



Social Innovation in Higher Education: The Application of Carspecken's Critical Qualitative Research Methodology to Understand Social Innovation as Systems Change in a University Context.

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Abstract

Social innovation, defined as new products, services, or combinations that are both good for society and enhance society's capacity to act, is widely explored in literature across a range of disciplines. However, little empirical research on social innovation in Higher Education exists, with none identified involving professional service departments. To explain social innovation within any context requires both hermeneutic and structural analysis, focussing in detail on events over a prolonged period or across multiple sites, something not readily available within the limited time horizon of a research study.

Undertaking a PhD provided such a unique opportunity to address this requirement by enabling a longitudinal ethnographic study of social innovation within a higher education professional service department to be undertaken as an original contribution. Conducted over an 18-month period, the thesis prioritises participants' voices and experiences to describe, and understand, an intentional and collaborative process of social innovation, the constraining and enabling factors, and the impact of social innovation on those involved.

The study presented methodological challenges requiring a new approach and innovation within existing methodologies, with Carspecken's (1996) five stage Critical Qualitative Research methodology, incorporating Stones (2005) Strong Structuration Theory being adopted. The methodology succeeded in generating the rich descriptions of participant experience required to surface structural constraints and enablers to social innovation producing small-scale systems change across the department over time, as a new product was created.

The findings indicate that, rather than structures being classified as constraining or enabling, the status of structures is influenced by the practice of social-extrapreneurship in reframing individuals' specific knowledge and general disposition toward colleagues, the department, and the university. This practice of social-extrapreneurship, undertaken within a complex university environment, created safe spaces as platforms into which resources, beyond the reach and authority of participants, were channelled towards agreed social objectives. This practice reconfigured position-practice relationships across the team, enhancing the departments capacity to act as new relationships and ways for working were formed.

To explain how this process occurred, a modification of Cajaiba-Santa's (2014) conceptual social innovation framework is suggested, building the experiences of participants into the framework to enhance its relevance in explaining social innovation within a university professional service department and making an original contribution to social innovation theory.

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Chapter 1. Introduction to the Thesis

1.1 How the Thesis was Conceived

My Master's dissertation started life entitled 'What is a socially innovative university?', until my supervisor pointed out, addressing the question of the socially innovative nature of universities beyond the production of graduates, dissemination of knowledge, and their impact on communities (McBeth, 2018; Elliott, 2013; Nichols *et al.*, 2013; Castro-Spila, 2018; Protopopov *et al.*, 2018; Resch *et al.*, 2020), would take longer than the nine months I had to submit my dissertation. So, I switched to 'What are the motivations of social entrepreneurs to start social enterprises?' which was more aligned to my practice as a social enterprise practitioner, and easier to manage.

The initial Master's question retained its significance, bubbling away in my mind for about 6 years. I was now working at the University of Willowick (UOW), increasingly aware the purpose of higher education (HE) was being contested as demands shifted with changes in government policy (European Higher Education Area, 2009; Students, 2018; UUK, 2015; Filippakou and Williams, 2015; Bekhradnia and Beech, 2018; Turnbull, 2018; Fumasoli, 2016), and the increasing marketisation of the sector (Brown, 2015).

As the HE sector was forced to stop relying on direct State funding and compete for students, I saw universities increasingly resembled social enterprise organisations (Office for the Third Sector, 2006:4) with similar trends emerging that mirrored with my previous experience working in the social enterprise sector (Pearce *et al.*, 2003). Compelled by the same neoliberal ideology (Harvey, 2007) that drove change in the third sector of the early 2000s, universities were now required to resolve the tension between the demands to deliver complex societal impact and the need for commercial viability (Miles *et al.*, 2017) fuelling

ever greater competition and strategies prioritising the financial over the social (chapter three)

As a social enterprise practitioner in the early 2000s, I witnessed these tensions played out as the third sector embraced change designed to improve performance and innovation driven by academia and Government funded quangos (Giddens, 1998, 2006; Dees, *et al.*, 2001; Caulier-grice, *et al* 2010). My experience was that despite the rhetoric heralding the dynamic and innovative potential of an enterprising third way (Giddens, 1998) between State and Market, innovation collided head on with brick walls of resistance when challenging the power State actors had over the system. Inevitably, rigidity led to the failure of many social innovations, and I was now witnessing the same tensions at UOW.

Returning to the issue of SI within HE seemed the right thing to do, if only to contribute to ensuring the mistakes of the past were not repeated. The difference this time was I was within the system I wanted to understand with the authority, through my role, to affect change to meet the challenges UOW faced. The performance of my department, Gateway, needed improvement to produce better graduate outcomes and the way the teams within Gateway worked together (chapter two) and reverting to my social enterprise practice, by adopting a SI approach, seemed the logical way to achieve this.

To succeed, the SI approach adopted (chapter seven) needed to co-produce a new product or service that was good for society, in the form of improved graduate outcomes, and would also reconfigure the team to enhance its capacity to act (chapter three). Additionally, the process would be the focus of the research, requiring careful consideration to ensure the research objective (section 1.3) could coexist with the delivery of Gateway's challenges (section 1.2).

I was in the right place professionally, with the time, and the opportunity, to undertake the research I had considered for so long. With the support of my line manager, and the university, this PhD enabled me to understand the complexities of SI within a university setting, improve my practice, and validate my 15 years of working in the SI field as a practitioner and regional policy maker.

This thesis is the culmination of Gateway's SI journey to create a new product that is both good for society and enhances its capacity to act. In the following sections the departments challenges at the start of the research are stated in section 1.2, the research aim, objective, and questions in section 1.3, and the research's original contributions stated in section 1.4. The definition of social innovation adopted is stated in section 1.5, with the methodological statement in section 1.6, and the structure of the thesis outlined in section 1.7.

1.2 The Departmental Challenges

Chapter two discusses the history and context of Gateway at the start of the research identifying that in the 2013-14 academic year, four previously autonomous teams were merged, creating the new department. The merger was designed to improve UOW's performance in levels of graduate employability for all students and address inequalities for graduates with protected characteristic.

The two years prior to the start of the research in the academic year 2016-17, were taken up with top-down restructures that made little progress in achieving the expectations set for Gateway but resulted in deep divisions and distrust across the department. The merging of the four teams into one remained an elusive dream, taking up resources better applied to addressing departmental priorities.

The university was fully mobilised in preparation for a long heralded disruptive innovation, New Willowick (NW) (section 2.2.2). NW was a strategic response to improve the university's competitiveness in the increasingly marketised HE sector and involved the development of a purpose-built campus, on the other side of Willowick town, into which the entire university operation would relocate at the end of the academic year 2017/18. All existing properties were to be sold to fund the new development, with NW heralded as UOW's bright future, requiring significant logistical and structural change, resources, strategic attention, and time of every UOW staff member.

The tsunami of this additional work, on top of the ineffective nature of the top-down Gateway restructures of the previous two years, highlighted tensions within Gateway requiring the prioritisation of three challenges the department had failed to resolve. First, was addressing low levels of graduate employability (section 2.4) by introducing a new product, service, or approach available to all graduates of UOW. Secondly, to reconfigure relationships across Gateway to overcome barriers contributing to low levels of graduate employability and the sub-optimal utilisation of resources allocated to the department. Finally, to prepare and support staff through the turmoil of the move to NW.

These operational challenges informed the research aim, objectives, and questions.

1.3 Aims, Objectives, and Research Questions

Derived from the Theoretical, Empirical, and Policy Foundations for Building Social Innovation in Europe (TEPSIE) (The Young Foundation, 2012) definition of social innovation (SI) as being both good for society and enhancing societies capacity to act, the aim of the research was to understand the application of SI, within a professional service department of a university, as it created a new product, or service, that simultaneously improved

graduate outcomes and reconfigured power relations across the department to enhance the department's capacity to act.

To achieve this, the objective was to prioritise the voice of participants involved in that SI process to understand their experience and answer the following research questions.

1. How can SI simultaneously be good for society and enhance society's capacity to act (Young Foundation, 2012:42)?
2. Within a university setting, which structures enable and constrain SI?
3. In delivering SI within a university professional service department, what is the role of organisational social-entrepreneurship?

In answering these questions, the research's original contributions are outlined in the next section.

1.4. Originality

This ethnographic study was conducted over 18 months, making an original contribution as a longitudinal ethnographic study of social innovation within a higher education professional service department, something that has not been done before.

In conducting the research, the study makes two original contributions to research methodology. Firstly, by applying Carspecken's (1996) critical qualitative research (CQR) methodology to the study of SI, and the inclusion of Stones (2005) strong structuration theory (SST) at stages four and five of CQR to map small-scale systems and changes in structure over time.

The study also makes two original contributions to SI theory. Firstly, by suggesting a modification to Cajaiba-Santana, (2014) conceptual framework by incorporating Stones, (2005) SST and the practice of social-extrapreneurship to explain participants experience of the SI process undertaken by the participants. Secondly, by suggesting how the SI pathways, identified by Ayob *et al* (2016), simultaneously empower participants, across both weak and strong SI traditions, to maximise the good SI generates for society and enhances the Gateway department's capacity to act.

Finally, the research makes an original contribution to practice in identifying the practice of social-extrapreneurship, as a form of organisational social entrepreneurship, as an enabler of SI within a higher education professional service department.

To demonstrate these original contributions, a definition of SI was needed to guide the research and position it within the contested field of SI.

1.5. Definitional Statement of Social Innovation

SI is a contested concept (chapter three), requiring the adoption of a definition to guide the research. The aim required a definition that encompassed the need to create a new product or service and the enhancement of a Gateway's capacity to act, bringing together both strong and weak traditions of social innovation identified by Ayob *et al.*, (2016). I also required the intentional and collaborative nature of SI in achieving the aim to be acknowledged. This created the following definition adopted for the research,

SI is the 'an intentional and collaborative act that generates good in society and seeks to create a new system that improves a community's capacity to act'

Intentionality also indicates the proposed SI process is radical due to its hybrid nature, including a top-down requirement to reconfigure the existing department with a bottom-up approach to designing the SI process applied to produce the new service and improve societal outcomes (Manzini, 2014:58). Intentionality is not a prerequisite of SI, and I recognise that much SI occurs through unintended actions, however intentionality frames the process adopted for the research (chapter seven).

The definition also distinguishes between SI as the pursuit of the heroic social entrepreneur and the collaborative endeavours of a group of individuals in the process of co-production (chapter three), prioritising a collaborative SI approach as the focus for this research. Finally, the dual outcome of the creation of a new product and the enhancement of society's, in this case Gateway's, capacity to act distinguishes SI from social entrepreneurship as discussed in chapter three, where the adopted definition is also justified.

1.6. Methodology

The methodology required a flexible approach suitable for an environment undergoing major change instigated by NW, which placed extraordinary demands on participants (chapter two). Additionally, it needed to provide a framework supportive of a participatory research approach while supporting and challenging an early career researcher undertaking a PhD. The methodology needed to reflect my critical value orientation (section 4.3) and provide new insights connected back to theory to inform practice.

Carspecken's, (1996) Critical Ethnography in Education, referred to as critical qualitative research (CQR) (chapter four) was adopted as it met these requirements and offered an original contribution as it has not previously been applied to SI research or within a university professional service department.

1.7 Thesis structure

The thesis is written as an ethnography utilising Carspecken's (1996) CQR to explore a SI process and achieve the aim and objective outlined in section 1.3.

The thesis is an exploration of the application of Carspecken's (1996) five stage CQR methodology (chapter four), applied in full to SI research within Gateway, a professional service department at UOW, as an original contribution. The thesis provides a detailed, and at times, dense description of the process reflecting my priority to ensure participants experiences are presented faithful. The text opens with a description of the context of UOW developed by applying stages one and two of CQR. A literature review follows, locating the research within an entrepreneurship theory paradigm of SI and substantiating the claim for the original contributions outlined in section 1.4.

Chapters four to six provide a detailed exploration of CQR, how it was modified to achieve the aim and objective of the research, the steps taken to ensure these modification did not undermine the validity of the study, and the approach to ensure the participative, insider, nature of the research was ethical conducted. These chapters demonstrate the research's original contribution in the application of CQR to SI research.

Chapter seven moves the focus toward the SI process by describing how the Gateway team designed and agreed the SI process and how it was operationalised to create new products and services to improve levels of graduate employability and transform how the department operated. Chapters eight to ten fulfil the objective of prioritising participant voice to understand their experience of undertaking a SI process within a university setting by presenting representations of the experience of three participants, Graham, Tiffany, and Chelsea.

Chapters 11 and 12 support the original contributions claimed in section 1.4 by applying Stones, (2005) position-practice relations mapping and quadripartite model of SST at stage four of CQR. Structural changes at four pivotal action points, and across the research period, are identified suggesting the status of structures as either enabling or constraining is never static, but fluid dependent upon actors' general disposition and specific knowledge of the context of a university.

Stage five of CQR is addressed in chapter 13, looking at findings considering Cajaiba-Santana, (2014) conceptual SI framework, suggesting a modification that explains participants' experience by incorporating SST's quadripartite framework and the practice of social-extrapreneurship as a facilitator of SI within a university setting. While this modification explains the experience of SI within a Gateway, the findings indicate the revised framework could explain how SI can simultaneously be good for society and enhance societies capacity to act, addressing the first research question.

Chapter 14 presents the conclusions by evaluating whether the research achieved its aim, objective, answers the research questions, and suggested recommendations, with chapter 15 highlighting the limitations and further research.

Having introduced the research, the next chapter introduces UOW, Gateway, and the research participants.

Chapter 2 Welcome to the University of Willowick and Gateway

2.1 Introduction

To achieve research aim (section 1.3) and make an original contribution (section 1.4), requires SI to be understood within the historical and cultural context in which it occurs (Cajaiba-Santana, 2014:46), moving beyond abstract philosophical concepts toward an ontology in-situ of structures and agents (Greenhalgh and Stones, 2010:1288). Stones (2005), focusses attention on delimiting research to a restricted number of points on an historical and geographical landscape, enabling a meaningful investigation of the interplay between structures and agents (:82). CQR addresses this by locating the object of study, or social site, as a 'naturally occurring stream of social life, surrounded by a complex social context (Carspecken, 1996:33).

The chapter presents the history and profile of the University of Willowick (UOW), the Gateway department, and the individuals within Gateway at the start of the research, delimiting the research to the activities of the working group as the social site (section 7.7) within these locales (Carspecken 1996: 33-38).

2.2 The University of Willowick

UOW has been in existence since 2005, and like other university in England, it was coming to terms with a changing environment brought about by the marketisation of higher education (HE) begun in the late 1970s (Furedi, 2011) and the introduction of tuition fees in 1998 (Hubble, 2018:4). Like many post -92 universities (Hunt, 2016:2), UOW had evolved over decades from a Mechanics Institute in the 1920s to a full degree award granting university in the early 2000s.

To ensure the quality of education and the degrees awarded, UOW had robust structures and processes in place that complied with sector wide quality codes, frameworks, and benchmarks (QAA, 2018). Grounded in academic tradition, these structures shifted responsibility for quality assurance away from academics to external bodies. UOW could be described as a new university, designed as an old university, trying to be a new university, with a student and staff body described in sections 2.7. and 2.8.

2.2.1 The Context

At the start of the research in 2016, UOW operated across two campuses, with the main campus on Willowick Park and a smaller arts and science-based campus on Tiger's Street, approximately two and a half miles apart. Both sites offered student accommodation, a student union facility, cafes, libraries, and ample car parking for commuting students and staff. Park was the epicentre of student life, administrative functions, sports facilities, and learning and teaching.

2.2.2 New Willowick

Between 2014-16, UOW raised £291m to develop a new campus as its future home, New Willowick (NW). The financing arrangement required the sale of the two existing campuses, with the entire university relocating into the newly designated enterprise zone on the south side of the town. This represented a major transformation of the university and one that, once underway, could not be reversed.

The news of the development was heralded as a unique example of how universities use innovative ways to deliver large-scale, measurable social impact and value through construction (UOW, 2018), bringing with it many risks. NW was conceived as the way UOW

would enhance its competitive advantage by improving the student experience in a way the existing campuses could not achieve.

This came with the risk of short-term damage to the university's league table position, reputation, and financial management (Accountants, 2016:11)¹. There had been several organisational restructures, across both academic and professional service departments, resulting in job losses and the loss of institutional knowledge as people left. There had been senior management departures, merging of academic departments, and a redesign of student and staff support services in preparation for move to NW, and to address a tight financial situation resulting from the increased cost of NW.

NW impacted on every aspect of UOW, the students, and staff as preparations were made based on predictions of what may be needed in the future. The period up to and throughout the research saw a heavy emphasis placed on planning, managing, and governing for NW from the top down, as the organisation was put on readiness for what could be.

2.2.3 The Financial Context

While the research is not a study on the financial stability of Willowick, the financial position is important to the context of the research. UOW was undertaking a major infrastructure investment funded by high debt levels, representing a major departure from the prudent financial position UOW had previously enjoyed. A significant adjustment in how the university operated, managed its resources, and strategically planned was needed to ensure borrowing was affordable and the organisation sustainable. The impact of the student

¹ Information taken from UOW financial statement; reference anonymised for ethics reasons

numbers cap (McCaig and Taylor, 2015), and the financial burden of NW, increased financial controls and determined many of the decisions taken on restructures, cost savings, and the operation of UOW.

UOW had a total income of £130m (July 2016), 73% from tuition fees, commercial activity including student accommodation (14%), and grant funding (10%). UOW generated a £6.453m surplus before provision for the actuarial loss on the staff pensions scheme of £4.861m, resulting in a surplus of £1.592m (Accountants, 2016:3)². There was no endowment fund, but UOW received £249k in donations and interest that year. Salary costs were £63m, with the 10 senior leaders averaging salaries of £150k. UOW was solvent with good cash balances totalling £106m, and Net Current Assets, or Working Capital, of £209m (2016:41)

NW, (section 2.4) saw UOW borrow £230m in November 2014 with a further £60m borrowed from the Public Works Board (HM Government, 2022) in 2015/16, requiring a further £8m to be raised to fully fund the project (Accountants 2016:24)³ in 2016/17.

The three-year financial trend analysis to the 31st of July 2016 (appendix A) identified a steady operating position with surpluses around 5% of income despite a dip in 2014/15 (2.02%) related to the up-front development costs of NW. Cashflow was well managed with debtor days around 20 (2015/16) down from 24 in preceding years. The acid test liquidity ratio was positive, but high, at 6.2 due to good cash levels, and all short-term liabilities were covered. The balance sheet evidenced a university with extremely high levels of long-term debt, as a proportion of total assets, making its borrowing extremely high compared to

² Information taken from UOW financial statement; reference anonymised for ethics reasons

³ Information taken from UOW financial statement; reference anonymised for ethics reasons

balance sheet value, requiring longer-term plans to build reserves, which had remained static at around £28m over the preceding three years.

UOW reported its social mission (section 3.2) in the annual financial return, as a statement of public benefit (Accountant, 2016:18)⁴. This statement demonstrated UOW's commitment to being a leader in social enterprise by using its charitable status to operate as a social enterprise, delivering social impact and delivering public benefit beyond being just a university (chapter three).

As the research began, UOW was embarking on a process of transformational change requiring a reassessment of its financial model to accommodate and service high debt levels. It was solvent, with finances efficiently managed, ensuring business as usual and NW were delivered in a financially sustainable way.

NW was the overriding narrative behind all conversations and communications at that time and was absorbing significant resources.

2.2.4 Governance

As a Higher Education Corporation, UOW is governed under Articles and Instruments of Government (University of Willowick, 2021). Provision is made for a Board of Governors responsible for the educational character of UOW, its efficiency, and the line manager of the Vice Chancellor (VC), operating under a Statement of Primary Responsibilities (University of Willowick, 2013). The remit of the board is delegated to several standing committees

⁴ Information taken from UOW financial statement; reference anonymised for ethics reasons

including audit, remuneration, nominations, treasury, and the project assurance scrutinising the NW development.

The Board delegates responsibility for considering and approving academic matters to the highest academic committee, the Senate, with academic governance delegated to the Academic Quality and Standards Committee (AQSC), Research and Enterprise Committee (REC), and Student Experience Committee (SEC). These institutional level committees are replicated at Faculty level.

2.2.5 Leadership and Management

The (VC), is UOW's Chief Executive Officer (CEO) with overall responsible for senior academic leadership and management, supported by a Chief Operating Officer (COO) managing professional services including finance, marketing, HR, Student and Academic Services (SAS) and infrastructure (fig 2.1).

Organisation and management structure

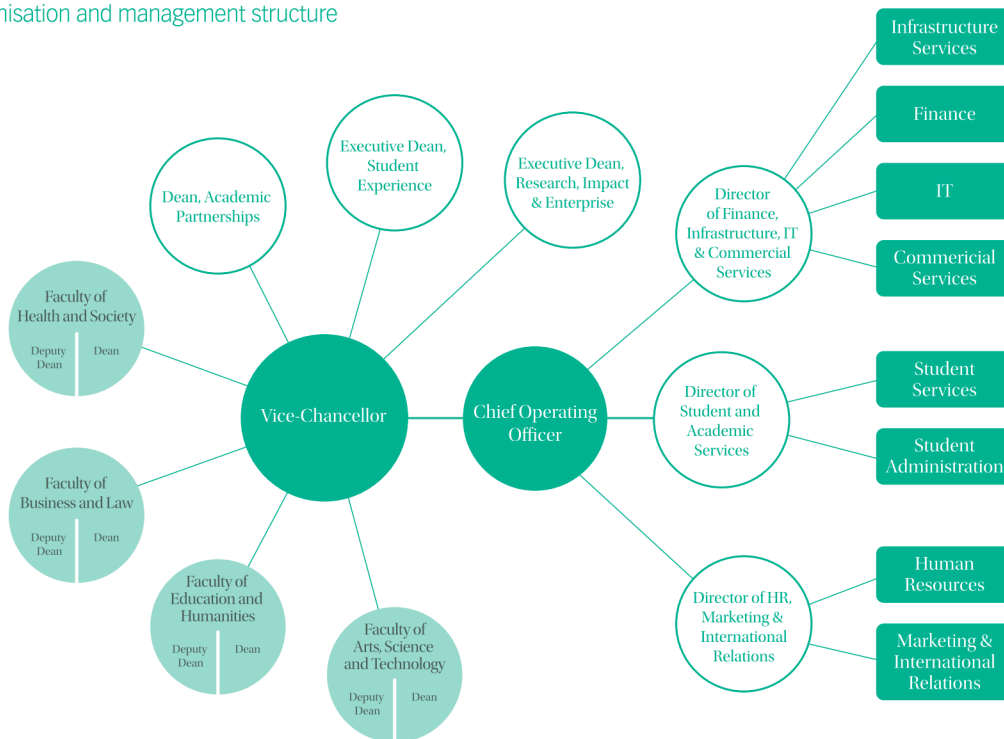


Fig 2.1 Senior leadership and management structure of University of Willowick as of 31st July 2016

2.2.6 Faculties and Departments

Following a restructure in early 2016 four faculties were created: the Faculty of Business and Law (FBL), The Faculty of Arts, Science and Technology (FAST), The Faculty of Education and Humanities, (FEH) and the Faculty of Health and Society (FHS). A dean was appointed for each faculty, providing leadership across academic provision and student support services for their faculty.

The restructure process had not been easy, resulting in significant redundancies and staff leaving of their own volition, with those left behind bruised by yet another restructure

brought about by New Willowick. By October 2016, the new deans were in post, the integration into the new faculty structure was progressing, but many issues remained unresolved.

Professional service departments had avoided a restructure in 2016, having gone through a major redesign 18 months early creating three departments led by directors. These departments were Finance, IT, and Commercial Services, Student and Academic Services, and HR, Marketing, and International Relations. These three portmanteau departments demonstrated the complexity of a redesign process that merged multiple functions into new directorates as cost saving measures, rather than operational effectiveness.

Despite the separation of academic from professional service responsibilities, deans and directors were, collectively, the University Management Team (UMT). Chaired by the VC, UMT took decisions affecting the strategic direction, administration, and academic performance of UOW. UMT was accountable to the Governors via the VC, and were responsible for the NW project, the preparation for the move, and ensuring business as usual was maintained so students did not experience a diminution in quality and experience

2.2.7 Willowick Students

There were 13,269 students enrolled at UOW on 1st December 2015, with 8,903 full time home undergraduates, 1,325 overseas undergraduate students, and 2,213 postgraduates (home/overseas) (Accountants, 2016:5)⁵. Where ethnicity was known, 37% of UOW students were from a Black, Asian, and Minority Ethnic (BAME) group, higher than the

⁵ Information taken from UOW financial statement; reference anonymised for ethics reasons

proportion of the population of the County of Willowick (8.5%) (University of Willowick, 2016:12), and an increase from 31% (2012/13) and 32% (2013/14) (University of Willowick, 2015:10). The % of white students had declined since 2015/16 to below 60% with a significant increase seen in black students (fig 2.2) while other ethnic groups remained steady, these trends would reverse over the research period.

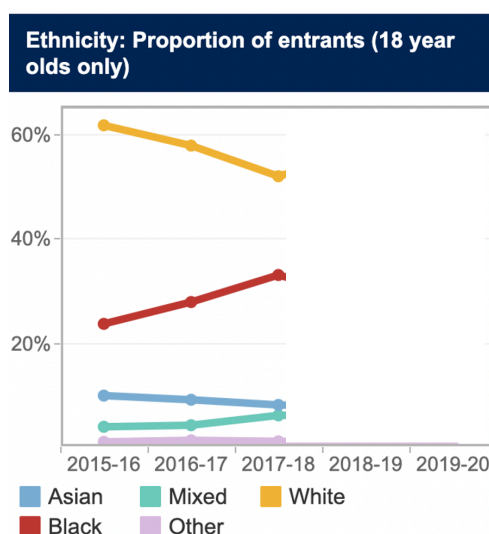


Fig 2.2 Proportion of entrants to University of Willowick by Ethnicity taken from the Office for Students Dashboard 2021

Finally, a high proportion of UOW students were from areas of high socio-economic disadvantage, quintiles 1 and 2 of the indices of multiple deprivation (IMD), raising from 43% (2014/15) to 45.7% (2017/18) continuing the trend from 2013/14 (36.9%) (fig 2.3). UOW’s strategy of improving access to, and participation in, higher education for those from disadvantaged backgrounds placed a great emphasis in widening participation (Budd, 2017; Hoare and Johnston, 2011), combining UOW’s social benefit with the need to attract students to maintain financial viability. The demographic make-up of the UOW student body had significantly changed across all protected characteristics away from a traditional mix of

students from local domicile white and less disadvantaged socio-economic backgrounds to a much more culturally diverse, nationally domicile, and complex population.

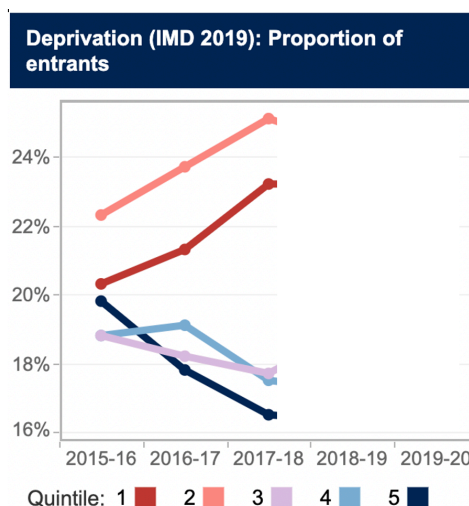


Fig 2.3 Breakdown of University of Willowick student body by IMD quintile taken from Office for Students Dashboard 2021

2.2.8 Willowick Staff

On the 31st July 2016, there were 1502 staff employed at UOW 845 academic staff, and 637 professional services (University of Willowick HR, 2016b; University of Willowick HR, 2016a; University of Willowick HR, 2016c), not all were fulltime or on permanent contracts. The gender split had remained steady since 2014 with 60% female staff, a drop of 3% since 2015.

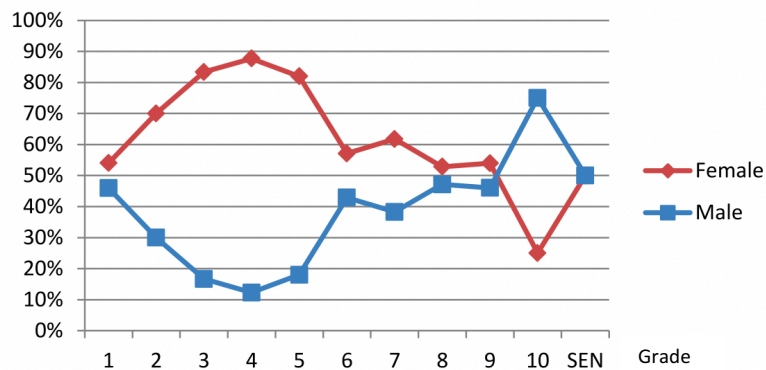


Fig 2.4 Percentage of all UOW staff by gender and grade: taken from University of Willowick HR 2016b:3

53% of academic staff were female with professional services 70%. Women occupied the majority of lower grade roles (grades 1-5), with the gender distribution at middle manager grades (6-9) more balanced still favouring females. Males occupied the majority of senior management roles (grade 10) with an equal gender split in senior leadership roles (SEN grade) (fig 2.4).

The gender distribution across professional service grades (fig 2.5) was similar to the pattern seen for the university, with women holding the majority of lower and lower management grades (1-7), and an even distribution across upper middle management (8-9). As a consequence of the professional service restructure in 2014, there was a 20% increase in women in lower grade 2 and a 22% increase in grade 3. It is at senior management level (grade 10) males occupy the majority of roles (80%). The gender distribution across academic grades is more even, but again males occupy the more senior academic roles (fig 2.6).

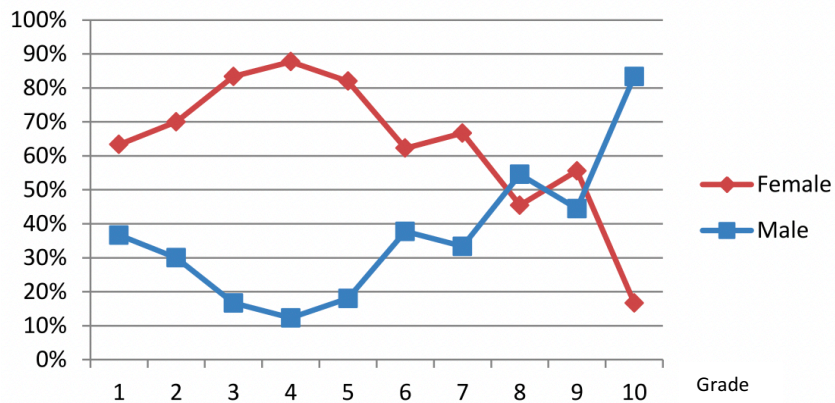


Fig 2.5 Percentage of University of Willowick professional service staff by gender and grade 2016, taken from UOW 2016c:2

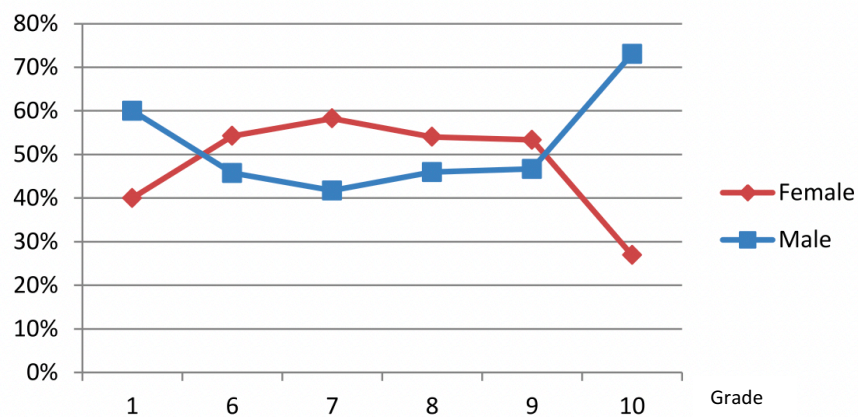


Fig 2.6 Percentage of UOW academic staff by gender and grade 2016, taken from University of Willowick HR 2016a:2

The staff body was predominantly white (86%) (all staff 2016) with only 11% recorded as BAME, an increase of 1% on the previous year (fig 2.7). Across academic staff, 83% declare as white and 89% for professional services, which was not representative of the student body. There was an even spread of staff across all age ranges (fig 2.8).

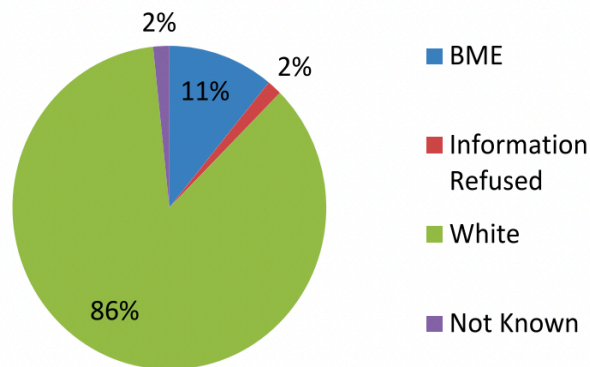


Fig 2.7 Percentage UOW of staff by ethnicity 2016, taken from University of Willowick HR 2016b:4

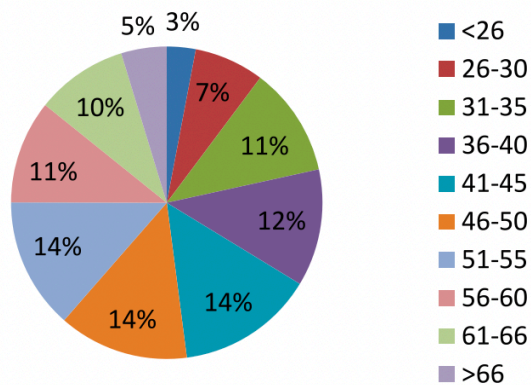


Fig 2.8 Percentage of all UOW staff by age 2016, taken from University of Willowick 2016b:4

2.2.9 The Summary of Willowick

UOW, like most post-92 universities at that time, was undergoing significant change brought about by the marketisation of higher education, policy changes, increased student expectations, and competition within the sector. UOW had embarked on a strategy of infrastructure investment, developing a purpose-built campus to which it would relocate. This required UOW to borrow heavily, creating a situation where complex financial,

operational, and reputational risks were being managed. Staff had undergone multiple restructures and service redesigns which had disrupted morale and the student experience.

There was a complex structure of committees ensuring good governance and quality, with a management structure assuring academic and organisational competence. All committees had delegated power from the CEO and the Board of Governors to undertake their duties. There was a clear divide between academic and professional service responsibilities with reporting lines coming together at UMT.

The student body was predominantly under 21 when they started their course, and was ethnically diverse, a trend emerging over the preceding three years and leading to a student body no longer reflective of the wider community. The staff body was predominantly white and female, with men occupying a greater proportion of higher-grade management roles.

The research was conducted in a complex environment with change happening at multiple levels and uncertainty brought about by NW, and a future no one could comprehend.

Having introduced the UOW the next section outlines the Gateway department.

2.3 Gateway

A restructure in 2012/13 academic year created the Gateway department, to which I was appointed head of department to develop a new team responsible for improving levels of graduate employability at UOW. This section introduces Gateway and the individuals who made up the teams within the department.

2.3.1 The History of Gateway

By the end of 2015 academic year, as I was planning this research, Gateway had experienced significant upheaval since its creation. I was appointed as head of the department at the end of the 2013 academic year when it had the reputation of a family at war with itself. Gateway was formed when four existing teams were merged into one; the Careers department, the Centre for Community Volunteering (CCV), the Higher Education Schools' Engagement team, and Evolve, a joint venture UOW had with the third sector (chapter three) providing community volunteering for young people.

The merger was handled badly, failing to create a coherent structure, team, or focus. There was one 'Gateway' department, but four independent Gateway teams, managed by four senior managers with no overall head of Gateway until my appointment. The senior manager who led the merger felt the strength of the new department would come from a collaborative senior team sharing expertise but reporting separately into the Director of Student and Academic Services (SAS) (fig 2.9). The management structure reflected UOW's budgetary constraints, and a lack of leadership will to go through a divisive restructure leading to one of the incumbents being appointed more senior than the rest, than a coherent plan for success.

These managers had good reason to feel hard done by. They experienced a perceived, and real, loss of authority resulting in them refusing to work together or recognise the value of each other's work. Each had direct access to the Director who had many other issues to deal with, including overall responsibility for the logistical move to NW, so had not given Gateway the attention it needed. The department was dysfunctional, mismanaged, losing credibility, and in danger of closure and job losses in any further organisational restructure.

By the time I was appointed, there had been two failed rounds of recruitment to the post. On both occasions two of the three managers failed to secure appointment, further damaging relationships within the team and with me. The tension resulting from the leadership void impacted at every level of Gateway leading to infighting, entrenched loyalties, and disjointed working practices. Neither students nor academic colleagues valued the department, with engagement levels so low some UMT members saw the department as irrelevant.

The months following my appointment were taken up sorting out these inherited issues and tensions. This, on top of the challenges NW presented, meant I had little time to set any strategic direction for the department but, as I headed towards the new academic year of 2016/17, I had the right team in place and the structure I needed to deliver the expectations set for Gateway.

2.3.2 Gateway – the Present

Gateway was UOW's employability service and part of Student and Academic Services (SAS), within UOW's professional services (fig 2.9).

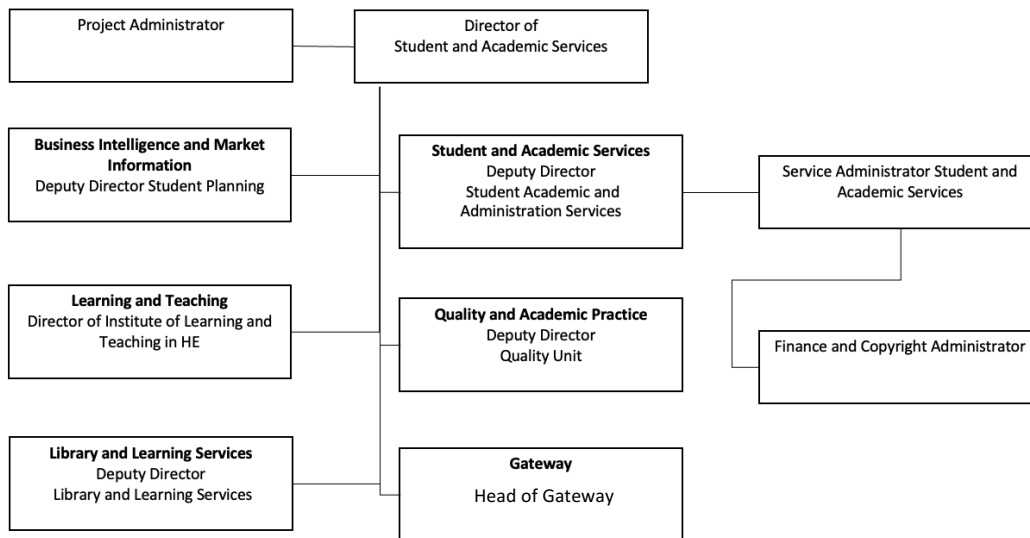


Fig 2.9 UOW Structure of Student and Academic Services 2016

Gateway was a small team (Fig 2.10)⁶ tasked to deliver careers and employability support in curriculum and supporting the extra-curricular student experience through engagement in volunteering, community activities, and social enterprise. Previously referred to as careers, employability was increasingly expressed as encompassing the ‘on-going processes of performance, activity, and future processes of development and sustainability’ of students and graduates (Divan *et al.*, 2019:486).

⁶ All names have been changed to provide anonymity to all staff in line with ethics commitments

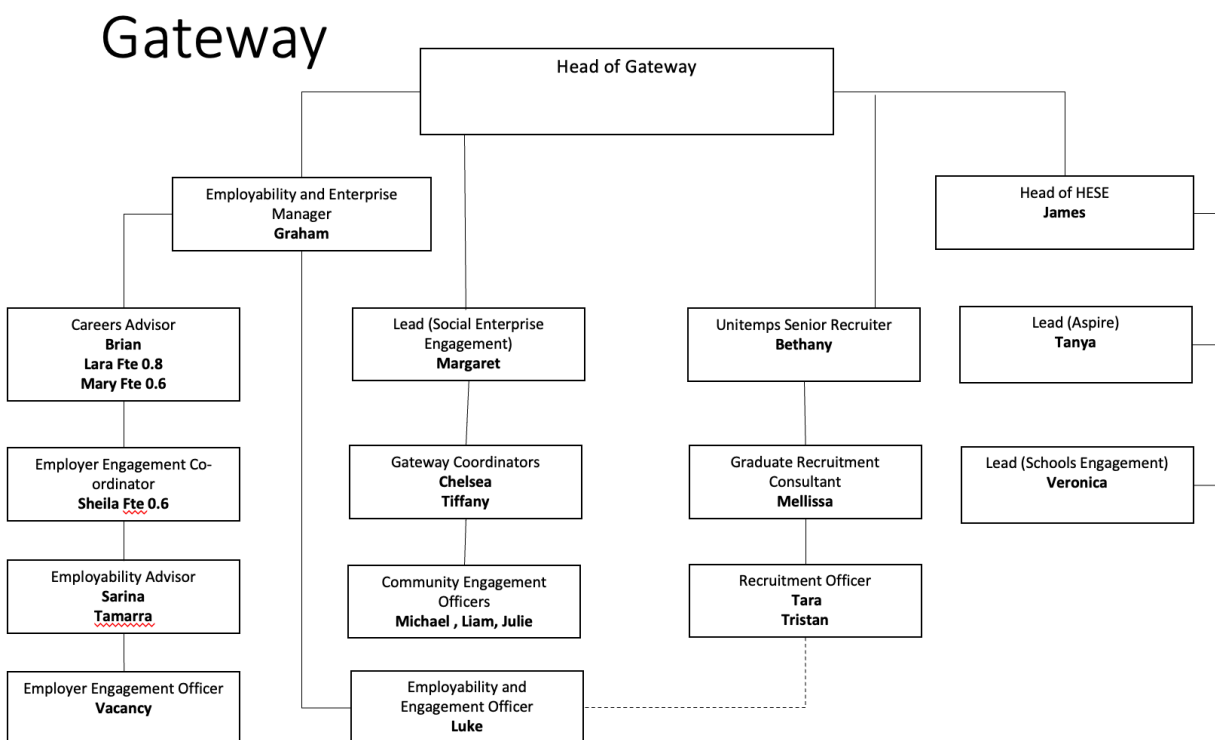


Fig 2.10- Organisational Chart for Gateway 2016

The higher education sector was seeing ‘dominant discourses on graduates’ employability tend[ing] to centre on the economic role of graduates and the capacity of higher education (HE) to equip them for the labour market’ (Tomlinson, 2012:408). The return on investment of HE was increasingly determined in financial terms as ‘the economic prosperity of a country to the skills and knowledge its graduates attain from their university experience’ when graduates enter the workplace (Divan *et al.*, 2019:485–486), placing greater emphasis on graduate outcomes.

Graduate employability was no longer just getting a job; it was ‘a set of achievements – skills, understandings, and personal attributes – that make graduates more likely to gain employment and be successful in their chosen occupations, which benefits themselves, the

workforce, the community and the economy' (Pegg *et al.*, 2006: 4–5). Approaches to developing employability adopted across HE included prioritising skills development (Tomlinson, 2012), embedding work experience (Helyer and Lee, 2014), adopting pedagogies for employability (Alvarez-Hevia and Naylor, 2019; Pegg *et al.*, 2006), and developing students' cultural and social capital (Kalfa and Taksa, 2015). The introduction of higher tuition fees saw increasing student expectations that HE would guarantee higher paid graduate employability (Bates and Kaye, 2014).

The Destination of Leavers from Higher Education survey (DLHE), undertaken by the Higher Education Statistics Agency (HESA) annually, provided data on the immediate post-graduation destinations for all UK graduates (Smith and White, 2019). Graduate employment was judged as professional employment, or careers that have a Standard Occupational Classification (SOC) 1-3 including Managerial roles, Directors and Senior Officials, Professional Occupations, and Associate Professional roles and Technical Occupations (ONS, 2021a; ONS, 2021b). The performance indicator reported the percentage of graduates in SOC 1-3 roles or further study as a percentage of total graduates in employment or further study.

With a strategic driver of social impact (University of Willowick, 2017) UOW's approach was to embed social innovation as the way of developing graduate employability and improve outcomes (M, 2017; M, 2014)⁷. A new graduate attributes statement, with competencies, and skills frameworks was in development in 2015/16, with an expected implementation

⁷ Reference anonymised for ethical reasons to limit the possibility of the identification of UOW

date of 2018/19 academic year, (AR *et al.*, 2015; AR N and A, 2015, 2015a)⁸ with Gateway leading and supporting this development.

I spent considerable time conducting meetings with colleagues across UOW related to this work due to my leadership role but also as the individual who had led on the social innovation work at UOW since 2011. Central was the demand to increase provision of a range of student work experience opportunities in social enterprises, third sector organisations, and communities (T and I, 2017)⁹. Additionally, demands for increased engagement and participation in social venture development, careers support and volunteering were taking up my time. Recognising and rewarding student achievement and development through this social innovation approach was required, but how these requirements would be delivered was uncertain, and as meetings with colleagues progressed, the expectation Gateway would deliver, grew.

Gateway had to become a single department, integrating careers support with volunteering, enterprise and social enterprise support, engagement with community activities, and engagement in local schools, offering paid roles within social enterprises and third sector organisations. Since it was created, the challenges of bringing the four teams together had diverted attention away from this priority, and during the academic year 2015/16 I came to realise the department had to move forward or be closed.

⁸ Reference anonymised for ethical reasons to limit the possibility of the identification of UOW

⁹ Reference anonymised for ethical reasons to limit the possibility of the identification of UOW

2.3.3 The Gateway Senior Management Team

Referring to the organisational chart (fig 2.10), I will start by introducing Graham and James, heads of careers and employability and schools' engagement respectively, whom I recruited in 2015. Graham (52), previously worked in financial services for over 30-years before being made redundant in 2014. Graham's appointment caused consternation across the careers team as he had no careers or higher education background. This was a conscious decision as I needed someone with experience in developing links with employers and creating opportunities for student work experience. Graham demonstrated an openness to changing the careers service provision and came without the baggage senior careers practitioners gained through years of delivering information advice and guidance (IAG).

James (45) worked all his professional career in secondary education, invaluable in repositioning the schools' engagement team to deliver activities to inspire young people from disadvantaged communities to think about going to university (University of Willowick, 2015; University of Willowick, 2016). His knowledge and experience had turned his team around because he could change existing practice from a position of professional knowledge. His area functioned well, I had full trust in what he was doing and, importantly, how he did things. However, I was in danger of taking him and his team for granted as there were never any problems for me to deal with, something I could not have said before his appointment.

Despite not being a 'head of', I retained line management of Margaret (34) who had worked at UOW since 2001. Over that period, she had been promoted from a grade 3 administrator in HR to her current post as lead for social enterprise engagement. I had worked with Margaret as line manager in the past and we knew how to get the best out of each other. We had our ups and downs, and she was never afraid to tell me what she thought or reset my expectation when I was expecting too much from the team. She was a committed

member of Gateway who questioned when she did not understand and was open to develop and grow.

Margaret's role was designed to allow me to move away from being the main point of contact for social enterprise activity at UOW and concentrate on managing the department, and she was doing a great job. It was a developmental appointment for Margaret, she made that clear when she applied for the role, and I had provided as much support as possible to create links with the community, volunteering organisations, and in the development of the social venture and innovation offer, all of which had previously been my responsibility.

2.3.4 Job Shop

My other line management responsibility was Bethany. Bethany joined Gateway six months earlier as senior recruiter in Job-shop, UOW's student employment agency. I introduced Job-shop to UOW to improve access to part time student jobs and provide a different way for employers to engage with UOW in developing graduate employment pathways into local businesses.

Bethany (24) was an excellent recruiter who had a successful career in commercial recruitment before she joined the department, but now needed a more flexible working environment as her daughter had just started school. She had never worked in HE before, but had experience managing an education recruitment agency, managing supply teachers, and head-hunting teachers for specific roles.

