ideas together (M. Alston & Bowles, 2012; Mertens, 2010). Within the focus groups, exercises where participants recorded their responses on sticky notes were conducted. The collection of sticky notes created were photographed. In accordance with the process used for semi-structured interviews, the researcher played back audio recordings on the day of data collection and reviewed and reflected on observational notes, and created memos. All audio recordings were professionally transcribed, with the researcher reviewing each transcript against recordings and editing for accuracy where required. Transcripts were reflected upon and revisited to create further research memos.

3.5.1.4 Public documents

Pertinent public documents, such as strategic plans, project evaluations, change project reports, learning resources developed and annual reports, were accessed primarily through organisational websites.

3.5.2 Overview of data collected

Data collection was conducted in two rounds. The researcher personally visited each case study organisation in 2016 and again in 2018. These two rounds of data collection enabled the researcher to explore local contexts, check in with participants for understanding and verification of the data and to identify changes over time. See Table 3.1 (below) for detailed information of the data collected and then Table 3.2, which provides a summary of participant and interview numbers. Pseudonyms are given for all participants. Those beginning with the letter ‘E’ refer to managers who are part of the executive, and those beginning with the letter ‘S’ refer to staff members.

Table 3.1: Data collected.

Case Organisation 1: CFC	04.08.16 Individual interview with Manager CFCM1; audio recorded.

	01.09.16 Focus group with five staff participants: CFCS1, CFCS2, CFCS3, CFCS4 and CFCS5; audio recorded; sticky notes exercise completed. 28.06.18 Individual manager interview with CFCM1; audio recorded. 31.07.18 Individual staff interviews with: CFCS2, CFCS4, CFCS5; audio recorded. 06.08.18 Individual staff interview with CFCS3; audio recorded. Various public documents accessed, including the organisational website, project reports, evaluation reports, practice manuals and research publications.
Case Organisation 2: LBI	28.07.16 Individual interview with Manager LBIM1; audio recorded. 28.07.16 Individual interview with Manager LBIM2; audio recorded. 15.02.18 Individual interview with Manager LBIM1; audio recorded. 15.02.18 Individual interview with Manager LBIM3; audio recorded. 19.12.18 Focus group with six staff participants: LBIS1, LBIS2, LBIS3, LBIS4, LBIS5 and LBIS6; audio recorded; sticky notes exercise completed. Various public documents accessed, including the organisational website, annual reports, and strategic plans.
Case Organisation 3: CSI	03.05.16 Individual interview with Manager CSIM1, audio recorded. 04.05.16 Focus group interview with four staff: CSIS1, CSIS2, CSIS3 and CSIS4; audio recorded. 18.04.18 Individual interview with Manager CSIM1; audio recorded. 18.04.18 Focus group interview with four staff: CSIS2, CSIS5, CSIS6 and CSIS7; audio recorded. Various public documents accessed, including the organisational website, research reviews, strategic briefings, change project reports, practice and evaluation tools.

Case Organisation 4: BFC	10.05.16 Focus group interview with four staff: BFCS1, BFCS2, BFCS3, and BFCS4; audio recorded; sticky notes exercise completed. 03.05.18 Individual interview with Manager BFCM1; audio recorded. 03.05.18 Individual interviews with three staff: BFCS1, BFCS3 and BFCS5. Various public documents accessed, including the organisational website, strategic plan, reports, and a knowledge bank.

Table 3.2: Numbers of participants and interviews.

Organisation	Manager Participants	Manager Interviews	Staff Participants	Staff Focus Group Interviews	Staff Individual Interviews
CFC (AU)	1	2	5	1	3
LBI (AU)	3	4	6	1	0
CSI (UK)	1	2	7	2	0
BFC (UK)	1	1	5	1	3
Total	**6**	**9**	**23**	**5**	**6**

In summary, this study collected data from two Australian and two UK case organisations. The study had six manager participants who took part in a total of nine interviews, with more manager interviews taking place in Australia. The study had 23 staff participants who took part in five focus groups and six individual interviews. A total of 29 participants from four case organisations took part in this study. Various public documents were included in the study from each case organisation.

3.6 Data Analysis

Data analysis was guided by Bazeley (2013) and Bazeley and Jackson (2013), being mindful that “interpretation is coloured by our previous and current personal, social and cultural experience” (Bazeley, 2013, p. 4). The steps taken for the data analysis are listed below.

I. Read/Listen/Reflect
   a) The same day each interview was conducted the researcher listened to the audio recording of the interview, read all completed sticky notes and created reflective memos.
   b) Audio recordings were professionally transcribed. When transcripts were received the researcher listened to the audio recording again while reading the transcripts and checked them for accuracy, making any corrections required. Memos were created summarising the interviews.
   c) Appendix D provides a sample of the read and listen step and Appendix E provides an example of the memos.

II. Explore/Play. Initial explorations of the data were undertaken using NVivo for data coding. Appendix F provides a sample of the play step and NVivo coding.

III. Code/Connect
   a) Line-by-line coding was undertaken using emergent codes. See Appendix G for a sample of refining themes.
   b) NVivo coding was then conducted for a deductive analysis of the data for each case sequentially for each of *organisational learning theory, social innovation theory*, *dynamic capabilities theory*, and *institutional theory* against their elements as previously detailed in Appendix A.
   c) Where appropriate, critical examination and cross-referencing to pertinent public documents accessed through organisational websites was undertaken to determine whether they agreed or disagreed with the data.

IV. Describe/Compare/Relate
   a) Tables were developed which mapped themes to the elements of the theoretical framework. These tables are presented in the following chapters, where they summarise evidence from at least two sources and from data collected in both 2016 and 2018 before the analysis is presented.
   b) Reviews of findings were undertaken for each case study for a deeper understanding of case studies’ workplace learning approaches and activities.

c) A comparison of findings was undertaken in two stages to respond to the research questions and research goals. First a comparison of CFC (Australia) and BFC (Scotland) was undertaken as they were both innovation centres that provided good opportunities to learn about complexity and contexts. Second, LBI (Australia) as a service provider and CSI (England) as a membership network were compared as they provided diverse organisational and environmental contexts.

3.7 Triangulation: Achieving Quality and Trustworthiness

As indicated in the research design model displayed previously as Figure 3.1, there were multiple strategies undertaken to triangulate the data and build validity and reliability in research results. These were as follows.

- Ongoing researcher reflexivity was an important element congruent with the constructivist nature of the study (L. Atkins & Wallace, 2012) and the researcher's substantial professional experience in human services settings.
- NFP organisations in different operating environments were recruited (Stake, 2006).
- Interviews were conducted at different locations in Australia and the UK.
- Interviews were conducted at both the manager and staff levels.
- Both one-on-one and focus group interviews were conducted in 2016.
- A second round of data collection was conducted at all case study organisations in 2018, which included checking in with participants to confirm or clarify points of understanding. Mapped approaches to workplace learning were developed by the researcher from 2016 interview and sticky note data for this purpose (see Appendix H).
- Where appropriate, critical examination and cross referencing to pertinent public documents accessed through organisational websites was undertaken to determine whether they agreed or disagreed with the data.
- A sample of data was coded independently by all three of the researcher's supervisors to check understanding of the data collected. Where differences occurred, discussion took place to resolve these differences. The supervisors' academic backgrounds and professional perspectives are informed by different disciplines, (e.g. business, education and psychology), potentially strengthening the rigour of the strategy.

3.8 Summary

This chapter presented the research design for this international, instrumental multi-case study. A qualitative, constructivist approach guided by Stake (2005) was undertaken, which was consistent with the researcher's own world views. Ethical principles were upheld throughout this study. A research design model was developed and displayed, which detailed the research problem, the goals of the study, resulting research questions, and the theoretical framework developed. Details on how cases were selected, the participant groups within each case and recruitment procedures were presented. The data collection methods outlined were website screening, semi-structured interviews, focus group interviews and public document review. An overview of the data collected showed that the study comprised 29 participants from across the four case organisations. Data analysis processes guided by Bazeley (2013) were also detailed through the following steps: 1) read, listen and reflect; 2) explore and play; 3) code and connect; and 4) describe, compare and relate. The multiple strategies which were undertaken for triangulation towards achievement of the quality and trustworthiness of the analysis were outlined. The next chapter introduces all case studies, and then presents the findings for Organisation 1, CFC.

Chapter 4: Introduction to all Case Organisations/Findings for Case Organisation 1 (Child & Family Centre)

4.1 Introduction to all Case Organisations

Chapters 4–7 present the findings for each of the case study organisations. Each of the chapters follow the structure outlined below.

- First, a table summarises demographic information (e.g., size, purpose and age) for the organisation.
- This is followed by a description of the case organisation's general processes to provide context.
- Findings are then presented based on the three major themes which emerged from the data: *social change*, *building organisational capacity*, and *building sector capacity for improved services*.
- Next, an analysis of the themes using the pertinent elements of the theoretical framework is presented.
- Notably, there is some repetition in the analysis, as pertinent theoretical elements of the theoretical framework contain some overlap.

The findings for Case Organisation 1 are presented in the following section.

4.2 Findings for Case Organisation 1

"You cannot have a learning organisation without shared vision. Without a pull toward some goal which people truly want to achieve, the forces in support of the status quo can be overwhelming" (Senge, 2006).

4.2.1 Organisational information

A table presenting the demographic information for the organisation is given below, followed by further information to introduce Case Organisation 1, Child & Family Centre (CFC).

Table 4.1: Demographic information.

Organisation Type	Not-for-profit family services institute
City/Country	Melbourne, Australia
About	A Victorian institute which combines clinical family services, working across health, education and other human services.
Size	Small organisation of approximately 40 staff, auspiced by large public university. Staffing levels stable between 2016 and 2018.
Purpose	To improve the lives of individuals and families through relationship-focused services.
Age	Developed as a family services institute from a child psychiatric clinic established in the mid-1970s.
Interviews	2016 Manager interview (CFCM1). 2016 Focus group interview with four staff (CFCS1, CFCS2, CFCS3, CFCS4, CFCS5). 2018 Manager interview (CFCM1). 2018 Follow-up staff interviews (CFCS2, CFCS4, CFCS5).

4.2.2 General processes

Case Organisation 1 (CFC) delivers a clinical family therapy program, academic teaching for post-graduate qualifications in family therapy and research degrees. It also provides support for helping professionals through a professional development (PD) calendar, tailored workshops and consultancy. When funding and organisational partners are secured, CFC delivers workforce development initiatives to support the development and implementation of practice innovation. CFC also undertakes resource development, research and evaluation activity.

4.3 Introduction to Theoretical Framework

The theoretical framework was developed using four theories: *dynamic capabilities theory*, *institutional theory*, *organisational learning theory* and *social innovation theory*. Each of these theories comprise a number of elements with some overlap. The three major themes of *social change*, *building organisational capacity*, and *building sector capacity for improved services* emerged from the data and are discussed in the following sections via mapped elements from the theoretical framework.

4.4 Theme 1: Social Change

Data from CFC provided evidence of collaboratively undertaking social change over time. This theme is discussed through the three sub-themes of *understanding social change and*

finding opportunities to respond, undertaking the change and *understanding the impact of the change.*

4.4.1 Understanding social change and finding opportunities to respond

This sub-theme is mapped here to pertinent elements of the theoretical framework. Table 4.2 (below) summarises the evidence for this sub-theme and is followed by the analysis.

Table 4.2: Summary of understanding social change and finding opportunities to respond.

Sub-theme: Understanding social change and finding opportunities to respond	
Theory/Element	Evidence from Case Organisation 1
Social Innovation Typology • Concepts and understanding	• Organisational description as a niche innovation centre, with practice innovation as a strategic direction • Values provide a filtering framework for decision to act • Demonstrated innovation in processes (e.g., new cross-sector/region collaborations, new attention to implementation processes to embed change)
Social Innovation Typology • Addressed societal needs and demands	• Organisation committed to improving lives through relationship focused services • Demonstrated ability to create and support new models of care (e.g., family-sensitive practice, single session therapy, trauma models) • Responsive to new societal demands (e.g., Aged Care Royal Commission leading policymakers to request new professional responses to elder abuse)
Social Innovation Typology • Actors and networks	• Demonstrated collaborative work of the leadership and staff of the organisation with a wide range of professionals, policymakers, carers and clients • Making efforts to be more systematic about engaging with stakeholders • Making more effort to be represented at stakeholder policy development groups
Dynamic Capabilities Theory • Sensing and shaping opportunities	• Well-connected to other services and policymakers with strong processes to learn of and from innovations across social services • Led by a curious and open executive manager, who is consistently sensing the environment • Stakeholder feedback regularly and systematically collected and analysed through strategic planning processes • Processes to direct research and development limited by funding

	• Reliant on auspicing body for sensing and selection of new technology

4.4.1.1 Social innovation typology: Concepts and understanding

CFC demonstrates an understanding of social innovation and undertakes practice innovation through the development of new practice models, and process innovation to support their implementation. In an interview with one participant, CFCM1 (2016) stated that “we're sort of like an innovation centre in a niche area” and that practice innovation is one of six strategic directions for the organisation. The organisation is experienced in implementing new practice models such as family-sensitive practice and single session work (CFCM1, 2016) and has developed an implementation strategy drawing on implementation science, which is also articulated on their website (D1[1]). Workforce development initiatives to support change have demonstrated the coordination of new cross-sector/region collaborations as well as new responses to local culture and context (CFCS4, 2018). CFC was found to be undertaking process innovation through these efforts.

CFC views social change from a systems viewpoint and utilises values as a lens to assess whether social change is beneficial. CFCM1 (2016, 2018) and staff (CFCS2, 2018; CFCS5, 2018) articulated values as a filtering framework for the way the organisation views and approaches its work. As CFCM1 (2016) explained:

> Essentially, if we didn't think it was good for the world, good for the organisation, good for different people and users, we wouldn't do it just because it's money. We'd have a systemic view so if the government said, “We want you to do this and get workers to do that”, we'd say, “Well, no”, if we thought it wasn't a good idea.

CFC has a complex understanding of social change, with practice innovation as a strategic direction, but also a demonstrated interest in process innovation to embed change. CFC understands the benefits of social change can be ambiguous and utilises a lens of values to assess whether the change is beneficial before proceeding.

4.4.1.2 Social innovation typology: Addressed societal needs and demands

[1] Due to the onus on the researcher to de-identify the data, organisational documents referred to are not included in listed references.

CFC's vision is healthy relationships in families and its mission is to improve the lives of individuals and families through relationship-focused services (D2). It does this directly through the provision of a clinical program, and indirectly through developing and supporting those in helping roles. Staff reported that thinking about how they can best use their specialist knowledge for the greatest impact has led CFC to be "very outward-looking" (CFCS5, 2016). CFC has developed new practice models such as family-sensitive practice and single-session work (CFCM1, 2016) to improve service delivery, which it delivers in clinical practice, academic teaching, and professional and workforce development projects (CFCM1, 2016; CFCS4, 2018). CFCS1 (2016) commented that "the wellbeing of workers working with families … now it seems to be that's been as much of a focus for us as the families themselves".

CFC is open to addressing new needs that are in keeping with their vision. CFCM1 (2018) described elder abuse as an area of social need requiring new professional responses, as highlighted through the Aged Care Royal Commission:

> And we've been able to develop training and that's been really complicated, both in terms of it's been a high-profile program within the department, a lot of pressure on them post the Royal Commission, a lot of emphasis on it. And ministerial input, so really high profile. And we've been able to do that really well, at getting the training that's been reviewed and evaluated in very positive terms.

CFC uses its vision as a guide to the social innovation projects it engages with and seeks to build the capacity of other helping professions to support it in its mission.

4.4.1.3 Social innovation typology: Actors and networks

CFC is reliant on support from policymakers and funders to gain support and resources to undertake social change projects with partner organisations (D3). It makes increasing efforts to be part of industry reference groups and policy groups (CFCS4, 2016). The organisation collaboratively undertakes state-wide workforce development projects which are sometimes cross-sectorial (CFCS4, 2018), and takes a systemic approach, offering support aimed at different levels (CFCS4, 2016). The value of connecting groups of people involved in innovation was described by CFCM1 (2016):

> So, it was going against the standard practice, so they'd be crushed, sort of, if they were doing it on their own but, because they were doing it as part of a larger group, they felt part of a bigger - their small part contributed to a larger change.

Additionally, CFC was found to be reliant on policymakers and funders to gain support and resources for innovation. CFC undertakes social innovation initiatives with other organisations and helping professionals, and values connecting people to support change efforts.

4.4.1.4 Dynamic capability theory: Sensing and shaping capacity

CFC uses analytical systems to sense its environment, and advocates with policymakers and funders to shape training requests into change initiatives. Information gathered from relationships with actors and networks is supplemented by scanning the environment during strategic planning processes as well as through the integration of learning from all parts of organisational work, as reported by CFCM1 (2016). CFCM1 (2016) described the organisation as being at the forefront of family therapy and stated that “there's not many examples [of changes where] we've had to really wrestle with it, as it's sort of come out of the blue. We would see all those - a whole range of gradual changes.” CFCS4 (2016) stated that “it’s actually part of our strategic plan to be better aware of – better at reading the emerging trends that are coming up”, with efforts being made to be represented on policy and development groups at a higher decision-making level and to better use information collected. Development of capability in the use of technology for video conferencing and online training delivery has led to sensing new opportunities. However, CFC does not have an analytical system to sense developments in technology and is reliant on its auspicing body for the selection, provision and support of technology systems.

CFC provided examples of when it has been able to shape funding opportunities from policymakers from training requests to change projects, such as CFCM1 (2016) describing pushing back to funders who had a small amount of money for state-wide training. CFCM1 (2016) recalled being “a bit bolshy” and saying “Look, you can do that. It’ll look good on paper, but it won’t change practice, so you’re wasting your money”. Instead, he advocated for “more elaborate work in a focussed area” in which external organisations would put in expressions of interest to participate. Instead of participating via training nominations, an expression of interest process was developed where other organisations were required to detail why they wanted to be involved and what resources they would also contribute. The selection process acted as a gauge of organisational readiness for change (CFCM1, 2016). CFCS4 (2018) agreed that funders are influenced as much as possible to ensure that training requests are contracted to include follow-up activity. CFCS5 (2018) provided

another example, describing a strength of a four-year state-wide supervision training project she coordinated as “people designing projects around how they are going to improve supervision practice at their service”.

CFC strives to stay at the forefront of its specialised area and has systems in place to strategically gather information. It seeks to influence policymakers and funders to shape training requests into collaborative change projects.

4.4.2 Making the change

This second sub-theme is mapped here to pertinent elements of the theoretical framework, noting that elements from institutional theory are included to analyse the organisational context, as pressures from the environment constrain the ability of organisations to act (Chandler & Hwang, 2015). Table 4.3 (below) summarises the evidence for this sub-theme and is followed by the analysis.

Table 4.3: Summary of making the change.

Sub-theme: Making the change	
Theory/Element	Evidence Summary
Institutional Theory • Coercive isomorphism/ Regulative pillar	• Tension with governance due to a lack of fit-with-business models between organisation and auspicing body • Four-year period of uncertainty while undertaking a separation process from auspicing organisation • With renewed auspicing arrangement, organisation is making more effort to meet requirements of auspicing body • Organisation successfully works across fields of health, social care and education, meeting legal and regulatory requirements • The introduction of the National Disability Insurance Scheme (NDIS) forced the closure of an acquired brain injury service which had been running for 32 years, as it was too expensive for the new system. This resulted in staff redeployment • Organisation’s Aboriginal Program team walked away from a funding opportunity due to difficulty with government rules which meant that training could not be delivered in a

	culturally appropriate manner for Aboriginal Community Controlled Organisations • Staff were increasingly aware and accountable for meeting regulations (e.g., tighter paperwork for academic courses)
Institutional Theory • Normative isomorphism	• Highly-skilled and experienced professional workforce • Workforce shares an underlying philosophy and worldview • Known as a prestigious place to work and attracting highly-skilled and experienced staff • Staff push back against normative expectations of funding bodies (e.g., advocating that request for state-wide workshops become more narrowly focused change projects) • Increased expectations from funding bodies to deliver cross-sector projects • Increased expectations from academic students to be treated as consumers • Values-led
Institutional Theory • Mimetic isomorphism/Cultural-cognitive pillar	• Multiple shared understandings and frames built over time (e.g., 'integrated, value-based learning organisation'; systemic practitioner view of world offers generous view of people in context) • Ability to move forward with projects with other organisations due to shared logics of action • Creating culture of transparency to cope with uncertainty • Widely influential as an educator of therapists and in workforce development.
Dynamic Capabilities Theory • Seizing opportunities	• Achieves half of its income through seizing entrepreneurial opportunities (e.g., providing professional development calendar and workforce projects • Growing ability to respond flexibly using technology, opening further opportunities • Values held as a clear framework for decision-making regarding selection of opportunities • Seizing capability underpinned by:

	• Clear decision-making protocols • Strong emotionally intelligent leadership • Clear communication systems • Supportive culture with stable staffing
Social Innovation Typology • Resources/constraints/capabilities	• Skilled, experienced and committed staff • Supportive workplace culture • Well-developed business model and demonstrated ability to secure core and non-core funding • Managers with clinical training background not prepared for finance and governance issues • Organisations apply to be part of change projects and detail what they are prepared to contribute • Agendas of influencing practice change and building cooperation don't necessarily come together
Social Innovation Typology • Process dynamics	• Demonstrated ability to initiate change where funding is provided • Guided by systemic approaches and implementation science • Highly developed processes for learning, adaptation and diffusion (e.g., reflection, knowledge sharing, cross co-operation, co-work, building and valuing local knowledge, action learning strategies) • Demonstrated ability to develop manuals, guidelines and resources which support institutionalisation

4.4.2.1 Institutional theory: Coercive isomorphism regulative pillar

CFC must contend with regulative pressures to operate in health, education and other social service sectors. There has been a high degree of change in regulative rules. In 2016, CFCS4 stated that "the main sectors we have worked with have just been completely overhauled in the last few years", resulting in fewer and more consolidated organisations. CFCS2 (2016) explained that changes to university rules regarding low student numbers in academic programs result in fines for CFC if it does not retain minimum student numbers. CFCM1 (2016) described the national restructuring of disability services with the introduction of the National Disability Insurance Scheme (NDIS) as the

funding body. CFC has been running an acquired brain injury (ABI) program for 32 years, but as this program is too expensive for the NDIS funding model, the organisation has withdrawn from running this program. CFCM1 (2016) described this as causing grief and loss and, in 2018, he reported that affected staff were transitioned on to other projects.

In 2016, the organisation walked away from some government funding while working with Aboriginal Community Controlled Organisations (ACCOs). New government rules applied to training sessions, with only staff funded from the same program budget able to participate, which was unacceptable to the ACCOs and CFC (CFCS1, 2016). CFCS1 described this as a “living example of how … difficult it is for implementation across services”. In 2018, CFCS2 reported that they were more aware of and accountable to the regulations and requirements of their funders and that “we’ve had to become a lot tighter around paperwork”.

Responding to regulative pressures sapped time and energy from CFC, with the strongest example of this being the mismatch between CFC and its auspicing body’s business models.

This mismatch created tensions and uncertainty for CFC over a four-year period and resulted in efforts to separate from the auspicing body, which was reported by all participants. These efforts were complex and time consuming, as negotiations needed to navigate the bureaucratic systems of the auspicing university and CFC’s other major funder, which is a Victorian Government department (CFCM1, 2016, 2018).

CFC must navigate complex regulative systems and pressures, which saps their energy and resources to undertake social change. Governance issues were found to be the strongest pressure experienced.

4.4.2.2 Institutional theory: Normative isomorphism/Normative pillar

CFC experiences and responds to normative pressures. The organisation was described by CFCM1 (2016, 2018) as values-led, with CFCS2 and CFCS3 (2018) both commenting on the central role of values to the organisation. CFCM1 (2018) further commented that the organisation has

> quite a lot of values but we’ve really tried to live true to them, and all of our exit interviews show that we’ve really managed to do that. And if we were to summarise them down … directness and transparency and fairness, really.

The organisation's workforce is highly professionalised and dominated by clinical staff who hold family therapist qualifications. CFCS2 (2016) commented that, "because we're systemic therapists, we hold that as an underlying philosophy and world view". In 2016, CFCM1 described one strength of the organisation is its reputation, explaining that the organisation is "the premier family therapy agency to work for; people who want to work in a family therapy or systemic approach may give up … $15,000 in pay". In 2018, CFCS4 described a tendency to employ staff that "are very skilled and experienced already [in this field]", which indicates that they come with a high level of socialisation to the field.

Its activities as an academic trainer and in practice development make it also influential in shaping normative professional expectations for developing and established family therapists. The case-study organisation has been prepared to push back against the normative expectations of funders. CFCM1 (2016) described how they trained carers, consumers, clinical and non-clinical workers together despite that, "at that time, we were told that it couldn't ever happen". CFCM1 (2016) described introducing new practice, which was working against normative pressures: "So they'd be crushed, sort of, if they were doing it on their own", but in being able to connect people implementing the new practice, they felt part of something much bigger and that "their small part contributed to a larger change". Interestingly, CFCS2 (2018) felt there was a decrease in pushing back against the norms of the auspicing body. She stated, "We're not so maverick as we were. We're seeing the advantages of real cooperation and embracing the context that we're in rather than just sailing on regardless of it".

CFC experiences normative pressures of values and professional views and standards. It also exerts normative pressures as it develops new clinicians and influences helping professionals in the workforce.

4.4.2.3 Institutional theory: Mimetic isomorphism cultural-cognitive pillar

CFC reveals its culture through its complex and cohesive frameworks which include systemic world views and the organisation being integrated, values-based and a learning organisation combined with practice frameworks. CFCM1 (2016) stated that staff hold a generous view of people in their "relational, social, socio-political, historical, history of trauma or whatever" context, which is congruent with the organisation's no-blame learning culture. The organisation is "influenced by evidence-based practice, practice-based evidence and value-based practice, the three of those, the holy trinity" (CFCM1, 2016). Other shared frames are a trauma lens and family-sensitive lens, with key components of

supervision involving staff reflections on issues of diversity, power and culture (CFCS5, 2018). These understandings which are taken for granted impact how the organisation can undertake social change.

In 2018, CFCM1 (2018) described common beliefs including the importance of staff feedback and transparency. CFCM1 stated “there’s a clear process we’ve got to help people say the unsayable, encourage people to raise things” and, furthermore, that there is an expression of interest process for new work opportunities, “rather than just tapping people on the shoulder … so, it’s all transparent”. CFCM1 (2018), who described himself as a “broad thinker”, has been at CFC for 25 years and reflected on his leadership role: “I’m sure it would be different under another director”.

CFC has a range of common beliefs woven into a complex schema. The role of the executive manager over a 25-year period has contributed to the current array of shared organisational understandings.

4.4.2.4 Dynamic capability theory: Seizing capacity

CFC has demonstrated that it seizes opportunities through obtaining contracts with funders for various projects, however constraints have also been evident. The organisation has always had to attract funds and undertakes complex work; therefore, their work is expensive (CFCM1, 2016). In 2018, CFCM1 described that the frame of “social business is really good; you’ve got to be a good business to be able to get your social outcomes”. Furthermore, he stated this was a way of helping staff to understand the importance of finance to the organisation, with core funding only approximately half of the organisation’s income.

It was found that seizing capability at CFC is supported by the decision-making frameworks of being values-led, and a decision-making matrix. Organisational decisions are made in accordance with values (CFCM1, CFCS2, & CFCS3, 2018). CFCM1 (2016) stated that the organisation has developed, documented and communicated decision-making and feedback protocols and described an organisational decision-making matrix. CFC also provided evidence of developed business models and that it is building skills with existing technology which supports seizing activity. CFCM1 (2016) claimed that economic viability is achieved through an integrated model, where different aspects of a complex project could mean the organisation is paid by different funders for different elements of the same projects. He stated that all funders were aware of this approach

which was “not double-dipping” but enabled a richer product for all. CFCS4 and CFCS5 (2016) explained that business models often include partnerships in which the case-study organisation sometimes takes the lead and sometimes acts as a supporting partner; sometimes a formal memorandum of understanding is developed and sometimes a handshake agreement suffices.

However, pressures on the organisation constrain its ability to seize opportunities. CFC is reliant on gaining external support and resources in order to fulfil its strategic direction of practice innovation, and when it does gain this support, its focus is largely guided by the funding bodies. CFC has also been constrained by the mismatch between the business models of CFC and its auspicing body. Additionally, business models have caused difficulties with the auspicing university, with CFCS5 (2016) explaining that “our model of work here, our whole kind of business model and structure doesn’t sit with the university way of doing things. You know, we’re a different beast”.

CFCM1 (2018) stated these tensions led him to initiating a challenging separation process from the auspicing body which played out over a four-year period ending 2018, with a renewed relationship currently being negotiated with the auspicing body. In 2018, the results of this period of uncertainty were apparent. CFCM1 (2018) stated CFC had experienced difficulty in obtaining funding for desired research activity, as the auspicing university did not wish to invest in CFC whilst undergoing a separation process. In another example, CFCM1 (2018) stated the following:

> We’ve thought, how can we record and measure our clinical work, for example? And we’d be going, “we need a client management system”. We probably should wait until we know where we are because they’ll have one and it needs to be compatible with them.

CFCM1 also stated in 2018 that the organisation had managed to maintain creativity and outputs, however CFCS5 (2018) expressed that she believed

> we didn’t just hold steady. We kind of slid back a bit in that time, because we just kept on putting things to one side because it was kind of like, there is no point doing that now because we are going to be changing.

Other challenges in seizing opportunities were found in the data. Specifically, workforce development projects were found to encounter some issues regarding customer solution,

as the case-study organisation ambitiously brought together a range of staff from service systems to “make service systems better for families across the spectrum” and faced barriers of these differing organisations not necessarily valuing collaboration with each other (CFCS4, 2016). Additionally, it was explained the organisation is primarily reliant on its auspicing body for selection of technological systems and system development (CFCM1, 2018).

CFC has developed processes and demonstrated capability in seizing opportunities for practice innovation. Despite this, it is constrained by needing to attract support from policymakers, funders and partner organisations. It has also been constrained by tensions with its auspicing body.

4.4.2.5 Social innovation typology: Resources, constraints and capabilities

CFC is reliant on gaining financial support for social change and then uses its staff and well-developed processes in conjunction with partner organisations to overcome constraints. CFCM1 (2016) stated that “we get core funding but we do entrepreneurial work, which we're open about with our funders”. Business models have been developed that separate out aspects of complex work to attract more than one funder. Another strategy the organisation has used is to work with funding bodies to work more intensely with fewer other organisations on change projects.

Capability in business models and strategies have been developed over time and CFCM1 (2018) stated that although clinical models are helpful for managers, they don’t “help you with the financial management and governance as such, so you do have to learn that. And I could probably benefit from more economic and financial training”. CFC recruits staff who are highly skilled and experienced (CFCS4, 2018) and who tend to stay at the organisation. CFCM1 (2016) offered the following: “I've been here nearly 25 years…. People who have been here five years describe themselves as newbies”.

Complexity was evident as a constraint when combining resources with multiple organisations who provide services to families in a region. CFCS4 (2016) described two agendas of “service involved becoming more responsive to families in the region but also working more cooperatively together”, and finding that these agendas “don’t necessarily come nicely together”.

CFC is reliant on attracting external funding resources and partners to enact social change. It has skilled and experienced staff, and well-developed processes. Capability

with finances and governance must be developed on the job by managers as they are not part of clinical training. The complexity of partnerships can be a constraint to practice innovations.

4.2.4.6 Social innovation typology: Process dynamics

CFC requires support from policymakers and other organisations to enact change efforts. Data collected relates primarily to when CFC has led social change projects, providing details of developed collaborative implementation processes. Policymakers provide direction and financial support for CFC's social change initiatives (D4). Once funding has been attained, CFCS2 (2016) described that

> engaging initially with service managers to get agreement for their staff to get on board with the project. And then delivering training and implementation support to clinicians and to middle managers over a period of a couple of years to try and bring about sustainable change.

The organisation has developed a beacon strategy as an implementation approach drawing on implementation science (D5). Accordingly, CFCM1 (2016) described the implementation strategy processes of staff recognising, supporting and connecting with local knowledge; providing some training and support to put new knowledge into practice; collaboratively creating local action learning strategies to assist local implementation of practice innovation, and then providing further support to refine it. Organisational project reports (D6, D7) agree with this description and also report that this work is in sustained partnerships over one to two years with a multi-modal, multi-level approach. CFCS4 (2018) stated that training needs to be supplemented or otherwise it is lost. Supplementation processes and products in evidence include the development of resources such as videos, kits and practice manuals (CFCM1, 2016).

CFC work with partner organisations towards embedding practice innovation. To do this, they have developed an implementation strategy and seek to work collaboratively over sustained periods with multiple approaches over multiple levels.

4.4.3 Understanding impact

This sub-theme is mapped to pertinent elements of the theoretical framework. Table 4.4 below summarises the evidence for this sub-theme and is followed by the analysis.

Table 4.4: Summary of understanding impact.

Sub-theme: Understanding Impact	
Theory/Element	Evidence summary relevant to theme & theory
Social Innovation Typology • Process dynamics	• Gaining support from policymakers (e.g., funding for further funding and transfer of practice) • Establishment of networks of like-minded organisations (e.g., building formal and informal communities of practice) • Development of manuals/kits/templates
Organisational Learning Theory • Evaluation	• Action learning style reviews tracking progress of workforce development projects • Formal and informal feedback • Formal evaluations when funded • Formalisation of knowledge in resources developed (e.g., training materials, manuals and templates)
Social Innovation Typology • Resources/constraints/capabilities	• More ways to integrate learning • Increasing capacity to use technology • Development of leadership skills • Inability to obtain new technology systems (e.g., client management systems) • Inability to recruit permanent staff or strengthen research • Energy and resources expended on the emotional world of the organisation to deal with prolonged uncertainty
Institutional Theory • Mimetic isomorphism/Cultural-cognitive pillar	• Increased shared understandings of practice models such as single-session therapy, family-sensitive practice and trauma models • Resources developed to support new practices • Shared conference presentations with partners reflecting shared practices and views • Improving cultural aspects of materials used and how they are viewed
Dynamic Capability Theory • Reconfiguring	• Debriefing and continual learning strategy • Interviews with key stakeholders for strategic planning process

	• Skill development and redeployment as required

4.4.3.1 Social innovation typology: Process dynamics

CFC has demonstrated processes by which it has disseminated and embedded some practice innovations including by winning the support of policymakers, building sector networks and developing resources. CFCM1 (2016) described undertaking projects that had gained support and funding from policymakers from Victorian Government departments, such as single-session work and family-sensitive practice. The organisation has formed networks of like-minded people, with CFCS5 (2018) stating that “there are other people who are doing or have done lots of work, say, in single session … we are very interested in what they do and how they do it, and how we mutually inform each other”, and, furthermore, there are both informal networks and a formal community of practice the organisation has established for single-session work.

The organisation has also conducted extensive reports on projects for funders utilising research methodologies, which are available on their website (D8), along with a range of resources including manuals, kits, templates and DVDs they have developed.

CFC has undertaken processes to gain support from policymakers and form networks to support practice innovation. Internal reports and the development of resources indicate some formalisation of knowledge.

4.4.3.2 Organisational learning theory: Evaluation

The organisation takes part in evaluations of its social change work in various ways, mostly guided by the requirements of funding bodies. Training workshops which are a part of social change projects have evaluations of reaction through ‘happy sheets’ (Kirkpatrick and Kirkpatrick (2006) Level 1 evaluation), which are reviewed by trainers at the end of each day. CFCM1 reported in 2016 that the organisation is strongly influenced by implementation science, where progress is measured throughout entire projects. Action learning style reviews are undertaken during implementing, perfecting and supporting practice innovation (CFCM1, 2016). Action learning reviews indicate higher levels of evaluation where behavioural changes and results are assessed, for example Kirkpatrick (2006) Level 3 and 4 evaluation. Formal and informal feedback is regularly gathered, with CFCS2 (2016) stating that “feedback is incredibly important to us”.

Formal evaluations listed on the website (D9) have been created by staff members; they are extensive and utilise research methodology. In 2016, the staff (CFCS1, CFCS4 and CFCS5) expressed frustration that they did not have more capacity for research and evaluation, and a desire for a more formalised evaluation program which could better utilise the data collected. This is congruent with CFC's strategic direction of evidence (CFCM1, 2016). Other evidence of impact can be viewed through the formalisation of knowledge in the development of training materials and resources such as kits, manuals, DVDs and templates available on the organisational website (D10). CFC has staff skilled in feedback, evaluation and research. Funding constrains the evaluation and research work undertaken.

4.4.3.3 Social innovation typology: Resources, constraints and capabilities

Resources, constraints and capabilities changed over the course of this research at CFC. CFCM1 (2018) stated that over the period of 2016 to 2018 the organisation had developed "a whole range of ways" to integrate learning, making this richer for the organisation. Staff development occurred through participation in projects, such as building stronger technology skills (CFCS4, 2018) and leadership skills (CFCS5, 2018).

In a workforce development project, CFCM1 (2016) stated that the organisation had addressed constraints in rolling out a practice innovation (i.e., single-session work) by addressing misunderstandings and making adaptations for local contexts, producing resources and undertaking research on single-session therapy implementation to boost knowledge and capability. Further constraints were reported regarding a prolonged period of uncertainty in terms of the relationship between CFC and their auspicing body, resulting in a lack of ability to invest in client management software, permanently employ staff or strengthen their research capacity (CFCM1, 2018). CFCM1 (2018) also stated this period was most exhausting for him, and then his executive and staff due to tension, worry and concern. He described learning from the advice of a colleague who had been through a difficult time: "Don't underestimate the emotional impact and deal with the emotion". The following is CFCM1's (2018) description of how difficult emotions were addressed:

> We had a newsletter, *Transition Times* that I wrote. We had regular things at staff meetings, regular things at exec meetings, we talked about - we checked in with all the managers to see how people were travelling. We had a staff group yarning up on transition. So, it was all very elaborate, and I think that allowed us to survive. I

> think thrive culturally, knowing that there were anxieties and - I treated people, like, mature people and they really were mature emotionally.

CFC's resources, capabilities and constraints were found to change over time. Constraints impacted on resources available to support social innovation.

4.4.3.4 Institutional theory: Mimetic isomorphism

CFC promotes family and systemic approaches through its work in supporting practice innovation in a range of social services, encouraging other organisations and helping professionals to copy its approach. CFCM1 (2016) described practice innovation and influence as two strategic directions. Academic training, a PD calendar and workforce development projects are all examples of the organisation's work to disseminate new practice models and develop shared understandings. CFCM1 (2016) stated that good resources were developed as part of implementing single session work which helped other organisations with embedding the practice. Following joint work, CFCM1 (2016) described positive experiences sharing conference presentations with "local partners to go and talk about what they achieved in the work". CFCS5 (2018) reported that, within training, more efforts had been made to ensure cultural relevance and the incorporation of diverse views. CFC shares knowledge and implementation expertise with partner organisations to influence practice and improve capacity for social change.

4.4.3.5 Dynamic capability theory: Reconfiguring and transforming capacity

Understanding the impact of social innovation activity may lead the organisation to reconfigure and transform itself to develop capacity to further enhance the innovation or to respond to other changes and opportunities in the operating environment. CFCM1 (2018) stated that "we debrief after every project, 'What can we learn?' No blame context to be able to learn and that becomes our continual improvement strategy". The organisation conducts interviews with stakeholders to ensure that it continues to understand their expectations as part of their strategic planning process (CFCM1, 2016).

Skill development is encouraged, and if new skills are required by the organisation, the organisation will fund this on top of the regular professional budget provided for each staff member (CFCM1, 2018). CFCS2 (2018) commented there was a lot of learning about sustaining the organisation through prolonged uncertainty, and that it has "given us a bit of confidence in each other and in our leadership". The introduction of the NDIS resulted in the program closing and staff being supported and redeployed (CFCM1 2016, 2018). CFC

strives to continually learn from projects using action learning strategies followed by project debriefing. Skill development is encouraged, and CFC supports staff to develop new skills if required.