Job-shop was important to my plans for Gateway, creating major changes in HR and finance processes when it was launched. The finance director was very supportive as Job-shop saved UOW money, reducing the temporary staff costs by over £600k in its first year of trading. However, existing HR policies and processes were unable to cope with the changes

needed to integrate Job-shop fully and Bethany was busy undertaking work with HR to address these issues.

Bethany managed a small team consisting of Tara (22) a recent graduate of UOW, and Tristan (35) a British sign language interpreter who had a background in recruitment. Finally, there was Melissa (25), another graduate of UOW who had been working for Apple retail for the previous two years and had come to work in Job-shop for a career change. Tara and Melissa had strong relationships across UOW and knew how to get things done but every now and again I needed to step in and help overcome some block or procedural issue causing problems.

2.3.5 The Careers and Employability team

Graham managed the Careers and Employability team, consisting of Brian (45) who had been a careers adviser since he qualified at the age of 24, and Lara and Mary, who had just gained their level seven qualification to deliver IAG as Careers Advisers having been recruited and trained by the previous head of careers. Lara's previous career was with an industry training provider where she developed sector specific employability qualifications, so had valuable knowledge and experience but never really saw it relevant in HE. Lara and Mary were part time, having young families, and worked very closely together as though their roles were a job share arrangement.

All careers advisers were recruited against a job description requiring a specific level seven qualification in IAG. This requirement places the role at middle manager level (grade seven). The three career advisers were all at the top of the pay scale and had been in these roles for between four and 10 years at UOW.

Sarina and Tamara were both 25 and employed as employability advisers at grade six. These posts had been created following the resignation of a careers adviser in 2015, and rather than recruit against the existing job description, Graham had removed the requirement for the level seven qualification. This brought the grade down to a six and freed up budget to recruit two employability advisers rather than one careers adviser. This felt wrong, as Sarina and Tamara both had the IAG qualification, and were doing the same role as the careers advisers, but on a lower salary and status because of the job evaluation process. They had a great rapport with students and fitted well into the team having been appointed six months previously. Over the previous two years I had succeeded in changing the age and ethnicity profile of the careers team from being predominantly white, male, and over 40 to a younger, more gender and ethnically diverse team.

Sheila (55) was the point of contact for all employer engagement within the careers team, a role she had occupied since 2003. She had valuable local and institutional knowledge which was shared across the team. She worked part time, and I was flexible with her working arrangements as she was just overcoming a lengthy period of ill health and had a daughter who required considerable support. Sheila always got the job done, and did it well, she just needed flexibility around family commitments and her health needs.

Luke (24) joined the team after completing work experience with us as part of his further education college course. The previous head of careers had taken a liking to Luke and created the job for him, and I was glad she had. He was a human dynamo. His focus was the student, nothing was too much trouble for him. He was everyone's son or younger brother, we helped him when he was made homeless, when he came out to his family, move into his first flat, and generally made sure he was looked after and safe.

Sadly, Luke was about to leave UOW, as I planned the research, to work as an assistant manager in his parents' pub, a job that suited his personality perfectly. Luke's role was

under review, as it was written especially for him and could not be done by anyone other than him. There was an additional vacant position, which Graham was also reviewing and developing a proposal for recruitment.

2.3.6 The Community and Social Innovation Support Team

Margaret was developing her new team as a community and social innovation support team. Four members of her team had worked together in the community teams that preceded Gateway. Julie, (30), a single mum, worked part time as a community engagement officer. She had worked for CCV straight from graduation with Veronica her manager. As a grade six, she was passionate about her job but required considerable development and directing. She needed clear instructions to understand expectations and was great at the creative phase at the start of any project but got bored in the delivery phase. She worked well with Margaret, and they had developed a supportive bond.

Liam (27) worked for Evolve before the merger, and was such a friendly, personable, and helpful member of the team. You could have a good laugh with Liam, but he had a serious side which was committed to supporting young people. I was covering the cost of him undertaking a Masters in Youth Work at UOW because I could see his potential and ambition. He was working hard juggling a fulltime job, a masters, and there was a baby on the way.

Tiffany (42) and Chelsea (28) were two sides of the same coin. You could not talk about one without referring to both, they were two parts of the same person. They worked together so symbiotically they almost knew what each other were thinking. They had both worked for CCV prior to the merger and since my appointment had been my personal assistants (PA). That may have been on their job description, but that did not reflect their skills and abilities.

I was lucky to have had them as PAs, guiding me through the politics of the early days, supporting what I was trying to achieve, and could be trusted to be open and honest with me. I also knew whatever I told them would go no further, which was invaluable as a sounding board as we mulled over new initiatives and formed thinking about what we would do. We had a positive working relationship, and much of the sorting out needed in the early days had been delivered with them and their support. They were grade five administrators, and other than Luke were on the lowest grades and salaries in the team, yet they would consistently work over and above what was expected.

Following the departure of a community engagement officer, I took the opportunity to create a new post especially for them. The post represented a promotion to grade six, as I could not stretch the budget any further. This was not just a tokenistic gesture but designed to recognise their skills and abilities. I also needed to build capacity in the community team and with budgetary pressures on me to cut staff, I wanted to ensure both Chelsea and Tiffany had secure employment as we moved to NW. It was impossible to justify two personal assistants, when NW demanded cost savings to be made, but it meant they would no longer worked directly for me, reporting instead to Margaret.

Michael (56) had worked in the department for 19 months, starting the UOW credit union at the request of the VC, having taken early retirement three years before. Michael was grateful to be working, he missed being with people, and when the credit union did not take off, he applied for an engagement officer role, which had worked out perfectly. He was adored by the students with a reputation as an all-round good guy.

The priority for Margaret's team was the integration of community engagement, volunteering, and social innovation venture development into the graduate employability offer.

2.3.7 Higher Education Schools' Engagement Team

Finally, James' schools' engagement team worked with primary and secondary schools to raise the attainment and aspiration of pupils. Until James started, this was the most problematic area of Gateway. Veronica (58), previously head of the CCV, experienced the greatest loss of status when Gateway was created. She retained her grade seven position but no longer managed a department, resenting having to answer to someone else, particularly me. The loss of status, influence, and power caused considerable friction between Veronica and me and then between her and James' predecessor, who had left because the relationship became too stressful and impactful on her wellbeing. James had settled things down and Veronica was a different person, much calmer, focussed, and less annoyed, it was good to see her enjoying her role, and almost accepting me as the head of the department.

Tanya (33) ran the Children's' University (Trust, 2021), at the local authority, with her employment transferred to UOW through a process of Transfer of Undertakings (Protection of Employment) (TUPE) (UK Government, 2021) when the Children's' University was transferred to UOW. Tanya was part time, fitting with the needs of her young family, with many years' experience working in this area of work. She initially struggled adjusting to working for UOW but, with James' support, she was much happier now.

2.4 The Challenge of Graduate Employability

The practical problem Gateway faced was that while UOW had maintained a strong performance in employability, being number one for employability in 2012 (UOW News, 2015) and consistently ranked in the top five (UOW News, 2016), the university consistently underperformed in graduate employability indicators.

Fig 2.11 identifies UOW’s five-year performance trend for graduate professional employment, as reported in the DLHE surveys for years 2012/13 to 2016/17.

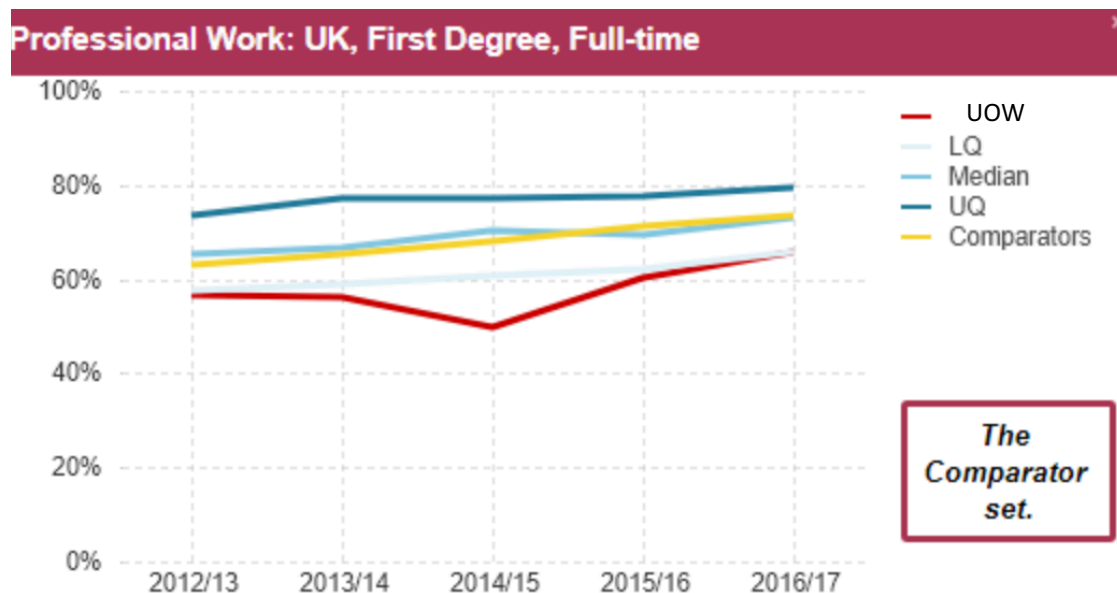


Fig 2.11 Graduate employment trend- 2012/13 to 2016/17: source DLHE survey

UOW consistently performed below the sector median for professional employment with a sharp dip to the lower quartile in 2014/15. Despite an improving trend in the two years to the start of the 2016 academic year, UOW remained in the lower quartile at 71.3% (2016/17), below competitor universities (78.6%), who were positioned around the sector median (78.8%). At best UOW was experiencing incremental improvement insufficient to close the gaps with competitors and the wider sector reporting a 6.4% improvement since 2012/13, with competitors reporting a 6.1% increase and the sector 6.4% over the same period. There had been significant effort expended with little return, suggesting a more targeted approach was needed to deliver improvements in specific subject areas to impact the overall level.

A review of subject level performance (table 2.1) presents a stagnating or declining trend in graduate employability across many subjects. 2014/15 represents the worst performing year with 69% of subject areas in the lower quartile against the sector, of which 54% residing in the lowest decile. Little progress had been made since 2012/13, with 21% of subjects above the median in 2015/16, up only 6%.

	2012/13 % of Subjects	2013/14 % of Subjects	2014/15 % of Subjects	2015/16 % of Subjects	2016/17 % of Subjects
Lowest decile (LD)		21	54	29	8
Lower Quartile (LQ)	35	28	15	21	33
Below Median (BM)	50	29	23	29	34
Above Median (AM)	15	22	8	21	
Upper Quartile (UQ)					9
Higher Decile (HD)					16
Total	100	100	100	100	100

Table 2.1 - Percentage of subject areas positioned in sector quartiles

2016/17 showed some positive improvements in engineering and technology and subjects allied to medicine, reported performance in the top decile at 94.4% and 100% graduate employment, respectively. Biological sciences dropped to the lowest decile (36.6%) with business and administrative studies dropping to the lower quartile (55.5%), a fall of 1.4% overall indicating the sector significantly improved performance over this period. Historical and philosophical studies (31.3%), physical sciences (52.2%) and social studies (54.5%) remained steady in the lower quartile (fig 2.12).

% in Professional Work						
Academic Year	2012/13			2016/17		
Subject Area		Subject Quartile			Subject Quartile	
Architecture, building & planning	75.0%	Lower Quartile	↑	...		
Biological sciences	46.0%	Below Median	↓	36.6%	Lowest Decile	↓
Business & administrative studies	56.9%	Below Median	↓	55.5%	Lower Quartile	↓
Computer science	73.7%	Below Median	↓	78.0%	Below Median	↓
Creative arts & design	51.1%	Below Median	↓	55.3%	Below Median	↓
Education	63.8%	Below Median	↓	68.2%	Below Median	↓
Engineering & technology	71.4%	Below Median	↓	94.4%	Highest Decile	↓
Historical & philosophical studies	30.6%	Lower Quartile	↓	31.3%	Lower Quartile	↓
Languages	32.4%	Lower Quartile	↓	...		
Law	43.8%	Lower Quartile	↓	78.9%	Upper Quartile	↓
Mass communications & documentati...	56.9%	Above Median	↓	60.0%	Below Median	↓
Physical sciences	43.2%	Lower Quartile	↓	52.2%	Lower Quartile	↓
Social studies	52.0%	Below Median	↓	54.5%	Lower Quartile	↓
Subjects allied to medicine	94.5%	Above Median	↓	100.0%	Highest Decile	↓

Fig 2.12- Subject Graduate Employability performance against the sector 2012/13 to 2016/17:

Source DLHE

Law demonstrated the greatest improvement (43.8% to 78.9%) moved from the lower quintile to the highest quintile, while biological sciences saw the greatest fall from below median to lowest decile over the same period. Where a subject area received less than 10 responses to the survey, no position was record.

When reviewed against student protected characteristics, the most significant issue was the increasing gap between BAME and White graduate employment outcomes which had increased from 3.2% to 15% (fig 2.13).

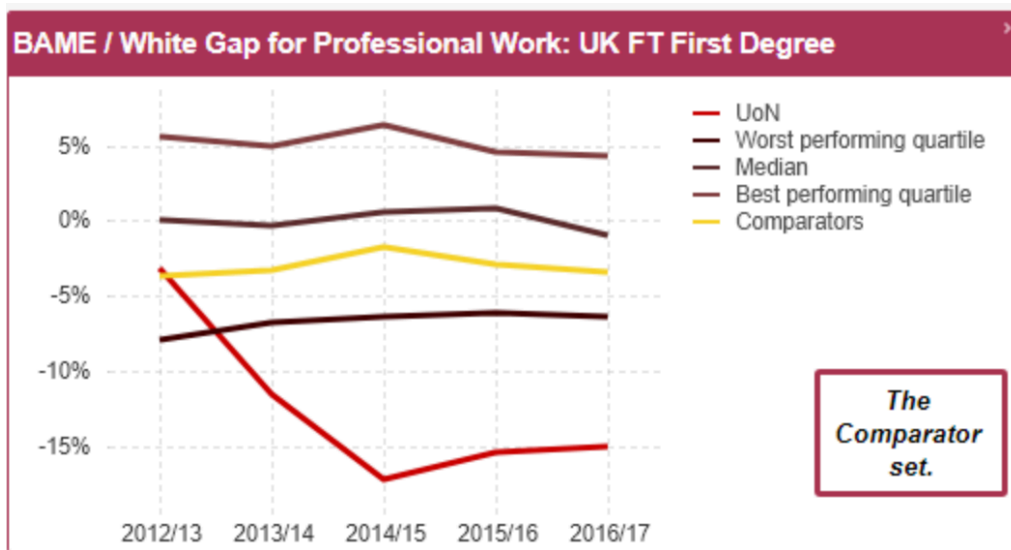


Fig 2.13- BAME/White Graduate Employment Gap: Source DLHE survey 2012/13- 2016/17

Over the same period, UOW’s competitors had reduced the gap by 0.2% and the sector had seen a 1% gap emerge. UOW had not responded sufficiently to the needs of a changing student demographic, impacting on graduate employment prospects of BAME graduates. 2016/17 saw only six subject areas received enough responses to report data, of these Education was in the lowest decile (-40.7%) worsening from above median -8.8% (2012) (Fig 2.14).

BAME / White Gap for % in Professional Work						
Academic Year	2012/13			2016/17		
Subject Area		Subject Quartile			Subject Quartile	
Architecture, building & planning		
Biological sciences	-7.8%	Below Median		0.2%	Above Median	
Business & administrative studies	1.9%	Upper Quartile		-21.3%	Lowest Decile	
Computer science	-6.8%	Above Median		...		
Creative arts & design	-1.5%	Above Median		24.3%	Highest Decile	
Education	-8.8%	Above Median		-40.7%	Lowest Decile	
Engineering & technology		
Historical & philosophical studies		
Languages		
Law	-4.9%	Below Median		...		
Mass communications & documentati...		
Physical sciences		
Social studies	-10.1%	Below Median		-24.4%	Lowest Decile	
Subjects allied to medicine	-1.2%	Above Median		0.0%	Above Median	

Fig 2.14- Changes in BAME/White Graduate Employment Gap by subject - source DLHE survey 2012/13 and 2016/17

Creative arts saw the greatest improvement from -1.5% in 2012/13 to +24.3% (2016/17) placing it in highest decile. Social studies and business administration were in the lowest decile with -24.4% and -21.3% respectively, with business administration falling from +1.9% over the period.

Performance against the sector is difficult to manage as portfolios vary dependent upon the academic character, institutional investment in subjects, the availability of graduate roles within a locality, and the mobility of graduates and their willingness to travel. However, most UOW subjects experienced only marginal increases in graduate employment in percentage terms over the five-years with graduate employability remaining unsustainably low compared to the sector and UOW's competitors. The BAME/White gap impacted overall graduate employment performance, but pockets of best practice were evident. While marginal improvements in certain subjects may have a positive overall impact, the poor performance of BAME graduate employability required attention with a new delivery model required to impact on graduate employability overall and to address ethnicity gaps.

Gateway needed a new approach to delivering employability support, engagement, and support to academic colleagues at subject level. This required a major change in the way

Gateway operated, moving away from the existing siloed service the team had been used to delivering, and its focus on generic employability, to an integrated targeted offer.

2.5 The Scene is Set

As the research started, the Gateway team had experienced a difficult few years dealing with the fall out of the failed merger, team restructures, staff departures, and new recruits. For the first time I found myself planning for next academic year rather than resolving issues created by others. I had the team I wanted, the approach to graduate employability agreed by UMT, and resources to achieve what had been set. I needed a way to deliver it that brought everyone together.

UOW had to improve graduate employability for those from non-white heritage. The department had a remit to lead on this and, as with any wicked problem (Lönngren and van Poeck, 2021; Kolko, 2012; Head and Alford, 2015), we needed to find new solutions that were socially innovative in their means as well as their ends (chapter three), understand the cause of the problem we faced, and work with others to design out these causes was key. In 2016, Gateway had a relatively new team, needing to form as a team, and prepare to change what we did and how we did it.

From the outside Gateway resembled a happy place to be, but like Siouxsie and Banshees' happy house there were tensions and undercurrents that remained unresolved. The changes required to accommodate NW, increased risk management, and the shift in emphasis towards graduate employability were overwhelming, driving people to retract into their own happy place, their own sanctuary, hoping to emerge unscathed. The happy team façade presented in 2016 was fragile and may not survive what was to come, but there was no avoiding the inevitable, it had to be faced.

This time and place became the focal point for SI as a complimentary process of change to accommodate a larger change and a transformational systems change to address poor outcomes (Loogma, Krista. *et al.*, 2013). Gateway required a radical approach to SI to produce improved outcomes and empower people to work in new ways, create new relationships, and power dynamics so change would be permanent and withstand the shock NW would cause.

It is the historical and cultural context, outlined in this chapter, in which SI is studied to move beyond abstract philosophical concepts toward an ontology in-situ of particular structures and agents. It delimits the study to a restricted historical and geographical landscape of Gateway, within the UOW, to enable meaningfully investigation of the interplay between structures and agents.

The CQR methodology locates the object of study in a 'naturally occurring stream of social life, surrounded by a complex social context (Carspecken, 1996:33), with the creation of this picture of UOW, Gateway, and the individuals involved achieved by applying stages one and two of the methodology as outlined in chapter four.

Before exploring the methodology further, the next chapter reviews the literature on social entrepreneurship and innovation from an entrepreneurship theory paradigm, locating the study within the literature, and substantiating the claims for originality.

Chapter 3 Social Entrepreneurship and Innovation: a Literature Review

3.1 Introduction

Despite growing interest in social innovation (SI) a lack of systematic analysis, theory, or consensus on its characteristics and impacts remains (Domanski *et al.*, 2020:455). Research into SI requires a clear statement of what is, and what is not, SI for the purpose of a study, while acknowledging other possibilities and approaches.

This chapter states the position taken with SI concepts and how they apply to this research by reviewing literature on SI from an entrepreneurship theory (ET) perspective. I position universities as social enterprise organisations (SEOs) and focus the research on SI within a university professional service department context. The inclusion of the social to entrepreneurship introduces tensions in ET concepts, suggesting social entrepreneurship (SocEnt) is different to commercial entrepreneurship, becoming SI when the social is not only addressed but the rules of the game, impacting the social, are permanently changed.

The contested nature of the definitional debate is also discussed with the definition adopted for the research stated, and three approaches to SI discussed, concluding with the identification of the institutional-structuration approach applied to this research.

This chapter frames the research within the literature and identifies gaps which form the basis of this research.

3.2 The University as a Social Enterprise

The focus of this research is SI, a term interchangeably used with social enterprise (SE) and SocEnt despite significant differences, which are explored in this section.

While the SE definitional debate remains unsettled, it has matured to recognise an antecedence in an array of social movements, academic fields, and socio-economic contexts (Borgaza and Defourny, 2004; Defourny, J and Nyssens, 2008; Defourny and Nyssens, 2012; Defourny, 2014). Academic theory lags behind practice, with research rooted in practical phenomena (Murphy *et al.*, 2021), hindered by this persistent definitional debate (Borgaza and Defourny, 2004; Thompson and Doherty, 2006; Defourny and Nyssens, 2008; Hayllar and Wettenhall, 2011; Defourny, 2014).

The UK government defines SE as any business with ‘primarily social objectives whose surpluses are principally reinvested for that purpose in the business or in the community, rather than being driven by the need to maximise profit for shareholders’ (Department for Business, 2011:2). While attempting to provide an end to definitional debates, this lacks definitive criteria enabling every business, including universities (Miles *et al.*, 2017), to declare their SE credentials.

While UK universities meet the official UK SE definition, SEs should demonstrate their credentials, and non-promotion of the exclusive interests of owners, by supplying goods and services in which profit maximisation is not the essential condition of decision making (Galera and Borzaga, 2009:225). The Office for Students regulatory framework requires universities to demonstrate their social commitment to a social mission through mechanisms such as Access and Participant Plans (APP) (Office for Students, 2020), the knowledge exchange framework (KEF) (Marvell, 2018; Moreton, 2016; Zhang, 2018; UKRI, 2022) and anchor institution strategies contributing to the common good (Elliott, 2018;

Ehlenz, 2018; Sabrina *et al.*, 2021), while ensuring financial sustainability as State funding is reduced (Dovey and Rembach, 2015:277-278). This political agenda reinforces the SE nature of universities as ‘innovative response to the funding problems of non-profit organizations which are finding it increasingly difficult to solicit ...government grants...’ (Defourny, Nyssens, 2008:4),

The State’s hand in creating a burgeoning system of regulations and accountability perpetuates as understanding of universities as third way hybrid organisations, (Giddens, 1998) operating to ensure financial sustainability, competitive advantage, while required to utilise governance mechanisms to balance both aspects and demonstrate social mission, (Miles *et al.*, 2017:405-406) (table 3.1). Universities ‘face the often-fraught task of negotiating tensions between social and commercial ends’ (Teasdale, 2012:72) when faced with increasing demands to delivery equity and social justice, develop interdependencies with communities, and innovate governance and institutional forms while being competitive in a market driven environment (Brennan, 2008; Brennan, Teichler and Brennan, 2008; OECD, 2008; Bekhradnia and Beech, 2018).

Characteristics of social enterprise	Characteristics of public universities as a public institution	Characteristics of for-profit universities
The primacy of the social mission of the SE is the organization’s <i>raison d’entre</i>	Public Universities do have a stated social mission to educate, inform and serve their greater communities	Maximize profits
Power is not based on financial equity	In academics power is typically politically, role or performance based. Power often emanates from the board of trustees	Power to make decisions if based equity – owners decide and vote on the board
Value is co-created with stakeholders	Teaching, research and service all involve some degree of co-creation with stakeholders	Co-creation is typical as it can reduce costs
No profits are distributed and no dividends are paid	Revenue from public universities is typically only comprised of salary	Equity holders expect dividends or growth

Table 3.1 How SE differs from commercial firms taken from Miles *et al.* 2017:406

There are many ways to define universities (Bergquist, Pawlak and Bergquist, 2008; Trowler and King, 2008) but the university as a type of SEO is applied to this study, accepting SE has received significant debate, much of which adds little to this thesis. By understanding universities as SEs, I acknowledge their role in enabling prevailing neo-liberal social and economic policies of marketisation of higher education as a welfare or state funded service (Taylor-Gooby, 2016; Humpage, 2016; Burnett, 2015; Scott-Samuel *et al.*, 2014; Coule and Bennett, 2016). As a SE, universities fill a void as the State retreats from higher education and an unpalatable private sector fails to fill the void (Thompson and Williams, 2014; Chaney and Wincott, 2014). This hybrid nature counterbalances the intrusion of the market into our daily lives, attempting to re-embed the economy in line with the broader needs and demands of society (Roy, *et al.*, 2021:380). Defining universities as SEs sanitises the marketisation of higher education by providing a smoke screen for a raft of words and discourses such as competition, resilience, failure, efficiency, making student outcomes the purpose of higher education and staff the means by which the end is achieved. It also offers an opportunity to generalise the findings of the study beyond higher education toward the wider SEOs sector.

3.3 Social Entrepreneurship

This section reviews SocEnt through the lens of entrepreneurship theory (ET), suggesting the inclusion of a 'social' to 'entrepreneurship' makes SocEnt theory a distinct form of ET rather than an extension of the existing theory.

3.3.1 Social Entrepreneurship and Entrepreneurship theory

SocEnt has been ever present, growing in significance since the first paper on the subject was published in 1991 (Janssen, *et al.*, 2018), emerging through practice and process with its antecedence in ET.

Joseph Schumpeter (1942) defined entrepreneurship as the process of 'creative destruction [as] the essential fact about capitalism... and what capitalism consists in and is what every capitalist concern has got to live in' (Schumpeter, 1942:83), with social and economic change driven by individual entrepreneurs. While entrepreneurship claims to be exclusive domain of research (Venkataraman, 2019), 'there is no agreed definition... with arguments whether business founding is either a necessary or sufficient condition for entrepreneurship' (Chell, 2007:6). Key concepts, including opportunity recognition (Mary George *et al.*, 2016) entrepreneurial risk (Cirillo *et al.*, 2021), are heavily theorised with a preoccupation on identifying personal qualities of individual entrepreneurs as leaders or managers, (Sommerrock, 2010; Carland *et al.*, 2007).

These concepts inform the narrative of the heroic, social entrepreneur, and the successful process of venture development resonating across SocEnt literature (Desa, 2010) which continue to inform economic neoliberalism. Dees, *et al.*, (2001); Wei-Skillern and Leonard J, (2007) define SocEnt as an extension of entrepreneurship, defining it in terms of opportunity recognition, exploitation, and applying commercial entrepreneurship techniques to develop enterprising non-profits (Dees, *et al.*, 2001). Revenue generation and financial viability prioritise profit over the 'social' as a by-product of the 'enterprise' activity (Weerawardena *et al.*, 2021). The enterprise emphasis turns the social into a commodity which turns a profit, which in turn commodifies poverty, inequality, and leading to criticism that SEOs are just another business.

Social entrepreneurs possess similar entrepreneurial traits, behaviours, skill sets (Sarwoko and Nurfarida, 2021), and entrepreneurial intention to start a business (Sesabo, 2017), as commercial entrepreneurs, often revered for creating SEs tackling their individualised pursuits for social justice (Bornstein, 2004). Charismatic leaders drive change, fuelling narratives declaring that they are unique individuals, exemplars, and heroic (Clark, 2009; Elkington and Hartigan, 2008; Bornstein, 2004). Traits are often over emphasised and

misleading (Jackson, *et al.*, 2017:76), failing to recognise the need for a nexus of a lucrative opportunity and enterprising individuals (Shane and Venkataraman, 2007) for entrepreneurship to happen, and for social entrepreneurs that commercial opportunity could be a 'social'.

3.3.2 The Social Entrepreneurship Differences

The Schumpeterian social entrepreneur has a moral commitment to generate entrepreneurial activity driven by 'moral sentiment' (Smith, 2002) and the furtherance of the common good (Mulgan, 2008) rather than financial reward. SocEnt extends as 'a form of dynamic behaviour in one of the non-economic areas of society' (Swedberg, 2006:33) rather than traits and behaviours, catalysing '...social change and addressing important social needs in a way that is not dominated by direct financial benefits for the entrepreneurs' (Mair and Martí, 2006:36). SocEnt places social outcomes ahead of financial returns (Ayob, 2018:2), locating the social at the centre of the organisations, driving innovation, and entrepreneurial activity (Chell, *et al.*, 2010:486).

SocEnt extends beyond the heroic individual recognising a collective dynamic (section 3.8.2) to address 'unmet [social] need, demand, or market failure, which is to say by the opportunity for social change' (Galera and Borzaga, 2009). This action has 'no proven method with practitioners making it up' as they go along, but 'based on the principles of conventional entrepreneurship' (Roberts and Woods, 2000:46), with Erpf, *et al.*, (2019) suggesting four dimensions of SocEnt as market orientation, social orientation, entrepreneurial outcome, and innovation, emphasising the tensions. Hidalgo, *et al.*, (2021:1) concludes 'the social entrepreneur's social connections with the collective actors and institutions... together constitute social entrepreneurship'.

Cuervo, *et al.*, (2007:4) implies socially entrepreneurial action is a human attribute, emphasising contextual factors such as economic, environmental, normative, and demographic market structure, and the link to the functioning of institutions, culture, and societal values determining the nature of entrepreneurial activity. SocEnt emerges from an environment providing the optimum components (Staber, 1997) for maximising new social business start-up (Aldrich and Wiedenmayer, 2019), or type of start-up business. To generate more SocEnt activity, policy making focusses on ideal environments with financial vehicles, procurement arrangements, and support structures (Office for the Third Sector, 2006) to create Silicon Valleys of social innovation (The Young Foundation, 2006) (section 3.7.3). Overall, no single lever determining levels of SocEnt within a locality is identified, rather a mix of variables appropriate to a locality is required, including social innovation, entrepreneurially oriented practices, and capability to support shared value creation for complex real-world phenomena (Sinthupundaja, *et al.*, 2020).

A 'useful definition' of corporate entrepreneurship proposed by Stevenson and Jarillo, (2007) suggests a 'process by which individuals, either on their own or inside organizations, pursue opportunities without regard to the resources they currently control' (2007: 163). This resource mobilisation, or bricolage definition, sees social entrepreneurs as agents recombining symbolic principles, resources, and practices, 'through the recursive duality of agent and structure' (section 3.8.4), enabling social ventures to create actor-initiated [social] change (Desa, 2012:730) in any organisational type.

Bricolage extends beyond 'making do' to include network resources and social bricolage (Ladstaetter, *et al.*, 2018:287), which act as sources of, and solutions to, a breakdown in organisational identity brought about by the tension between social and economic objectives (2018:302) (section 3.5.3). Tasavori, (2018), emphasises external networks and internal bricolage in SocEnt when bringing new products to new markets, with Bojica *et al.*, (2018) indicating actors' ability to access resources, autonomy over use, knowledge of

possibilities, and adopting varying stand points all impacting on the potential for bricolage. The diversity of senior management teams and adoption of strategies for allocating resources to facilitate bricolage are key to facilitation (2018:380).

Empirical research on bricolage is scarce, however SocEnt may be enhanced by bricolage when combined with other factors such as recognition of the entrepreneur's ability to predict an unclear future, mobilise, apply alternative approaches, and resources appropriately (Servantie and Rispal, 2018). SocEnt requires resource allocation and mobilisation together with commitment and leadership to overcome restriction imposed by limited resources or SocEnt fails to gain traction beyond the drawing board.

Approaching SocEnt as an extension of entrepreneurship traditionally focusses on the social entrepreneur analysing the similarities or differences with commercial counterparts and processes. While providing opportunities for further research, to do so unquestioningly by ignoring the tensions between the social and the entrepreneurship leads to a critical misunderstand of the distinctions between social and commercial entrepreneurship (Thompson, 2008). Entrepreneurship research regularly reduced the 'social' to a commodity that turns a profit rather than recognising the primacy of the social is the way of sustaining an enterprise.

3.3.3 Summary of Social Entrepreneurship

I approach SocEnt as a form of entrepreneurship, recognising the links between the two while acknowledging the primacy of the 'social' and the collective possibility of SocEnt as the way of sustaining the enterprise. This gives SocEnt a dynamic and active distinction (Sommerrock, 2010) separating it from commercial entrepreneurship by giving primacy to the 'social' (Jack, *et al.*, 2014). Socially motivated entrepreneurship is embedded in contextualised patterns of social relations (Dacin, *et al.*, 1999), resulting 'from the context in

which social entrepreneurs and their activities are embedded' (Mair and Martí, 2006:40). Embeddedness implies the impossibility of detaching 'the agent from the structure ... it is [also] possible to argue that the contextual environment is implicated in shaping social entrepreneurs and breeding their passion for addressing social issues' (Jack, *et al.*, 2014:12). Within a university an understanding of the strategic commitment to facilitating resource mobilisation through bricolage is required as part of that contextual setting. Just as SocEnt differs from commercial entrepreneurship, the interchangeable nature of SocEnt with SI requires exploration and is discussed in the next section.

3.4 When Social Entrepreneurship becomes Social Innovation

This section explores the interchangeable nature of the terms SocEnt and SI, highlighting the distinction adopted for the research.

Both SocEnt and SI produce 'new ideas (products, services, and models) that simultaneously meet social needs and create new social relationships or collaborations' (Caulier-Grice, *et al.* 2010:3) in the form of new ventures, products, service, new combinations, and relationships that 'organise interpersonal activities or social interactions, to meet one or more common goal' (Mumford, 2002:253). A systematic review of the literature undertaken by Phillips *et al.*, (2015) identified overlaps between the two concepts, distinguishing SI as an individual or collective act undertaken by a community of practitioners and institutions making up a SI system or network. Caulier-Grice, *et al.*, (2010) propose SI is distinctive as new ideas that simultaneously meet social needs and create new social relations or collaborations suggesting the inclusion of new commercial opportunities to exploit new social markets or opportunities.

McGowan and Westley, (2015:52) regard new products, processes, procedures, and policies as socially innovative if they seek 'to profoundly change authority and tip an entire system

towards greater resilience and sustainability'. Change is triggered by the discovery of new social phenomena creating new possibilities, and space, in which a new entire system can emerge, generating new 'truths' that vie for dominance over the system for society to follow (2015:53). Nicholls and Murdock, (2012) determine SI similarly as an intentional act operating at multiple levels of deliberative change addressing suboptimal issues in the production and delivery of public goods. In the context of welfare reform Evers and Ewert, (2015:109) suggests that SIs are interventions 'that, at any given moment, raise the hope and expectations of progress towards something 'better' (section 3.5.3).

Krstikj, (2021:1) views SI as the creation and implementation of new solutions to complex wicked problems, with SI's story potentially being one of failure that is 'not only a slippery concept because the social element is hard to pin down, but also the term 'innovation' in relation to 'social' is a complicated matter... (Oeij *et al.*, 2019:244), resulting in most SIs failing. The process of innovation is a social act, with the inclusion of the 'social' moving the intended result away from profit exploitation of a new idea toward ideas of social change that cannot be realised on the basis of established practice (Cajaiba-Santana, 2014:44). SI does not manifest itself in the medium of a new technological or commercial artefact to be turned into profit, but at the level of social practices, defining intrinsic differences between SI and technological innovations (Howaldt, *et al.*, 2015:17).

SIs are new ways of creating and implementing social change (van der Have and Rubalcaba, 2016), reconfiguring social practices in response to societal challenges, enhancing societal wellbeing, engaging civil actors (Baselice *et al.*, 2021:2), while emphasising agency, transformation of existing attitudes, social networks, and governance arrangements (Ayob, *et al.*, 2016; Unceta *et al.*, 2020). Empowerment becomes a requisite of SI with the ability to transcend institutional contexts to engage vulnerable groups in the process, or as a result, of SI (2020:910). The transformative nature of SI, alters or replaces dominant institutions

(Avelino *et al.*, 2019:196), while generating change that is accepted and internalised, with social systems improved across any sector of society (Bulut, *et al.*, 2013:124).

Loogma, *et al.*, (2013) synthesises the multiple definitions into three categories of SI: -

1. **The institutionalisation or social demand perspective**- closely aligned to SocEnt and the production of new products and services to meet an unmet need.
2. **A complimentary process to economic and technological innovation or change** - reconfiguring systems to accommodate the impact of either.
3. **Systemic change** - SI being the multi-level transformation of systems and institutions. This is concerned with 'whole system' change not just within a single locality, context, or organisations, suggesting the complexity of SI is inevitable when dealing with complex challenges (Tjornbo, 2015).

For Nicholls and Murdock, (2012) SI operates incrementally as new products are brought to market, where markets and patterns of interaction reconfigures, disrupting frames of reference that alter social systems and structures. These three levels, products, markets, and politics, raise questions of who benefits from change and how change is affected across levels. Citing Mumford, (2002), Tjornbo, (2015) suggests the three levels as micro-meso-macro, encompassing invention, development, and implementation stages, through which all innovations must go if they are to be SI. Systems change occurs at the implementation stage between systems, leveraging resources needed to overturn the status quo and create new relationships, inferring a type of social extrapreneurship identified in section 3.6.

The conceptual framework suggested by Cajaiba-Santana, (2014) recognises the multi-level nature of SI reinforcing the need to understand the complexity of SI if headway is to be

made in addressing complex wicked problems (section 3.4). This is not achievable by an 'heroic' individual alone, requiring novel forms of organising by diverse actors to disrupt existing ways of acting, generating alternative ideas, and then embedding them in institutional contexts to produce profound change (van Wijk *et al.*, 2019:908).

In 2014 the Theoretical, Empirical, and Policy Foundations for Building Social Innovation in Europe report (TEPSIE) (The Young Foundation, 2012) synthesised a core definition: -

'Social innovations are new solutions (products, services, models, markets, processes etc.) that simultaneously meet a social need (more effectively than existing solutions) and lead to new or improved capabilities and relationships and better use of assets and resources. In other words, social innovations are both good for society and enhance society's capacity to act.' (The Young Foundation 2012:42)

This definition extends the assertion of SI as a collective act by introducing the explicit 'goodness' of SI together with empowerment as a determinant.

Despite this attempt, the lack of clarity over definition, conceptualisation, or empirical research informing practice remains, leaving significant opportunities for research using quantitative or hybrid methodologies. Few studies into collective SI are identified, with little research of SI within universities until recently where Cockshut, *et al.*, (2020) and Paunescu, *et al.*, (2022) explored SI in universities as community engagement, their role within economic ecosystems, sustainability, enhancing learning and teaching, and research for societal impact.

Drawing the definitional elements of SI identified in the literature together, I believe SocEnt becomes SI when the 'social' is permanently changed, whether this is relationships, power dynamics, or systems leading to the institutionalisation of new practices and power

relations. This change results from intentional acts happening over time, posing difficulties for time bound SI research, with outcomes and impacts, intentional or otherwise, occurring possibly years after the actions, involving multiple variables, and reliant on consensus around the 'social' remaining constant.

This leads to the following definition applied to the research, that SI is

‘an intentional and collaborative act that generates good in society and seeks to create a new system that improves a community’s capacity to act’

This definition represents an original approach as it adopts a collective approach to SI, within a university professional service department, Gateway, (section 2.3), to explain the process, and modifying an existing SI framework, to explain how SI practice can be enhanced (chapter one).

Having stated the definition used for the research, the next section explores the SI themes identified in the literature.

3.5 Social Innovation Themes

Repeating the do-Adro and Fernandes, (2020) sampling methodology a literature review was undertaken via Web of Science in January 2022 covering the three-year period, January 2019 to December 2021. 1,751 SI publications were identified compared to 540 between 1970-December 2018 (2020:27), including 1,439 articles, an increase from 330 identified by do Adro and Fernandes, (2020). With 6,473 citations in total (2,232), with the top 20 most cited articles reviewed (table 3.2) accounted for 1,011 citations (1,259).

Articles from the long list covered multiple disciplines identified in fig 3.1, with the short list demonstrating the following research topics: -

- Governance of SI (Frantzeskaki, 2019; Svensson and Hambrick, 2019)
- SI ecosystems (Lashitew *et al.*, 2020; Richter, 2019)
- Sustainability (Eichler and Schwarz, 2019; Purcell *et al.*, 2019; Rosas-Casals *et al.*, 2019; Tejedor *et al.*, 2019)
- Research and innovation policy (Bammer *et al.*, 2020; Hassink and Gong, 2019)
- SI frameworks and processes (Hossain *et al.*, 2019; Wittmayer *et al.*, 2019; van Wijk *et al.*, 2019; Pel and Kemp, 2020).

All articles applied the lens of addressing societal, environmental, and economic problems as the context for SI.

	Article	Journal	Citations
1	<u>Seven lessons for planning nature-based solutions in cities</u>	Environmental Science and Policy	131
2	<u>Transformative social innovation and (dis)empowerment</u>	Technological Forecasting and Social Change	117
3	<u>A systematic review of living lab literature</u>	Journal of Cleaner Production	67
4	<u>Social Innovation: Integrating Micro, Meso, and Macro Level Insights from Institutional Theory</u>	Business and Society	66
5	<u>A mobile-based barrier-free service transportation platform for people with disabilities</u>	Computers in Human Behaviour	48
6	<u>Social Innovation in Community Energy in Europe: A Review of the Evidence</u>	Frontiers in Energy Research	48
7	<u>What Sustainable Development Goals Do Social Innovations Address? A Systematic Review and Content Analysis of Social Innovation Literature</u>	Sustainability	48
8	<u>I, Chatbot: Modeling the determinants of users' satisfaction and continuance intention of AI-powered service agents</u>	Telematics and Informatics	44
9	<u>Didactic Strategies to Promote Competencies in Sustainability</u>	Sustainability	44
10	<u>Six critical questions about smart specialization</u>	European Planning Studies	42
11	<u>Expertise in research integration and implementation for tackling complex problems: when is it needed, where can it be found and how can it be strengthened?</u>	Palgrave Communications 6	41
12	<u>Improved Method of Structure-Based Virtual Screening via Interaction-Energy-Based Learning</u>	Journal of Chemical Information and Modelling	41
13	<u>Narratives of change: How social innovation initiatives construct societal transformation</u>	Futures	40
14	<u>Universities as the engine of transformational sustainability toward delivering the sustainable development goals "Living labs" for sustainability</u>	International Journal of Sustainability in Higher Education	39
15	<u>Inclusive Business at the Base of the Pyramid: The Role of Embeddedness for Enabling Social Innovations</u>	Journal of Business Ethics	36
16	<u>Rural social enterprises as embedded intermediaries: The innovative power of connecting rural communities with supra-regional networks</u>	Journal of rural Studies	35
17	<u>Exploring how external stakeholders shape social innovation in sport for development and peace</u>	Sport Management Review	33
18	<u>Explicit Nonlinear Model Predictive Control for Electric Vehicle Traction Control</u>	IEEE Transactions on Control Systems Technology	31
19	<u>Towards a theory of transformative social innovation: A relational framework and 12 propositions</u>	Research Policy	30
20	<u>Translocal empowerment in transformative social innovation networks</u>	European Planning Studies	30

Table 3.2- Top 20 cited journal articles identified by repeating do Adro *et al.* 2020 systematic literature review

The review highlighted the fragmentation of SI research, with diverse theoretical and conceptual contributions across multiple disciplines vying to codify the field, restrained by a lack of consensus on whether SI is a phenomenon or a framework (Caroli *et al.*, 2018). Methodological approaches remain limited to literature reviews, case studies, taxonomies, and theoretical explorations. Methodological experimentation to address the challenges of undertaking SI research was evident e.g., critical processual case-study approach applied by Pel *et al.*, (2020). However, there was a lack of rigorous analysis of patterns, dynamics, normative analysis of social change, with guidance to practitioners remaining limited (Mulgan, 2012), missing the opportunity to fully inform SI policy beyond attempts at definitional clarity and frameworks to inform ecosystems.

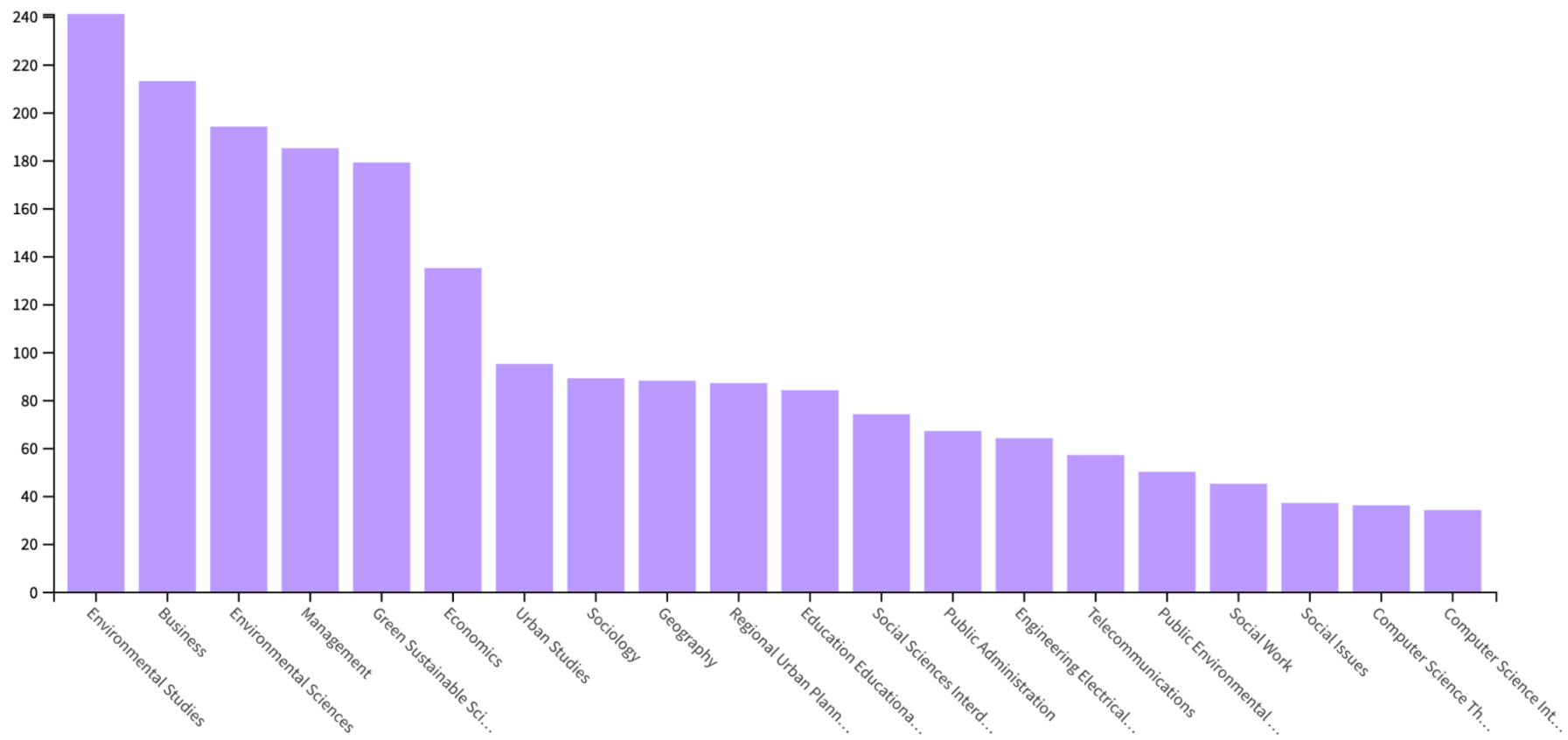


Fig 3.1 Distribution of top 20 subject disciplines where social innovation is reported in the Web of Science literature search

The following sections explore the key themes identified relevant to this research.

3.5.1 The Influence of Policymakers

Policy makers have motivated the SI research agenda (The Young Foundation, 2012) in search of solutions that work to address unmet social needs (Mulgan *et al.*, 2007:7) and address 'the failure... in some sections of society ... of established systems... to deliver well-being and economic prosperity' (Nicholls, *et al.*, 2015). Accelerating SI through institutional frameworks and ecosystems (Unceta *et al.*, 2020; Spigel and Harrison, 2018; Roundy, 2017; The Young Foundation, 2006), and optimising opportunities to improve living conditions that cannot find satisfactory solutions in the institutionalised field of public or private action (Moulaert, *et al.*, 2013) remains a priority.

Dissatisfaction with profit focussed business models and concerns about social and environmental challenges drives SI (do Adro and Fernandes, 2020:35), with research objectives deepening and enriching SI knowledge and literature or trying to refocus this too diverse phenomena (2020:36) to better inform policy and practice to affect change.

With increased attention to addressing existential global challenges of the 21st Century, SI has emerged (Pisano, *et al.*, 2015b) across every sector of the economy with the OECD, (2011:7) declaring: -

'Innovation in the 21st century differs from the model embraced in the last century which was characterised as profit-oriented and nationally targeted. The underlying motive of innovation has been generating economic value. However, looking ahead to the society in the future, it is crucial to construct a new system that enables us to address social challenges through innovation by collaborating and acting globally.'

This drives the need for research that informs collaborative approaches to SI (section 3.8.2) while overtly acknowledging the intention to change the system.

3.5.2 Social Innovation... A Buzz word?

The increasing demands made of SI raises the question whether SI is just a buzz word that means anything to everyone, losing its relevance as ‘innovation is termed a social innovation if the implied new idea has the potential to improve either the quality or the quantity of life’ (Pol and Ville, 2009:881). This reaffirms the potential of business innovations to be socially innovative even when social impacts are a by-product of the commercial exploitation of the initial innovation. However, as concluded in Section 3.4 SI is an intentional act taking place within specific contexts, prompted by actors, targeting a social goal of achieving or satisfying a need or problem in a way that would be impossible within existing social practices (Domanski, *et al.*, 2020:459). While intentionality does not exclude SI being the by-product of an innovation, the intention of SI to affect a change in the social is crucial and is given primacy in this research.

3.5.3 The Tension of the Social

The inclusion of the ‘social’ foregrounds a tension (Dufays, 2019) with entrepreneurial terms as it competes with the commercial for primacy. The ‘social’ retains multiple interpretations (Barinaga, 2013; Ayob, *et al.*, 2016; Ribic and Ribic, 2016; Hervieux and Voltan, 2018; Kimmitt and Muñoz, 2018), generally referring to the solving of societal problems which are wicked, having no simple answers, or viable commercial solution (Kolko, 2012).

The assumption of the utilitarian value of the social (Ayob, *et al.*, 2016) is predicated on positive connotations of terms such as ‘good for society’ (The Young Foundation, 2012), ‘improving quality and quantity of life’ (Pol and Ville, 2009:881) and addressing ‘societal

problems' (Bornstein, 2004). However, the hegemonic nature of successful SIs in transforming social practices (Heiskala, 2007:71) presents a darker side, resulting from the reallocation of power between groups and systems absolutely, not just relatively, as SI creates 'changes in cultural, normative, or regulative structures which enhance collective power resources and improve its economic and social performance' (2007:74). This radical "social" empowers and liberates disadvantaged individuals and groups (Ayob, *et al.*, 2016), as existing thinking, structures, and power relations are challenged, and systems expending resources in a battle to maintain the status quo despite the emergent new values and truths.

The "social" promise of a better future is often ill-defined and rarely achieved (Kimmitt and Muñoz, 2018:861), espousing positive benefits for the greater good while ignoring the possibility of these negative unintended consequences and the emergence of alternative inequalities (Nicholls, Simon, and Gabriel, 2015). Unrealistic expectations are raised that wicked issues have simple solutions, drawing attention away from the institutional, ideological, and legislative causes of these problems (Chalmers, 2021), accelerating the very ideologies a SI sets itself against (Cardy, 2010; Jones, 2015; Han, 2017; Albertson, *et al.*, 2021). Individuals, who attach the 'social' to themselves, their organisations, and actions becoming deluded in their ability, becoming expert in nothing more than navigating existing rules to maximise a commercial opportunity and denying oppressed groups the possibility of emancipation (Teasdale *et al.*, 2020).

3.5.4 Changing the Rules of the Game

The complex, unpredictable, open ended, and intractable nature of 21st Century problems are the unforeseen result of earlier policy interventions and society's greater interconnectedness (Head and Alford, 2015; Lönngren and van Poeck, 2021) requiring innovations that transform society by changing the rules (Wittmayer *et al.*, 2019; Pel *et al.*,

2020). New ways to frame processes through which transformation happens, with facilitators, and policy environments that reshape the game and the rules are needed (Vincent-Lancrin, 2008) as traditional approaches fail to produce desired outcomes. In researching collective SI initiatives Caroli *et al.*, (2018:104) identify SI is 'always the collective act of social change' emerging from evident problems within a given context' requiring as Cajaiba-Santana (2014) adds, not only a new product but an innovation in the social context in which these actions take place.

Krstikj, (2021) identifies the role of collaborative platforms in fostering placemaking, with SI valued as inclusive engagement that democratically reimagines place in the context of a system's resilience to rewrite the rules. Increasingly, SI focusses not only on shared human needs or solving socially relevant problems, but also changing social relationships, systems, or structures, (van der Have and Rubalcaba, 2016:1932) and the rules that create these problems. For SI's potential to mobilise institutions and systems change to be realised, research is needed on how these dual aims can be achieved (van Niekerk, *et al.*, 2021).

Purtik and Arenas', (2019) case study identifies how innovating actors shape societal norms and expectations as well as habits and routines throughout the innovation process, a qualitative study of 500+ teachers identified the importance of networks in SI educational reform (Tafel-Viia *et al.*, 2012). SI not only addresses the 'social' it changes the rules of the game to deliver the 'social'. This requires research to consider the context and institutional environment (chapter two), collaboration across an intentional process of SI (chapter seven) and actions (chapters eight-ten). This research is concerned with SI within organisations, particularly within a university, which are explored in the following sections.

3.5.5 Summary of Social Innovation Themes

SI literature identifies a growing interest in SI research dominated by a limited number of case study and literature review methodologies producing definitions, determinants, theoretical frameworks, and conceptual models. There are a small number of empirical studies testing SI frameworks with few providing insights that inform policy and practice.

Limited research or literature on SI within universities was found, and none related to the operation of a professional service department or the development of services for students outside of learning and teaching. This positions this research in an original space in the literature which is explored in the following sections.

3.6 Social Innovation in Organisations

In addition to bricolage, (section 3.3.2) organisational SI can be termed as social-intrapreneurship, a 'specific type of proactive behaviour related to organizational change and improvement' and need not always be innovation-related (Gawke, *et al.*, 2018:509). Research focusses on improving organisational performance, profit maximisation, or innovation (Reuther *et al.*, 2018; Okun *et al.*, 2020; Elert and Stenkula, 2020), or identifying individual intrapreneur personality traits and behaviours within organisational settings. Woo, (2018) identifies entrepreneurial talents needed by employees within organisations, with Parker, (2011) suggesting differentiators between nascent-entrepreneurs and intrapreneurs. Tracey and Stott, (2017) introduce the concept of social extra-preneurship as 'inter-organizational action that facilitates alternative combinations of ideas, people, places, and resources to address social challenges and make social change...' (2017:53). Social-extrapreneurs work 'between organisations and networks to create novel solutions... ecosystems and platforms that shape social change' (2017:55) differentiating them from social-intrapreneurs in their approach to social change (fig 3.2).

	Social entrepreneurship	Social intrapreneurship	Social extrapreneurship
Definition:	The process of creating and growing a venture, either for-profit or non-profit, where the motivation of the entrepreneur is to address social challenges	The process of addressing social challenges from inside established organizations	The process of inter-organizational action that facilitates alternative combinations of ideas, people, places and resources to address social challenges
Approach to social change:	Creates change through the founding of new organizations	Creates change by leveraging the resources and capabilities of established organizations	Creates change through platforms that support collective effort within and between new and established organizations
Example:	Ayzh, an Indian social enterprise founded by Zubaida Bai to provide rural women in India with affordable health technologies – produced by women for women. www.ayzh.com/	Arup, the multinational engineering firm, set up Arup International Development, a specialist non-for-profit venture. The venture provides a range of services to vulnerable communities, including support with disaster response and the construction of sustainable buildings and infrastructure. www.arup.com/services/international_development	Environmental organizations including WRAP and the Ellen MacArthur Foundation are working with governments, companies and social sector organizations to promote the concept of a 'circular economy'; i.e. to reconfigure deeply held attitudes towards the use and reuse of resources and 'normalize' environmentally sustainable practices. www.ellenmacarthurfoundation.org/programmes

Fig 3.2- A Typology of Social Innovation taken from Tracey and Stott 2017:53

Engagement in intrapreneurship can benefit employee wellbeing and performance, both of which are related to an employees work engagement and work engagement and exhaustion Gawke, Gorgievski and Bakker, (2018:515), requires institutional motivations to recognise and reward this behaviour. Pandey, *et al.*, (2020) also suggest intrapreneurship can also improve employee work engagement and levels of psychological capital.

Mair and Martí, (2006) suggest a negative side to intrapreneurship by identifying an individual's organisational embeddedness as an inhibitor to agency as over-embeddedness reduces the flow of ideas, resulting in inertia. Over-embedded individuals may be more risk averse, less able to deal with uncertainty, and resemble employees rather than entrepreneurs (Martiarena, 2013), while retaining the ability to create social value through

new combinations and mobilising resources through a process of extraction over time (Stryjan, 2006). Moghaddas *et al.*, (2020) suggests a commitment to organisational empowerment is needed to improve levels of intrapreneurship.

The definition of intrapreneurship as entrepreneurial activity conducted within an organization to support organizational strategy' (Okun *et al.*, 2020), is adopted for this research.

3.7 Social Innovation in Higher Education

Interest in SI within higher education has increased but the focus remains on a limited number of topics including

- SI as pedagogical enhancement,
- the civic nature of HEIs and their role in the knowledge economy,
- and the barriers to SI within HEIs,

which are explored in this section.

SI within higher education has been dominated by how universities prepare students as global citizens and societal innovators (McDonnell-Naughton and Paunescu, 2022:9). Studies focus on learning and teaching and how SI enhances pedagogy including learning outcome design (BAR *et al.*, 2015a; BAR *et al.*, 2015b; BAR *et al.*, 2015)¹⁰, programmes designed for SI (Kim *et al.*, 2020; Selznick and McCarthy, 2020; Lake, *et al* 2022), modes of delivery including

¹⁰ Reference anonymised for ethical reasons to limit the possibility of the identification of UOW

service learning (Resch *et al.*, 2020), work-based learning (Castro-Spila, 2018), and community engagement (McDonnell-Naughton and Paunescu, 2022). These pedagogical approaches concentrate on raising awareness of societal problems and issues of sustainability (Purcell *et al.*, 2019) with collaborative approaches to curriculum development and how to free academic imperatives from bureaucratic limitations (Dovey and Rembach, 2015; Lake, *et al.*, 2022).

Universities play a significant role in the societal and economic development as knowledge producers (Lough, 2022:14) sparking SI through research mobilisation (Nichols *et al.*, 2013) and societally impactful research (Paunescu, *et al.*, 2022). This civic role is reinforced through the dissemination of knowledge across all sectors of society through knowledge exchange (UKRI, 2022), knowledge transfer (Kim *et al.*, 2020; Lough, 2022; Greene, 2022), and the creation of triple or quadruple helix collaborations involving business, community, public and HE sectors stressing the necessary socioecological transition of society and economy in the twenty-first century (Carayannis, *et al.*, 2012; Baimuratov, *et al.*, 2020; Cai and Etzkowitz, 2020; Monteiro *et al.*, 2021; Lough, 2022), and universities' role in SI ecosystems (Baturina, 2022). Research concentrates on how universities generate new ideas to address societal problems e.g., (Greene, 2022). Research by (Domanski, *et al.*, 2020) emphasises the importance of universities in the intermediary infrastructure, SI labs, ecosystems, and social practice as essential for local level SI success.

Cultural and structural barriers to SI in higher education are identified by (Selznick and McCarthy, 2020; Lough, 2022; Prantl, *et al.*, 2022) including attitudes of students and staff, bureaucracy, a concentration of administrative functions making universities resistant to new ideas and slow to change. Lough, (2022) identifies competition within the higher education sector as an inhibitor to collaborative working as the emphasis on financial imperatives increase and universities credentials are undermined requiring additional regulation (section 3.2). University organisational and administrative functions are viewed

as problems to be solved or bypassed, rather than SI enablers, with Lough, (2022) suggesting decentring university institutes, including incubators, outside higher education to overcome internal barriers. Prantl, *et al.*, (2022) identify the need for long-term culture change as the only way of overcoming barriers, as attitudes to SI and expansion of third mission work becoming more negative over time.

There is a lack of research related to SI within university administrative functions, their role in SI beyond supporting academic activity, and how SI can be applied to design non-academic student services to address inequalities.

3.8 Approaches to Social Innovation

The literature review synthesised three main approaches, or lenses, for researching SI: -

1. The actor-orientated approach
2. The structural approach
3. The institutional-structuration approach

This section outlines each approach, concluding with the adoption of the institutional-structuration approach for the research.

3.8.1 Actor-orientated Approach

Extended from entrepreneurship theory, this approach focusses on individuals as revered transformative forces [in society]: people with new ideas to address major problems, who are relentless in the pursuit of their vision, people who simply will not take no for an answer and who will not give up until they spread their ideas as far as they possibly can (Bornstein, 2004). This approach, aligned to SocEnt, focusses on individual innovators, exploring SI

occurring at the nexus of a lucrative opportunity and enterprising individuals (Shane and Venkataraman, 2007) prioritising revenue generation and viable business model as the way social value is created (Weerawardena *et al.*, 2021:765).

There is an assumption of 'specialness' of organisation or individual with analysis at the micro level to identify traits, behaviours, and characteristics of successful social innovators. Bulut, *et al.*, (2013) explored these characteristics studying 767 university students across 10 geographically dispersed universities to measure individual level SI tendency. Kickul *et al.*, (2018) prioritised innovators' bricolage behaviour, enabling the creation of innovations within resource constrained environments. Bornstein, (2004); Elkington and Hartigan, (2008) extol the virtues of social innovators in creating change, with Robinson, *et al.*, (2012) concluding 'the features ...for modelling agents who engage in social innovation are present in the conventional understanding of how to develop entrepreneurs and how to develop individuals or groups', with actors viewed not as automata-like agents responding and regulated by the system but creative and autonomous, containing models of the system in which they act (2012:175).

Research questions explore differing motivations between commercial and SI actors with a focus on differentiating traits and motivations (Cohen, *et al.*, 2019). Traits including passion, empathy, mindset, and fear are identified by Battilana, (2019), an individual's or organisation's social networks by Bernardino and Santos, (2019) the teaching of entrepreneurial thinking by Parris and McInnis-Bowers, (2017), or whether social innovators are entrepreneurs or individuals motivated by social objectives by Jack, *et al.*, (2014). However, individual actor never operate in a vacuum without contextual influence, collaboration, and input from others. Actors require teams who, through their daily actions, values, and allegiances, collaborate to deliver change in-situ.

3.8.2 Collaborative Social Innovation

Agent-orientated approaches see SI as collaborative responses challenging social injustice or resource maximisation through collective action initiatives (CAI) (Gregg *et al.*, 2020) co-production processes (Beier *et al.*, 2017; Uzochukwu and Thomas, 2018; Calò *et al.*, 2018) or co-operative business organising (Garrido, 2022; Boone and Özcan, 2014; Herbes *et al.*, 2017). Collective action aims to reform society and citizens' place within society forever by changing the rules, e.g., the establishment of the cooperative sector, the rise of trade union movement in the 19th Century, and social movements across the world including Extinction Rebellion (Maldonado-Mariscal, 2020). Collective SI happens in “networks of informal interactions between a plurality of individuals, groups and or organizations, engaged in political or cultural conflicts, on the basis of shared collective identities...” (Diani, 1992; Gregg *et al.*, 2020) or social movements through which new collective identities are created.

As a collaboration rather than a contestation (Ziegler, 2017), collective SI happens across a diverse group based on mutuality, alignment of beliefs, and values to drive social change, social advancement, and SI particularly in the corporate world (Carberry *et al.*, 2019). Collaborating actors are contextually bound and face structural limitations (Heiskala, 2007) which are not without difficulties. The tension of the ‘social’ (section 3.5.3) is magnified through collaboration, while potential for resource mobilisation is greater it is also more complex. Mechanisms facilitating collaboration impact the pace and type of change, the means by which social change is achieved, and the process of managing these tensions (Scott, 2000), making it an interesting area of SI research.

3.8.3 Social Innovation- A Structural Approach

The structural approach draws on structural functionalism, structural contingency theory, and systems theory, to understand SI by its role, how it is facilitated, and the structural barriers across systems, territories, and locations (Turker and Vural, 2017). Research emphasises the mediation of action through structures and how structures limit the innovators freedom to act, and how external structural contexts determine SI (Cajaiba-Santana, 2014:43). This approach emerged out of the dissatisfaction with ‘the value of personality-based explanations of entrepreneurship in favor [sic] of investigations into the broader social and economic structures surrounding the entrepreneurship process’ (Spigel and Harrison, 2018:152), extending the debate to the influence of ecosystems and the environment in which SI emerges and is facilitated (Bolton and Thompson, 2000) (section 3.5.1).

The environment, or ecosystem, can be conceptualized using many variables including important actors (Howaldt, *et al.*, 2016) policy interventions (Roy *et al.*, 2015) finance (Cheng and Mohamed, 2010), and SI labs (Domanski, *et al.*, 2020). Roundy, (2017:1254), suggest ecosystems consist of six key domains: “a conducive culture, enabling policies and leadership, availability of appropriate finance, quality human capital, venture-friendly markets for products’ with ecosystems offering a conceptual framework for understanding the relationships between SI and the local environment, policy framework, and economic development (Spigel and Harrison, 2018:165)

The path dependency and historical context of individuals, organisations, or societies is important in understanding how SI is shaped in societal, sectoral, or geographical contexts (David, 2007; Hart *et al.*, 2015; Henderson *et al.*, 2019). Hamalainen, (2007) suggests structural approaches identify adjustments that improve economic performance, positing SI as both evolutionary and revolutionary in the way change occurs. Research explores

contextual barriers, enablers, and socio-economic considerations, defining SI as a response to the acceleration of global crises and wicked problems (Nicholls and Murdock, 2012), with SI as a change in cultural, normative, or regulatory structures of society enhancing collective power and improving economic and social performance (Heiskala, 2007:74) (section 3.4).

This focus on context ignores the role people play in reconstructing the context through their interactions, as structures are created, recreated, and transformed through social practices; it is when practices redistribute power that SI becomes hegemonic change and structures are permanently changed (2007:71) (section 3.5.4). A structural approach relegates the notion that structures can be change through actions, with the embeddedness of actors within their structural environment operating as change agents. It is this interaction of actor and structure that leads to the final approach to SI and the one adopted for the research, the institutional-structuration approach.

3.8.4 The Institutional-Structuration Approach

The actor-structure debate is not easily settled with a focus on one over the other failing to acknowledge actors operate in complex structural and institutional environments. By presenting the agent and structure in dualism fails to understand their interrelationship and interdependency (Heiskala, 2007), as actors both reproduce structures through their actions and transform them consciously through structuration (Giddens, 2013). The Institutional-Structuration (IS) approach to SI unifies actor-orientated and structural approaches by configuring the interaction of actor and context (Turker and Vural, 2017), enabling an exploration of how institutions develop, and structures are created both through and as a result of agency.

Institutional theory focusses on regulatory, social, and cultural influences promoting and legitimising social practices as institutionalised traditions and norms (DiMaggio and Powell,

1991; Bruton, Ahlstrom and Li, 2010; Cajaiba-Santana, 2014:47). Institutions are 'shared rules and typifications that identify categories of social actors and their appropriate activities or... relationships' (Barley and Tolbert, 1997:96), with the interplay of institutions with action occurring in the process of structuration (Cajaiba-Santana, 2014; Stones, 2005; Giddens, 2017; Thompson, 2009). Institutions operate at societal, organisational, and individual levels with Erro-Garcés, (2020) considering individuals' emotions and connection to day-to-day challenges as important to releasing SI creativity as part of the institutional context for SI at a micro level.

This requires an analysis of SI across three types of institutional structures: regulatory or rule-setting, normative or obligatory dimension, and cultural-cognitive highlighting the shared understanding of social reality framing meaning, with Scott, (2008:428) identifying how actors 'legitimize their positions to get access to resources' (Desa, 2012:729).

Institutions provide the 'set of norms, rules, and values operating in a given environment that help generate a regularity of behavior [sic] among actors affected by that environment' (Lin, 2016:23). They act as enablers of action or negative forces of isomorphism (DiMaggio and Powell, 1983) as actors, determined to assert their difference within a domain, begin to resemble each other. This domain increases the challenge of differentiation in highly regulated sectors, such as higher education, encouraging universities to adopt narratives asserting their sameness through the smoke screen of difference (section 3.2).

SI becomes the product of agentic, rational, and situated dynamics operating at micro, meso, and macro levels of analysis (van Wijk *et al.*, 2019) where reflexive structures have the ability to continuously renew themselves through SI (Heiskala, 2007). Such renewal defines SI as either incremental change (Nicholls and Murdock, 2012) or radical and politically motivated (Ayob, *et al.*, 2016) creating collaborative societal impact through the delivery of new forms of power relations (fig 3.3).

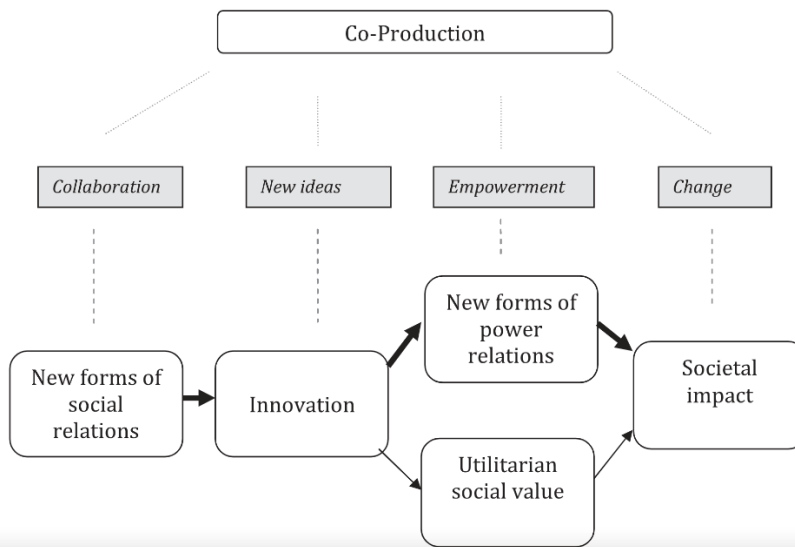


Fig 3.3- Social innovation pathways and drawing the link to co-production taken from Ayob *et al.* 2016

Ayob *et al.*'s., (2016) synthesis of SI literature suggests five pathways to creating societal impact through these two traditions of SI. The radical, and strong, SI traditions are always collaborative with societal impact co-produced through empowerment, with weak SI focused on societal impact through the creation of social utilitarian value, e.g., improved quality and quantity of life.

This conception implies a gap in the research literature uniting the two elements at the empowerment phase. The model fails to acknowledge SI's determinant to be good for society and enhance society's capacity to act (section 3.4), increasing societal impact through empowerment requiring both utility and new power relations acting as duality. This duality operates to maximise utility by reconfiguring and creating new power relations which in turn increases utility in a recursive cycle of maximisation of societal value. How this would happen is not clear, however an exploration of SI from an IS approach could provide insights to how structuration achieves this duality in Ayob *et al.*'s (2016) model. By suggesting how a unification of Ayob *et al.*, (2016) social innovation pathways at the

empowerment stage can be achieved could address the research aim and answer the first research question (section 1.3).

The challenges facing Gateway (Section 1.2) are a situation where SI cuts across both weak and strong traditions of SI. Each challenge gives primacy to one tradition over the other, requiring both traditions to work simultaneously if all challenges are to be addressed, offering an ideal situation for an IS approach to be tested and Ayob *et al's* (2016) model enhanced.

Cajaiba-Santana (2014) offers an IS framework for SI from a technology perspective, explaining SI as the interactive process where both actor and structure are affected (fig 3.4).

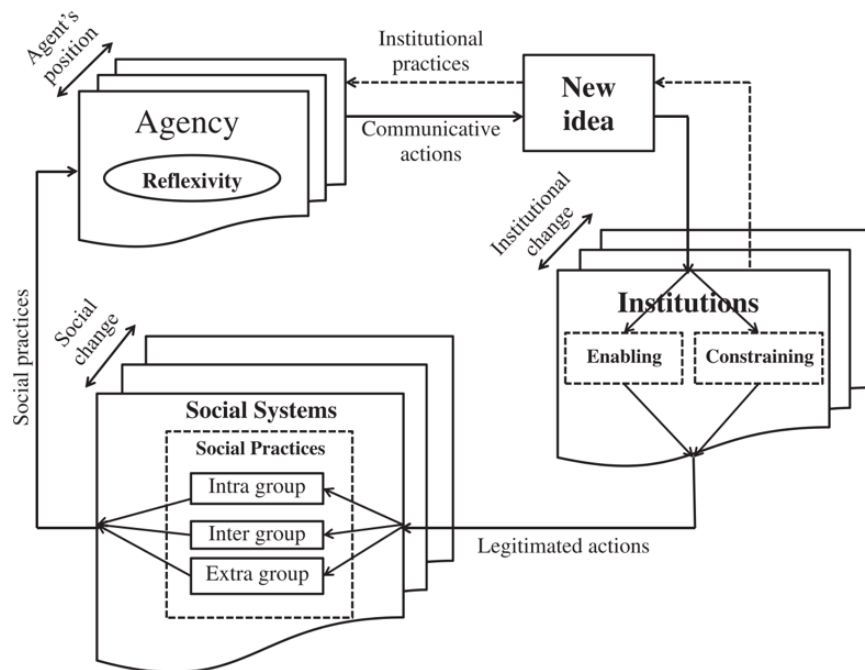


Fig 3.4 A schematic conceptual model of the social innovation process taken from Cajaiba-Santana 2014:48

The framework identifies SI operating on three levels, intra, inter, and extra-group with a clear statement required to denote the level at which analysis is undertaken to identify enabling and constraining institutions. The framework requires a systemic approach to social change, with change across the three levels achieved through a reflexive process, the continual monitoring of the context, actions taking place in that context (2014:47), and the actors' position within and between these levels.

The framework suggests a strong tradition of SI happening as power relations across systems, institutions, and individuals change through action within a given context, (Ayob, *et al.*, 2016). The challenges faced by Gateway require this strong perspective as it faces the impending move to New Willowick (chapter two),(Turker and Vural, 2017), while recognising 'radical change is considered to involve a slow evolution rather than radical change due to the social learning effects and the dynamics of scale that are inherent in any social innovation process' (Moore, *et al.*, 2012:121).

The research adopts Cajaiba-Santana, (2014) framework as the guide to an IS approach to SI to enhance Ayob *et al.*'s (2016) model by explaining how the duality of utility and new power relations at the empowerment stage of collaborative SI (fig 3.4), happens through the process of structuration (chapter four).

3.9 Summary

This chapter has reviewed the literature on SI through the lens of entrepreneurship theory to determine SI as a form of SocEnt occurring when the 'social' is not only addressed but the rules of the game delivering the 'social' are permanently changed, making it good for society and enhancing society's capacity to act (section 3.4).

The SI definition adopted for this study is that SI is

‘the intentional and collaborative act that generates good in society and seeks to create a new system that improves a community’s capacity to act’ (section 3.4)

with the research addressing a gap in the literature identified on SI within higher education, as a form on SE, within an administrative departmental setting.

The research also addresses a gap in existing research in explaining how weak and strong traditions of SI can operate in duality to maximise societal impact, enhancing Ayob, *et al.*, (2016) synthesis to explain how SI is both good for society and enhances its capacity to act (section 3.8.4). Cajaiba-Santana’s (2014) institutional-structuration framework is adopted to guide the study and unify to Ayob, *et al.*, (2016) pathways to societal impact (section 3.8.4)

Chapter 4. Research Methodology

4.1 Introduction

This chapter introduces the research methodology and how it was applied to the research. I argue Carspecken's Critical Qualitative Research methodology (CQR) (Carspecken, 1996) is an appropriate methodology for SI research and represents an original contribution (section 1.4) in achieving the research aim and objective (section 1.3). The chapter outlines the five stages of CQR's (section 4.2), how it was applied (section 4.4), and the methods used (section 4.5), and addresses Carspecken's vagueness on how to undertake stages four and five of the framework (Carspecken, 1996:172–207) by including Stones' (2005) quadripartite strong structuration theory (SST) (section 4.8.) as a further original contribution of the research (section 1.4).

I begin by outlining the five stages of CQR.

4.2 Carspecken's Critical Ethnography in Education

Carspecken's Critical Ethnography in Education (1996) provides a step-by-step guide for conducting critical ethnography (CE) but has not been applied to study of SI nor within a higher education professional service department. This section introduces the framework, identifies the challenges raised in applying the methodology to SI within a higher education professional service setting.

Preferring the term critical qualitative research (CQR) to CE, Carspecken's, (1996) five stage methodology (fig 4.1) places equal importance on qualitative and ethnographic approaches to research (Hardcastle, *et al.*, 2006:152).

<i>Stage</i>	<i>Description</i>	<i>Data Collection</i>	<i>Analysis</i>
1	Building a primary etic record: What is going on?	Fieldwork: nonparticipant observer, monological, unobtrusive, reflection	Cultural reconstruction (etic)
2	Researcher interpretation, etic perspective	Preliminary reconstructive analysis	Cultural reconstruction (etic)
3	Dialogical (emic) data generation, collaborative stage	Fieldwork: participant observer, interactive, interviews, reflection	Cultural reconstruction (emic)
4	Describes systems relations to broader context	Conducting systems analysis between locales/sites/cultures (discovery)	System analysis (etic)
5	Explains relational systems	Links findings to existing macro-level theories (explanation)	System analysis (etic)

Fig 4.1 Carspecken's Five Stage of CQR taken from Hardcastle 2006:153

The first three stages utilise 'critical analytical models' 'to reconstruct cultural structures and themes', with the final two stages 'discover[ing] how routine social actions form and reproduce system relations' (Georgiou and Carspecken, 2002:690).

Stages one and two produce a detailed outsider 'etic' understanding from the perspective of an uninvolved observer (1996:42). This posed me challenges as an insider at UOW, Gateway, and SI. Stage three uses data collection methods from multiple dialogical sources to capture an insider's view through prolonged engagement (Hardcastle, *et al.*, 2006:156). As discussed in chapter five, I paid close attention to the role of participation, reflexivity, and member checking across these stages to produce a valid emic account.

Stages four and five require the discovery of systems relations and an examination of findings against existing macro level social theories, with little instruction is given by Carspecken (1996:196) on how this is to be undertaken, allowing for researchers' creativity (1996:202). The application of each stage is optional (Bozorgzad *et al.*, 2017), and open to modification to address gaps in Carspecken's instructions and the demands of the research.

While proposed for educational research, a literature review identified CQR has been applied to research in nursing (Cook, 2005; 2006b; Harrowing *et al.*, 2010), care and treatment in the community (Dawson *et al.*, 2021), age inequality (McGrath *et al.*, 2017), and patient dignity in intensive care units (Bidabadi, *et al.*, 2019). Carspecken also co-produced studies demonstrating how alternative methodologies could be introduced at stages four and five to enhance understanding of social systems (Georgiou *et al.*, 1996; Georgiou and Carspecken, 2002)

Jozkowski, *et al* (2017), reports the only study identified utilising CQR within a university to understand the subcultural influences on university student consent, modifying stages two and three. Hardcastle, *et al.*, (2006) applied multiple data capture methods at stage two and three, limiting observations and the timings of interviews to accommodate the requirements of the research setting. Dawson *et al.*, (2021) relied on the application of pragmatic horizon analysis (Section 4.5.6) at stages two and three tying them back to theory, stage five, through inductive analysis, skipping stage four.

These studies confirm the value of CQR outside educational research, with creative approaches adopted at stages four and five, illustrating the suitability of CQR for this research. However, no study applying CQR to SI, a professional service department within a university, or with the inclusion of SST was identified, indicating the original methodological contribution of this research.

Overall, CQR offered a 'comprehensive framework on "how to do" research in the field that was easy to follow, promising flexibility in application to a study of SI within HE (Hardcastle, *et al.*, 2006:160). However, there was an ongoing need to adapt the process, that first appeared linear, but required continual hermeneutic reassessment (section 4.11) and appraisal of the methods applied. Before I describe how each stage was applied, the next

section explores the methodology as a critical ethnography and why that was an important requirement for its adoption.

4.3 Critical Theory

The research aim and objective (chapter one), required a research process of discovery, explanation, and action, enabling individuals to identify how they could affect change in the workplace by understanding the structures that disempowered them and act to change them. This positions the research within a critical theory (CT) paradigm.

CT is never neutral, acknowledging the researcher uses their work as a 'form of social and cultural criticism', (Kincheloe, *et al.*, 2018) requiring involvement of those studied as partners and co-researchers (2018:238). Participants become creators and authors of their experience, explaining their experiences, and actions with oppressive structures surfaced and changed (Boham, 2021). It is through collective engagement and reflexivity, individuals become critically aware and intolerant of their circumstances demanding new norms, rules, and ways of being in the world, (Darder, 2015) 'conscientizacao' (Freire, 1996), and start the struggle for change.

I acknowledge CT 'must remain open enough to allow changes, disagreements, and growth' (Kincheloe *et al.*, 2018:235) and state my position as one of a critical value orientation (Carspecken, 1996:6-7), synthesised from commonalities identified across critical schools identified by Kincheloe *et al.*, (2018:237) in appendix B.

This critical values orientation determines the methodology as critical but does not determine the appropriateness of ethnography.

4.4 Ethnography

The use of ethnography in SI research has received little attention but offers a unique methodological angle (Mauksch *et al.*, 2017). Undertaking ethnography was appropriate as SI requires sustained engagement within a setting over a period of time so the organisational culture, history, and identities can be understood (Newth, 2018), raising difficult questions including: -

- How would I construct the context?
- How would I use data?
- The value of the data collection methods I adopted,
- How would I navigate the relationship between the participant researchers, me, and the rest of the department as an insider researcher?
- How would I demonstrate research validity?

These questions made an ethnographic methodology highly contested and problematic to adopt (Hammersley, 2006:11; Walford, 2009), but offered opportunities for flexibility, open to redesign, and the application of alternative methods as the research progressed (O'Reilly, 2012:48) during the turbulent times at UOW (section 2.4).

In adopting an ethnographic approach, I accepted participants would act in the social world having the capacity to reflect on their actions as objects in the world as reflexive individuals capable of acknowledging their bias within the study (Hammersley and Atkinson, 2019a). This required methods enabling reflexivity to surface institutional, and disciplinary constraints on individuals (O'Reilly, 2012:212) offering the potential to uncover individual insights and prioritise the voice of participants, uncovering 'what could be' (Bidabadi, *et al.*, 2019:740), not just 'what is' in the collective experience of a SI process as required by the research objective (section 1.3).

A well-crafted ethnographic methodology could produce reflexive insider representations as valid accounts of experiences of those involved, inform practice, and fulfil the demands of a PhD (Vickers, 2021). Such an account may intentionally deny readers definitive truth claims in favour of retaining the “fuzziness” of human experience (Mauksch *et al.*, 2017:123), but this fuzziness was important in producing collective in-depth representations that could be emancipatory for those involved.

Ethnography appeared to ‘provided [the] powerful tools with which to understand the problems of people, as experienced in everyday life’ (Feinberg, 2015:150) and fulfil the objective of the research (section 1.3), however the issue of being an insider hung heavily over me, requiring deeper consideration.

4.4.1 Insider or outsider? It’s a bit blurred...

Traditional textbooks generally gloss over the intricacies of insider research with researchers under-supported in their attempts to navigate the ‘hidden ethical and methodological dilemmas of insiderness’ (Labaree, 2016:109) particularly when researching subordinate participants. Addressing the insider nature of this study undertaken within my workplace was raised ethical dilemmas (chapter six) and operationally messiness, requiring continual renegotiation to ensure participants were not unduly influenced and the findings viewed as valid (chapter five).

Being an insider provided an opportunity to apply theory, have greater access to data, construct actors’ implicit meanings, and produce a better emic account that could lift the study above mere market research (Trowler, 2016b:8-24). However, unlike Alvesson, (2003) whose insider research did not aim to change anything, my criticalist value orientation (Carspecken, 1996:6-7), meant my intention was to instigate a process of change for which I was responsible as part of my job.

I was embedded in the organisational setting, SI, and the research process, requiring me to be continual critical reflexivity (section 5.2) in my day-to-day interactions, analysis, and writing; continually questioning whether findings were a construction or a true description of the observed reality (Newth, 2018:688-689). I had to continually assess my position within the university, the department, the field of SI, (section 5.3) and my responsibility to the team in exercising the power and privilege afforded me (Powell, 2021). My positionality (section 5.3) would never be constant, fluctuating across an insider-outsider continuum in relation to the research process and the final text, as well as across multiple relationships with colleagues and participants. At times I was inside the change process and the decisions participants took, at others outside, observing events, only ever observing snap shots of events across a timeline of occurrences, interactions, and day-to-day conversations between team members as part of my role.

Being an inbetweenener (Milligan, 2016) in this hyphenated insider - outsider continuum (Humphrey, 2013) was a precarious position to navigate requiring continual assessment of my positionality and commitment to represent the stories of participants well (Hagues, 2021). There is insufficient wordcount to address all these issues here, but being reflexive (section 5.2), aware of my positionality, (section 5.3) and the inclusion of a participative approach to the research (section 5.4) helped mitigate some of these challenges.

4.4.2 What is Critical Ethnography?

This section brings together the preceding three section to introduce CQR as a critical ethnography (CE) methodology.

Carspecken, (1996) and Runyon, (2019) suggests Willis, (1973) as the beginning of CE starting 'with an ethical responsibility to address processes or unfairness or injustice within a particular lived domain' (Madison, 2005b:4). CE is increasingly used across a range of

research areas (Hardcastle *et al.*, 2006; Georgiou and Carspecken, 2002; Bidabadi *et al.*, 2019; Vandenberg and Hall, 2011; Robertson, 2015; Smyth and Holmes, 2005), however is little used in SI research.

CE attends to the culture of the research site to understand what is happening (Fitzpatrick, 2013:26) by contextualising actions of individuals within structures, and is political in purpose (Norander, 2018; Cook, 2005; Henson, 2020). The political nature of CE reflects the choice of subject, methods, and 'mines the researcher's knowledge of the topic to bring clarity of focus and depth of inquiry to the research' (Norander, 2018:298). Research is inextricably linked to the researchers' past and ongoing experience bound up with dialogue, reflection, and critique of the 'Other' (Huspek, 1994:46), suggesting CE is simultaneously hermeneutic and emancipatory (Beach and Vigo-Arazola, 2021:677) rather than a disinterested scientific activity (Jordan and Yeomans, 1995:403).

Offering 'a broader, historical perspective of the constitution of social relations and culture', CE enables understanding of 'what is happening' (Jordan and Yeomans, 1995), linking knowledge to political action as emancipatory, drawing on the researcher's activist stance, rethinking power relations and interactions between structures of knowledge and power (Betancurth Loaiza, *et al.*, 2021). CE has no single ethnography methodology but attempts to braid 'social theory with the tools of participant-observation to examine how inequalities are constructed, maintained, and contested' focussing on individuals over a sustained period of data collection (Chang, 2020:1042).

CE unsettles established understanding by giving authority to subjects' voice (Jackson, 2020:172-173), empowering them (Hagues, 2021) to move beyond 'what is happening' to 'what could be'. The lens of power, privilege, and authority is applied to achieve effective social change (Bidabadi, *et al.*, 2019:739) resulting from deep relationships between the researcher and the community of which I was also a part (Hagues, 2021:439). CE is an

appropriate as a form of social activism (Fals Borda, 1979; Dennis, 2009) where researchers are 'criticalist' (Carspecken, 1996) capturing the constraints, sources of domination, and repression in the workplace (Anderson, 1989).

The emancipatory challenge I approached was the empowerment of participants to control their destiny in the workplace as it went through transformational change. This required moving beyond an explanation of events to 'problematize[ing]' (sic) the inevitable inherent power relations (Lowe, 2020:3) and through SI create new ones. While CE had potential to achieve the research aim and objective, the tools available to identify ideologies were unclear, raising difficulties for me, an early career researcher, in carving out a methodology appropriate for a study (2020:3). I had to commit to being accountable for the impact the research may have, commit to active reflection, and deconstruct my taken for granted assumptions gained through years as a practitioner (Norander, 2018:2) requiring an approach to CE that would guide me through the process.

I chose Carspecken's (1996) Critical Ethnography in Education CQR methodology to provide this framework. The following section explores CQR and how I applied it to the research.

4.5 The Five Stages of CQR

The application of Carspecken's (1996) CQR methodology to SI research is an original contribution of this research (section 1.4). This section follows Carspecken by presenting CQR as a linear process but also explains how each stage was applied and the methods used.

4.5.1 Stage 1 Building a Primary Record

Stage 1 produced an Etic perspective by building a primary record from a position of “almost complete ignorance” (2006:155) through the collection of field notes and thick descriptions as a passive observer in a journal I maintained for the purpose. Initially, this period ran from July 2016 through to January 2017 but was extended to the 31st of December 2017 so the primary record could be updated and refined as new data and insights emerged over the year.

I was conscious of the privileged position I held within Gateway and UOW (chapter two), which made it impossible for me to pretend I had complete ignorance. Being an insider provided advantages, including being culturally literate, sharing mutual knowledge of participants, and access to sites such as 1-2-1s with my line manager and other members of the senior leadership team (Trowler, 2016).

I could never truly be an outsider, but neither was I fully inside UOW as there were sites and discussions, I would always be outside, creating ethical, professional, and political dilemmas (Humphrey, 2013) throughout the research, which are explored in chapter six. This constant dualism would require engagement in a constant process of questioning, immersion, and distancing to create the ethnographic insights (O’Reilly, 2012:98) and produce the etic understanding required at stage one.

My position didn’t give me access to all areas of UOW, relying on the same institutional communications as my colleagues in building a primary record, limiting data to three main sources: -

1. publicly available documentation,
2. a personal journal to capture details of events and interactions,

3. documents produced by the university over that period

(van der Waal, 2009:34-35; Creswell, 2013:130),.

I collected 574 items of publicly available documentation including

- university governance committee papers,
- publicly released new items,
- staff communications,
- website commentary,
- documents related to changes in policies and procedures,
- and financial information supplied as part of statutory reporting.

I excluded documents related to NW unless it directly affected Gateway, and information I did not have access during my day-to-day work. This information was used to produce the profile of UOW, and the team presented in chapter two. Conscious of my insider status, I intentionally engaged in observing what was happening across the department and university; gathering documents I may otherwise have ignored or discarded and capturing observations in my journal.

My journal captured daily interactions, meeting notes, and observations, consisting three volumes capturing interactions with colleagues across Gateway, UOW, and participants including meeting notes and briefings with my line manager, senior leaders at UOW, and external stakeholders. These notes captured emotion, thoughts, doodles, and diagrams representing my understanding of the context, my state of mind in the moment, and as a cross reference to other data obtained concerning the events recorded. Fieldwork became more than being there and became more reflexive as I attempted to apply my senses to recognise my role, involvement in the field, and the consequences and impact I had (O'Reilly, 2012:101-102).

Finally, 261 separate documentary artefacts were collected including

- documents produced by the Gateway team,
- communications including emails I received from the Gateway team in connection with the work undertaken by the and working groups outlined in chapter seven.
- Papers and meeting notes supplied to me related to the SI process (chapter seven) covering the period 1st of January to 31st of December 2017
- Higher education policy documents,
- Documents informing and related to changes in higher education regulation, policy, and regulatory framework

Hardcopy versions of documents were scanned and saved electronically in password protected files. All artefacts produced from meeting related to the SI process were either photographed and/or kept as original copies (appendix C).

4.5.2 Timeline for Building the Preliminary Record

Between 1st July to December 2016, I worked with the Graham, James, and Margaret to design the first workshop at which the SI process would be developed on the 19th of August 2016 (chapter seven). An initial literature review was undertaken, with a draft preliminary reconstruction produced on the 15th February and tested with participants during February and March. This document was periodically reviewed during the research period.

A research initiation meeting was held on the 5th October 2016, where ethics related to the study were negotiated (chapter six), with journaling agreed as the method participants would use to capture their experiences and reflections during the calendar year 2017. Participants agreed to submit journal entries as often as they wished, with a minimum of one journal entry per month. Participants agreed to record their (O)bservations, their

(R)eactions to the observation, their analysis of their (J)udgements of the situation and their decision to (I)ntervene to make things happen (Coghlan and Brannick, 2014:34-45) referred to as the ORJI model.

The ORJI model proved accessible and provided participants the opportunity to develop reflexive skills in a safe space, a minimum standard needed for analysis, and a level of consistency across all participants. Overtime this structure became less obvious in submissions as adherence to the ethical assurances given concerning the confidentiality of submissions, built trust in the journaling space. Participants grew in confidence, exploring events, feelings, values, and relationships in greater detail. Journal submissions surfaced participants' reactions to the events across the SI process and wider relationships across the department. The ORJI structure facilitated the analyse of the social system at stage four by surfacing external structures, general dispositions, and conjecturally specific internal structures, actions, and outcomes (Stones, 2005:84-94). It also enabled a validity audit trail from journal through to written text (chapter five) as participant journaling and semi-structured interviews were the main dialogical data source used at stage three.

4.5.3 Stage 2 Preliminary Reconstructive Analysis

Stage two developed the representation of the cultural context of the department within UOW, identifying themes for further investigation. At this stage Habermas's theory of communicative action (Habermas, 1986) was applied, analysing data from the primary record, identifying subjective meanings and normative beliefs with participant involvement (Vandenberg and Hall, 2011:27-28). Initially, stage one data was rough coded identifying 24 themes, grouped into four categories, related to Gateway and UOW (table 4.1).

External to the Department	Departmental
<ul style="list-style-type: none"> • New Willowick • Finance changes/processes • Restructuring • HR processes • Change in contacts • Expectations on the team • TEF and strategy 	<ul style="list-style-type: none"> • Divisions between sub-teams • No clarity of purpose • Changes in staffing • New staff • Loyalties • Professional relationships
Communication	Planning
<ul style="list-style-type: none"> • Structured • Disjointed • Too much • Multi-channelled • Compliance 	<ul style="list-style-type: none"> • Lack of coordination • Strategy v Operationalising • Trust in leadership • Systemic • Overloaded • Visionary v Practical/detailed

Table 4.1 Preliminary themes generated from stage one data

Themes and categories were tested with participants, who were asked to provide pictures representing UOW (Appendix D) and Gateway (Appendix E) supplemented with narratives to explain the pictures identifying the five most important words related to each picture and the themes portrayed in the pictures (Table 4.2).

University of Willowick	Gateway
New Willowick	New Willowick
Transformation	Change
Change	Major Development
Huge	Hurdles to face
Happening	Lacks Cohesion
In Flux	Vibrant Diverse team
Main Focus	Opportunities
Lots of Issues	Chaos
Being driven	Confusion
Communication	Unwillingness
No Ownership	Opinionated
Unsure	Blame culture
Instability	Going round in Circles
Destiny	Making Progress
Reluctance	Reactionary to events
Apprehensive	

Table 4.2 Participant descriptors of the University of Willowick and the Gateway department as part of the primary reconstruction analysis

Participants were then tasked to draw the pictures and words together to produce a position statement, they could all agree, represented Willowick and Gateway (appendices F and G). These position statements, together with the descriptors were used to confirm, refine, and deepen the themes and categories in table 4.1, producing a longer list of themes grouped into seven categories, identified in bold in table 4.3, as the thematic frame for the research.