4.5 Theme 2: Building Organisational Capacity

The theoretical elements selected to analyse this theme from organisational learning theory are knowledge strategy, learning processes, learning levels and evaluation to enable analysis of differing aspects of organisational learning. Additionally, reconfiguring from dynamic capabilities theory has been selected to analyse organisational transformation and renewal. Table 4.5 (below) summarises the evidence for this theme and is followed by the analysis.

Table 4.5: Summary of building organisational capacity.

Theme: Building organisational capacity	
Theory/Element	Evidence
Organisational Learning Theory • Knowledge strategy	• Learning organisation framework • Strategic goals of ‘evidence’ and ‘influence’ guide knowledge activity • Advanced capability in linking and integrating knowledge from practice delivery, model development, academic teaching and workforce development projects • Knowledge exploration and knowledge exploitation approaches linked and enrich each other.
Organisational Learning Theory • Learning processes	• Learning processes include individual learning through supervision, workshops, online learning, mentoring, co-presenting, access to auspicing body’s professional development, co-working, project debriefs, team meetings, cooperative inquiry and action learning, stretching activities • Regular discussions of professional development needs and annual plan developed in supervision • Annual professional development allowance supplemented by organisation if specific skill development is required by organisation
Organisational Learning Theory • Learning levels	• Strong learning culture throughout organisation

	• Individual training budget allowance with some flexibility of use; organisation pays for skill development it requires • Some learning such as cultural sensitivity is delivered across the organisation • Individual learning shared at team and organisational levels • Inter-organisational learning a key feature
Organisational Learning Theory • Evaluation	• Strategic planning to identify skills required • Staff develop PD plans in professional supervision • Additional support on top of PD allowance if organisation requires additional skills • Use of 'happy sheets' after workshops • Ongoing reviews tracking progress of implementation projects • Formal evaluations (e.g., academic reviews, project reports) • Feedback and reflective activities
Dynamic Capability Theory • Reconfiguring	• Losing one program and gaining another required supporting and redeploying staff, and building new capacity • Prolonged period of uncertainty while processes undergone to separate followed by redeveloping relationship after staff changes in auspicing body. • New opportunities to develop research programs • Building capability with technology

4.5.1 Organisational learning theory: Knowledge strategy

CFC demonstrates that it seeks to both explore and exploit knowledge. CFCM1 (2016) described the organisation's work as integrated and guided by learning organisation principles so that each service element provides ideas, evidence and practices which enrich other areas of their work. Learning organisations require system thinking, shared vision, mental models, team learning and personal mastery (Senge, 2006). Staff stated that being an integrated learning organisation means "we've got a lot of programs … there's a lot of cross-cooperation and co-work that happens between all of those different components" (CFCS2, 2018) and "all our different programs are informed by and inform each other and that we work collaboratively" (CFCS4, 2018). Furthermore, as CFCS5 (2018) pointed out, "we endeavour to walk the walk so that it is evidence-based practice, and practice-based evidence.

Knowledge work is guided by the strategic directions of influence and evidence as articulated in the strategic plan (CFCM1, 2016). The organisation's activities demonstrate that it exploits knowledge through funded and entrepreneurial work to provide academic training, professional support and workforce initiatives. It seeks to do more research with this area identified as currently weak (CFCM1, 2016) because, as stated by CFCS5 (2016), "we used to have a much more active research team and they got headhunted or retired", with CFCS1 adding "and didn't get replaced". CFCS4 (2016) described being stymied by research capacity and research funding availability. A motivation for research was expressed by CFCM1 (2016) as "we're just wanting to try and create more evidence of the work that we do". Similarly, as CFCS5 (2018) stated, "we want to be able to gather more evidence from the work that we do". An examination of the organisational publications listed on its website showed that of the 86 published peer-reviewed papers, only two were published in the past five years. The designation of the organisation as a university research centre in 2018 by their auspicing body was very well received by CFCM1 (2018), CFCS2 and CFCS3 (2018), all of whom agreed this would bring new opportunities, although what these would be was not yet clear.

Learning organisation principles and knowledge integration processes contribute to CFC undertaking both knowledge exploration and knowledge integration strategies. CFC has been frustrated in attempts to develop research capacity, with its primary motivation for research aimed at developing evidence for its work.

4.5.2 Organisational learning theory: Learning processes

Data provided evidence of a range of learning processes including CFC's systems to examine the underlying values and routines which underpin actions. Learning processes and systems to support learning included learning from feedback which was described by CFCS2 and CFCS3 (2016) and is an example of single-loop learning. Other learning processes available for staff included professional supervision, training supervision for trainers (CFCS4, 2018), workshops and courses (CFCS5, 2018), co-presenting and co-working (CFCS2, 2018), project debriefs and new opportunities to stretch professionally such as new roles (CFCS5, 2018). Professional supervision supports knowledge transfer (P. Atkins & Frederico, 2017) and CFC's supervision practices include discussion on key components of diversity, power and culture which encourages double-loop learning. CFCS2 (2018) provided an example of co-presenting and co-working:

> Clinical workers then often are teachers in our program as well. And, so, they're learning a whole lot of things by reflecting on their practice with students, which then gets taken back into the clinal program and informs specialist areas like working with trauma or acquired brain injury and those sorts of things…. We would get the Indigenous program to come and provide some of the input for our regular non-Indigenous academic program. As well as, we have people from the Indigenous program seeing families alongside a non-Indigenous worker.

Co-presenting and co-working activity contribute to shared inquiry and learning to learn, or deutero-learning.

CFCS4 (2018) reported that staff were able to take up a professional development process through their auspicing body but have not done much of this yet. Staff development is identified and planned for during supervision (CFCS4, 2018; CFCM1, 2018). There is an annual professional development budget of $600 per staff member for loosely relevant training and additional funding for skill development required by the organisation (CFCM1, 2018). The data collected provides evidence of a range of learning processes conducted at CFC which indicate a strong learning culture.

4.5.3 Organisational learning theory: Learning level

Learning and change are a cyclical process which, with effective management, may flow through the individual, team, interdepartmental group, organisational and inter-organisational levels (Beeby & Booth, 2000). CFCM1 (2016) stated its "a 10-year process, but we've got the culture of the non-blaming, learning culture…. We now do debriefings after every project". Individual learning is shared at debriefings and staff meetings. Staff bring in learning from external sources to be integrated with internal knowledge. CFCM1 (2016) described the integration frame of the organisation as "where academic thought, conceptualisation, literature and practice is all integrated". CFCS2 (2018) reported "there's a lot of cross-cooperation, a lot of projects that people take on as teams—if you like, a multi-program team". There are some instances of whole-of-workforce training, such as cultural sensitivity (CFCM1, 2018).

The learning organisation principles CFC adheres to are reported to make it easier to experiment and to share improvements required:

> At its simplest level there is no such thing as a stuff-up, you know, that whatever we do we learn from it and we're kind of quite informed by that sort of action research idea, that it's all new information that we can kind of grow and learn and develop from. (CFCS4, 2018)

Learning is encouraged at all levels in CFC, who view themselves as an integrated learning-organisation (D11). CFCM1 (2018) was observed as passionate about the learning organisation framework and had led systems to be put in place (e.g., co-working and debriefing) to encourage the integration of learning and knowledge.

4.5.4 Organisational learning theory: Evaluation

Evaluation of organisational learning and measuring capacity building was reported in various ways. Strategic planning identifies how the organisation is perceived by stakeholders, sets strategic directions, and staff teams design plans and assign staff to undertake the plans over three-year periods with progress checks (CFCM1, 2016). Staff discuss development needs within professional supervision and have an annual PD allowance, on top of which the organisation provides further support if it has a need for specific skill development (CFCS2, 2018). The organisation takes part in evaluations of learning often guided by contractual requirements and funding availability. Interview data includes 'happy sheets' being completed at the end of workshops (CFCS2, 2016), reflective learning journals being completed to chart progress (CFCS3, 2016), and monitoring of progress with action-learning style reviews (CFCS4, 2018). Other examples include academic course reviews (CFCS2, 2018), reports on workforce development projects (CFCS4, 2018), and gaining feedback from stakeholders (CFCM1, 2018).

CFC has demonstrated capability to undertake various evaluation processes, however evaluation activity is often constrained by contractual requirements and funding availability.

4.5.5 Dynamic capability theory: Reconfiguring and transforming capacity

Reconfiguring and transforming capacity enable an organisation to respond to changing operating environments; CFC strives to stay at the leading edge and has to respond to many changes (CFCM1, 2016). Reconfiguring occurred as a result of the loss of an ABI program after 22 years. The introduction of the new NDIS had a lower cost funding structure the organisation could then meet. CFCS4 (2018) stated that when the funding ended for the NDIS program, staff impacted joined her in the workforce development team.

CFCM1 (2016) explained that the most pressing issue for CFC was that a lack of congruence of business models between the organisation and its auspicing body, which threatened CFC's way of working. Led by CFCM1, CFC commenced separation processes from the university in 2014, entering a four-year period of uncertainty. CFCM1 (2018) stated that "managing the emotional world of an organisation is really important" and that CFC adopted a culture of "radical transparency" and many emotional supports to persist through the prolonged uncertainty. He assessed that "we've powered through that, where I'm sure that could destroy lots of organisations". CFCM1 (2018) acknowledged stress, anxieties and difficulties and stated he was pleased that organisational values were adhered to during the period of uncertainty, as evidenced by exit surveys, and he claimed that the place of values had been strengthened across the organisation. CFCS2 (2018) commented that there was a lot of learning about sustaining the organisation through prolonged uncertainty, and it's "given us a bit of confidence in each other and in our leadership".

In 2018, CFCM1 described current negotiations to renew the relationship with the organisation's auspicing body made possible by key staff changes at the auspicing body. Invigorating the relationship is viewed as providing potential for new opportunities as the auspicing body aims to designate CFC as a research centre for the university (CFCS2, 2018; CFCS3, 2018; CFCM1, 2018), with increased funding support (CFCM1, 2018). CFCM1 (2018) also stated that discussions are occurring regarding the potential for CFC to become a national provider of academic training in its niche area. CFC has attained the ability to offer permanent work once more, which is more attractive to the very experienced and skilled staff it seeks to recruit, and a current project was said to be underway to examine how the auspicing university can better support CFC and vice versa (CFCM1, 2018). CFCS2 commented in 2018 that the organisation is now moving to be more conscious of its auspicing body, stating "we're not so maverick".

Transforming capacity was also evident in the upskilling of staff's technology skills between 2016 and 2018 to enable more online meetings, consultations and workshop delivery (CFCS4, 2018; CFCS2, 2018). CFCS4 (2018) described the catalysts for this were that participants experienced difficulties in travelling and a desire to make their services more accessible. This new capacity has enabled the sensing of new opportunities, with CFCS2 reporting in 2018 that she had just concluded an online meeting discussing the agreed delivering of a two-day workshop in Singapore and reporting that the group in Singapore were also keen to continue a relationship via online meetings. CFC

was also invited to apply for a newly developing area of work responding to elder abuse, which CFCM1 (2018) claimed was based on their reputation for integrating practice and theory. CFC is restructuring to undertake this work.

CFC seeks to remain responsive to its operating environment. The largest threat it faced was with a mismatch between its business models and those of its auspicing body, and CFCM1 (2018) led a range of processes to support CFC to deal with the emotional impact of prolonged uncertainty. A renewed relationship with the auspicing body holds new opportunities for CFC. Capacity to reconfigure and renew was evidenced by the example of losing a disability program and gaining project work regarding elder abuse, as well as the development of technology skills.

4.6 Theme 3: Building Sector Capacity for Improved Services

Theoretical elements selected to analyse inter-organisational capacity building for improved services are from organisational learning theory. These comprise knowledge strategy, learning processes, learning levels and evaluation so as to enable analysis of differing aspects of inter-organisational learning. Additionally, reconfiguring from dynamic capabilities theory was selected to analyse organisational transformation and renewal. Table 4.6 (below) summarises the evidence for this theme and is followed by the analysis.

Table 4.6: Summary of building sector capacity for improved services.

Theme: Summary of building sector capacity for improved services	
Theory/Element	Evidence
Organisational Learning Theory • Knowledge strategy	• CFC views itself as an innovation centre and an integrated learning organisation • Strategic goals of ‘evidence’ and ‘influence’ guide knowledge activity • Explores knowledge through integration of learning from programs; wishes to do more research to better exploit data • Exploits knowledge through academic teaching, PD calendar and workforce development
Organisational Learning Theory • Learning processes	• List of external learning activities • Academic training and PD calendar • Tailored training and consultation services • Workforce development projects • Training and change strategies and processes developed over time

Organisational Learning Theory • Learning levels	• External learning activity may be targeted at external individuals, teams, organisations or groups of organisations • Workforce development initiatives take a multi-level approach to improve knowledge translation and changed practice • Examples of learning design aimed to transfer learning across levels of an external organisation (e.g., Improving Supervision Project)
Organisational Learning Theory • Evaluation	• Variety of assessment methods to gauge academic learning and student feedback • Use of 'happy sheets' after workshops • Ongoing reviews collecting formal and informal feedback • Tracking progress of implementation projects • Debriefing and evaluation of projects • More elaborate formal evaluations when funded
Dynamic Capability Theory • Reconfiguring	• Ensuring fit with stakeholders needs and what is offered • Changes made to academic program to respond to university regulations and new student demands as consumers of education • Enhancements through increased use of technology • Richer ways to integrate new work • Constraints due to uncertain auspicing relationship

4.6.1 Organisational learning theory: Knowledge strategy

CFC views itself as an innovation centre (CFCM1, 2018) and seeks to both explore and exploit knowledge. Furthermore, it promotes itself as an integrated values-based learning organisation (D12). CFCM1 (2018) stated that, although it was difficult to find examples of learning organisations,

> I think because we're a systemic organisation, in our clinical work, it was easier for us. But it's around looking at devolving power and responsibility - having power and responsibility go hand-in-hand, devolving it down as low as possible, and having a transparent co-development sort of approach.

CFCM1 (2018) claimed that learning organisation principles can be seen by CFC's use of a decision-making matrix to communicate devolving collaborative decision-making authority where possible, staff feedback systems and being transparent and providing feedback.

Knowledge is explored and integrated. As CFCM1 (2018) stated:

> I said that we need to be integrated and we struggled to know what that actually meant, it was like a rhetorical idea or a flagship idea, and then we sort of had to try and put it into practice…. And we realised that we developed a strong reputation, which continues and continues to grow, of being able to integrate theory into practice and integrate theory in practice.

In 2016, CFCM1 and staff (CFCS1, CFCS4 and CFCS5) explained that they seek to explore internal data they have collected further, with the primary expressed interest of developing a stronger evidence base for their work.

CFC seeks to explore and exploit knowledge. It has a learning culture and claims it applies learning organisation principles and has systems in place to integrate knowledge. Capacity constraints prevented a further exploration of data collected by the organisation, which was hoped to be undertaken to create a stronger evidence base for CFC's work.

4.6.2 Organisational learning theory: Learning processes

CFC is active in undertaking a range of learning processes, with strategies and process for professional learning and change developed over time. Within the focus group interview conducted in 2016, all five staff participants recorded on sticky notes the outward-facing workplace learning activity the organisation undertakes. A photo of these is provided in Appendix I, with a transcription below in Table 4.7.

Table 4.7: Transcription of sticky notes.

• Training in family therapy • At postgraduate and non-award level • Secondary consultation to organisations working with Aboriginal families • Respond to workshop/training requests • Research and evaluation projects—when funded	• External training for organisations • Training: PD calendar • Clinical supervision training • Building team resilience training • Consult services around implementation of workforce development project • Practice enquiry groups

• Representation on stakeholder committees • Developing memorandums of understanding • Graduate Certificate in Family Therapy • Master of Clinical Family Therapy • Workshops in family therapy • Workshops in trauma-informed practice • Consultation to teams • Coordinate international speaker presentations • Consultations with service managers about implementing new practices • Implementation support activities pre- and post-training	• Professional development calendar – trauma focussed – child aware – family work skills • Group supervision training • Single-session training • Evaluation of worker experience of supervision • Blended learning including online training • Data collection and feedback to services implementing our practices • Consultation/supervision to practitioners • Participant in workforce development projects • Training in context of workforce development projects

As displayed in Table 4.7 (above), learning delivered externally includes academic courses, consultations, responses to workshop requests, supporting the implementation of new practices with pre- and post- activities and consultations, practice inquiry groups, online learning and blended learning, and training in the context of workforce development projects. These learning processes have been developed over time.

In 2016, CFCM1 described the organisation as progressing over the past 20 years through embracing a “frame around real change rather than just training”. He detailed the evolution of CFC’s approach to sector capability as per Table 4.8 (below). Furthermore, he stated that CFC commenced with one-off training activity in the hope that it would elicit change, which proved ineffective, and then evolved to training other professionals to be family therapists, which did not turn out to be practical. CFCM1 (2016) stated that developing and delivering a model for family-sensitive practice state-wide and having this practice change institutionalised as government policy was a turning point in developing more effective and comprehensive approaches to sharing knowledge influenced by implementation science and action learning. CFCS4 (2018) described implementation science and action learning as central to the way the workforce development team operates.

Training was considered by CFCM1 (2016) as “our nursery for developing workshops and models and knowledge, and as a front door to invite people in and consciousness raising about these possibilities”. Training has become just one of the tools used within a wider strategy to share knowledge and embed change (CFCM1, 2016). Table 4.8 (below)

summarises CFCM1's description in 2016 of the evolution of the organisational training approach.

Table 4.8: Evolution of the training approach.

Time of implementation	Training approach	Described result
Past	POPE model—release of policy and hope	Good two days of training, then hope for changed practice without measuring if change occurred
	Train to be like us	Training people who weren't family therapists like us and not everyone could be a therapist
	Train for family-sensitive approach	Family-sensitive practice became government policy
Current	Training Develop an implementation strategy with training as one of the tools	Nursery for developing workshops and models of knowledge; conscious raising Taking ideas to services and building on and valuing local knowledge. Multiple contacts required for change to occur

CFC has developed capability to share knowledge in a range of ways to improve the practice of current and future helping professionals. The role of training is now just one strategy in its larger change efforts.

4.6.3 Organisational learning theory: Learning level

Organisational learning is offered to individuals, groups at organisations, organisations and inter-organisational groups. As described by CFCS1, CFCS2, CFCS3, CFCS4 and CFCS5 in 2016, learning is offered to individuals external to the organisation, including academic courses, a professional development calendar of workshops and international speaker presentations. Group learning activities include practice inquiry groups and workshops requested. Learning may also be delivered to "out in the field organisations" (CFCS4, 2018). Providing professional support to implementing new practices in external organisations is multi-level and sometimes involves "working with multiple services within a region across multiple sectors … with the common aim of how do we improve the services to families" (CFCS4, 2016). CFCS5 also described supervision training delivered to

individuals who were then required to undertake a project on improving supervision practice at their organisation to expand the impact of the training.

CFC offers learning to individuals as part of its academic training and professional calendar of training. The systemic practice at CFC encourages the development and delivery of multi-level learning processes within workforce development projects. The complexity increases when bringing service providers together.

4.6.4 Organisational learning theory: Evaluation

In addition to an internal interest, CFC is required to evaluate learning activity and the progress of social change projects to funders. Evaluation of academic courses delivered follows the requirements of the auspicing university and is supplemented with less formal evaluation. For example, CFCS3 (2016) described the introduction of a “reflective activity for them about how they were going in terms of their learning goals”. She reported that this supported students to map their progress while informing staff about the impact of the course for participant’s learning. The auspicing university also initiated a course review (CFCS2, 2016) and CFCS2 (2018) reported increased accountability for “quality improvement regulations and guidelines”.

Workshops delivered through the outward-facing professional development calendar are evaluated through workshop participants completing ‘happy sheets’, with CFCS2 (2016) stating that “we evaluate every day and review it at the end of the day … feedback for us is incredibly important”. CFCS4 (2016) reported that feedback is considered for implications at a higher level to help determine future training needs, although CFCS4 found not all evaluations to be helpful—for example, some participants “just tell you they love everything”, which limits what can then be ascertained.

During collaborative workforce development projects, CFCM1 (2016) emphasised the importance of gaining a shared understanding of how to measure shared projects, particularly in cross-sector collaborations where there are less shared perceptions, which have led to measuring inconsistencies. CFCM1 reported in 2016 that the organisation is strongly influenced by implementation science and action learning, where change is monitored throughout entire projects. CFCS2 (2016) stated that after running workshops, the evaluation is often “people loved it” so that “you feel really good about yourself”; however, with the longer relationship on implementation projects “you hear about all the challenges they’re having and you get dynamics that play out where you have tricky

people who are resisting". The emotional impact of this was described by CFCS2 (2016) as "it's actually really disheartening and you sort of feel like, oh, my god, we've been in here for seven months and they still haven't developed their policy". CFCS2 (2016) explained that there is now much more realisation that change requires a long time, with a resulting challenge that "it almost brings out people's abandonment issues" when withdrawing from supporting an external organisation at the end of a project.

CFCS3 (2016) reported that all workforce development projects incorporate situational analysis, literature reviews and "some sort of evaluation". They also involve assessments as part of an action learning process which monitors project progress (CFCS4, 2018). CFCS5 (2016) expressed that they were "pretty attendant to that. And I think generally we need to know that we've had some impact too, just to meet our funding requirements". In 2018, CFCS4 described increased capacity for research and evaluation in the workforce development team, stating that "we've got a couple of people now who have a kind of research and evaluation focus within the program".

CFC demonstrates a strong interest in evaluation for external participants in all learning processes offered. Evaluation activity is undertaken on all learning processes. Internal reports have been developed on workforce initiatives to gauge evidence and impact (D12–14). Funding available and funding body requirements shape how evaluation is undertaken, however CFCS4 and CFCS5 (2016) reported that funders have a lack of interest in thorough evaluation.

4.6.5 Dynamic capability theory: Reconfiguring and transforming capacity

CFC undertakes strategic planning activity to ensure fit with their operating environment with examples of reconfiguration and transforming capacity evident in the data. To remain responsive to their environment, CFC seeks information from its networks and partners (CFCS1, 2018; CFCS5, 2018) and has strategic processes to scan the environment as part of strategic planning (CFCM1, 2016). Regarding CFC's strategic direction of influence, CFCM1 (2016) stated that

> working out which organisations and which groups we should be involved in that we're not and also making sure that there's a fit between what our stakeholders want and what we provide, so there's processes that we're designing to do that more and more.

The following are the three examples of renewal and change provided by the participants. CFCS2 (2016) stated that learners have “more of a consumer mentality. So, we’ve had to step up in terms of delivering what people want rather than what we think they should have. Or should achieve”. She also stated that this applies to both academic courses and other PD offered. A second example of change was the upskilling of staff technology skills between 2016 and 2018 to enable more online meetings, consultations and workshop delivery (CFCS4, 2018; CFCS2, 2018). CFCS4 (2018) described new demands from a range of participants, managers and funding bodies for increased accessibility of training, and increased delivery efficiencies in reducing days staff need to be released from work. CFCS4 (2018) stated that webinars and online modules have been introduced but “because what we train people in is around therapy and that sense of the relationship and the connection being so important to that, there’s been a bit of caution of not kind of going too techno with it”. CFCS2 reported in 2018 that she had just concluded an online meeting discussing a new agreed-upon opportunity delivering a two-day workshop in Singapore and reported that the group in Singapore were also keen to continue a relationship via online meetings. Lastly, CFCM1 (2018) claimed improvements in knowledge integration:

> I think there's a whole range now of ways where we can integrate the work, and our clinical work is around developing models of practice that then get disseminated through our academic program and put into practice through our workforce development. So, it's a lot richer now.

CFC was constrained in some redevelopments due to the uncertain relationship with their auspicing body (CFCM1, 2018; CFCS5, 2018). Examples include their inability to offer permanent employment to skilled staff and to further develop their technology systems (CFCM1, 2018).

CFC was found to demonstrate capacity to maintain an awareness of their operating environment, and to reconfigure and transform to stay responsive to it. This was not without its difficulties, and the data provided examples of executive leadership putting in place a range of supports to assist all staff to manage the emotional fallout of a prolonged period of uncertainty.

4.7 Other Points of Interest

Other issues emerged from the data, such as a lack of a formal client or advisory committee, and clinical work processes, however they were not the focus of this study.

There was less information provided on collaborations led by other partners or the voice of the client than was anticipated. As the researcher found that data collected in 2016 indicated that dynamic capability was being utilised for workplace learning activity, the researcher mapped these processes and checked these maps for shared understandings within the second round of data collections with manager and staff interviews conducted in 2018 as a way to clarify and confirm points of understanding.

4.8 Summary

CFC is an Australian NFP family service institute. It delivers clinical services, academic teaching, professional development and workforce development. It identifies as an innovation centre and holds advanced practice and implementation knowledge. CFC is motivated to utilise workplace learning by its mission of improving the lives of individuals and families through relationship-focused services and is values-led. It uses learning organisation principles and professional development systems to develop its own staff and to integrate knowledge from its academic, service delivery and workforce development services. CFC requires funders and partners to enable collaborative workforce development initiatives, which are conducted over extended periods using an implementation strategy drawing on implementation science and action learning. It has been constrained by a mismatch of business models between itself and its auspicing body. Findings for Case Organisation 2 are presented in the next chapter.

Chapter 5: Findings for Case Organisation 2 (Living with Brain Injury)

5.1 Introduction

5.1.1 Organisational information

A table of demographic information for the organisation is given below, followed by further information to introduce Case Organisation 2, Living with Brain Injury (LBI).

Table 5.1: Demographic information.

Organisation Type	Not-for-profit (NFP) disability services provider
City/Country	Melbourne, Australia
About	A specialist service provider which supports people with acquired brain injury (ABI) and high complex needs including alcohol and other drug and mental issues. It delivers service in Victoria and across New South Wales.
Size	40 staff in 2016, expanded to 90 staff in 2018
Purpose	Driving continuous improvement and leading the field in alcohol and other drug acquired brain injury through evidence-based practice and research (D1[2])
Age	Established 1990
Interviews	2016 Executive manager interview with LBIM1 2016 Executive manager interview with LBIM2 2018 Executive manager interview with LBIM1 2018 Executive manager interview with LBIM3 2018 Focus group interview with staff members LBIS1, LBIS2, LBIS3, LBIS4, LBIS5 and LBIS6.

5.1.2 General processes

LBI is a specialist ABI service which provides residential support, case management and support co-ordination services, and assessment and interventions for people with high complex needs, including justice, physical disability, mental health, and homelessness. It also seeks to address prevention, awareness raising, education and research regarding brain impairment from alcohol and other drugs.

[2] Due to the onus on the researcher to de-identify the data, organisational documents referred to are not included in listed references.

5.2 Theoretical Framework

Providing a framework for analysis, the theoretical framework developed from four theories: *dynamic capabilities theory*, *institutional theory*, *organisational learning theory* and *social innovation theory*. The three major themes of *social change*, *building organisational capacity*, and *building sector capacity for improved services* emerged from the data and are now discussed via mapped elements from the theoretical framework.

5.3 Theme 1: Social Change

Data from LBI provided evidence of efforts to undertake social change. This theme is discussed through the three sub-themes of *understanding social change and finding opportunities to respond, undertaking the change* and *understanding the impact of the change.*

5.3.1 Understanding social change and finding opportunities to respond

This sub-theme is mapped to pertinent elements of the theoretical framework. Table 5.2 (below) summarises the evidence for this sub-theme and is followed by the analysis.

Table 5.2: Summary of understanding social change and finding opportunities to respond.

Sub-theme: Understanding social change and finding opportunities to respond	
Theory/Element	Evidence
Social Innovation Typology • Concepts and understanding	• Evidence of initiating change for people with ABI using public transport in Melbourne • Demonstrated ability to adapt organisational services for new settings (e.g., justice) • Evidence of advocating to policymakers for process changes
Social Innovation Typology • Addressed societal needs and demands	• Organisation committed to improving daily lives through services to highly vulnerable people with ABI and complex needs (e.g., public transport difficulties) • Deep understanding of the social issues experienced by people with ABI leading to an interest in the justice system • Deep awareness of lack of understanding of ABI leading to advocacy for neuro-psychological assessments and service • Awareness of lack of community sympathy for those who acquired their brain injury through drug or alcohol usage
Social Innovation Typology	• Well-connected CEO who values partnerships

• Actors and networks	• Demonstrated collaborative work of the leadership and staff • Staff members include neuropsychologists, which is rare in disability services • Supportive board • Service Users Advisory Council: dormant at this time; membership includes service users and representatives from professional bodies
Dynamic Capabilities Theory • Sensing and shaping opportunities	• Capable CEO who reads the market and understands client needs • Long-term advocacy to influence policymakers to support the ABI client group in keeping with their needs and to educate policymakers regarding the differences between ABI and intellectual disability • Introduction of National Disability Insurance Scheme (NDIS) replacing funding of disability services with funding to eligible individuals to direct own funding introduced; challenges to sensing activity due to insurance model still emerging and cost of attending multiple briefing sessions with little new information • Lens of social justice taken in sensing activity • Demonstrated ability to sense the opportunities in the justice sector to still support same client group • Demonstrated ability to advocate and shape views of policymakers to retain responsibility for neuro assessments, although they no longer fit with disability funding—now funded through health • Previous research undertaken on levels of incidence and impact of ABI within prison populations shaped ways forward • Resource limitations prohibit desired research and knowledge-sharing activity

5.3.1.1 Social innovation typology: Concepts and understanding

The evidence from executive manager interviews and documents suggests that, at LBI, social innovation can take different forms. LBIM1 (2016) stated that it is about being proactive and curtailing social issues. As examples, LBIM1 (2016) described efforts for social innovation being inspired by a deep awareness of the difficulties clients face with public transport ticketing systems, applying their specialist knowledge in skills in new settings with new partners, and advocacy over policy and funding. In 2018, LBI had expanded practice innovation in justice settings (LBIM1, 2018; LBIM3, 2018; D2, 2018).

5.3.1.2 Social innovation typology: Addressed societal needs and demands

Data suggests LBI has made efforts to address societal needs and demands directly for people with ABI through services (D3) and indirectly through social change efforts to improve policy responses and build the capacity of other services with which clients interact (LBIM1, 2016). LBI has a stated mission (D4) to assist people with ABI to achieve their goals and make a positive difference in their lives. Supporting people who have an ABI due to alcohol or other substance related brain injury and complex needs is a developing area for policymakers and the community, and despite high levels of vulnerability for clients, there is little public understanding, sympathy and support (LBIM1, 2016; D5). LBI's neuropsychology team undertake cognitive assessments and interpret the implications of results for clients and staff which, combined with information from service delivery, has enabled it to build a strong knowledge base of issues faced by its clients and to support other services to build capacity (LBIM1, 2016; LBIM2, 2016). For example, when some clients reported clashes with public transport ticket inspectors, a change project was initiated, and when aware of other agencies' struggle with ABI clients, LBI may provide initial consultancy and/or training without charge (LBIM1, 2016). Although providing disability services, the organisation has not sought to position itself as a disability provider; its mission to help people with ABI is foremost guided by social justice principles (LBIM1, 2018), which appears to have aided its ability to work in sectors wherever social needs present for its client group (e.g., disability, justice, homelessness, and drug and alcohol).

5.3.1.3 Social innovation typology: Actors and networks

A range of actors and networks were referenced in the data. LBIM1 (2016, 2018) stated he has been at LBI for over 20 years and is well-connected, which he has leveraged to gain access and to advocate to policymakers and funders. LBI has a range of partner organisations, as described on its website (D6), and is a member of relevant industry networks (LBIM1, 2016). A point of difference for LBI in the disability sector is that they are the only agency which has a neuropsychology team who can offer free cognitive assessments for clients (LBIM1, 2016; LBIM2, 2016). LBI has a supportive board, where members are drawn from neuropsychology, law, academia, business management and accountancy (D6). LBI also has a Service Users Advisory Council, which has been dormant, but plans to reinvigorate it were described (LBIM1, 2018; LBIM3, 2018). The

evidence indicates that LBI works with a range of actors and networks, and LBIM1 (2018) emphasised that social change is not possible without partnerships.

5.3.1.4 Dynamic capability theory: Sensing and shaping capacity

The evidence from executive managers in 2016 and 2018 indicates that LBI has capability in sensing and shaping its operating environment but has experienced challenges in doing so. LBIM2 (2016) described the CEO as “passionate about ABI, incredibly astute, very capable of reading the market and the needs of community” and as having “an entrepreneurial style that’s evidence informed”. LBIM1 (2016) reported his personal advocacy efforts with policymakers and funders over time, which he stated included an educative function as, for many years, policymakers, funders and services had a limited understanding of ABI clients with mental health, drug and alcohol issues, placing them in the same category as people with intellectual disability, as both groups had cognitive limitations despite their differing needs.

Over the period of 2016 to 2018, executive managers explained that the organisation was required to sense and navigate the restructuring of disability services through the introduction of the NDIS. The NDIS system has systemic barriers for some clients with brain impairment who do not have insight into their needs nor understanding of the consequences of action (LBIM1, 2016,2018; LBIM3, 2018). Challenges to sensing activity through this uncertain time included the cost to LBI of attendance at briefing sessions which were described as repetitive (LBIM1, 2016). Influencing the NDIS to be better suited to supporting clients with ABI was also challenging and changes requested based on social justice principles were not forthcoming (LBIM1, 2018; LBIM3, 2018). LBI learned the NDIS would financially constrict their ways of working with complex and unpredictable clients, which created financial risk and uncertainty for the organisation (LBIM1, 2016; LBIM2, 2016).

Evidence from LBIM1 (2018) indicates that LBI was advised their neuro-psychological services would be viewed by the NDIS as a gateway to NDIS services, rather than something the NDIS had responsibility for, with the effect of becoming unfunded. LBIM1 (2018) stated he gained access to high level policymakers through networking, and after making a case, attained a commitment that the state government still retained a responsibility for these assessments, which ultimately resulted in policymakers assigning this ongoing financial responsibility to the Department of Health.

In another example of sensing activity, LBI located other opportunities to support its mission through a partnership with a justice support services organisation (LBIM1, 2018; LBIS2, 2018). This resulted in LBI supporting their client group through expanded service provision in the justice sector, which led to growth for the organisation (LBIM1, 2018).

5.3.2 Making the change

This second sub-theme is mapped here to pertinent elements of the theoretical framework. Table 5.3 (below) summarises the evidence for this sub-theme and is followed by the analysis.

Table 5.3: Summary of making the change.

Sub-theme: Making the change	
Theory/Element	Evidence Summary
Institutional Theory • Coercive isomorphism/ Regulative pillar	• Staff payment dispute • Regulative pressures of the introduction of the NDIS threatened organisational survival • Changes in disability system resulted in need to find different funding source for neurological assessment service • New contracts within justice sector include financial penalties if service goals not met (e.g., 50% of service costs can be withheld)
Institutional Theory • Normative isomorphism	• Accreditation standards • Need to meet norms of partnering organisations and sub-contracting organisations in different service areas • Changing expectations of staff resulting in changing staff profile (e.g., now recruiting from broader occupational groups such as nurses and occupational therapists rather than specifically disability educated staff) • Importance and tensions in values guiding behaviour
Dynamic Capabilities Theory • Seizing opportunities	• Despite challenge to organisational survival due to losing disability core funding and lack of fit with new NDIS, organisation has found alternate ways to support client group

	• Demonstrated growth of organisation between 2016 to 2018 • Strong partnership with another organisation, leading to successful tenders and increased service delivery in New South Wales and Victoria
Social Innovation Typology • Resources/constraints/capabilities	• Organisation faced high levels of risk and uncertainty with the introduction of the NDIS, but through strong partnership, found new ways to gain income to support its client group and retain its neuropsychology service • Period of financial peril followed by gaining new contracts, fast growth and recruitment challenges • Working hard on workplace culture • Cohesive identity as a values-based organisation
Social Innovation Typology • Process dynamics	• Demonstrated success in applying knowledge and developing services into new justice settings • Resource limitations have impacted the organisation's ability to fulfil potential of some social innovations (e.g., could not provide ongoing training and support to public transport staff to embed changes) • Systems stretched with rapid growth of organisation from providing new services across new locations

5.3.2.1 Institutional theory: Coercive isomorphism

The evidence indicates that LBI has been grappling with regulatory pressures via government decisions on increased renumeration and changes to the rules, with the introduction of a personalised disability insurance scheme through the NDIS with costing efficiencies (LBIM1, 2016, 2018; LBIM2, 2016; LBIM3, 2018). LBIM1 (2018) and LBIM3 (2018) described what had clearly been a stressful time for them with a staff payment dispute. They described that a Queensland Government ruling on equal renumeration was unbeknown to them. It was brought to their attention by staff and a union and resulted in a culture of mistrust between management and staff, which ultimately led to some staff becoming bitter and leaving. As LBIM1 (2018) stated:

> To me, salary is sacrosanct. That's how people pay their bills. They work for us in good faith. Then, whilst I'd paid and then there was a lot of money that came out of the bank; hence, I had a deficit.

The dispute led to a Fair Work case in which LBI was challenged in how they had rectified payments and was found to have rectified staff payments correctly (LBIM1, 2018; LBIM3, 2018). The evidence indicates the organisation focussed on organisational survival as a result of a combination of being required to pay staff increased rates and backpay, along with the removal of core funding for their work in disability service (LBIM1, 2018; LBIM3, 2018). This included a staff agreement to reduce wages until LBI was back on a firm financial footing to avoid retrenchments, with LBIM1 (2018) stating that all monies owed have now been repaid. It also included looking for other ways to support its client group, restructuring and retrenching a staff member who provided training, and finding different funding for its neuropsychology service (LBIM1, 2018; LBIM3, 2018).

LBI in partnership with a justice service provider won a NSW corrective services tender to support ABI, high complex needs offenders (LBIM1, 2016; D7). LBIM1 (2018) expressed satisfaction with attaining this new work, but also described attendant pressures:

> Government are expecting us to manage vulnerable people in the community so government is safe from liability, so government can go to bed and sleep at night and be voted in next year because the community is considered safer as a social benefit … but in outsourcing, they're putting penalties in when you're dealing with an unpredictable cohort in the community.

LBIM1 (2016) disclosed that the penalty for the organisation if set reductions in offending are not achieved is that "government withholds 50 per cent of our service costs as a penalty". In 2018, LBIM1 reported that LBI has expanded justice work with the same partner organisation and attained organisational growth.

5.3.2.2 Institutional theory: Normative isomorphism/Normative pillar

Evidence from interviews and documents indicates that LBI is required to meet the normative pressures of quality assurance standards and accreditation. For example, LBIM1 (2016) reported the following:

> In a not-for-profit with high expectations by the community, the same standards, same that you comply with legislations…. Every rule and every practice standard,

> QA certification now, you don't get funded if you don't become accredited. And I've got five levels of QA certification and they're all different and you don't get funded for that.

Navigating the norms of partner organisations and other sectors was also in evidence, with all focus group participants reporting they were working in programs with partnership arrangements. LBIS5 (2018) stated that one body they sub-contracted from was "very, very heavily involved in a transition" and wanting to know about staff recruitment, retention, policy and procedures and that staff would meet the sub-contracting bodies registration requirements. LBIS2 (2018) reported the same experience with another funding body, with staff working "under their umbrella".

The evidence suggests some shift in normative expectations regarding staff recruitment due to a combination of changing work and difficulties in recruitment (LBIS1, 2018; LBIS5, 2018). LBIS5 (2018) advised that a response has been "to start looking at the differing roles and starting to approach people who aren't just disability-educated", such as nurses, music therapists and occupational therapists or those who hold no relevant qualifications.

Evidence from executive managers and documents suggest that values play an important but sometimes conflictual role at LBI. For example, organisational values are espoused on LBI's strategic plan (D8) and website (D9). LBIM2 (2016) described how values were discussed and embedded in organisational communications. LBIM1 (2016) stated he was "entirely confident probably because of the size of our organisation being still considered small-to-medium, that I've been able to maintain the actual practice and culture of good values, rather than just talk about them". Correspondingly, LBIM1 (2016) reported meeting every new person to LBI regardless of role in the first three days of employment or placement, stating he talks about "values, and what I believe in. And I do it with passion because I believe in it. And, so, you start that person from day one setting the scene for expectation". In the same initial meeting, LBIM1 (2016) stated also

> give[s] them time to speak, "Where do you come from? What have you been doing in the last 12 months? Tell me about you". And you know what you very quickly work out? Where their values are.... And I then in that conversation join up their values with our values and say, "You know what? It's going to work". So, they're given a positive start.

Evidence from LBIM1 (2016) and LBIM3 (2018) also indicates tensions between values and business demands resulting in mixed messages and tension for staff. For example, LBIM1 (2016) stated the following:

> And when staff get one message that says, “Client first, uncompromised, be honest, be compassionate, trust, be constructive”, all of these sorts of things, and at the same time, they're hearing a different message that says, “We don't have enough money”, then staff become - it's a tension for them, and they question whether, as an organisation, whether we're real about these values.

Evidence from LBIM1 (2018) supports these tensions occurring, providing a description of staff being much more aware of commercial realities of NDIS work and struggling “with their client being at risk because they can't do what - within their values says we should do this”. The evidence indicates that normative pressures on the organisation have resulted in managers seeking to navigate the competing demands of social and business requirements to meet the challenge of organisational legitimacy.

5.3.2.3 Dynamic capability theory: Seizing capacity

Evidence suggests that LBI’s leaders have a strong preference for partnerships (LBIM1, 2016), where LBI sometimes acts as the lead partner and sometimes LBI staff act under the partner organisation’s umbrella (LBIS1, 2018). For staff working in partnership arrangements, it provides access to information and the experience of working alongside others (LBIS2, 2018). Through the strong partnership LBI has developed with another organisation, they have been able to win new contracts in justice services. This led to providing socially innovative new programs in new geographic regions, enabled by the application of combined specialist knowledge (LBIM1, 2016, 2018; D10). LBIM1 (2018) described continued work with the NDIS, stating LBI was “cherry picking” packages at higher rates to enable them to undertake complex work. LBIM1 (2018) also reported that the NDIS was purchasing neuropsychological assessments from LBI, and that from a period of high financial risk and uncertainty at the introduction of the NDIS, LBI had now successfully seized new work which enabled them to grow from a staff of 40 in 2016 to 90 in 2018. LBI has also re-established providing training to external organisations on a fee-for-service basis (LBIS3, 2018; LBIS5, 2018) and are heading towards a hundred thousand dollars income for this after a period of nil income for this activity (LBIM1, 2018). The evidence indicates that LBI has strong seizing capability as it has achieved strong growth during a very challenging period.

5.3.2.4 Social innovation typology: Resources, constraints and capabilities

The evidence indicates that LBI's resources were under threat but have now expanded (LBIM1, 2016, 2018). Executive managers in 2016 described facing high levels of funding risk and uncertainty with the introduction of the NDIS, meaning that LBI would no longer receive block funding for disability services from the Victorian Government (LBIM1, 2016; LBIM2, 2016). This combined with mandated staff pay rises resulted in LBI's first deficit budget and staff being asked to accept a temporary pay cut or assist in working out who would be retrenched (LBIM1, 2018; LBIM3, 2018). In 2018, LBIM1 (2018) indicated that a training position had been made redundant and neuropsychologists had been warned their jobs would be ending if alternate funding could not be found. LBIM1 (2018) and LBIM3 (2018) stated that, through partnership, LBI expanded contracts and obtained new ones in justice services (D11) and gained ongoing funding support from an alternate Victorian Government source. They reported that, from facing financial peril, LBI had grown ways to support its client group with stronger partnerships and more staff and was now challenged to build a strong workplace culture while experiencing rapid growth in new areas. LBIM1 (2018) cautioned, though, that the organisation was at risk of substantial financial penalties if newly contracted outcomes were not met.

5.3.2.5 Social innovation typology: Process dynamics

The evidence indicates that partnership has been an important factor to LBI's ability to undertake a full journey of innovation. For example, LBIM1 (2016) described that entry into work with justice services was boosted by 1) earlier commissioned research LBI had completed in 2010 which identified the high incidence of prisoners with ABI and 2) a partnership with a justice service provider. The executive manager interviews and documents (D12) indicate LBI undertook practice innovation processes by applying their specialist knowledge in working with people with ABI from drug and other substance abuse to other areas (e.g., justice and housing services) cooperatively with partners.

Other innovative activity developed more organically and stalled due to a lack of resources (LBIM1, 2016). For example, in response to public transport ticketing services difficulties for clients, LBI's Service User Advisory Council took up this issue with the State Public Transport Ombudsman and, with his support, highlighted the issue to Public Transport Victoria. Subsequently, LBI delivered free training to public transport coordinators and developed a document for clients to carry which identified they had an ABI (LBIM1, 2016).

With no further resourcing available, this initiative discontinued. Evidence indicated that LBI is more able to make social changes when partners also contribute resources.

5.3.3 Understanding impact

The sub-theme of *understanding impact* is mapped to pertinent elements of the theoretical framework. Table 5.4 (below) summarises the evidence for this sub-theme and is followed by the analysis.

Table 5.4: Summary of understanding impact.

Sub-theme: Understanding Impact	
Theory/Element	Evidence summary relevant to theme & theory
Social Innovation Typology • Process dynamics	• Partnerships important • Resource limitations have impacted the organisations ability to fulfil potential of some social innovations (e.g., could not provide ongoing training and support to public transport staff to embed changes)
Organisational Learning Theory • Evaluation	• In 2016, staff provided 'happy sheet' workshop evaluations, and ongoing learning needs were assessed through ongoing supervision and monitoring of client results achieved
Social Innovation Typology • Resources/constraints/capabilities	• LBI faced high levels of risk and uncertainty with the introduction of the NDIS, but through strong partnerships found new ways to gain income to support its client group and retain its neuropsychology service • Period of financial peril followed by gaining new contracts, fast growth and recruitment challenges • Working hard on workplace culture • Cohesive identity as a values-based organisation
Institutional Theory • Mimetic isomorphism/Cultural-cognitive pillar	• Shared understandings through organisational values • Service philosophy based on social justice principles • Staff agreed to reduced salaries for a period to prevent redundancies—full salaries for that period have now been paid

	• Niche work led by passionate CEO, who meets with all new employees to shape culture • Values discussed and reinforced in organisational communications
Dynamic Capability Theory • Reconfiguring	• Under pressure to transform to enable new growth with a partner organisation in justice services • Organisation restructured • Recruitment changes to attract a broader range of professional staff

5.3.3.1 Social innovation typology: Process dynamics

The evidence suggests that LBI is a service provider which does not necessarily have the capacity to move innovations through to institutionalisation. For example, evidence from executive managers and the focus group participants suggests that LBI, collaboratively with partners, delivers new services in expanded areas to support its clients, which is an example of realising practice innovation through partnerships. Other processes to understand impact included LBIS3 (2018) describing measures for a program improvement as “it’s increased attendance. Increased positive feedback from the participants dramatically”. LBIS5 (2018) described changes as a result of applying a new model of care to a new accommodation service for LBI which had previously been managed poorly: “I think the perception of the model itself. Certainly, the perception of the support that some staff will actually provide these individuals. And I think it’s probably restored a little bit of faith for some of the clients”. How this understanding was arrived at, however, was not explained.

In the example of the public transport ticketing services intervention, the impact of this intervention is unclear (LBIM1, 2016). LBIM1 (2016) reported that the public transport ticketing system innovations were not able to be expanded, as the Public Transport Commission “didn’t come as far as paying for it” and no evaluation was undertaken. It is suggested that, although LBI may work on social innovation, it does not necessarily measure this systematically or embed the innovation if it does not have a supportive partner with resources to assist it.

5.3.3.2 Organisational learning theory: Evaluation

Evidence suggests that when LBI consults and provides training to other organisations to support them to better work with people with ABI, conversations occur to check whether the support has led to real change (LBIM1, 2016). ‘Happy sheet’ evaluations were

undertaken of workshops and reviewed to improve training (LBIM2, 2016). However, there were few examples of evaluation in the data.

5.3.3.3 Social Innovation typology: Resources, constraints and capabilities

The research evidence indicates mixed results with regard to social innovation activity for LBI. For example, extending work in areas outside of disability services has resulted in growth in income and staff (LBIM1, 2018; LBIM3, 2018). However, social innovation efforts such as the public transport example previously provided had to be stopped because of the stretch on LBI. As LBIM1 (2016) explained, “really what it means is that we don't have extra resources, so the truth is what we're doing it's rob Peter to pay Paul”. LBI has limited resources to conduct social innovation and is mindful of the impact of innovation activity on day-to-day services.

5.3.3.4 Institutional theory: Mimetic isomorphism

The evidence suggests (LBIM1, 2016; LBIS2, 2018; LBIS5, 2018) that working with partners in justice services, homeless services and a restructured disability sector has led staff to have to navigate the norms of different service streams. LBIM1 (2016) stated the following in comparison to business:

> In a not-for-profit with high expectation by the community, same standards ... I've got five levels of QA certification and they're all different and you don't get funded for that.... We’re entering a commercial space ... with compliances and all sorts of things, it just quadruples the pressure.

This clearly indicates that working in new areas requires LBI to navigate the norms of that context.

5.3.3.5 Dynamic capability theory: Reconfiguring and transforming capacity

The study shows that LBI was under pressure to renew itself with the expanded work in justice services (LBIM1, 2018; D13). Furthermore, the interview data indicates that LBI has strengthened its partnership with a justice provider and worked cooperatively to obtain new contracts and deliver services across new programs and sites, with LBI sometimes taking the lead and sometimes the partner organisation taking the lead (LBIM1, 2018). Organisational restructuring occurred to grow this work, and recruitment strategies changed to develop a broader professional base of staff in response to demands from the work to be undertaken (LBIM1, 2018; LBIS5, 2018).

5.3.4 Summary Theme 1: Social change

LBI was found to have a deep understanding of ABI through drug and alcohol misuse and seeks to make social change directly with its client group, and guided by social justice principles, to support other providers and influence policymakers. It faced extreme pressures in its operating environment over the period of 2016 to 2018 with the introduction of the NDIS, which resulted in the loss of core funding. These difficulties were compounded by internal pressures over a pay dispute and the executive's focus, therefore, was on organisational survival. Over this period, LBI successfully established themselves in the justice sector through a partnership with a justice provider and has substantially restructured and grown as a result. Efforts for social change have predominantly focused on bringing their expertise in to a new operating environment, and resource limitations have curtailed both other social change efforts and the evaluation of social change projects.

5.4 Theme 2: Building Organisational Capacity

The theoretical elements selected to analyse this theme from *organisational learning theory* are *knowledge strategy*, *learning processes*, *learning levels* and *evaluation* which enabled analysis of differing aspects of organisational learning. Additionally, reconfiguring from *dynamic capabilities theory* was selected to analyse organisational transformation and renewal. A summary of evidence is provided in Table 5.5 (below).

Table 5.5: Summary of building organisational capacity.

Theme: Building organisational capacity	
Theory/Element	Evidence
Organisational Learning Theory • Knowledge strategy	• No stated internal knowledge strategy • Seeks to develop more knowledge through research, but this has been hampered by a lack of resources • Training where possible and research put on hold during period of focus on organisational survival • Discussion of research potential scheduled regularly and conducted less regularly with CEO and key board members
Organisational Learning Theory • Learning processes	• Supervisory practice in a critical reflective framework in 2016; not occurring 2018 • Shared in house expertise (e.g., neuropsychologists sharing knowledge on

	how to interpret clinical assessments irregularly) • Developed foundational training modules on ABI • Scheduled internal learning plan in 2016 discontinued with organisational pressures • In 2018, learning provided reflects requirements for accreditation and contractual arrangements • Goal to rebuild learning processes expressed by CEO and staff in 2018
Organisational Learning Theory • Learning levels	• In 2016, planned learning was conducted at the individual, team, organisational and inter-organisational levels • In 2018, learning was occurring to meet accreditation and funding requirements (e.g., training plan for accommodation site) • In 2018, training was undertaken to meet specific client needs (e.g., medication training) • In 2018, ad-hoc training was provided or sourced at the individual level in response to individuals raising issues
Organisational Learning Theory • Evaluation	• In 2016, staff provided 'happy sheet' workshop evaluations, and ongoing learning needs were assessed through ongoing supervision and monitoring of client results achieved • Use of 'happy sheets' after workshops • Feedback to line manager after workshops • In 2018, supervisory practice not occurring or ad hoc
Dynamic Capability Theory • Reconfiguring	• NDIS funding did not work for organisation, as penalties apply when clients do not participate, and client group can be unpredictable • CEO-led development of stronger partnership with another organisation and LBI won new and expanded contracts in the justice sector • Organisation restructured • Organisation changed recruitment strategy • Organisation continues to grapple with the risk of financial penalties should service goals not be met • Partnership relationships very important

5.4.1 Organisational learning theory: Knowledge strategy

The study data indicates LBI did not have an internal knowledge strategy and that the approach to knowledge activity varied in response to pressures on the organisation (LBIM1, 2016; LBIM2, 2016; LBIS4, 2018). LBIM2 (2016) described client assessment tools as robust, stating that both strategies and monitoring systems were utilised to identify learning needs through good supervisory practice in a critical reflective framework which addressed the question, “how then do we make sure that our staff have the capability to do that correct assessment, intervene in the right way, and measure the impact of their time with the client?” LBIM1 (2016) stated that there was a shared belief at LBI that

> we should embrace research activity because it validates what you say and do, and I feel that, as a social service, we have an obligation to contribute to best practice in the sector more broadly, and I have an unqualified view that research helps you do that.

However, LBIM1 (2018) and LBIM3 (2018) reported that, apart from essential training, ambitions for training and research were placed on hold while the organisation focused on financial survival. LBIS2 (2018), LBIS3 (2018) and LBIS4 (2018) described training activity as responding to what had to be done to meet standards or ad hoc. LBIM1 (2018) stated that, despite pressures, a small interest group is scheduled to meet regularly, with meetings conducted less regularly, to discuss research. This evidence indicates that pressures on LBI led to a regression of organisational strategies and systems for training and research.

5.4.2 Organisational learning theory: Learning processes

The interview and focus group data suggest that a range of learning processes were reported at LBI with inconsistent application. For example, LBIM2 (2016) reported that staff capacity building activities included one-on-one supervision in a critical framework, team development, having a person overseeing internal staff development (with a range of learning scheduled from occupational health and safety), physical care and specific behavioural interventions. LBIM2 (2016) described the development of foundational training modules on ABI with input from neuropsychologists to support workers to understand cognitive assessments, with neuropsychologists also providing consultations to colleagues. However, LBIM1 (2018) described pressures on the organisation since 2016 causing a range of processes including training “apart from the very basic mandatory

stuff that, if you don't do it, people are not safe or, if you don't do it, you won't get certification to be an NDIS provider or to be funded by DHS interim". He also noted that research was being put in the "back paddock". LBIS2 (2018) stated that supervision and training had become ad hoc and that there was not a structured training plan apart from site training plans that were mandatorily required by funders. LBIS3 (2018) stated that training happened currently: "just when people come forward with issues, it's mainly informal discussions". LBIM1 (2018) stated that a database which they had hoped to use for further research was now outdated. He also described knockbacks of what had been submitted for publication, stating research is "a hard process. We're a service provider".

LBIS4 (2018), with support from LBIS5 (2018), proposed a strategy to identify new internal staff who could share skills and have them become involved in training delivery, stating that LBI has some very skilled staff from across broad areas. This indicates that new capacity has been gained through the acquisition of new staff members. The evidence also suggests that staff have been learning through working with partners, with all focus group members indicating they are working in programs with partnership arrangements. LBIS5 (2018) and LBIS2 (2018) agreed that liaison and crossover occurred to ensure they were meeting a partner's requirements.

Suggested improvement for learning processes included LBIS2 (2018) suggesting recording training sessions and loading them on the intranet to increase accessibility of the training for staff who are geographically spread and also to include shift workers. Furthermore, LBIS2 (2018) indicated that a priority for him was "having a structured, almost 12-month plan for training that people can book in to, addressing all of those needs".

The evidence collected indicates that pressures on LBI have resulted in it focusing on organisational survival, with non-essential activity being placed on hold. LBI is now experiencing rapid growth, and its learning processes and systems are targeted for development and renewal.

5.4.3 Organisational learning theory: Learning level

The evidence suggests that learning occurred at the individual, team, organisational and inter-organisational level in 2016 (LBIM2, 2016). Furthermore, there is indication that, in 2018, learning had become responsive to accreditation and contractual arrangements or ad hoc (LBIM1, 2018). Apart from providing feedback on workshops to line managers

(LBIS5, 2018), processes to support the flow of knowledge through the learning levels of individuals, teams, inter-departmental groups, whole organisation and intra-organisation was not apparent in the data from 2018.

5.4.4 Organisational learning theory: Evaluation

The level of evaluation reported decreased over the period of 2016 to 2018 at LBI. For example, LBIM1 (2016) described evaluating staff capacity and assessing learning needs through ongoing supervision processes, which included the monitoring of client results. LBIM2 (2016) described evaluation using 'happy sheets' following the internal workshops which were reviewed. However, in 2018, the pressures on the organisation had led to a breakdown of the supervisory system, with staff either not receiving supervision or receiving it on an ad-hoc basis (LBIS2, 2018). Furthermore, training evaluation was described as staff informing their line manager if the training was "good, bad or indifferent" (LBIS5, 2018). The evidence suggests that learning evaluation systems are not systematic at LBI.

5.4.5 Dynamic capability theory: Reconfiguring and transforming capacity

Evidence from LBIM1 (2018) and LBIM3 (2018) revealed that financial pressures from a pay dispute combined with the impact of the introduction of the NDIS funding system led to the first deficit budget for the organisation. As LBIM1 (2018) stated:

> I actually had to go to the bunch of staff in the team that did directly work for NDIS and I had to do a restructure which said either you all take a pay cut or you won't have a job and here's the proof, here's the numbers, I made it public … when I get us to a financial position where we're okay, you'll have to trust me. I'll give you your money back or I'm going to send 25 of you into a room and you work out who loses your job…. And since then, we've paid every staff member back.

LBIM1 (2018) stated he led a restructuring process and convinced the board to support people with ABI through expanded and new programs in justice services. LBIM1 (2018) and LBIM3 (2018) both noted the strain on the executive, noting that as a small NFP organisation there was no human resources department or other infrastructure to support them through this time. LBI in 2018 experienced rapid growth (LBIM1, 2018; LBIM3, 2018) and reviewed their recruitment processes, widening the consideration of professional backgrounds for new employees, from primarily disability workers to including, for example, nurses and occupational therapists (LBIS5, 2018). LBIM1 (2018) also noted that

potential financial penalties for not meeting contracted goals remain a risk for the organisation.

The interview data indicates that LBI responded to a restriction of disability services by seeking other ways of supporting its clients, as it otherwise faced becoming unsustainable. The executive convinced the board to expand LBI's work in justice services. This renewal came with difficult times: pressure on the executive and staff; a temporary pay cut for all staff and restructuring; pressure on organisational systems, which caused non-essential activity to be placed on hold; and now, with more income and growth, pressure on the organisation requiring further development of organisational systems and supports.

5.4.6 Summary

Over the period of 2016 to 2018, LBI was under extreme pressure, and this impacted its approach to building organisational capacity. In 2016, LBI had learning systems in place, including a critical reflection framework for regular supervision in which staff learning needs were monitored, team learning occurred and internal training was scheduled. In 2018, staff reported that supervision was not occurring and training was related to contractual needs for worksites. However, in 2018, it was also reported that organisational capacity was being built through working in partnerships with other organisations which required meeting external expectations, and by the recruitment of new staff from a broader professional base, bringing new skills and expertise to the organisation. A desire to rebuild staff development systems was also expressed by staff.

5.5 Theme 3: Building Sector Capacity for Improved Services

To enable analysis of differing aspects of inter-organisational learning, the theoretical elements selected to analyse inter-organisational capacity building for improved services stem from *organisational learning theory*: *knowledge strategy*, *learning processes*, *learning levels* and *evaluation*. Additionally, reconfiguring from dynamic capabilities theory was selected to analyse organisational transformation and renewal. A summary of evidence is presented in Table 5.6 (below).

Table 5.6 Summary of building sector capacity for improved services.

Theme: Building sector capacity for improved services	
Theory/Element	Evidence
Organisational Learning Theory • Knowledge strategy	• Social justice principles drive organisation to share expert knowledge • Seeks to develop more knowledge through research, but this is hampered by a lack of resources • Knowledge sharing is often initially generous in nature, but requires a commercial return to continue • Knowledge sharing put on hold while the organisation was reconfiguring for survival at time of introduction of NDIS • Discussion of research potential scheduled regularly and conducted less regularly with CEO and key board members
Organisational Learning Theory • Learning processes	• Providing consultation and training externally in 2016 on how to better meet the needs of clients with ABI; this was placed on hold while focus on organisational survival • In 2018, consultation and training including external workshops and conference presentations on brain injury, mental health and drugs were resumed • Learning also occurred through partnership activity
Organisational Learning Theory • Learning levels	• Individuals may attend workshops, seminars and conference presentations • Evidence not clear whether training and consultancy for external organisations is aimed at individual, team or whole of organisation • Evidence indicates inter-organisational learning occurring with partner organisation
Organisational Learning Theory • Evaluation	• Use of 'happy sheets' to collect feedback on workshops • Checking in with organisations regarding whether support delivered has made a difference • Data does not provide evidence of evaluation of learning between partner organisations
Dynamic Capability Theory • Reconfiguring	• Pressure on LBI led to the retrenchment of training position • In 2018, restructure occurred and training position redeveloped

	• Training and consultancy service redeveloped and obtaining income.

5.5.1 Organisational learning theory: Knowledge strategy

The evidence collected suggests LBI shares its knowledge externally to assist other agencies to better respond to support services to people with ABI due to social justice principles and as a possible revenue source (LBIM1, 2016). As LBIM1 (2016) pointed out, external knowledge sharing may be offered on a complementary basis but requires funding to be extended. External knowledge sharing was active in 2016 (LBIM2, 2016) but temporarily ceased in 2017 due to a focus on organisational survival as LBI restructured and found alternative funding after the introduction of the NDIS (LBIM1, 2018). In 2018, LBIM1 (2018) reported that one hundred thousand dollars in revenue had been achieved since external knowledge sharing had recommenced.

LBIM1 (2016) stated that a small group of people meet to look at research opportunities so as to build on research already conducted with existing data from a prison review, and to be active in undertaking research regarding cognitive impairment. However, a lack of financial resources presented a major restraint and, in the instance of the prison population data held on the incidence of ABI, it lost its currency (LBIM1, 2018). LBIM1 (2018) reported that, despite a small group remaining scheduled to discuss research possibilities, it remains on hold, with LBI now facing the challenges of managing a rapidly expanding workforce.

5.5.2 Organisational learning theory: Learning processes

LBI actively undertakes a range of learning processes, as reported by six focus group members in 2018. All six staff participants recorded on sticky notes the outward-facing professional support, research and development activity the organisation undertakes. A transcription of these notes follows in Table 5.7.

Table 5.7: Transcript of sticky notes.

External Training - Neuro - ABI - Workshops	Brain injury info at seminars throughout Vic/NSW Orientation for new employees—brain injuries	*Basic Fundamental Training 1–4 (modules) in acquired brain injury *EIBI specific modules behaviours of concern and BIS training (internal/external) *Staff provided client related RTO training *NDIS training *Justice sector
First Aid Training Medication Training OHS Training All Training	Assessment - Neuro - Mental Health Training - Manual Handling - Catheter Care - Bowel Care - ABI	- ABI specific training - Workshops for external organisations (training) - Mental Health - AOD

Evidence from the focus group and executive manager interviews indicates that knowledge was shared externally, often by staff neuropsychologists (LBIM2, 2016), with training related to physical care detailed above predominantly related to external training attended rather than delivered. Executive managers suggested that providing external training temporarily ceased in 2017 and was active again in 2018. As indicated above by focus group members, external workshops were delivered on neuropsychology, ABI, mental health, alcohol and other drugs, and behaviours of concern. Knowledge on brain injury was shared through conference presentations in Victoria and New South Wales (Focus Group, 2018). Knowledge was shared through partnership activities as well—for example, staff were working side-by-side, sharing information and the expectations of each organisation (LBIS2, 2018; LBIS5, 2018). The evidence indicates that LBI is most active in sharing knowledge externally related to its specialist area of expertise, ABI.

5.5.3 Organisational learning theory: Learning level

The audience for LBI's external learning activities include individuals who attend conference presentations, seminars and workshops (Focus Group, 2018; LBIM1, 2018). Reporting does not indicate whether consultancy and training delivered for specific organisations is delivered to individual workers, teams or to the whole of the organisation.

Focus group participants suggested that LBI shares learning at the inter-organisational level with service delivery partners through sharing expectations, models of care and teamwork (LBIS2, 2018; LBIS5, 2018).

5.5.4 Organisational learning theory: Evaluation

The responses from the organisation indicated that there were mixed approaches to evaluation. External workshops collect ‘happy sheets’, which are reviewed and changes are made based on feedback (LBIM2, 2016). LBIM1 (2016) stated that when training is offered to support another agency with a problem servicing people with ABI, contact is maintained to identify whether there is improvement. Although not formally measured, this indicates a higher level of evaluation to check in with whether real change from the learning occurred. Although learning was reported between LBI and its partner organisations (LBIS2, 2018; LBIS5, 2018), no evaluation of this learning was reported in the data.

5.5.5 Dynamic capability theory: Reconfiguring and transforming capacity

LBIM1 (2018) described a process of retrenching a training position which resulted in sector training being placed on hold while LBI was facing financial peril: “I had to make the position redundant because what I wasn’t prepared to do is cut operations, the people who look after clients”. LBIM1 (2018) subsequently described improved conditions for the organisation and how he spotted a staff member with a marketing background and training management potential in New South Wales, who took up a newly created role in Melbourne:

> He's a manager of compliance and program strategy and, within program strategy, he's resurrected training. Already where training had zero revenue for 12 months, he's now building it towards its first one hundred thousand.

5.5.6 Summary

A social justice perspective combined with the potential for income was found to be LBI’s rationale for sharing its expertise on working with people with ABI from drug and alcohol misuse. Knowledge sharing activity ceased for a period while the organisation was fighting for survival, finding an alternative market for its services and restructuring. In 2018, staff reported that LBI was active again in sharing their expertise at conference presentations, delivering workshops and through partnership activity. Happy sheets were utilised to

collect immediate feedback from workshops. Ongoing conversations occurred between LBI and other organisations receiving training to address a particular problem, as well as between LBI and partner organisations regarding satisfaction levels, with no evidence of formal evaluations evident in the data.

5.6 Other Points of Interest

Other issues arose in the data such as the role of the Service Users Advisory Council, however its role was unable to be fully explored as it remained dormant for the period of this research and was not the focus of this study. It should also be noted that data collection in 2016 consisted of two interviews with executive managers, with an expected staff focus group not proceeding at this time due to the commencement of a restructuring process. In 2018, a further two executive manager interviews were conducted, and a focus group was conducted of six staff participants.

5.7 Summary

This chapter introduced LBI, a Melbourne-based disability services provider which seeks to assist people with an ABI due to alcohol or other substance-related brain injury and complex needs to achieve their goals and make a positive difference in their lives. Interview and focus group evidence clearly indicated that for LBI, the introduction of the NDIS was like flying into a hurricane, bringing new ways to fund disability services which did not suit the organisation. Furthermore, a pay dispute acted as an additional cross wind. After a period of restructuring and placing training and research on hold, LBI changed course by extending a partnership with a justice provider and expanding innovative services to its client group in new settings in Victoria and New South Wales, while also securing funding for their neuropsychology team from the Department of Health (LBIM1, 2018). From grappling with a deficit budget, LBI has now expanded from 40 to 90 staff and is undergoing further reconfiguration to manage fast growth, including rebuilding its workplace learning systems.

Chapter 6: Findings for Case Organisation 3 (Children Services Improvements)

"Unity is strength … when there is teamwork and collaboration, wonderful things can be achieved"

(Mattie Stepanek, 2014).

6.1 Introduction

6.1.1 Organisational information

A table of demographic information for the organisation is presented below, followed by further information to introduce Case Organisation 3, Children Services Improvements (CSI).

Table 6.1: Demographic information.

Organisation Type	Membership Network – Part of a Registered Charity
City/Country	Devon, England
About	Champions evidence-based practice in children's services across England
Size	33 staff in 2016, expanded to 36 staff in 2018 80 membership organisations in 2016, expanded to 107 membership organisations in 2018
Purpose	Seeks to bridge the gaps between research, practice and service users' lived experiences to improve practice and ultimately outcomes for children and families (D1[3]).
Age	Established 1996
Interviews	2016 Manager interview with CSIM1 2016 Focus group interview with staff members CSIS1, CSIS2, CSIS3 and CSIS4 2018 Manager interview with CSIM1 2018 Focus group interview with staff members CSIS2, CSIS5, CSIS6 and CSIS7

6.1.2 General processes

CSI provides support to children's services in England to "embed evidence from research, practice-expertise, and the views and experiences of children, young people and families in the design and delivery of services" (D2). CSI does this by producing and sharing with its membership organisations a range of learning resources and by mobilising research

[3] Due to the onus on the researcher to de-identify the data, organisational documents referred to are not included in listed references.

evidence to inform and influence decision-making for policy development (D3). CSI has a sister organisation which provides the same function for adult services across England, with some staff working across both organisations, and both organisations are governed by a trust established in 1932, which provides human resources (HR) and finance functions (CSIM1, 2016; D4). CSI has a partnership board, which includes member organisation representatives, academics, and a representative from the Department of Education, which has responsibility for child protection.

6.2 Theoretical Framework

The theoretical framework combines four theories: *dynamic capabilities theory*, *institutional theory*, *organisational learning theory*, and *social innovation theory*. The three major themes of *social change*, *building organisational capacity*, and *building sector capacity for improved services* are now discussed via mapped elements from the theoretical framework.

6.3 Theme 1: Social Change

Data from CSI provided evidence of efforts to undertake social change. This theme is discussed through the three sub-themes of *understanding social change and finding opportunities to respond, undertaking the change* and *understanding the impact of the change.*

6.3.1 Understanding social change and finding opportunities to respond

This sub-theme is mapped to pertinent elements of the theoretical framework. Table 6.2 (below) summarises the evidence for this sub-theme and is followed by the analysis.

Table 6.2: Summary of understanding social change and finding opportunities to respond.

Sub-theme: Understanding social change and finding opportunities to respond	
Theory/Element	Evidence from Case Organisation 3
Social Innovation Typology • Concepts and understanding	• Understanding different societal positions to social change (e.g., keeping children safe at home versus removal) • Established collaborative change project approach
Social Innovation Typology • Addressed societal needs and demands	• Ultimately aims to improve outcomes for families and children • Focusing on supporting whoever is delivering frontline services for children and their families • Led by the needs of their membership network

	• Examples of change projects include Assessing Parental Capacity for Change and Effective Commissioner-Provider Relationships
Social Innovation Typology • Actors and networks	• Own staff, associates, and partnership board • Works with academics and practice leaders • Governance through a trust • Active in networks and policy committees • Membership organisations, which are referred to as partners
Dynamic Capabilities Theory • Sensing and shaping opportunities	• Gathering information through interactions between CSI's account managers and partners' designated 'link officers' • National consultations yearly with partners • Intelligence gathering and influencing by the CEO and Chair of the Partnership Board for CSI through participation in various strategic policy groups at a national level • CEO undertakes a strong networking role • Governed by a trust which is active and shares information • Invests in development of website to interlock with client relationship management (CRM) system, and collects data from website usage • Acting as a critical friend • Advocacy on behalf of membership

6.3.1.1 Social innovation typology: Concepts and understanding

Data from CSI indicates a strong understanding of social innovation. For example, CSIM1 (2016) provided a nuanced description of social expectations for social change in children's services, describing prevailing views from supporting families to bring their children up at home to removing children at risk as a "pendulum within the policy debate all the time". CSI exhibits well-developed systems for social change, detailing stages of social change projects on its website (D5) as idea generation, scoping study, expert knowledge exchange, development group, produce pilot resources, launch, pilot and evaluate resources, produce final resources, launch final resources and promote and support long-term use. Further details are provided on each of these stages on the website, along with change project reports, some of which are available to the public and some in the 'partners only' section of the website (D6).

6.3.1.2 Social innovation typology: Addressed societal needs and demands

CSI is a membership network independent of government (CSIM1, 2016; CSIS1, 2016) which seeks to support member organisations to improve services for families and children

(CSIM1, 2018; CSIS7, 2018). Although primarily funded by the membership organisations, they have also won contracts in line with their practice development goals such as the development and delivery of a national practice supervisor development program (CSIM1, 2018). CSI promotes itself on its website as aiming to “bridge the gaps between research, practice and service users’ lived experiences to improve practice and ultimately outcomes for children and families” (D7).

6.3.1.3 Social innovation typology: Actors and networks

CSI is a membership network, with CSIM1 (2016) stating their membership consisted of “80 local authorities and national children’s organisations”. In 2016, both CSIM1 and CSIS1 described the austerity measures current in the UK, and that financial pressures on services had resulted in partners having less resources to pay for memberships. Despite this, in 2018, CSIM1 and CSIS6 stated that CSI had increased membership to 107 partner organisations, consisting of 100 local authorities out of the 150 local authorities across England, plus some third-sector organisations. Furthermore, CSIS6 (2018) claimed she had experienced increased positivity towards CSI’s services, which was also unexpected.

The interview data indicates that actors involved in understanding social change for CSI include their management, staff and associates, and CSI’s partnership board, who “are mostly directors of services ... various academics with lead people in this field” (CSIM1, 2016). CSI work closely with a professional network of senior leaders in children’s services, and their CEO or Deputy CEO are invited to sit on most of the relevant policy committees, with the CEO noted as an extraordinary networker (CSIM1, 2016). CSI aspires to include the views and experiences of carers and young people’s lived experiences (D8), with CSIM1 (2016) stating “there is real genuine commitment towards participation and coproduction” and that a young care leaver had recently co-chaired a conference they had run. However, CSIM1 (2018) acknowledged this inclusion was still in its early days and that it requires support: “it’s a tricky thing because to do it right, it needs resourcing.... But lots of those voice organisations are really creative and interested and keen to sort of partner with us as well”.

6.3.1.4 Dynamic capability theory: Sensing and shaping capacity

The case study data indicates that CSI has strong sensing and shaping capacity. For example, connections to their partner organisations at a local level are through a designated account manager from CSI connected to a designated ‘Link Officer’ at each

partnership organisation. CSIM1 (2016) stated the “relationship is enormously valuable and to me is a kind of participant observation that’s hugely valuable for our organisation as a way of understanding the pressures and emerging issues and that’s of ground level”. CSIM1 further stated that intelligence is gathered through the CEO’s strong networking role, and through the CEO and the Chair of CSI’s Partnership Board participating and providing advocacy on behalf of their members at strategic policy groups at a national level. Additionally, CSI is governed by a trust that is active and shares information. CSI additionally senses the environment through participation in development projects by acting as a critical friend on external projects, and through data collection from its website (CSIM1, 2018; CSIS6, 2018).

CSI’s yearly practice development program is developed in consultation with partner organisations. The program is informed by topics suggested by partners or arising from access to information on changes signalled by policy networks. Members vote on all topic areas to set the priorities for CSI’s development agenda (CSIM1, 2016; CSIS6, 2018).

6.3.2 Making the change

This second sub-theme is mapped to pertinent elements of the theoretical framework. It is important to note here that elements from institutional theory are included to analyse the organisational context, as pressures from the environment often constrain the ability of organisations to act (Chandler & Hwang, 2015). Table 6.3 below summarises the evidence for this sub-theme and is followed by the analysis.

Table 6.3: Summary of making the change.

Sub-theme: Making the change	
Theory/Element	Evidence Summary
Institutional Theory • Coercive isomorphism/ Regulative pillar	• Austerity measures leading to (i) decreased funding and restructuring for many partner organisations, (ii) increased integration and commissioning of social services, and (iii) increased scrutiny of engagement with CSI • Ofsted (Office for Standards in Education, Children’s Services and Skills) inspections to uphold regulations at partner organisations

Institutional Theory • Normative isomorphism/Normative pillar	• Introduction of Professional Capabilities Framework by the College of Social Work • Shrinking public sector employing less qualified staff • New learning challenging ingrained local rules
Dynamic Capabilities Theory • Seizing opportunities	• Increasingly undertaking commissioned work including project work and swift development and change programs for partners after negative Ofsted inspections • Decision-making checklist: Questions regarding membership wants, how it adds value for members, and is it going to add to own business viability? • Aiming high to commission leading researchers/practitioners • Developing different ways of engaging with resources • Draft materials peer-reviewed by three academics and three practice experts • Developed regional membership offers for groups at a discounted rate
Social Innovation Typology • Resources/constraints/capabilities	• Expanding capacity between 2016 to 2018, with small increase in staff and increased capability in evaluation • Use of associates to build capacity • Bringing together academic and practice expertise to create new resources • Strong partnerships • Building resources for all those delivering children's services • Mapping of existing resources to new standards • Providing multi-layered support (e.g., strategic briefings, practice tools and guides) • Needing to pay attention to resources and viability, but it is not always about the bottom line
Social Innovation Typology • Process dynamics	• Invests in relationships and stays strongly connected to policymakers, member organisations and professional networks • Co-production and sharing of resources and support materials,

	systematically bringing together research and practice expertise • Leverages associates' and partners' expertise • Updating material to keep pace with new research and making links between resources • Committed to increased participation for young people to be more involved in service development • Increasing knowledge integration responding to increased integration of services • Evolves what is offered to members by increased use of technology and easier website navigation • Increasing commissioned change projects if found to be a good fit after using a decision-making checklist • Supporting people to shift ingrained ways of working—recognising research utilisation requires organisational engagement, leadership and learning culture • Staff driven by wanting to make a difference • Ongoing challenge to monitor impact • Feedback mechanisms for the selection of annual program, feedback on learning resources in development and delivered • Building reputation across social care market

6.3.2.1 Institutional theory: Coercive isomorphism

As an independent membership organisation, data did not provide evidence of regulative pressures directly on CSI; however, there was evidence of indirect impact of regulative pressures. For example, partner organisations are primarily local authorities who are dealing with austerity measures (CSIM1, 2016, 2018; CSIS2, 2016, 2018) which have led to decreased funding, restructuring and integrating services, employing unqualified and cheaper staff and undertaking further scrutiny of their engagement with CSI. Regulatory pressures experienced through negative inspections by Ofsted resulted in CSI responding to these members with a swift package for practice development and change (CSIM1, 2018).

6.3.2.2 Institutional theory: Normative isomorphism/Normative pillar

Pressures from professional standards are evident in the data. For example, the introduction of the Professional Capabilities Framework left member organisations seeking ways to respond, with CSI providing leadership by mapping existing resources to the new framework and highlighting where gaps existed (CSIM1, 2018). Further mapping work to knowledge and skills statements is publicly available on the organisational website (D9) to support social workers and other professional to meet and provide evidence that they meet professional requirements. CSIS2 (2016) indicated that local authorities employ fewer qualified staff and more unqualified staff, and CSIS1 (2016) suggested fewer local authorities have research posts due to austerity measures. CSIM1 (2016) stated that more needs to be understood about how to support people to move from ingrained, established practice by "creating this environment where people can confidently do that together". Furthermore, she described CSI's translation work as helping to establish common language for new practices and then to think through appropriate team structures.