University of Willowick	Gateway
<p>1 New Willowick</p> <ul style="list-style-type: none"> • Changes to policies and processes • Policy and strategy changes • Lack of obvious plan • Transformation • Change • Huge • Happening • In Flux • Main Focus • Lots of Issues • Being driven <p>2 Poor, levels of Communication</p> <p>3 No Ownership</p> <ul style="list-style-type: none"> • Unsure • Instability • Exodus of staff • Destiny • Reluctance • Apprehensive 	<p>1 New Willowick</p> <ul style="list-style-type: none"> • Too much change • Lack of direction • Too much work • Hurdles to face <p>2 Lack of team cohesion</p> <ul style="list-style-type: none"> • Vibrant diverse team with potential • Opportunities open to us • Team divisions • Loyalties to others and ways of working <p>3 Chaotic workplace and structure</p> <ul style="list-style-type: none"> • Confusion across the team • Unwillingness to work together • Opinionated • Blame culture <p>4 Going round in Circles</p> <ul style="list-style-type: none"> • Not making Progress • Reactionary to events • No ownership

Table 4.3 Categories and Themes identified through the Preliminary Reconstruction Analysis

The position statements confirmed the challenges for the department as set out in chapter one and the need for the SI process giving ownership of changes within the department to all staff members.

4.5.4 Stage 3 Dialogical Data Generation

Stage three produced an emic perspective by generating an insiders understanding of culture (Hardcastle, *et al.*, 2006:156). Three methods were utilised for this stage:

1. participant journals maintained from January to December 2017.
2. semi structured interviews undertaken between December 2017 and February 2018.
3. my own journal.

Nine participants started recording their journal entries from the 1st of January 2017 until 31st December 2017 with 165 separate submissions received. The ethics chapter discusses the dilemma the submission of journal entries raised leading to them not being included as research data until the end of the data collection period.

From 1st of December 2017 to the 31st of January 2018, semi structured interviews were undertaken with April, Bethany, Chelsea, Graham, Margaret, Michael, and Tiffany exploring the themes raised in the journals in more detail, obtaining background information, and enabling individuals to confirm and expand their experiences. All interviews were recorded, transcribed, and lasted approximately 1 hour. I transcribed all interviews with the transcriptions forwarded to the participant concerned for editing and confirmation. Once all journals were received, interviews taken place, transcribed, and confirmed, the data collection phase ended.

4.5.5 Dialogical Data Analysis

Dialogical data was analysed line-by-line to create multiple meaning fields (MF) across three categories of ontological realms and validity claims (Carspecken, 1996:55–85); objective, subjective, and normative-evaluative, with MFs colour coded

- Objective = Blue
- Subjective = Green
- Normative-evaluative =Purple

Objective claims were either true or false depending on multiple access confirmation (1996:65), subjective claims resulted from privileged access with individuals' honesty and veracity central to these claims (1996:69-70). Privileged access to subjective domains allowed the generation of multiple subjective claims from a statement, resulting from the context and relational situation in which action was communicated. Normative-evaluative MFs pointed to what should be, what was appropriate, or conventional, that may be agreed by others, rejected, or debated. Together, these three sets of claims represented positions taken by participants underlining their values and ideas of what was right and wrong (1996:83-84).

I added a fourth MF, coded yellow, identifying claims of the position taken by a participant within an event. This positional MF was used to support position-practice relations mapping (section 4.8.3) applied to stages four and five of CQR (chapters 11 and 12). Meaning fields were then located within a pragmatic horizon analysis (PHA) (section 4.5.6). Dialogical data required prioritising to make the PHA manageable (Carspecken, 1996:103-110) as so much had been generated. Firstly, journals were analysed by isolating each sentence and the meaning fields generated as demonstrated in the example from Tiffany's journal of the 12th January 2017 (fig 4.2).

Extract from Tiffany's Journal

'It's reasonable to sometimes forget something - I get that, however once you have been made aware of the fact that you had forgotten, surely that should prompt you into some sort of action. All I witnessed today was inertia and disinterest. Should it be ok to assume that the person on the rota will deal with something that they've had nothing to do with? Is it a case of out of sight out of mind? I fear that this does seem to be the general mindset that is prevalent at the moment. That and give me the glory but none of the work' (Line 7)

Meaning Fields Produced

(MF) I know people do get things wrong and that's ok (and) when they do go wrong, and you are made aware you should do something because you care. (and) this is not what happened (and/or) someone was told that something they were responsible for hadn't happened (and) they didn't care (and) this lack of responsibility (and/or) care (and/or) lack of sanction because means they didn't take responsibility (and) led to them acting with disinterest. (And/or) some people lack ownership of their jobs (and/or) people promise things and expect others to do the work

Fig 4.2 Example of the analysis of journal entries taken from Tiffany's first journal entry 12/01/17 line 7

Interview transcriptions and the audio files were then analysed using the same coding key. Audio files were reviewed three times, providing the emotional and relational context of the transcribed words with pace, tone, and emphasis expressing the paradigmatic structures behind the answers (Carspecken, 1996:106-110) and a deeper insight to the journaling and meanings (Kezar, 2000:386-388). The interview coding was merged into the chronology of the journal analysis, producing PHA incorporating journals and the interview MFs related to events in date order.

Finally, my journals were used to cross reference, where possible, events and interactions reported by participants. This served to confirm, and counterbalance, points of view projected in participant journals, offering alternative external viewpoints, and enhancing

the stories produced (O'Reilly, 2012:104). My journal contextualised events, verified objective truth claims, and provided additional subjective meanings reflective of an expanded contextual understanding. The final PHAs represented constructions of the journals, interview transcripts, audio files, and references from my journal which were then used to create the 'stories' of Graham, Tiffany, and Chelsea presented in chapters eight, nine, and ten).

4.5.6 Pragmatic Horizon Analysis

Carspecken (1996:103-105) presents the concept of pragmatic horizon as extending the phenomenological concept of 'horizon' proposed by Husserl, rather than Gadamer, without fully explaining the numerous sources creating it (Holmes, *et al* 2011:149-151). For Carspecken, 'pragmatic horizons' locate the phenomenological "horizon" within a pragmatic theory of meaning associated with Habermas, where action is regarded as primary in experience as communicated within social relations (1996:103). All meaningful acts contain objective, subjective, and normative-evaluative claims that are intelligible within a setting, legitimate, and identify an actor's identity. PHA provides a mechanism to help 'understand ideas in the world [by] simultaneously understanding the "horizon" from which that idea emerges (Stewart and Usher, 2007:997), by reflecting on, and unravel, all that influences practice, in particular patterns of oppressive behavior that can be inherent in organizational culture' (2007:994),

MFs from journals, interviews, and audio files were merged and located horizontally and vertically (Mills, 2010) within a horizon to reconstruct meaning with new levels of precision (Carspecken, 1996:103). Horizontal positioning identified objective, subjective, and normative meanings, with vertical positioning highlighting meaning explicitly foregrounded, mid-grounded, or implicitly in the background of communicated acts. These two-dimensional representations represented potential meanings within a given horizon,

identifying themes located across foreground and background. Fig 4.3 presents the final horizon produced from Tiffany’s journal submission of the 12th January 2017 in which the MFs identified in Fig 4.2 have been merged with other dialogical data as outlined.

	Objective	Subjective	Normative	Identity
Foreground	A student was inconvenienced because something went wrong	The person responsible didn't care and was disinterested Some colleagues are unprofessional because they do not to care or take responsibility. I was inconvenienced I sorted it out	Things go wrong at times, but people should take responsibility for the situation when it does. people should ensure that if they are working on something that everything is done and handed over properly	I wouldn't have acted like my colleague did I care about students I take responsibility for things I have higher standards than my colleagues
Midground	The culture is one that praises mediocrity. There are no sanctions for messing up people aren't held accountable these problems are hidden because people like me just sort things out	The culture is out of kilter with my values. Sanctioning people is the way to change this.	Management should set higher standards for people to work to before they praise them.	I don't feel as though I fit in this place I put up with too much I <u>won't</u> say anything to those concerned because that's who I am.
Background	Some people get away without doing their job. Management are not on the ball. Management is easily deceived. Everyone is too busy. Everyone is focussing on the wrong things	We (University) reward the wrong behaviours. People in the team have different motivations to be here, and that impacts on others. Some people are unprofessional We are not a team. The culture needs to change.	The right behaviours and ways of working should be rewarded. People should be sanctioned for not delivering People should care about the jobs they do and take pride in doing a good job	I am taken for granted. I am on one of the lowest grades in the team, yet I have the behaviours I'm told and believe are the most important to work here. I am undervalued by my colleagues/management and institution.

Fig 4.3 Sample of the pragmatic horizon developed from Tiffany’s journal entries

Horizons were compared across participants identifying events related to the SI process (chapter seven) experienced by them all (objective claims) and to expand and verify subjective claims. It was at this point themes were narrowed and decisions about the use of data were taken (section 4.10) and the stories of the individuals developed from the PHA and written up (Section 4.12). Stories were then forwarded to Graham, Chelsea, and Tiffany for approval as agreed in the ethics agreement (chapter six).

4.5.7 Stages 4 and 5 Systems Analysis and Theory

Carspecken spends little time explaining how CQR's stages four and five should be undertaken favouring instruction on what to look for, concepts of interest, and validity requirements. The suggestion is stages four and five apply Giddens' concept of systems integration by comparing systems across sites (Hardcastle, *et al.*, 2006:158). These stages are open to creativity with Georgiou, *et al.* (1996) using a behaviour setting survey (Carspecken, 1996:200) while Hardcastle, *et al.* (2006), compared theories on decision making.

To address the research questions (section 1.3), I introduced Stones, (2005) strong structuration theory (SST) to map the small-scale system within Gateway and enable the inductive emergence of theory from analysis and description to provide insight into the existing theory (Melnikovas, 2018, pp. 33–34). The inclusion of SST also provided a further original methodological contribution of the research.

4.6 Structuration Theory

Originally proposed by Giddens, (2017), Structuration Theory (ST) is a social theory of the creation and reproduction of social systems. It defines social structures as the rules and resources, or sets of transformational relations, organised as properties of social systems.

Structures are devoid of actors insofar as they have no existence beyond what actors know about the role structures play in their everyday activity (Giddens, 2017), with rules created through individuals' understanding of what should happen within a given event (Signification), their belief in what should happen (Legitimation) and what should be undertaken to achieve agreed goals (Domination) (2017:28-34).

ST seeks to address the traps in social theory of objectivism and subjectivism, allowing neither the complete subordination of agent to structure, nor the independence of agent from structure (Stones, 2005:14). As such, individuals have power to intervene, influence or refuse to act within a given situation and do so with the 'knowledgeability' of their response and that of others within their assumed identity and patterns of behaviour within a given situation.

For Giddens, agency and structure exist in a 'duality of structure'. This duality explains 'the structural properties of social systems [as] both medium and outcome of the practices they recursively organise' (Giddens, 2017:25-28). Structures only exist in social practices and memory traces of agents' practical consciousness, having no external existence, yet simultaneously enable and constrain an agent as highlighted by Jack, Steinerowski and Farmer, (2014:5) in relation to social entrepreneurs. Structure and agency are recognised for their inter-dependence as 'agency is not only shaped by structure but also that, over time, agency is able to reconstruct the structure, [because] agents continue to possess a level of freedom within the structure which enables them to modify it' (Steinerowski and Steinerowska-Streb, 2012).

To gain a better understanding of how participants experienced SI as they act with others and the social systems (Cajaiba-Santana, 2014:48) in which they are located, the approach adopted at stages four and five required the duality and interdependency of actions and structures to be recognised. I was also interested in understanding SI from the structuration

perspective in delivering social change (Cajaiba-Santana, 2014:46), within a social system comprising 'the situated activities of human agents reproduced across time and space' (Giddens, 2017:25). This suggested the inclusion of ST in the analysis could surface conditions governing the social system of Gateway and provide a promising lens to examine how the context enabled and constrained the appearance of social innovation, how social change occurred (Mair and Martí, 2006), and the dynamic between agents and social structures that lead to social change (Jack *et al.*, 2014).

4.7 Giddens's Structuration Theory was Problematic

Giddens's ST operates at the abstract level and felt problematic in its application with CQR, and empirical research in general, as it is seen as a meta theory sensitising device (Jack and Kholeif, 2007:209). As a theorist, Giddens draws ideas together from across the philosophical spectrum, creating a tapestry or interwoven concepts arranged to support the argument he is making with little justification of their use provided (Morrow and Brown, 1994). In doing so Giddens applies a minimalist approach to defining concepts in detail, and at time appropriates incomplete definitions (Turner, 1986), or provides no explanation of the nature of the relationship these concepts have to his theory which can be 'overconcerned with its own architecture ... to complete the great conceptual edifice' (Turner, 1986:975). Much is left unsaid or assumed with this "interweaving" of the various concepts of social structuring seen by some as "conflating" structure and agency (Heiskala, 2011) with neither agency nor structure treated sufficiently. Margaret Archer rejects Giddens notion of structuration completely by suggesting this conflagration of structure and agency (Mutch, 2020:2) gets to the point both disappear as structures exist only as memory traces and instantiation of practice (Stones, 2005:52).

Giddens's theory assumes 'agency and structure happen together all the time to the point that structure was eventually dropped', akin to 'waking up every morning and having a new

social structure' (Buch-Hansen, 2005:62), when in reality structures pre-exist action and are adapted as a result of actions, only to be passed on again. For some, this notion of pre-structuration is missing in Giddens theory, thus avoiding Bhaskar's contention that, 'there **was** structure; there is **now** that agency; and there **will be** the structure that this agency produces' (2005:62-63). While this may be a subtle difference, Giddens indication that change is easy to affect through changes in practice missed the impact of the weight of the historical nature of structures which, Bhaskar asserts, explains why change is, in reality, extremely difficult to make happen.

Giddens' general approach to structuration was unwieldy for this study and a more grounded application was needed. By addressing and acknowledging much of the criticism of Giddens' ST, Stones, (2005) SST seeks to rescue Giddens with a substantive and considerable development of ST (Jack and Kholeif, 2007:209). Unlike critics, Stones, (2005) sees the potential in ST's relevance to small-scale, short term empirical work (Jack and Kholeif, 2007) of the kind undertaken by this study with its focus on ontology *in-situ* (Stones, 2005:12-13; Hughes, *et al.*, 2022; Kennedy, O'Gorman, and Lee, 2021), the quadripartite model of structuration (2005:84-94), and position-practice mapping (2005:61-66).

The next section explores these three analytical concepts and how they were applied to stages four and five of CQR to reinforce the original contribution made by this research.

4.8 Stones' Strong Structuration Theory

This section is not an exploration of Stones (2005) SST, rather it focusses on three concepts: ontology *in-situ*, the quadripartite model of strong structuration, and position-practice mapping. The last two are applied as analytical tools at stages four and five of CQR (chapter 11 and 12) while ontology *in-situ* justifies the application of SST within the research.

4.8.1 Ontology in-situ

Stones, (2005), argues for ST by addressing Giddens's critics and shifting the analytical focus from the abstract ontology in-general to '*ontology in-situ*' (2005:12-13). By adopting ontology '*in-situ*', Stones rejects 'ontology-in-general' completely to focus on real situations and contexts (2005 75:76) in making ST empirically meaningful (Jack and Kholeif, 2007:210).

Ontology *in-situ* operates at the "meso-Level" of analysis with researchers analysing action and structure in relative terms with attention paid to positionality and reflexivity on a 'restricted number of germane points on the historical and geographical landscape' (2005:82). This allowed an examination of the working groups, Gateway, or UOW as part of an organisation, a department, or even as the HE sector (Jack and Kholeif, 2007:212). This meso-level analysis bridged the abstract and concrete details allowing analysis of structure and agency on a sliding scale in which agents are located (Kholeif and Jack, 2019:68), with Hughes, *et al.*, (2022) considering SST to be relevant in analysing the specificity and scale of the practices found in a case study traced across a 'field of practice' (2021:3).

SST has been applied in numerous studies across health, (Chan *et al.*, 2010; Hughes *et al.*, 2022) accountancy, (Jack and Kholeif, 2007; Coad *et al.*, 2016; Coad *et al.*, 2015; Kholeif and Jack, 2019), management research (Kennedy *et al.*, 2021), e-mobility (Upham and Gathen, 2021), and equity market transactions (Lee and Manochin, 2021), however, no study was identified applying it to SI research as part of CQR. The ability to utilise SST *in-situ* offered a convincing argument for inclusion at stages four and five to understand social actors' relationships and their knowledge of their context (Lee and Manochin, 2021:6) through the 'quadripartite nature' of agency and structure encompassing active agency, external structures, internal structures, and outcomes (2005:84 cited in Lee and Manochin, 2021).

4.8.2 The Quadripartite model of Strong Structuration

SST recognises the existence of social structures as ‘material or physical conditions or levers’ and ‘memory traces’ within agents themselves (2005:22), reintroducing the notion that external structures exist as both internal and external phenomena. SST considers how values and knowledge possessed by both individual and organisational actors are influenced by external structures, and how they influence actions in particular social situations by taking hermeneutic interpretive frames of actors seriously as they mediate perceptions of reality (Greenhalgh, *et al.*, 2014).

Stones’ presents the *in-situ* structures as a quadripartite model of structuration (2005:84) which is bracketed within the context of the position-practice relations (Section 4.11.3) of the agent in focus (Fig 4.3).

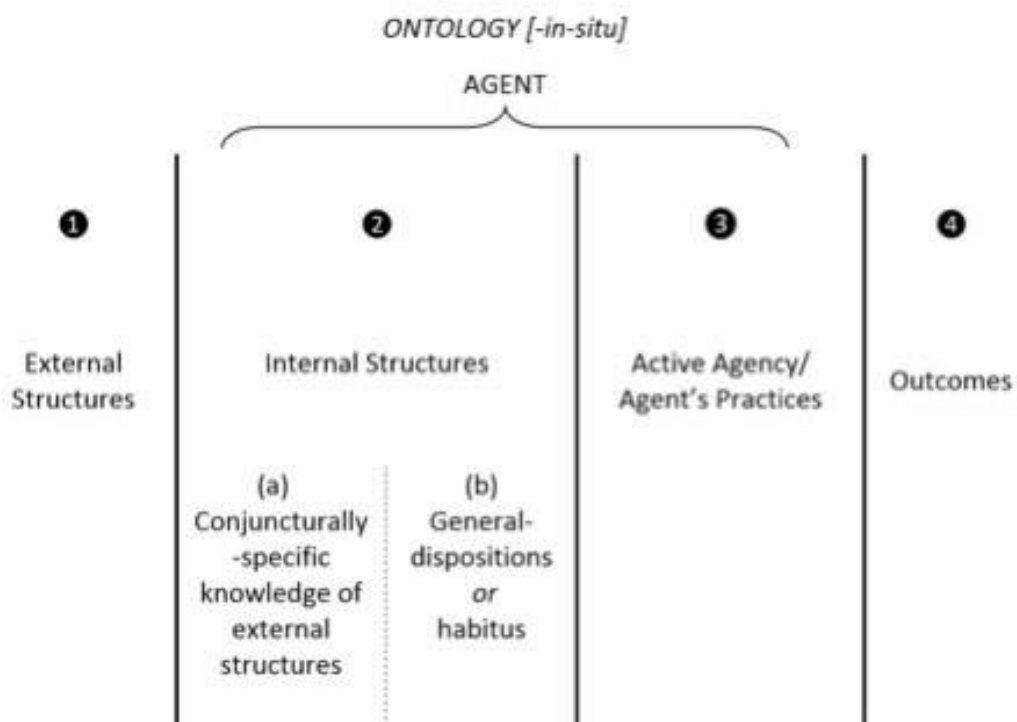


Fig 4.3 Stones' Quadripartite nature of Structuration taken from Stones 2005:85

The four elements of SST comprise:

- External structures:** - existing autonomously from the agent... some cannot be changed (independent structures) and some, where despite agents belief they cannot be changed, they can be resisted (Stones 2005:111) (irresistible structures). They include 'the network of others that surround the agent-in-focus' with 'the division of social structures into internal and external structures provid[ing] further means to analyse how structures enable and constrain' (Daff and Parker, 2021:5).

- **Internal structures:** - those resident in human agents (2005:85), which are never free-floating but embedded in contextual fields in which they operate *in-situ* (Stones and Jack, 2016:1149), comprising two components,
 - a. **Conjunctually-specific knowledge:** - actor's knowledge and understanding of their immediate and wider context (Upham and Gathen, 2021:452) based on their interpretation of their "positional role" in the environment and guided by their interpretation of various rules and normative expectations of the collective (Schwandt and Szabla, 2013:10).
 - b. **General dispositions:** - or habitus (Kennedy, *et al.*, 2021:6), include taken-for-granted skills and dispositions "encompassing generalized worldviews, cultural schemata, classifications, typified recipes of action, deep binary frameworks of signification, habits of speech and gestures, and methodologies for adapting this generalized knowledge to a range of particular practices in particular locations in time and space (2005:87-89 cited in Schwandt and Szabla, 2013:11) which 'are to amenable to change' (Greenhalgh and Stones, 2010:1288).
- **Active agency:** - how agents draw upon internal structures either routinely and pre-reflectively, strategically, or critically (2005:85).
- **Outcomes:** - including the effects of 'actions and interactions on both external and internal structures and other kinds of outcome' (2005:85)

SST emphasises the methodological bracketing of institutional analysis (Jack and Kholeif, 2007:213), allows a fine-grain analysis of actors *in-situ* (Schwandt and Szabla, 2013), an exploration of agents' internal structures, and rigorous empirical exploration of fine-grained human interactions (Heiskala, 2011). The application requires hermeneutic and structural analysis focussing in detail on events over a prolonged period or across tracts of space that can demonstrate the relationship between one to the other, identifiably a relation of structuration (Stones, 2005:81-82).

Quadripartite SST was used in this study in a similar way to Jack and Kholeif, (2007) in identifying internal structures of the agents in focus, including their perceptions of the external terrain, and their position within the network of others in which they are situated. The external structures were identified to understand actions and, both intended and unintended outcomes to identify the extent to which structures were modified or endured (2007:215). The complexity of the task required a serious delimiting of the focus of attention and a restriction on the number of germane points across the research period (2005:82) focussing on the actions of one working group, and the experience of three participants, Graham, Chelsea, and Tiffany across four pivotal action points (chapter 12) across the SI process (chapter seven).

SST's quadripartite model provided a mechanism to map structural changes through action over time, demonstrating structuration and providing a well-argued ontology and epistemological practice upon which to build the stage four and five analysis. With no precedent for using SST in SI research, or as part of CQR, allowed experimentation and flexibility to address the research aim and objective, and is an original methodological contribution (section 1.4).

4.8.3 Position Practice Relations Analysis

The final SST analytical tool applied to stages four and five was position-practice relations analysis (PRA). Stones' concept of position-practice relates to a social position, with associated identity, and practice within a network of social relations (Greenhalgh and Stones, 2010:1288) allowing the agent-in-focus to be understood within that network of others surrounding them (Daff and Parker, 2021:13). External structures mediate through position-practice relations including asymmetric power relations, institutional infrastructures, and reciprocities (Greenhalgh and Stones, 2010:1288) that can change through active agency. Once mapped, the agent-in-focus is located within the network of 'others' inside, and outside, the zone of study impacting on outcomes (Jack and Kholeif, 2007:213). Position-practice relations direct the research towards the meso level area of focus (2005:83), providing the contextualised frame for *in-situ* studies (:83), where agents' conduct, and understanding of context, can be analysed (Mutiganda and Järvinen, 2021:85).

A position-practice map was undertaken at the start of the research (T1) to identify networks and contextual location of the area-of-focus for the study. This was undertaken by assessing the preliminary reconstruction and understanding of the team dynamics from an insider perspective. I also used journal submissions to identify power relations across the department and beyond to enhance my prior knowledge and challenge my assumptions. The T1 position-practice relations map is provided in section 11.3.3.

A T2 map was created from the accumulated PHA and stories of the participants (section 12.5.2). T1 was then compared with T2 identifying changes in position-practice relations, the area in focus, and assessing whether there was evidence of changes in the power-relations across the team required to fulfil the definition of SI adopted for the study (section 3.9).

4.9 Summary of CQR as Applied to the Research

SST enhanced Carspecken (1996) CQR by providing a rigorous framework for analysis (Dawson *et al.* 2021:1861), situating findings within sociological theories, and providing a broader understanding of influences in the culture in UOW (2021:1861). As an analytical tool, PHA provided deep insights that created participant stories and identified themes that could be analysed to understand the SI process and link findings back to theory.

Chapter 11 and 12 expand on how Stone's SST was applied to stages four and five to analyse systems relations and relate findings back to modify theory. The use of CQR, with the addition of SST at stages four and five, therefore offered a methodology with the potential to address the research objective of prioritising participants' voice to understand their experience of a SI process (section 1.3). In addition, the use of CQR, and the addition of SST at stages four and five represent two original methodological contributions of this research the outcome of which contributes the original contributions to theory and practice outlined in section 1.4.

Table 4.4 summarises each stage of CQR, the data collected at each stage, and the methods applied to this research.

Stage	Description	Data Collection	Methods and Analysis Type
1	Build a primary record 'What's going on'	Non-participant observations, field notes, personal reflections, publicly governance committee documentation, policy and academic literature, web content, financial information, artefacts from SI process	Cultural reconstruction
2	Preliminary Reconstructive Analysis	My journal, artefacts produced through participant workshop,	Collaborative cultural reconstruction, rough coding, coded and themes developed and refined
3	Dialogic data generation, collaborative emic stage	Participant journals, semi structured interviews, (transcripts and recordings), my journal	Cultural reconstruction (emic) pragmatic horizons, hermeneutic cycle, storytelling, ethnography
4 & 5	Conducting Systems Analysis	Ethnographic storytelling, Stones' strong structuration, Cajaiba-Santana SI model	Antifoundational, systems analysis, linking stories to theory

Table 4.4 the application of CQR's five stages in the research.

To conclude the chapter, the next section outlines how data was used, the hermeneutic nature of the research, and the approach taken to writing up the final text.

4.10 Use of Data

Across all stages of CQR, the quantity of data produced became overwhelming requiring decisions on what to include for the purpose of this thesis to be taken.

The SI process outlined in chapter seven concluded the introduction of a new employability award would be the most significant innovation to develop, as it impacted across Gateway. I therefore decided to focus on events related to the events of the employability award working group (section 7.6).

Over the period of the research April, Margaret, Michael, and Melissa left UOW withdrawing their journal data, however Margaret and Michael permitted interview data to

be used to support ongoing analysis. While this made data more manageable, my ability to discover system relations by examining the original three working groups as related sites for analysis was limited. Initially, the relational analysis intended to focus on the three participants and their position-practice *vis a vis* the 'others' outside the area in focus to identify commonalities in terms of scale or relative degrees (Stones, 2005:77-78). However, wider changes at UOW in preparation for NW began to overlap with the working group's activities, blurring the micro, meso, and macro level experiences to extended beyond the participants into the macro environment of UOW. As analysis progressed, participants became representations of experiences beyond themselves, pointing to possible experiences of 'others' at UOW going through the macro-SI process of NW and offering an alternative relational point of reference. This is explored further in chapter five.

4.11 Hermeneutic Cycle

Hermeneutics is the process of creating interpretive meaning, or *verstehen* (Boell and Cecez-Kecmanovic, 2010:132) through a cyclical process where individual parts are understood by understanding of the whole which itself is changed by understanding the parts. The hermeneutic cycle reflected 'the ongoing attentive, circular movement between the part and whole as understanding became more complete' (Suddick *et al.*, 2020:3), raising awareness and understanding of participants and phenomena involved in developing the analysis and final work (2020:12). This involved continual movement between parts and whole, cultures and individuals, history and texts as new data, insights, and meaning given to actions emerged (O'Reilly, 2012:55).

A hermeneutic approach was used across all stages of CQR developing inferred meanings from social situations and actions (Carspecken, 1996:99-103). While Carspecken provides detailed description on how hermeneutics is applied to CQR (:98-120), he suggests the researcher should only be aware of the hermeneutic nature and components of interpreting

meaning, rather than applying the circle and component parts as a road map to reconstruction. I required a form of road map to guide the research, and while open ended, I restricted analysis to two cycles at stage two and three of CQR. A further cycle was concluded at stages four and five which took place during the writing up phase to provide further enhancement of the individual stories in the thesis which in turn created the finished document as illustrated in fig 4.4.

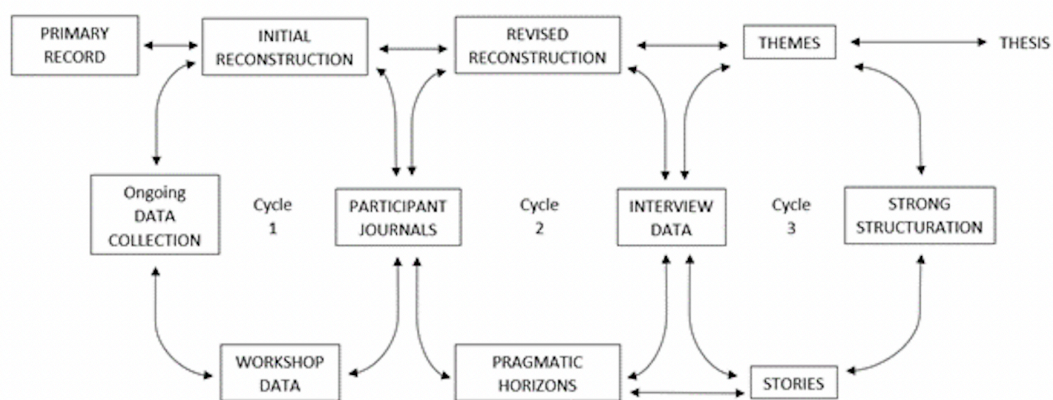


Fig 4.4 The hermeneutic analysis process applied to the analysis of data

4.12 Writing up

Finally, the thesis is written as an ethnography. Being ethnographic is embodied in the writing process which started with ‘writing down’ field notes utilising rich text and descriptive narrative describing the field and what happened in it, (Madden, 2017:115–135), (chapters one to ten). The analysis, or ‘writing out data’ (2017:137-158) required a continuous process of organising, writing, questioning, and emersion in the data across all stages of CQR (chapter eight and 12).

Finally, 'writing up' required reflexivity (section 5.2) to continuously interpret 'what was' and 'what could be' while making judgements about the stories and style in which the story are told (2017:155-171) (chapters eight to 13). Being ethnographic had no fixed boundaries as field notes transformed into analysis then stories and back again as new data came forward and analysis enhanced previous insights.

I decided to write the ethnography 'tell a good story' (Richardson, 1990:11-28) with the process of writing, and rewriting, central to what I did (O'Reilly, 2012:212). Writing did not come easy but clarified what was thought or understood by participants as they communicated important events and I decided how to present this within the text (O'Reilly, 2012:208). Being true to the participants experience was the key principle underpinning the research, informing the decisions taken in presenting the text, the application of ethics (chapter six), and the assurance of validity given to the reader (chapter five), and of the research findings.

4.13 Methodology Summary

This chapter has presented a justification for the adoption of Carspecken, (1996) five stage CQR methodology, and the inclusion of Stones (2005) SST at stages four and five as the original methodological contributions of the research. The chapter has identified CQR as a critical methodology, and presented the methods applied at each stage and decisions taken in applying each stage.

I have presented a detailed account of the methodology to enable the reader to trust in the text and the process undertaken in producing it. This issue of validity is explored further in the next chapter.

Chapter 5 Validity

5.1 Introduction

Carspecken provides a unique account of validity checks for qualitative research, based on the work of Habermas (Holmes, *et al* 2011:152), in great detail for each stage of CQR, however with stages four and five left to the creativity of the researcher, additional checks were considered to accommodate SST. This chapter builds on the guidance provided by Carspecken (1996) to outline additional validity checks adopted for the research.

Carspecken (1996) employs Habermas' pragmatist consensus theory of truth claims as the basis of validity (Carspecken, 1996:56; Holmes, Colin A; Smyth, 2011:147) requiring validity conditions in the form of validity horizons (2011:149) to win consensus (1996:56). Truth is culturally bound, fallible, and open to being overturned as future historical or cultural experiences reshape what is known (1996:56). Truth claims are limited by universal forms of human experience and conditions to win consensus (1996:56-57), requiring a critical epistemology focussed on examining validity conditions associated with truth claims to understand participants and their experiences, rather than claim a final truth (1996:57).

The Chapter begins with an exploration of the role of reflexivity (section 5.2) positionality (section 5.3) and participation (section 5.4) as tools adopted to ensure a valid ethnography. Sections 5.5 to 5.7 discuss the validity of the stories produced in the thesis, with section 5.8 outlining the importance of writing and writing strategies.

Despite these validity checks it will ultimately be the reader who will judge these matters, the aim of this chapter is to assist the reader reach their judgement.

5.2 Reflexivity

CQR fails to acknowledge the role of reflexivity in addressing researcher bias and power with Vandenberg & Hall, (2011:28-30) suggesting the incorporation of reflexivity at each stage could improve the quality of CQR and insider research (Teusner, 2016). Cajaiba-Santana, (2014) acknowledges reflexivity as a key element of a structuration approach to SI and like McCabe & Holmes, (2014), reflexive practice was introduced to this research through participant journals, stage three and four analysis, and writing up stages.

Practicing reflexivity was a crucial strategy (Finefter-Rosenbluh, 2017b:1) that constantly challenged me and participants as we came to terms with who we are, our multiple identities, and our fluid selves in the university setting (Lincoln, Lynham and Guba, 2018:14). The focus was on exposing relationships across the team, UOW, and the positions taken to interpretate meaning (Bouten-Pinto, 2016:138). Reflexivity became the intentional process of contemplation aimed at recognising differentness, generating new knowledge during the research encounter (Enosh and Ben-Ari, 2016:579-582). The practice aimed to enhance research quality by making researchers' bias clear and related to context (Barrett, Kajamaa and Johnston, 2020:11). The insider nature of the research made this important as a lack of reflexivity evident in other organisational ethnographic studies in social purpose organisations (Mauksch *et al.*, 2017) indicated.

Reflexivity enabled participants to acknowledge their presence and characterise their role through a continual internal dialogue and critical self-reflection (Finefter-Rosenbluh, 2017:2) in their journals. This process enabled me to understand my beliefs and values during the research process (Vandenberg and Hall, 2011:29), as I engage in an explicit, self-aware analysis of my role (Fry, *et al.*, 2017), something reflected in the journals of other participants. The quality of insights from the insider-research was improved (Finefter-Rosenbluh, 2017b:2) as I, and other participants became aware of the tensions within our

understanding of our positions and roles as thresholds of understanding became clearer (Burns, 2012:268).

Reflexivity went beyond navel gazing (Madden, 2017:21-23), acknowledging 'the field' was produced through interaction and intersubjective learning. The field was not an ontological given, challenging assumption of ethnographic certainty and authority (Biswal, 2021, pp.1–2). I recognised the research was not undertaken free from the influence of the wider UOW context, requiring data analysis that paid due regard of that context (McCabe and Holmes, 2014:4). My initial intention to include an autoethnographic 'me' became inappropriate, as the more I came to know myself, my influence over the research, and the department, the more important the participants and prioritising the creation of their reliable representation or theory about them, became. The autoethnographic me will still come out in some future article.

As a discipline, reflexivity confronted Madden (2017: 21) every stage of the research influencing my relationships with participants, and the decision I took, but it did not come easily. I found I could not merely manage reflexivity as a task but needed to embrace it as a way of being in the research process and practice (2017:21). Being reflexive involved thinking about what I read, what I wrote, and how it was written, acknowledging I was part of the world being studied, (O'Reilly, 2012:213–224). Reflexivity at stages three and four enabled an assessment of my feelings and relationship with the data and to focus on important issues for the participants (Hagues, 2021:440–441).

5.3 Positionality

I am a white male in his early 50s with over 20 years' experience as a SI practitioner. I took up the role as head of Gateway after being the university's social entrepreneur in residence for 5 years. Since 2001, I have been involved in policy making at local, regional, and national

levels, working overseas with the British Council and Ashoka U on a range of initiatives proselytising SI. I approach SI from my experiences as a co-operative and social enterprise practitioner, reflecting my commitment to collaboration, solidarity, and challenge to hegemony in the pursuit of social justice.

My positionality could, in part, be described as reflexive (Bourke, 2014:1), however moved beyond the process of self-reflection as I acknowledged the power, privileges, and bias participants and I had as we challenged the power structures surrounding us (Powell, 2021:4). As the research progressed, I became aware of many political dilemmas contained in relationships with, and between, the Gateway team and participants, with these biases built into the research process (Humphrey, 2013). While insider research was appropriate (section 4.4.1) I was motivated by a personal and professional ambition to progress at UOW and to validate my career in SI.

The dilemmas faced were unpredictable at the outset, requiring consideration as risks to participants emerged (Moore, 2012), including: -

- the nature of my communication with the department to engage participants,
- the nature of my relationship with participants and non-participants,
- the safeguards needed to provide assurance to the department,
- and being prepared to shift my relationship with SI.

I could also not detach myself from what was happening at UOW, decisions taken by the working groups (chapters eight to ten), or my past experiences. These considerations went to the heart of the research ethics, with the ethics committee holding back approval because they judged my authority, closeness to SI, and my relationship with the participants posed too great an ethical risk (chapter six). The tensions between my multiple identities, required me to “make meaning from various aspects of [my] identity ...” (Bourke, 2014:1;

Kezar, 2002:96) and influence the research, hung over my decision making in the initial stages (chapter six) and confined me and the research too much.

These multiple identities included being a researcher, student, a manager within the university, head of the department, a team member, occasionally occupying multiple positions simultaneously within any interaction, event, or decision taken. I also considered the impact these would have on my relationship with my supervisors, who also occupied insider/outsider roles that influenced their professional engagement with me, my team, and blurred their engagement with me as a student.

Finally, my position was privileged within the research, being the only participant with access to all research sites across the department and beyond. I had direct communication with senior managers at UOW through line manager briefings, 1-2-1s with my manager, the vice chancellor, and all data produced by participants. This privileged access enabled me to utilise stage one methods to create a comprehensive preliminary record of 'what was going on' beyond the experiences of participants and to tell the stories from multiple perspectives and with the inclusion of information missing from participant accounts.

Understanding the positionality of participants was accommodated in the journaling process where narratives presented as internal discussions with ever shifting 'others' from multiple positions within the events being described. When these journals were analysed using pragmatic horizon analysis (section 4.5.6) a fourth dimension of analysis was added identifying participants' positions within the events, informing subjective meaning fields cognisant of the relationships between individuals and context.

5.4 Participation

Adopting a collaborative SI definition, in section 3.9, emphasised the intentional nature of SI, requiring a participative research approach requiring a dual approach to participation. Firstly, the SI process was designed by the whole department (chapter seven), but not everyone wanted to participate in the research, requiring a participatory research model involving some of the members of the department to be adopted.

Participation engaged others in deciding what was important both for Gateway, and the research, and the mitigation of my power and influence as an insider with authority. Participation can subvert power relationships by drawing on untapped resources across the team to create transformative power and change (Kasl and Yorks, 2002; Pisano, Lange, and Berger, 2015a). Participatory approaches also acknowledged positive interpretations of power, empowering subordinate individuals to be heard, an idea central to the structuration approach to SI (Kindon *et al.*, 2007).

Participation is not without criticism, with its inherent goodness and purity obscuring the possibility it may obscure the centralising of my power 'in creating a feel-good experience ... through behind the scenes stage management' (Kapoor, 2005:1207). My managerial hand in the SI process could have manipulated, exerted undue influence, and distracted from the focus on collective actions, leading me to limit my role as a participant in the SI process at the design and objective setting stages, (chapter seven). Responsibility for the ongoing delivery of the SI process was delegated to working groups led by a member of Gateway with an appointed champion for each group, further limiting my influence.

My role within the research was more overt as the project related to my PhD, with me limiting participation a small number of areas including the agreeing of ethics, data collection methods, analysis, and member checking processes. These points of participation

maximised the potential of engagement throughout the process (Pain & Francis, 2003), and limit my bias over decisions taken. The following sections outline the areas of research participation in more detail.

5.4.1 Participation in the research project

The participative nature of the research could not be articulated as a single cohesive methodology, (Bergold & Thomas, 2012) rather a set of fundamental principles applied to ensure participation. These included: -

- The permanence of democracy within the process,
- the creation of 'safe space' so participants could be open and honest without fear of reprisals,
- A defined community from which participants were recruited with clear procedures for recruitment,
- A clear outline of the areas in which participation would happen.

5.4.2 Democracy

The democratic nature of the participation was fostered by creating safe spaces in which participants could discuss and share ideas and thoughts. Participants shaped many research decisions including ethical principles, the design and use of methods (chapter six), and prioritising themes at stages one, two, and three (section 4.5).

5.4.3 Safe Space

Processes were put in place to provide assurance the research would not impact on participants' employment status or be used in any form employment related process (section 6.5.1).

Safe space was created in three ways.

1. Assurances provided about the relationship between the research and employment status,
2. The research was positioned outside working hours utilising personal email accounts, and out of hours meetings in informal settings,
3. The use of journals to recording events, reflections, and reflexive practice.

Journals became the space where participants recorded reflections, and arguments, they were unable to share out loud with their colleagues. Participants explored their multiple identities intertwined with the multiple identities of the 'others' in a more open, honest, and direct way within the journals rather than physical in the workplace. The safe space of the journals enabled the rationalising of meaning, critical thinking, self-understanding, and reflection (Schuessler & Byrd, 2012), and is explored further in section 6.7.

5.4.4 Defined Community and Involvement

Participants were recruited from Gateway with all staff members invited to be involved. Nine individuals agreed to participate including April, Bethany, Chelsea, Graham, Margaret, Melissa, Michael, Tiffany, and Veronica (chapter two).

Individuals who declined gave valid reasons relating to the level of commitment, personal commitments, and lack of time, expressing no hostility towards the proposal, and stating their support.

Of those participating throughout the research process, five had been recruited over the previous 18 months as part of restructures and replacements for vacant posts, these were Bethany, Graham, Melissa, Michael, Margaret. I had previously worked with six participants in my previous roles both within and outside UOW. These included April, Chelsea, Graham, Margaret, Michael, and Tiffany.

I was pleased with the number of participants but disappointed the group lacked careers and employability team representation (section 2.3.5), excluding their voices directly from the research and limiting the findings to a small group rather than the whole department. This issue would remain throughout the research but became less of a consideration as the representations in the stories of participants developed (section 5.6).

5.4.5 Areas of Participation

The participative elements were limited to stages one to three of the CQR process, and included:

- Verifying the preliminary reconstruction, (section 4.5.3).
- The design, use, and application of data collection methods (section 4.5.4).
- Agreeing on ethics principles and procedures (chapter six)
- Confirming the analysis and themes at different stages of the research.

Participation in data analysis was limited to agreeing rough coding, meaning fields, and pragmatic horizons (section 4.5.6). Each participant was provided with a copy of their 'story'

for approval (chapters eight, nine, and ten) as a way of validating the representation created by my deeper analysis through the hermeneutic circles (section 4.10). Finally, participants took part in my transfer viva presentation and attended the final wrap up meeting at which the key themes and potential outcome were discussed.

Having discussed reflexivity, positionality, and participation as three tools applied to address questions of rigour and validity of the research the next section explores the approach adopted to provide the reader with trust in the text.

5.5 Trusting the Story

The thesis is written as an ethnography to ‘tell a good story’ (Richardson, 1990) presented in several parts and on several levels. Central, is the story of the research process, the approach, and decisions taken to produce the text. Through this story, the stories of Graham, Chelsea, and Tiffany as participants, the SI process, and my story as a SI practitioner, leader in HE, and an apprentice researcher are represented. Through the processes of writing and reading, these representations expand to become the stories of others working at the UOW as they participate in the intentional collaborative SI process that leads to the relocation of UOW to NW. In the text these multiple narratives intertwine to become inseparable and interdependent, requiring trust in the individual elements so the whole can be judged a valid account, recognising the elements lack meaning without trust in the whole.

I wanted to tell the stories of those who participated using ‘descriptions [that] must remain close to the concrete reality of events but at the same time reveal general features of human social life’ (Hammersley, 1990:5) providing the reader with enough information to judge for themselves and challenge the findings (O’Reilly, 2012:227).

Producing a 'theoretical description... raise[d] difficult issues' as ethnographic description 'cannot be theories, but all descriptions are theoretical in the sense that they employ concepts and theories' (Hammersley, 1990:598) in telling the stories of participant experiences. The representations required theoretical underpinning to deliver multiple perspectives of phenomenon pieced together into a social structure, identifying universal principles. The description is 'by its very nature ... theoretical, for it is actually constituted in and through talk, talk that is reflexively related to the events of which it is a 'description' (Stanley, 1990:625). To validate this, chapters one to six clearly set out the methodology, methods, and how the research process was 'guided by an explicit or established set of philosophic assumptions in the form of one of the [CQR] qualitative methodology' (Jamali, 2018:206), with its prescribed validity checks.

This approach aims to assure the reader they can trust in the process producing this ethnographic story to the standard of a PhD while telling a good story of the participants and UOW.

5.6 The Crisis of Representation -Beyond Validity

Ethnography is criticised for its lack of validity when assessed against scientific research standards with pressure to apply rigorous enquiry associated with the hard sciences (Erickson, 2018:52-58). CQR address this criticism by presenting a structured, theoretically grounded methodology with procedures for validity built into each stage based on managerial, auditable processes of validity (N. Denzin and Lincoln, 2018:5) but failed to account for the flexibility and adaptability the framework offers which is further undermined by the pragmatic use of theory by Carspecken (chapter four). Delivering on my commitment to provide a true and honest representation of participant experience required moving beyond CQR procedures and to consider the status of the stories presented and the text itself.

I was initially uncomfortable with CQR due to the way Carspecken glossed over and cherry picked multiple theoretical positions and concepts to create the CQR framework. This criticism was also levelled at structuration theory (Archer, 1982; Mouzelis, 1991) adding unease that theoretical inconsistencies could undermine the methodology and the validity of the resulting text.

Auditable processes were included to address many of these concerns, including obtaining testimonials and member checks at various stages (Georgiou *et al.*, 1996; Georgiou & Carspecken, 2002; Holmes, Colin A; Smyth, 2011; Smyth & Holmes, 2005; Stewart & Usher, 2007). However, I realised my approach to the research and SI also drew from many strands of theory, literature, and knowledge, knitted together in the text in a way that was clear and defensible. I, like Carspecken, became a bricoleur, pragmatically applying methodology, theory, and interpretation to produce a 'pieced together set of representations... fitted into the specifics of a complex situation' (N. Denzin and Lincoln, 2018:11).

Like other ethnographic texts, this one recognises the crisis of representation and the impact this has on claims for the faithful and trustworthy representations they contain (Given, 2008; N. Denzin and Lincoln, 2018; Hammersley and Atkinson, 2019b:210). This questions the authority of my privileged gaze and authorial voice as I make casual reference to the *verstehen* approach presented as understanding instead of representation (Given, 2008:2). The text presented as participant representations is open and 'messy', presented through the lens of an 'I', sometimes overtly but often as the invisible hand steering the text away from realist approaches to writing ethnography (Madden, 2017; Hammersley and Atkinson, 2019b:210).

The result is the text, presented in chapters eight to ten, is unbounded by paradigms but represent perspectives, blended to overcome the lack of theoretical consensus on SI, CQR, and SST, and the 'wicked problem' (Kolko, 2012; Lönngren & van Poeck, 2021) requiring SI.

There is an 'I', always aware of history and how it shaped decisions at every stage of the research process. The resultant bricolage gives voice to participants in a 'performance text' constructed 'of a sequence of representations connecting the parts to the whole' (N. Denzin and Lincoln, 2018:12) neither of which exists without the other.

The emic perspective in the final text is valuable in dealing with validity (O'Reilly, 2012:226–227), as what started as a problematic insider's perspective, (section 4.4.1) gained through prolonged engagement and collaborative co-construction ultimately enhanced the validity of the study (section 6.7), (Bidabadi, *et al.*, 2019:743). 'It [was] through the social relations of work that we ... connect[ed] apparently micro social processes with the wider political economy of contemporary capitalism' (Jordan and Yeomans, 1995:398) overcoming criticism of the casual nature of the emic references to *verstehen* (Geertz, 1973; Given, 2008).

The crisis in representation does not undermine the validity of the representations presented in the text, as they do not pretend to be the pure presence of the participants (Lather, 1993). They unlock the participant's internal possible 'selves' and in doing so merge as they became at one with each other, an extension of a collective experience mediated through me, as researcher.