6.3.2.3 Dynamic capability theory: Seizing capacity

The evidence indicates that CSI has continued to work at sustaining its membership in difficult times and has in fact seized opportunities to increase its membership (CSIM1, 2018; CSIS6, 2018). CSIM1 (2018) stated that a new category of membership, a regional group membership, can now be made at a discounted membership cost and enabled CSI to "work with them more coherently on their regional list of priorities as well".

The evidence suggests that CSI is increasingly seizing opportunities to undertake commissioned work, with CSIM1 (2018) indicating that a pendulum swung from 2016 so that this now accounts for more of the organisation's income than member contributions. CSIM1 (2018) further indicated that a decision-making checklist is utilised to assess opportunities, and includes asking questions of themselves regarding members wants, value to members and own business viability. CSIM1 (2018) also stated the following: "I suppose that's a privilege in way of being in a third-sector organisation. You know, it's not always about the bottom line all the time". CSIM1 (2016) indicated that in seeking to provide leading-edge work, CSI took opportunities to partner experts in research and the field to develop and review resources. CSIS7 (2018) stated that work was also being undertaken to diversify the resources and products being developed.

6.3.2.4 Social innovation typology: Resources, constraints and capabilities

The interview and focus group data indicate that, while operating in a context of austerity measures, CSI has gained members and commissioned work and, as a result, experienced a small increase in staff between 2016 to 2018, including a dedicated resource to improve capability in evaluation (CSIM1, 2018). As CSIS3 (2016) pointed out, further capacity is acquired through relationships with associates who are active in reviewing publications and delivering workshops. Associates provide this work at charity rates for CSI, who in turn provide associates with access to the members website section, free attendance at workshops and briefings (CSIM1, 2018).

The evidence further suggests that CSI is active in bringing together academic and practice expertise to develop research briefings, followed by conference presentations, workshops and webinars, which are recorded on how to best translate this research resource into practice (CSIM1, 2016). CSIM1 (2018) stated that members generally send two staff to the national events CSI runs, and that it adds the "value of hearing how people do it elsewhere". Members are also supported on the introduction of new standards by CSI mapping existing resources to new requirements (CSIM1, 2018; D10). CSI offers multi-layered support (CSIM1, 2016), with leaders' briefings for local leaders, strategic briefings for "assistant directors, people who are shaping and have ability to think and commission and plan service structure", frontline briefings for workers and practice tools. Additionally, much of the bespoke training for partners is multi-levelled, with offerings for senior management, middle management and frontline attendees (CSIS6, 2018). CSIM1 (2018) stated that "we're always training to think in that 360-way about the organisations that we're working with and supporting engagement with evidence at all those different levels".

6.3.2.5 Social innovation typology: Process dynamics

CSI works in relationships to develop and share resources. For example, CSIM1 (2016) commented that relationships are core to human services work with CSI providing "an investment in time.... I don't think anyone else is investing in it to quite that degree really". CSI seeks to bring together research and practice expertise (D11) and systematically assures that research briefs and resources developed are reviewed by three practitioners and three academics aided by the expertise of associates and partners. CSI has begun involving carers and young people in some of their developing work and is looking at more flexible ways to make research and resources available using technology, assessing that there is more to be done in these areas (CSIM1, 2018). Staff who have a portfolio as a

‘topic lead’ take responsibility for ensuring that new evidence in their area is reviewed, and research briefings are added to and revised as appropriate (CSIS5, 2018)—although CSIM1 (2018) commented this could be more systematic.

Integrating knowledge is becoming a more common practice and is partly driven by austerity measures which have seen local authorities combining their service teams, and some layers of staffing removed (CSIS5, 2018). CSI works towards their resources being used and embedded to improve practice through change project methodology, which embeds feedback loops, and through data collection from its website (D12). However, CSIM1 (2016) described how difficult it was to support people in partner organisations to shift ingrained ways of working if their organisation did not have a learning culture and strong leadership, further stating that CSI staff are driven by wanting to make a difference but that it was an ongoing challenge to systematically monitor the impact of their work.

CSI is building a reputation to deliver external projects, and decision-making lists have been created to assess whether CSI should be applying for commissioned change project opportunities in the social care market on their own, in partnership or acting as a critical friend to others (CSIM1, 2016; CSIS3, 2016).

6.3.3 Understanding impact

This sub-theme is mapped to pertinent elements of the theoretical framework. Table 6.4 below summarises the evidence for this sub-theme and is followed by the analysis.

Table 6.4: Summary of understanding impact.

Sub-theme: Understanding Impact	
Theory/Element	Evidence
Social Innovation Typology • Process dynamics	• Feedback mechanisms for the selection of annual program, feedback on learning resources developed and delivered • Ongoing challenge to monitor impact, deploying various mechanisms
Organisational Learning Theory • Evaluation	• Being clear on what is required by members and constantly checking • Feedback forms at events are now online and include pre- and post-surveys with space for participants’ commentary—but difficult to get longer term feedback

	• Feedback from facilitators and funders • Results of tailored workshops are discussed by account managers with link officers, checking if training made a difference • Informal feedback • Repeat bookings and referring others to attend • Website tracks usage and levels of engagement
Social Innovation Typology • Resources/Constraints/Capabilities	• Own staff, associates, network • Increasing use of technology, updated website with embedded client relationship system
Institutional Theory • Mimetic isomorphism/Cultural-cognitive pillar	• People need time to get to grips with research which conflicts with how things are done • Trend towards service integration • Trend towards online resource access
Dynamic Capability Theory • Reconfiguring	• Actively seeking to build in-house writing capability • Engages external experts to boost capacity • Strengthened evaluation capability • Mapping of new requirements to identify and build agenda to address gaps • Long-established trust provides strongly supportive governance • Introduction of podcasts

6.3.3.1 Social innovation typology: Process dynamics

CSI's account managers gather and log information from members, which is then combined with other feedback so a "more rounded" report on the results of implementing learning resources can be made (CSIM1, 2016). CSIM1 (2016) commented that "it comes back to that relationship thing; it can be really great that you end up hearing from the horse's mouth". CSI has in place methodology for change projects (D13) which includes promoting and embedding the long-term use of products developed, while continuing to seek feedback from the sector. CSIM1 (2016) indicated that, despite their efforts, it is an ongoing challenge to monitor impact in the field.

6.3.3.2 Organisational learning theory: Evaluation

The evidence indicates that CSI prepares for evaluation by being clear about what its membership is seeking and constantly checking on progress made. For example, feedback forms are used for all workshops and have been placed online so that pre- and post-survey data and comments can be easily collected, and feedback is sought from facilitators and funders (CSIS6, 2018). However, CSIS2 (2016) indicated that it was difficult to get longer-term feedback, although CSI's account managers regularly seek feedback from link officers. Another way of evaluation offered by CSIS2 (2018) was the level of repeat bookings by members for workshops, and CSIS6 (2018) described tracking the usage and levels of engagement of CSI's website.

6.3.3.3 Social innovation typology: Resources, constraints and capabilities

The evidence suggests that staff numbers at CSI grew modestly between 2016 and 2018 from 33 to 36. Capacity was further boosted by the work of freelance associates, with CSIM1 (2018) describing utilising associates as a way of acquiring rich, intellectual capital. CSIM1 (2018) commented that, "while we have a core staff team, a lot of the delivery and lot of the activities are undertaken by associates who might be subject experts in a particular area". CSIS2 (2018) and CSIS5 (2018) agreed that CSI could not function the way they did without the work of associates, who were often involved in writing or reviewing research briefs, and developing and delivering workshops. The number of member organisations also grew between 2016 and 2018 from 80 to 107, which CSIS5 (2018) described as "counterintuitive", given the austerity measures in the operating environment. Further attention has been required on integrating knowledge and supporting managers in membership organisations to work across differing services, as local authorities have integrated services and removed a level of staffing as a way of managing reduced funding (CSIS2, 2018; CSIS5, 2018). CSI has invested in upgrading its technology by updating its website, increasing online delivery of training and resources, and embedding a client relationship management (CRM) system (CSIM1, 2018).

6.3.3.4 Institutional theory: Mimetic isomorphism

CSIM1 (2016) stated that established ways of thinking about how things are done are difficult to shift and that people require time and confidence to take up new understandings. Austerity measures have led to a reduction in budgets for members (CSIS4, 2016), with an emergent trend of service integration. Economies appear to be made via the removal of a layer of staff and increased employment of unqualified staff for

salary cost savings (CSIM1, 2016). In line with global trends, CSI is increasing flexible and online learning delivery (CSIS5, 2018) for increased anytime access to materials.

6.3.3.5 Dynamic capability theory: Reconfiguring and transforming capacity

The evidence indicates that CSI has an ongoing commitment to practice improvements (D14). For example, CSIM1 (2016) stated that CSI is actively seeking to build further in-house writing capability, while continuing to boost its capability by engaging external researchers and practitioners as required. CSIM1 (2018) reported that a new position had been created for an evaluation lead, and the appointee has already increased organisational capacity for evaluation significantly. As new policy requirements emerge, CSI has developed a process for mapping current resources and processes to support members to understand the change, identify unmet requirements and build an agenda to address gaps (CSIM1, 2016; D15). CSI has upgraded its technology capability for flexible delivery of learning—for example, introducing podcasts (CSIS5, 2018). CSI benefits from stable governance from a long-established and active trust (CSIM1, 2018).

6.3.4 Summary Theme 1: Social change

CSI is an established membership organisation which understands that the requirements of its membership of children's services organisations change in line with current community expectations. Pressures on members such as austerity measures have allowed it to broaden its income stream and attain funding opportunities which will support sector development (CSIM1, 2016). CSI supports improvements in service provision to ultimately improve outcomes for families and children. CSI was found to work collaboratively, facilitating and participating in networks and meetings with policymakers, and bringing together academics and practitioners. It gathers intelligence and advocates on behalf of its members. The evidence demonstrates that CSI provides a suite of products to its membership, including research briefings at various levels and tailored support to assist members to implement change. It seeks to understand the level of success of its offerings through close contact with its membership. It renews and transforms itself by building internal expertise such as technology developments and evaluation capacity, and by leveraging relationships with associates and partners.

6.4 Theme 2: Building Organisational Capacity

The theoretical elements selected to analyse this theme from organisational learning theory are knowledge strategy, learning processes, learning levels and evaluation to

enable analysis of differing aspects of organisational learning. Additionally, reconfiguring from dynamic capabilities theory was selected to analyse organisational transformation and renewal. Table 6.5 (below) summarises the evidence for this sub-theme and is followed by the analysis.

Table 6.5: Summary of building organisational capacity.

Theme: Building organisational capacity	
Theory/Element	Evidence
Organisational Learning Theory • Knowledge strategy	• Systems to develop internally • Research and development organisation • Push from managers to identify strengths, weaknesses and interests • Learning from members/lead researchers and practitioners • Linking resources and content
Organisational Learning Theory • Learning processes	• Annual budget for training and development activities • Individual training as required (e.g., web manager on specific web development course) • Coaching • Support to obtain professional qualifications • Reflective supervision for staff • Group meetings—learning from each other • Support for staff to attend workshops, conferences, have conversations about different aspects of service • Associates have an annual PD day, access to CSI resources and learning events • Challenging to be informed across practice content, particularly without practice background
Organisational Learning Theory • Learning levels	• Individual (e.g., supervision, sole attendance at workshop) • Team (e.g., group meetings) • Knowledge exchange between partners, associates and staff • Research and development organisation
Organisational Learning Theory • Evaluation	• Supervisory conversations • Quality assurance processes (e.g., use of feedback and surveys on training attended or delivered) • Deeper understanding enables staff to make links between various resources and practice
Dynamic Capability Theory • Reconfiguring	• New recruitment for evaluation expertise

	• Selection and support of ongoing associates • Partnering with leading thinkers and practitioners • Development of technology (e.g., website with client management system embedded, moving into podcasts and online delivery)

6.4.1 Organisational learning theory: Knowledge strategy

While striving to support practice improvement of its members (D16), CSI also seeks to strengthen itself, with staff describing CSI as a research-and-development (CSIS3, 2018) or learning-development (CSIS5, 2018) organisation. Managers work with staff to identify strengths, weaknesses and interests (CSIS5, 2018). Expertise is brought into the organisation from associates and partners (CSIM1, 2016), with CSI endeavouring to secure lead researchers and practitioners in the field. Staff may develop a depth of understanding when working as a 'topic lead' or a breadth of understanding when fielding requests from across the membership (CSIM1, 2018; CSIS6, 2018). Over time, staff develop capacity to connect various practice briefings, as well as develop an integrated understanding of how they relate to each other and how this can be applied in practice (CSIS6, 2018).

6.4.2 Organisational learning theory: Learning processes

CSI has professional development systems in place for staff and associates (CSIM1, 2018). There is an annual budget for workplace learning activities for individual staff training, with learning needs and interests identified through supervisory conversations (CSIM1, 2018). There is encouragement within supervision for "learning from mistakes, learning from successes and trying to take that forward" (CSIS4, 2016). Examples of workplace learning include access to publications, training and coaching and support for staff to obtain professional qualifications, with an emphasis on group meetings to share learning (CSIS5, 2018). Associates have access to publications, learning resources and learning events, including an annual PD day designed for associates (CSIM1, 2018). CSIS6 (2018) and CSIS7 (2018) commented that they had not come from practice backgrounds, and that CSI had been supportive with development opportunities for them.

6.4.3 Organisational learning theory: Learning level

The evidence indicates that learning at CSI occurs at the individual level through supervision, workshop attendance, access to publications and resources and feedback (CSIM1, 2018). Learning is encouraged at the team level through group meetings, where all are encouraged to contribute (CSIS5, 2018). There is knowledge exchanged between CSI's account managers with link officers at member organisations and between staff working with associates (CSIS5, 2018). Learning also occurs for leaders through participation in the various network forums which CSI convenes, and in external networks including national policy groups (CSIM1, 2018).

6.4.4 Organisational learning theory: Evaluation

Feedback is discussed within supervisory conversations (CSIM1, 2018). Quality assurance processes are embedded, which include the use of feedback and pre- and post-surveys on training which CSI staff and associates attend or deliver (CSIS7, 2018). Resources which are being developed receive feedback from three practitioners and three academics, with this process found to be a successful strategy to strengthen offerings. CSIS6 (2018) described being able to integrate the knowledge of differing resources and understand how they combine in practice as a measure of a deeper understanding which developed over time. CSI provides an annual report online (in video format) which provides information on achievements (D17).

6.4.5 Dynamic capability theory: Reconfiguring and transforming capacity

In 2018, CSIM1 claimed that CSI had built evaluation expertise through an appointment to a new evaluation lead position. CSIM1 (2018) also stated that rich intellectual capital is brought into the organisation through the recruitment of associates, who are attracted by the learning resources and sense of team and, in return, provide services at charity rates. The evidence suggests that CSI develops through its relationships with leading thinkers and practitioners, with feedback received on all products being created (CSIS5, 2018). CSI is building on its technology capabilities, with webinars, commencing podcasts and an improved website (CSIS6, 2018), which has a new CRM system embedded (CSIM1, 2018).

6.4.6 Summary Theme 2: Building organisational capacity

The evidence suggests that CSI systematically builds its organisational capacity through providing workplace learning to its staff and associates, and via partnership. Identifying as a research and development organisation, managers support staff to identify learning needs in supervisory conversations, and with an annual training budget, assist them to participate in internal or external development activities. CSI's associates benefit from having access to publications, learning resources and events, including an annual PD day (CSIM1, 2018). Further capacity is built through systematically collecting and utilising feedback on training, and through reviewing arrangements on resources developed.

6.5 Theme 3: Building Sector Capacity for Improved Services

The theoretical elements selected to analyse inter-organisational capacity building are from organisational learning theory. These comprise knowledge strategy, learning processes, learning levels, and evaluation to enable analysis of differing aspects of inter-organisational learning. Additionally, reconfiguring from dynamic capabilities theory was selected to analyse organisational transformation and renewal. A summary of the evidence is presented in Table 6.6 (below).

Table 6.6: Summary of building sector capacity for improved services.

Theme: Building sector capacity for improved services	
Theory	Element
Organisational Learning Theory • Knowledge strategy	• Membership organisation with remit to utilise evidence to improve practice • Members are surveyed annually to set priorities • Members have staff receive research and policy briefings, tailored support as to how to implement research reviews, places at national events, access to members only resources and networking opportunities • Associates have access to the above
Organisational Learning Theory • Learning processes	• Core research reviews and publications • Leaders' briefings • Partnership conference • Strategic briefings for assistant directors • Practice tools and guides • Coproduction with practitioners and academics, a little with young people • National workshops

	• Tailored support: training workshops or evaluation support delivered at member organisations • Knowledge integration • Webinars, live and recorded • Podcasts • Evaluation services
Organisational Learning Theory • Learning levels	• Stratified programs with strands for the leadership, middle managers, and practitioners • Aimed at all levels of field organisations, from directors, managers, senior leaders, lead members and councillors, professional staff and non-qualified staff, and carers • Public (e.g., publications explaining social care jargon) • Regional groups of members
Organisational Learning Theory • Evaluation	• Monitoring website data on page views, downloads, engagement • Feedback forms for all training delivered • Gathering wider feedback about use of resources • Feedback from networks—less easy to capture systematically • Account manager role links closely with member organisation and acquires feedback • Challenges for members in building a learning culture • Conducting evaluations on own and in partnerships
Dynamic Capability Theory • Reconfiguring	• Website developed so members can access and record professional development • Bringing in expertise through associates • Staff with topic lead responsibility encouraged to think more creatively about products • Professional development system for staff and associates • Developing more flexible delivery (e.g., podcasts) • Keeping research products new (e.g., adding new research and revising findings) • Diversifying income streams • Sustaining support of sector by meeting and anticipating needs where possible

6.5.1 Organisational learning theory: Knowledge strategy

CSI is a membership organisation with a remit to support member organisations to better understand and use evidence to improve practice (D17). Topics for the following year are gathered from members, with additional topics being added from intelligence gathered at policy-making forums (CSIM1, 2016). Priorities are set collaboratively by members voting on the topics which would be most valuable to them (CSIM1, 2016; CSIS6, 2018). For each of the selected topics, academic and practice leaders are engaged, an evidence review is conducted, and a research briefing developed after going through a review process (CSIM1, 2016). Members send staff to CSI's research briefings aimed at leaders, middle management and operational staff; attend CSI's national learning events; and have tailored support delivered to them, which consists of two days in-house training or evaluation support in their workplace (CSIS1, 2016). CSI also offers access to online learning and resources through a member-only section of their website, which captures completed learning for CPD purposes (CSIS3, 2016; CSIS4, 2016). CSIS2 (2016) stated that these services are also available to non-members on a fee-for-service basis.

6.5.2 Organisational learning theory: Learning processes

The evidence suggests that CSI facilitates a range of workplace learning processes. For example, it creates research publications; provides research and policy multi-level briefings for senior leaders, assistant directors and operational staff; and collaboratively develops practice tools and guides on how to integrate and implement the evidence (D19). CSI has combined practice and academic knowledge in developing resources and is now attempting to be more inclusive of the voice of young people and carers, noting that there are now 'voice organisations' who have expertise in supporting young people with care experiences wanting to partner CSI to provide this function (CSIM1, 2016). CSI has developed further evaluation capability, and provides evaluation consultancy and services, including on fee-for-service projects which it has won on its own or within a partnership (CSIM1, 2018).

6.5.3 Organisational learning theory: Learning level

CSI actively works at taking a 360-degree approach to supporting member organisations with learning (CSIM1, 2016). It provides stratified programs to better suit the needs of members, at the leadership, assistant director and operational staff levels, noting that operational staff may be social workers but may have differing professional backgrounds

or may increasingly be under- or un-qualified (CSIM1, 2016; CSIS6, 2018). Additionally, CSI provides learning to local authority members and councillors who are key stakeholders, and provides learning resources for the public to assist them to understand social care jargon and processes (CSIS1, 2016). CSI facilitates and participates in a wide range of networks and forums (CSIM1, 2016).

6.5.4 Organisational learning theory: Evaluation

The data collected indicates that CSI undertakes evaluation in a variety of ways, from formal evaluation programs to measuring website usage, downloads and engagement (CSIS6, 2018). CSI moved to online processes for the collection of pre- and post-feedback from all training participants, which is combined with feedback from facilitators for analysis (CSIS2, 2018). However, gaining longer-term feedback was noted by CSIS2 (2016) as challenging. Members receive two days of tailored support per year and may select evaluation support to be its focus (CSIS1, 2016). CSI invests in maintaining relationships with some staff undertaking the role of account managers and having regular contact with designated link officers at membership organisations. This is considered a highly valuable method to collect information as to what is currently occurring on the ground and it provides CSI with feedback on what has gone well and what in their offerings has not (CSIM1, 2016, 2018). CSIM1 (2016) stated that one of the issues in utilising research is that it can conflict with the way things are done; staff require time and support to be able to take on new learning, with indications that member organisations with learning cultures will do better at absorbing new learning.

6.5.5 Dynamic capability theory: Reconfiguring and transforming capacity

The evidence suggests CSI works to stay aligned to their membership and to have the capacity to support them. For example, CSI has invested in website development so that members have access to more online resources, can participate in learning more flexibly through webinars and podcasts, and have training records which meet CPD requirements for their professions (CSIM1, 2018; CSIS5, 2018). Topic leads at CSI have the challenge to keep pace with new research in their areas and revise findings as required in the relevant products (CSIS7, 2018), which CSIM1 (2018) stated could be more systematic.

Due to national government austerity measures and other environmental pressures, CSI decided to diversify its income by selectively applying—often in partnership—for funded capacity building project opportunities (CSIM1, 2016) while experiencing increased

demand from members (CSIS6, 2018). CSI works to meet member expectations through ensuring that members help set the agenda with annual national consultations (Sophie, 2016; CSIM1, 2016) and through continued feedback from account managers (CSIS3, 2016; Sophie, 2016; CSIS6, 2018; CSIS7, 2018). CSIS4 (2016) emphasised the importance of being seen to consult and support members as part of proving the worth of the service in difficult times, and, interestingly, three out of four focus group members in 2016 and all focus group members in 2018 had account management as part of their responsibilities. CSI seeks to anticipate what will be asked of members through policy briefings and forums, and then seeks to support members to be ready for changing policy requirements (CSIM1, 2018).

6.5.6 Summary Theme 3: Building sector capacity for improved services

CSI seeks to build the capacity of their member organisations through collaboratively identifying learning priorities from topics members nominate, combined with topics developed regarding policymakers' proposed changes. An annual professional learning program is delivered which includes research briefings at stratified levels, an annual conference and tailored workshops. CSI collaboratively develops workplace learning resources for its memberships by bringing together academic and practice expertise, with robust review processes. It is seeking to be more inclusive of the voice of young people with care experiences and carers, acknowledging that there is more to be done in this area. CSI aims to offer stratified support to meet the needs of all levels of those working with young people and develops some resources for carers and the public. CSI undertakes evaluations of its products and for its members. Newly strengthened evaluation capacity has enabled CSI to win tenders to undertake further evaluation projects. CSI has worked to attract additional funding in mitigation of the risk of the reduced budgets for its membership who are dealing with austerity measures. CSI's developing technology capabilities have resulted in improved functionality of its website, with topics easier to find, more online opportunities and better systems for the recording of completed PD.

6.6 Other Points of Interest

Other issues arose in the data such as Brexit, however this was an unknown at the time of data collection and is not the focus of this study. Staff meet regularly via video conferencing, and this technology was deployed for staff focus groups in 2016 and 2018, with two or three participants in the room, and remaining participants video streaming into the discussion. Partners and associates were not interviewed as part of this study. A

mapping of the changes in workplace learning which emerged in the data from 2016 to 2018 are presented as part of the comparative analysis of findings in Chapter 8.

6.7 Summary

This chapter introduced CSI, a UK children's services membership network which seeks to support improvements in service provision towards ultimately improving outcomes for families and children. It clearly emerged from the data collected that CSI provides an annual program of services to its membership, including research briefings at various levels and tailored support to assist members to implement change via training workshops or by providing support for evaluation. CSI expands its capacity through relationships with independent associates and partners and was found to work collaboratively to facilitate and participate in networks and meetings with policymakers, academics and practitioners. It seeks to be more inclusive of the voice of young people and carers, acknowledging that there is more to be done in this area. CSI seeks to understand the level of success or failure of its services through feedback processes aided by close contact with its membership. CSI renews and transforms itself through providing workplace learning to its staff and associates and by leveraging relationships with associates and partners. Quality processes include resources being developed undergoing review by three practitioners and three academics. CSI undertakes evaluations of its products with newly strengthened evaluation capacity. It has attracted additional funding to mitigate the risk of the poor economic times for its membership, who are dealing with austerity measures. This includes having secured tenders to undertake evaluation projects and other development projects for the sector. Findings for Case Organisation 4 are presented in the following chapter.

Chapter 7: Findings for Case Organisation 4 (Brighter Futures for Children)

"There is mounting interest in the use of theories, models and frameworks to gain insights into the mechanisms by which implementation is more likely to succeed" (Nilsen (2015, p. 1).

7.1 Introduction

7.1.1 Organisational information

A table of demographic information for the organisation is presented below, followed by further information to introduce Case Organisation 4, Brighter Futures for Children (BFC).

Table 7.1: Demographic information.

Organisation Type	Centre of excellence
City/Country	Glasgow, Scotland
About	An improvement and innovation centre in Scotland. Supports people and organisations to drive long-lasting change in children's services and the practices of people responsible for care (D1[4]).
Size	30 staff in 2016, expanded to 90 staff in 2018
Purpose	Seeks to ensure children's needs and rights, and their development, which are at the heart of the support services designed to protect them; care for them; and enable them to learn, grow and thrive (D2).
Age	Established in this form in 2012, with 20 years prior experience as a centre and institute.
Interviewees	2016 Focus group interview with staff BFCS1, BFCS2, BFCS3 and BFCS4 2018 Executive manager interview with BFCM1 2018 Interviews with staff BFCS1, BFCS3 and BFCS5

7.1.2 General processes

BFC is a centre of excellence based in Glasgow, Scotland, primarily funded by government and auspiced by a university. It developed from a small team focusing on improving residential care for children in 1994 to a wider remit for looked after children as a centre of excellence in 2012, to a wider remit again in 2017 to include child protection improvement services. It works to improve looked after children and young people's

[4] Due to the onus on the researcher to de-identify the data, organisational documents referred to are not included in listed references.

experiences and life chances in Scotland. BFC works alongside a wide range of professionals who interact with these young people as well as wider service systems responsible for their care.

BFC claim they work innovatively, and promote reflection and learning with leaders, managers and practitioners (across whole systems), seeking to influence practitioners, leaders and policymakers (D3). BFC state they utilise improvement methodologies to effect continuing and lasting improvements whilst providing professional development, consultancy, service improvement and policy and evidence implementation to improve children's care and protection (D4).

7.2 Theoretical Framework

The theoretical framework was developed from four theories: *dynamic capabilities theory*, *institutional theory*, *organisational learning theory*, and *social innovation theory*. Each of these theories comprise a number of elements with some overlap. The three major themes of *social change*, *building organisational capacity*, and *building sector capacity for improved services* emerged from the data and are now discussed via mapped elements from the theoretical framework.

7.3 Theme 1: Social Change

The data from BFC provided evidence of efforts to undertake social change. This theme is discussed through the three sub-themes of *understanding social change and finding opportunities to respond, undertaking the change* and *understanding the impact of the change.*

7.3.1 Understanding social change and finding opportunities to respond

This sub-theme was mapped to pertinent elements of the theoretical framework. Table 7.2 below summarises the evidence for this sub-theme and is followed by the analysis.

Table 7.2: Summary of understanding social change and finding opportunities to respond.

Sub-theme: Understanding social change and finding opportunities to respond	
Theory/Element	Evidence
Social Innovation Typology • Concepts and understanding	• Understanding the political narrative which may change practice • Coming together in different formats to identify desired changes • Active implementation model

Social Innovation Typology • Addressed societal needs and demands	• Changing outcomes for children at risk through changing processes and practices of organisations supporting children • Changing legislation if required • Working with young people to identify what good care could look like
Social Innovation Typology • Actors and networks	• Own staff • Government • Local authorities • Health boards • Residential care providers • Third-sector providers of services • Education providers • Police • Young people: participation network/groups • Social care and education inspectors • University • International connections through course delivery and visitations
Dynamic Capabilities Theory • Sensing and shaping opportunities	• Very close relationship with government (main funder) • Influencing political and policymaker thinking regarding innovations emerging within care settings • Communicating with stakeholders • Being 'nosy' regarding practice and research literature • Increasing work to elevate the voices of young people • Getting the 'right people' together regarding issues • Supplying people with good research evidence • Changing the way people use that evidence through active implementation • Gathering intelligence through conversations • Two new roles sharing and gathering international best practice • International exchange (e.g., reciprocal visits to Jersey and Netherlands)

7.3.1.1 Social innovation typology: Concepts and understanding

The data examined indicates that BFC understands that political discussions and government demands may lead to social innovation, or that social innovation may arise through collaborative approaches to resolving an issue, involving combining practice and research knowledge. For example, BFCS2 (2016) stated that his role is to be

> as far ahead of the curve in terms of where things are going as I can be by keeping in touch with the political narrative ... if that happens, how would we respond? How would that affect the work that we're doing?

BFC understands that not all change is helpful, with BFCS2 (2016) stating that they attempt to "influence in a direction that we think will be positive or minimise the damage it might cause ... Government might want to make changes that we think actually are unhelpful". BFCS4 (2016) explained that innovations for BFC may be in response to children's needs or an organisation's needs, with BFCS2 (2016) adding that, if there is an opportunity to make change, various staff come together with stakeholders to identify what those changes are.

7.3.1.2 Social innovation typology: Addressed societal needs and demands

BFC's website (D5) states that BFC is

> dedicated to making positive and lasting improvements in the wellbeing of children and young people living in and on the edges of care, and their families, across the whole country, and the globe—children who, through no fault of their own, are not able to enjoy the same positive experiences and outcomes as many of their peers.

As an improvement and innovation centre, it works alongside partners who are delivering services and offering support via consultancy, learning and development, policy, qualifications and research (D6). Examples include delivering suicide prevention initiatives, initiating cross-sector forums to respond to young people falling through the cracks of systems and forming an edge-of-care response, and developing highly rated and well-received guidance on a range of issues (BFCS3, BFCS1 and BFCS4, 2016). BFC has close links to policymakers and seeks to influence legislation (BFCM1, 2018). BFCS5 (2018) described the work he was undertaking with unaccompanied refugee children to identify what good care looked like. He stated that the perspectives of these refugee children will contribute to online learning being produced and made available to strengthen care responses for refugee children globally.

7.3.1.3 Social innovation typology: Actors and networks

The evidence indicates that BFC works collaboratively with a wide range of actors while working closely with their main funders, the government. BFC staff members have grown from 30 in 2016 to 90 in 2018 and come from a range of professions (BFCS1, 2018).

BFCS5 (2018) described his work as bringing together young people with those who have decision-making power in residential care provision, health, education, police and other service providers, and with participation networks. BFCS3 (2016,2018) described working with the academic community and funders, and BFCS2 (2016) described working with social care and education inspectors as well as international exchanges. BFCS3 (2018) stated that BFC is increasing international work through exchanges driven by their Massive Open Online Courses (MOOCs), and through the establishment of international lead positions for international knowledge exchange.

7.3.1.4 Dynamic capability theory: Sensing and shaping capacity

The case study data shows that BFC undertakes sensing and shaping activity. For example, BFCS2 (2016) described horizon scanning and seeking to influence government to undertake positive change by getting the right people around the table regarding issues. BFCS1 (2018) stated that “there seems to be a few key players who retain rules in relation to looked after children or vulnerable children who we've worked with for years”. BFCS3 (2016), whose focus was academia, stated that it is “about going to the right meetings, reading the right things, keeping your ear to the ground with particular people and trying to gather what I can” while relying on others at BFC to provide information on practice developments. BFCS3 (2018) stated being influential for her is about making sure people have good research evidence, and then changing the way they work through active implementation to use the evidence. Additionally, BFCS4 (2016) stated the following:

> Being nosy social workers, we like to keep our hands in ... practice literature, the information that is around that in terms of guidance, new issues for practice that come from some of the professional bodies and some of the big charities, that helps people.

BFCS2 (2018) also described opportunities to sense ways forward through international exchanges such as reciprocal visits to Jersey and the Netherlands.

7.3.2 Making the change

This second sub-theme is mapped to pertinent elements of the theoretical framework, noting that elements from institutional theory are included to analyse the organisational context as pressures from the environment constrains organisations ability to act (Chandler & Hwang, 2015). Table 7.3 below summarises the evidence for this sub-theme and is followed by the analysis.

Table 7.3: Summary of making the change.

Sub-theme: Making the change	
Theory/Element	Evidence
Institutional Theory • Coercive isomorphism/ Regulative pillar	• Works within international, national and local regulatory and policy frameworks • Primarily funded by Scottish Government, with attention on broad research declining • Increased use of contracted research associates • Required to implement a European data protection system
Institutional Theory • Normative isomorphism/Normative pillar	• Funded as a centre of excellence with a role to improve professional practice and standards • Provides residential care professional learning and qualifications in partnership with its auspicing body, a university • Provides MOOCs which reach thousands of people internationally • Works across professions with those who support children at risk
Dynamic Capabilities Theory • Seizing opportunities	• Increased contract with government expanding from supporting looked after children services to add supporting child protection services, and working across all areas which could impact the care of a child • Attracting fee-for-service funding for improvement work, evaluations and research • Seeks to take voices of young people and sector and to pilot innovations • Helping disruptor organisations take the next 'right steps' • Sharing learning globally • Values and principles (e.g., respect and justice, help decide whether to do a piece of work and allow flexibility to do things that do not quite fit organisational plans) • Active implementation adopted as the core model, with decline in learning and development and consultancy as standalone products • New development and innovation team for exploratory work

	• Using mass open online courses to educate globally
Social Innovation Typology • Resources/Constraints/Capabilities	• Increased resources: 30 staff in 2016 and 90 staff in 2018 • New hub structure in 2018 which reflects the journey of a child and brings together professionals for each stage, including quantitative data analysts as new contributors who support data systems • Increased capacity to connect to voices of young people and carers • Increased capacity to connect to innovators internationally • Capacity declined for delivering learning and development and consultancy services not linked to a change project • Did not replace L&D or consultancy lead when moved to new structure and both functions have eroded
Social Innovation Typology • Process dynamics	• All projects have a program logic • Developed from a theory-of-change approach to active implementation model to increase impactful change • Received training in active implementation model from US experts • BFC consultants enter care organisations bringing together staff and guiding a process to review existing data, gather more data and think about an improvement cycle—this can result in small to large scale change • Works towards change at personal level as well as change to systems and structures

7.3.2.1 Institutional theory: Coercive isomorphism

BFC's strategy document states that it works within "the context of international, national, and local policy frameworks" (D7). BFC is primarily funded by the Scottish Government and has contractual obligations to them, with BFCS2 (2016) commenting that their work has been "very much shaped by changing priorities of government". BFC does not always agree with government changes and seeks to support changes it does agree with and

influence those it does not (BFCS2, 2016), while always maintaining a close relationship with government (BFCM1, 2018).

BFCS3 (2018) described coercive pressures in the research areas as 1) a reduced remit in wider research but an increased remit in applied research in line with government directions, 2) an increased use of contracted research associates due to the rules of the auspicing university regarding permanent employment, and 3) a compulsion for BFC to implement a European data protection system.

7.3.2.2 Institutional theory: Normative isomorphism/Normative pillar

BFC, with the Scottish Government as a principle funder, describes itself both as a centre for excellence and an innovation and improvement centre which drives service development and delivery improvements (D8). BFC seeks to elevate professional standards and provides professional learning. This includes the development and delivery of the first qualifications for residential care staff, who look after children who cannot live at home via a partnership with their auspicing body, a university. These qualifications are delivered online alongside MOOCs, which are taken by thousands of workers from differing professional backgrounds worldwide who support children at risk (BFCS1, 2018). At the time of data collection, a further MOOC was being delivered to provide professionals insight into the experiences of unaccompanied children who have moved around the world and give them voice (BFCS5, 2018).

7.3.2.3 Dynamic capability theory: Seizing capacity

Over the period from 2016 to 2018, BFC gained further contracts from government, expanding their remit from supporting looked after children to incorporate supporting child protection services and working across all areas which could impact the care of a child (BFCM1, 2018). BFC also acquired fee-for-service funding for improvement work, evaluations and research (BFCS3, 2018). The expanded financial resources enabled BFC to invest resources in a new position to gain the voice of young people for change (BFCM1, 2018; BFCS5, 2018), which they anticipate will enhance their capacity to shape and seize further opportunities through pilot innovations going forward.

BFC utilises values and principles such as respect and justice to help decide whether to do a piece of work. BFCS2 (2016) commented that the lens of values also enables flexibility when they view needs that do not quite fit their remit. For example, although not set up to respond to individual enquiries, BFCS2 (2016) commented “it’s not in our nature, I think,

as individuals to turn people away [and] where we can, we do try and provide tailored support to people who are coming saying 'I've got a situation where a child's not being put on a school roll et cetera'". Over the investigation period, active implementation (see https://nirn.fpg.unc.edu/ai-hub) became the core change model for BFC and there was a decline in seizing opportunities to deliver learning and development and consultancy as standalone requests (BFCS1, 2018; BFCM1, 2018). Over this period, BFC restructured to create hubs for projects which included a new data analyst role and established a new innovation and development hub which worked across the organisation to create further innovative partnership opportunities. BFC also seized opportunities to expand its international work through its MOOCs and international knowledge exchanges.

7.3.2.4 Social innovation typology: Resources, constraints and capabilities

BFC gained further financial resources through an expanded contract with government and fee-for-service work. This enabled it to expand its workforce from 30 staff in 2016 to 90 staff in 2018. It restructured its resources into hubs which reflect the journey of the child, bringing together practitioners, researchers, data analysts and consultants into each hub. It increased its capacity to connect to voices of young people and carers (BFCM1, 2018; BFCS5, 2018) and also increased its capacity to connect internationally with its MOOCs and two new members of staff, whose roles were "solely to work across the world, taking best practice either from Scotland or to other parts of the world or gathering best practice from other parts of the world to bring back" (BFCS1, 2018).

BFCM1 (2018) and BFCS1 (2018) described a period of disruption during restructuring which left learning and development and consultancy services without a lead position, and the new hubs stretched so that there was no capacity to build or deliver learning and development or consultancy services outside of agreed-upon projects. As BFCM1 (2018) stated:

> We've pivoted wholesale, almost, and that wasn't necessarily our intention to do that ... we don't want to lose the individual service aspect that we used to have before which was important to the sector and it remains important to our theory of change. We get people interested in change by providing them with great quality events and with great quality learning and development.

7.3.2.5 Social innovation typology: Process dynamics

All change projects have a program logic which can also be described as a theory of change (BFCS2, 2016; BFCS4, 2016; BFCS3, 2016). Described as a significant development by BFCM1 (2018), between 2016 and 2018, BFC adopted and was trained in a US model of 'active implementation'. This model outlines vital details required for usable innovations, and provides common language for stages of innovation as well as guidance on drivers of innovation and embedding improvement cycles (National Implementation Research Network Frank Porter Graham Institute of Child Development, 2020). As BFCS3 (2018) commented:

> It's very much an evidence-based approach. And it very much relies on the generation of evidence within that implementation cycle, if you like. And use of that. But it's not a research for research purpose type approach. It's very much applied to the immediate situation and the development of the services at hand.

Active implementation involves a consultant from BFC entering another organisation to bring together staff to consider improvements and change, which can be personal, at the program level or larger scale (i.e., at the system level; BFCS3, 2018).

Another process development from 2016 to 2018 was the introduction of data analyst roles, which were described by BFCS3 (2018) as at the edges of research, as they assist local authorities with their quantitative data collection and interpretation. Data analysts work within hubs, usually alongside a researcher whose role is now primarily on the internal evaluation of the hub's work (BFCS3, 2018). In a further development, BFC created lead positions to focus on international knowledge exchange (BFCS3, 2018).

7.3.3 Understanding Impact

This sub-theme is mapped to pertinent elements of the theoretical framework. Table 7.4 (below) summarises the evidence for this sub-theme and is followed by the analysis.

Table 7.4: Summary of understanding impact.

Sub-theme: Understanding Impact	
Theory/Element	Evidence
Social Innovation Typology • Process dynamics	• Line from delivery to practice change can be quite distant

	• Measuring how closely desired outcomes were achieved using tools such as program logics • Formal evaluation through research team
Organisational Learning Theory • Evaluation	• All projects have a program logic • L&D activity evaluated by in-house research team • Evaluation of new initiatives • Researchers and data analysts in new hub structures
Social Innovation Typology • Resources/Constraints/Capabilities	• In-house research team • Increased integration in new hubs which follow 'the journey of the child' • New quantitative data analyst positions attached to hubs • Approached with offer to expand by government • Increased capability in engaging and facilitating conversations with children and families • Shift from academic research towards applied research, leading to a widening gap with auspicing university • Need to make corrections and re-energise functions which received less attention during restructuring
Institutional Theory • Mimetic isomorphism/Cultural-cognitive pillar	• Listening • Creating spaces for others to showcase/share their approaches and experiences • Theory of change incorporates evidence, relationships and voices of young people • Each program has a logic model which is tested • Active implementation provides common language and systematic ways of working and reviewing
Dynamic Capability Theory • Reconfiguring	• Restructuring to increase service and knowledge integration • Adopting active implementation model • Wholesale pivot from L&D offerings unintentional • New roles: data analysts, engagement role • Good steps and missteps through change process

	• Increased online offerings

7.3.3.1 Social innovation typology: Process dynamics

BFC's research team develops evidence through conducting internal evaluations and has increasingly been commissioned to provide external evaluation services (BFCS3, 2018). BFC utilises an evidence-based implementation approach to guide its innovation and change activity (D9). In 2016, BFC developed tools such as program logics and theories of change to guide change processes, including understanding impact (BFCS2, 2016; BFCS3, 2016). In 2018, BFC adopted an evidence-based model of implementation, namely "active implementation", with tools developed earlier found to be congruent with the new model (BFCS3, 2018; BFCM1, 2018). As a service and practice development delivery partner providing consultancy, BFCS4 (2016) stated that it was acknowledged it is quite hard to measure the difference made "in terms of people's day-to-day practice and improvement outcomes for children because the line from what we deliver to that point is quite distant". The introduction of the active implementation model seeks to improve the measurement of change efforts.

7.3.3.2 Organisational learning theory: Evaluation

In BFC, internal researchers and data analysts are integrated into a new hub structure to support evaluation of change projects (BFCM1, 2018). All projects undertaken have a program logic or theory of change which they can be measured against (BFCS3, 2018). Change project evaluations often take the form of a contribution analysis (BFCS3, 2016). BFC provides evaluation services to some organisations on a fee-for-service basis who have new processes or initiatives (BFCS3, 2018).

7.3.3.3 Social innovation typology: Resources, constraints and capabilities

BFC have developed processes and deployed resources to understand the impact of their change projects. For example, they introduced an active implementation model, changed the focus of their in-house researchers to applied research, and added new data analyst positions which focus on quantitative data analysis (BFCS3, 2018). The restructuring of staff resources into hubs which follow 'the journey of the child' has occurred for better knowledge integration and exchange, and to increase opportunities for making improvements (BFCM1, 2018). Increased resources have resulted from expanded

contracts with government and fee-for-service work. Notably, BFCS2 (2018) stated that having some independent income enables them to work faster to

> take the voices of young people, take the voices of what people are telling us in the sector and try and pilot innovations quickly and get the right people around the table so that we can then feed up to government, 'We've tried something here. We've worked in some area. That maybe something you want to consider'.

BFC has increased resources in applied research by decreasing resources in blue skies thinking research, which has widened the gap for some of the researchers from its auspicing university (BFCS3, 2018). BFCM1 (2018) commented that there was a need to make corrections and re-energise the functions which received less attention during the restructuring process, and that this would occur going forward.

7.3.3.4 Institutional theory: Mimetic isomorphism

For BFC, listening and horizon scanning is an important part of their culture as they work alongside organisations, policy makers, and care givers and recipients (BFCS2, 2016). They acknowledge that there is more to do to incorporate the voices of young people in the way they work (BFCM1, 2018) and have made efforts to collaboratively amplify young people's voices through creating spaces for others to showcase and share their approaches and experiences (BFCS5, 2018).

BFCS2 (2016) and BFCS3 (2018) stated that BFC have systematic approaches which are influenced by implementation science. BFCM1 (2018) described the adoption of the US-developed active implementation model, which has given them a shared vocabulary and tools for collaborative change projects.

7.3.3.5 Dynamic capability theory: Reconfiguring and transforming capacity

BFC undertook significant reconfiguring and transformation over the period from 2016 to 2018. BFCM1 (2018) stated that the existing teams in 2016 were

> becoming quite unwieldy and there were disproportionate sizes and we weren't sufficiently getting connections between those teams always. We weren't always approaching the work in a sufficiently integrated way that would maximise our opportunities for making improvement for children and young people.

BFC were approached by government, who were seeking to consolidate the funding of support services (which had been piecemeal) across a range of providers and roll this into one large contract (BFCM1, 2018). BFC gained the large contract with significant expansion, which required sensitivity, particularly as the disparate pieces of work had "been held with a lot of our partners" (BFCM1, 2018). This, and further fee-for-service work, led to an increase of staff from 30 in 2016 to 90 in 2018, with new roles developed addressing quantitative data analysis, youth participation and international innovations. BFC adopted a US model of active implementation as their central way of working. BFCM1 (2018) assessed that BFC had made good steps in reconfiguring but made some missteps with an unintentional wholesale pivoting away from individual learning and development and consultancy services. He stated that now they were through the storming part of the change process, they would address these missteps. BFCM1 (2018) further stated that BFC would also continue to increase its online offerings, further developing their capacity to reach out internationally with professional learning.

7.3.4 Summary Theme 1: Social change

BFC are an innovation and improvement centre which works to improve services for children and young people at the individual, program and service system levels. Strong sensing capabilities are indicated through claimed ongoing relationships with policymakers; horizon scanning activity at the local, national and international levels to try to keep ahead; and reported efforts to influence sector developments and locate opportunities for change. BFC undertake change collaboratively and have adopted an active implementation model to increase the integration of their work and increase opportunities to effect lasting change. Work for social change has included suicide prevention initiatives, creating cross-sector alliances to address young people falling through the cracks of care systems through what they have called 'edge of care' initiatives, and providing guidance resources on a range of practice issues. BFC increased their resources from 2016 to 2018, which included new data analyst roles to support quantitative data analysis, with these roles working alongside in-house researchers and evaluation systematically built into their change projects.

7.4 Theme 2: Building Organisational Capacity

The theoretical elements selected to analyse this theme from organisational learning theory are knowledge strategy, learning processes, learning levels and evaluation to enable analysis of differing aspects of organisational learning. Additionally, reconfiguring

from dynamic capabilities theory was selected to analyse organisational transformation and renewal.

Table 7.5: Summary of building organisational capacity.

Theme: Building organisational capacity	
Theory/Element	Evidence
Organisational Learning Theory • Knowledge strategy	• Increased knowledge exploration in 2018 through staff restructure into hubs for increased knowledge and work integration, increased international knowledge exchange • Decreased formal workplace learning in 2018
Organisational Learning Theory • Learning processes	• Skills audit being conducted • Auspicing university offers a range of opportunities • Personal development fund held by senior management team • Internal communities of practice (e.g., policy, communications and media, research, learning and development run monthly to quarterly) • Reflection encouraged • No process to address skills audit results in 2018 • Processes vary per role
Organisational Learning Theory • Learning levels	• Learning technologist develops and delivers open source courses accessible to staff • Staff work in hubs, with learning exchanged across these teams and with external organisations/stakeholders • In 2018, formal professional development ad hoc • Staff position introduced to increase learning from those experiencing care • Staff position introduced to increase learning regarding international innovation
Organisational Learning Theory • Evaluation	• Systematic evaluation • In 2016, research and evidence team supports evaluation of all learning activity • Feedback sheets, follow-up conversations • Taking a contribution analysis approach within evaluations
Dynamic Capability Theory • Reconfiguring	• Expanded remit and funding from government to support child protection services, work previously held by partners

	• Government advocated improvement methodology • Organisation adopted active implementation methodology • 2018: integrated hubs which bring together consultancy, research, analysis, learning and development roles and encourage cycles of reflection and learning through active implementation processes • 2018: newly created hub with a focus on new project development and nurturing of ideas • 2018: new role grounding work in the reality of client experiences • 2018: data analyst roles introduced • Increasing amount of international work • 2018: new roles for international innovation exchange • Decreased blue sky thinking research • Value of standalone training questioned and decreased • Decreased consultancy

7.4.1 Organisational learning theory: Knowledge strategy

As an innovation and improvement centre (D10), knowledge activity is core to BFC. BFC was described as going through continuous change from 2016 to 2018, with an expanded remit, increased fee-for-service work, restructuring and rapid growth. In 2018, BFC had increased activity in knowledge exploration as it restructured differing staff roles into hubs to improve the integration of their knowledge and work. It had created lead positions which expanded their focus on international knowledge exchange. A skills audit was being undertaken in 2018, however a system for the delivery of skills required was not in place at that time (BFCS1, 2018). BFCM1 (2018) stated BFC was going to turn its attention to learning and development again now that it had persisted through the “storming” part of this change.

7.4.2 Organisational learning theory: Learning processes

In 2018, BFCS1 reported that she was conducting a skills audit for a staffing group who had grown from 30 in 2016 to 90 in 2018. BFCS1 (2018) expressed disappointment that there was not a current system in place to address the skills audit being undertaken. BFCS2 (2018) stated that the auspicing university offered many personal development opportunities, and that the senior management team had been supportive through a

personal development fund they hold. Internal communities of practice were described as being held monthly or quarterly (BFCS2, 2018), although BFCS1 (2018) stated that they are not very impactful. BFCS3 (2018) stated that BFC is supportive of staff gaining qualifications and delivering and attending at conferences, and other needs which arise may be addressed by organisation-wide training. She also considered that learning processes are very much dependent on an individual's role as to how they choose to access opportunities.

7.4.3 Organisational learning theory: Learning level

BFCM1, BFCS5, BFCS1 and BFCS3 (2018) commented that all staff were able to access the online learning BFC had developed. BFCM1 (2018) described new structured learning cycles embedded across teams of staff working in integrated hubs, with learning processes sometimes including members of external organisations they support. In 2016, individual learning needs were addressed systematically, while in 2018, BFCS1 stated there was not a system to address development needs identified in an audit of skills she was conducting. BFCS5 (2018) explained that the focus of his new role was to increase the learning of all staff from those experiencing care. In 2018, BFCS3 described how new lead roles were introduced to increase learning from international innovation for the organisation.

7.4.4 Organisational learning theory: Evaluation

BFC have systematic approaches to evaluation, with BFCS1 (2016) stating that the research and evidence team supports evaluation of all learning activity. In addition to the use of feedback sheets, BFCS2 (2016) stated that they called participants to elicit further feedback through follow-up conversations. Evaluations by the research and evidence team were often guided by undertaking a contribution analysis, with the framework for this drawn from the relevant program logic model (BFCS3, 2016). In 2018, action learning reviews were embedded in BFC’s work through their active implementation model (BFCM1, 2018; BFCS3, 2018).

7.4.5 Dynamic capability theory: Reconfiguring and transforming capacity

BFC has reconfigured and transformed their capacity over time. In 2016, BFCS4 and BFCS2 explained that BFC was originally developed to improve residential care and had expanded to being for all looked after children. BFCM1 (2018) described a further expansion to their remit to additionally support child protection services, which came with

some challenges, as partner organisations had previously held this funding. In 2018, BFCM1 described the government's advocacy for improvement methodology, and BFC's subsequent adaption of the US-developed active implementation framework. BFCM1 stated that the new framework had led to the restructuring of staff teams into professionally diverse integrated teams so as to encourage knowledge exchange and encourage cycles of learning, with one new hub focusing on new project development and the nurturing of ideas. Further reconfiguration was described in 2018 by BFCS3, with new roles in quantitative data analysis by data analysts who are part of hubs, more applied and less 'blue sky' research, and by two new roles for international innovation exchange. BFCS3 (2018) also described an increasing amount of international work, and further international awareness of BFC through their delivery of MOOCs with international partners. The restructuring process led to less standalone training and decreased consultancy open to the sector, with the value of standalone learning activity the subject of intense debate within BFC (BFCS1, 2018).

7.4.6 Summary Theme 2: Building organisational capacity

Over the period from 2016 to 2018, BFC increased financial resources and experienced rapid growth from an increased remit from government to include improvement for child protection services alongside their established improvement for care services for children. They gained further resources through fee-for-service work. This resulted in a tripling of staff numbers, from 30 staff to 90 over this period. BFC reconfigured by introducing a framework of active implementation which brings new shared language and tools, and by restructuring to better integrate their work and learning. BFC restructured into hubs which follow the journey of the child, with two support hubs of central services and development and innovation. New roles included data analysts providing additional quantitative analysis capacity, international innovation leads who provide additional capacity for international knowledge exchange, and a role to develop the capacity of BFC to incorporate the voices of young people either in or having exited care.

Increased focus has been placed on applied research with a corresponding decrease in 'blue sky' thinking research, which disappoints some who claim it distances them a little further from other university researchers (BFCS3, 2018). Internal debates on the value of standalone learning and development and consultancy activities have led to a regression in these areas, which the executive manager indicated would be addressed now that the storming part of the major restructure was completed. A skills audit was being undertaken

in 2018, with no process available on how skill requirements will be met. However, in 2018, workplace learning was reported such as small courses, MOOCs, academic learning, structured learning cycles through the active implementation model which most staff were applying, and support via a professional development fund held by executive managers.

7.5 Theme 3: Building Sector Capacity for Improved Services

The theoretical elements selected to analyse sector capacity building are from organisational learning theory: *knowledge strategy*, *learning processes*, *learning levels* and *evaluation* to enable analysis of differing aspects of inter-organisational learning. Additionally, reconfiguring from dynamic capabilities theory was selected to analyse organisational transformation and renewal. A summary of evidence is presented in Table 7.6 (below).

Table 7.6: Summary of building sector capacity for improved services.

Theme: Building sector capacity for improved services	
Theory/Element	Evidence
Organisational Learning Theory • Knowledge strategy	• Knowledge exploitation for sector development is core activity • Working alongside sector in partnership • Supporting collaborative change processes enabled by learning with partner organisations • Increased international work • Increased online knowledge sharing through MOOCs
Organisational Learning Theory • Learning processes	• In 2016, learning and development was a separate program which provided a calendar of events, tailored offerings and reflective spaces • In 2018, learning and development is incorporated into change projects in hubs, with structured learning cycles and tailored learning for change projects partners and stakeholders • In 2016, 90 face-to-face courses were delivered; in 2017, this was halved; and, in 2018, no courses delivered to date (March) • Online learning courses continue to grow
Organisational Learning Theory • Learning levels	• Staff from partner organisations involved in change projects with embedded action learning cycles through active implementation process

	• Increased international exchange through online learning and through international visits and new international innovation exchange positions • Decreased standalone learning offerings for the sector
Organisational Learning Theory • Evaluation	• Researchers roles within hubs locate wider evidence and support evaluation of activity • Provides evaluation services to sector, with increasing demand for specific program evaluation • Sector appetite for action, with BFC advocating for using evidence for planning to avoid unintended consequences
Dynamic Capability Theory • Reconfiguring	• Introduction of active implementation model to guide systems and language to engage with change partners, embed cycles of learning • In 2018, restructured hubs addressing stages of a care journey (e.g., protection and permanence for children, improving care experiences) • Restructured to increase integration and increase ability to affect change • Wholesale pivot on learning and development area which was not necessarily intentional

7.5.1 Organisational learning theory: Knowledge strategy

As an innovation and improvement centre, knowledge sharing for sector development remains a core activity for BFC, who works alongside a wide range of local, national and international organisations and people who provide services to children (D11). Already outward-looking in 2016, in addition to its remit to support children's services in Scotland, BFC increased its international work through extending its online knowledge sharing through MOOCs (BFCM1, BFCS5, & BFCS3, 2018) and by creating two roles which focused on international knowledge exchange. It sought to be more effective in supporting learning and innovation through the adoption of the active implementation model, which provides BFC with language and structure for their change efforts (BFCM1, 2018).

7.5.2 Organisational learning theory: Learning processes

BFC actively undertakes a range of learning processes, as reported by four focus group members in 2016. The four staff participants recorded on sticky notes the outward-facing

workplace learning activity the organisation undertakes. A transcription of the completed sticky notes follows in Table 7.7.

Table 7.7: Transcript of sticky notes.

Training courses	'Inform' Written and spoken guidance	'Horizon scanning' Making sector aware of policy developments	Publish Journals Two each month for sector	Learning needs analysis
Reacting to emerging needs of the sector and providing support	Active implementation Supporting others (external)	Evaluation of services, projects, programs	Providing L&D opportunities based on priorities	Implementing particular approaches to practice (e.g., pedagogy attachment informed)
Research (mostly applied)	Advocate for groups, programs	Research advisory (to others)	Website with sector-specific information plus Twitter, LinkedIn, Facebook	Review of services, including identified learning needs
Projects on behalf of Scottish Government	Individual queries (responses to web or phone)	"Match-makers" (Links within sector)	Promote L&D opportunities based on sector needs	Commissioned research
Improvement around organisation process and practice-focused training inputs	Sign-posting sector to appropriate other organisations	Influence (both national and local)	Providing national events Educate and support Scottish stakeholders	Practice Guides/frameworks
Workshops	"Improvement advisors" Plan-do-study-act	Support government initiatives	Facilitation with a range of stakeholder groups	Formal consultations around policy and practice

As seen from above, BFC supports children's care and protection services through formal consultations regarding policy and practice, the development of practice guides and frameworks, learning needs analysis, advocacy, improvement services through

consultation and tailored training, national events to educate stakeholders, training and workshops, research, and producing two journals per month.

In 2016, BFC's learning and development team provided a calendar of training and tailored offerings to local authorities and third-sector organisations. In 2018, BFC restructured to integrate its services "informed by our theory of change that you're more likely to affect change if you're attending to consultancy, where you're working alongside people, their learning and development, doing some research so we tried to bring those things together" (BFCM1, 2018). The restructuring has led to increased capacity for change projects but decreased capacity for delivering a calendar of external-facing training, with 90 courses delivered in 2016, half of that in 2017 and none up until March of 2018 (BFCS1, 2018). However, at the same time, online learning programs delivered through MOOCs have continued to grow in numbers and reach (BFCS3, 2018).

7.5.3 Organisational learning theory: Learning level

More intense learning activity is currently provided to partner organisations engaged in change projects (BFCS1, 2018). BFC aims to influence practitioners, leaders and policymakers through learning processes (D12). It has international partnerships and provides MOOCs to share knowledge globally. Restructuring has reduced its current capacity to offer a calendar of learning to local authorities and the third sector (BFCS1, 2018), which BFCM1 (2018) stated BFC aims to redress. BFC view young people and carers as stakeholders and seeks to learn from them, however evidence of learning was overwhelmingly targeted at a professional audience.

7.5.4 Organisational learning theory: Evaluation

BFC employs data analysts and researchers and, over 2016 to 2018, increased research focus in line with government imperatives on applied research (BFCS3, 2018). There has been increased demand from external organisations for fee-for-service program evaluations, met by hiring short-term contractors, which is reflective of standard UK workforce conditions for researchers (BFCS3, 2018). Researchers have been moved to the newly structured hubs to support teams to locate wider evidence and to act as internal evaluators. Although the sector has an appetite for speedy action, BFC advocates using evidence to plan to avoid unintended consequences (BFCM1, 2018).

7.5.5 Dynamic capability theory: Reconfiguring and transforming capacity

In 2016, BFCS2 reported that BFC were working with implementation science and had a program logic and theory of change for each program they ran. BFCM1 (2018) stated that, recently, they had adopted an active implementation framework which, combined with a desire to be more impactful, resulted in restructuring and integrating existing staff teams around the journey of the child. For example, BFC now have hubs addressing 'protection and permanence for children' and 'improving care experiences'. The new hubs now combine practice, data analysis, consultancy, learning and development and research expertise across areas such as "law, social work, health, education, research, policy, and communications" (D13). During this period of change, both BFCM1 (2018) and BFCS1 (2018) commented on the lost ability for BFC to provide an external learning and development training calendar to local authorities and third-sector organisations. This has been an unintended consequence of change which BFCM1 (2018) expressed a desire to redress.

7.5.6 Summary Theme 3: Building sector capacity for improved services

BFC is an improvement and innovation organisation whose core work is to collaboratively build sector capacity for improved care and protection services for children and young people in Scotland. BFC is increasingly undertaking international work to share their learning, and to learn from international innovation, research and practice. Reported improvement activity includes attempting to keep ahead and influence policy, provide formal consultations and inform the sector of policy developments. In 2016, BFC provided a calendar of professional learning and tailored improvement service delivery, while in 2018, learning was delivered to change partners, and open offerings of training to the sector have diminished. Two journals per month were continuing to be produced for the sector, and large national events to educate stakeholders were also continuing to be delivered.

Policymakers and staff at all levels are involved in improvement activities. BFC seeks to include the voices of stakeholders such as children, young people and families, with improvement activity aimed at care and protection services and systems. BFC systematically undertakes evaluations of all their improvement projects and, in 2018, increasingly undertook fee-for-service evaluation work of projects and programs for the sector. Fee-for-service work is welcomed as it provides financial resources which enable the organisation to do more than what they are contracted for.

In 2018, significant reconfiguration of BFC was apparent. Restructuring had occurred which created hubs of staff which reflected the journey of the child, with a new hub for development and innovation and a further hub providing administrative support across the organisation. Restructuring increased integration and reflected the active implementation model adopted to increase opportunities for making lasting change. In 2018, new roles added increased capacity for BFC to support the sector; data analyst roles were supporting local authorities with their data collecting systems and using that data to support active implementation work for improvement. Two new positions focusing on international innovation were sharing new ways of working, and a new position was focusing on better listening, respecting and responding to the voices of young people who were in or who had experienced care, to inform objectives of improvement work and the way it is undertaken.

7.6 Other Points of Interest

Other issues arose in the data such as the impact of a shared social purpose across a mixed professional base, which has reportedly led to a culture of compassion, empathy and willingness to go beyond what staff are paid to do. This, however, was not a focus of this study. Interestingly, in 2016, the data collected did not signal that BFC would experience rapid growth or adopt the active implementation model leading to a major restructure. This may reflect that an executive manager was not interviewed in 2016 (due to a lack of availability at the time the researcher visited Glasgow) or that these significant changes were not known and occurred rapidly.

7.7 Summary

Primarily government-funded and closely linked to policymakers, BFC navigates and collaboratively works across sectors and systems which provide care and protection to children and young people in Scotland. BFC demonstrates dynamic capabilities through their capacity to sense their operating environment through deliberate horizon scanning and collaborative activity, seizing capacity through their increased remit and rapid growth, and reconfiguration capacity through restructuring, adoption of the active implementation model and creation of new roles bringing new capabilities to the organisation for improvements and innovation. The extent of these significant changes over the period from 2016 to 2018 were not foreshadowed in 2016.

BFC supports social change and service improvement through policy work, academic and professional learning and change projects to a wide range of professionals. It has adopted a US-developed improvement model of ‘active implementation’ to increase opportunities to make lasting change and integrated its services into hubs which systematically draw on evidence to collaboratively make improvements, with structured cycles of learning and evaluation embedded in all projects.

Chapter 8: Comparative Analysis of Findings

> Organisations that want to survive, prosper and do good and important work must respond to the challenges the world presents. Their response may be to do what they have always done, only better, but they may also need to shift their focus and strategies. (Bryson (2018, p. 32)

8.1 Introduction

This chapter provides a comparative analysis of the findings for the four case study organisations reported in chapters 4 to 7. The utilisation of workplace learning in NFP organisations is at the heart of this study and was undertaken within the broader context of the organisation and its environment. It is illustrated in what follows that the nature of the pressures on case organisations and their ability to respond impacted their workplace learning efforts for capacity building and social innovation.

The comparative analysis is conducted in two rounds. Please note, the theoretical framework was used as the basis for analysis and comparison. While there are similarities and difference in some cases, in others there are not. First organisations CFC in Australia and BFC in Scotland are compared. These organisations have been selected for comparison as they are both innovation centres with similar approaches to utilising organisational and inter-organisational learning to enable complex organisational and sector capacity building and innovation that provided good opportunities to learn about complexity and contexts. Second organisations LBI, service provider in Australia and CSI, membership network in England are compared. These organisations have been selected for comparison as they provide good opportunities to examine their diverse organisational nature and context.

This chapter utilises *institutional theory* to help explain the pressures on organisations and their responses, thereby providing insight into the journey of the organisations over the investigation period. *Dynamic capability theory* is utilised to help explain how the case organisations used elements of the dynamic capability framework to maintain their evolutionary fit within changing environments and the factors which enabled or constrained their use. *Organisational learning theory* and *social innovation theory* are utilised to help explain organisational approaches to learning and change and how they were impacted by changes in the organisation and its context. The comparative analysis leads to the

consideration of findings against the research questions and the literature review. A summary of the chapter is provided.

8.2 Environmental Pressures and Responses, Workplace Learning

8.2.1 CFC and BFC

This section uses the theoretical framework to firstly comparatively analyse CFC and BFC, the pressures on them and their ability to respond. It examines their workplace learning activity and identifies the impact of the changing institutional context on this activity.

CFC and BFC are both NFP, mission-driven centres auspiced by public universities which focus on practice, service and system improvements to improve lives. Figures 8.1 and 8.2 (below) illustrate changes in workplace learning over the investigation period at CFC and BFC.

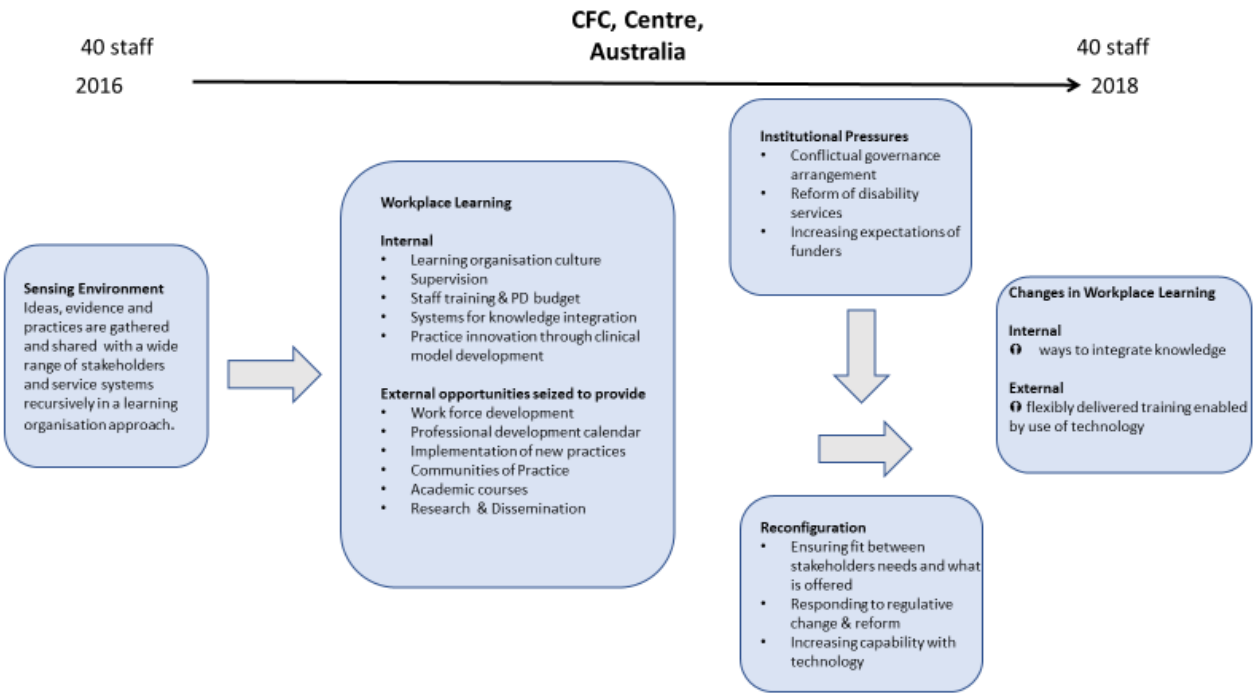

Figure 8.1: CFC - Changes in workplace learning.

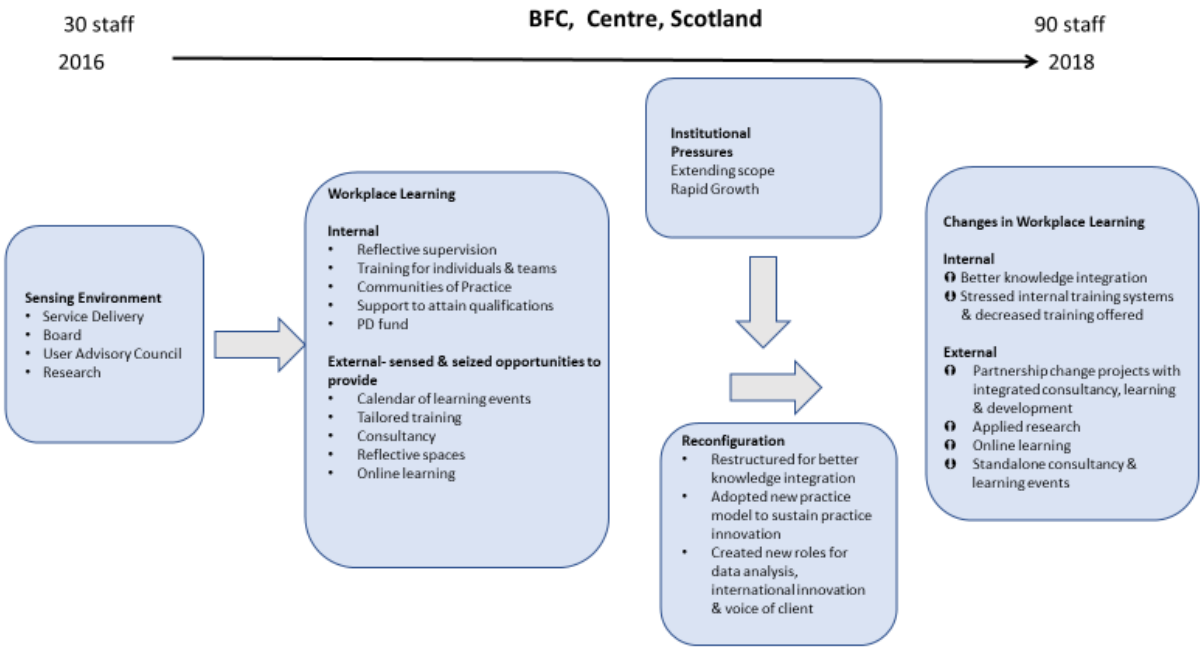

Figure 8.2: BFC - Changes in workplace learning.

8.2.1.1 Environmental pressures and responses

CFC was found to be a well-established organisation, with interview and document data providing evidence of experience in developing, publishing and sharing innovative knowledge. CFC consistently met requirements to attract half of its income for sustainability and viewed itself as a social business. However, despite CFC's many strengths, participants found the investigation period challenging with CFC unable to take advantage of further opportunities and constrained in reconfiguration activity for future requirements.

Institutional theory helps to explain the normative institutional pressures requiring CFC to align its business model with their auspicing body as well as CFC's response not to comply, as it believed its business model was the key to its sustainability. Governance became rigid while alternate arrangements were sought. The competing and complex institutional logics and bureaucratic processes of their two major funders, the university and a government department, help explain how the search for an alternate auspicing body became prolonged. Resulting pressures on the organisational culture help to explain the diversion of the manager's attention and energy to maintain a positive workplace culture and support healthy responses to uncertainty. During this period, managers were required to operate within constraints imposed by a strained governance relationship, while operations continued.

Two ways of explaining that CFC sustained itself but did not grow through dynamic capability theory are that 1) the organisation was not able to deploy dynamic capabilities due to the constraints on the underlying systems or processes, or that 2) their use of dynamic capabilities—although constrained—precluded a worse outcome for the organisation. Given that CFC 1) were able to maintain their position despite the challenging conditions they faced, 2) secured new work reportedly due to their reputation, and 3) restructured effectively when closing a disability program due to sector reform, it appears more likely that their use of dynamic capabilities precluded a worse outcome. This explanation is supported by the argument that possession of dynamic capabilities alone does not lead to superior performance (Eisenhardt & Martin, 2000) and that context matters in using dynamic capabilities to advantage (Wilden et al., 2013).

The microfoundations of dynamic capability theory (Teece, 2007) explicate institutional factors which enable the use of the dynamic capacities to sense and shape the environment, seize opportunities and reconfigure. Constraints on CFC's abilities to deploy dynamic capacities are best illustrated through the microfoundations of business models, technology selections, culture, staff loyalty and governance. Seizing new opportunities were constrained by 1) conflict regarding business models; 2) constraints on new technology selections; 3) efforts to maintain the organisational culture during uncertainty, which claimed the attention and energy of organisational leaders; and 4) constraints on offering permanent employment decreased the recruitment pool and diminished new staff loyalty. Constraints imposed on CFC's ability to reconfigure were best viewed through the microfoundation of governance. The restrictions and roadblocks caused by their rigid governance relationship amplified rather than minimised agency issues.

BFC, on the other hand, were well-positioned to respond to an unexpected event because of the features which can be explained by dynamic capability theory. BFC were presented with an opportunity from government to provide improvement support to professionals and service systems delivering Scottish child protection services. This support initiative was in addition to their already existing contracts to support professionals and service providers for children in out-of-home care such as residential care and foster care, from which they had established relevant expertise. The expanded scope resulted in added institutional pressures arising from rapid growth, with BFC tripling staff numbers over the investigation period. Despite these pressures, BFC were able to systematically solve problems, make timely decisions and change their resource base, all of which are important dimensions of dynamic capabilities (Barreto, 2010). These actions were enabled by the strong

organisational structures, systems and processes described by Teece (2007) as the microfoundations of dynamic capabilities, which are challenging to advance and deploy.

The microfoundations which best explain BFC's ability to deploy reconfiguration capacity are governance, cospecialisation, integration skills, learning and knowledge sharing. After a short period of internal debate, BFC rapidly reconfigured to take advantage of the new contracted opportunity. The microfoundations of reconfiguration activity (Teece, 2007) which enabled BFC to rapidly change its resource base included 1) the deployment of strong governance which minimised agency issues and continued to uphold policies based on shared values and understandings; 2) existing expertise in cospecialisation through partnership and collaborative work, which was also required to conduct this new business; 3) developing integration skills and systems through a restructure to have a mix of staff roles in hubs; and 4) improved processes for collaborative learning and knowledge sharing with the adoption of a new practice model for implementing evidence-based practice improvements.

Institutional theory and dynamic capability theory helped to explain pressures on CFC and BFC and their responses over the investigation period. Next, organisational learning theory and social innovation theory help to explain the similar approaches of the two organisations towards learning and change and how the journey of the organisations impacted their workplace learning activities.

8.2.1.2 Workplace learning

Organisational learning theory helped to explain CFC and BFC's knowledge strategies, the types of learning activity undertaken, and the levels of learning which help illustrate knowledge flow. CFC and BFC's aggressive knowledge strategies to both explore and exploit knowledge for practice, service and system improvements are congruent with holding innovative knowledge (Zack, 1999). As innovation centres, they engaged and promoted single-loop, double-loop and deutero-learning (Argyris & Schon, 1996; Schon, 1975), supporting others to learn how to learn. Consistent with double-loop learning, standalone training stalled at BFC while its value was debated in affecting change during the restructuring process. After internal debate, BFC decided—as had CFC—that training remained an important entry point for engagement with the sector. Both developed flexible learning offerings such as webinars, with BFC demonstrating specialist online learning capability while collaboratively developing and delivering massive open online courses.

Theory focusing on levels of learning and the flow of knowledge between these levels (Beeby & Booth, 2000; Coghlan, 1994; Nonaka, 1991) explained the established learning organisation systems approach of CFC and the reflective approaches and restructure undertaken at BFC to better integrate knowledge. Both deployed inter-organisational, multi-level approaches to knowledge sharing and actively engaged in networks and partnerships. While CFC made incremental improvements to its systems, BFC expended new resources to improve organisational and inter-organisational learning. BFC restructured into hubs combining staff with varied roles for improved knowledge integration and introduced a new practice model.

Learning evaluation theory (Kirkpatrick & Kirkpatrick, 2006) explained CFC and BFC's methods of collecting, analysing and utilising feedback. Both utilised a range of lower- and higher-level strategies. Level one to three strategies addressing reactions, learning and behaviour included informal feedback, 'happy sheets' surveys and supervisory conversations. Higher levels of evaluation are resource intensive (Reio et al., 2017) and no evidence was provided of level four evaluations measuring return on investment. However, level five evaluations aimed at measuring contribution to society explained CFC and BFC's embedded action research reviews in collaborative workforce development projects which sought to measure practice changes and understand their impact on social outcomes.

Social innovation theory (Howaldt, 2017; Howaldt & Schroder, 2017) helped to explain common dimensions of CFC and BFC's practice innovations and highlighted that they both drew upon implementation science literature to guide process dynamics of this work. Although D. Hardina and Montana (2011) advocate for the importance of participation of service users to empower people served by social service organisations, consistent with Rummery (2009) and D. Hardina (2011), little evidence of service users significantly involved in developing, delivering or evaluating practice improvements was found. In 2018, however, BFC created a new role to create dialogue between young service users and decision makers. CFC and BFC drew upon implementation science theory for guidance in their collaborative workforce development projects to implement evidence-based practice. While CFC's approach was steady, BFC adopted the new evidence-informed practice model of 'active implementation' from the US during the investigation period to enable them to do more to sustain change. Additionally, BFC created new data analyst roles to support research officers in providing strong data for implementation teams.

Implementation science theory has the potential to further guide practice innovation. It may be a useful theoretical alternative to social innovation theory, where innovation focuses on implementing evidence-based practice in new settings. The journeys of CFC and BFC differed from those of LBI and CSI. A comparative analysis of the findings from LBI and CSI follows.

8.2.2 LBI and CSI

Although different types of organisations, CSI as a membership-based NFP network and LBI as an NFP service provider faced common financial risks, albeit of differing magnitudes, and responded through diversification enabled by partnerships and alliances. Figures 8.3 and 8.4 illustrate changes in their workplace learning activity over the investigation period.