The next section explores the validity of the participant stories further and their trustworthiness as representations of participant experience.

5.6.1 Reading between the lines

The stories of Graham, Chelsea, and Tiffany presented in chapters eight, nine, and ten were not the only stories that could have been told, but were chosen for their relevance, insights, and decisions taken regarding the use of data (section 4.10). The narratives

represent a sample of numerous possible interpretations of experiences, highlighting internal and external structures inhibiting individuals as they undertook a SI process. They were developed through the reflections and actions recorded in the journaling and interviews (section 4.5.4) the pragmatic horizon analysis (Section 4.5.6), and the writing process (section 4.12).

Events were selected by participants from the myriad of day-to-day interactions they experienced, judging them worthy of highlighting as research data by writing them down. Capturing these incidents made visible social sites and interaction that would otherwise have been outside of my observations, making them as important and meaningful to me as they were to participants.

The potency of these events triggered emotional responses driving pen to paper to produce accounts rich in value orientation, bias, and meaning. In some cases, extreme situations are retold exposing overwhelming feelings amplified through the act of 'writing down', reflecting meaning developed through the reflexive process, as participants discussed and argued with their multiple selves, real, and fictional others within these scenarios. The recounting of the banality of the day-to-day foregrounding the background frustrations underpinning social interactions and the structures determining the nature of these interactions.

Journal entries were rarely concurrent accounts, often written days, weeks, and on occasion months after the incident took place and after a prolonged period of reflection. The passage of time may have played tricks with memories, raising questions of the validity of what is reported, and why. However, the process also crystalised memory, making it more concentrated as 'what happened' not only encapsulated the event itself but a collection of similar events, and their consequences, to produce a complex web of emotions and meaning merged into one submission. Journal entries, which at first

appeared as date and place stamped forensic incident reports, became explications of an understanding of the world, the participants place in it, and a realisation of that world within themselves. As these reflections expanded and developed, realities broke down as they realise the imperfections within these realities, triggering a new cycle of sense making, construction, deconstruction, and reconstruction simultaneously leading me deeper and deeper into the endless possibilities of their experience.

The stories of Graham, Chelsea, and Tiffany are told using their words but are constructed through the selection and merging of multiple subjective meaning fields as outlined in section 4.5.5, PHA (section 4.5.6), and the hermeneutic cycle (section 4.11). This process depersonalised each participant in a snowstorm of multiple possible truths while remaining true representations of the essence of the person, thereby fulfilling my promise to them. While acceptance or rejection of these representation is determined through the act of reading, participants provided confirmation the results act as a true representation of their experience before they were included in the final text (fig 6.2), as part of a participatory nature and check list approach to validity.

Piecing together the multiplicity of data and potential meanings to produce the representations took detailed detective work, sifting evidence and making judgements about that evidence, while acknowledging bias, not jumping to conclusion, and following process. My position as a researcher owed much to being a detective within the process, a position explored in the next section.

5.7 An Inspector Calls

The representations are important to the validity of the research as they form the basis for the achievement of the research objective of prioritising participant voice to understand their experience is achieved (section 1.3) and the validity of the analysis at

stages four and five of CQR. Without trust in the representations produced through stage one to three, stages four and five are built on unstable foundations. It would be insufficient to rely on participant approval alone for this purpose, as it could reinforce participants privileged position over non-participant members of Gateway who lacked the opportunity to refute claims or add their point of view.

This section explores the potential of the stories to bring the 'others' in, extending the representations beyond the individual participant to encompass the possible experiences of those beyond the research.

5.7.1 The Others

The representations of Graham, Chelsea, and Tiffany are complex reconstructions based on prior experiences, knowledge, and the normative beliefs of participants drawn together in moments where an individual's personal and professional selves merge in the act of writing and reading. Presented as monologues the journal entries transform into dialogues with a cast of many, articulating the cut and thrust of interactions, insights into participants' lives, and their perceptions of the 'others' recounted in the stories. These 'others' were part of the performance (Hamera, 2018); the chorus line, always on stage, talking amongst themselves in "rhubarb" whispers, unheard unless their voices were projected through the lead characters. Ever present, they created the essence of the scene, the foil against which participants riposte, and the backdrop onto which actions were projected. Without their ghostly presence, the scene would be a one-person show presented as opinion and angst with the world, with their absence ensuring there can 'never be a last definitive word only a penultimate one' (2018:361).

Acknowledging the 'other' gave events deeper complexity, moving the narratives beyond mere reportage by engaging the unspeaking, unidentified, mediated "other" in a process

creating potential meaning for those involved. Cast members became the focus of individual criticism, anger, and frustration against which the scene was at first constructed then deconstructed only to be put back together again. The 'why' in the journals were emotional responses to the 'other' rationalised in statements of belief as participants' views were justified against the 'others' wrongness. The actions of the 'other' pulled the trigger eliciting the journal response to accusations of failing to "*get it*" or their unacceptable withholding of power that would ultimately lead to the failure of an endeavour. These 'others' were always in the wrong, even when subsequently this wrongness became the justification for participants' actions. They were unreal, constructions of the isolated things participants wanted to expose in the 'other', making them different but also recognisable as the things participants disliked about themselves. The position of the 'others' within the department was made clear, and the impact of their action resonated as, just like Eva Smith, the actions of the few had consequences we would not normally be aware of (Priestley, 2009).

5.7.2 Gould, Goole, or Ghoul?

Like Priestley's Inspector Goole, I am present in every scene, eliciting information, making assertions about intentions, and directing the narrative based on my own beliefs and values. These values, and critical orientation, play with the representations as I draw out multiple possible meanings, safe in possession of privileged information I have about the entire cast.

I created connections no one else saw, drew together disparate plots and subplots, refined, and redefined meaning. In the role of omnipotent super ego (van Maanen, 2011:51), the construction and combining of meaning fields in the pragmatic horizon analysis were within my gift, opening a portal for me to become a main player even though my specific tale is missing. I am present in every word chosen in the text, the focus

of the analysis, with participants' stories created through the patchwork embodiment of my story.

The text is, therefore, not just a representation of participant experience, but my experience, Gateway's experience, and possibly your experience. It critiques my practice, my position, my passion for SI, and in doing so points to new possibilities for how I can inform SI practice (section 1.4). The 'others', reflexively constructed by participants, act to transform me as a practitioner, a leader, and a human being as I came to realise the connectedness and betweenness of our experience is where personal change takes place.

5.7.3 Eva? Daisy? Alice? Or Mrs Birling?

Gerald 'Any particular reason why I shouldn't see this girl's photography inspector? ...

Inspector Yes... it's the way I like to go to work. One person and one line of enquiry at a time. Otherwise, there's a muddle' (Priestley, 2009: Act One).

This scene from Priestley's (2009) *An Inspector Calls*, has Eva Smith's photograph shared with individuals on the assumption it is the same image presented to all, as the reality of her story resonates differently with all those who see a face they associate with Eva. The representations of Graham, Chelsea, and Tiffany are the result of multiple possibilities, histories, and experiences coming together in the text, but I make no claim they will be the same picture for each reader. While their visage is asserted, the characters emerge with each reader creating them in the image of their own experience. We come to recognise these individuals by different names, drawing from prior interactions with the many Grahams, Chelseas, and Tiffanys we have personally encountered, personifying attitudes, emotions, and situations experienced differently as we engage with text.

The legitimacy of these representations is contained in how they have been constructed, conveying the essence of the direction of truth. They do not conceal the truth, rather they are not presented as copies of original experiences or individual participants, but 'foreground radical unknowability, [making] the invisible ...intelligible via objects that are about nonobjecthood' (Lather, 1993:677). In this post-positivist moment (N Denzin and Lincoln, 2018:6), requiring more than an audit trail to satisfy the scientific method, the validity of the text becomes the conditions of the legitimation of knowledge (1993:673) gained by engagement with the participants through their representations. The collaged identities, possible beliefs, and subjective meanings come together as a true representation of the experiences as validated in the data. The processes undertaken by participants to produce representations of diverse discourses, and the events encountered, not only represents their view of the world, but also makes visible competing ideas shaping practice and questioning the structures and institutions dictating social relations. These emerge in the interplay between the data, the writer, the text, and the verstehen of the reader as experiences are recounted.

We get to know Graham, Chelsea, and Tiffany in the text as 'You', as 'We', as 'I' in the same moment we understand them as 'uno, nessuno e centomila' (Pirandello, Luigi, 2018). Their complexity created through multiple experiences that are real within the idea of the individual while never pointing to a real identity or a definitive reality. The reader becomes the judge of the idea of Graham, Chelsea, and Tiffany with the legitimacy of the representations resulting from the recognition of them as us and us as them.

As any early career researcher, I found developing the representations of the people with whom I work problematic, as I struggled with written language that lacked transparency as a form of communication (Hammersley M & Atkinson, 2019a:198) but wanted to try and develop myself by prioritising their experience. The preceding chapters were approached to present my journey through this no man's land of doubt, confusion, and search for terra

firma upon which to build by laying out the building blocks I put in place to demonstrate validity conditions have been met. In creating representations of Graham, Chelsea, and Tiffany I realised the language I have at my disposal may be insufficient to produce what I intended, and I am at the mercy of the reader to recognise the text as a 'failure to represent what it points towards but can never reach' (Lather, 1993:667) and to read between the lines, to believe in something so that the multiple Eva Smiths within this text have not gone through this experience in vain.

So far, I have explored the role of the CQR framework to provide validity requirements on process and outcome, the role of the participants in selecting, generating, and confirming validity, my role as the researcher and producer of the text, and the reader's role in co-producing validity through their relationship with the text. The next section looks at the importance of writing as a way of enhancing validity which, when combined with the other elements, completes my assurance.

5.8 Writing as Validity

Ethnography depends on the written word and writing strategies to engage the reader empathetically to fill in gaps and connect with situations, emotions, and social processes they may not have been aware of, to generate new insights (Walford, 2009:279). The writing process captured my personality and predispositions creating meaning by balancing the presentation of fact, a duty of care to the data, and the development of a persuasive description (Madden, 2017:169–170) faithful to participants, and UOW. The success of the texts lies in its ability to demonstrate the development of tested ideas, modified, or extended (Hammersley M and Atkinson, 2019a:203) through a rigorous process to contribute robustly useful knowledge (Denzin and Lincoln, 2018:15).

I committed thoroughly and carefully to undertaking ethnographic work, presenting information to enable readers to judge for themselves and challenge the findings while addressing personal biases and prejudices (Hammersley, 1998) cited in (O'Reilly, 2012:227). Here concepts such as credibility, conformability, dependability, and transferability ensured validity, reliability, and rigour of a study (Bidabadi *et al.*, 2019:742; Georgiou & Carspecken, 2002:699) were located. The verification of data and making it available to support, and within, the ethnography was important to enabling the reader can assess these conditions for themselves (Pool, 2017:282).

As I have argued, validity is represented in the trustworthiness of texts where the use of thick description, triangulation, member checking of findings and reflexive practice were used (Dennis, 2009; Schwartz-Shea & Yanow, 2009:58-63) to earn the trust of the reader. Ultimately, the only credible judges are those who belong 'there' as competent members of the setting under review engaged by a sense of 'being there' within and between the lines of the text and their experience (Stanley, 1990:623-624). I endeavoured to present the text credibly and authentically to capture that fact that the four of us were there and the reader is collaboratively taken there to grasp the intricacies of life in the Petri dish that was UOW (Cunliffe, 2010:231).

I have avoided a preoccupation of storytelling that moves away from a focus on social action and the dramas of everyday life, so the empirically grounded nature of ethnography is not undermined (N. K. Denzin & Lincoln, 2018:15; Snow & Morrill, 1995). Explicit statements of my values permeate the text together with clarity of purpose, relevance of the research, and the findings, enabling an assessment of validity by others thus avoiding the text being hijacked by ideology (Hammersley, 1990:609).

I apply an impressionistic rhetorical structure combined with matter-of-fact portrayals of events, and the confessional story telling of the participants (Creswell, 2013:192). This

schema of realist, confessional, and impressionistic structures (Van Maanen, 2011) overlaps the demarcation between the structures I used as there is considerable overlap evident in the text. This creates a structure where the chapters outlining the research process are presented in a realist narrative, striving to tell the objective story of what happened and how events unfolded through the research process. In those sections the principles of marshalling evidence, managing objectivity, alongside interpretive authority, and overt theoretical framing (Madden, 2017:167) are applied (Kincheloe *et al.*, 2018). The inclusion of a methodology chapter within the realist element was designed to demonstrate rigour and a systematic approach to all stages of the research process.

Alongside presenting the research process, I have a responsibility to participants to honour their work and tell their stories by giving them a voice in the final thesis. The inclusion of these stories as confessional representations in chapters eight, nine, and ten affords this opportunity. These sections are written as first-person narratives in present tense (O'Reilly, 2012) to provide insight into events, with annotations presenting reference back to participants' direct comments and pragmatic horizons from where meanings are taken. These annotations are explained in the section 8.1, connecting stories back to data and ensuring they are told from the participants' point of view to 'engage the reader in [their] lives and experiences' (Madden, 2017:168).

The writing of this ethnography has not been easy and at times has almost beaten me. I am sure I have a way to go to perfect the craft but, I hope I have produced something that demonstrates I am on that journey.

5.9 Summary

This chapter has explored how I approached the issue of validity beyond the validity requirements of CQR to accommodate the modifications I made to the methodology and

the inclusion of Stones (2005) SST at stages four and five of CQR. Validity in a scientific sense was addressed through the adoption of CQR with the practice of reflexivity, positionality, and the inclusion of a participatory approach with member checks periodically through the research meeting Carspecken's (1996) requirements. The adoption of a robust theory, SST, at stages four and five reinforced the empirical grounding and acknowledged a good ethnography does need theory to drive it (Wilson & Chaddha, 2009:562).

However, qualitative research requires attention to generating a critical conversation about the tools and methods of oppression and discrimination (Spooner, 2018:896), which is messy, ideological, and constrained by positivist approaches to validity. The difficulties of representing reality through the data collection, analysis, writing up, and the spaces between the text and the reader mean I do not pretend the representations of the participants are a statement of reality beyond being real to those involved. I contend this does not invalidate the thesis but applies a validity through which legitimation depends on my ability to explore the resources available to free up the present for new forms of thought and practice to emerge (Lather, 1993:676). My success in doing so lays with others for now.

Having fully explored methodology, methods, and the issues of validity, the next chapter explores the ethical issues encountered during the research and how these were approached.

Chapter 6 Ethics

6.1 Introduction

Carspecken (1996) suggests no additional ethical implications of CQR beyond the requirements for other forms of qualitative research. This chapter outlines the approach adopted for this participative, qualitative, ethnographic research within the organisation in which I worked, UOW.

Obtaining ethics approval proved difficult, with my position as an insider researcher utilising a participatory approach to SI (chapter seven), and the research (chapter four), concerned the ethics committee as it exercised its role as protector of research subjects at the expense of facilitators (Guillemin *et al.*, 2012; Janssens *et al.*, 2020). The committee felt the participatory nature of my proposal had a high risk for the potential coercion against subordinate colleagues (Herr and Anderson, 2015:2; Parsell *et al.*, 2014) even though, as a doctoral student, my power to direct how the research unfolded was limited (Herr and Anderson, 2015:151). My position at UOW was also problematic for the committee who, I was informed, saw me as a troublemaker without any indication why this would be the case. I accept some of the difficulty could be explained by my early naivety of the potential ethical implications of my proposal, however, my repeated failure to gain approval, to allow discussion, consultation, or to offer support on issues that were not clear cut undermined my confidence at the start of the research.

I was an employee of UOW, contracted to fulfil my job description as a head of Gateway, requiring me, as a researcher, to always consider the implications for how power dynamics manifested and evolved through the research process (Gaztambide-Fernández and Howard, 2012). Being a participant-observer, performing my job role, had the potential for me to

have greater impact on the research than an outsider, but the insider-outsider dichotomy proved to be a continuum with multiple dimensions (Mercer, 2007:1-6), making it possible for me to undertake ethical insider research (Hockey, 1993:204). Protections were needed to ensure the power I had over subordinate team members was not misused (Coghlan and Brannick, 2014:155), however my insiderness offered benefits as well as difficulties (Mercer, 2007:6).

Traditional research methodology textbooks tended to gloss over the intricacies of insider research (Coghlan and Brannick, 2014; Trowler, 2016; Creswell, 2013; Norman K. Denzin and Lincoln, 2018; Bryman, 2016), with my experience affirming a lack of support for researchers in my position as I navigated the 'hidden ethical and methodological dilemmas of insiderness' (Labaree, 2016:109). Approval was received on my fifth submission after incorporating advice from colleagues in the Collaborative Action Research Network (CARN) who shared similar stories of difficulties obtaining ethics approval.

The impact of the ethics approval process was considerable, initially leading me to create a straitjacket of self-imposed rules and processes focussed more on satisfying work colleagues, on the ethics committee, than for their appropriateness for the research. The importance of negotiating workable solutions, embracing the messiness the ethics committee could not deal with, and adopting the principle 'that ethical responsibility in qualitative research is an ongoing process' even though it does not ensure ethical research (Orb, *et al.*, 2001:96), underpinned the approach I finally adopted.

Despite the initial frustrating encounter with the ethics committee, they have proved to be a helpful critical friend, provided ongoing support throughout my PhD. The chair has provided support in informing changes required to address dilemmas as they have arisen. The relationship has changed from me being a troublemaker, to one where the committee

is interested in learning from my experience to improve their understanding of the issues insiders, in my situation, face.

The following sections explain how solutions to ethical dilemmas were negotiated, and the impact these decisions had on the research.

6.2 Dearly Beloved ...we were gathered there together...

The room in which we met for the inaugural participant meeting was my favourite room at UOW, located at the Tiger's Street campus (section 2.3). The building was where hard scientific subjects including engineering, computing, and the natural sciences co-existed alongside performing arts, fine art, and other creative subjects, and this room had an air of eccentricity I found intriguing.

An eclectic array of books and manuscripts of past PhDs were scattered across the shelves lining two walls of the room. This abandoned archive reflected the campus' diverse subject mix, with the lack of order reflective of the neglect and a lack of pride in how we now presented ourselves on matters unrelated to NW. Along the third wall was an ornate cabinet filled with long forgotten papers by authors since retired, relating to meetings no one remembers, but containing decisions requiring our continuing compliance. Trophies and shields presented in recognition of past success and gifts from overseas visitors since departed were scattered amongst the papers.

In front of the cabinet, a headmaster's desk tried, unsuccessfully, to dominate the room. The desk was solid and dependable, with a structural quality that exuded authority, an authority confirmed by the piles of important, disordered, papers and files strewn across its top. The desk drew the eye as you entered, fighting with the surroundings to be the focal point of your attention. An imposing leather wing back chair, positioned behind the desk,

left you in no doubt about the importance of the individual who occupied the space during working hours. Whoever this important person was, they appeared overstretched by the expectation of their role and in need of a good assistant.

The final wall was an expanse of windows overlooking the busy Tiger Street below. The bare boughs of the trees lining the pavement outside made the streetlight flicker as they bent in the wind. Raindrops hit the windows like hailstones as the latest bus pulled up to take students home at the end of their day. Oak panelling displayed exquisite medullary rays, proclaiming a stately authenticity within the timber merchants' elite product range, dominated the décor. The fusty smell of dampness and high ceiling complete the scene of a library from an Agatha Christie novel, as participants sat around awaiting the big reveal.

6.3 Ethics did not Follow the Script

We sat around a large boardroom table the function which was to stop the headmaster's desk looking ridiculously out of place in such a large room. I had been planning this meeting for several weeks but faced with people I knew, and worked with, I had a feeling of vulnerability and discomfort.

Ten of us were present, April, Bethany, Chelsea, Graham, Margaret, Melissa, Michael, Tiffany, Veronica, and me. It struck me that this lump of wood, around which we sat, must have witnessed many difficult conversations, chit chat, or inane meeting, and I wanted our meeting to be different. Much of the ethical proposal presented was designed to meet a tick-list of ethics committee's requirements to protect UOW and overprotect the participants (Guillemin *et al.*, 2012). I had been guided by the Ethics Guideline for Educational Research (Gipps and Simons, 2011) and the European Commission Research Ethics in Ethnography/ Anthropology (Iphofen, 2013). In addition, UOW's ethics committee code (University of Willowick Ethics Board, 2016), and relevant ethics literature

(Hammersley and Traianou, 2012a; Bryman, 2016; Coghlan and Brannick, 2014; Creswell, 2013) had been incorporated to develop the proposal I was presenting. Collectively this guidance treated ethics as resolvable through careful, and considered, application of processes and procedures designed to do no harm (Hammersley M and Atkinson, 2019a:213-214).

My expectation was that we would leave this meeting much clearer and assured about the rules and safeguards I planned to establish, but as I outlined the safeguards for anonymity Bethany, my senior Job Shop recruiter (section 2.13), had a different view. *“If I'm going to say something I want to put my name to it not hide behind being anonymous... I'll tell you exactly how it is”*

Since my appointment as head of Gateway, my participants had never been afraid to tell me exactly what they thought, but this time Bethany stopped me in my tracks. The guidance had not prepared me for this, and it was the first moment I felt myself relax as part of the group rather than being the boss, and PhD student, grateful for their participation and overthinking the entire process.

Research anonymity was a difficult dilemma for me and may not necessarily be achieved successfully (Hammersley and Traianou, 2012:127) and here was Bethany saying she didn't have a problem with their name being known. This display of rebellious intent sparked discussion, with the meeting taking on a life of its own. I struggled to capture everything said, with participants demanding ownership of decisions rather than being told what would happen as they dissected and reconstructed my proposals, gaining collective agreement on what was acceptable to them. We acknowledged some issues were either currently unimportant or required greater understanding before we could decide what to do, but that was ok, for now. The weeks I sweated to produce the cast iron proposal the ethics

committee demanded felt wasted, as I experienced a lesson in collaborating with work colleagues in research.

The outcome of the meeting was not what I expected, with participants agreeing to revisit and negotiate decisions on ethics as new situations arose rather than impose complex arrangements, they felt unnecessary (O'Reilly, 2012:58). This pragmatic approach became increasingly important as we gained greater understanding of the implications of the decisions taken and the complexity of protecting autonomy, wellbeing, safety, and ensuring the dignity of all participants, non-participant members of Gateway, and myself (Iphofen, 2013:11).

That night turned into an ideal speech situation where I willingly relinquished the unilateral control a professional researchers traditionally maintains over the research process. This did not mean that I accepted every proposal put forward by participants (Whyte, W 1991:241 cited 2013:55-56), retaining a wider perspective, ensuring the whole department were protected not just participants.

Ethical codes usefully framed the discussion on how protections prioritised participants, then me, and finally the field of study in that order, (Madden, 2017:88). The following sections outline the decisions taken by participants that evening and the decisions I would subsequently take to provide additional assurances as the research progressed.

6.4 Informed consent

Initially, informed consent appeared uncontentious, requiring the provision of information, making potential participants aware of what would happen, and providing time and space to deal with their concerns and questions. However, I had little idea how the research would unfold, the events participants would encounter, or the potential impact on them

(Hammersley M and Atkinson, 2019a:218). My critical value orientation (appendix B) explicitly stated I was setting out to affect change not just describe it, to understand how SI creates new products and services and new power relation to enhance Gateway's capacity to act simultaneously (section 1.3). This could lead to individuals experiencing a change in status, affecting their sense of value within Gateway, and cause harm in some way. Whether informed consent was achievable across the entire research period was doubtful, requiring a commitment to transparency and providing as much information as possible at every stage of the research process.

As the research progressed, dilemmas requiring further consent would emerge and a constant reaffirming of the voluntary nature of participation, which could be withdrawn at any time.

6.5 One Voluntary is Worth 10 Pressed Recruits

All Gateway staff were invited to participate in the research through the process of informed consent. I emailed every member of the department explaining I was undertaking a PhD, inviting them to a meeting at which I would explain, in detail, all aspects of the research.

An information sheet was provided and discussed at the meeting, (appendix H) with consent forms (appendix I) issued seven days later to allow a cooling off period to consider their decision. Colleagues requiring further clarification were offered a follow up 1-2-1 meeting. I received signed consent forms from all team members indicating their choice all of which were retained electronically, password protected.

Despite differing motivations for working at UOW, all colleagues cared about students and sought an environment in which they could fulfil this commitment. I needed to be sure this

commitment was harnessed but was not used as a lever for me to coerce them into participating. Providing safety valves was a priority in reassuring staff their decision to be involved, or not, would not impact on their employment. I also needed to ensure the SI and research processes were not immobilised because of such considerations (Brydon-Miller and Greenwood, 2006:125).

6.5.1 The safety values

“...you know what? Out of all the managers I support, you don’t half come up with the most peculiar questions... and they are never simple, I’ll have to think about it and get back to you....”

I worked closely with my Human Resource (HR) business partner for over two years as we managed the restructures and staffing issues I inherited (chapter two). She was good at managing me within process but was also creative in providing solutions to issues that arose. We had met on a number of occasions to discuss the proposed research to ensure it did not cause HR issues or breach any internal code hidden in the labyrinth of the staff intranet. The changes at UOW were causing considerable staff concern as each communication elicited a sigh of further uncertainty. This uncertainty may have led Gateway staff to feel compelled to volunteer for fear their employment would be in doubt if they did not participate.

Assurance was needed based on the principle of ‘no detriment’ (van der Waal, 2009:37) beyond Gateway. I had previously met the Trades Union branch secretary who agreed to provide access to Union support for members of Gateway as a fall-back position if they felt unable to resolve concerns with me, or through UOW, or felt pressured in any way. However, I did not want anyone to get to that position, staff needed to trust me, the process, and their relationship to the research (Iphofen, 2013,14) and UOW. HR’s

involvement was a strategy to mitigate coercion, demonstrate care, and develop trust with the team as I gained access to the field.

My business partner wrote to all team members advising HR's approval for me to undertake the research. The communication stressed any decision to be involved in the research was a personal matter outside of their employment contract. To reinforce this, participation in meetings and other activities related their participation would be deemed to be in an employee's personal time, outside the working day, and beyond the jurisdiction of UOW's policies. The business partner offered a communication channel for team members if they felt unable to raise questions, queries, or concerns with me or the chair of ethics, or felt I had caused them harm in some way.

These safety valves offered meaningful protection for all staff in the department, whether they participated or not in the research, including me. They addressed the danger of one group being perceived as favoured over another through participation (Gipps and Simons, 2011:7), and respected the vulnerability team members were already experiencing as we went through an uncertain period due to NW (Iphofen, 2013:52–57).

My thoughts now turned to the issues sparking Bethany to take control of the meeting, anonymity, and confidentiality.

6.6 Anonymity and Confidentiality

I never understood why the issues of anonymity and confidentiality triggered Bethany's into life, and the group into animated conversation. That night of the meeting, participants were relaxed about the issue of anonymity, as they saw it as simply putting their name to the journals (section 4.5.4). As the research progressed their view changed as the interconnected implications of anonymity and confidentiality (Roth and von Unger, 2018)

began to surface, requiring a reconsideration of Bethany's initial response (O'Reilly, 2012:68–69). This section outlines the arrangements agreed to address these ethical dilemmas despite knowing I could not fully guarantee participant anonymity (Roth and von Unger, 2018).

6.6.1 Anonymity

The participants were only comfortable in waiving anonymity at the data capture stage of the research. They wanted to send journals to me via email and did not want to set up new personal email accounts, making it impossible not to attribute entries to individuals, which was explicit in Bethany's comment. However, identification of individuals in the final text, or papers produced from the research, was not acceptable to participants and required a more detailed arrangement.

This qualitative research could not offer participants true anonymity (Roth and von Unger, 2018:2) as the context of the research, the events reported, and the connection back to the me, could lead any reader to identify the identity of UOW, Gateway, and individual participants. The insider nature of the research adds to the difficulty especially when the reader can work out who the individuals are or worse get that wrong (Merriam and Tisdell, 2016:264). To obscure participants' identities to audiences that should not have access to private information, or could do harm by using such information, (Hammersley and Traianou, 2012b:127) each participant was asked to choose a pseudonym, avoiding any inference of attachment to their personality traits for the final text (Hammersley M and Atkinson, 2019a:228).

The pseudonyms were further elaborated by participants providing a description of their assumed persona, presented as an avatar, through which their story was to be told. These became the representations of experience presented in chapters eight to ten as neither true

or false (Ong and Jin, 2016:231), but both true and false of participant experiences as the real becomes unreal and participants hide behind non-human representations (Hamera, 2018; N. Denzin and Lincoln, 2018:7) of themselves.

To avoid damaging trust by presenting these stories in a way that was not expected (Humphrey, 2013 577) the adoption of pseudonyms went further to include renaming the department, university, and location of the university. All documents used in the text, referencing the name of the university, have been renamed with web addresses, publication details, and names of authors changes in the text and in the reference library. Footnotes have been included to indicate where references have been amended for ethics reasons. Each story included in the final text has been approved in writing by the participant concerned, ensuring the representation, and level of anonymity afforded, is satisfactory. Each participant confirmed their identity was sufficiently obscure, that they understood the possibility someone could identify them if they tried hard enough, and they were happy for the stories to be included in the text (see figs 6.1 and 6.2).

The story of UOW could be the story of any university at that time, but the unique situation faced at UOW raised national and international interest. This could lead to the identification of the location, especially by someone with knowledge of the higher education sector or an Inspector who will not rest until the truth is revealed. Overall, I did not believe disclosure of the true identity of the university added value to the research, with institutional anonymity providing participants protections despite these difficulties (Iphofen, 2013:43).

Participant

Following previous emails regarding your story in my PhD text, I wanted to forward the very final draft. This is not significantly different from the previous version you approved, however there are some changes in layout and edits for you to review.

One issue that remains is that of anonymity.

In the consent form, there was a commitment to undertaking everything possible to secure your anonymity. We agreed a pseudonym and avatar for your character, and through the data analysis I have created a persona which I hope carries the essence of you but could be that of any individual. You previously confirmed you recognised this in the story you read and were content from that perspective.

However, despite all these safeguards there remains the possibility that an individual who was so inclined could get to the point where you may be identifiable. This is particularly the case as I have not changed your job title or the nature of the work the department does. Changing these could add an additional layer of obscurity but would cause a couple of problems, which are not insurmountable.

1/ the nature of the work the department does is central to the problem the working groups were set up to deal with, and the reason for the department's existence. By removing reference to the purpose, role of the department, and your job title, the application of social innovation would be to an undefined problem which may weaken the text.

2/ despite adding this additional layer of obscurity, an individual so possessed could still identify you. There is, ultimately no guarantee of full anonymity.

Despite these difficulties, if you would be happier for me to apply an additional layer I will. From an ethics perspective, I shall be grateful if you will confirm the following

1. Are you happy for the attached story to be used without any further safeguards on anonymity being put in place?
2. If not, what additional safeguards would you like me to put in place?
3. If not, do you want me to withdraw your story from the text?

If you have any concerns at all I am happy to meet and discuss, as I want you to be comfortable in what is produced.

BW

Me

Fig 6.1 Email text to participants attaching the final story contained in the text, seeking confirmation on anonymity

From: Tiffany <Tiffany@willowick.ac.uk>
Sent: 01 March 2022 13:08
To: <me@willowick.ac.uk>
Subject: RE: Your story in the PhD ethics query

Hi You

Thanks for the update, read it again, like the new section headings. So interesting to see how things have moved on since we were doing our journals but also from when I read the first draft.

Happy for it to be used without any further safeguards on anonymity being put in place.

Kind regards

From: Graham <Graham@willowick.ac.uk>
Sent: 25 February 2022 12:51
To: You<You@willowick.ac.uk>
Subject: RE: Ethics query on your story for your approval

Hi You

Thanks for the update

I'm entirely happy for my story stay as it currently is. There would be far too much change needed to secure anonymity and could devalue the work.

By making no changes it may also help people who read it understand just a few of the challenges we face

Best wishes
Graham

Graham
Head of Careers & Employability
University of Willowick

From: Chelsea <chelsea@willowick.ac.uk>
Sent: 21 January 2022 09:38
To: you<You@willowick.ac.uk>
Subject: Re: story

Morning you,

In answer to your questions, yes I can definitely see myself in what you've written, but also yes I'm happy that I'm hidden enough. I think anyone who knows our team would be able to work out that Chelsea is me just from the context of what it's talking about, but that doesn't bother me. Not sure if that answers your question or not but that's what I thought as I was reading.

Honestly I finished reading it thinking well it just shows that you know me, even given the room for interpretation and everything it's a pretty fair representation of who I am and how I felt at the time.

I really didn't know what to expect, but I really enjoyed reading it! Very much looking forward to reading the whole thing and seeing how you've put it all together 😊

Fig 6.2 Emails from participants confirming they are happy with the approach to anonymity

The approach to anonymity was agreed with participants and included the use of pseudonyms, adoption of avatars, approval of representations, and the use of writing strategies (section 5.8). Underpinning the agreement was an acknowledgement that anonymity could not be guaranteed and constantly reappraised as the research progressed, everything was done to provide participants this assurance.

6.6.2 Confidentiality

Confidentiality is a form of secrecy involving controlling rather than publishing information, affording little protection to the researcher if access to information is legally demanded (Hammersley and Traianou, 2012b:121-123). The issue of confidentiality therefore overlaps with anonymity and cannot be guaranteed.

Assurance of confidentiality was agreed to extend to protecting access to data through adhering to GDPR requirements and disguising data by using codes and protocols to avoid revealing an individual's participation and identity (Roth and von Unger, 2018:8). All data was kept securely, password protected, and with pseudonyms kept confidential. Transcripts and audio files were password protected and retained in UOW's secure document store, with file names unattributed to individuals. Audio files were transcribed by me with a copy provided to the relevant participant to amend and approve. Final drafts of stories, appearing in the text, were provided to participants before the text was written up with participants permitted to amend texts, they felt misrepresented or identified them in anyway, with sections rewritten in collaboration with the participant when necessary.

Finally, agreement was reached on the acknowledgement of participants when the research would be disseminated, with all participants wanting to be informed, required to provide further consent, and, if they wished, be acknowledged, or included as joint authors.

Having outlined how the ethical dilemmas of anonymity and confidentiality would be addressed in the research, the next section looks at the one dilemma never satisfactorily addressed, and the significant impact it had on the delivery of the research, the role of journals.

6.7 Pssst.... I want to tell you a story!

At this point in the meeting, I realised I was now the minutes secretary, noting every decision made by the enthusiastic group. There were gaps in my knowledge on ethics, which meant I could not answer all the questions raised and, rather than imparting incomplete information, the group agreed to acknowledge these gaps rather than explore them publicly at this time which would have led to information overload (Ron, 2013:34).

One area not considered was the privileged access participants had to me through their journals. This would become an important issue soon after the meeting, requiring ethics decisions that impacted the study and my relationship with participants. I felt I could not consult participants about the dilemmas raised without undermining research data, forcing me to choose between my management responsibilities, my ethical commitment to participants, and my commitment to the wider team, which is explored in the next section.

6.7.1 The not so Cryptic Clues

On receipt of the first journal submissions, I found myself questioning what I was being told and why. Participants provided rich information I was grateful to receive but, which had the potential to undermine my relationship with the department and change the direction of the research.

The adoption of journaling provided a direct communication link between me, the researcher, and participants but also between me as the head of department and participants as work colleagues. This privileged access provided a way for events and actions of other team members, without the same access, to be reported, raising important ethical questions and consideration of the interests of others beyond those of participants (van der Waal, 2009:37).

Journal entries were highly selective as it was impossible to write down everything that happened (Hammersley M and Atkinson, 2019b:156), providing valuable research insights into interactions outside my observation. They also raised questions of identity and how these submissions should be read, as they highlighted problems and interactions in the workplace that a boss should have acted upon to resolve, if they had witnessed the event. I was only witnessing the events through the selective reports of participants and was unsure whether to intervene. The process of SI (chapter seven) was designed by the whole department, so access to this privileged information, and acting upon it, questioned my influence and role which could have undermined the process and the stories of the participants I wanted to foreground in this research. Acting upon information I would not normally have access to would add an additional variable that could undermine the findings.

The journals had the power to affect all aspects of the research, and the question of who, and how they would be affected, became a key consideration (Coghlan and Brannick, 2014:148). Journal submissions questioned motivations and whether individuals were freely participating based on the information I had provided to obtain informed consent, or because the preferential access it afforded them (Coghlan and Brannick, 2014:155) provided an opportunity to influence others. The status of the journal at stage two and three of CQR was problematic, requiring me to balance my role as a researcher and a manager, the participants as researchers and employees, and the interests of the research against the greater interests of Gateway.

The issue is demonstrated in the example in fig 6.3, taken from Tiffany's first submission of 12th January 2017.

6.7.2 The Challenge of Journals

It's reasonable to sometimes forget something - I get that, however once you have been made aware of the fact that you had forgotten, surely that should prompt you into some sort of action. All I witnessed today was inertia and disinterest. Should it be ok to assume that the person on the rota will deal with something that they've had nothing to do with? Is it a case of out of sight out of mind? I fear that this does seem to be the general mindset that is prevalent at the moment. That and give me the glory but none of the work.

Fig 6.3 Extract from Tiffany's Journal Entry 12th January 2017 paragraphs 2-3

Tiffany highlights important issues about team members time-management, their work, and their responsibility for their roles. She brings to my researcher attention significant insights related to her relationship with the team, an understanding of her views of the culture of Gateway, and the resentment she feels towards individuals getting credit for things without putting work in. She projects a feeling of being put upon. A sense of inequity permeates the questions she demands answers for. She has been asked to sort out someone else's mistake and do a job that she hasn't been involved with, safe in the knowledge that other people will not learn from the experience and take the glory.

Key is 'out of sight out of mind' as by writing about the incident, Tiffany has made the invisible visible, bringing the event to my attention and demonstrating the situation has meaning for her, leading to my researcher and manager self being conflicted in how to use this information.

As a manager the journal raised managerial and staff development issues that would normally be addressed, if brought to my attention outside the research. More than that, I could not ignore these issues once brought to my attention as they affected the running of Gateway. However, I only have access because of the research and acting upon this information would, potentially, be inappropriate. How would my actions be received? What damage would be done to trust across the team when the way the information came to me was discovered? How would my actions influence the research and the outcome of the SI process, and did that matter? How aware was Tiffany of the priority access she had to me? and was she using it to bring my attention to incidences she considered injustices, so that I acted?

The dangers of taking no action were just as significant. Ignoring events could lead to participants watering down submissions. They could judge the submission of journals as pointless, either disengaging or writing about things that may not be as thoughtful or insightful or lead to a similar breakdown of trust between me and participants. I decided to rely on the safety valve provided by HR and the requirement the research was not part of the workplace, deciding not to read journal entries until the end of the data collection process. Stage three of CQR (section 4.5.4), required journals to be used to enhance themes and discussion points for further dialogical analysis, but this was no longer possible. This was not ideal as I expected to analyse data on an ongoing basis as outlined in Carspecken (1996), but the conflicted status of the journal data made it necessary to restrict the incorporation of this dialogical data.

This decision was not communicated to participants and represented a minor deception I felt was justified to maintain trust and ensure the research process would not produce political outcomes for those participating (Iphofen, 2013:34; Coghlan and Brannick, 2014: 160). In my day-to-day interactions with participants, if I were asked what I thought of a particular journal entry I would either say 'I hadn't read it yet' or 'there was a lot in there

what were their thoughts?' this triggered reflective conversations more appropriate for the boss-colleague relationship, enabling me to deal with the issues raised in the journals, not as quickly as participants expected, but in a way permitting me to act on information provided as part of my role.

This decision was not without its consequences. Tiffany and Chelsea exhibited a growing frustration with some of my inaction on issues raised which came to a head in their interviews. They could not understand why some things had not been addressed despite me knowing about the issues, and confirmed they were, at times, writing to me as their boss. They saw journals as cries for help, seeking guidance from someone they had relied on in the past who had always been open and transparent with them, something journaling and their new roles (chapters nine and ten) had taken away.

This issue is the most significant example of the ethical dilemmas encountered, the majority of which were resolved collaboratively. However, as the lead researcher this decision needed to be taken by me alone with the wider Gateway team, the research, and institution to consider.

6.8 The Night Draws to a Close

As that inaugural meeting ended, we had clear agreement on many of the areas the codes of ethics said we needed to address. This would not be the last time we met to talk through ethical dilemmas, but the team had been a lot more pragmatic than I allowed myself to be. I planned the meeting to last an hour, but it had lasted three and a half hours and could have gone on longer. The twelve months of the research period would bring many problems and I had committed to doing no harm, with all participants sharing that commitment, and agreeing to address this through open dialogue.

For safety we all walk to the carpark together. The night was dark, wet, and windy and was set to stay that way according to the weather app. In the car on the way home I pondered what had happened, my mind was racing, and I had to pull over as my driving was on autopilot.

The meeting represented the final stage in the preparation for the research. In one-months' time we would be live with the research and the SI process would be fully underway. What would happen I could only guess. What would be discovered felt scary, and that feeling of vulnerability I felt earlier in the evening returned, which was odd as everything had gone better than expected. I was to realise later that it was anxiety about the journey I was on, what it would tell me about me, my practice, and what I had been passionate about for over 15 years, social innovation.

6.9 Summary

Applying Carspecken's (1996) CQR methodology to insider SI research as an original contribution required a detailed explorations of the ethical issues raised. While Carspecken (1996) offers little guidance beyond that required for all qualitative research, this chapter outlined the experience of collaboratively applying ethical codes to CQR and the need for continual negotiation.

Ethics codes provided a useful framework, with participants taking ownership of the decisions affecting them, designing solutions they agreed acceptable. Ethics was not a one-off event but a journey, requiring me to constantly reconsider my power and privilege, and my commitment to do no harm to individuals beyond the research project.

Decisions on ethics cast a shadow over the research process and possibly influenced the direction and outcome of the research. Of significance was the role of the ethics committee

at the beginning of the research process and the issues created by the journal method adopted. CQR provided flexibility in varying the application of methods and raised my awareness of ethical decision affecting the process, providing an ethics approach that was both collaborative and adaptable.

This chapter concludes the part of the thesis telling the story of the research process, the application of stages one to three of CQR, and the consideration given to validity beyond the requirements of CQR for this research, and ethics. The next chapter picks up the story of Gateway, left at the end of chapter two, presenting how the SI process was collaboratively designed and applied to implement a solution to the challenges Gateway faced (section 1.2)

Chapter 7 Designing the Process

7.1 Introduction

Having outlined Carspecken's (1996) five stage CQR and its application as an original contribution, this chapter addresses the requirement to make a clear statement of the SI process under review for the purpose of the research.

While the NW development represented a systemic change SI (Loogma 2013) (section 3.4), its size of the change across multiple levels, across multiple locations, and the environment of confidentiality surrounding the development made it impossible to gain the access required to make it an appropriate focus for a PhD study in SI.

Also, the definition of SI adopted (section 3.9) required the SI process to be an intentional and collaborative act generating good in society and enhancing society's capacity to act. While NW met this definition, intentionality did not reside within the Gateway team, and their collaboration in preparing for NW was in response to parameters set by senior leaders rather than their own volition.

A manageable SI process, owned by the Gateway team, with shared priorities, and acknowledging the influence of NW, was therefore required. Such a participative SI process required the involvement of the whole Gateway team in producing a new product or service to address the challenges Gateway faced (section 1.2), while the inclusion of Stones (2005) SST within CQR (chapter 11) required a SI focus that bracketed the study to the action-horizon of the agents *in situ* (Stones, 2005:120-123). There was no proven method to undertake this, as practitioners make such a process up as they go along based on the principles of entrepreneurship (section 3.3.2).

This chapter details the process adopted within Gateway, making the argument for SI as participatory action research based on the General Empirical Method (GEM) (Coghlan and Brannick, 2014). The process was designed to follow the stages of the end-to-end social innovation model, using tools suggested by (Caulier-Grice *et al.*, 2010), and utilising working groups to deliver the objectives determined by the whole department.

7.2 The Open Book of Social Innovation

The Open Book of Social Innovation (Caulier-Grice, *et al.*, 2010) describes a process of end-to-end cycle of SI (fig. 7.1), outlining tools and techniques to facilitate SI across each stage of the cycle. As a SI practitioner, I had used this model in my practice since and my experience suggested it was a suitable approach to the use within Gateway.

The stages of the cycle allowed experimentation with mechanisms to apply learning, enhance ideas, and refine prototypes before solutions are fully adopted. The model accepts ambiguity, the use of imperfect information, and learning through failure in new product or service development, in a cyclical process of development, learning, and redesign.

While appearing linear, the continual process of refinement and adjustment leads many ideas to remain in the 'P' stages, or dropped after two or three cycles of development, as evaluation demonstrates suboptimal performance of a proposed solution. Few ideas progress to the 'S' stages as scaling and sustaining require long-term commitment, investment, and other resources.

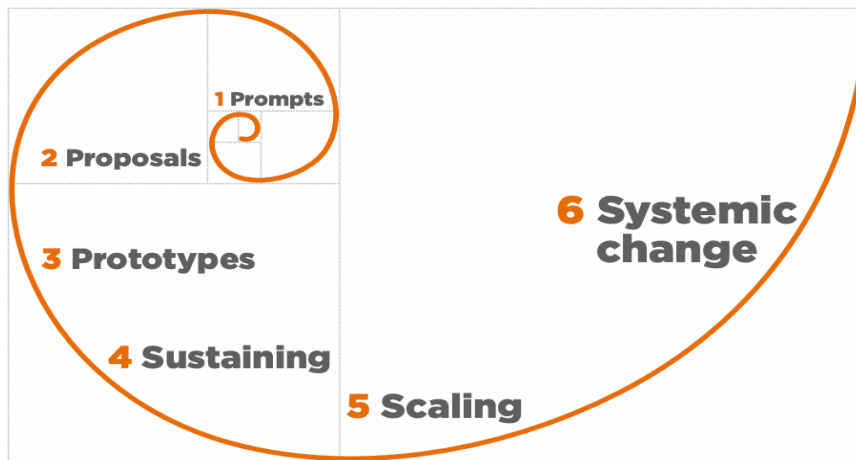


Fig. 7.1 End to End Model of Social Innovation taken from Caulier-grice et al., 2010:11

The cycle shares similarities with models of action research (section 7.3) requiring time, staff resources, and funding to be executed effectively.

I had a budget and, if the process involved the whole team, I had people, the question was whether I had the time required. The move to NW was two years away, the research period was one year, and the need to improve graduate outcomes had an 18-month deadline. Embarking on a SI approach to introduce a new product may not achieve a scalable model within these timeframes and once started, would require a longer-term commitment to adopting new ways of working, but this seemed a reasonable situation for the research to be carried out and an SI process to be used to address the challenges faced.

7.2.1 The Collaborative Application of the Open Book Process

The SI approach required collaboration across Gateway, to achieve shared goals, something that had proven difficult to achieve over the previous two years. I was also conscious the team were experiencing change fatigue brought on by the prior restructures of Gateway (chapter two) and the constant changes experienced because of NW, much of which had

failed to deliver recognisable outcomes. Applying the Caulier-Grice *et al.*, (2010) cycle required the team to be in a persistent state of developing, testing, and refining prototypes which could be uncomfortable, especially when individuals required something certain. As one team member previously confided, they stopped engaging with changes I introduced as everything would change again every few weeks, so what was the point. A view reinforced by what was happening because of NW.

Having decided to adopt the Open Book framework (Caulier-Grice *et al.*, 2010), the design of the SI process required cross departmental consent, with clear statements of process, and timelines. Outcomes needed to be defined and agreed, with 'the success of the innovation ... resting on the participation and [collaboration] of a wide variety of interests' (2010:30). Collaboration would be complex and assume multiple forms in defining problems, creating ideas, and implementing the final outcome (2010:40-48). The collaborative process had to commit to seeking consensus while avoiding the danger of being an illusion of contrived collegiality (Hargreaves, 1994; Datnow, 2011; Hargreaves and Dawe, 1990) .