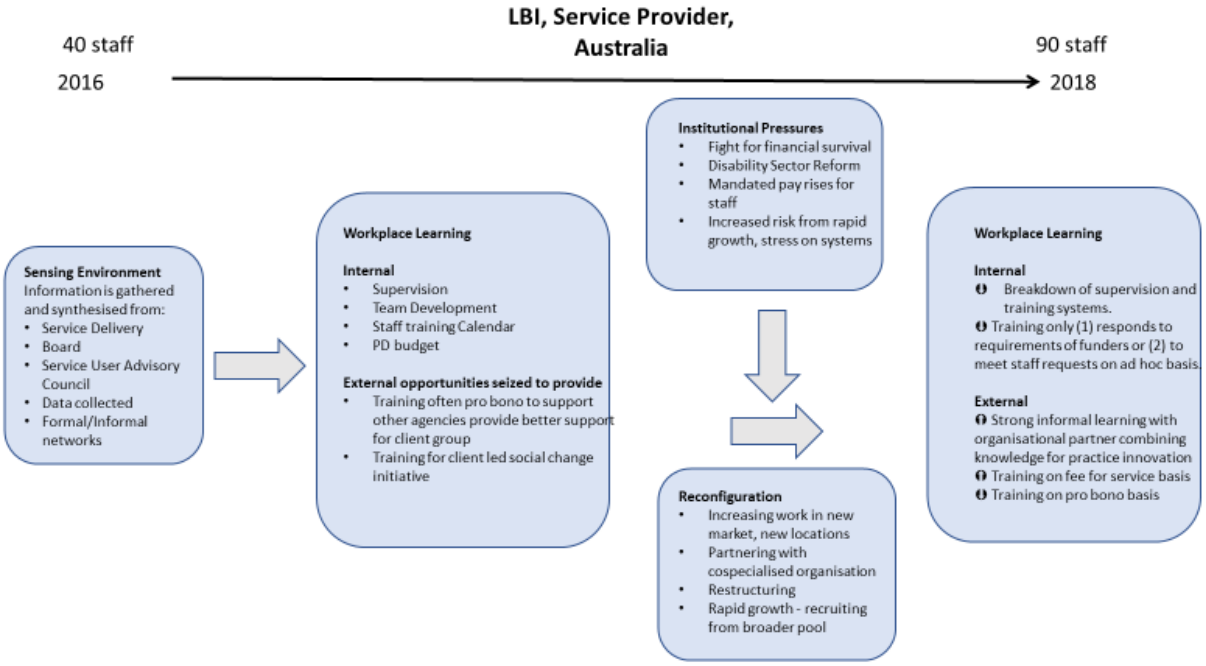

Figure 8.3: LBI - Changes to workplace learning.

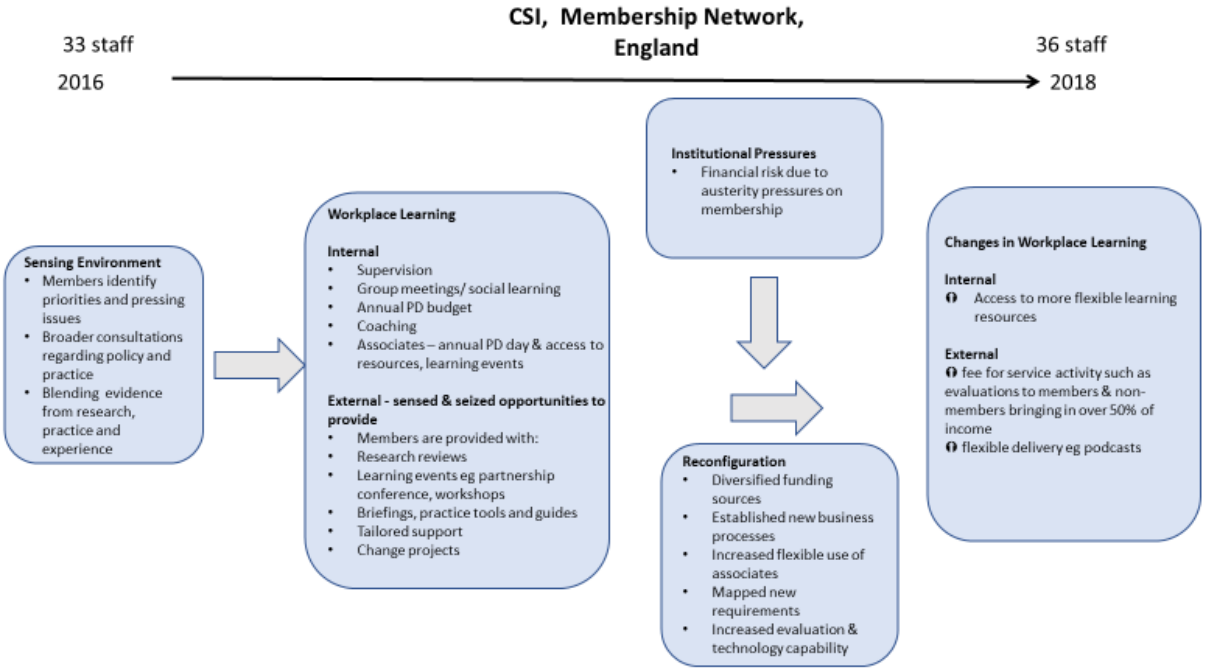

Figure 8.4: CSI - Changes to workplace learning.

8.2.2.1 Environmental pressures and responses

Institutional theory helps to explain LBI's fight for survival when confronted with the coercive pressures of reforms on disability services. Unable to deliver services at the standard rates of the NDIS and with financial pressures amplified by regulated pay increases, LBI was forced to become more business-like and responded through diversification and partnership. Hybrid institutional logics helped explained increased complexity (Raynard, 2016) for LBI as they sought legitimacy as both a service organisation and as a business in a new market. Organisational hybridity creates conflicting demands and tensions (Jönsson, 2019), which were most evident 1) when case managers needed to change practice to limit services for clients at risk to only funded hours, which conflicted with their values; and 2) where the organisation's mission has crept for sustainability by adding a range of contracted services for people with high complex needs who may not have an ABI. Risks and pressures remained from rapid growth, placing pressure on systems, particularly as this was combined with financial risk from heavy penalties if newly contracted client outcomes were not met.

Dynamic capability theory helped to explain LBI's lobbying activity. Sensing and shaping dynamic capacities were utilised to lobby national policymakers to shape the new insurance scheme to better suit ABI clients and the organisation. These efforts were unsuccessful due to power differentials with policymakers and LBI's inability to provide compelling evidence or leverage public opinion. Other lobbying efforts of state policymakers were successful and resulted in the state assuming ongoing financial responsibility for staff neuropsychologists' services outside the NDIS system. This was a strong win for LBI, who viewed this assessment service as their foundation and a key and unique capability. Microfoundations of the sensing dynamic capacity, namely changing customer needs and identifying target market segments, help explain LBI's next actions. LBI recognised that changes in disability services meant they could not meet customer needs within the cost structure. In response to financial peril, the chief executive officer convinced the board to target a different market segment (i.e., justice services).

The dynamic capacity of seizing opportunities and its microfoundation of cospecialisation help explain LBI's ability to quickly operate in the field of justice services. LBI developed a deep partnership with a cospecialised justice service provider to seize opportunities for new contracts under each organisation's banner in Victoria and New South Wales, which enabled it to adapt to the new environment. Time will tell if this partnership will result in a

merging of these organisations. Consistent with Wang and Ahmed (2007), LBI used dynamic capabilities to rapidly develop situation specific knowledge at a time of shifting industry structure. The combining of resources and capabilities within the partnership enabled the development of an innovative practice model for prisoners with complex issues. This model is technically fit for purpose and has an evolutionary fit for current government funding requirements.

The dynamic capacity of reconfiguration explains LBI's partnership development resulting in a restructure, and the broadening of its professional base through recruitment to take advantage of new opportunities. Consequently, LBI more than doubled its staff between 2016 and 2018 and increased multi-site and joint operations. LBI held new risks which came with rapid growth and contractual penalties if outcomes were not achieved. Dynamic capability theory provides guidance in times of uncertainty where organisations require agility, but is not aimed at addressing risk (Teece, Peteraf, & Leih, 2016). CSI's pressures were not as extreme while they also responded through diversification.

Institutional theory helps explain how CSI responded to financial risks from regulative, austerity pressures on its membership by becoming more entrepreneurial and obtaining fee-for-service work. This meant that CSI, as with all case organisations, became a hybrid organisation subject to a combination of service and business logics which created further complexity (Raynard, 2016). These combined logics can lead to tensions in performing, organising, belonging and learning (W. Smith et al., 2013), which leaders may be unable to resolve but are required to navigate (W. Smith & Besharov, 2019). Dynamic capability theory helps to explain CSI's new business approaches.

The dynamic capacity of sensing helps to explain that CSI's extensive network and relationship management systems gave it extensive access to information and new knowledge, which enabled it to sense opportunities for fee-for-service work. The microfoundations of seizing capacity, namely the customer solutions and business models, decision-making protocols, and loyalty and commitment, enabled the seizing of opportunities. Customer solutions and business models were strengthened by the utilisation of associates so that CSI could flexibly scale up and down with task specific capability, alongside deploying quality assurance reviews by researchers and practitioners in their network. CSI developed decision-making protocols for identified opportunities such as consideration of membership needs, if the opportunity would add value for members and if it would add to business viability. These decision-making protocols address both

social and business institutional logics. By 2018, over half of CSI's income was acquired through fee-for-service activity. Unexpectedly, membership increased too, which was reportedly due to organisations finding it more important to have support while responding to increasing regulatory pressures. The dynamic capacity of reconfiguration is supported by the microfoundation of governance (Teece, 2007), which helps to explain that strong governance supported reconfiguration at CSI through modest staff growth, increased use of associates, redeveloped online capability and new evaluation capability.

8.2.2.2 Workplace learning

Organisational learning theory helped to explain LBI and CSI's knowledge strategies, the types of learning activity undertaken, and the levels of learning which illustrate knowledge flow. Knowledge strategy theory (Zack, 1999) explained how LBI held advanced knowledge which it exploited. As it entered the field of justice services, LBI moved to combine and explore its disability knowledge with its partner's justice services knowledge to create innovative new knowledge.

LBI's learning activity was greatly impacted by its circumstances. In 2016, LBI had strong supervision processes incorporating critical reflection, which encourages double-loop and deutero-learning (Schon, 1975), an agency training plan, and other team learning events. It shared its knowledge externally, primarily as a social justice initiative to assist other organisations to address client difficulties. Professional support was unfunded; with extreme financial pressures on the organisation, external training ceased for a period and recommenced with a requirement to bring in income. In 2018, participants reported that internal learning systems had broken down with supervision not occurring and training ad hoc or undertaken to meet accreditation demands.

Despite internal system breakdowns, staff reported in 2018 that strong learning was occurring through staff co-working with partners, enabled and evaluated through regular checking in and open communication. Organisations learning together has been described as a very innovative and explorative process enabling organisations to quickly build new knowledge and to bypass barriers to change (Holmqvist, 2003). Communication supports the transition of learning from the individual to the organisational level, with sense-making aided by conversations between individuals, and sense-giving aided by conversations in teams (Brix, 2019). Additionally, communication supports the interpretation of new opportunities and the integration of insights as to whether it made sense to institutionalise new ways (Brix, 2019; Crossan, Lane, & White, 1999).

Social innovation theory helped to explain LBI's work for social change. The 2016 interview data indicated that previous attempts for change had been driven by social justice principles. Examples included client identified change projects and supporting other agencies to better respond to client difficulties where resources permitted. In 2018, LBI was under pressure, and social innovation efforts focused on practice innovation with its justice services partner.

Organisational learning theory, and specifically knowledge strategy theory (Zack, 1999), helped to explain that CSI was innovative in their approach to both explore and exploit knowledge. Knowledge work was reported in interviews and focus groups as enabled by flexible relationships with associates who were advanced practitioners acting as independent consultants. Associates acted as knowledge brokers on the periphery of practice who identified, translated and disseminated knowledge (M. Meyer, 2010) to the membership and staff. Learning systems included internal reflective supervision, training and development offerings, external research and policy briefings, and learning events. Levels of learning theory (Beeby & Booth, 2000; Coghlan, 1994) helped to explain CSI's provision of stratified programs, with strands for the leadership, assistant directors, operational staff and additionally for local authority members and councillors. Interview data included emerging efforts to involve carers and young people in chairing sessions at conferences and podcasts, with acknowledgement there is more to be done.

Learning evaluation theory (Kaufman et al., 1996; Kirkpatrick & Kirkpatrick, 2006) helped to explain growth in CSI's evaluation capabilities through the development of online pre- and post-learning surveys to capture changes in learning and behaviour. This complemented existing checking in with members and action research reviews for evaluation of level one reactions and levels two and three changes in learning and behaviour. Higher levels of evaluation such as return on investment and contribution to society were not undertaken, with interview data reporting there was a long bow between their knowledge work and the social impact it had, in turn making this measurement challenging.

Social innovation theory helped to explain dimensions of CSI's documented annual change projects involving group learning from research and practice to formulate practice and policy responses to pressing problems. There was no data provided on the inclusion of carers or young people in change projects.

8.3 Findings in Response to Research Questions and Literature Review

Each of the three research questions posed in this study is now considered, detailing how findings link to the literature review.

8.3.1 How do NFP organisations approach the acquisition and sharing of their knowledge?

Guided by the theoretical framework, findings of this study indicated that NFP case organisations approached acquiring and sharing knowledge through a variety of common and unique strategies in keeping with their institutional context. Knowledge acquisition and sharing strategies at CFC, BFC and CSI were highlighted by organisational learning theory and included 1) exploring and integrating knowledge from practice, partners and research to develop staff, practice models and resources; 2) exploiting knowledge through a co-developed, innovative practice model with a partner; and 3) through delivering learning events, tailored training, consultancy, and workforce development or change projects, which illustrated aggressive knowledge strategies in keeping with holding innovative knowledge (Zack, 1999). A unique strategy identified in this study was CSI's high level of organisational reliance on external associates for knowledge acquisition and sharing. As a service provider, LBI held a less aggressive knowledge strategy and 1) explored niche knowledge from their specialised practice area over time and worked to integrate knowledge with a co-specialised practice partner, and 2) exploited knowledge through delivery of training modules and tailored training. All case organisations were found to have acquired and shared knowledge to build organisational and sector capacity for improved services and for social change.

Ways to build staff capacity through knowledge acquisition and sharing were informed by strategic planning to identify both organisational needs and staff development needs. Organisational learning theory highlighted case organisations' learning systems and processes, learning levels and the flow of knowledge to build staff capacity. CFC identified as a learning organisation (Senge, 2006), while BFC described itself as promoting learning and reflection on its website, with BFCM1 (2018) referring to BFC as a "reflective organisation". BFC restructured into hubs to bring together differing professions and better integrate knowledge and work (BFCM1, BFCS1, & BFCS3, 2018). There was a decline in organisations holding agency training plans from two in 2016, LBI and BFC, to none in 2018. Three case organisations, CFC, CSI and LBI, identified staff learning needs through supervisory conversations, while at BFC learning and development staff conducted

training needs analysis. Professional supervision, training for individuals and teams, and professional development budgets supported internal learning processes at all case organisations. Knowledge integration internally and with partners was an increasing focus of CFC, BFC and LBI, which illustrated levels and flow of learning as explicit and tacit knowledge was shared (Beeby & Booth, 2000; Nonaka, 1991). Research was undertaken by BFC and CSI, who had ongoing resources for this purpose, and by CFC where funding was gained, while LBI lacked funding for any of their research aspirations, illustrating the enabling and constraining role of the institutional context. Training indicated single-loop learning, while reflective learning within professional supervision, knowledge integration and research efforts indicated double- and deutero-learning (Argyris & Schon, 1996). BFC and LBI's internal learning systems were pressured and interrupted during the investigation period, illustrating once more the impact of institutional pressures on workplace learning.

The theoretical framework highlighted external knowledge sharing activity to build sector capacity for improved services and for social change in differing ways. External knowledge sharing processes were highlighted by organisational learning theory. CFC and BFC shared knowledge with a range of professionals in different roles and levels. With an agenda to create sustainable change, they did this by delivering a calendar of learning events, consultancy, tailored training, workforce development projects, and pre-service academic training, illustrating attention to different types of learning (Argyris, 1999) and different learning levels (Beeby & Booth, 2000). Three case organisations increased the use of technology in their external knowledge sharing efforts (CFC, BFC and CSI), which provided them with greater reach while also illustrating the dynamic capability of reconfiguration as they worked to stay aligned with the expectations of their learners (Teece et al., 1997). Both CFC and BFC were influenced by implementation science (Bertram, Blase, & Fixsen, 2015) in their efforts towards practice improvement and innovation. Collaboration, knowledge sharing and partnership were enabling factors for practice innovation efforts by all case organisations, which was highlighted by social innovation theory (Heales et al., 2017; M. L. Shier & Handy, 2016). CFC, BFC and CSI had many innovation partners on a variety of projects, whereas LBI had a deeper co-delivery partnership with another organisation and created new innovative practice models through combining cospecialised knowledge. There was little evidence of client involvement in innovation activity at CFC, BFC, and CSI. LBI reported past client identified social change efforts but did not continue with these, and their Service Advisory User

Group was placed in hiatus over the investigation period due to pressures on the organisation.

The context which case organisations worked in strongly influenced their knowledge sharing work. Institutional theory highlighted regulative, normative and cognitive-cultural pressures (Dimaggio & Powell, 1983) on case organisations, which became opportunities and threats to their knowledge sharing work. Dynamic capability theory (Teece et al., 1997) emphasised how the organisations sensed and seized opportunities, and reconfigured to realign with their operating environment. To mitigate financial risk from austerity measures on member organisations, CSI diversified their income by providing knowledge services to the broader sector on a fee-for-service basis, which by 2018 became their largest income stream and enabled modest growth. Meanwhile, LBI was subject to disability sector reform and a fight for survival. LBI's knowledge sharing activity to support other agencies was guided by social justice principles in 2016 and ceased temporarily. LBI developed a partnership which enabled them to jointly develop successful innovative practice models and secure new contracts in other fields. LBI recommenced in 2018 on a fee-for-service basis. Work at CFC to build multifaceted business models, at CSI to develop decision-making criteria of when to bid for work, and at LBI on how managers assisted staff to navigate competing social and business demands illustrated some of the microfoundations of the dynamic capabilities framework (Teece, 2007). This same work highlighted by institutional theory illustrated how organisations sought to navigate complex institutional logics which combined NFP and business institutional logics (W. Smith & Besharov, 2019) and the increased blurring of differences between NFP organisations and businesses (Bromley & Meyer, 2017).

The comparison of innovation centres CFC (Australia) and BFC (Scotland) was undertaken to support the understanding of complexity and the context on aspects of workplace learning. Both organisations undertook complex activity for organisational and sector capacity building, and practice innovation. Organisational learning theory explained their similar aggressive knowledge strategies and advanced learning processes for acquiring, integrating and sharing knowledge internally and externally. Social innovation theory explained their practice innovation activities. Institutional theory explained differences, such as constraints on CFC precluded them from making the same gains as BFC, who had a favourable institutional context and supportive governance. Dynamic capability theory explained how BFC were able to respond quickly to opportunities to acquire significant additional resources that enabled BFC to rapidly develop and extend 1)

their knowledge acquisition through new roles in data analysis and international innovation, 2) their internal knowledge sharing for improved knowledge integration via a restructuring process, and 3) their external knowledge sharing work through an increased scope to support the development of more NFP organisations. This comparison highlighted that both organisations held advanced learning and dynamic capabilities that enable working with complexity in new ways. However, it also highlighted the differing use of these advanced capabilities for capacity building and innovation was shaped by institutional factors.

The comparison of LBI (Australia) as a service provider and CSI (England) as a membership network was undertaken to support the understanding of workplace learning in diverse organisational and environmental contexts. Over the study period, organisational learning theory and social innovation theory explained how LBI acquired and shared knowledge through jointly developing and delivering innovative services with an organisational partner with complementary capabilities. Organisational theory explained how CSI used different strategies to bolster knowledge acquisition, internal and external knowledge sharing activities through a high level of reliance on the capabilities of external associates. Institutional theory explained how and why the diversity of these two organisation types and contexts shaped their differing yet successful approaches to workplace learning. LBI and CSI faced common financial pressures although of varying degrees, and dynamic capabilities explained one similar response to develop income producing external knowledge sharing strategies suited to their individual institutional context. However, dynamic capabilities could not explain the non-business decision making criteria which informed whether CSI would bid for knowledge sharing work. The non-business decision making criteria could only be explained by applying the lens of NFP institutional logics to the business logics inherent in dynamic capability theory.

8.3.2 How do NFP organisations alter their knowledge base in response to changes in their operating environment?

Applying the theoretical framework allows a better understanding of how NFP organisations identified pressures, sensed changes and opportunities in their operating environment and responded through a variety of common and unique strategies to alter their knowledge base. Dynamic capability theory highlighted that all four case organisations sensed their environment through taking part in networks and reference groups. Additionally, two organisations, CFC and BFC, regularly conducted environmental

scans, and CSI systematically gathered information from membership organisations. Only LBI had a Service User Advisory Group for client input, however it was reported as being on hold over the investigation period while the organisation was under strong pressures. Institutional theory highlighted the regulative, normative and cognitive-cultural pressures (Dimaggio & Powell, 1983) identified at all case organisations, including sector reforms reported by CFC and LBI, financial risks described by CSI and LBI, rapid growth and changes in scope reported by BFC and LBI, and increased funder expectations conveyed by CFC. These pressures presented some opportunities highlighted by dynamic capabilities theory. Identified pressures and opportunities were responded to by strategies to change scope, obtain alternate income sources and expand services, all of which required case organisations to change their knowledge base.

Three organisations, BFC, CSI and LBI, expanded services over the investigation period, which required alteration to their knowledge base highlighted by dynamic capability theory, organisational learning theory and institutional theory. Dynamic capability theory highlighted BFC's seizing capability as they acquired an additional contract, which resulted in a broadening of their scope, and a tripling of their workforce including new roles focusing on international innovation, data analysis, and client voice. BFC restructured into hubs of staff in varied roles to increase knowledge integration, which illustrated the dynamic capability of the reconfiguration (Teece, 2007) and organisational learning concepts of knowledge exploration (Zack, 1999), learning processes (Argyris, 1999) and levels of learning (Beeby & Booth, 2000). Additionally, BFC adopted *active implementation* as their practice model, which involved increased attention to knowledge and change processes, and increased knowledge exploration through research activity while learning consultancy and learning events declined.

CSI mitigated financial risks to their member organisations by broadening their income base beyond their membership, and developed decision-making business protocols. Fee-for-service work became their largest source of income by 2018 and illustrated their deployment of sensing and seizing dynamic capabilities (Teece, 2007). However, dynamic capability theory did not adequately explain the non-competitive aspects of CSI's decision-making protocols that related to NFP institutional logics, which became apparent when the lens of institutional theory was applied. CSI responded to widening knowledge requirements with a knowledge strategy (Zack, 1999) of bringing in external sources of knowledge through the flexible use of associates to combine with internal knowledge. CSI continued learning processes (Argyris, 1999) such as professional supervision, group

learning, learning events, and access to resources and improved learning processes through an increased use of technology which improved the flexibility of learning resources and also illustrated the dynamic capability of reconfiguration as they realigned with new expectations (Teece, 2007). LBI were confronted with disability sector reform and forced to find new ways of gaining an income for their disability expertise for survival. LBI developed and grew a partnership with a justice services provider and jointly seized contracts in the justice sector, which resulted in a doubling of staff and illustrated the dynamic capabilities of sensing and seizing. LBI shared knowledge with their partner, illustrating an effective way to access external tacit knowledge (Zack, 1999), and recruited from a broader pool to gain varied expertise. LBI's external training in 2016 was primarily motivated by social justice values followed by potential income. It was placed on hold due to financial constraints and restarted in 2018 with income necessarily the primary driver. This illustrated increased complexity for LBI as they navigated the hybrid institutional logics (Raynard, 2016) of social justice principles and business demands.

CFC did not expand. Constraints imposed by a rigid and conflictual governance relationship illustrated governance as a microfoundation for reconfiguration capabilities which impacted the organisation's ability to deploy dynamic capabilities (Teece, 2007). CFC still managed to restructure when a disability program was forced to close due to reforms and seize an opportunity to develop training in the new area of elder abuse. Organisational learning theory highlighted their continual efforts to sustain learning through their application of learning organisation principles (Senge, 2006). CFC continued their aggressive knowledge strategy (Zack, 1999), exploring and combining knowledge through individual, team and organisational processes for knowledge integration, and exploiting knowledge to build staff capacity and the capacity of the sector.

The comparison of CFC (Australia) and BFC (Scotland) as innovation centres was undertaken to support the investigation of complexity and contexts on workplace learning. Similarities and yet differing abilities of these organisations to alter their knowledge base can be explained by three theories in the framework, these being dynamic capabilities theory, institutional theory and organisational learning theory. Dynamic capability theory explains 1) how despite environmental pressures, BFC sensed and responded quickly to secure new opportunities and increase resources and 2) how and why BFC were able to reconfigure their knowledge base via the recruitment of new expertise and a restructure to improve knowledge integration. The combination of institutional theory and dynamic capabilities theory explains how CFC managed to restructure after the loss of a disability

program and points to why institutional factors constrained CFC's ability to use their dynamic capabilities to make the same gains in developing their knowledge base as BFC. Finally, organisational learning theory and institutional theory explains that both organisations developed similar advanced learning processes and systems that enable complex knowledge evolution and innovation when institutional conditions allow.

The comparison of LBI (Australia) as a service provider and CSI (England) as a membership network was undertaken to support the understanding of workplace learning in diverse organisational and environmental contexts. This comparison highlighted successful and varied use of dynamic capabilities and organisational learning to alter knowledge bases within differing organisational and environmental contexts. Institutional theory explained how radical restructuring of disability services in Australia threatened LBI's continued existence. Dynamic capability theory and organisational learning theory explained how LBI altered their knowledge base through knowledge sharing with an organisational partner with complimentary capabilities, which enabled the partnership to secure new opportunities to deliver innovative services in a new field. These same theories explained CSI's alterations of their knowledge base in a very different organisational and environmental context. Institutional theory explained how CSI understood their changing environment through strategies such as analysing information attained through their membership and representation on policy committees. Dynamic capability theory and organisational learning theory explained how CSI rapidly reconfigured their knowledge base to meet changing conditions through leveraging external knowledge from associates. The theoretical framework explained two very different but successful ways of responding to a changing environment with knowledge development in this comparison.

8.3.3 How do NFP organisations understand the impact (successes/failures) of their workplace learning activities?

Findings indicated that case organisations understood the outcomes of their workplace learning activity to build organisational capacity, to build sector capacity for improved services and for social change through feedback and evaluation activity. Organisational learning theory best explained how all case organisations understood the success and/or failure of these activities. Level one to five evaluation strategies (Kaufman et al., 1996; Kirkpatrick & Kirkpatrick, 2006) framed the analysis.

All case organisations illustrated level one evaluations through their use of ‘happy sheets’ and informal feedback to gauge reactions. Level two evaluation strategies focus on changes in learning, with surveys used by CFC, BFC and CSI for this purpose and CSI reporting increased online capability to undertake surveys. Open communication was another strategy to focus on changes in learning and was reported by CFC, CSI and LBI within reflective supervisory conversations, although supervision for LBI moved from being regular to ad hoc over the investigation period. Level three evaluation strategies focus on changes in behaviour, with CFC, CSI and LBI again reporting supervisory conversations as a way in which this occurred. CFC also reported action learning reviews, most commonly within their project work, and BFC reported action research reviews, enabled by an in-house academic research and evaluation team.

Consistent with Reio et al. (2017), higher-level evaluations presented difficulties with resourcing and complexity, with only BFC and CSI having a staffed research team. There was no evidence of level four evaluation strategies from any of the case organisations to understand return on investment of training activity. However, level five evaluation strategies to understand contribution to society were embedded in improvement projects delivered by CFC and BFC, with both adopting practices influenced by implementation science which focuses on evidence and data (Nilsen, 2015). Impact analysis reports were undertaken by CFC, with staff focus group participants indicating that funders of evaluations sought to shape evaluation activity. BFC focus group interviews reported that staff routinely developed theories of change for each project as part of their implementation approach, which describe links between activities and anticipated improved social outcomes, establishing indicators which can be measured (Bertram et al., 2015; Walker & Matarese, 2011). In-house data analysts and researchers led the evaluation of all projects.

The comparison of CFC (Australia) and BFC (Scotland) as innovation centres was undertaken to support the investigation of complexity and contexts on workplace learning activity. Organisational learning theory explained that both CFC and BFC as innovation centres had the capability to undertake evaluations at higher levels to support better understanding of workplace learning success or failure. However, differences were found in the extent of evaluations conducted as only BFC was adequately resourced to do so.

The comparison of LBI (Australia) as a service provider and CSI (England) as a membership network was undertaken to support the understanding of workplace learning

in diverse organisational and environmental contexts. Organisational learning theory explained that CSI which promoted evidence based practice had strong evaluation capabilities and the ability to leverage external expertise as required. Contrastingly, organisational learning theory explained that LBI did not have the capabilities to undertake higher level evaluations and relied on lower level evaluation and conversations to gauge the success or failures of workplace learning activity.

8.4 Summary

This chapter used the theoretical framework to provide a comparative analysis of workplace learning activity across the four case organisations: CFC and BFC and then LBI and CSI. Workplace learning activity is undertaken within a broader context. *Institutional theory* was used to explain the institutional context, and *dynamic capability theory* was used to explain ways the NFP case organisations sensed their environment, seized opportunities and reconfigured. *Organisational learning theory* was used to explain workplace learning systems and activity, and *social innovation theory* was used to explain dimensions of practice innovation which was underpinned by learning activity. Findings were considered in response to the research questions and with links to the relevant research literature. Chapter 9 discusses the implications of these findings for theory, practice and policy. It acknowledges limitations of the study and makes suggestions for future research.

Chapter 9: Discussion

> Men and women are not content to comfort themselves with tales of gods and giants, or to confine their thoughts to the daily affairs of life; they also build telescopes and satellites and accelerators and sit at their desks for endless hours working out the meaning of the data they gather. (Weinberg, 1977, p. 149)

9.1 Introduction

This chapter discusses the theoretical, practice and policy implications of this study. Findings indicated that NFP organisations undertook workplace learning to build organisational and sector capacity for improved service and for social change. Workplace learning contributed to the better use of knowledge and practice innovation, which may have also supported NFP organisations to provide more efficient and effective responses to societal problems. First discussed is the implication of the findings in relation to the theoretical framework in the context of using knowledge to build capacity for efficiency and practice innovation. This is followed by practical suggestions which could be considered in the application of *dynamic capability theory* to the contexts of NFP organisations. Next, the limitations of this study are outlined. Findings from this study are then used to inform theoretically grounded recommendations for policy, practice and future research.

9.2 Implications for Theory

This study contributes to theory in five ways. First, a theoretical contribution is made through applying diverse theoretical lenses to examine workplace learning in the context of the NFP sector, noting that workplace learning studies in this context are under-represented in the literature.

Second, this study used four theories to develop a unique theoretical framework to address the insufficiency of a single theory or conceptual framework to examine how NFP organisations utilise workplace learning to improve efficiency and effectiveness within their broader context. The theoretical framework allows us to understand how and why NFP organisations may respond to environmental pressures with workplace learning. *Organisational learning theory* (Argyris & Schon, 1996; Beeby & Booth, 2000; Kirkpatrick & Kirkpatrick, 2006; Zack, 1999) and *social innovation theory* (Howaldt et al., 2017) enabled an examination of workplace learning for efficiency and effectiveness. *Dynamic capability theory* (Teece, 2007; Teece et al., 1997) enabled the examination of dynamic capacities to

sense and shape the environment, seize opportunities and reconfigure to maintain an environmental fit for organisational survival and sustainability and was pertinent, as funding and change are key issues for NFP organisations. *Institutional theory* (Dimaggio & Powell, 1983; Scott, 2014) enabled an analysis of pressures on organisations and their responses. Although there was some overlap, the combined elements of the theoretical framework guided and provided a more complete picture of how and in what ways case organisations work and utilise workplace learning, with their staff and others, to be better NFP contributors in the care services. The combined theoretical elements enabled insights into this study which would not have been possible without the differing lenses made available to the researcher. This study demonstrated how the theoretical framework can be used to 1) understand NFP organisations' environmental pressures and how and why their responses increasingly reflected the hybrid institutional logics of social businesses, and to 2) understand the ways in which NFP organisations approached and utilised workplace learning and reconfiguration to maintain fitness with their changing environments. It demonstrated how the theoretical framework applied to four case studies and provided an account of the understandings gained regarding the various challenges and organisational responses that included innovations, capacity building and reconfiguration activity.

Third, this study responded to calls for further research to specify the boundaries for dynamic capabilities and identify the range of organisations which are most appropriate for the application of dynamic capabilities theory (Barreto, 2010). The study has applied dynamic capability theory to the NFP case organisations in two countries and demonstrated its relevance.

Fourth, the dynamic capability framework was adapted for NFP organisations who are, to some extent, simultaneously entrepreneurial. Hybrid social and business institutional logics were highlighted by institutional theory, which examined the navigation of normative and cognitive-cultural pressures while organisations responded to business demands, and by social innovation, which highlighted entrepreneurial approaches to overcome resource constraints.

Fifth, and finally, the implications of adapting the dynamic capability framework for social and business outcomes are considered with regards to the explicated microfoundations of dynamic capabilities (Teece, 2007).

9.2.1 Theoretical framework

The theoretical framework combined *organisational learning theory*, *social innovation theory*, *dynamic capability theory* and *institutional theory* to investigate how NFP case organisations undertake workplace learning while responding to pressures in their environment. The combination of theories was complementary, yet overlapping. After the inductive analysis of the data identified the emergent themes of *social change*, *building organisational capacity* and *building sector capacity for improved services*, these themes were mapped to elements across all components of the theoretical framework to create a firm base for this study. Although all theories and elements selected were useful, nearly all social change efforts reported in the data were found to be practice innovations. Nilsen (2015) states that implementation science guides processes for the translation of research into practice and explains influences on outcomes and evaluation frameworks.

Implementation science is particularly relevant to practice innovation based on the introduction of evidence-based practice (Aarons, Hurlburt, & Horwitz, 2011). It may provide more helpful theoretical guidance than *social innovation theory* in the investigation of evidence-based practice innovations when this type of social innovation activity is the focus of a study. Figure 9.1 displays a modified version of theories linked to practice for this circumstance, with the inclusion for the first time of *implementation science theory*, which has replaced *social innovation theory*.

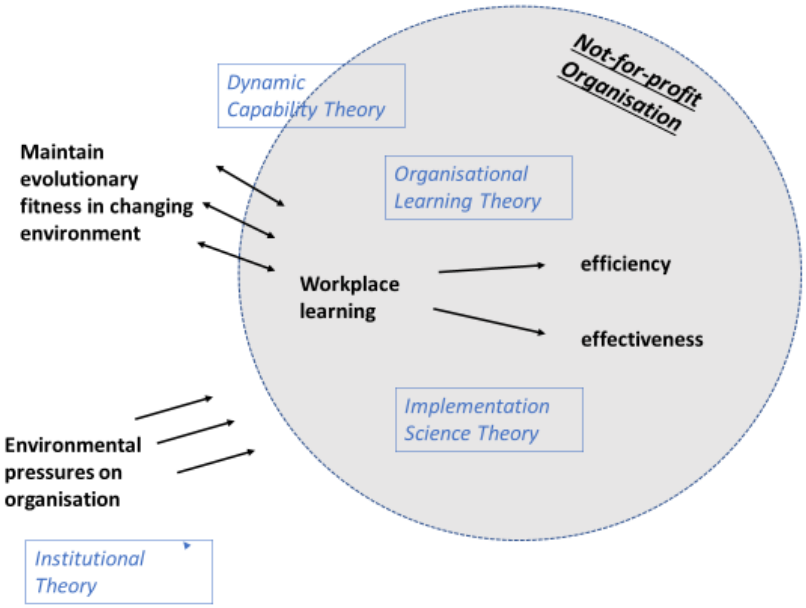

Figure 9.1: Modified - Theories linked to workplace learning in context.

9.2.2 Applying and adapting dynamic capability theory to NFP contexts

While the concerns raised by (Barreto, 2010) regarding the bounding of *dynamic capability theory* are acknowledged, and it is agreed the theory can be applied to NFP settings (Maijanen-Kyläheiko, Jantunen, Hujala, and Tarkiainen (2013), the findings from this study indicate that adaptations are necessary to account for the institutional logics of NFP organisations which are driven by social missions. This is consistent with the recommendations made by Hall (2017). Thus, a more reflective use of business practices is required which takes account of values when applied in NFP contexts. *Institutional theory* highlighted that all NFP case organisations in this study undertook business processes to acquire capital to extend their knowledge sharing agendas and fulfil their social purposes. Managers were confronted with navigating the social and commercial institutional logics, which are summarised (Fitzgerald & Shepherd, 2018) in Table 9.1 (below). Although dynamic capabilities theory provides some guidance to social service managers undertaking entrepreneurial activity, it is evident that adaptions are needed for its application in a social business context.

Table 9.1: Fitzgerald & Shepherd's 2018 (p. 477) logics summary.

Logics	Social	Commercial
Desired outcome	Social value	Economic value (profit)
Primary driver	Values-based mission	Market preferences
Tactic	Collaborative	Competitive
Source of legitimacy	Unity of purpose	Market position
Funding source	Contracts and donations	Trading income
Stakeholders	Clients and families, funders, community	Customers, owners

Note: Drawn from Anheier and Ben-Ner (2003); Boschee (2006); Dees (2012); Haugh (2007); Knutsen (2013); Liao et al. (2001); Seanor, Bull, Baines, and Ridley-Duff (2013); Thornton, Occasio, and Lounsbury (2012).

These combined social and business logics impact on the application of the dynamic capability framework by NFP service managers who are deploying sensing, seizing and reconfiguration capabilities for sustainable social business outcomes. The findings from this study suggest an adaptation of the dynamic capability framework (Teece et al., 1997)

for social business performance, as per Figure 9.2 (below). The dynamic capability framework created by Teece for business settings does not make the corresponding business institutional logics explicit in his model, as seen in the top part of Figure 9.2. The adapted framework underneath reflects that, in becoming more business-like, NFP organisations are guided by both social and business institutional logics and are seeking sustainable social business performance. The demands of combined institutional logics must be navigated and necessarily impact on how each of the dynamic capabilities are deployed.

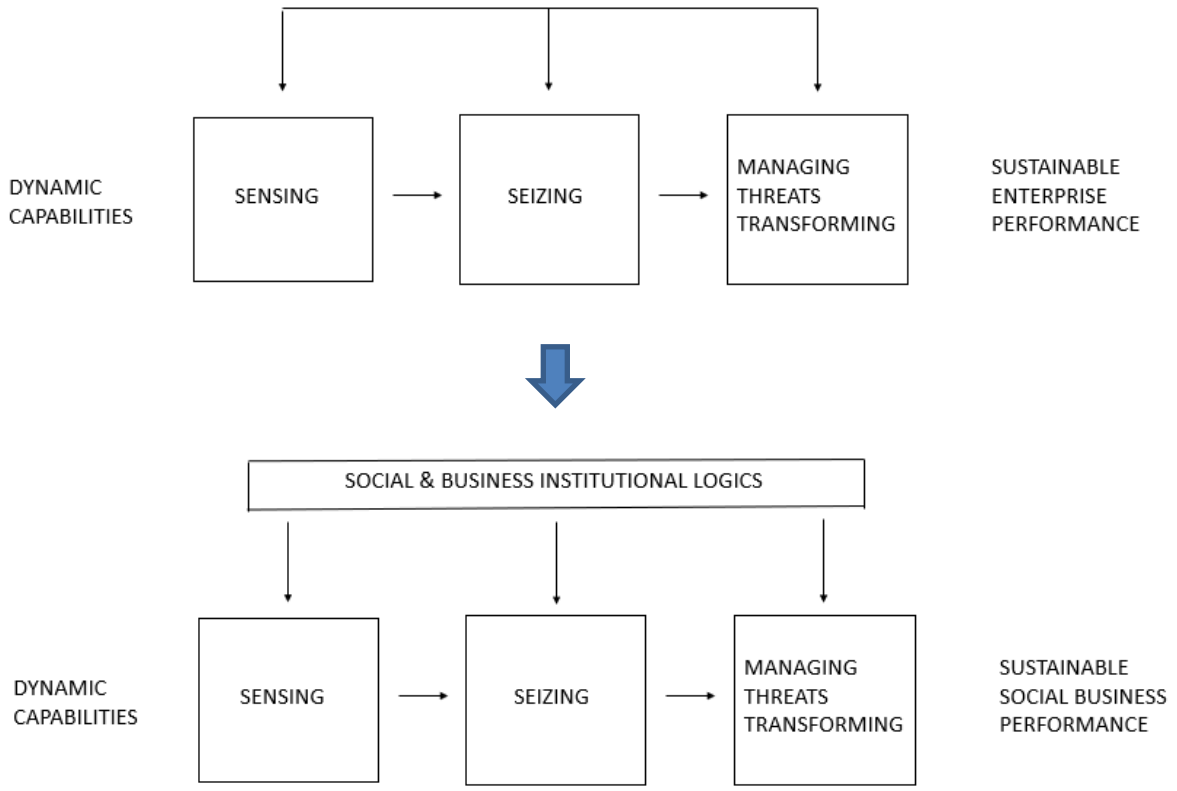

Figure 9.2: Adaptation of Teece's 2007 dynamic capability framework for social business performance.

9.2.3 Implications for microfoundations of dynamic capabilities

The microfoundations of dynamic capabilities described by Teece (2007) as “the distinct skills, processes, procedures, organisational structures, decision rules, and disciplines—which undergird enterprise-level sensing, seizing and reconfiguring capacities” (p. 1319) are detailed in Figure 9.3 (below). They have potential to support NFP managers with strategic planning and were used as elements for analysis in this study, illustrating how foundational systems enabled or constrained the deployment of dynamic capabilities.

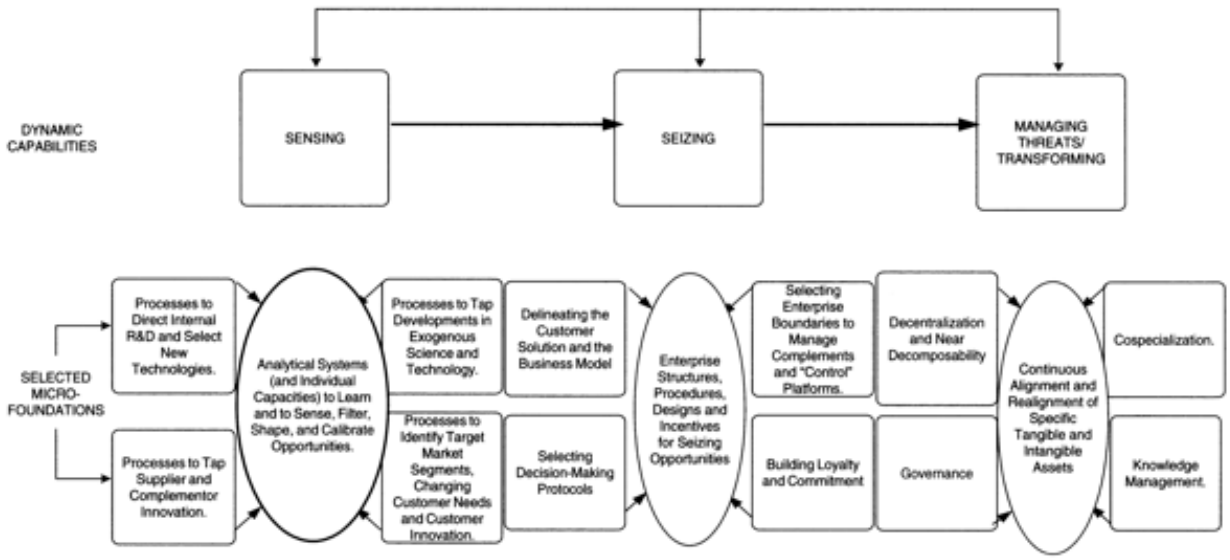

Figure 9.3: Microfoundations of dynamic capabilities (Teece, 2007).

The overarching application of both social and business institutional logics to this framework will necessarily impact the microfoundations explicated. The implications for these microfoundations are discussed next, where the findings from this study and the logics summary of Fitzgerald and Shepherd (2018) are drawn on. The adaption of the microfoundations for social business contexts is recommended, as they could offer further guidance for NFP managers.

9.2.3.1 Sensing and shaping capacity

In Teece's (2007) model, sensing and shaping of new opportunities are created through recognising and taking advantage of a lack of balance in the economy. Teece (2007) claims that by drawing on the work of Schumpeter and Kirzner on entrepreneurship, the pathways to identifying opportunities are through 1) having a different level of access to current information, or by 2) having new information or knowledge. The impact of social and business institutional logics on microfoundations for sensing and shaping capacity is next considered.

a. Process to direct internal R&D and select new technologies

A lack of control over processes to select new technologies was evident for some case organisations, as selections were made by auspicing bodies or funders.

b. Processes to tap supplier and complementor innovation

The process for NFP organisations to use is guided by the tactic of collaboration (Fitzgerald & Shepherd, 2018).

c. Processes to tap developments in exogenous science and technology

NFP organisations look to developments in social science and technology.

d. Processes to identify target market segments, changing customer needs, and customer innovation

In keeping with Fitzgerald and Shepherd (2018), all case organisations were guided by their values-based missions in how they targeted their services and maintained processes to understand changing needs of customers. The term ‘customer’ is worthy of consideration in the context of social services. Customers are often referred to as service users and there is a trend towards service users having more direct control of their funding (McLaughlin, 2009). Funding bodies may also view themselves as customers as they purchase or contract out services to NFP organisations, influenced by broader societal expectations.

9.2.3.2 Seizing capacity

The seizing capacity articulated by Teece (2007) for business settings involves decisions and investments in the development of new products, processes or services in response to opportunities sensed. The impact of social and business institutional logics on microfoundations for seizing capacity is next considered.

a. Delineating the customer solution and the business model

All case organisations developed responses to a funder's needs and developed business models.

b. Selecting decision-making protocols

Case organisations reported other factors which contributed to their decision-making in addition to business considerations. For example, CFC developed a decision-making matrix which incorporates values and BFC utilised values and principles such as respect and justice to support decision-making on work which is outside of its strategic and business plans.

c. Selecting enterprise boundaries to manage complements and 'control platforms'
Interactions within practice fields of health and social care may balance cooperation, competition, independence and imitations (Rehfeld, 2017), with cooperation a crucial key to success where resources are stretched, as evidenced in this study. This microfoundation fits with NFP contexts, although its execution may differ from business expectations.

d. Building loyalty and commitment
This microfoundation relegates the recognition of non-economic factors such as leadership, values and culture under the heading of building loyalty and commitment within the seizing opportunities capacity, with Teece (2007) noting that organisational identification and commitment can greatly enhance performance. All case organisations had social missions which provided goal clarity (Desmidt, 2016) and a unity of purpose which is also their source of legitimacy for NFP organisations (Fitzgerald & Shepherd, 2018). For NFP organisations, non-economic factors have a much broader influence.

9.2.3.3 Transforming and reconfiguring capacity

The transforming and reconfiguring capacity articulated by Teece (2007) for business settings involves continually aligning and realigning assets with the dynamic environment. The impact of social and business institutional logics on microfoundations for transforming and reconfiguring capacity is next considered.

a. Decentralisation and near decomposability
Decentralisation of management approaches could be applicable for large, geographically spread NFP organisations to stay in touch with the marketplace but were not found in the data of this study. Near decomposability of capability enables an increased ability to change despite normative pressures, which can be challenging where there are high levels of loyalty within a workplace culture. CSI, who was found to leverage external knowledge flexibly through associates, could be viewed as having more decomposability with less internal normative pressures to hold ingrained organisational knowledge as sacrosanct.

b. Governance
As described in this study, governance arrangements are critical for NFP organisations, who often have boards and auspicing bodies. Auspicing bodies may provide a range of human resource, financial and technology supports. This microfoundation fits with NFP

contexts, noting that clinicians who are promoted to managerial positions often find themselves unprepared to deal with complex governance issues.

c. Co-specialisation

Teece (2007) notes the importance of managing asset combinations to enhance value. In the under-pressure NFP organisations in the UK and Australia, co-specialisation is pertinent to case organisations who often combine resources to achieve objectives.

d. Knowledge management

According to Teece's model, the key components of knowledge management are learning, knowledge transfer, know-how integration, achieving know-how and intellectual property protection. Knowledge management is required in NFP settings, with organisations sometimes less concerned with intellectual property protection, as combining knowledge in partnerships is often required to put innovative solutions into practice (Heales et al., 2017).

This concludes the discussion of how the microfoundations of the dynamic capabilities explicated by Teece (2007) for business enterprises fit for social businesses. Although the language used by Teece does not always reflect the culture of the NFP sector, the microfoundations are viewed as applicable once the overarching social and business institutional logics have been applied.

In light of the findings of this study, a number of modifications to the theoretical framework have been suggested for adapting the *dynamic capability theory* for sustainable social business performance. It is suggested that *social innovation theory* could be replaced by *implementation science theory* when evidence-based practice innovation is featured. It is hoped these theoretical contributions will frame future discussion and elicit debate to inform the efforts of future research.

9.3 Implications for Practice

Workplace learning is linked to organisation performance (Fuller & Unwin, 2011) and can support NFP organisations to be more effective and efficient. Workplace learning activity was undertaken by NFP case organisations to build organisational and sector capacity for improved performance and for social change. Recommendations for how practitioners can improve the use of knowledge for each of these purposes follows.

9.3.1 How can practitioners better support the use of knowledge to build organisational capacity?

Practitioners can better support the use of knowledge by 1) contributing to a learning culture which explores, builds and strategically renews knowledge, 2) using varied learning processes and ensuring knowledge flows and is integrated, and (3) using evaluations and feedback for improvement and future planning.

It is recommended practitioners contribute to an organisational learning culture which explores and builds knowledge by undertaking the following:

- Supporting the organisation's capacity to learn by 1) utilising learning organisation principles identified by Senge (2006), such as system thinking, shared vision, mental models, team learning and personal mastery; and 2) adopting a deutero-learning approach to learn how to improve learning practices; and 3) exploring and building knowledge from theory and evidence, practice and service users.
- Conducting strategic planning to identify organisational and staff development needs, taking in to account the organisational context. Note that the microfoundations of dynamic capability theory (Teece, 2007) can helpfully point to the capabilities and underpinning skills, processes and systems required across the organisation for sustainability.
- Investing in their own continued development, taking part in reference groups and networks, and debating and testing new ideas and ways of working.
- Recognising that pressures on the organisation may lead to a breakdown or diminishment of workplace learning and reinstating it at the earliest opportunity for ongoing efficiency and effectiveness.

It is recommended practitioners use a variety of learning processes and ensure that knowledge flows and is integrated by undertaking the following:

- Ensuring that the type of learning processes selected can meet the knowledge requirements and that learning is tailored for different roles and levels; and, furthermore, by increasing the availability of flexible learning in line with wider trends and demands.
- Ensuring that organisational systems support knowledge flow and integration with strategies such as cross-functional teamwork, project debriefing and communities of

practice, as well as making knowledge from organisational partners and associates available across the organisation.

- As professional supervision provides a key opportunity for learning and knowledge transfer in NFP, building processes and skills for reflective practice and development for supervisors and supervisees.
- Ensuring workplace learning support is provided to clinical staff moving into management positions to enable them to respond to financial and governance issues and support staff to navigate competing business and service demands.

It is recommended practitioners use the evaluations and feedback of workplace learning for improvement by doing the following:

- Participating in a range of formal and informal methods for feedback and evaluation, recognising that higher levels of evaluation are often resource-dependent;
- undertaking action learning reviews when assessing learning which is part of change projects; and
- ensuring feedback is utilised to improve future learning processes or to learn from results.

9.3.2 How can practitioners better support the use of knowledge to build sector capacity?

Practitioners can better support the use of knowledge to build sector capacity by 1) developing a strategy for knowledge sharing and exploitation, 2) developing collaborative learning processes to assist in the translation of knowledge to other organisational contexts, 3) collecting and utilising feedback and evaluation for improvements, and 4) building capabilities to sense and seize opportunities for knowledge exploitation and to reconfigure to stay aligned with sector requirements.

It is recommended practitioners develop a knowledge strategy for knowledge sharing and exploitation that does the following:

- Documents a knowledge strategy for knowledge sharing and exploitation; and
- promotes entrepreneurial thinking and activity (see (Newman, Obschonka, Schwarz, Cohen, & Nielsen, 2019) while providing guidance to managers on how to navigate complex social and business demands (Jönsson, 2019).

It is recommended practitioners develop capability in collaborative learning processes which assist the translation of knowledge to other organisational settings by doing the following:

- Developing capability in ways to understand learning requirements and how they can be met, considering single-loop, double-loop and deutero-learning strategies. Training may create awareness and an introduction to further offerings but be insufficient to create change on its own.
- Developing skills in taking knowledge to other organisations and key stakeholders, including flexible multi-level and role specific approaches, while creating opportunities to recognise and incorporate local knowledge.
- Developing ways to create or co-create spaces for those with similar interests to connect, engage and share perspectives to enable knowledge integration.

It is recommended practitioners utilise feedback and evaluation data to inform improvements as well as reconfigure external knowledge sharing capability and practices in line with previous recommendations for improving and reconfiguring internal knowledge sharing capability.

It is recommended practitioners are supported to build capabilities to sense and seize opportunities for knowledge exploitation and to reconfigure to stay aligned with sector requirements via the following:

- Utilising the adapted dynamic capability framework for sustainable social business and its microfoundations to review and identify the individual and system capability development required to support entrepreneurial knowledge sharing work with sensing and shaping the environment, seizing opportunities and renewal of knowledge for changing requirements (see Appendix J for an example checklist developed by the investigator to guide a review of these needs).
- Developing resources which support the development and deployment of these individual and system capabilities.

9.3.3 How can practitioners better support the use of knowledge for social change?

The strategies which practitioners may utilise to better the use of knowledge for social change are 1) deepening understanding of the dimensions of social innovation which is increasingly demanded but difficult to deliver, 2) involving a variety of actors through

collaborations and partnerships to overcome financial barriers and resource constraints, and 3) sensing and shaping opportunities for social change.

It is recommended practitioners deepen their understanding of social innovation through the following:

- Increasing awareness and training for NFP managers and practitioners to undertake an increasingly important role in social change efforts via 1) exposure to resources such as the developing evidence on social innovation by the development of a social innovation typology (Howaldt et al., 2017), and reviews of social innovation in health and social care (Heales et al., 2017) and 2) training in implementation science processes for evidence-based practice innovations (Fixsen, Blase, Naoom, & Wallace, 2009; Nilsen, 2015);
- emphasising the importance of support from boards, auspicing bodies, funders and stakeholders for radical change efforts; and
- encouraging all staff and service users to have a role in identifying opportunities for social change.

It is recommended practitioners build skills and processes for partnership and collaboration, as the increasing complexity of social problems may intersect with several service systems and require collaborations of knowledge and resources from many actors. There were surprisingly few examples of service user-led social change initiatives in this study and these only occurred in the rare instances where resources were dedicated for service user engagement and exchange. It is recommended practitioners undertake the following:

- Build skills for partnership development and maintenance and maintain relationships with others in the same and related fields.
- Develop ways to better include service users as experts in their own experiences, including ways for them to have input into new initiatives and the design of learning programs. The Victorian State Government Department of Health and Human Services provides a useful resource on client voice in community services (DHHS, 2019).
- Advocate collaboratively to increase political power and develop evidence to strengthen arguments.

It is recommended practitioners build awareness and capacity to sense opportunities for social change by doing the following:

- Staying alert to emerging needs and opportunities by listening to service users, scanning the environment, maintaining relationships with policymakers and taking part in networks and reference groups; and
- reflecting on ways to improve practice and continue to adapt services to meet emerging needs and attain better outcomes.

9.4 Implications for Policy

This section makes recommendations for both external social policy and internal organisational policy. Social policy addresses social needs and social problems through public interventions, which include providing cash benefits, services and regulation (Fawcett, 2010), and sets government agendas which drive funding arrangements (Head, 2010). Although the failures of neoliberal ideology have become apparent, neoliberal practice has persisted (Aalbers, 2013). In the Australian case studies, neoliberal practice was apparent in the marketisation of disability services. In the UK case studies, it was apparent in austerity measures, which led to outsourcing and downsizing social services (P. Alston, 2018) and resulted in a profound impact on services delivered by local authorities (Farnsworth & Irving, 2018). Sinclair, Mazzei, Baglioni, and Roy (2018) state that, in the UK, policymakers and commentators are looking towards social innovation to ameliorate social challenges within a constraining and complex political environment. Organisational policy provides guidelines which can constrain or enable the better use of knowledge. Within the Australian and UK context, it is important that social and organisational policymakers recognise that the better use of knowledge can contribute to the improved efficiency and effectiveness of the services which are demanded of them in challenging times.

9.4.1 How could internal policies better support the use of knowledge for capacity building?

Organisational policies provide guidelines for the approaches and expectations on how activities will be carried out. Internal policies could better support the use of knowledge by 1) supporting a learning culture, 2) providing a professional supervision policy to detail expectations of supervision for supervisees and supervisors, and 3) providing an approach to establishing readiness for research opportunities and partnerships.

Organisational policy can contribute to supporting a learning culture through the following:

- Identifying an organisational approach as a learning or reflective organisation which continually develops and shares knowledge, utilising it to achieve its social mission;
- providing guidelines outlining organisational commitment to supporting staff to maintain and develop skills to help meet current and future organisational objectives;
- providing guidelines on the recruitment, utilisation and support of associates to bring in external knowledge if associates are to be used; and
- providing guidelines on the devolvement of power and responsibility as per learning organisation principles, which could be supported by procedures detailing decision-making authorities.

As professional supervision was a key mechanism for capacity building, a separate recommendation is made that an organisational professional supervision policy be developed which does the following:

- Provides expectations of how and when professional supervision practice is conducted for supervisors and supervisees;
- provides expectations of a development function which requires reflection on performance, a coaching element and consideration of further development activities; and
- provides guidance on how staff can support the inclusion of the voice of service users in their role.

It is recommended internal policies create a readiness to commence or continue research and research collaborations via the following:

- Providing guidance on organisational ethical considerations and processes, particularly when service user data is sought, paying particular attention to issues of informed consent and vulnerability; and
- providing guidance on how to respond and support research requests so as to develop relationships and collaborations which benefit both professionals and the community (see Cross, Pickering, and Hickey (2015).

9.4.2 How could internal policies support the better use of knowledge for social innovation?

Internal policies can enable or constrain social innovation. Internal policies could better support the better use of knowledge for social change by setting expectations and guiding approaches on using knowledge to improve responses to social need.

It is recommended internal policies support organisational expectations and approaches to the better use of knowledge for improved responses to social need via the following:

- Legitimising ways to challenge current thinking and outlining an approach to utilise knowledge for better program responses, practice innovation and advocacy, which may include adopting practice models, strategies or tools such as theories of change, program logics and implementation strategies.
- Guiding approaches to collect and include service users' suggestions for improvement and change. Although including the voice of children and young people presents further challenges, models such as the ladder of participation (Hart, 2008) and pathways to participation (H. Shier, 2001) are well established.
- Guiding approaches to social innovation projects on issues such as partnerships and the need for a contract of memorandum of understanding, as well as an approach to sharing or mitigating risk.

9.4.3 How could external policies better support the use of knowledge for capacity building?

External policies could better support the use of knowledge by 1) ensuring reforms for efficiency do not price out advanced knowledge and adequately address workforce development requirements, 2) supporting research and its dissemination, and (3) responding to the need for NFP managers to build business knowledge and skills as a systemic issue.

In Australia, disability services reform has created workforce challenges associated with achieving the right skills (Carey, Malbon, Olney, & Reeders, 2018), particularly in thin regional markets (David & West, 2017), while pricing out those holding advanced and innovation knowledge built over time for the most vulnerable. Similarly, austerity measures in the UK have removed layers of local authority and service provider staff and their expertise, while also diminishing in-house learning and development capacity. The Australian case organisations' experiences of disability sector reforms and the UK case organisations' experiences of austerity measures indicate that workforce development is

becoming less core to policy thinking and more likely to go unfunded. Dowse, Wiese, and Smith (2016) argue that presuming the marketplace will fund workforce development activity has the potential to be “a danger to service quality, workforce wellbeing, and, ultimately, support to those with complex support needs” (p. 60). It is recommended that policymakers

- ensure reforms do not inadvertently force holders of advanced knowledge which enables complex work for the most vulnerable to be priced out of service systems;
- ensure that workforce development requirements for reform and ongoing services are supported in policy and funding considerations; and
- work with other policymakers in related fields to ensure that reformed regulatory conditions are coherent, pathways visible and risk can be shared for those seeking to learn, collaborate and innovate across varied service areas.

NFP organisations may engage in complex work and hold rich data and research questions while lacking resources and opportunity to engage in its development or shape research agendas. New research in NFP settings could be better championed, communicated, and more inclusive of service user knowledge. Resources and tools could be commissioned to support better use of evidence. It is recommended policymakers support NFP sector research through the following:

- Developing processes for the sector to identify priority research themes and support collaborative research projects which address these;
- encouraging and contributing funds towards partnerships and collaboration between universities and researchers and the NFP sector;
- supporting the inclusion of practitioners and clients in research processes as holders of important knowledge—this could include funding scholarships to develop practitioners’ research skills and/or to support service user involvement—and
- funding the development and dissemination of plain language evidence briefings and supporting tools and resources for the application of research findings.

This study identified that all case organisations were subject to what Fitzgerald and Shepherd (2018) describe as social and commercial institutional logics. Clinical training does not prepare clinicians for business demands, which is a systemic issue for social services. It is recommended that policymakers

- respond to the need for business training for NFP staff moving into managerial roles as a systemic issue; and
- consider strategies such as sponsoring business skills programs and advocating to education providers that the teaching of business skills be provided as an important adjunct to clinical training.

9.4.4 How could external policies better support further social innovation?

Three ways that external polices could better support further social innovation are 1) by improving understanding of contexts and opportunities; 2) encouraging collaborations which bring together knowledge and resources to address complex problems; and 3) providing funding which supports the piloting, and where appropriate, the scaling up, normalisation and institutionalisation of innovations.

Understanding context is important for practitioners, policymakers and stakeholders (Heales et al., 2017). Current information benefits social service managers to better sense the environment to identify opportunities for social change and align direct workplace learning to meet new needs. It is recommended that policymakers fund the regular development and dissemination of environmental scans to create more awareness of changes in social needs and market conditions.

Collaborations may enable social innovation by bringing together differing knowledge and combining resources. Policymakers could better foster and nurture communities of practice and/or networks to raise awareness of wicked complex social problems and undertake knotworking (Engeström, 2011). It is recommended that policymakers undertake the following:

- Foster and nurture communities of practice and/or networks to provide opportunities for cooperative knowledge development, encourage the combining of resources and smooth the way for collective responses;
- provide support for collaborations with universities, research foundations and institutes which may broker better understanding between researchers and practitioners, and provide more opportunities for practitioners to influence research agendas and better opportunities for researchers to undertake applied research;
- provide support to improve inclusion of service users in social innovation initiatives; and

- collaborate with social innovators and develop processes to navigate regulative requirements and normative and cultural expectations while creating change.

Funding was found to be a key resource for social innovation initiatives. It is recommended policymakers consider funding to

- support paid client involvement in social change projects;
- pilot social innovations for sufficient time to enable measurement of impact and commence the development of an evidence base which widens further funding opportunities; and
- support the scaling up of promising innovations, and the normalisation and institutionalisation of successful new ways of working.

9.5 Limitations

There are a number of limitations in the current study which need to be made explicit.

First, this qualitative research involved 29 participants across two Australian and two UK organisational contexts. Therefore, the scope and context of this research is relatively limited regarding broader NFP organisational settings. All manager and staff participants voluntarily participated and were recruited from organisations participating in internal and external knowledge activity. The voluntary participation in this research may indicate a commitment to their learning and sector engagement. Therefore, data gathered from participants may not be representative of their counterparts in other NFP organisations which were not similarly focused.

Second, data collection provided snapshots of data in 2016 and 2018. A period of observation within the case study organisations and/or collection of data from partner organisations may have provided richer information.

Finally, potential limitations regarding the investigator's researcher positionality must be acknowledged. Although key considerations were made in terms of design, method and researcher reflexivity, it is possible the investigator's positionality and experience in learning and organisational development and as a manager in another NFP organisation in Australia influenced the analysis of the data generated. While not necessarily a negative to the study regarding data analysis per se, the potential influence of this positionality must nevertheless be noted within the broader context of the research.

9.6 Recommendations for Further Research

The further research requirements identified as a result of the current study are as follows.

The first is research to test and refine 1) the theoretical framework for this study and 2) the adapted dynamic capability framework for social business performance. This could include investigations of workplace learning in other NFP organisations such as hospitals or education settings which have become entrepreneurial to enable knowledge sharing. Another possibility is the investigation of the relevance of the framework for different cultural settings within developing countries.

Second, further research is required to make refinements to the microfoundations of dynamic capabilities (Teece, 2007) for NFP settings. Further research could then explore how NFP organisations and managers can develop the refined set of skills, processes, structures and rules which make up the microfoundations.

Finally, despite recognition that service users are experts in their own lives, and that engaging with this expertise improves outcomes, few ways to learn from them were presented in the data. Further research is required to investigate cases of how NFP organisations who include service users in knowledge development and social change efforts do so. This has potential to identify processes which those managing or delivering workplace learning can apply to increase the inclusion of service user knowledge in workplace learning efforts.

9.7 Summary

This chapter outlined the theoretical contributions the current study makes via its integration of *organisational learning theory*, *social innovation theory*, *dynamic capability theory* and *institutional theory* in under-represented ways and its contribution to the emerging literature applying *dynamic capability theory* to NFP contexts. The chapter recommendations for adaptations of *dynamic capability theory* to incorporate institutional logics and to replace *social innovation theory* with *implementation science theory* within the theoretical framework when evidence-based practice implementation is the key social innovation. Recommendations were made for how practitioners could better support the use of knowledge for organisational and sector capacity building and social change to create more efficient and effective services. This included recognition that practitioners may undertake entrepreneurial activity to acquire resources for external knowledge sharing and therefore navigate both business and social institutional logics. This was

followed by recommendations for external social policymakers and internal organisational policymakers to find ways to create more supportive conditions for knowledge building, sharing and social innovation.

Limitations regarding data collection and the scope of the study were detailed. A recommendation was made for future research of workplace learning in other NFP settings which tests the theoretical model developed. Further research was recommended to refine adaptations to dynamic capability theory for NFP settings and to explore how organisations and managers can develop the required capability and systems. Finally, further research was suggested to explore ways that service users could inform knowledge activity which supports service delivery to support better inclusion of service user knowledge in workplace learning efforts. The next and final chapter provides concluding remarks for the current study.

Chapter 10: Conclusion

There is much to be admired in the efforts of NFP organisations who strive to respond to the complex needs of vulnerable people in our communities. It is incumbent on these organisations and those of us who work within them to perform our roles well and to use resources efficiently and effectively to support people in need. Knowledge must continually evolve to enable successful responses to changing conditions and societal expectations.

Workplace learning is a key mechanism used by NFP organisations to build organisational and sector capacity for service improvement and for social change. It is enhanced by knowledge strategies which respond to the organisational context, recognise innovative knowledge and knowledge gaps, encourage the knowledge sharing and integration which may lead to innovation, and support organisational and practitioner learning practices to continue to improve. As workplace learning is context-dependent, external and internal policymakers have a strong role to play in setting the culture and conditions conducive to knowledge development, sharing and integration. NFP organisations have sought to increase their impact through external knowledge sharing aligned with their social mission. Furthermore, environmental pressures have led to the adoption of entrepreneurial approaches. This creates greater complexity for managers and staff as business and social institutional logics and demands are navigated. The framework developed as part of this study enabled a nuanced theoretical analysis of four NFP case organisations' workplace learning activity.

Bearing in mind that this study has pointed to the need to pay attention to the way that the workplace learning activities of case organisations respond to their institutional context, the findings and their extent of generalizability across the case organisations follow:

- All case organisations strove to make better use of knowledge. They used workplace learning for social change, to build organisational capacity, and to build sector capacity for improved services with approaches strongly influenced by the institutional context.
- All case organisations experienced environmental pressures with the success of their responses resulting in changed capacity with implications for future workplace learning activity.
- Collaboration, knowledge sharing, and partnership were enabling factors for practice innovation at all case organisations.

- Professional supervision, training for individuals and teams, and professional development budgets were common strategies at all case organisations to build staff capacity, however these strategies were more difficult to enact at LBI and CFC who were under the pressure of rapid growth.
- Knowledge was exploited through the delivery of learning events, tailored training, consultancy and workforce development, or change projects aimed at building sector capacity to differing extents with CFC as an institute, BFC as an innovation centre and CSI as a membership network regularly undertaking this work as core business, and LBI as a service provider undertaking this when capacity allowed.
- Trends evident over the investigation period were 1) increased use of technology for communication and flexible learning at all organisations, 2) increased focus on knowledge integration with the strongest example the partnership work of LBI, 3) increased interest in implementation strategies for the translation of research into practice to the greatest extent by CFC and BFC, and 4) increased entrepreneurial approaches to knowledge sharing by all case organisations.
- Although feedback and evaluation were important in how the success or failure of workplace learning was understood, a lack of resources curtailed more extensive evaluation and research ambitions on many occasions for all case organisations, but must notably for LBI as a disability service organisation who could not find resources for formal evaluations or research.
- Client involvement in knowledge and innovation were an area for development at all organisations. LBI were the only organisation that had a formal body for client input, however it was dormant for the period of the study. Surprisingly, given the social justice values of the NFP sector, client voice was underdeveloped in processes for learning and change at all organisations with BFC striving to the greatest extent to remedy this.

The theoretical framework brought together *organisational learning theory*, *social innovation theory*, *dynamic capability theory* and *institutional theory* in a unique way and in a unique context, which may represent the beginning of a new way to look at NFP research. The theoretical framework developed may be a useful a tool to support NFP managers in their strategic planning efforts to meet external demands for efficiency and effectiveness. This study also points to ways to apply the strategic dynamic capability framework within a NFP setting for social business performance by making explicit that both social and commercial institutional logics may apply and require navigation.

Resources could be developed to support NFP managers to apply the theoretical framework. Appendix J provides a checklist for the framework's application, which could be further developed with additional resources created to point towards how identified development requirements could be met.

This study investigated how NFP organisations utilised workplace learning to build skills and knowledge for organisational efficiency, effectiveness and social innovation in light of an organisation's context and changing environment. It developed a framework for supporting NFP organisations in the skill and knowledge development which is crucial for organisational effectiveness and social innovation. While further research and the development of practical resources are required, it is hoped this study will contribute to improving the performance of NFP organisations and those who work within them. As management consultant, educator and author Peter Drucker (1988) points out:

> It is ... management's job to enable the enterprise and each of its members to grow and develop as needs and opportunities change. This means that every enterprise is a learning and teaching institution. Training and development must be built into it on all levels - training and development that never stop (p. 76).

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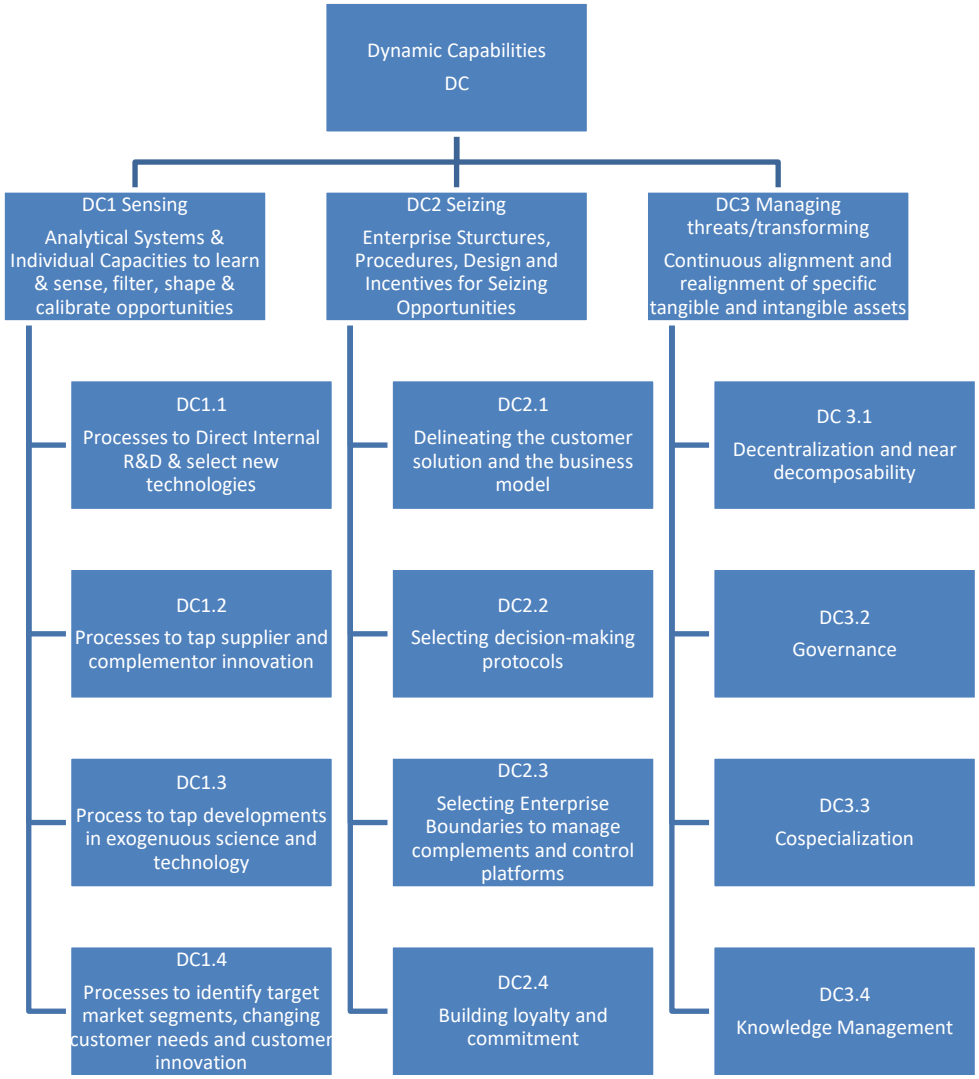
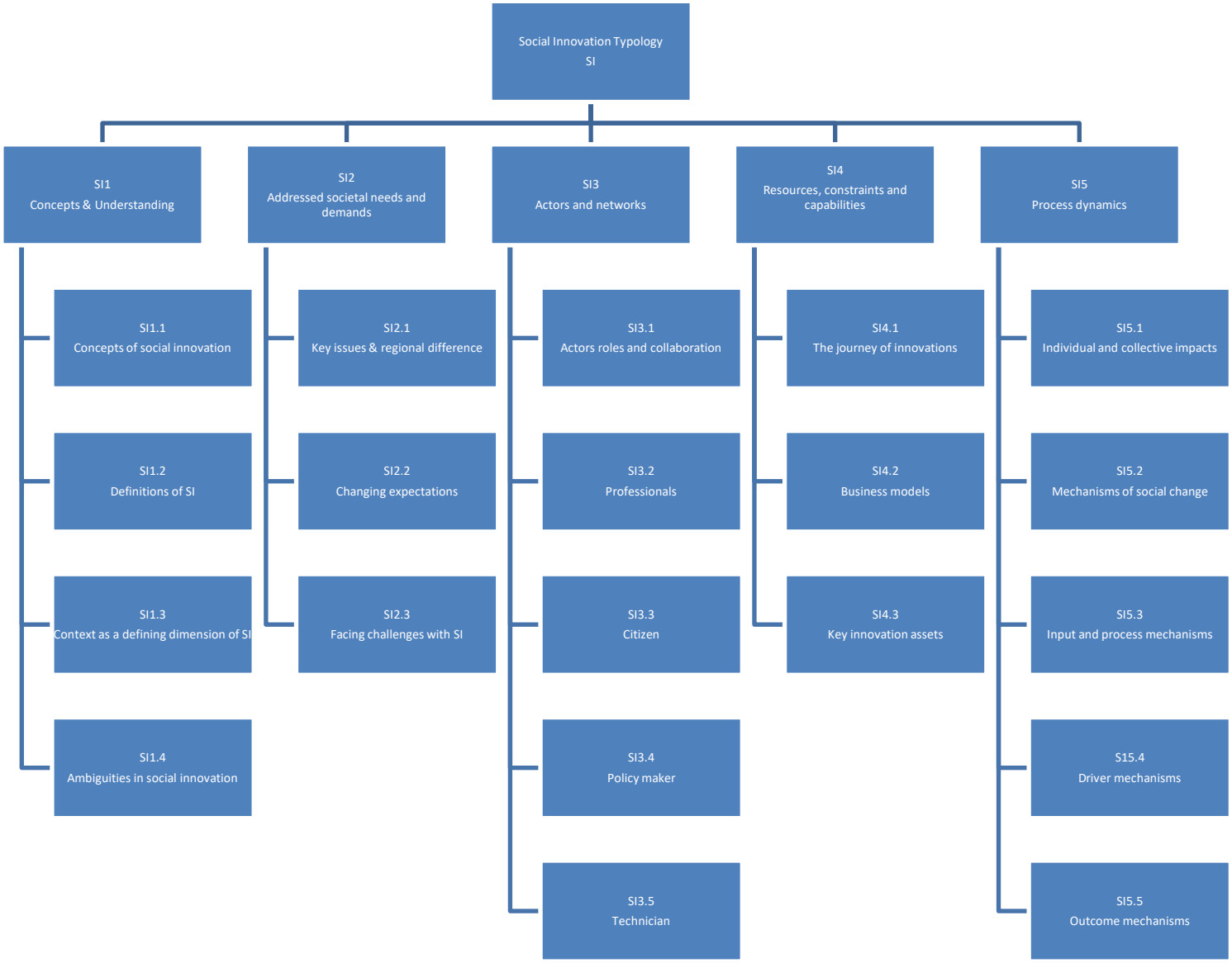
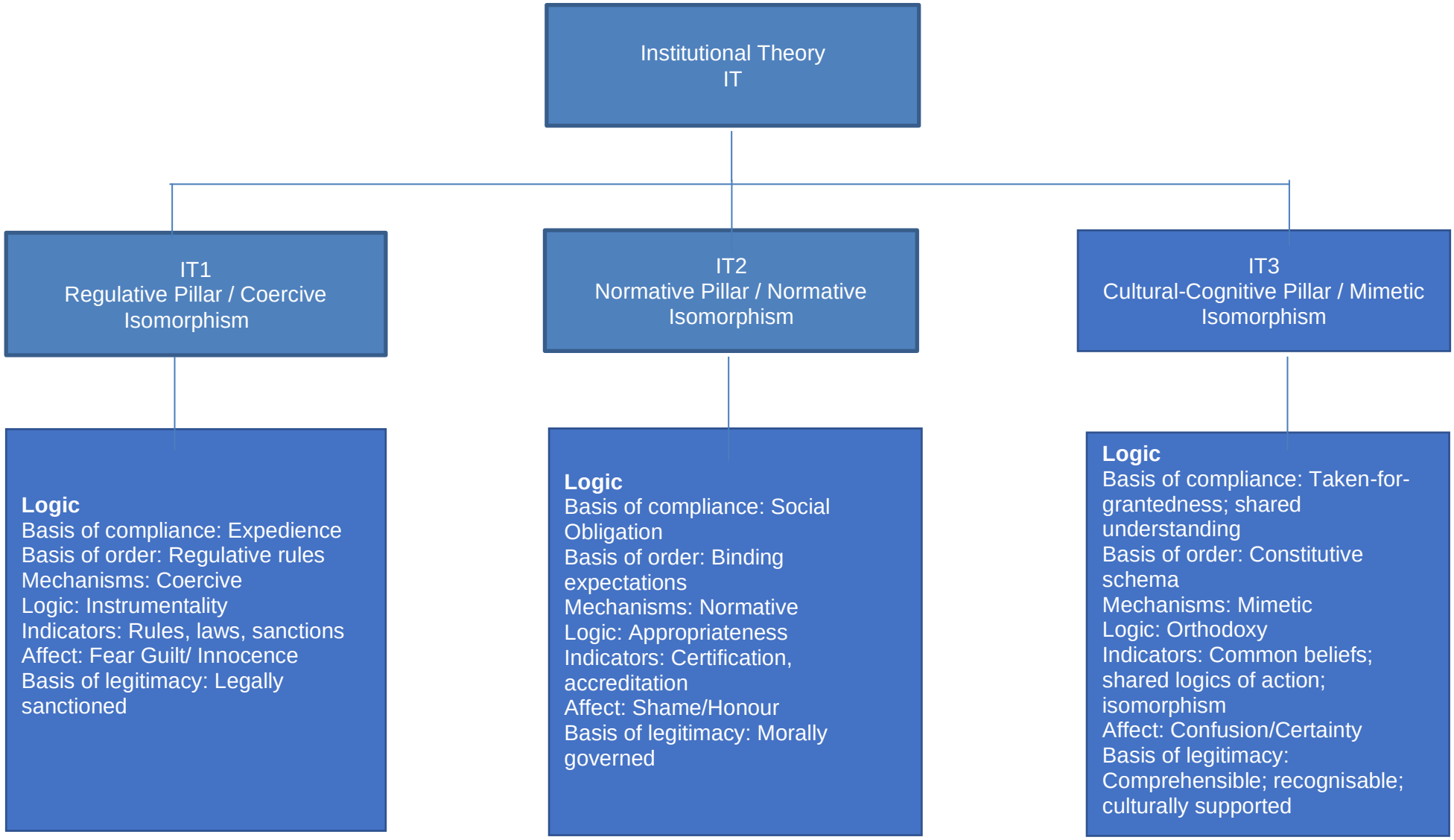
Appendix A: Detailed View of Theoretical Model Elements



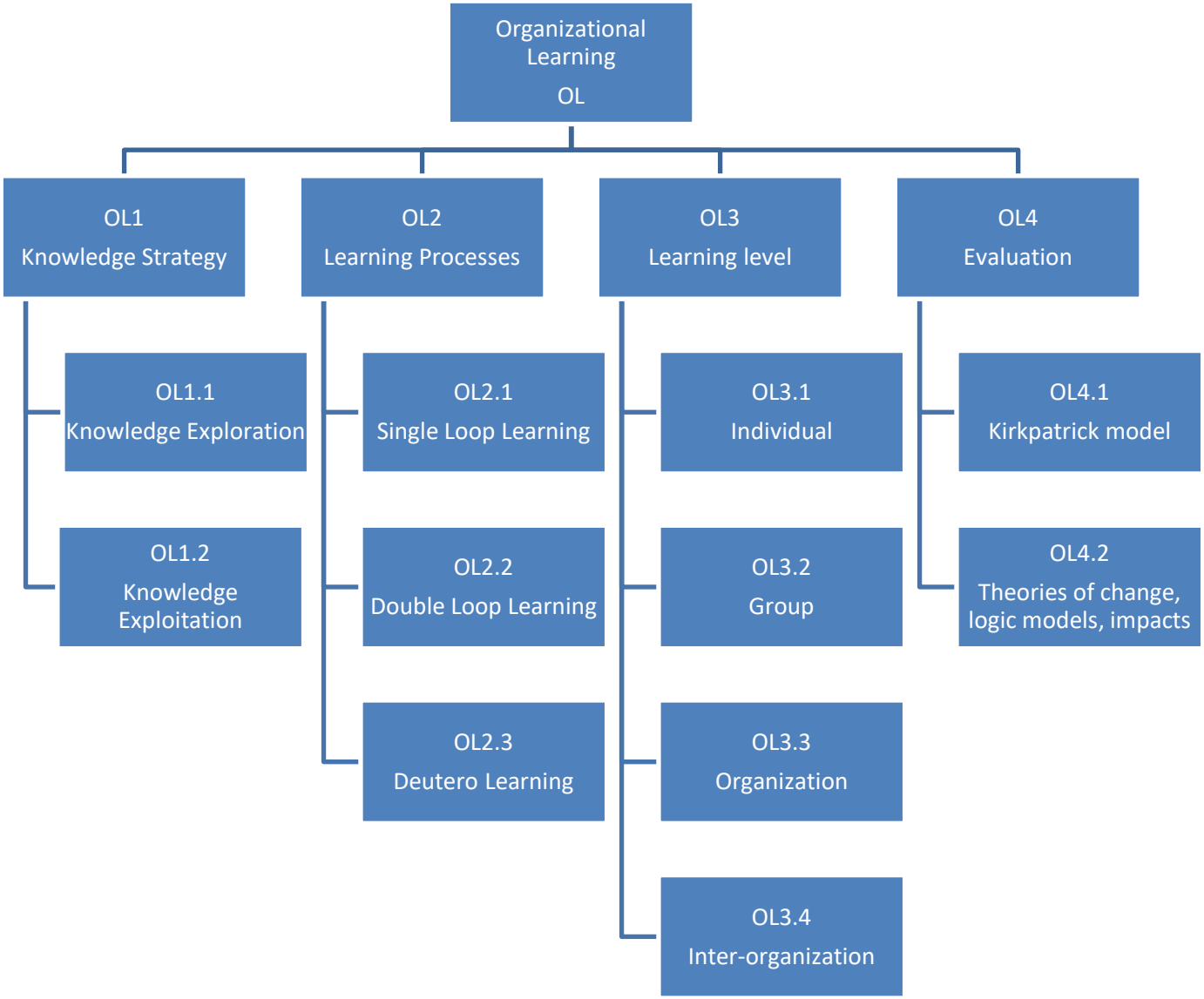
Key source: Teece (2007).