Participation in a collaborative SI process would be challenging as it would confront individuals 'with complex environmental changes ... to improve continuously as a system, [with] the way they enact the change process collectively often becoming very tangible as a critical differentiator of successful and unsuccessful [organizational] change' (Lambrechts and Grieten, 2009:421). To move change beyond the reluctant implementation of what I said, the process needed to be owned by the team, with facilitation guiding the process to avoid the 'mythologising [of] the facilitator....' (Kapoor, 2005:1208) because '...human systems can only be understood and changed if one involves the members of the system in the inquiry process itself' (Brydon-Miller, *et al.*, 2003:13-14).

I, therefore, worked with Margaret, Graham, and James to enable them to design the collaborative participatory process and we agreed the process would begin at the next team

awayday on the 19th August 2016 (section 7.4). The product design would emerge from a shared understanding of the data (Caulier-Grice, *et al.*, 2010) to produce a radical, democratising transformation across the team and the way it performed (Norman K. Denzin and Lincoln, 2018). The full team meeting would be held at the Lodge, facilitated by Margaret, with an outline timeline for the introduction of a new product or service agreed (fig. 7.2), that would be adapted as the SI process got under way, but the introduction of the new product or services was set as a firm deadline as the start of the 2017-18 academic year.



Fig. 7.2 Initial project plan overview for the Social Innovation process

7.3 Action Research as a Social Innovation Method

As suggested in the previous section, the end-to-end social innovation process suggested by Caulier-Grice, *et al.* (2010) resembles a form of action research (AR), with AR also recognised as a SI tool at the Prompts, Proposals and Prototype stages (2010:20, 116, 137). This section summarises AR and its application in a participative form (PAR) as a process of SI. Attention is paid to the application of AR as a SI tool rather than research method.

7.3.1 Action Research as Social Innovation

AR can produce collaborative approaches to SI by encouraging reflective and collective problem formulation and solving (Caulier-Grice, *et al.*, 2010:20) with Estensoro, (2015) suggesting AR as a facilitator of SI, and Gleerup, *et al.*, (2019) suggesting a critical utopian form of AR can be used to articulate organisational responses to local problems and reinvigorating democracy within social organisations.

Citing (Fontan *et al.*, 2013), Estensoro, (2015:543) argues 'action research as a practical social innovation' (2015:543), facilitating and creating actionable knowledge that can inform practice (Coghlan, 2007:293), however there are few examples of AR applied as SI (Flood, 2001; Lewis D. Tacchi, J, 2003; Office for the Third Sector, 2006:58; Arthur Len, 2013; Estensoro, 2015; Sadabadi, Fehri and Fartash, 2021). Sadabadi *et al.*, (2021) commends AR as a way to empower and affect social change and learning (2021:3), with Cockshut, *et al.*, (2020) utilising AR in a university setting to assess the impact of SI in the micro creative economy. Dovey and Rembach, (2015) applied AR experimentally to innovate the

development of a university academic programme, but there was no study identified applying AR as SI within a higher education professional service department.

While the process of SI has no proven method, with practitioners making it up, adopting an AR process offered “practical solutions to the problems identified” (Gleerup, *et al.*, 2019:54), applying a multidisciplinary approach that would avoid a reductionist approach to achieving the aim of the research (2019:52). These benefits, together with the benefits of participation discussed in section 5.4, led to a Participatory Action Research (PAR) being adopted, specifically the GEM model proposed by (Coghlan and Brannick, 2014), being adopted.

7.3.2 Participatory Action Research as Method

The PAR method involved the whole Gateway team in the design of the SI process but required a framework upon which to be based. In designing the framework, I adopted the General Empirical Method (GEM) outlined by Coghlan and Brannick, (2014) (fig. 7.3) to guide the process.



Fig. 7.3 General Empirical Method taken from Coghlan and Brannick 2014:30

This model enabled a whole team approach to the development and implementation of the new product or services while providing an opportunity for research participants to engage deeper with the process. The simplicity of the four main stages of constructing, planning action, taking action, and evaluation action operated at team level, offering a clear explanation of the way the process would work. At each stage of GEM, the more detailed 'sub-cycles', of experiencing, understanding, judging, and taking action enabled participants to engage, in a deeper way, to inform the research.

At the constructing stage the Gateway team defined the projects, gathered evidence of the problem, and developed a shared understanding of the projects' deliverables. The planning stage designed how projects would be delivered, the objectives, and the agreed ways of

working, with the taking action stage seeing individuals deliver the projects through an agreed project plan. The evaluation of action would be undertaken periodically, extracting learning to construct the next PAR cycle based on what has been learnt as they progressed through the Caulier-Grice *et al.*, (2010) cycle.

7.3.3 Participant Researchers within the GEM Process of Social Innovation

The GEM model provided a mechanism for participants to authentically act in both the SI and research processes as insiders. They could reflexively explore each stage of the PAR SI process, and their interactions with other members of the team, capturing their reflections in journal entries using an ORJI framework (2014:30-35) (section 4.5.2). ORJI journaling provided a bridge between the work of the SI and the research project capturing 'how social innovation occurs [through the clarification of] why and how the relationships among the actors involved' developed and changed (Estensoro, 2015:543).

The following section outlines how each stage of GEM was applied to guide the team through the SI process, and the data produced, and how this was used to meet and inform the stages of CQR as explained in chapter four.

7.4 The Stages of the General Empirical Method: Stage 1 Construction

Margaret, Graham, James, and I agreed the construction stage would begin at the all-team meeting at the Lodge Hotel on the 19th August 2016. Construction involved the creative exploration of the problems facing the department as part of the Prompts and Proposals

phases of the end-to-end innovation model (section 7.2). Data, insights, open communication, and game playing were designed into the programme for the day, enabling the achievement of a collective understanding of the problem and range of solutions available. Margaret, and the community team (section 2.3.6), designed and facilitated the workshop conducted that day.

The Lodge Hotel was chosen because it was away from campus, enabling the team to come together away from the day-to-day demands of UOW. It was neutral ground, with no distractions, and had become the go-to place for team meetings over the last few years. Holding meetings at the Lodge provided a way of bypassing financial restrictions prohibiting the payment of lunches, Christmas parties, or other forms of 'frivolous', but really important for staff morale, entertainment on expenses. Rebadging as team 'awaydays' allowed the charging of such frivolities to UOW.

Despite the lack of SI knowledge across the team, work had been undertaken to engage them in the planning phase, preparing them to share views and perspectives, encouraging them to tell it as they saw it, question decisions and motivations, and share their opinions. In the past this had resulted in a decision-making process based on who could shout loudest or most forcefully, with a more open and collaborative way to facilitate discussion designed by Margaret and her team.

My involvement had been minimal other than providing data and information requested by Margaret, offering guidance on the facilitation, and how to apply the Open Book tools.

7.4.1 The Day Unfolded

The day was structured as outlined in fig. 7.4,

Time (approx.)	Activity	Who
8-30-9-00	Arrive- teas and coffees in the restaurant plus light breakfast	
9-15	Introduction to the day	Margaret
9-30	Speed dating (fun stuff)	Chelsea and Tiffany
10-15	Quiz the boss- (bring three questions you want the head of the department to answer to fill in gaps in your pre research)	
11-00	Break	
11-20	What does now look like- what are the problems?	James
12-30	Lunch	
1-15	Visioning- what future do we want and how do we get there	Michael
2-15	Working Afternoon tea	
2-30	Proposals- what do we need to do?	Margaret
4-00	Dotmology -What are our Priorities?	ALL
4-45	Next Steps	ALL

Fig. 7.4 Outline Agenda for the Team Meeting at the Lodge Hotel on the 19th August 2016

In the speed dating session, Margaret divided the department into five groups with each group working together for the rest of the day. The sessions were designed to: -

- understand the problems in Gateway undermining performance, and identifying and why they existed,

- generate new ideas with the potential to solve the problems within Gateway, and
- prioritise ideas to be worked into proposals at the next stage (Caulier-Grice, *et al.*, 2010: 14–29; Gray, Brown and Macanufo, 2010; Robinson, 2012).

The methods available to the facilitation team are identified in fig. 7.5, but not all were used.

Note to facilitators

Not all methods will be used on the day. We will decide which ones are appropriate as the day unfolds. It is important we all keep taking the temperature of the room to see what is working and what needs to change.

The following is an indication of the intended methods

Workshop	Name	Tools available
1	Speed Dating	<ul style="list-style-type: none"> • What three questions? • I have a secret • Let's Build a Tower
2	What does now look like	<ul style="list-style-type: none"> • Problem trees focussed on Graduate outcomes problem. • 5 whys • Fishbone analysis • Empathy Chart
3	Visioning	<ul style="list-style-type: none"> • Lego modelling • Draw a picture of what the future looks like • Represent what good looks like in any format
4	Proposals	<ul style="list-style-type: none"> • Brainstorming • Reverse brainstorming • Speed date Brainstorming • If you have £ or a £1m ideas
5	Dotmology	<ul style="list-style-type: none"> • Voting • 3 sickly dots • Ranking by team

Fig. 7.5 Tools and Techniques available to Facilitate the Workshops at the Team Meeting on the 19th August 2016.

Artefacts produced by the groups through the application of these tools are available in appendices I- M, with the following sections explaining how each of the sessions operated.

7.4.1.1 Speed dating

Each attendee was asked to think of three non-work-related questions they wanted to ask other members of the team. They were then instructed to identify two colleagues, forming a triad, and ask the questions, noting answers given. When this was done, that triad was instructed to join another triad and repeat the process. Once this was done, the 6 people were asked to sit together and form a group and work together for the rest of the day.

7.4.1.2 What Does 'Now' Look Like

Each group was asked to undertake a Problem Tree Analysis to define the problem of 'poor Graduate Outcomes', identifying root causes and consequences (Ogueri, 2018; Walubengo, Kyalo and Mulwa, 2019). The groups drew a tree on flipchart paper, writing the problem across the trunk. In the branches they were asked to identify consequences of the problem and in the roots, potential root causes (appendix J). They clustered the causes and consequences into themes, connecting the themes together to produce high-level themes and sub-themes across causes and consequences related to the problem.

A deep dive was undertaken into these themes to identify root causes using a SWOT analysis (appendix K) prioritising the causes and consequences against Gateway's capability. This approach providing the depth of analysis required by ensuring each group had a mix of

skills, knowledge, and expertise (Gangidi, 2019) and was facilitated in a fun and open manner that enabled an exploration of the possible and ensured individuals considered issues beyond their area of expertise (2019:296). The facilitation team created a buzz in the room as attendees discussed the issues in a lively and passionate way.

A small group found the exercises difficult and uncomfortable as this was not their preferred way of working. Margaret and James responded by creating a dynamic approach to the exercise moving individuals around the groups rather than staying in one group. They applied an open space approach to the discussion (Caulier-Grice, *et al.*, 2010:46) overcoming the concerns of those who struggled with the exercise by permitting them to withdraw from a group or the process if they wished.

My role was as a member of a group, designed by Margaret, including individuals who were not afraid to tell me what they thought and had voiced their objections to what had happened in Gateway over the preceding years. This enabled them to direct criticism and objections at me which were explored in a structured way, rather than dominate the discussions in other groups. This was not the 'naughty' corner and was an approach welcomed by everyone in the group. The lack of an audience beyond the group allowed me to question the assumptions they were making and widen my understanding of the issues faced to inform the primary record (section 4.5.1). The discussion was robust and professional enabling all parties to express their views in a safe way, leading to the realisation we had more in common than I thought. They were really 'on-side' and had been critical through frustration at not being provided with an opportunity to share their thoughts in the past.

7.4.1.3 Root Cause and Empathy

The root causes identified in the problem trees were synthesised into one main problem statement **'We are unable to impact on student outcomes because students do not value what we do'** (appendix L). The statement shifted the focus away from process and practices to the relationship between the department and students, to question how we could work with students to create value.

Before we moved too quickly to answers, some members of the team wanted to explore the issue from a student's perspective using empathy maps to generate student profiles (Gray *et al.*, 2010) (appendix M). Ideally this would have been undertaken with students present, however it was agreed the session would be useful and support the team to develop the technique so they could apply it further with students after the meeting (Cairns *et al.*, 2021).

The empathy maps 'synthesize[d] known information on an individual through the visualization of what he or she says, does, sees and hears' (Cairns *et al.*, 2021:143). The shift to a user perspective enabled attendees to discuss how small changes in the design of what we already did could have a big impact (Ferreira *et al.*, 2015). However, the personas created were laden with bias and lacked a true understanding of what it meant to be a student at UOW. It was agreed these initial profiles would be continually revisited and tested with students.

7.5 Proposals and Prioritisation

The group now wanted to consider solutions rather than discuss success measures for what good would look like, as they felt the measures of success for Gateway were outside our control, dictated from the top and whatever metrics were dictated by league tables.

The main tool applied was brain storming (Gray *et al.*, 2010), with importance placed on there being no analysis of ideas, nor were ideas discussed, as the objective was to generate as many ideas as possible with no idea being a bad idea. Once ideas dried up, Margaret introduced a process of speed dating where each group rotated around the tables to view, consider, and add to the ideas produced by other groups. This created discussion and connections across the groups as ideas merged as half thought through hunches collided with other hunches to form bigger ideas (Johnson, 2011).

Once all groups had rotated around every table, the ideas were combined, reviewed, and clustered to create themes for proposals to be considered for development into prototypes at the action planning stage of GEM. These clusters were given names with suggested features and benefits, characteristics, themes, and requirements attached.

7.5.1 Dotmology

The final stage was the obtaining of a collective agreement of the proposals to be taken forward as priority initiatives. Margaret facilitated a democratic process with each member of the team given sticky dots to 'vote' for their top three proposals out of the 16 adorning

the walls (appendix N). This 'dotmology' (as someone in the team decided to call it) process identified proposals that 'would be transformational' and meet the objective of increasing the value of the department's service with students. The proposals receiving the most votes would be taken forward into the action planning stage.

The proposals identified were arguably the least innovative but represented the priorities of the team (table 7.1). They were initiatives judged to have the greatest potential impact on graduate outcomes and required a different way of working if they were to address departmental challenges (section 1.2). It later transpired they also represented developments that could be easily influenced and controlled by different sections of the team, were within the comfort zone each team was prepared to operate, and had the potential to be achieved superficially if required. For me, these ideas, if implemented to their fullest, would fulfil the ambition I had for the department, provided the pitfalls leading to a superficial approach were avoided. I felt the integration of the GEM model, as the SI process, with the research could mitigate this possibility, identifying early warning signs and instigating corrective actions at review stages. This would turn out not to be the case, due to ambiguous status of the journaling as dialogical data at stage two of CQR identified in section 6.7.

My prior experience was that ideation sessions, like the one facilitated by Margaret, were imperfect in producing proposals that had longevity, application, and success, with the most successful innovations turning out to be those initially overlooked and developed further outside of an agreed process. It was therefore agreed that a further meeting would be held over the coming months to review the outcomes of the day to confirm, reshape, or reject

the agreed priority initiatives. Margaret agreed to facilitate conversations with the careers team, who had volunteered to organise and run this next team meeting, to plan how the work would be taken forward. This lack of certainty, at the end of the day, was not seen as failure of process but a natural conclusion based on the way the day had progressed.

7.6 Action Planning Stage-the Next Steps

As agreed at the Lodge, between 1st of September to 11th November 2016 a series of meetings were undertaken including a further team meeting on the 12th of October 2016 facilitated by the careers team. I was absent from these meetings except the one on the 12th of October.

Over the period, the work produced at the Lodge was refined and tested by the team. The meeting on the 12th of October took a deeper dive into the priority initiatives highlighted at the Lodge (appendix N) identifying additional requirements and confirming the four final initiatives to be developed. It was agreed working groups would be formed to take these proposals forward, with individuals volunteering for the working groups. A Project Leader was appointed for each working group, again by individuals volunteering to fulfil these roles. Project Champions were appointed from the heads of service and me, with the four priority actions and responsibilities identified in table 7.1.

Working group	Initiative	Lead	Champion
1	Redesign of the employability award	Brian	Graham
2	The integration of work readiness programme into the Unitemps	Bethany	Me
3	Introduction of Career Coaching model	Mary	James
4	The development of an online tool called Life Hack to support community engagement, social innovation, and volunteering for students	Tiffany	Margaret

Table 7.1 Initiatives agreed by the department with individual responsibilities identified

The working groups would function as autonomous self-organising groups (Rowland *et al.*, 2018) with the support of the Champion who would agree project plans, time frames, and the resources needed. They operated similar to Quality Improvement Teams (QIT) utilised in healthcare settings (Rowland *et al.*, 2018; Santana *et al.*, 2011; Mills and Weeks, 2004) so had the potential to be dysfunctional and lack impact on practice (Rowland *et al.*, 2018:421) requiring close management by the Project Leads.

7.7 The Time for Action

Working groups were authorised to implement the actions required to deliver the objectives identified by the Gateway team. My access to the groups' activities, for research purposes, was planned to be through participant journaling, except working group three where I would receive regular updates and attended meetings in my Champion role. My

involvement in the wider SI process was through senior manager meetings and 1-2-1s with heads of service.

Working groups operated between 1st December 2016 and the 31st of October 2017, covering the development, implementation, and initial launch of initiatives. A review of the GEM process was undertaken during August 2017, to plan for a repeat of the process in the following academic year. All initiatives went through at least one further cycle of development in the academic year 2017/18, with data only included in the research up to the 31st December 2017 when the data capture phase of the research ended.

7.8 Evaluating Action

The evaluation of the SI process was undertaken in two ways. First, was in the planning for business-as-usual where the process and outcomes, updated data, knowledge about NW, and learning from the process informed the planning for 2017/18 and 2018/19 academic years.

The second evaluation was through the research project. This drew together insights across the process by the journaling making visible the actions of the working groups, the way decisions were made, and the process they went through. Because of my involvement, I excluded working group three from the analysis, and due to the ethical decisions taken regarding data usage (chapter six), as Margaret, Melissa, and Michael left UOW their data was withdrawn limiting the data available from working groups two and four which were also removed from the analysis.

This left only working group one available for the research and the focus on the three participants Graham, Chelsea, and Tiffany. These decisions may have impacted on the application of CQR, as it limited my ability to discover systems relations through the examination of several related sites as required in stages four of CQR (Carspecken, 1996:195-207), discussed further in chapter 15.

7.9 Reflections

My initial reaction to the day at the Lodge was the crystallisation of my frustration that over the previous couple of years I had become someone I did not like but was now on the way back to a way of working I preferred. By stating how we would work together there was the possibility of a collective 'we' rather than an 'you' and 'us', but time would tell, with the foundations in place, and on paper a process that should work. That phrase would come back to haunt me over the coming months.

Margaret's involvement in designing and laying the groundwork with the Gateway team prior to the meeting on the 19th August was crucial in defining how the entire process was structured, setting out how success would be measured, the values underpinning the process, and determining expectations on how people would work together. While the events reported in the research would subsequently question her effectiveness in achieving this (chapters eight to ten), she did managed to pull the department together in a collective SI process of product design.

7.10 Summary

This chapter identified the SI process at the centre of the research. This process adopted a PAR method of SI based on the Coghlan and Brannick's, (2014) GEM model, applied across an end-to-end SI process, and utilising social entrepreneurship tools identified in the Open Book of Social Innovation (Caulier-Grice *et al.*, 2010). This approach enabled the intentional and collaborative act required to fulfil the SI definition adopted for the research and provided the opportunity for the participatory nature of the research to be integrated into the whole team endeavour of creating a new product or service to address the challenges Gateway faced.

For the purpose of this research a full exploration of AR as a research methodology is not required, limiting the discussion to how, as a SI method, it was applied to frame the SI process the whole Gateway team would undertake. For the same reason, the success, or otherwise, of methods and tools such as problem trees or QITs, or whether the proposals produced at the Lodge were really transformational proposals are also not evaluated, but presented as part of an imperfect process that, as practitioners, we made up to meet our objectives.

Having outlined the SI process, and how it informed the CQR methodology the following three chapters present the stories of participants, created through stages one to three of CQR, that informed the analysis at stages four and five detailed in chapters 11 and 12.

Chapter 8. Graham's Story

8.1 The Prologue

The participants' stories represented in the following three chapters were produced from the data and analysis undertaken at stages one to three of CQR (Sections 4.4.1- 4.5.6). The stories are the representations of the multiple objective, subjective, and normative-valuative meanings, drawn from the journals and interviews undertaken with participants, interpreted through the hermeneutic cycles illustrated in section 4.10.

When reading the stories, any direct link back to data is demonstrated by annotations included within the text. These annotations appear as letters denoting the meaning field (MF) or pragmatic horizon (VH) location from which the quotation or meaning is taken. The coding is further refined by indicating whether a journal (J) or interview (IV) is the source of the direct claim. Finally, a number indicates the line within a transcription or passage of data to which the statement appeared. All quotations taken directly from participant dialogical data are included in italics and annotated as described above.

The process that produced the stories is demonstrated in Section 4.4.5 where the example of how a passage from Chelsea's journal was developed.

Stories were approved for use by participants (Section 6.7), and we begin by meeting Graham, the head of the careers and employability team and Champion of the working group authorised to design a new employability award (Section 7.7).

8.2 This is me...Graham

So, I'm Graham. I am early fifties and I've worked at the university since the 1st July 2015.

Unlike many of my colleagues, I've had a number of jobs before coming here, which is maybe why I find Willowick an odd, frustrating place to work. It is certainly different to anything I have previously encountered. Before I go into that, let me start with a plotted history and how I ended up here.

I left school at 17 and joined a high street bank. Back then, as the new guy, you were given all the mundane jobs to do. I spent my early career clearing out the stationery cupboard, making 40 cups of tea 3 times a day, and anything else that needed doing. These were character building tasks, a rite of passage, you had to do them to prove yourself. They were also a great way to build relationships with colleagues, get to know how things worked, and learn how to get things done.

I had 17 years building a career with that bank progressing to being a senior manager. I was subsequently recruited by another bank, as part of a new team of five people from around the country, into a new role to launch a new banking product. Most of this time I worked from home, self-motivated, and focussed on building relationships with high-net-worth individuals, to whom I sold financial service products.

I progressed to regional director, a post I held for nine years, until a national firm of private investigators approached me to be their client director and take some of the workload off

the business owners. This involved working at a high level with client firms, partners, and senior people in industry. I worked across the company's 40 offices in the UK and some of their overseas branches. I was good at my job, got on with people, built great relationships, and was a valued 'partner' in the business.

That all came to an end when the owners sold the business, and I was made redundant after bringing in the biggest deal they had ever won (MF/IV:110).

8.3 Coming to Willowick

It was then I saw the job at UOW, it looked interesting, but I was not sure I had the right skills as I had no experience of careers or working in a university. Having met with the recruiting manager, my current boss, to find out more about the role, I could see how my experience could be applied to the role and help the team develop and change the way the team worked in line with the plans for the department. I could see there was a strong focus on leadership and team management rather than technicalities of careers advising so I thought why not give it a go.

Despite working from home in previous roles, I had always worked as part of a team and as a director, provided leadership, direction, and support. I had grown my previous roles, and knew I had the ability to lead teams, supporting individuals, and deliver results. This experience was exclusively in the commercial sector, but how different could this job in a university be? (MF/IV:113)

As it turns out a lot different. Don't get me wrong I enjoy what I am doing. Its challenging but enjoyable. I haven't found it easy to move into higher education, but I do love the environment now. I am beginning to understand the unique jargon of universities, the people I work with are fun and committed, and the environment buzzes especially when students are on campus.

Like with any job, there are many day-to-day challenges, but the greatest challenge is keeping up with the constant changes around here. The move to New Willowick is an exciting prospect, but throws up daily communication, miscommunication, and proposals for changes in processes, structures, and expectations of how things are going to be. I have worked for companies before where we have been taken over, restructures have happened, and new systems have been brought in, so I know things change.

So, I am not new to major changes in the workplace, I experienced these things with different employers, but somehow this change is closer to me. When I was one of 40,000 employees in a bank, things would just change and you went with it, no discussion, but here everything is pondered over allowing me to feel I am part of the change, I am making it happen not just receiving it. That is a significant thing for me (MF/IV:7-10).

I suppose it's exciting, but this way of doing things is tiring and unnerving at times especially when I realise this is the beginning of what will be rather than a time limited blip in the normal. My experience has shown me that once a major change is underway a chain reaction is set in motion that keeps going (MF/IV:115-116) with no end. I try to lead by example and encourage my team to be engaged, take ownership, and concentrate on

driving forward the work we do, but I sometimes find my leadership isn't the one recognised in a university, especially with all this going on.

8.4 It doesn't take too much...

The senior team of the university has agreed to run a special themed week for students, a sort of post-Christmas fun week to reengage them with their studies and think about their employability. It's going to be called Build Your Future Week, nice idea, and the team and I have responsibility for organising it. We are not going to design the whole week, we want faculties, academic colleagues, and the students' union to be involved, and I have offered to meet with them all to discuss the concept, plan how it will be delivered, and work with individual areas to develop their contribution to the week.

Now, call me old fashioned, but it's only common courtesy when someone offers their help and support, you respond to them professionally. You do not wait three weeks before you can be bothered to reply (MF/J:1), which is what happened today when I finally received an offhand response from a dean to an email I sent.

What I have learnt about higher education is when someone carries a title like 'dean', suddenly they see themselves as a cut above the rest of us. I know I don't have a proper title in their eyes as I am only a 'head of' within a professional service, so not that important but I have had bigger and better jobs than the one they are doing now and deserve respect. I would never dream of replying in the way that dean replied to me. It's disrespectful, and just goes to show how irrelevant they see my team, our work, and me.

The other deans had responded relatively quickly, with varying levels of enthusiasm but at least I know what I am doing with them. But this one, after three weeks to just reply by saying *"I haven't seen anything further on this. Are we going ahead?"* (MF/J:3) without actually engaging with me on any level is unacceptable. 'Of course, it's going ahead, you agreed to it, I am waiting for you to get your act together and engage with me so you can find out what is happening!' ... Is what I want to say but... (MF/J:5) email isn't the best way to get someone's attention, so it is partly my fault (MF/J:16).

I don't want to sound needy, because I am not, I am just frustrated at the lack of shared priorities in this place. There is so much happening all the time it is difficult to judge what should take priority. I have been given this job to do which I thought was a senior management priority but maybe it is just another throw away initiative keeping us busy. The reality is I cannot do what is required without senior management support, yet I am now planning a follow up email acknowledging it is my fault when this individual could not be bothered to respond for three weeks (VH/J1).

Ok, the dean may have emailed for clarification about what was happening, after all, the last communication between me and the deans had left things hanging a bit. But their tone and style just make me feel irrelevant, a bolt on, unimportant, and I have never worked anywhere where I have been made to feel this irrelevant... except when I was made redundant... perhaps.

Rather than tell them exactly what I really think, I'm walking around campus, gathering my thoughts, and planning next steps. These involve taking the individual for a coffee, get them

to connect with me as a person, and crafting an email that massages an ego I shouldn't have to consider. I also acknowledge my frustration and anger (MF/J:4) is triggered by my prior dealings with this dean and others at the university. I am probably taking my frustration out on this individual when it is more about the way people with 'important' roles are treating us at the minute. The senior team are so wrapped up in New Willowick there is a total lack of priority on everything else, we still have students deserving of our attention (MF/J:13), who are paying for a proper experience, yet they are wrapped up in imagining Xanadu. They don't work as a team, rather a collection of individuals peddling their own agendas when they should act as one management team: a 'Senior Management Team'.

UOW is like this all the time at the minute. There is too much going on, there are too many divisions, and lack of focus on what is important. Whether it is separation of professional service versus faculties, academic versus non-academic, careers adviser versus the rest of the Gateway team, the divisions are multiple, and we are all pulling in different directions with New Willowick overshadowing everything.

I sent the email inviting the dean to meet me for coffee three weeks ago... Guess what... I am still waiting for a reply...

8.5 Busy Busy Busy... Fools?

The announcement we achieved a gold teaching excellence framework (TEF) rating has generated increased interest in the Gateway team. The TEF report cites our *'approach to involving students in research, scholarship and professional practice – particularly research*

in the community and sector-leading work focused on social enterprise' as areas of best practice (University of Willowick News, 2017). Much of this was down to the work of Gateway being included in the submission, raising the profile of the department, which is something I have wanted for a while, and we are certainly gaining attention from the rest of the university (MF/IV:10-12). I not sure if it is related to TEF but I am busier than ever and suddenly the work of the department is seen as important.

The last year has seen my job become increasingly harder as I am constantly navigating the uncertainty of New Willowick and the adaptive way I am now required to work (IV:10-20). I am looking after myself while ensuring the team are also supported, guiding, and managing (MF/J6:57). The importance of what we do is recognised across the university at last, so I need to meet the expectations and recognition I have demanded in the past. I'm supporting the working group, planning for next year, making decisions about details the staff want my comments on, and realising the need for us to change how we do things, not just what we do, because the tightening of budgets is becoming an issue for us (MF/IV:20-24). I am in the middle of a maelstrom outside of my control pulling me up, moving down, pulling me out, sometimes all at the same time to the point I have no idea what is happening. I crave being able to own my space and stand firm when everything is changing, just so I can cope better (IV/19).

The university has gone into overdrive with changes related to New Willowick planning. *'I'm seeing much more happening [about New Willowick] as you would expect given that we are [only] months away from moving'*(MF/IV:5) which seems to have changed peoples' reactions to it, it's suddenly happening, after all the talk. News filters through about how

the new campus is coming on, and we have the option to go and visit at some point. It is all feeling real now but remains chaotic and uncertain, but exciting at the same time as it feels like things are happening.

I would like to be more informed about the plans, and of course communication could be better even though it has improved, but I don't feel as though I have been told everything. There are things, to my thinking, that should be sorted by now but haven't. *This is causing confusion and the regular flow of knee jerk changes announced at the last minute (MF/IV:6)* adding to a feeling of a lack of coordination at times. The communication we receive is not as good as I would like, it can be contradictory and despite my boss assuring us he will let us know the official line as soon as he gets it, you can't help engaging with the grapevine to fill in the gaps.

There are too many on the hoof watercooler meetings with no record of what was agreed, no formal discussion, and lack of accountability. We have all become too disparate, one of my team said it would be nice to see so and so at the Christmas lunch as they haven't seen them for months despite the two individuals working less than 200 yards away from each other (MF/IV 27-30). Keeping in touch seems more difficult these days and getting everyone together in one place isn't easy. We must try harder as we are getting to the point, as a team and a university, where processes and the way we work need to change and staff need to own that change before it is done to us. Old school? Maybe, but I need that space and I think the team, and university colleagues do too.

The sessions we ran with the team at the Lodge worked to provide that space for us and helped us decide the priorities for the department for next year. This was helpful in planning workloads and pulling the team together to recognise what needs doing and why we need to do it. We do need to improve our delivery to meet the expectations brought about by the TEF, and I think the plans we developed are giving us something we can control and focus our efforts on. Having a structure in which we can do this is important (MJ/J5:46), and we are making progress. I have some control over the chaos and can do my job, which I see as getting the careers team ready for New Willowick, putting plans in place for service delivery next year, and working with my colleagues to integrate the different teams into one department (MF/J6:62).

I am not sure whether this moment of clarity and control is permanent or a mere pattern in the white noise of the change, but I want to acknowledge I have this clarity at this time. I need these moments, as they provide reassurance even for a fleeting moment before the next unexpected diversion hits us.

Wow, so much is happening this is an extra ordinary time, more than I realise until I stop to think (MF/J5:41), I hope we are not running out of time, but as a team we always deliver (MF/J6:63).

8.6 The Working Group Experience

My experience of the working group has been mixed (MF/IV 51-78), and despite a near collapse of the process, I think I have managed to save it.

I have just met with Chelsea and Tiffany, and the 'new' working group I pulled together, to take over the development of the new employability award, seems to be working well... there is definite progress. The two of them give me confidence because they know what is needed, they have linked the delivery of the award to the development of new online platform (working group four), and Margaret is making sure community activities are part of the award. I am confident we will achieve what is needed before the start of term... I wouldn't have said that a few months ago.

8.6.1 The Group Dynamic

Initially, I took the role of Champion for working group one on with Brian from my careers team appointed as lead. In addition to this working group the head of the department was planning a new approach to delivering careers advice by recruitment two new career coach roles, and I had been working on that as well. I was being pulled in all directions, so it is great the working group was authorised to get on and lead the development of the Employability Award without too much involvement from me, so I didn't have to juggle another responsibility on top of everything else. I agreed Brian would keep me updated and between us we would be able to make sure the award was developed in a way that was deliverable and impactful.

The group had been inviting me to all their meetings, but I felt an arm's length involvement was best and didn't attend any of the early meetings (MF/IV:53). I wanted the individuals to work together without me having to take on responsibility for all the decisions or being

deferred to for the answer to everything. I could be called upon to unblock any difficulties as needed providing a clear distinction between my role in the group and that of Brian.

At the beginning of the process, the other Champions and I had sat down to discuss our roles as Champions, and it was clear to me how the group should work. I was happy my working group had the right spread of skills, personalities, and abilities to make the process successful. Brian had needed a bit of development, he is an excellent careers adviser but a little stuck in his ways, and this was an ideal opportunity to support him with something new. The task the working group was to learn from the previous iterations of the award, and redesign it so that it was accessible across the breadth of the department's provision and deliverable on our new online platform. It needed to address the process issues the team had raised throughout the year and improve the impact it would have on improving graduate outcomes and to be of value to the students.

8.6.2 The Crisis Intervention

With hindsight I may have been a bit ambitious and maybe needed to have articulated the objectives, roles, and responsibilities clearer, as about a few months ago I was called in by Chelsea to rescue the process. It had become apparent the mix of the group was not right. Brian did not really believe in the need for the award let alone that it needed changing (MF/IV:56). While he had volunteered, at the Lodge, to lead the group, his heart was not in it which resulted in tensions and members of the group not contributing. That was not down to Brian, it had as much to do with the lack of understanding the group had in how they could contribute and why their contribution was needed (MF/IV:57). The brief was not

clear, and they had sunk themselves into the task without questioning or clarifying what was needed (MF/IV:66).

The process had become a chore and was getting nowhere fast, (MF/IV:65) when I was asked to intervene more directly. I got up to speed quickly as I hadn't been as engaged as I needed to be, which had contributed to this crisis of confidence and process. There was still a lot to do, and I needed people who could do the work as well as make the connections to other activities across the department that would support and benefit from the work of the group. As always Chelsea and Tiffany were my go-to people (MF/IV:70). They are dependable and have always delivered for me. They were also working on the development of the new online portal at the time, so knew how that worked. I also pulled in Margaret as she understood what was needed but could also use her position to pull in other resources and make connections I didn't understand.

I didn't include anyone from my careers team in this new reconfiguration of the group, I thought it better to focus them on the other tasks needing attention so the award could work, including agreeing processes and elements such as the self-reflection part of the award. Brian and the rest of the original working group were retained as an advisory body with whom the new working group would refer decisions, agree developments, and test out whether things would work.

The meeting I had just concluded with Chelsea and Tiffany was the latest update on development, and I am impressed with how well things are now progressing.

8.7 The Employability Award Prototype

Chelsea and Tiffany had just presented me with the prototype for the new award, and it was so simple I think it is going to work. They had previously been responsible for the prior iterations of the employability award and had applied the evidence and insights they had on what was not currently working, the issues faced by the rest of the team, and what was possible through the online portal to design it afresh. They had worked with Margaret and the advisory group to distil this into the new prototype of the award which consisted of 4 key stages, simplifying the current award.

8.7.1 Self-Assessment

The self-assessment stage involves undertaking an online skills assessment available on the student hub. This produces a report highlighting the student's strengths and weaknesses together with an indicative skills profile relevant for the career they are looking to pursue.

8.7.2 Action Planning

The report generated by the self-assessment would then inform the completion of a personal development plan prioritising the development needs. The action plan would identify opportunities the student would take up over the academic year to develop their employability, and the support they will need in achieving their goals. This would all be completed online so the student would develop an e-portfolio of experience as supporting evidence for the award.

8.7.3 The Need to Do Something

The working group decided students needed to provide evidence they had done something so the award would demonstrate to a future employer the student had experience that contributed to them being employable graduates. This 'doing something' would include: -

- Undertaking work experience such as a placement or internship
- Complete an enterprise course for those looking to start their own business,
- Engage in volunteering either locally or overseas,
- Take a temporary job through Job Shop.
- Any activity intentionally undertaken to improve their skills.

Evidence would include completion certificates for courses, testimonials from employers, and the Gateway team would verify and record the volunteering and other activities on behalf of the student. All this information would be retained and included on the student's graduation transcript, so be officially recorded.

8.7.4 Self Reflection

Finally, as a way of validating the award, rather than treat it as an academic programme with assignments and moderation, the student would be asked to complete a process of self-reflection to explore how the actions improved their employability, contributed to their development, and would inform the action plan for the next level of the award.

This didn't sound very innovative to me at first, but the award was now to operate on Bronze, Silver, and Gold level, in line with academic levels 4-6, supporting students across their three years of study. It would be available through the online portal with evidence uploaded to demonstrate progress through the award. The portal would interface with the universities Virtual Learning Environment (VLE), meaning the award could be available in the curriculum also expanding the potential reach of the award and providing a new way for employability to be delivered in curriculum, and work was now underway to make this happen.

A series of template documents have already been designed and tested by the advisory group who had agreed the careers team should be responsible for designing the final self-reflection stage, as they would be responsible for implementing this element.

I am blown away, to be honest, because this looks so much simpler than the current award, and I can see it working, what is more I know it can be delivered before the start of term because of all the work now underway.

We seem to be on track, which is great as there is so much else to do, and I can focus on other things now safe in the knowledge Chelsea and Tiffany are going to deliver.

8.8 It's not all Gravy Baby

With just over a month until the new award is launched, and all the new promotional material and online accessibility is in place, I cannot believe what has just happened (MF/J7:76-91).

Yesterday I held a meeting as a training session for the new employability award with the careers team. We had a great session with the new award presented by Chelsea and Tiffany. Handouts were provided, a chance for discussion and ask questions was made available and there was a positive discussion with everyone confirming they had all the information they needed to work with the award. I went home last night with a sense of job done. More than that, I was happy I had been able to create a space in that meeting to inform, support, and allow people to question what was proposed.

I confess I did have a few concerns with some of the questions asked, but I put those down to information overload. Today I realise it was not down to overload but an ignorance on the substantive changes that had been made. All the nodding I saw yesterday were really shakes of the head by people who didn't want to show their lack of understanding. I suppose that is ok as it is all new, but there will need to continued support in place until they get it, and I suppose that's my job to do and that's ok. But this morning a member of my team asked a series of questions that were so basic, most of which were covered in the presentation and the handout, that I realise the problem is more fundamental.

It was not everyone who attended the meeting, but I am in *complete and utter disbelief*. *Do some people [just] not listen, just nod when asked, or do they not want to clarify in front of their peers* (MF/J8:81) Everyone agreed the award needed changing when we met at the Lodge, they have been involved in the process, and the development, yet for some reason members of my team thought yesterday's meeting didn't apply to them. I know I have to be supportive and empathetic, but again I find myself walking around campus just to stop myself doing myself physical harm. Everywhere I look in my team there are brick walls I keep banging my head against and I can't do this anymore because it hurts and is draining. There comes a point when people just need to get a grip, and for me that point is long past.

This isn't about change anymore, it isn't about the confusion of New Willowick, or the development of new services, it is about coming to work to do a job for which you are paid. That's what my commercial background tells me and some of these people need to realise that. I understand people need help in dealing with the complexity of things, but the simple things, the things that have been spelt out in ABC where considerable time and effort has been spent confirming understanding, that requires people to engage. That requires people to acknowledge things have changed and they need to change with it.

Over the last 12 months we have expended huge amounts of effort ...for what? I get so frustrated with people who won't put in the effort to understand the basics and be responsible for the impact they have on others. I know we won't achieve perfection in 12 months I know it was just the start of a continual process, but I am tired, annoyed, and frustrated. Maybe better communication through our team meetings is what is needed?

Ok, yesterday's meeting didn't go too well but if I keep repeating things often enough maybe they will all get it in the end. Or is that a sign of madness as if I keep doing what I've always done I will get what I always got. Change is complex for some people and needs a supportive response. More meetings may be part of that, but so are one-2- one mentoring, informal communication, written communication, discussion, and other forums. Getting the team to work differently has not been an event but is going to be process of reinforcement, development, and encouragement which may be beyond my ability, as I have tried everything except spy on people and micromanage.

I 'have to get them to understand and believe in what we do and why. Even to the point that their [realise their] futures depend on it' (MF/J8:91)

8.9 The Aftermath

Looking back over the last year, I am not sure what we have achieved. The new award has been launched but there are as many complaints and problems as before.

Worse than that, those members of the first working group who became the advisory group and relieved to have responsibility taken off them at the time are now annoyed and disappointed they were side-lined in developing an initiative they are now using and are responsible for. This seems to have widened the gap between my careers team and the rest of the department as their position as the blockers, uncreative, and people who just don't get what we are trying to achieve has been reinforced. They remain the 'others' of the team and this process seems to have made this issue worse.

I accept that as Champion I should have been more engaged with the working group from the start, but I just couldn't, I had too much to do. But I maintain the group could have succeeded (MF/IV:77). *I think we [the senior team of Gateway] probably should have led rather than have been Champions... but then again you need people to develop and understand as well, and it was the right track to take I think because in theory it would have given some ownership to the project.... which I don't think actually happened.* (IV:78).

Everyone got hung up on titles. The role of 'leader of the group' should not have been vested in one individual but every member of the group including me and the head of the department, who was absent the entire time. We set them up to fail by never really defining the measures of success, so the group was bound to succeed when they failed.

But I am not sure the group did fail. The award was launched, so I suppose that is a success, and it was never going to be easy to implement the new award within the timescale we had, so the problems we are now having could be explained as an extension of the design process. I had assumed the process had failed, as the original working group fell apart, but the process didn't fail, it just adapted as the situation changed and the need to flex the process emerged. I brought in the right skills in the form of Chelsea and Tiffany who in turn widened involvement to include Margaret, the Advisory group, and gave responsibility for certain tasks to the careers team.

That said, one objective was to get people working together and continue to break down the barriers between teams. To achieve this, I think the approach to the working groups was right, but we should have allowed the group to come together in a multidisciplinary way,

which didn't happen, and I need to think about why (MF/IV:78) and will take longer to achieve.

8.10 The Epilogue

The new term got off to a good start and we have just come to the end of another Build Your Future Week. What has been really pleasing is the great support the careers team have had from across the university and Gateway. In previous years employability week has been down to my team alone, this year the university and department got behind it.

Personally, I have learnt a lot about the members of the department this week, some really rose to the challenge others not so much. But everyone contributed. I recognise the strengths and weaknesses of my colleagues and the way in which I can support them better (MF/J9:98-99). Overall, they felt and looked like a team, the usual flakiness and disengaged approach had been replaced by a team working together.

It did me good getting involved, I was less aloof, and I enjoyed working next to them. I think there is a way to go before all the divisions are addressed and we are one department rather than a collection of sub teams, but this week I noticed a shift. I may be alone in my views as I am a little cynical about peoples' intentions, but I think we will need to revisit some roles and put support in for people who still don't seem to want to adapt.

I'll raise this at the managers meeting next week and see what they think because I can see us only getting busier and we need the right people in the place. I believe it is time to

restructure the careers team to achieve what we need to do (MF/J9:105). Getting feedback from the team will inform how this will happen but I think I've got to the stage where I need to shape this team and the way we work, as last year didn't achieve the desired result, and I am ready for the challenge.

Chapter 9. Tiffany's Story

9.1 This is me...

I've been working at Willowick for seven years now and I've seen many changes, (MF/IV:6) some have been straight forward day to day procedural things, others have been more traumatic. The most traumatic was when the current Gateway team was formed and the department for which I worked, merged with two others to form the team we have today (MF/IV:8-13). With hindsight, there were many reasons for this merger, but it was driven by senior management with minimal consultation or explanation of the decision, and we have never really been able to put historic divisions to rest.

I always knew what my job was and to be fair it was only recently that things began to get confused and unsettled (MF/IV:49). These days, I find myself continually going around in circles sorting out problems that other people do not seem to want to deal with (MF/IV:131). Even though my Job Description sets out my responsibilities, these days it is all blurred and my role seems less certain (MF/IV:35). I feel constantly undermined, undervalued, and increasingly disconnected from the tasks and activities I previously enjoyed getting my teeth into.

I often reflect on the 'whys' behind my colleagues' actions and why our professional tensions lead to the things we try to change rarely delivering the desired outcomes. This is not always easy to fathom as my colleagues present many excuses and barriers to justify their behaviour without realising these excuses give away their true intentions. I have

worked with these individuals for so long now I know them well. I find myself getting increasingly frustrated, almost intolerant, of their duplicity and refusal to engage with me as an equal because they are in more superior roles when I constantly cover up their lack of ability.

I recognise I'm in unique position in Gateway, one that means managers often ask my opinion and seek my views on what is going on. It is not gossip they are after; I hope they value my insights, as I can see they regularly base their decisions on the discussions between us. Sometimes these are formal, in the form of updates or 1-2-1 discussions on progress against delivery plans and work-related issues. At other times I am an informal sounding board when managers struggle with decisions, actions, or lack information to make informed decisions. I feel like a mentor, counsellor; an informant at times, but I am pleased my insights are valued. I have influence to address the barriers I face, something I would not normally be able to do because of my lowly administrator status.

9.2 How I am

I am analytical, I like to understand what goes on around me, how I fit in and how I contribute to the department. I am keen to absorb information provided by managers and through the multiple communication channels at Willowick; I see it as my responsibility to be engaged if I want to play an active part in the university. Few of my colleagues agree with this, and I regularly find myself questioning why they do the things they do when they have access to the same information as me. They just don't take up the opportunity to be informed, or if they do, they don't see the decisions taken as affecting them, so they ignore

it. I have a growing sense of being '*adrift*' (MF/IV:134), anchorless, as Willowick and those I work with move away from me, I don't much enjoy what I do anymore (MF/IV: 135-6). Or is it that I have moved beyond them and the university?

I have an ability to be invisible in a crowded room. This may be annoying, but it's a handy skill to have. Sometimes it looks like I'm withdrawing and being quite when others are talking, appearing passive and give the impression that I am allowing them to give me instructions, but I know it doesn't matter what I say they will just do what they want. They see my silence as acceptance of my subordinate role in the team, judging me by my grade and standing in the university rather than the person I am and the experience I have. They don't realise my silence gives me the upper hand. I am using this time to plan how I will sort things out when things inevitably go wrong. It's ironic really, I remain the one chosen to sort things out, the one to make sense of the confusion others create, even when it's well above my pay grade.

Don't get me wrong, there are times I would love to speak up and add my voice to team discussions, but what is the point since my job changed. Now I work for a new manager, and rarely meet with the head of the department to have the discussions I used to have. The result is '*I feel more insecure... as I'm not quite sure what I'm supposed to be doing so*', (MF/IV 33-38) *I just do as I'm told*' (MF/IV:178), and plan for the inevitable.

9.3 How things used to be...

When Gateway was formed, I was an unofficial personal assistant (PA) for the head of the department. I worked very closely with the Gateway management team and directly accountable to the head of the department. I was involved in developing ideas, implementing management decisions, and had the authority and permission of senior managers to do what was needed. It was a privileged position providing me a comprehensive overview of the whole team and the wider systems in which we operated.

As PA to the head of the department, I had a powerful position in the team with insights into the briefings the head of the department had on how the idea of New Willowick was developing and how this could impact on Gateway. My skill in operationalising strategic decisions and understand the team dynamic helped me to connect the front-line student experience to new process and procedures alongside an integrated way of working required in the new department. I was at the centre of it all, everything fed into me, and I actioned things that made a difference.

'Maybe I was just power-crazed, and I didn't realise it'...or' I suppose I just [had] a sense of place' (MF/IV: 50-51), but if someone wanted to know something, they would come to me or Chelsea. The head of the department was busy working with senior colleagues and would often comment he didn't know how to make the things happen on a day-to-day basis because he didn't have the level of understanding of detail Chelsea, and I had. I filled a void and got a lot of satisfaction from my job. This way of working suited me, and Gateway's management team could just get on with their jobs knowing Chelsea and I had it covered.

The head of the department would not impose decisions on the team, much to the frustration of colleagues, if he could avoid it and preferred the whole team to have input into decision-making. At the time, the university was awash with rumour, speculation, and half-truths about New Willowick that gathered a life of their own and derailed many local initiatives Gateway tried to introduce. Gateway was not only going through the forming stage of a new department the whole institution was shifting, what we were being told could not be relied upon and there was uncertainty of what the future held.

9.4 New Willowick takes over

These days, New Willowick is the main preoccupation of the whole university, which is unsurprising as it is the most significant thing to happen to Willowick since I've been here *and 'I'm quite excited and looking forward to it'* (MF/IV: 14-17). The constant changes announced in the special editions of the staff newsletter, regular team briefings, and Vice Chancellor's roadshows cause much uncertainty expressed over cups of coffee and lunches in the cafes and restaurants on campus. The university has not recognised that when it provides information it is not communicating and might as well issue a news bulletin on the nine o'clock news in the 'and finally...' slot for all the attention and seriousness with which people are giving it. Until they recognise this they *can 'communicate' 'all [they] like, but if the person is not listening, then it's not going to do anything'* (MF/IV:31).

I don't understand colleagues who consciously disengage, often arguing the move will not make any difference without ever considering the possibilities. New Willowick doesn't concern them, and they believe there is no point in engaging today as things will only

change again tomorrow, so they wait for manana. Willowick has always been in a state of change, it has never been constant, but this change is just too big to comprehend, too difficult for us to understand the need for the changes we have to make now. I have always listened because you can't make a judgement if you don't know all the facts... So, I do tend to listen, *'absorb in my head and then I'll...'* do things differently (MF/IV:27).

I cannot say the changes we make related to New Willowick have impacted on me positively or negatively (MF/IV:18). The complaining comes from people burying their heads and ignoring the information provided (MF/IV:22). There is a lot of information, yet people still debate the necessity of what is happening, whether the basis of the decisions is valid, or downplaying the impact the move to New Willowick will have. It is as though we have all been warned that a hurricane is coming and advised what we need to do to survive, but some people refuse to heed the warning.

I trust those in senior positions to make the right decisions. I am sure decisions are in the best interest of Willowick and those who work here. I am not really involved in these decision-making processes, but I provide feedback when asked to, and while I am never sure whether it has been taken seriously; I have the opportunity. Trust and being distanced from the decision-making process places me at ease with what is happening as I have space to think about the effect on me and what I will do.

For me it's simple. I expect people to do their jobs well and trust them to do the best they can for me and Willowick. In return, I make sure I keep up to date with what is going on,

think about what it means to me and others, and change what I do so that the impact on me just becomes the way I need to do my job.

9.5 My So-Called Promotion...

Last year was more unsettling for me than anything I have had to deal with. I saw my position within Gateway change, my relationship with the head of the department disappeared, and my role changed with me reporting to a new line manager. This was supposed to be a promotion, a reward in recognition of an excellent job done over the previous three years. The formal process I went through left me feeling in a worse position which, rather than recognising my achievement, left me confused, alienated, and lacking in job satisfaction.

The announcement of the move to New Willowick led to a review of the staffing structure in 2015/16 as a result of a budgetary requirement to save money and change the way the team delivered. The review was undertaken through a formal budgeting process with decisions about structure made based on delivering the required cost savings and redesigning the Gateway service. Since the merger there had remained levels of duplication of processes and responsibilities, so such an exercise was overdue.

Over the years I had consistently taken on responsibilities that were outside of my job description and above my grade as a PA, to the point my job description no longer reflected my role, and I was in a vulnerable position as my official role was no longer needed. The ambiguity of my PA role had suited me as I was able to work on interesting things and

assume responsibility that were above my pay grade but was more than qualified to deliver. This provided an elevated level of job satisfaction that made coming to work enjoyable and rewarding.

I assumed I would be rewarded for those endeavours somehow, but it became clear when the redesign of the department was presented that my role could be made redundant. This was a slap in the face as I had embraced change, engaged with it, and worked hard to adapt to enable it to happen. The inequity did not end there. I had, throughout the previous three years, demonstrated a passion and commitment I was told was valued by the university. I had done everything asked of me by Willowick and the managers of Gateway, changing my approach to how I worked, yet people who were on a higher pay grade and had failed to be as diligent as I had remained in secure positions that were unchallenged by the restructure (MY/J: 5/3/17)

This inequity was reinforced through the process I had to endure, with the head of the department suggesting the creation of a new role that would be designed for me and positioned to recognise the level at which we had been working. Simply put it would be a promotion, but not as I knew it. He wanted to safeguard the role for the future so it would need to report into Margaret, changing my line manager and integrating my expertise into another area of work rather than working for the Gateway management team. This approach would not be straight forward. The creation of a new role meant I would be put at risk of redundancy and would need to apply for the new post, be interviewed, and 'maybe' appointed to the role.

This would be stressful, and I could end up without a job, so to minimise this stress, an alternative approach was suggested. I was asked to review my job description and rewrite it to reflect what I did and the level at which I had been working. I needed to incorporate skills and responsibilities the head of department had identified as gaps within the team so I could demonstrate the role, as redefined, was needed. The revised job description was agreed with the HR department, who reappraised the role and advised the revised role was a grade higher than I was currently on, and a change in line manager confirmed. Simple. The approach was less stressful and had more predictable outcome, but I underestimated, or did not consider, the ultimate impact this change would have on my job satisfaction and feeling of security working in Gateway.

Three assumptions upon which the process had been made turned out to be wrong.

- Firstly, it was assumed because I had knowledge and working relationship across the entire team, I would easily transition into the Community team. I had worked closely with them over the years, but team members were new, and the team was in the initial stages of forming their own priorities and vision. This should have been an ideal opportunity for me to transition and use my knowledge as part of the forming stage, but the team dynamic was already set before I joined.
- Secondly, my new line manager assumed any induction into the Community team would only need to be light touch because I knew what it was all about, again knowing what it was all about was very different to what it was.

- Finally, the perception was that my role had just been regraded, rather than it being a new role, therefore there was no need for a major repositioning of my role to be communicated to the wider team. Being upgraded was viewed as me having more authority, when in fact the authority I enjoyed through my association with Gateway's management was lost.

The result has been that over the first 12 months I have never felt included and even now I feel an outsider of the Community team, unable to find any standpoint from which I can contribute. *'It's going to sound a bit weird, but [the transition] made me feel a bit more insecure than I was possibly, not quite sure what I was supposed to be doing. Obviously before I got [the] new job description there was that uncertainty there, but it was always like, at least I knew what I was doing (MF/IV:33).*

Everyone assumes I am happy with the outcome of the promotion. Ok, it overcame a recognised inequality, I got the promotion out of it, but the process was designed to overcome a problem rather than solve it. Ok, I have gained formal authority and permission because of my grade, but I already possessed that on an informal basis for years. I lost power and control over my work and my role. Some of this is down to the change in dynamic between me and the head of department, whose authority I always exercised, but the way the Community team operate, and my new line manager's style of leadership has taken that autonomy away from me. *'She [was] very like just...I don't know... I just know Margaret doesn't like to give anything...'* (MF/IV:163) It is about delegating, and Margaret does not delegate very well and while I acknowledge *'it's a hard thing to do, trusting somebody else to do something for you is not easy'* (MF/IV:164). *'I think maybe that's why*

I'm feeling unsettled. The thing is I'm still working with the other Gateway managers a bit including Graham, but I'm not supposed to. I'm supposed to work for Margaret, but I am not sure what I am supposed to be doing (MF/IV:49).

I do not think my change in role is recognised because it has never been acknowledged by my colleagues or head of department. The formal change was enacted, but I do not feel I have been accepted or been able to adapt to my new position and that contributes to me being unsettled.

9.6 Cut Adrift...

Despite absorbing the information tsunami at Willowick, I have lost the link between what is happening and what is operationally expected to the point where I just come to work *'because I need a job, that's my [purpose] now. If you had asked me a year ago, I would say because I believed in what we did, and I enjoyed it, and [that] has gone'* (MF/IV:165). Don't get me wrong I still believe in Gateway, *'I just, sort of, I do not know, I've just got to the point of ...why do we bother? It sounds so depressing'* (MF/IV:166-167). I have changed from someone who understood what was happening and my role in making that happen, to being someone who just *'does as I am told'* (MF/IV: 178) and that is not me. I continue to take on the responsibilities until I am told not to, but they feel like Jacob Marley's chains, pulling me down like a punishment. I am doing a job that may have authority but has no value to me, or my colleagues, and I just don't care because where has caring ever got me. Keeping quiet and not arguing is the best strategy I have.

I don't really mean I don't care, of course I do, but the last year has turned me into the embodiment of the negative collective attitude of colleagues I hate. I have given up trying to be the person I used to be, I am a cog in the machine. It's easier to just go with the flow than try to change the people I work with or what is happening across the Gateway team. I just accept the department is divided, embattled, and full of people I no longer respect. I may be in a job I no longer want or value, and never wanted in the first place. All I ever wanted was recognition that the role I play in Gateway is important and rewarded accordingly. I feel let down by the management team and the head of the department for not only allowing this to happen, undermining the trust I had in them to fulfil their promise to me. I feel trapped in structures that demotivate me and have contributed to my current sense of anger and negative wellbeing.

There is a leadership void, one Chelsea and I used to fill, and that is not leadership from those above me, it is leadership in getting things done. It comes from engagement, discussion, and feeling what we are doing means something because we have been involved in making decisions and taking responsibility for implementing them. It seems the pressures from outside Gateway have become so acute, my colleagues and I are now working tighter to our job descriptions than before as going beyond is just not worth it. If we work to the letter of our contract, we will be safe. We are doubling down and focussing on self-preservation, doing as we are told so that we cannot be blamed when things go wrong. This doesn't sit well with me as *'things can always be improved; otherwise, it just gets boring, doesn't it?'* (MF/IV:161) but why bother when New Willowick, the crises beyond our control, will just blow our efforts away.

We are trying, and I can see the working groups we are all involved in as a way in which we can find this space to make decisions again, have some control to hopefully introduce new ways of working, and finish the job of creating a whole Gateway department the merger set out to deliver.

9.7 The 2nd Working Group Meeting...

The 2nd working group meeting (VH:D) was when I realised this was all falling apart and a waste of time. This is *'Not something to admit to but this reflection was [actually] written during the meeting. Written at the point where I just lost the will to live or to try and contribute to a complete and utter farce'* (MF/J 28). I am part of this working group, given responsibility for redesigning the employability award. A 'transformational intervention' we all agree will change the way we work. This is not the first employability award Gateway has introduced, there have been three or four previous iterations all of which have failed which is why we are doing this again. But for some reason this group thinks this is all new and are just not interested in what has gone before.

'Why can't people get it? I suppose the answer is down to peoples' attitude – let's work the way we always work and fit anything new into that structure. We don't want to do anything new and if we are made to, we will give it the minimum amount of consideration, just enough to show we are engaged in the process, even if it is only on a superficial surface level' (MF/J: 37). They are just going through the motions. If we continue like this, we will introduce yet another failed initiative. I just want to shout at these people, wake them up from their ignorance but I cannot as they will think I am mad, losing the plot, or report me

to HR. I will just pretend I am here listening and agreeing, being one of them rather than being me and using this opportunity to write this journal entry as a way of getting this off my chest rather than argue with them.

At the meeting at the Lodge, we all agreed having a robust employability award that was valued by students should be a priority for the department. It would make a significant difference to how students engage with us, how we delivered our service, and make a major contribution to improving graduate employment rates. We all agreed the award as a way of differentiating the department, making our work relevant to the whole university, and was based on best practice and evidence.

Now as I previously indicated, I believe people should be engaged in meetings like this one and have a responsibility to contribute but I have had enough. I have had to take myself out of this mess of a situation to tell you, my Boss, my research colleague, my colleague, myself, and anyone else who is interested that this is ridiculous and makes no sense. The people here haven't even noticed or think it strange I am not contributing; they just see me writing things down with no care about what I'm writing except they probably think I'm taking minutes. I just need to escape this joke of a meeting as I have given up; they are just not listening which is fine because I do not value this process or the people leading it.

It's 'so very funny, perhaps I'm just missing the point of the student award' (MF/J: 29).

Humour seems a natural response to all this because, if I didn't laugh, I would go mad and doubt myself. My understanding of what we are trying to achieve, and the purpose of all this, could not be more different to what is going on here. No one has recognised I was

involved in the previous iterations of the award and may have information that could make this process easier. At least I could provide them with data to inform the process, but no one has even acknowledged I could do that. The result is *'the whole redesign [is] turning into even more of a tick box exercise with a lot less depth and meaning. There's no thought about quality (MF/J:30)*. No one values what we are doing, and we are going through the motions to create something no one believes in. The frustrating thing is, by writing this I am behaving in the same way they are, going through the motions... and that really annoys me.

The last part of this discussion I could be bothered listening to was about how we would get students to complete the reflections part of the award. We agreed early on that the award must have value to students and employers with a process of reflecting on their personal development journey being the preferred route rather than a formal assessment. For some reason, and I do not know why, we are at the point where they have agreed students should submit *'a three-minute video reflection because that's what graduate employers want. However, no question on what happens if the three minutes that is submitted is rubbish. There always seems to be a starting point of an idea but then that's it, there seems to be a complete inability to look beyond, to look further, [at] how this can be changed, developed, or adapted so that it is a useful developmental tool for the students' (MF/J:31)*. I do not understand why the issue of self *'reflection is such a contentious and complicated issue? Can you even do a three-minute academic reflection based on a model? (MF/J:32)*.

Don't get me wrong, I do not have a problem with generating ideas, but ideas should be the starting point. I think ideas should spark interest and provide a way for us to have a discussion. Ideas require exploration, improvement, and discussion so the original thought is

enhanced without people feeling threatened. We should be able to explore issues without too much difficulty, but I seem to be the only one who feels like this as the others are just nodding... and I'm talking to you.

Colleagues should be prepared to be wrong, to change their position when alternatives options are presented, then we might get somewhere. This group cannot do that, and we are stuck. They jump from an idea to agreeing to implement it without testing it out or anyone having the opportunity of expressing alternative views, reshape the idea, or appraise whether what has been agreed is achievable. Writing to you allows me and you to have this discussion in a way I think we should in this meeting, but I find myself unable to speak up to inform the discussion or the decisions they are making.

9.7.1 Let's discuss self-reflection...

I doubt the idea of the three-minute video has merit as it currently stands. I want to discuss the implications, but no one is asking the simple questions and, if they cannot do that, why should I bother? But I am bothered... it bothers me a lot ... and I need to explore it while I am sat here ignoring their inane rambling. So firstly, why do I feel self-reflection as part of the award is contentious?

On one level the discussion has implied we do not value self-reflective practice as part of the award process, and we doubt students will see the point either. Self-reflection has been part of the award throughout its previous iterations. As we have moved from version one through two and so on, we have made it easier and easier to complete designing value out of the process rather than address how we make it relevant to students. This may have made completion of the award more accessible to students, but we have diluted the value and importance of the reflection element as a development tool and an integral part of the award. We just keep dumbing it down never evaluating whether it has value or even asking students what they think. We just end up making decisions based on individual opinions expressed as fact because some people feel their opinion counts more others.

Secondly, why does it seem so complicated? The whole area needs a detailed exploration as there is much academic literature we could be looking at, with many ways self-reflections could be done, aligned to what students do in their course assessments. Self-reflection, done properly, is challenging and some in this group fear that level of complication because it impacts on their workloads. Until we review this issue properly this group will continue to dumb down the process further making it even less valued.

As I write this journal entry, I acknowledge the complicated nature of what we are dealing with here, and that if you were present in this meeting we would be dealing with these complications. You would make it clear it must be done and we would all be working together to make sense of this element of the award.

9.7.2 Just when I thought it couldn't get any worse...

'Ok, so somehow the meeting has now moved onto one colleague having to explain to two others how the existing award works' (MF/J:33). They never resolved the self-reflection issue, yet they have moved onto something else and don't even think about asking me. This meeting is just flitting between issues because people just do not know what to do, and the lead is letting it happen. Now I have zoned back in I can see the *'discussion that is in progress makes [me] realise how badly this group work[s] in silos' (MF/J: 34).* When I listen to them, I can see that despite all the changes made in Gateway over the last three years nothing has really changed and, more depressingly, nothing will. I can see they have no understanding of the previous iterations of the award, and the previous work undertaken to develop the department was wasted because colleagues have no idea what Gateway is really about. We are a collection of individuals whose siloed mentality fails to operate or even recognise there are needs across the various teams within the department we need to be considering. Their narrow view of what is happening across Willowick and their inability to look beyond their own desks is limiting their understanding of why we are in this working group.

'Prior to this meeting all the information we need to have a meaningful discussion was openly shared, [but] people either seem to forget what they have been told or they do not think it is relevant to them so don't engage with it (MF/J:35). As though I should be surprised. This is another example of colleagues' lack of engagement with what is happening at Willowick, leading to their non-participation in the job they have been asked to do. The award, just like New Willowick is not just a slight tweak to business as usual it should be a

complete disruption in how we work together. This lack of engagement in the process of New Willowick is playing out in this meeting as colleagues' plod on as if it does not really matter what they produce, anything will do!

9.8 We're all doomed Mr Manwaring...

I just hope You are reading this and step in like you have in the past to sort it out, to make the madness stop and, to help me see that it is all ok and I am right. At least when You did, things got done. Every time we had these inane conversations you would just wade in and say, 'this is what is going to happen' and it did. Ok it was only ever done in your name without commitment on their part which never really changed much, but this frustration and annoyance I feel now would have been dealt with.

The lack of leadership is why I am here dealing with the pain of this meeting. Ideas are being ignored as the group agree to actions they are not committed to because there would be a need for them to change. So instead, they just frame the solution in the existing processes and ways of thinking they are comfortable with, limiting their ambition, and reinforcing their unwillingness to change, or adopt new things. At least when You were more engaged with this type of design process You used your authority to enable me and others to share our opinions. You would weigh up the competing arguments and make the decision on what would happen. Now the rest of this group are exercising their power by disingenuously agreeing to something they will not do and deliberately holding up the process to sabotage the outcome. There is nothing You or I can do to stop this madness, unless you read this,

because you just could not make this up. The process You set up is flawed and not going to deliver what You wanted or needed if we are really going to transform how we work.

The biggest frustration of all is the realisation that, as I write this journal entry, I am exhibiting the very behaviour and attitude I am criticising these people for. I am disengaged, nodding acceptance for a plan I am not committed to, and sabotaging the processes. I have become the very people I am fighting against. By taking myself out of the meeting I am agreeing with what is happening even though I know what has been agreed is not going to work. And that is why I am agreeing, because it really does not matter what is discussed here, it will not happen because we are not prepared to change, and we all know that this process will fail.

The meeting is over now, or at least I cannot write anymore ...

9.9 The calm after the storm

'Now, some months later and after the whole student award working group has collapsed around our ears, I can [definitely] say that I wouldn't change the points made previously... in my journal (MF/J:38) Yes, the working group and process collapsed, reinforcing my view the process was flawed, the people involved just did not get it, yet I knew the outcome would be delivered but not that way. But I wonder how much my attitude shaped that outcome.

Just as I predicted, when things went wrong Chelsea and I were asked, by Graham and Margaret, to take over and make the award happen. Just as we have always done, we just

did what was needed and delivered what was required. This time we formed a different working group made up of people who cared about the task we had been set. Those who were in the original working group were able to exit if they wished without any acknowledgement that it was their lack of understanding that had caused the process to collapse, but they stayed on as an advisory group out of shame.

The new working group operated much better because we focussed on the student, how they would engage, and what value meant to them. We then designed the product and processes to deliver that. It was a less frustrating and a more engaging process, with a clear view of what the end product would be and working with people who were committed made it more enjoyable. We shared a collective leadership where we owned not only the process but the outcome. We were vested in both because we created both through a sense of purpose and connection with each other that did not exist in the first working group.

Like other members of the first working group, my inability to say what I meant, to be absent from the task, undermined the process which became a self-fulfilling prophecy of failure. The process should have worked but the personalities involved, and our collective behaviour, meant it did not. It felt like the process became the problem we were trying to solve as the lack of leadership, openness, and courage to say 'I don't understand...' was missing. No one took control and it all felt tortuous and a failure.

That assumption may have been wrong as my assertion of a flawed process may be misjudged. I assumed success would be our ability to work together to deliver the award. But this was wrong. The redesigned award has been delivered and everyone in Gateway

could say they were involved even though the group collapsed. In hindsight it was unrealistic to expect a working group made up of such diverse skills sets to remain static and pull together through every phase of a project. The working group had to be fluid with people dipping in, moving on, or staying for the entire process if they wished, and if they were needed. Skills were required to suit the tasks presented at any given time, at different stages, and that required new people to come in, and the constitution of the group to change over time.

Those who wound me up at the second meeting took on advisory roles as people with knowledge and ability stepped in and were given responsibility to take the task on. As a result, *'the award hasn't ended up as a low-quality tick box exercise, it's a well-balanced and thought-out award that provides first years with a good basic start in their employability development'* (MF/J:39). It fulfils the brief given and represents a successful outcome because it meets the needs of students, adds value to their experience, and is properly thought through. This is *'because people who were invested in the process took over. It's just a shame that the members of the team who deal with students don't appear to understand or care if the process is a success'* (MF/J:40), they have moved on and just carry on trying to implement the award as though nothing has changed, but things have changed.

I cannot say the change has been the step change we expected in the way the department works and I don't believe we have come together as a team in one giant leap. If anything, I think the process has been destructive rather than productive with new barriers emerging in the way people work, new divisions evident, and some existing ones reinforced. I could be accused, and may be probably guilty of the accusation, of manipulating the process to get

my own way. I was given the opportunity to participate in the original working group but withdrew my support because I did not like the way it was going, and that is ok! For me it was the only way I could be fully involved in redesigning the process to produce something I valued, it was not about stalling the process but enhancing it. The result is that I ended up leading the work of the reconstituted working group and was able to take the initial ideas and develop them into something new with the input of the wider team.

Of course, there are still complaints about the outcome and colleagues continue to assert they do not understand or know how the award works, but from *'my perspective it's not as though they hadn't been given every opportunity to have an input into the development'* (MF/J: 41). The result captures their ideas, discussions, and feedback into something real. Despite this, just as no one took responsibility in leading the process or ensuring everyone felt comfortable in the process, no one has taken ownership or leadership for the implementation of the award. It is seen as my award, and I am in my usual position of expert and the go to person for information and support with the award. I have somehow, managed to remain in the situation where I am doing the job of those above me and being expected to continue to work above my paygrade... but maybe that is where I am at my happiest... betwixt and between. One unintended consequence is my colleagues feel disempowered and disconnected from the award which is supposed to help them, and I that frustrates the hell out of me also.

9.10 The importance of that second meeting journal

As it turned out, my silence in that meeting was the turning point for the working group, the process, and my involvement, as I realised I was not the only one absenting myself from the process. Just as I wrote down in my journal to You, we believed that *'if [we] nod and say yes then [we] won't be asked in too much depth what [we] think and [we] can then go on doing what [we've] always done, just with a slightly different slant so it looks like [we are] on board with all the 'amazing' developments being planned (MF/1:42)*. Like me, colleagues were afraid to question and put across their point of view in challenge of others, in case they are perceived negatively. Colleagues were vulnerable and looking back so was I during that meeting, protecting myself by being deliberately present but absent. In my case, it was frustration at having my voice taken away by more senior members of the team that drove me to withdraw, but others will have their own reasons.

We all used the power of our positions, experience, and the withholding of knowledge to protect ourselves from the uncertainty of the change we were planning. This power was used to absent us from responsibility for the decisions we were taking, and through the pretence of agreeing with decisions while having no intention of carrying through what was agreed. The failure was the failure of the first working group to be the safe space in which individuals could self- manage, challenge, and create something new. Unlike my colleagues, I had the journal to claim back my voice, to shout, argue, and think through. That space helped me realise what I was doing, and how I could make things better, by being prepared to step in when I was called upon to do so. So maybe things have changed, as I realise this is how I work best, and it is right for me and the department that I do so.

Chapter 10. Chelsea's Story

So, I am Chelsea the creative one, and I love nothing better than exploring the way things are. Over the last three years, I have been involved with the redesign of the employability award a few times and I am a bit fed up to be honest. But it looks like I am going to be involved in yet another redesign.

The current incarnation is the result of the work Tiffany, and I did with the head of the department after lots of discussion, planning, and training the whole team on how it works. We wrote detailed processes, which I have followed since, and if only my colleagues did the same there wouldn't be an issue. It's all in that documentation, the culmination of the work we undertook, laid out from the idea we started with to the finished result; agreed and instructing how the award operates. That might sound odd from someone who started out by saying 'I'm the creative one', but the final document is the evidence of the outcome of our collective actions and should be followed and respected. Everyone should know what is expected, how we communicate the product, how our process works, and consistently deliver the award. But that's not how my colleagues see it, and so we are here again.

10.1 The three problems I want sorting

Last Monday, I received another email from a senior colleagues (VH/J:1) that illustrates we are stuck in reverse rather than moving forward. We have dumbed the current employability award down to the point it has become worthless and unfair. I find myself applying valuable time covering up colleagues' mistakes to help them save face with

students, instead of doing my role. Colleagues seem to forget they co-designed the award, wrote down the processes, and agreed the instructions. For some reason they just ignore all that because they don't understand them, or they don't recognise the process doesn't work and needs changing. We just carry on covering up problems rather than address them.

I'm a bit of a contradiction really as when I say processes should be followed, I am not dumb enough to accept that if something isn't working, we should just carry on. On the contrary, it should be improved. I just think that changes should be discussed, agreed, and documented not made up on the hoof piecemeal, which is what we are doing now.

There are three issues, I see, creating this problem and I want these addressing in the working groups.

- First is the way we communication, or do not communicate with each other, and when we do it never works.
- Second is the lack of ownership and leadership of the award, other than from Tiffany and me.
- Finally, the result of the first two, is trust, or the lack of it, between members of the team.

10.1.1 Communication

The email I referred to is a case in point. Unexpectedly, but I do not know why I was surprised it happens all the time, a colleague says they '*hope its ok*' (MF/J:2) that they have

done their job wrong, disregarded the process, and favoured a student by giving them the award when they had not really done everything correctly.

Well, of course it's not ok, but they just expected I would just suck it up and accept it was ok, that really hacked me off. What was I supposed to do? ...ignore it...say no!... say it's not acceptable... take the computer says 'no' mentality and contact the student and say sorry 'bud' but you know you thought you had completed the award ... well you haven't (MF/J:3-9).

I suppose I could have referred this to Graham, but experience tells me he would have backed his team member and told me to get on with it... what does it matter it is only a minor issue.

Communication applied in the right way would make life much easier. We have written the process, features, and benefits of the award down. It's simple, but we have obviously not made this information accessible to all colleagues, but I would expect them to know how the award works because they were involved. Maybe rather than send me such a passive aggressive email (MF/J:2) they would have been better to pick up the phone to explain and discuss the options available in this situation. Things can and do go wrong, chatting through issues help us reach a better conclusion and it would stop me feeling annoyed, and maybe changed something so the problem doesn't arise again.

You could ask why I didn't pick up the phone or go round and see this colleague and have such a discussion if I'm so bothered. Well, why should I? (MF/J:3) If they cannot do me the

courtesy of talking to me, why should I go out of my way. I was so annoyed because this happens so often (MF/J:11), I would have just taken out all my frustrations on them rather than the real target for how I feel. Emotions would have camouflaged the facts of the situation, (MF/J:25) and the one thing you cannot do is get emotional as management would get involved in either a disciplinary or some discussion about my wellbeing.

10.1.2 Leadership Deficit

That brings me on to the leadership deficit. Yes, I feel things never improve because Gateway managers exercise little in the way of leadership (VH/J1). It's not just managers... no one in Gateway accepts they have responsibility for doing their job properly or take responsibility when things go wrong. Tiffany and I show more leadership capacity than managers and colleagues put together, and I'm tired and infuriated by it.

I have not always felt like this, when I was P.A. to the head of the department, a role I shared with Tiffany, things were different. That was before the 'promotion'. The problem is I have just given up trying to improve things these days, after all if no one else cares why should I? If I focus on processes, my colleagues, and what is wrong it is all too depressing. I get around this by focussing on the reason I took this job in the first place, the students and making sure they get the best opportunities they can, (MF/IV:81) but I don't feel anyone else sees it that way.

10.1.3 Trust

My exasperation is fuelled by distrust I have for some of my colleagues. I have worked with these individuals for a while now and know many of them as friends outside work. Yet while I trust them as friends, in a work setting all that changes. I question what they tell me, their motives, and I doubt they value me as an equal. This extends to Gateway managers who I do not trust to always act in my best interests, work to make things better, or address the problems I deal with. My trust in the head of the department has been dented since the botched promotion he promised me and his absence from much of what is going on at present. I used to see him all the time to chat things through, but he's busy with other things, creating a void for me and Tiffany. Come to think of it I am not sure I trust Willowick as we now seem more interested in the move to New Willowick than the students and staff (MF/IV:5).

But enough of the ranting it is not getting me anywhere, I have had enough letting these people wind me up, they are not worth it (MF/J:13). Bottom line, the employability award is not working, and I am not surprised it was identified as a priority when we met at the Lodge, because we are all fed up with it. Whether the process of the working groups works or not will depend on us getting communication and leadership right, and we need trust in each other if we can work together better. These are issues we have not managed to sort out so far, and I just hope the working groups don't repeat past mistakes and adopts a student perspective to the new award, rather than the vested self-interests which has been the Gateway way (MF/J:154).

10.2 Chaos is taking over

I'm beyond frustrated now; I do not care anymore... why should I? No one else does. I am beginning to sound like a broken record, but I am so tired of dealing with the same issues and no one doing anything about it (VH-J:3).

Here's the latest. We have taken on a new member of staff and managers can't even be bothered to train them in the way we do things. We have just given this new staff member wrong information, wrong paperwork, and left her get on with it. It is not her fault *'she's been inducted by a team of people who have seamlessly slipped her into 'their way'[sic] of working and the way they think everything should be done, with no regard to it all being very different to the way things are working across every other member of our team* (MF/J:78).

It is not ideal we are not all located in one office, or even one campus, so we end up talking to each other via emails and through documents we issue to outline new initiatives rather than talk face to face. But I suppose barriers are high and wide between us all now it would be hard to meet and talk things through without winding each other up. The careers team maintain a superior position within the department and ignore everything they are not interested in. I know these people personally and they are lovely, and they never used to behave the way they do now. Something has changed for them.

My frustration is maybe something they feel too... maybe they struggle as much as I am and ignoring what has been agreed is their way of keeping control (VH/J:3). I will never know

because we can't have that conversation face to face, which is odd because I can through these journals. So, this time I decided I am going to push back and make clear I am not going to put up with the impact they have on me (MF-J:68). I am going to reset my relationship with them. I am done with just putting up with it, I may not care about the job anymore, but I care about me, and I care about what is important to me.

There is too much happening; Willowick is immersed in process, process, process designed to get us to New Willowick, but those in charge seem to have forgotten about the people, people, people. I know it sounds odd after all my angst about people not following processes, but it's logical to me. A process is there to support not to control people, not to deflect work onto others, and should not create unnecessary work; they seem to have forgotten that. People are being squeezed out of processes; we are just here to make a process work even when it's flawed (MF/IV:9-17). There's so much outside the department's control, so much being done to us. I need to be able to control something and that something is the way I want people to treat me.

The email I have crafted is *'very politely [and] asked the new member of staff if she could email any [future enquires] ... to the shared inbox instead of to me personally'* (MF/J:68), as the process requires. I go on to explain how the rest of the process should work, taking the view that if her colleagues cannot help her, at least I can. It's not an altruistic act, I just think if I can get this new member of staff on the right track, open lines of communication, then maybe she will do things properly, and I may stop feeling so miserable.

Maybe my disillusionment is the result of the friction between the change that is happening around me and the inertia of my colleagues. If I can control something I can focus on something positive, I can succeed at something, but at the minute that control is slipping away. In the department we have control over our work, but that just adds to the problem because we are all doing what we want not what we need, because New Willowick makes the 'need to do' a bit blurred. Those, in the department, most vocal about changing the way we work are the very people who absent themselves from what has been decided and continue to do their own thing. Where are the managers in all of this? I just don't know. I am writing the journals every month as promised but do not see any action as a result.

I am really struggling with all this. I don't understand why the head of the department is ignoring what I am writing down. Is it he doesn't care? he doesn't know what to do? or is it just because he is undertaking research? I used to be able to discuss issues with him, now I have no voice and that can't be right. Increasingly, I have concerns about the working groups as every day I see the results of a small group of people making decisions that impact on everyone... and it is chaos. *'I can't help but feel it shows the complete segregation of how we work'* (MF/J:79) and by enabling a *'little clique of a group who think they know how to do everything better isn't addressing problems, it's actually creating a bigger problem'* (MF/J:82). Communication within, and leadership of these groups needs to be better than what we currently experience at Willowick, or we will fail again.

10.3 I am better than I am credited for

'This month has been the end of a long but rewarding experience of managing a student through their placement year working with us' (MF/J:100). For the first time I have been in a position of authority with responsibility, I had clear expectations set with control over the whole experience. As a result, I achieved a sense of satisfaction, and realisation that, despite everything going on here, I can make a difference.

'It's been rewarding to see someone struggle and then with [my] help be able to do those things on their own. To 'go from being unsure to confident in doing certain things. To see someone grow under your guidance is just really rewarding' (MF/J:106). I'm bloody good when I work on tasks I believe in and when I have support and the resources to deliver. I love working with people who are willing to change, do things differently, and learn.

It is a shame that feeling didn't last long. What is it they say, 'pride comes before a fall' and boy what a fall I had (MF/J:107)?

The university is so unfair. *'For a whole year I've managed [an] intern. This has happened without a hitch and [the] intern has had a really rewarding experience and has said she's enjoyed and benefited a lot from working with us. But despite all this, I am told I am not allowed to be [seen as] her line manager. Why? Because [my] grade is just not worthy? If that's the way it is that's fine, I understand that there are ways that some things just have to be done. But it's frustrating to do things that you're 'allowed' to do on the basis that you're capable and [people know you] will do a good job, when the reality is that 'on paper' it's not*

allowed to be your job, or you're not allowed to be seen to be doing it. Surely, I'm either up to the job or not. (MF/J:108). I want to work in a job where I receive recognition for what I am capable of doing not in a job where I am doing the work other people are paid to do (MF/J:109). It may be a development opportunity, but it isn't fair that I cannot grow and be recognised for that growth. Great job Chelsea, you have been amazing, but don't get above your station you are only a grade 6.

10.4 With the problems and the how's and whys

I feel overloaded right now. No one considers that as I am Prince-2 accredited, I not only have the ability to provide leadership for this working group, but I have the certificate that proves it. I will say up front, I agree the process we are going through with the working groups is the right way to redesign the employability award (MF/J:121). Since we met at the Lodge, and the numerous meetings since, the process is exactly what I have been asking for. The theory is sound with *'a group of people tasked to work on developing/creating something, and through that process [gain] feedback [from] others outside of the group who can then input to aid the development'* (MF/J:122) of the new award should work. Add in a structured planning phase, doing phase, feedback loop, and the ability to revise the plans based on feedback, what is not to like. However, two important things were not considered. The first was the ability of the people appointed to the group I am a member of, and the second is the timeframe in which all this is going to take place.

I don't want to be critical of my colleagues or give the impression they are not up to the job, because they are. My challenge is how the group is led, or more precisely misled. This is not

a criticism of the individual, but a misunderstanding of the nature of leadership within this group and how we need to be led at each phase that is creating, what I can only describe as, a nightmare.

10.4.1 We need to talk about Brian

Brian is in charge of the working group I am in, but has no idea what he is doing, worse than that Brian has no idea why he has been asked to lead this group (MF/IV:101). We also have a Project Champion, Graham, Brian's line manager and responsible for the employability team, the team most impacted by the new development, but he isn't engaging in the meetings at all.

Brian's appointment appears to be solely based on his grade and standing in Gateway rather than his ability to do what is needed. Ability? No... he should also have an understanding, capability, and be interest in what we have been tasked to do... he possesses none of these and I am supposed to follow him in this process. The appointment of project lead should have been based on the ability to lead, not a person's pay grade or because this was an opportunity to address a development need in Brian. The project lead should have project management skills, the confidence to admit they do not understand everything, but most importantly they need to listen, and be prepared to change. That is not Brian, and it was unfair to put him in charge of a process this important (VH/J:4).

I'm not being harsh; Brian has told me as much himself (MF/J:131). *I'm genuinely baffled as to why [Brian] was chosen. I'm equally baffled as to why he has seemingly been allowed to*

just get away with not seeing it through and dropping the ball when it proved to be hard work [MF/J:161].

10.5 I'm getting ahead of myself.

Despite a promising start, the working group has been a car crash of incompetence throughout (MF/J:132). It didn't take long for old behaviours to kick in with the usual consequence of me ending up in a state of disappointment at yet another false dawn, but here we go with working group meeting number two.

Everyone has turned up, and prior to the meeting, at Brian's request, I have spent hours pulling information together on the current award to inform the group's discussion at this meeting. Despite the scope of what was needed being unclear, I really enjoyed doing this because I could see the value in it. I did my best and I believe I have produced some interesting insights I am looking forward to discussing (MF/J:132-134).

10.5.1 The False Dawn

In usual Gateway style the information is ignored and has not even been mentioned. Instead, Brian decides to present this meeting with a new proposal developed with his careers team colleagues, without any reference to this group. For once we were all united in our fury at such an unsubtle attempt to undermine the process and respect for this group... well we are annoyed and vocal.

The group are in the throes of the most heated debate I have been involved in for years. There is a cut and thrust between everyone as we take Brian's proposal apart and demonstrate why it will not work. We are at the point where we identified what could work better, exploring several alternatives to the one Brian presented (MF/J:136). Looking over at Brian, I realise he resembles a ventriloquist's doll; his lips are moving but the voice I hear is not his but that of his colleagues. I see now there is no way he is going to shift position, he can't. He was sent in to do battle with us with a fixed script and a position he has no authority to deviate from. He is here to exert the interests of those excluded from the working group to ensure their views are imposed on the group.

We need to make sure whatever is developed works for the whole team, which is why all parts of the team are represented in this group but it's too early to bring in voices from outside the group as we haven't even discussed what the problem is yet. No one has reviewed data and here we are getting others to tell us what should be done. The disruptive nature of Brian's actions is creating a space in which we are creatively discussing, arguing, and exploring options and has got everyone talking, which is good. But the focus of our anger is the careers team as we are united in our objection of the fait accompli presented to us. Tiffany seems to be busy writing things down, I'm looking forward to catching up with her outside the meeting as she is quiet, but that's normal in these situations.

10.6 Smart! Clever! this can't be Brian's idea

I have just received the minutes from the last working group meeting from Brian. Not only did he ignore us in the meeting he has silenced us in the minutes. The minutes only mention

the idea he put forward indicating his plan was agreed when it was not. These minutes are an attempt to control the group and the decisions on what is being taken forward and has effectively silenced the group and put an end to any other options being explored.

(MF/J:138).

I thought the point of the working group was that we could discuss and object to proposals, which we did, but the meeting has just gone the same way others have with peoples' views erased in favour of decisions taken elsewhere. There's a lot of telling not enough listening or discussion going on. I've totally switched off from the working group now as it doesn't matter what I say the only binding communication is that undertaken through paperwork or gossip (MF/J:153) neither of which is truly believable. These minutes have driven a wedge between the group and Brian, they fail to contain the voice of the group and we have no way of challenging, because they will be ignored at the next meeting.

10.7 It's all my fault ... is it?

Graham seems to be watching me, I know I am being quiet but what, I wonder, he is thinking...

Oh, it's my fault is it; I am the one disengaged and you're worried about me, are you? Ok yes, I am disengaged Graham... to tell you the truth *'we aren't getting anywhere; it's all rubbish and I don't have it in me to fight it (MF/J:140)*. He doesn't necessarily see the situation my way but at least he gives the impression he understands why I am fed up. I

would like to think he will have similar conversations with other people who were there, including Brian, and getting similar feedback.

Graham has stepped in and opened a communication channel within the group, and it feels like the group is going to get a grip. Give him his due, Graham listened, challenged me, and took my views on board when he understood what was wrong. What he does with this now I don't know, but he is trying to bring the group together, or at least to stop me dropping out. We will see. Graham is conflicted. He is bound to be getting concerns raised by his careers team, he will want to support Brian, and I'm sure the head of the department is on his back about how things are progressing. He will be pulled every which way; it depends which perspective holds the most sway over him.

10.8 The China shop...just after the bull has gone through...

Here I am again, my usual position, clearing up the broken China after the bull has gone through the China shop with Tiffany.

Not long after my rant at Graham, he asked me to pull a plan together to get the award designed and launched. At last, my abilities are being recognised and my role in the working group defined, and Graham finally taking responsibility. Brian is set objectives rather than being given unfettered authority to do what he wants.

How wrong I was? Graham has stepped in and getting the group to do what was needed to move things on, but he must have failed to tell Brian about the plan. Brian continues in the

same vein; Graham just does not know how to manage him at all, Brian is oblivious about the change needed in the way the group will work from now on (MF/J:143).

My plan was sent to Brian but only to be returned with comments and edits that make it look very similar to his original proposal. I'm giving him the benefit of the doubt about his intentions in doing this, but there is the hand of the careers team at work here. The relationship between members in the working group, the egos, the lack of communication and inability to acknowledge any possible misunderstanding in a professional way means I just can't discuss this with him (MF/J:145). He obvious hasn't understood what I put in my plan, and rather than discuss it he just changed it back to what he/they wanted.

I'll leave it to Graham to sort out now.

10.9 It is all last minute ... again

As usual it has been a mad panic.

Time is running out, and the award is due to be launched at the start of term, but no one is delivering to the milestones we have agreed (MF/J:150-152). It's no different to previous years to be honest, we are just never ready. The drawn-out process we embarked on to develop the award has been fitted in with business as usual. Everyone behaving like it doesn't matter, we have New Willowick creating more work and confusion (MF/J:75), it just hasn't worked and maybe was never going to. Managers don't realise that we don't have

limitless time to do everything; I always *'have to work my arse off, all at the last minute, to finish building something that should have been done months before'* (MF/J:149)

After my plan was ignored, Graham came back and told me to just get it sorted, and I have. He succeeded in moving the process on (VH/J:4) when it stalled, which was his role I suppose but we lost valuable time. Tiffany, Margaret, and I formed a new group; Brian remained our lead person, but on an advisory group this time, with Graham our Champion, I use them to approve what we were doing now though (MF/J:146). We called in people from outside the working group, including members of the careers team, who we know would have the skills needed to help us.

Key here is the *'people outside the [working group] are so much easier to work with, they have skills, knowledge and more importantly they can see the potential of what we are doing... and are enthusiastic'* (MF/J:113). They are open to exploring options, to understand the issues, and to clarified what is needed. It is inspirational and motivating (MF/J:112) *'and a way of working I intend to adopt from now on'* (MF/J:118). Even when the answers elude us, or we cannot quite work out what's possible, it doesn't matter. Lack of information is not a block to getting things done, it is an interesting place to be. The whole redesign process has taken a lot longer than if I had just done it myself, and we would have delivered the award a long time ago; but we still haven't finalised the award as I would have liked.

The freedom of not having to continually explain things to people who just 'didn't get it' allowed for the complexity of what we were tasked with to be explored. We were right about the nature of the disruption the redesign of the award would have when we met at

the Lodge, and I think the advisers recognise that as well. Maybe the working group was designed to keep the disruption to a minimum as it was possibly too much to deal with in one go, but we will need to all work together if the award is going to work.

10.9.1 The light bulb moment

The true size of the task we were set came home to me today.

'I hear on the grapevine that [careers] advisors have complained about not being consulted on any of it, with particular reference to the reflection/ summary section (actually speechless at that) (MF/J:153). The head of the department has always said the award cannot be a bureaucratic and, as an extracurricular award, we have flexibility to be creative, to do something light touch but meaningful. There is the complexity I hadn't realise. How can something be meaningful if it's light touch and the whole award is optional? (VH/J:7) We have never agreed what this means, the implications, or if it is possible to achieve. I realise it is the one issue that has been at the root of all our frustrations, right back to the start of this year, if not before in previous iterations.

Looking back, every frustrating conversation I've ever had with the careers advisers has been about this element of the award. Even now I've asked them to come up with new proposals and they can't do it. No one can do it. Or to be more precise they have come up with something, but we all know it won't work. All along, the award hasn't been the problem, it has been this one element of the award, and it remains the problem because we haven't got time to sort it out before the start of the year.

10.9.2 Groundhog day

I ran the training session with the whole team the other day at which I introduced the award, explained how it works, and the processes in place to help the student and the team navigate the award. I followed that up with emails clarifying what I told them, the slides, and documents needed were also provided... so they were all well trained in what needs to happen. Don't make me laugh...

I find myself inundated with query after query as the *'phone rings off the hook with people asking questions because they don't understand it'* (MF/J:151). They see me as the only person who knows how this thing works despite all the information provided... they should be able to get on with it now. But they can't, and I think Graham has reached the same point I reached a while ago and realises we can't carry on like this. While I now realise the problem remains the reflection stage, I am prepared to make allowances for this as we head into the new year, but I'm fed up [of] repeating myself because they can't be bothered (MF/J:155). I have ended up with more responsibility as a result of this redesign process. It has left me emotionally drained, doubting myself, and unable to let go of my established role as the fixer (MF/J:159). This process has just reinforced my position as the person who sorts problems out, the one who sticks at it, delivers, goes the extra mile to get the job done (VH/J4), but I continue to carry the responsibility with me because colleagues refuse 'to get it'.

Just as I thought I was finished; it looks like this is the beginning of yet another cycle of redesigning the award, a fifth iteration, and I am not sure I have the strength for that again because that will be when we are at New Willowick.

10.10 Three Problems Resolved?

I set out the three measures of success for this process. The first was communication, the second leadership and the last was trust.

It may have been unrealistic to expect these to be achievable in a year and with New Willowick distracting us. The desire to address these issues was more a cry for help. A desire to return to a way of working that used to bring the best out of me but which has been lost as we have been caught up in the chaos which is New Willowick. The focus on the development of the award and being able to control what we can control has provided a space for me to consider my place at the university, my relationships with my colleagues, and to affirm who I am and what I believe is worth holding on to. Willowick used to be the place I could fulfil my passion and commitment to making a difference. That has gone for now, but I hope it will come back when New Willowick is a reality.

For now, communication still needs improving across the university and the team, leadership especially my leadership is improving but is way off what is needed, and I trust in myself, the way I want to work, and the difference I want to make. All this remains a work in progress, but maybe that is the way it has to be, and maybe I won't be up for the fight.

Chapter 11. Stage Four Systems Analysis- at the Start of the Research

11.1 Introduction

Chapters eight-ten achieved the research aim identified in section 1.3, by presenting the stories of participants to understand their experience as they undertook a SI process. These stories demonstrate the value of Carspecken's (1996) pragmatic horizon analysis (PHA), as outlined in section 4.5.6, in producing truthful representations of participant experiences using data collected at stages one to three of Carspecken's, (1996) critical qualitative research methodology (CQR) (chapter four).

This chapter begins the demonstration of the research's original methodological contribution (section 1.4) in applying Stones (2005) strong structuration theory (SST) at stages four and five of CQR to map small-scale systems, identify structural change, and the enabling and constraining structures encountered by participants. This analysis sought to ascertain whether the SI process outlined in chapter seven simultaneously created a new service and reconfigured existing power relations within Gateway to inform a modification Cajaiba-Santana's (2014) framework as an original contribution of SI theory.

This stage four analysis uses participants' stories to identify systems relations by mapping position-practice relations (Stones, 2015:81-84), (section 4.8.3) at T:1, the start of the SI process. An understanding of individual participants' perceived context at T:1, conduct, and structural environment is presented, discussed, and then consolidated to represent the structural framework of the working group at the start of the research. Section 11.3

presents Gateway's T:1 position-practice relations map illustrating the network of others around the individuals, and working group, the position-practice relations through which external structures are mediated into the group, and the initial configuration of Gateway.