Key source: Howaldt and Hochgerner (2017)



Key sources: Dimaggio and Powell (1983), and Scott (2014).



Key sources: Zack (1999), Argyris and Schon (1996), Beeby and Booth (2000) and Kirkpatrick and Kirkpatrick (2006).

Appendix B: Sample Website Review of Case Organisations

Case Organisation 1: CFC

About	Vision and Mission	Values	Areas of workplace learning activity
• Combines clinical family therapy, academic teaching, qualitative and quantitative research, workforce development and community education in one integrated service • Work focuses on the fundamental role of the family and alternative social networks in the healing process and the power of relationships to foster social, emotional and mental wellbeing • Close relationship with clinicians, managers and bureaucrats in the human services enables us to translate socially responsible	Vision: Healthy relationships in families Mission • To improve the lives of individuals and families through relationship-focused services. We engage others using a systemic paradigm to promote healthy relationships and productive change. • Conceptualise, develop and deliver high quality and innovative systemic services inspired by family therapy and systemic practices which reflect 'real world' complexity. We approach this complexity through the active integration of our major services, which have developed over many years in response to the needs of our client families, partner organisations, key stakeholders and the broader community • Building on our friendly and professional culture, we develop innovative ways to respond to the problems faced by families, enrich existing approaches	Values-driven learning organisation which embraces: • Openness, reflection and continual development • Goodwill, generosity and good humour • Commitment, passion and hard work • The appreciation of complexity and context • Embracing diversity and mutual respect • Flexibility and versatility • Innovation, creativity and discipline • Non-blaming, warmth and directness • Competence, excellence and leadership • Making a difference	• Clinical Services & Consultation • Workforce Development, Training & Implementation • Academic Training • Research & Evaluation • Resource Development As an integrated, learning organisation, each individual service provided is enriched by the ideas, evidence and practices of our other services, and by our work with a wide range of service systems, in an ongoing, recursive way.

innovations into reality • Centre within a public university.	which are true to our value base and use this knowledge to help all families live better lives.		

Appendix C: Questions for Participant Groups

Example questions and discussion topics follow for: 1) Participant Group 1 Manager interviews, 2) Participant Group 2 Staff focus group interviews, and 3) follow-up interviews. Example questions are mapped to relevant research questions or a rationale for their inclusion.

1. Participant Group 1 Managers Interviews

Questions	Mapped to Research Questions or Rationale for Inclusion
a. What are the strategic directions for your workplace learning (e.g., professional support, research and development) activity and how have they been developed? Possible prompts: What people & processes are involved in developing this approach? Is a strategic plan available? b. What is the impact of the organisation's social purpose on its people and processes? Prompts: Values, motivation for change, client involvement	1. How do not-for-profit organisations approach the acquisition and sharing of knowledge?
c. Given that your work is complex and within a changing environment, how do you keep ahead or respond to changes in the environment? Possible prompts: Scanning the environment, internal capacity development. Challenges and responses. Establish, maintain and sustain partnerships inside and outside of sector.	2. How do not-for-profit organisations alter their knowledge base in response to changes in their operating environments?
d. What are your measures for your organisation's knowledge, research and development activities? Possible prompts: What are you proudest of?	3. How does your organisation determine the effectiveness of the impact of knowledge, research and development activities?
e. Is there anything else you would like to tell me? Possible prompts: What are your hopes and dreams for the knowledge activity of the organisation? If you had a magic wand, what wish would you grant for the knowledge activity of the organisation?	Open question providing opportunity for participants to contribute what they wish.

b. Participant Group 2 Staff Focus Group Interviews

Questions/discussion topics	Research Questions
1 (i) What are the sorts of workplace learning (e.g., professional support, research, training activities and academic) activities your organisation undertakes? (option – record this on sticky notes, display and discuss) (ii) How does the organisation's social purpose impact on these activities? Possible prompts: Purpose of work Type of organisation/activities undertaken Values Client role/voice How did you decide on this focus or these activities?	1. How do not-for-profit organisations approach the acquisition and sharing of knowledge?
2. (i) What are three challenges your organisation has encountered? (ii) How have these been responded to? (option – record this on sticky notes, display and discuss) Possible prompts: Professional development, change in knowledge activity, policy change, change in focus, developed partnerships, client voice, evaluation, funding etc	2. How do not-for-profit organisations alter their knowledge base in response to changes in their operating environments?
3. What do you think has been successful for the organisation, and why do you think it has been successful? Possible prompts: How do you determine what is successful? What were the key factors in this success? Partnerships? Client voice?	3. How do organisations determine the effectiveness of the impact of knowledge, research and development activities?
4. Is there anything else you would like to tell me? Possible prompts: What are your hopes and dreams for your work? If you had a magic wand, what wish would you grant within your work role?	Open question providing opportunity for participants to contribute what they wish.

c. Follow-up Interviews (all)

Questions for Managers and Staff	Research Questions
1. What has changed for your organisation and your role since our last meeting? Possible prompts: How did this happen? Why were these changes made?	Gaining reflections of changes over time.
2. What have these changes meant for workplace learning activity? Note: reflect their language of workplace learning such as training, research, professional support, development, professional learning	1. How do not-for-profit organisations approach the acquisition and sharing of knowledge? 2. How do not-for-profit organisations alter their knowledge base in response to changes in their operating environments? 3. How do organisations determine the effectiveness of the impact of knowledge, research and development activities?
From my last visit, I developed some ideas about your workplace learning approaches and activity which I would like to check in with you to make sure I captured it accurately and also find out if it's changed. 1. Is this how you understand the operating environment? 2. Is this how you approach taking opportunities for workplace learning activity? 3. Is this how you approach refreshing and renewing your organisation? Note – add investigators understanding for each case organisation to each point.	Check in investigators understanding from last interview. 1. How do not-for-profit organisations approach the acquisition and sharing of knowledge? 2. How do not-for-profit organisations alter their knowledge base in response to changes in their operating environments? 3. How do organisations determine the effectiveness of the impact of knowledge, research and development activities?
4. Is there anything else you would like to tell me?	Open question providing opportunity for participants to contribute what they wish.

Appendix D: Sample of Read/Listen Step & NVivo Annotations

Interview with CFCM1 at CFC, 2016.

Ed

Yeah. So it was sort of the start of our interest in implementation. So it wasn't just training. So we initially trained and tried to train people like us to be like us, and that was very limited. So then we created a model rather than family therapy of family-sensitiveness, and that really was taken up - the carer organisations did a lot of that work too but then that became government policy. Family sensitive practice became government policy. But in that training, we evaluated and what the workers loved most was hearing the carers and consumers, their story, and being trained next to them or beside them, and also the videos that we had that reinforced that. We also had clinical services and non-government services working together.

Annotations

Item	Content
1	Shifting to do more than training and thinking about implementation. Interesting to hear the development of the approach.
2	Reflection/recognition of limitations of previous approach
3	Innovative - family therapists creating a new model of family-sensitveness - disseminated and became institutionalised as governement policy.
4	Inclusivity of carers and consumers in training. Past example. I wonder if this is still occuring?

Appendix E: Examples of Memos

Memo: Interview Summary of CFCS5's follow-up interview (4/9/18)

Biggest change: no change, some frustration

CFCS5 emphasised that the biggest change was not changing governance bodies, which meant that "we couldn't do a lot of forward-planning in that time" and "we just kept on putting things to one side ... because we are going to be changing, and there is no point". She commented this was wearing on staff. A few people moved on, which provided a lot of opportunities—although, CFCS5 explained that people's roles being diverse is a reason to stick. CFCS5 also reported that the "can do" attitude remains, the core values remain, and staff are generally passionate about what they do.

Own change and development

CFCS5 reported stepping up to coordinate a state-wide supervision project, started team leading and moving into some managerial tasks but still delivering training. The supervision project leadership placed her in an expert role, which she found uncomfortable until she worked out what she had to offer and what she didn't know about. CFCS5 attended leadership training. She also stated she took part in a change agent network for the alcohol and other drug sector, which was strategically good for the service. She is also moving to run training with Aboriginal people with the Indigenous program and expects a lot of growth and was attracted to the role for what she can learn.

Staff development system

Identifying staff development needs is based on regular conversations about what people want to do and what is good for the service. There is a modest PD budget and a lot of opportunities to move within the organisation. Sometimes the development is a bit too fast, and its jumping in the deep end, which suits CFCS5 but not everyone.

Sector capacity building & change through supervision project

CFCS5 was very happy with the supervision project which was run over four years and delivered to mental health services, mental health community support, alcohol and other drug services across Victoria together. Research identified that delivery methods rather than content required change, and they moved to blended delivery and ensured participants designed projects for supervision improvements at their service. Additionally, improvements were made to include a trauma lens and work was done to make it more culturally relevant, such as including diverse ways of looking at material.

Integrated learning organisation

CFCS5 was most passionate about this—“hell yes”. She said “it is evidence-based practice, and practice-based evidence, so that we continue to learn from our practice ... keep learning and changing all the time, and across the different aspects of the service”. It involves communication and how learning is spread around the different teams.

Checking understandings

I shared the mapping of professional support, and research and development I had performed from 2016 data (i.e., a manager interview and focus group interview), which included a sticky note exercise with CFCS5. She said it sounded accurate and expressed hope more research could occur in the workforce development area. CFCS5 indicated she and others would like more time for writing so that knowledge isn’t lost as they don’t get to publish.

Memo: Reflections immediately following interview at CFC with CFCS5 (31/7/18)

CFCS5 had a friendly, calm presence again today and greeted me warmly. We met in a small interview room in CFC’s main office. CFCS5 has gone through significant changes in her role since last visit and happily affirmed that she had grown professionally through formal training and through job opportunities. I learned more about her and others’ professional development. She was pensive as she spoke about the hiatus at CFC while the planned transition stalled and then didn’t go through—she feels the organisation struggled to go forward during this time. This is interesting, as CFCM1 didn’t express this. She commented on the impact on morale and some staff leaving, which isn’t usual. As one of the participants of the original staff focus group, CFCS1, has moved on, I knew that CFCS1 was one of them. CFCS5 is stepping into some of the Indigenous work that CFCS1 did. I asked CFCS5 about successes, and she was really pleased to tell me about a lengthy (4 year!) project she has worked on which involved an upfront research component before blended delivery of training to the sector. I should have pressed her further on why it was successful, but she identified new blended training methodology as being an important factor, and something they will take further.

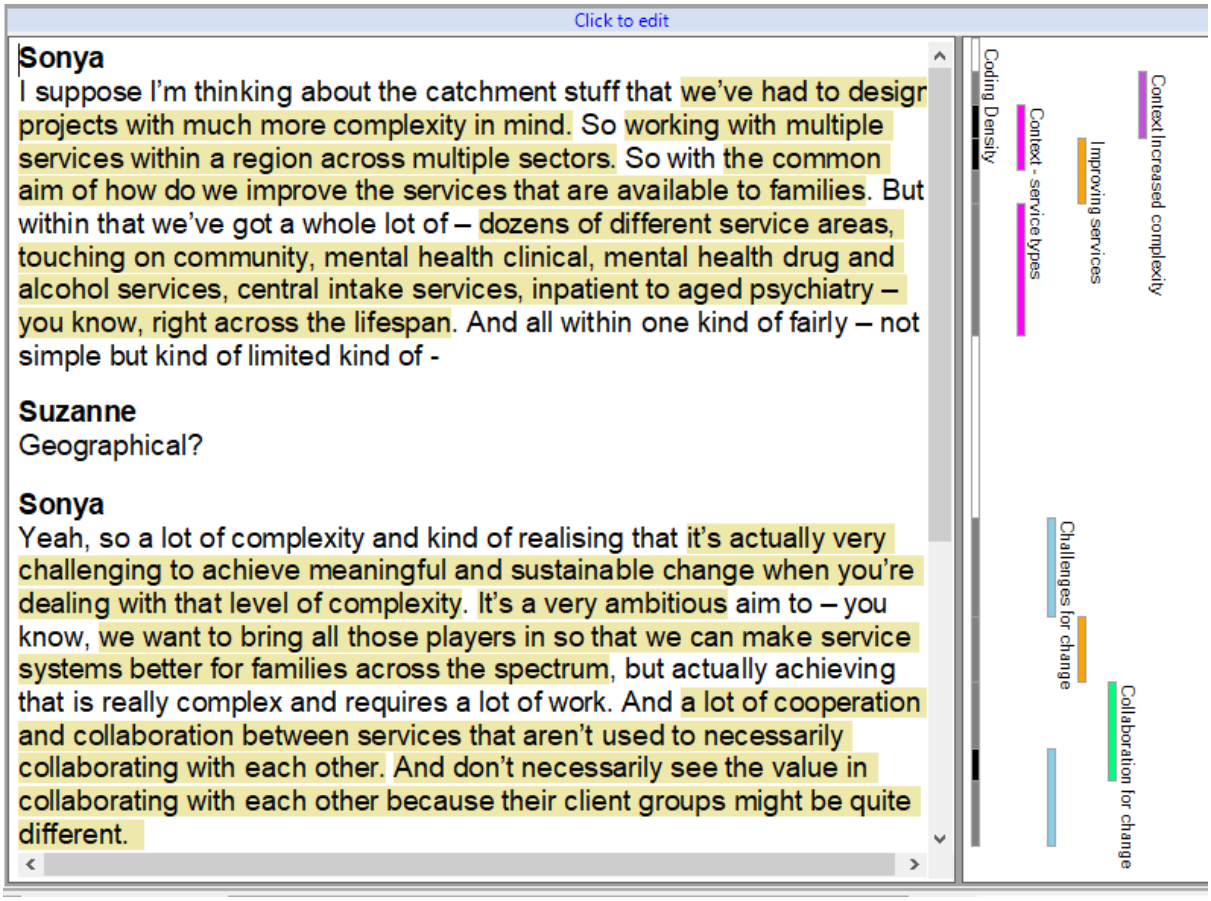
Note – review the area where CFCS5 talks animatedly about being an integrated learning organisation—“hell yeah!” She was most enthusiastic about this and it really spoke to the identity of the organisation and staff, and their approach.

I shared the model I had created for CFC and talked her through it, as she didn't have her glasses! She thought it sounded ok and didn't have much to add. Clearly not as exciting to her as being an integrated learning organisation!

CFCS5 seems genuinely pleased with the opportunities the renewed relationship with the auspicing university will bring regarding research and feels this will really help progress their integrated learning model.

After the interview concluded CFCS5 was very encouraging, having obtained a PhD herself!

Appendix F: Sample of Play Step and NVivo Coding Stripes



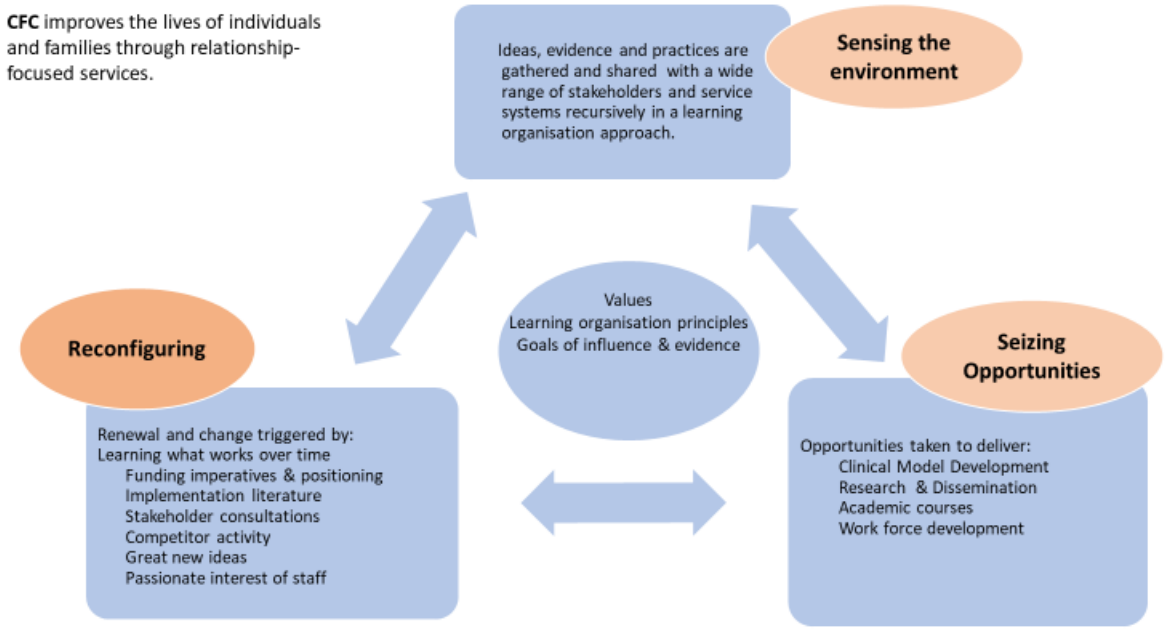
Appendix G: Sample of Refining Themes

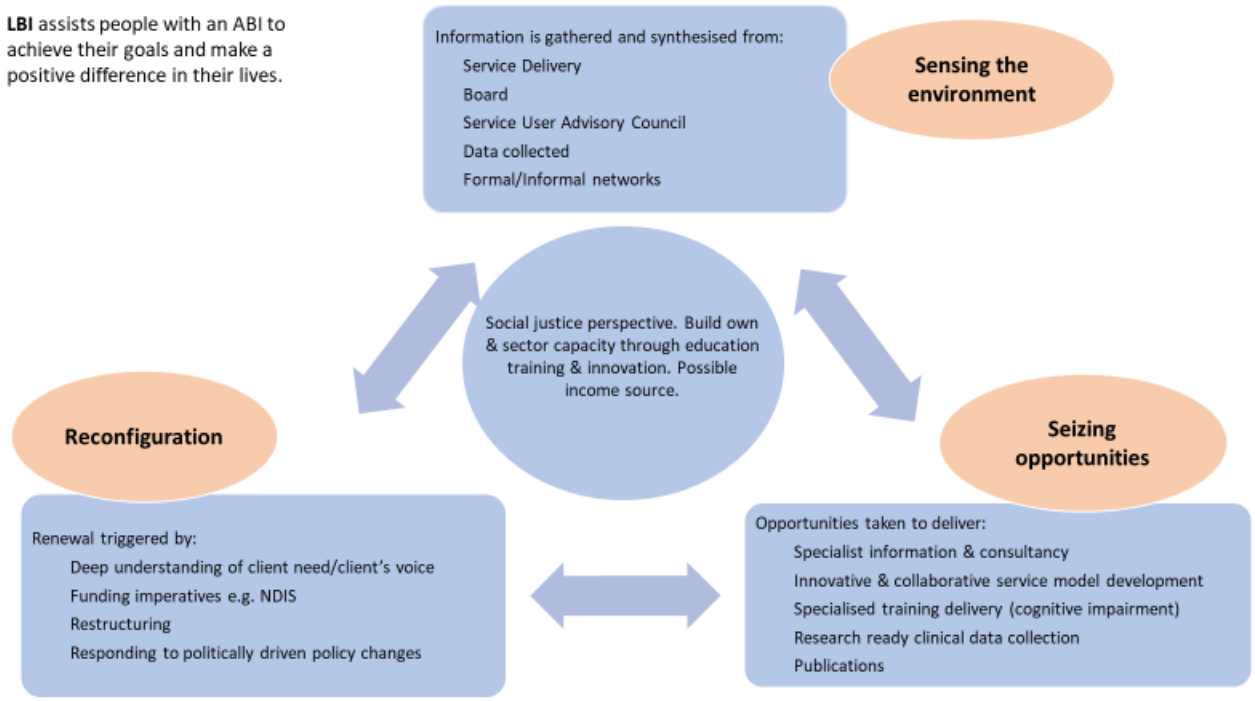
Major Theme 3: Understood as ‘Building sector capacity for improved services’

Organising Themes Summarise principal assumptions	Basic Themes A statement of belief	Sample Data Points
Sharing knowledge makes a difference to other organisations	Specialist knowledge should be shared with sectors for the biggest impact.	We have some specialist knowledge ... we’re thinking all the time about how we can have the biggest impact on the various sectors as a result of that. **Staff Member CFCS5, CFC**
	All organisations can provide support if they have the knowledge.	We can just share that knowledge so that support can be received from any organisation within the community. **Manager LBIM1, LBI**
Identify needs and priorities Collaborate to develop tailored responses	Understanding needs and priorities of partners Collaboratively developing bespoke, often multi-level programs	I also do account management. So, that involves going out to meet our partners, finding out what their key priorities are and then working with them **Staff Member CSIS5, CSI** So working with partners to develop the bespoke programs of training for their staff, and a lot of those are multi-level as well. So, there’ll be some aspect of the program that’s aimed at middle leaders, and then some variation of that for line practitioners as well **Staff Member CSIS6, CSI**
Learning and development and consultancy can build the capacity of partners	We work with strategic partners to build their capacity Learning and development & consultancy is aligned	So, we work with ... Local authorities, third sector, in a range of different ways. So, we can provide consultancy on an individual basis and a team basis with strategic partners. And, really, a lot of it is about capacity – building capacity. They’ll usually identify a need for development or review. And we will work alongside them in partnership to try and shape that up. Within that, there’s a real close alignment between learning and development and consultancy. **Staff Member BFCS4, BFC**

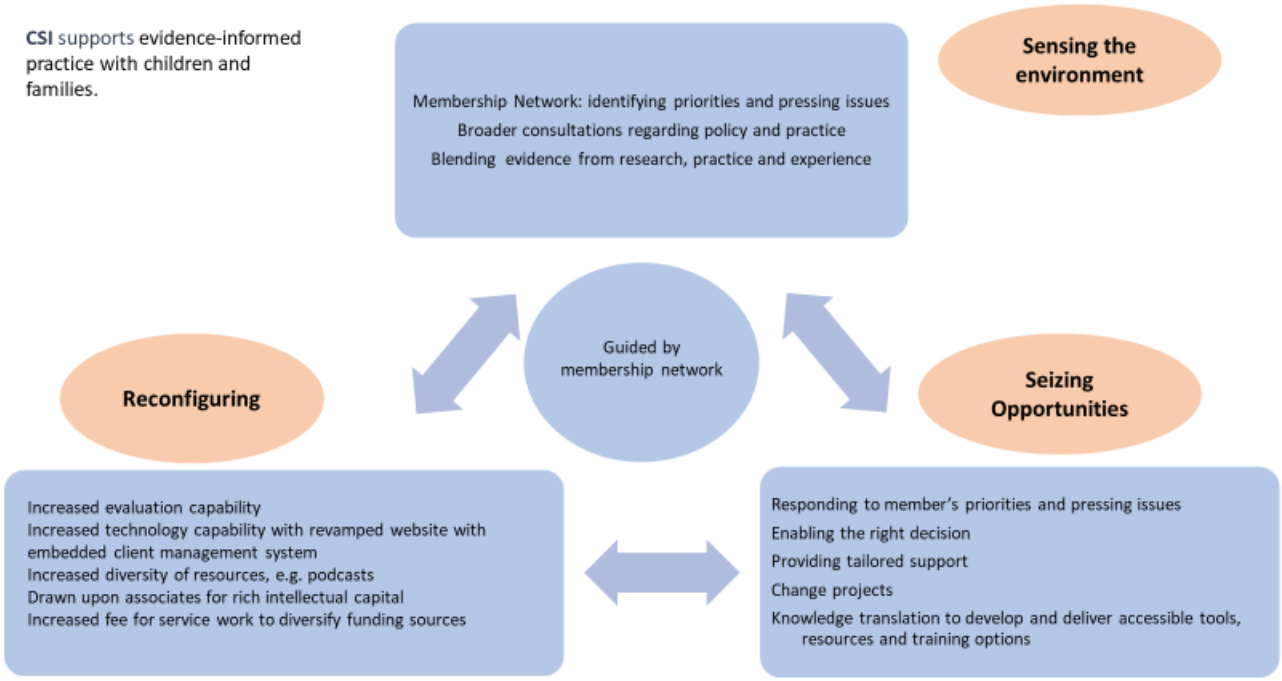
Guided by (Attride-Stirling, 2001).

Appendix H: Mapped Approaches

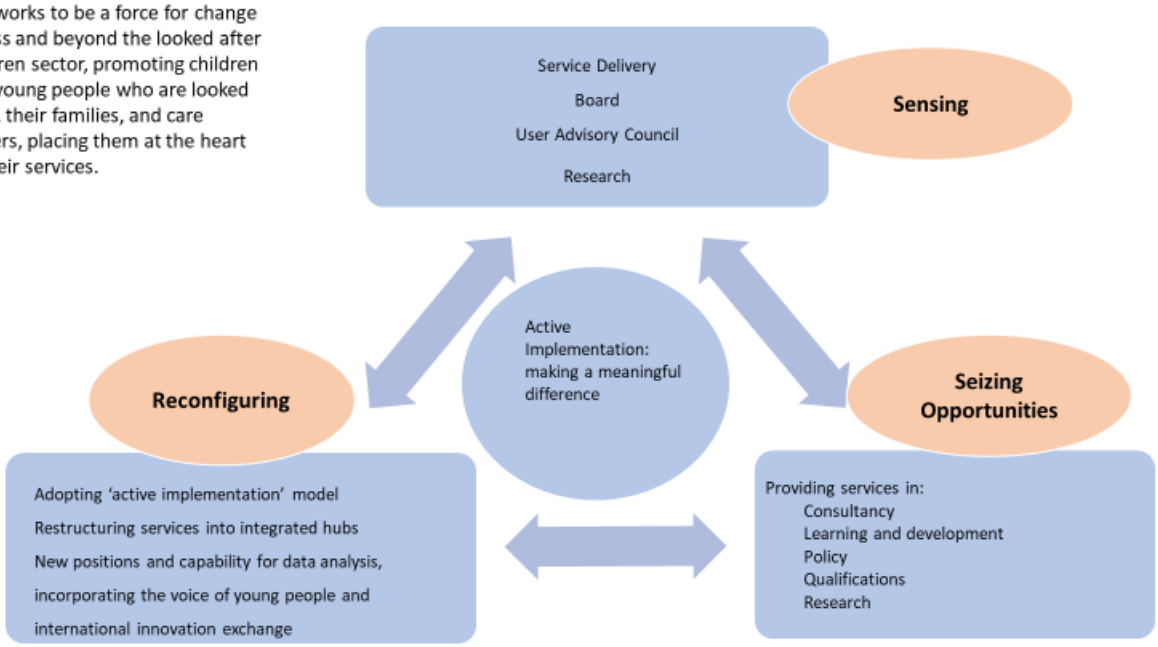




CSI supports evidence-informed practice with children and families.

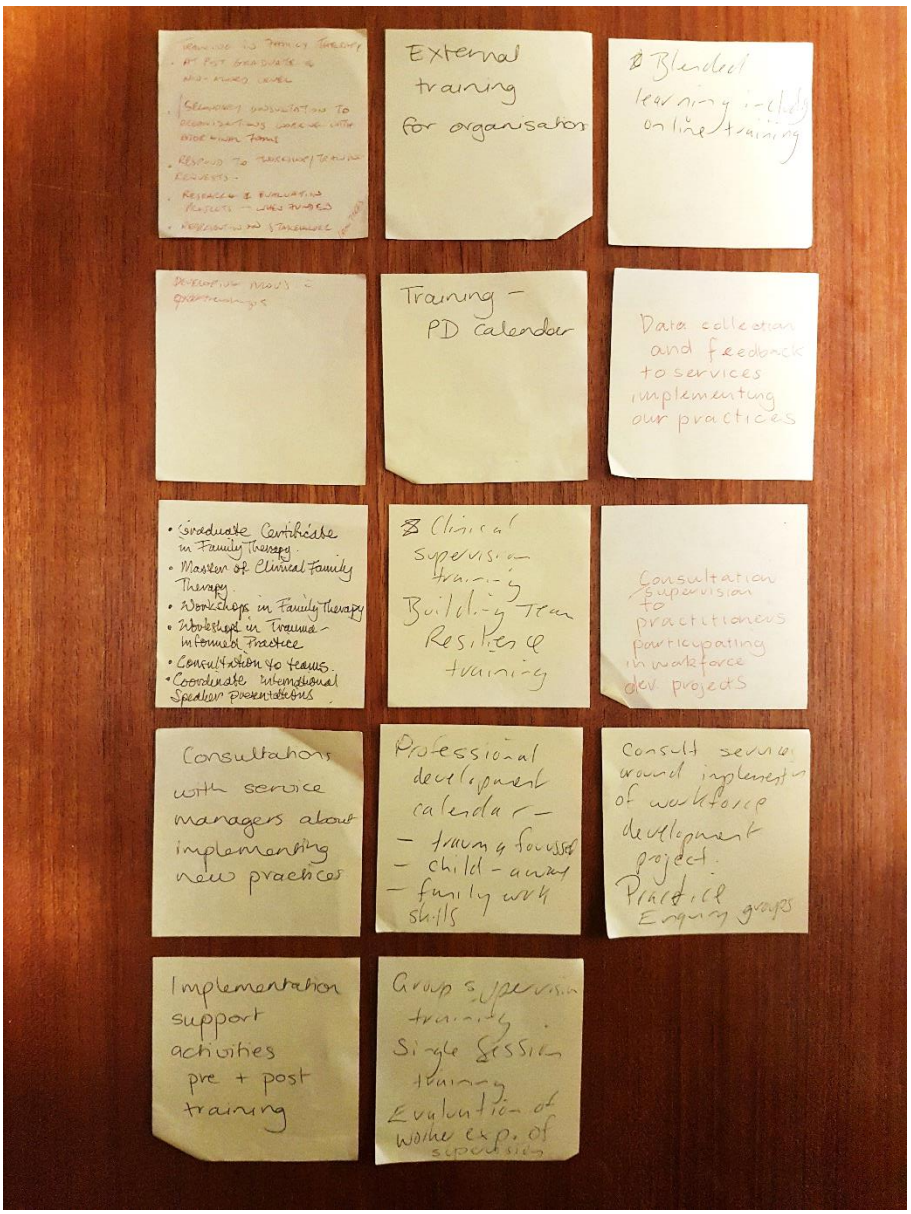


BFC works to be a force for change across and beyond the looked after children sector, promoting children and young people who are looked after, their families, and care leavers, placing them at the heart of their services.



Appendix I: Example of Completed Sticky Notes

Photo of Sticky Notes Exercise at Case Organisation 1



Appendix J: Example Checklist

A checklist for the adaption and application of the dynamic capability framework for sustainable social business performance.
Microfoundations of dynamic capabilities are "the distinct skills, processes, procedures, organisational structures, decision rules, and disciplines, which undergird enterprise-level sensing, seizing and reconfiguring capacities" (Teece, 2007). The following is a checklist the investigator developed to assist social service organisations to apply the dynamic capability framework to their organisations. The writing in black is Teece's framework, and all else is by the investigator.

1. Sensing: Elements of an ecosystem framework for 'sensing' market and technological opportunities.

Analytical Systems (and Individual Capacities) to Learn and to Sense, Filter, Shape, and Calibrate Opportunities Consider: Do we have clear processes which consider our social business, mission and values, partners and stakeholders?	
Element	Checklist for Application in Social Services
Process to Direct Internal R&D and Select New Technologies	How do we stay aware of the best R&D and technology for our purpose which we can afford? If reliant on an auspicing body, how do we best leverage the relationship towards R&D and technology solutions which work for us? Who in our partners and networks has advanced skills and could help us with planning, developing or sourcing? Maybe an area where a partner/support is required – social innovation typology – actors/networks/resources
Processes to Tap Supplier and Complementor Innovation	Change question to: Processes to collaborate with stakeholders/network members who are innovative. Which of our stakeholders/network are insightful and innovative? What processes are in place to establish collaborations? Adapting to context – social innovation processes to tap funders/stakeholders/network/clients?
Processes to Tap Developments in Exogenous Science and Technology	How do we stay aware of relevant evidence-based developments? (e.g., own capacity, links to networks which have a research function, links to service improvement agencies, links to universities)
Processes to Identify Target Market Segments, Changing Customer Needs, and Customer Innovation	How do we know about changes in the environment? How and when does environmental scanning occur? Who else might we want to work with out of those we don't already? How do we synthesise and interpret information gathered?

2. Strategic decision skills/execution.

Enterprise Structures, Procedures, Designs and Incentives for Seizing Opportunities Consider: Do we have clear models and protocols which respond to our social business, mission and values, partners and stakeholders?	
Element	Checklist for Application in Social Services
Delineating the Customer Solution and the Business Model Delineating a method for ameliorating the client/social issue, developing the business model/funder solution.	What is the opportunity and how will we use this opportunity to make a difference for clients or social issues? How do we develop project plans including measures of success? Who will we be working with and how will we share learning and negotiate each other's systems and expectations? Are we aiming to be funded, to make money, to cover costs, and/or to invest our resources in this opportunity? Can we compartmentalise the work to attract different funders and attract sufficient resources? Can we build in processes to leverage this activity in other projects/pieces of work? Combining business thinking and social goals
Selecting Decision-Making Protocols	Do we have a decision-making protocol? Do we devolve decision-making where possible? Do we involve staff in decision-making? How could we include client input? Thinking about power and inclusion
Selecting Enterprise Boundaries to Manage Complements and 'Control Platforms'	How do we think about ownership of this work? (e.g., copyright and branding) Do we want it copied for social benefit alone or do we require economic gain? Do we want to support its implementation and adaptation to other services/contexts? Combining business thinking and social-mission thinking
Building Loyalty and Commitment (This should apply across all areas – look at Shier, 2019)	How do our leaders inspire? Are our communication systems effective for our staff, partners, stakeholders including clients? Is this opportunity clearly linked to our mission and values? Connection to mission and values, institutional theory

3. Combination, reconfiguration, and asset protection skills.

Continuous Alignment and Realignment of Specific Tangible and Intangible Assets Consider: How do we stay aligned with our social business goals, our mission and values, and our partners and stakeholders?	
Element	Checklist for Application in Social Services
Decentralisation and Near Decomposability	How do we balance organisational units having enough autonomy to be flexible and responsive, yet remain connected to the coordinated activities of the broader organisation? Institutional theory – organisational processes/flexibility
Governance	How do we manage governance relationships for the organisation/project? How do we develop governance skills in clinicians? Identified from data that clinicians aren't trained for this – need to develop this capability (org. learning)
Cospecialisation	How do we identify, develop and utilise in combination specialised and cospecialised assets built or bought? (Teece, 2007, p. 1338). Organisational Learning Theory
Knowledge Management	What systems do we have in place to learn and create new knowledge? How do we transfer and integrate knowledge across our organisation? How do we integrate external knowledge? Rating our knowledge: Where is it core (minimum), advanced (competitive) or innovative (leading)? How does our knowledge align with our requirements? Organisational Learning Theory