As already outlined in section 4.5.7, beyond the instruction to discover particular systems relations (1996:196), Carspecken (1996) provides little guidance on how stage four is conducted. He also declares that stage five allows for creative analysis as there 'is definitely no single way to perform it' (1996:202). While Carspecken previously advocated the use of Behaviour Setting Surveys (BSS) at stage four (1996:199; Georgiou *et al.*, 1996; Georgiou and Carspecken, 2002), my application of SST at stages four and five represents an original methodological contribution of this study (section 1.4).

The consolidated structural framework identified in fig 11.6 provides the foundation upon which the stage four and five analysis is concluded in chapter 12 where structural changes across four pivotal action points of the SI process are identified and modifications to Cajaiba-Santana's (2014) framework suggested.

The next section expands on section 4.8 by detailing the analytical model applied at stage four of CQR to understand participants perceptions of context, conduct, and structural environment at T:1.

11.2 Revisiting the Analytical Model Applied at Stage Four

The application of SST enabled the representations produced in chapters eight-ten to be used to “fit’ with, or match to, existing social theory and provided a position-practice relations map, to meet Carspecken’s requirement to undertake a systems map to understand the cultural environment in which participants operated, and their interests in fulfilling their needs and desires (1996:204).

The inclusion of ‘position-practices as the network of others surrounding the agent in focus is particularly relevant’ to this study because SI is defined as a collaborative act (Daff and Parker, 2021:5). ‘What is going on in peoples’ heads is never free-floating ... but embedded in those contextual fields’ under review (Stones and Jack, 2016:1149), with the structural context affecting the conduct of the agents-in-focus and the outcomes (Daff and Parker, 2021:7) influenced by others. Undertaking a context and conduct analysis required a methodologically bracketing of analysis, looking outwards from, and inwards towards, the agent-in-focus.

Context analysis explored outward from the agent-in-focus to examine interactions between participants, their Gateway colleagues, the process of SI, and UOW to identify ‘enabling and constraining’ features of the context pertaining to the area-in focus (Lee and Manochin, 2021:5) as perceived by the participant.

Conduct analysis utilises Stones’ five aspects of active agency (2005:101), to look into the participants to identify ‘the process by which participants try to reconcile their habitus and

specific situated knowledge with their understanding of the contextual field' (Kennedy, *et al.*, 2021:4) when making conscious or unconscious decisions to act. Specific situated knowledge acts as the hinge between agent's internal general disposition and the perceived external structural context (Kennedy, *et al.*, 2021:4). This context may be beyond the participants' influence (independent) or with adequate power, knowledge, and critical distance, participants may consider resistance (2021:4), especially if it is in their interests, or motivation, to do so. Finally, outcomes, both intended and unintended, are identified feeding into further cycles of structuration (2021:3).

SST's context and conduct analysis reflects Carspecken's focus on being cognizant of the culture and environmental conditions facing participants and identifying participants' interests to surface the needs and desires they seek to fulfil through their actions (1996:203-204). Fig 11.1 presents the analytical model applied at stage four of CQR, bringing the quadripartite SST model together with both context (outward from participants) and conduct (inward toward the participants) analysis. The model demonstrates how the enabling and constraining context participants perceive were assessed and the process through which participants reconcile their general dispositions with their perceptions of the contextual field and knowledge of external structures explained. These elements inform the understanding of participants' actions through a continual assessment of the character and dynamism of participants conduct (Stones, 2005:101)

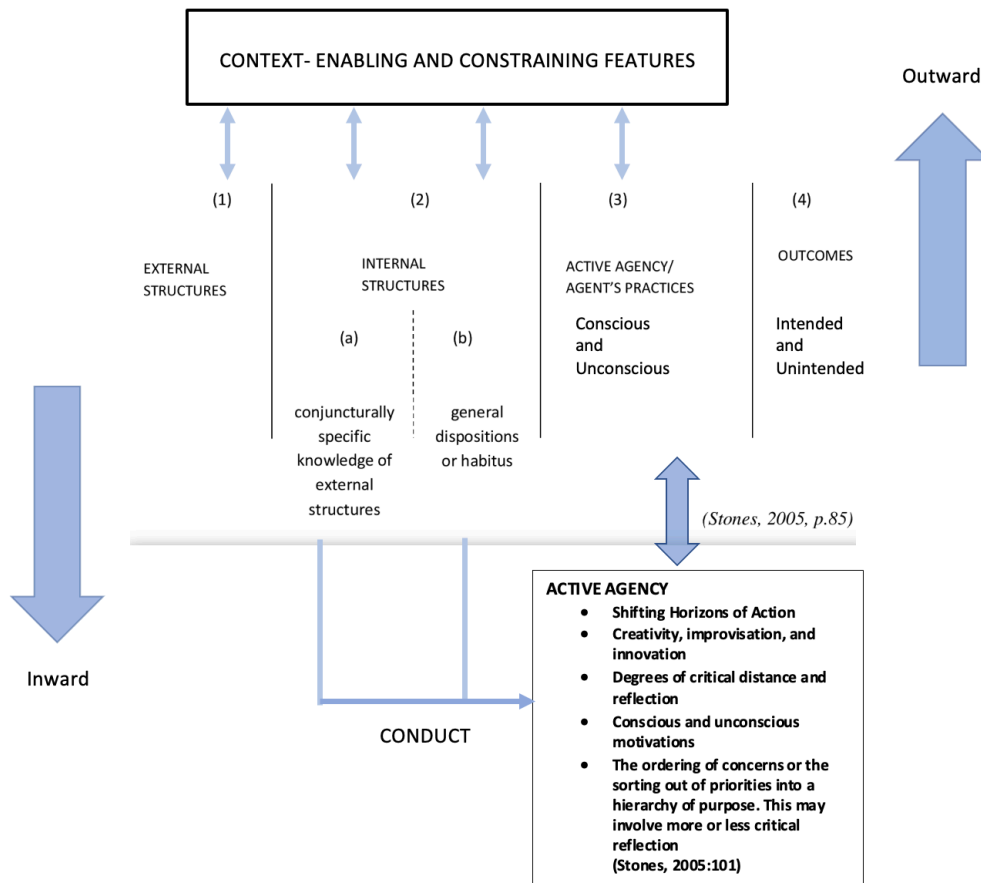


Fig 11.1- Diagram outlining how the analysis at Stage 4 of CQR was undertaken

11.3 The Context at the Start of the Social Innovation Process

This section presents the outward facing context analysis perceived by participants at the start of the SI process (T:1) and the position-practice relations map identified from the

stories in chapters eight-ten, the data generated through stages one-three of CQR through the hermeneutic cycle (section 4.11).

11.3.1 Cultural and Environmental Context- Willowick

As the research commenced, Gateway staff operated in an environment of uncertainty, technological change, and information overload as plans for New Willowick (NW) intensified. As identified in chapter three, NW was forced on University of Willowick (UOW) staff in response to an ideological commitment to the marketisation of the higher education (HE) sector, driving a reassessment of UOW's business model to compete in a sector where competition and survival dominated. The NW future, always beyond reach, promising a brighter tomorrow in which everyone would prosper, a symbol of modernity, pulling and pushing participants onwards, that had to be trusted as no alternative, other than exit, was available. For Gateway, the pressure and emphasis on improving graduate employability added to the uncertainty and the feeling of confusion.

The continual flow of formal and informal information undermined participants' understanding of their roles, distracting them from business-as-usual as the certainties of the past crumbled with every change in organisational structure, process, and policy. The dominance of the 'financial' drove all the changes introduced from tighter procurement arrangements, faculty, and departmental restructures to the marketing of NW as a unique opportunity only available to UOW students. The dominance of the financial took precedence over the 'social' of UOW or at least clouded it in the delusion of what would be

rather than what was (section 3.5.3). The marketisation of HE was changing the sector, with UOW needing to adapt or die, and reinvention chosen as the strategy to follow.

The vision for UOW was designed by a charismatic leader, and implemented by a senior management team, who deliberately sought to change the environment and culture forever. Similar to the period following the warning of an impending natural disaster, UOW was deep in preparation for the unknown, driven by forces beyond its control, with people manoeuvring for survival, or ignoring the warnings of what was coming. NW heralded a brighter future, worth the turmoil and confusion of the present, driven by a political ideology, in the pursuit of modernity.

11.3.2 Cultural and Environmental Context- Gateway

The story of Gateway during the calendar year 2017 enjoyed an extensive cast-list preparing for the unknown impact of NW (chapter two). There was increased political and societal pressure to prove the value of HE with imposed metrics, league table position scrutinised, and increased competition to recruit students, all channelled to Gateway in the form of heightened expectations to improve levels of graduate employability.

Gateway staff had already endured three years of upheaval, restructuring, and uncertainty enhanced by the turmoil and wider organisational changes. In the summer of 2016, divisions, conflict, and uneven distributions of power and priorities across the department remained (chapter two), the results of successive failed top-down reorganisations and attempts to rebalance Gateway's activities.

Gateway staff worked well within the shadowed spaces of the organisational chart, hangovers of old departmental boundaries, while cross departmental working, sharing of resources, and acknowledgement of the value each area brought to the whole remaining elusive. These pressures culminated in the need for Gateway to address the divisions that took up time, resources, and energy better focussed on delivering institutional priorities.

11.3.3 Position-Practice Relations Map

Position-practices relations across Gateway were disconnected, clustered to represent an organisational chart long since confined to the wastepaper basket. Service areas were hierarchically connecting at management level, with little cross departmental working. Against this backdrop working groups (section 7.7) were expected to operate to deliver new products and services to improve graduate outcomes and address departmental divisions (chapter two). The position-practices mapped at the start of the SI process illustrates this situation, highlighting the relationships through which external structures are mediated between these clusters or activities, agents-in-context, and agents-in-focus (fig 11.2).

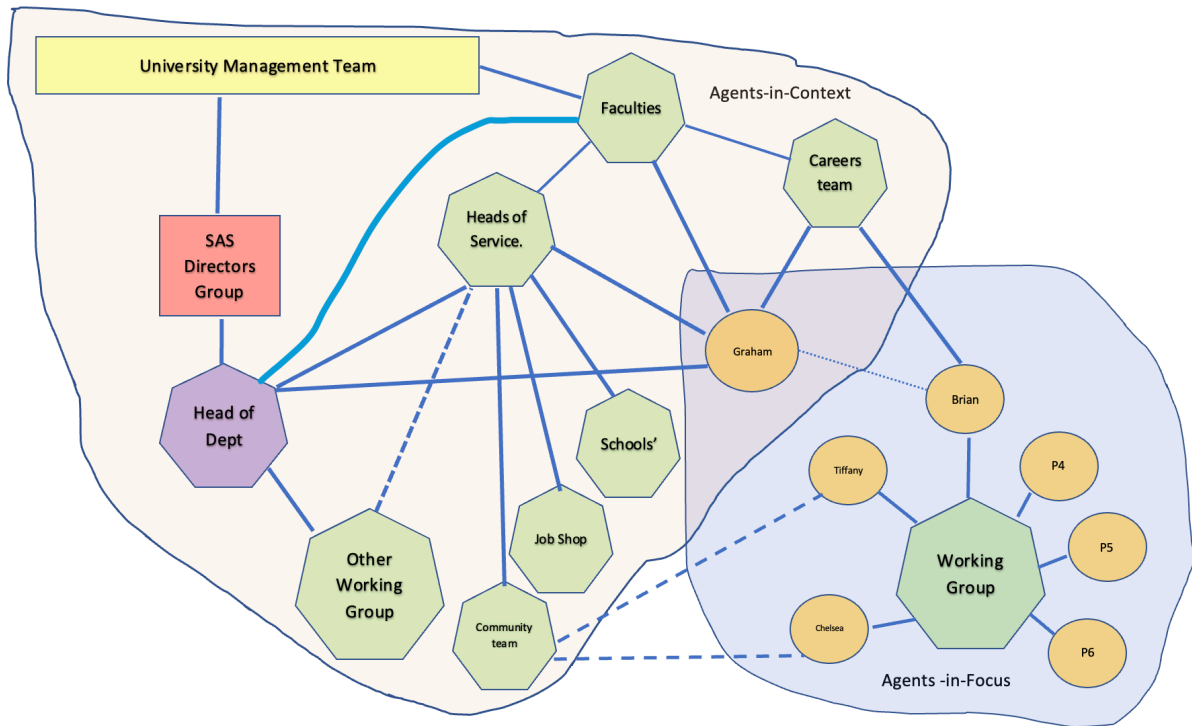


Fig 11.2 Position-practice relations between agents in focus and agents in context at the start of the SI process (T1)

This map, constructed from participant stories (chapters eight to ten) and dialogical data (chapter four), identifies knowledge held about the strategic terrain in which participants worked as the working groups formed at the start of the research process (Greenhalgh, Stones and Swinglehurst, 2014:213). As the stories of Graham, Chelsea, and Tiffany involve the same working group, the next section explores their individual perceptions of this context and how they acted prior to joining the working group, and the interests they pursued in the workplace.

11.4 Graham's Position-Practices and Interests

Unique within the Gateway management team, Graham's role connected him with many aspects of university life. As a manager, Graham operated betwixt and between multiple relationships, acting as a conduit for external structures across his network of others into Gateway and working group.

Relatively new to HE, his experience and knowledge came from working in the private sector from where he drew a clear view of how people should act and be treated in the workplace. He was challenged by the academic-professional service divide, the nature of what passes as acceptable communication, and the tensions caused between the multiple priorities at UOW. He was comfortable working with cross departmental teams when they were pulling together to achieve a common goal, to make money. UOW's mixed social and commercial priorities, common in a socially orientated business, (chapter three), was at the root of what challenged him, but his background in financial services instilled a customer focus, because pleasing customers is how you made money. The challenge he had was defining who the customer was; students, academics, the league tables and how these competing needs and wants of such diverse customers could be reconciled.

Graham's style was of someone used to delivering, because time was money, with targets set to be achieved; something HE did not seem to understand. His uncertainty was rooted in confusion about how to apply his skills and experience to achieve success in an alien environment. The lack of consensus on what success was beyond survival to get to NW,

added to his frustration at not being able to be himself and work in the way he believed appropriate.

For him, the NW narrative nullified all concern to consider the needs of current customer, other than those of future students. Even when the focus was on current students there was no agreement on what priorities should be or agreement on how these should be achieved. There was a mentality of self-preservation amongst senior managers close to NW decision making as they battled against each other for survival and superiority when the shock final hit and UOW changed for ever. This behaviour impeded Graham's ability to develop respectful relationships with colleagues around shared priorities, causing him added frustration, challenging his belief in how work relationships should operate.

Graham was also betwixt and between his team and the rest of the department. His lack of HE background, or careers qualification, put him outside his team. His background was exactly why I appointed him; however, he walked a tightrope between knowing his team had superior technical knowledge, requiring him to take their lead on careers professional practice, and knowing he had the skills and ability to provide the environment for them to succeed. His team retained a professional distance from other areas of the department, and, at this point, he had not succeeded in building a managerial relationship capable of bridging those gaps. This imbalance of technical knowledge provided his team the opportunity to directly influence Gateway senior management, with Graham taking what they told him uncritically, presenting it as definitive to his senior colleagues.

Graham strongly advocated for his team, was highly protective of them, and his role, and deflected criticism levelled from other areas of Gateway. He was comfortable with his defence as it was a skill developed over years of defending his corner in previous roles, however it was a fine line between being supportive and recognising the challenges of his team. He was never overtly critical, but constantly frustrated with his team, the workplace, and the divisions he was experiencing. This inner turmoil led him to withdraw and seek reconciliation of the uncertainty he was now experiencing in the certainties of his past.

His declaration of being 'old fashioned' when all he wanted was 'common courtesy' and 'professionalism' put him at odds with the environment where such things were lost in the dehumanised way people communicated and the overbearing focus on an ill-defined and unknown future. But were these 'old fashioned' things too much to ask for? He did not think so.

His sense of inferiority, borne out of his non-academic status, was addressed by asserting his professional superiority over colleagues with titles more highly rated in HE than the real world. Determined, he resisted being drawn into their way of behaving, retaining his dignity, charm, and composure when responding to discourtesy. He extended the benefit of the doubt, saw the best in people, and refused to change to accommodate behaviours exhibited by people he had little time for, even if it failed to change the way they acted (section 8.4).

Decisions concerning NW were taken a long way from Graham's sphere of influence and beyond his pay grade. They were half thought through, badly communicated, and constantly changing, creating a sense of chaos for Graham that tempered the excitement he and others

had about the vision. Despite this, he trusted those making decisions with distance from the making of such decisions related to NW independent and ignorable at any given moment. These became irresistible when the impact was closer to home, when feelings of disillusionment, mistrust, and lack of confidence added to his concerns about the future.

The context for Graham was confusing, chaotic, and unproductive, requiring him to position himself where he could be most effective, and align his role as defined in his job description. Graham was a manager whose role was to work with other managers because he needed to build his own profile and authority rather than rely on existing links his careers team had with faculties. He was busy managing his team, his relationships with faculties, fellow heads of service, the head of Gateway, and his relationship with UOW. Like Tiffany, Graham took responsibility for being informed about NW, supplementing formal communication with gossip obtained through increased engagement across UOW, reinforcing his sense of confusion.

Graham was immersed in a role swinging through the grapevine of gossip, unsubstantiated supposition, and watercooler moments where context was expanded and exaggerated. He worked closely with the head of the department to understand how to navigate the terrain and glean additional insights he would have access to, if he were in the position more befitting a person of his ability and experience. Working below the level he had been used to in previous roles only added to his frustration.

Graham was in a powerful position as the main connector between the working group, the Gateway teams, and the wider university but he prioritised the wider university and its

priorities over supporting the working group. He perceived he had little power to influence the working group, preferring his role as 'manager' in the department over his role as Champion of the group. His perception of the context required him to adopt a professional persona to protect himself against attacks on his personal beliefs, about what constitutes acceptable workplace behaviour, communication, and attitudes.

Fig 11.3 presents the external and internal structures affecting Graham's actions and outcomes up to the point the working group started work. External structure, in **bold**, are those inhibiting Graham, with the internal structures in **bold** contributing to his negative perception of the context in which he is working. The actions underlined are the conscious actions he undertakes in light of his understanding of the context, and those outcomes underlined are intended. This schema is used in figs 11.4 and 11.5 to explain Chelsea and Tiffany's situation.

External Structures	Internal Structures		Active Agency	Outcome
	Conjunctually-specific Knowledge	General Dispositions		
<ul style="list-style-type: none"> • Narratives on New Willowick • Process changes in planning for New Willowick • HR processes • PDR objectives • Academic v Professional Services • Finance processes • TEF • University strategic plan 	<ul style="list-style-type: none"> • Reliance on email communication • Job Descriptions do not reflect a person's true ability • Over reliance on qualifications rather than experience • Structural divisions lead to disrespect and undervaluing staff • Personal relationships get things done 	<ul style="list-style-type: none"> • Job description= authority, grading, salary, and responsibility • Expectations of modes of communication • Protection of own team • Managers should manage and lead • Lack of respect and courtesy towards others. • Lack of customer focus over process. 	<ul style="list-style-type: none"> • <u>Withdrawal when general dispositions challenged</u> • <u>Not to adopt institutional behaviours</u> • Protection of personal 'self' • <u>Align to external structures as way of gaining authority and access.</u> • Neglected working group • Contributed to the 'failure' of the initial work of the group • Engage with formal and informal communication 	<ul style="list-style-type: none"> • Confusion • Lack of progress of working group • <u>Accepting what told by team</u> • <u>Focus on connecting careers team to wider university</u> • <u>Work at dean level to build rapport and relationship across divides.</u>
Bold=Inhibitors			Underline= Conscious	Underline= Intentional

Fig 11.3- Quadripartite model of SST for Graham at the start of the research

Graham's conscious actions shift his action horizon beyond the department where he was prioritising faculty engagement facilitated by the interest in the teaching excellence framework (TEF) result, the increased focus on metrics, and the priorities aligned to his responsibilities. Compliance with external structures was a conscious decision to gain access to relationships with academic deans on his terms, demonstrating his worth to them aligned to a shared priority. His act of withdrawing from situations challenging his general dispositions allowed him reflective distance to consciously plan a response, enabling his

determination not to adopt behaviours exhibited by others to be maintained. He retained his belief in what was proper, and that poor behaviour of others could be changed if you presented an alternative.

The outcome was a clarification of his role as 'head of careers' and an opportunity to work with peers on an equal footing. Graham took on the position-practices of a HE manager, that originally frustrated him and made him feel undervalued, and was now playing the game by their rules to protect himself from losing himself to the culture.

11.5 Tiffany's Position-Practices and Interests

Tiffany's relationships within Gateway, together with the expectation of her position-practices, were confused and uncertain. Fig 11.2 identified Tiffany disconnected from the rest of the department with only a weak link to her new community team members. Over the previous seven years, she had enjoyed personal and professional relationships with colleagues across the department, gaining a firm understanding of their motivations, behaviours, abilities, and how to handle them to get things done. Despite this, it was her involvement in the working group, and its promise of a different way of working, that offered her the opportunity to channel much of her dissatisfaction and claim back the power she felt she lost when she was promoted. The process leading to her promotion reinforced her feelings of disconnection, isolation, and alienated from her work. She was unsure about her role and had gone from being engaged, motivated, and fulfilled to being an employee who was doing the job for the money.

Her job description, and the grading system, had long been a bone of contention for Tiffany. She saw both as unfair, defining an individual's worth by the tasks they were expected to do rather than their abilities and behaviours. Prior to her promotion these issues never worried her as her job description was largely ignored as she did what she wanted, and what was needed by her line manager. Her motivation was always the work, the ability to undertake tasks commensurate to her ability and qualification, rather than the money, after all a lowly administrator did not earn much but could make themselves indispensable. Before the promotion, as the personal assistant to the head of the department, she was used to exerting authority above her grade to get things done, but the promotion had taken this away from her.

She had two master's qualifications making her more qualified than careers advisers who were two grades above her yet seem incapable of fulfilling simple tasks and lacked her commitment to UOW. She was in her role because she was a mother, with her working hours and responsibilities fitting around family and childcare priorities, something her female careers adviser colleagues had not had to compromise on, despite being mothers themselves.

Now, as a higher-grade administrator, she had all the tasks she used to do formally defined in her job description, same responsibilities, more pay, but less authority. It was not even the same responsibilities; she has taken on more. She was in a job she did not value, undertaking tasks below her ability, working in a new team where she felt like an outsider, in an organisation undergoing a major period of change, all of which resulted in her losing

her authority within Gateway. She saw UOW as a hostile environment she was unsure she wanted to work in any longer.

She understood colleagues' motivations and ways of working even those of senior Gateway managers. She could have open conversations with them, maintaining a trusted person status through which she shared ideas, insights, and influence decisions. This was significant at a time when her position in the team was ambiguous, and people were adjusting to her in her new role. This ambiguity was something she valued as it offered opportunities to shape her new role in the image of what she had previously valued and reclaim her pre-promotion self. However, this would take time as the promotion debacle had undermined her trust in Gateway management, particularly the head of the department, seeing her intentionally withdraw behind the letter of her new job description as a safe space, for now, to regroup before moving forward.

Moving forward, like New Willowick, was undefined for Tiffany, but her conscious disengagement from planning her 'move forward' exacerbated her sense of frustration, isolation, alienation, and negativity towards herself, her role, Gateway, her colleagues, and UOW generally (fig 11.4). Tiffany was not in a happy place, she was in transition between roles, trying to regroup, and redefine herself. She was dissatisfied with her role, her future, and her 'here and now' and her interest was on self-preservation and a possible future outside UOW. Her promotion made Tiffany aware of the injustice she felt and was working through these when she volunteered to be in the working group.

External Structures	Internal Structures		Active Agency	Outcome
	Conjunctually-specific Knowledge	General Dispositions		
<ul style="list-style-type: none"> • Senior management style • Job description = authority= ability • Gossip • Value of lowly administrator • New Willowick • Community team • Grade structure • Professional Qualifications • HR processes-working against staff. 	<ul style="list-style-type: none"> • HR processes and restructures • Prior knowledge of Gateway and sub teams • Knowledge of head of department and they style of working • Knowledge of team members due to long working relationship • Ability to communicate with management • Accept and welcome ambiguity of my role • I should be rewarded when I exceed my role 	<ul style="list-style-type: none"> • Lack of consultation • Poor communication • Disconnect between tasks and university • Lack of engagement with formal communication (top down) • Gossip/Grapevine • Disconnect between expectations and what is happening • Poor leadership • Grading is a measure of your value and ability 	<ul style="list-style-type: none"> • <u>Understanding why people do things</u> • <u>Reflective</u> • <u>Engage with formal communication</u> • <u>Engage in informal communication</u> • <u>Withdrawing from situations</u> • Exploit ambiguity to do the job I want to do. • <u>Do the job for the money</u> • <u>Do as I am told don't think.</u> • <u>Work below my ability</u> 	<ul style="list-style-type: none"> • <u>Get my view across to inform decisions.</u> • <u>Influence over management</u> • New Willowick has manageable impact • Confused over current Gateway role • Isolated from the Gateway team and university • <u>Trust in Willowick senior management decisions</u> • Frustration at the tension between formal role and not recognised when I exceed role • Alienated at work/ an outsider • Poor leadership
Bold=Inhibitors			Underline= Conscious	Underline= Intentional

Fig 11.4- Quadripartite model of SST for Tiffany at the start of the research

Tiffany was disenfranchised from Gateway, her new team, and was questioning the certainty of longstanding professional relationships. Despite this, her inclusion in the working group was intentional as she, together with Chelsea, possessed data, information, and knowledge about prior iterations of the employability award she had been involved in implementing. She wanted to use this space to share knowledge, off load her responsibility for the award, and integrate what was developed into the community team. For Tiffany, the working group was a space in which she would continue working in the way she enjoyed, iterating ideas, developing projects, designing systems, and implementing the idea of the employability award she started four years earlier. The connection she had with the working

group felt strong, she was enthusiastic, and committed to the process following the meeting at the Lodge (chapter seven). It was the only anchor she had, or felt she had, something she could channel her efforts into as she started to rebuild her role.

There were no outward signs of the turmoil Tiffany was going through with neither Graham or Margaret recognising the priority was herself, her own preservation and transition, or her change in motivation towards her work. Tiffany's wellbeing had been compromised, but this was not evident, and she did not let on.

11.6 Chelsea Position-Practices and Interests

Chelsea's experience of Gateway was similar to Tiffany, sharing similar views on the context at UOW, but with a different view on how best to act in this uncertain time (fig 11.5).

Chelsea appeared less concerned with the process leading to her promotion, focussing instead on building her relationships with colleagues and frustrated by poor communication affecting peoples' behaviour and impacting on her own. For her, the impact the promotion had was a professional one, leading to a re-evaluation of her role rather than questioning her place at Willowick. She viewed the environment as lacking purpose, or at least a purpose she could sign up to. The university she joined was disappearing as people were squeezed out by process, and processes were becoming a way of managing people rather than supporting them. This challenged her commitment to do her best for students, as the promise of NW projected a vision of a promised land where everyone would flourish with

the here and now, for students and staff, sacrificed in favour of the journey to who knew where.

External Structures	Internal Structures		Active Agency	Outcome
	Conjunctually-specific Knowledge	General Dispositions		
<ul style="list-style-type: none"> • The existing employability award • Written policies and procedures • Students as customers • Student metrics • Communication • Leadership • Trust • HR • Research process • Staff training • Lack of focus/defined purpose • Job Description • External qualifications 	<ul style="list-style-type: none"> • Ways of working agreed in written documents • Written policies can be changed, not ignored • Policy should support people • We communicate through email and paper never face to face. • Personal communicate face to face resolves problems • Good staff training resolves many issues • Not all external qualifications are valued equally 	<ul style="list-style-type: none"> • People don't follow instructions • Things need explaining simply • Address problems rather than solve them. • Give students what they want • Process more important than people • Just get on with it • Email is the preferred mode of communication-its quick • People do not care • Head of department absent • We are poor at training staff • Poor management • Job descriptions does not represent authority 	<ul style="list-style-type: none"> • Take on responsibilities of others • <u>Cover up for mistakes</u> • <u>Undertake tasks to make processes work or bypass them</u> • <u>Not to involve management</u> • <u>Show other consideration</u> • <u>Trust people as friends not as colleagues</u> • <u>Provide training for new member of staff</u> • <u>Stop doing things the same and push back</u> • <u>Spell out what I expect from the process/set expectations</u> 	<ul style="list-style-type: none"> • Nothing changes • Overloaded • Bored • Frustrated • Important things don't get done • What we do becomes valueless • <u>Process and policy changes</u> • Vulnerability of staff if things go wrong. • Distrust • Fed up • I've stopped caring • <u>Hope things will change</u> •
Bold=Inhibitors			Underline= Conscious	Underline= Intentional

Fig 11.5- Quadripartite model of SST for Chelsea at the Start of the Research

These UOW-wide issues infiltrated Gateway, with the intensity of their proximity at departmental level draining her energy and leading to a sense of resignation, boredom, and being overloaded. She accepted constant change and new announcements because she could not control them, and she felt she just had to get on with it, leading her to target her frustration toward departmental ways of working, created through a consultative process she valued, and opposite to the way decisions were taken at UOW. She prided herself on

the robust job she did in developing previous iterations of the employability award. She was particularly happy with the way guidance, support, and processes were developed and codified through consultation, yet remained frustrated by the workload it generated for her because agreed processes were not followed by her colleagues.

Processes not being followed was not her main issue, it was the workload created for her when colleagues did not follow processes they designed, agreed, or followed them as set in stone, inflexibly, and with no way of changing them. But of course, they could be changed, should be changed if they did not work, the problem was there is no way of having these conversations. Over-reliance on email communication made matters worse. It was unavoidable as Gateway was spread across two campuses, five offices, and everyone was so busy. Email was a simple and quick mode of communication, but was often directive, passive-aggressive, and ineffective at getting messages across in a constructive way. Chelsea valued face-to-face interactions to get things done in a way that saved time and improved the way the department worked.

She possessed a sense of fairness bound together with quality and process. While she was in favour of supporting students, she rejected any notion that one student should be favoured over another based on process not being followed or staff making mistakes. She believed people should take responsibility when problems arose and not pass them on to others because they just 'don't get it' when clearly, they 'did get it' but did not see it as their responsibility to sort out. She valued staff training which she felt was lacking and undervalued within the department. By getting training right, with a clear focus on induction, training on processes, and the provision of clear explanations of why things are

done in a certain way, errors could be avoided, and colleagues would understand their roles better. With this hope in mind, she consciously took on the role of trainer, responding to errors made by new members of the team with charity, empathy, and politeness. She recognised the weaknesses in the department and filled that gap, in the vain hope of making a difference.

For her it was a vain hope, as she was up against the professional mindset of other colleagues who saw themselves as superior because they had professional qualifications valued higher than hers. She perceived a lack of ownership of professional responsibilities, as a 'we just need to get things done' mentality with little care or consideration on how to do things properly was increasingly adopted. She experienced this worldview constantly win through, and her role as the person with the super glue after the bull had gone through the China shop remained as she continued to sort out the problems caused by others.

For Chelsea, UOW and Gateway, had changed and she was trying to make sense of what her place was within this changing environment. She knew what was important to her, holding onto those elements of 'her' she was not prepared to compromise, with a strong commitment to people and processes that could be properly changed to support people better. But her changing relationships with UOW, Gateway, and colleagues was leading her to question loyalties and the trust she had in all three. To avoid this, Chelsea separated 'people' from their 'role', trusting in people as people not people in their roles, making it difficult to trust colleagues professionally when email is the only communication channel. She had been let down by the head of the department and had lost her connection with him

since her role changed, extending this to a distrust in Gateway's managers and their ability sort out the suboptimal performance of staff members within their teams.

Unlike Tiffany, Chelsea recognised she retained power over the rest of Gateway as she 'knew' how things worked, she knew how to get things done, and she knew that without her in her role 'they' would have to take on more responsibility and workload. What she did not realise was that without her performing her role as she did, the problems that frustrated her would go away as responsibility for sorting them out would remain with those who should own them, allowing them to change processes in the way she is currently demanding. Was she too accommodating, needing to be needed in her role, or was this all a deliberate act in holding on to those things she had certainty in?

While Chelsea lacked trust in the way colleagues fulfilled their roles, she made many conscious decision on how she was going to act, reinforcing her position in Gateway, setting boundaries, and resetting relationships. Like Tiffany and Graham, Chelsea was experiencing inner turmoil this time manifesting as boredom, frustration, and stress. For Chelsea this was professional rather than personal, challenging her to define how she should operate in the alien environment she now encountered while protecting 'herself'. She accepted she would continue to cover up mistakes, bypass process without changing things, and shoulder responsibility because she had little trust in management but was now pushing back.

Chelsea assumed a work-cloak, playing the game in the way that enabled her to keep control of the essence of herself. Holding on to what was personally important remained at her core, with no radical change evident to colleagues while she adjusted and transitioned

with UOW. This coping strategy fuelled her negative experience of all aspects of work, generating negative unintended consequences, and magnifying her sense of worthlessness, frustration, vulnerability, and disillusionment. Outwardly she portrayed a sense of no longer caring when inwardly she cared a lot about her integrity, her faith in processes that work for people, and most of all Hope. Hope for the future, hope that things would change, and hope for better communication, leadership, and trust in the workplace.

11.7 Other Interests

An interest is a 'socially constructed means for meeting needs and desires' (1996:204). While these have been explored from the perspective of the participants featured in this text, other interests that had bearing on the research and outcome of the SI process need to be considered. This section explores three important interests and the needs and desires they were constructed to meet.

11.7.1 Brian as Lead

Brian's appointment as working group lead served several needs and desires. Firstly, it served his own interest to provide input into something that would potentially impact his role. Brian was a very well-liked member of the team; he possessed a calming charm that endeared him to everyone, enabling him to manage situations to achieve what he wanted. He was not obliged to volunteer for the role, but in doing so he ensured he could steer the group in the way he wanted. This would not be through overt leadership of the group, but

through his link with Graham, the careers team, and his professional standing in the department.

Brian's appointment ensured he remained accountable to Graham through line management with no need to create additional reporting structures. Graham could fulfil his role as Champion alongside building his role as head of careers and developing relationships with peers across UOW without the need to take on too much extra work, keeping his involvement in the working group to a minimum, and managing the process remotely through Brian.

The situation also addressed the need I had to encourage Brian to develop his skills and position in the team, something he had previously resisted. He was settled as a careers adviser, loved his job, but lacked ambition and was happy with his lot. He also had expertise and a work ethic which could benefit the entire team dynamic. Having Brian as working group lead, supported by Graham, provided an alternative way of achieving my objectives. However, by imposing my interest on him in this way, I provided a way to undermine the process and the development of the relationships I really wanted to create. This was because the final group, who had an interest in Brian as lead, was the careers team.

Brian was a conduit for the careers team into the working group. While no other member of that team put themselves forward, they still wanted influence and a say over what would happen. The changes underway at UOW, and their involvement in the SI process, could undermine their professional standing in Gateway, and they felt threatened. Their reputation for being separate, aloof, and self-absorbed, meant they were often ignored as

they were seen as a barrier to any new initiative, with the working group providing an opportunity for participants to bypass them as a barrier. Brian's appointment provided the careers team with an opportunity to influence and circumvent the SI process and directly impose the outcome they wanted. Brian was the more compliant member of the careers team and not someone who liked conflict, so by being himself, he could lead the working group, act as messenger, and be able to extricate himself from the group when the situation became too political and contentious.

Brian became the channel for multiple interests which would become too difficult to manage and a flaw in the SI process from the outset. This would only change if Graham's interest in the working group changed, making the failure of the working group another shared interest.

11.7.2 Failure of the Working Group

Just like the development of NW, whether the working group failed or not is difficult to assess as no definition of success was agreed beyond the delivery of the end product, which was achieved. However, Chelsea and Tiffany had an interest in the absolute failure of the group so they could regain respect, authority, and a sense of purpose in the workplace.

They had been used to working with authority and maintained job satisfaction by being able to work in accordance with their ability rather than their defined role. Their promotion had taken that away from them with both questioning their position in the team and at the university. They were struggling with their integration into the community team where their

role was ill defined, and their contribution ill considered. Both were dissatisfied with their jobs, their relationships with others, and the way they had been treated by UOW, senior managers, and me as head of the department and the failure of the working group provided an opportunity to step back in, as their old selves, and save the day.

Their prior knowledge gave them power within the working group to inform discussions and provide insights from a cross Gateway others did not possess. They were accustomed to developing and implementing new ideas contributing to student success having worked in the department for several years, displaying traits of social-intrapreneurs (fig 3.3). Their need to regain this purpose initially impacted positively on the group through their engagement in the SI process, producing data, and committing to the process. But when their work was ignored and the outcome predefined by the careers team, they withdrew their permission and contribution to the group.

They became inhibited to act due to their embeddedness in the organisation and department, potentially to the point they began to resemble the employees they criticised for lack of creativity and ability to deal with uncertainty, than the entrepreneurial people they used to be (section 3.6). They responded differently, with Tiffany getting angrier and more disaffected and Chelsea resigned to what was happening by convincing herself she did not care.

Their interest changed from the success to the failure of the group. Their withdrawal allowed them to regroup and plan what they would do when the inevitable happened and they were asked to take over, controlling the process through their absence, playing a

longer game. If the group succeeded it would do so without their support, and they could move on from their involvement in the award into their new roles, and if it failed, they would regain the authority and role they wanted in Gateway. Brian and the careers team maintained a similar interest as they would retain their professional 'superiority' in the department as nothing significant would change, and Brian could exit the group with his reputation intact as the process had failed not him.

Despite co-producing the objectives and priorities at the Lodge (chapter seven) multiple groups and individuals across the department had an interest in the group failing to deliver.

11.7.3 and Finally...

Due to the research's ethical considerations and my desire to focus on the experiences of participants, my role and interests were situated with the others outside the text whose actions are alluded to while remaining unexplored (section 5.7.1). However, I needed the award to be launched and the SI process to be conducted successfully to provide valid data for my research project. My conscious decision to withdraw from the process allowed me to focus, like Graham, on my role and responsibilities to the wider university and allow those within Gateway to take ownership of the SI process, addressing my desire not to influence the outcome. I retained an interest in the work of the group as an employee, but as a researcher my interest was on the needs of the research and the PhD process and ensuring the research was not undermined by my insider knowledge and authority.

While perspectives of other individual working group members are not represented in the text, many of the structures identified in figs 11.3-11.5 reflect the categories and themes identified in the preliminary reconstructive analysis (table 4.3) and affirm the representation statements collectively agreed by all participants the start of the research (appendices C and D). Specifically, the impact of NW permeating all aspects of decision making at UOW and Gateway, poor communication, lack of ownership, a chaotic environment creating a lack of cohesion, direction, and purpose. This suggested a generalisability of the themes and structures, discussed above, across all participants, working groups, and Gateway.

Figs 11.3-11.5 were merged to produce fig 11.6 as the consolidated representation of the structural context of the working group structures at T:1. This identifies the internal and external structures acting on the working group at T:1 and forming the foundation of the analysis of structural changes through the actions of the working group and participants across the SI process discussed in chapter 12.

External Structures	Internal Structures	
	Conjunctually-specific Knowledge	General Dispositions
<ul style="list-style-type: none"> • Things are changing • New Willowick has manageable impact • Trust in Willowick senior management decisions • Job description = authority= ability • Gossip • Grade structure • Professional Qualifications • Narratives on New Willowick • Process changes in planning for New Willowick • TEF • PDR objectives • Academic v Professional Services • The existing employability award • University written policies and procedures • Students as customers • Departmental divisions 	<ul style="list-style-type: none"> • Nothing improves • Process and policy do changes • Hope things will improve • Work at dean level to build rapport and relationship across divides. • Accepting what told by team • Poor leadership • Alienated at work • An outsider • Focus on connecting careers team to wider university • Won't Get my view across to inform decisions. • Influence over management • The working group should succeed 	<ul style="list-style-type: none"> • Overloaded • Confusion • Bored • Frustrated • Important things don't get done • What we do becomes valueless • Vulnerability of staff if things go wrong. • Distrust • Fed up • I've stopped caring • Lack of expectation of working group • Confused over current Gateway role • Isolated from the Gateway team and university • Poor leadership • Frustration at the tension between formal role and not recognised when I exceed role
Bold=Inhibitors		

Fig 11.6- Consolidated Quadripartite structures model of SST for participant at the start of the research

11.8 Summary

This chapter began the analysis required at stage four of Carspecken's (1996) CQR by using participant stories to identify systems relations by mapping participants' position-practice relations at T:1 (Stones, 2015:81-84), (section 4.8.3), the start of the SI process. An understanding of individual participants' perceptions of context at T:1, conduct, and structural environment included in the quadripartite model of SST have been presented, discussed, and consolidated to represent the structural framework of the working group at the start of the research. The T1 position-practice relations map of Gateway has been presented, illustrating the network of others around the individuals, and working group, the

position-practice relations through which external structures are mediated into the group, and the initial configuration of Gateway

Having undertaken the analysis at T1, the next chapter completes CQR stages four and five by exploring changes in structures over the course of the SI process using SST quadripartite model at four pivotal action points. These points are significant because they are recorded by all participants represented in the text. These findings are then used to modify Cajaiba-Santana's (2014) conceptual framework to represent the research findings informing SI theory within a university professional service department setting.

Chapter 12 Stage Four Analysis Continued: Changes through the Process

12.1 Introduction

Building on the systems analysis undertaken in the previous chapter, which identified the structural context, interests, and conduct of Graham, Chelsea, and Tiffany at the start of the research period, T:1, this chapter focussed the analysis on structural changes at the meso, working group, level by applying Stones (2005) quadripartite model of strong structuration (SST) at four pivotal points in the SI process.

These four pivotal action points were chosen to austerey delimit the focus of attention on a number of germane points across the research period (2005:82) that involved the three participants and were recorded in all their journals. Adopting fig 11.6 as the consolidated structural context perceived by the working group at the start of its work, changes through action in external (section 12.2) and internal structures (section 12.3) at each of these action points are identified individually. Changes are mapped across Stones (2005) quadripartite SST framework using the stories in chapters eight to ten and a hermeneutic (section 4.11) reassessment of data produced at stages one to three of Carspecken's (1996) CQR methodology. The analysis at each action point is presented in tables 12.1 to 12.10, mapping structural changes through action across each action point and the SI process between T:1 and T:2 of the research process.

The systems analysis is completed by presenting a revised position-practice relations map (fig12.1), identifying the reconfiguration of the department resulting from changes through action in position-practices. The reconfiguration indicates a change in power relations across Gateway, enhancing the department's ability to act while creating utilitarian value through the introduction of the new employability award.

The next section explores changes in external structures after the actions of the working group at each of the pivotal action points.

12.2 Changes in External Structures Across the Social Innovation Process

This section analyses changes in external structures at four pivotal action points, with tables 12.1 to 12.4 identifying changes external structures along the SI process timeline as reported in participants' journals. These action points were: -

1. The second working group meeting
2. The circulation of the notes of the second working group meeting,
3. The third working group meeting,
4. The reconstitution of the working group.

At these points, all participants felt sufficiently compelled to capture the significant events in their journals and are events when all participants contemporaneously worked on the SI process or were aware of, or impacted by, the incidents.

The following tables were produced through the application of the analytical model presented in fig 11.1, identifying the external structures before action (column 1), perceptions of context (column 2), conduct (column 3), outcome (column 4), and changes in external structures (column 5). Table 12.1, column 1, is populated with external structures identified in fig 11.6, representing the structural context prior to the first pivotal action point. Changes to external structures are identified in **Bold** in column five, with all external structures in column 5 of a table carried forward into column 1 of the following table. Changes between table 12.1 (column 1) and table 12.4 (column 5) represent change in external structures through action across the SI process (T:1-T:2).

Table 12.1 Changes in External Structures following action after the second working group meeting

1. External Structures Before Action	2. Situation	3. Active Agency	4. Outcome	5. External Structure After Action (changes in bold)
<ul style="list-style-type: none"> • Things are changing • New Willowick has manageable impact • Trust in Willowick senior management decisions • Job description = authority= ability • Gossip • Grade structure • Professional Qualifications • Narratives on New Willowick • Process changes in planning for New Willowick • TEF • PDR objectives • Academic v Professional Services • The existing employability award • University written policies and procedures • Students as customers • Departmental divisions 	<p>Brian leads the working group but Graham absent. Information and data about the current award was requested and circulated by Chelsea prior to the meeting for discussion. Discussion on the way the current award operates undertaken by all members in response to Brian’s proposal tabled at the meeting, with clarification of the stages of the award requested and provided. Proposals put forward to solve specifically identified problems with the current award No clear success factors agreed but a full and frank discussion undertaken</p>	<ul style="list-style-type: none"> • Prior to the meeting Brian met with his careers colleagues to gain their input into the process. • Brain presents the group will a proposal • Information ignored • Heated discussion and debate • The members of the group engage in the discussion • Brian’s proposal deconstructed and rejected • Members of the group raise their difficulties with the current award • Jump straight to solution when problem not defined 	<ul style="list-style-type: none"> • Agreement the outcome needs to represent the whole department. • Rejection of one group imposing their will over the rest • Group is angry with the careers team • Chelsea and Tiffany withdraw from the discussion withholding information • Loss of faith in the potential outcome • Loss of faith in the process • Brian’s role and ability called into question • No one prepared to change their position or stance on the award • Leadership void within the group • No agreement reached 	<ul style="list-style-type: none"> • Departmental divisions remain and are reinforced. • The influence of the careers team must be irradiated • Job description is not a judge of authority or ability • Job Grades are a false measure of ability and/or measure of worth to the organisation • Willowick continues to change but Gateway does not • Existing knowledge about employability award irrelevant • New Willowick narrative unaffected • Impact of New Willowick on the group minimal • Day job remains unchanged and working group is a waste of time

Table 12.2 Changes in External Structures following action after the notes of the second working group meeting were circulated

1. External Structures Before Action	2. Situation	3. Active Agency	4. Outcome	5. External Structure After Action
<ul style="list-style-type: none"> • Departmental divisions remain and are reinforced. • The influence of the careers team must be irradiated • Job description is not a judge of authority or ability • Job Grades are a false measure of ability and/or measure of worth to the organisation • Willowick continues to change but Gateway does not • Existing knowledge about employability award irrelevant • New Willowick narrative unaffected • Impact of New Willowick on the group minimal • Day job remains unchanged and working group is a waste of time 	<p>The notes from the second meeting have been typed up and circulated by Brian to the rest of the working group</p>	<ul style="list-style-type: none"> • Brian has typed up the notes and circulated them to the group • The notes have not been circulated to Champion or the head of department • He hasn't captured the concerns of the meeting instead reflecting the proposal he presented as the agreed will of the group 	<ul style="list-style-type: none"> • Participants feeling silenced • Participants feeling controlled • Disillusionment with the group and the process being undertaken. • Participants going through the motions 	<ul style="list-style-type: none"> • No overall change • Departmental divisions remain and are reinforced. • The influence of the careers team must be irradiated • Job description is not a judge of authority or ability • Job Grades are a false measure of ability and/or measure of worth to the organisation • Willowick continues to change but Gateway does not • Existing knowledge about employability award irrelevant • New Willowick narrative unaffected • Impact of New Willowick on the group minimal • Day job remains unchanged and working group is a waste of time

Table 12.3 Changes in External Structures following action after the third working group meeting

1. External Structures Before Action	2. Situation	3. Active Agency	4. Outcome	5. External Structure After Action (changes in bold)
<ul style="list-style-type: none"> • Departmental divisions remain and are reinforced. • The influence of the careers team must be irradiated • Job description is not a judge of authority or ability • Job Grades are a false measure of ability and/or measure of worth to the organisation • Willowick continues to change but Gateway does not • Existing knowledge about employability award irrelevant • New Willowick narrative unaffected • Impact of New Willowick on the group minimal • Day job remains unchanged and working group is a waste of time 	<p>Graham attends meeting having been asked questions about progress by the head of the department. All members of the team attend, with the notes previously circulated discussed in full. Chelsea attends but absents herself from the discussions raising the interest of Graham and Tiffany is present but busy scribbling giving the impression of being there Brian leads the meeting, but little progress is made.</p>	<ul style="list-style-type: none"> • Graham meets with Chelsea after the meeting to address her absenteeism and ensure she is ok. • Chelsea tells Graham about her frustrations • Graham’s attendance used by Chelsea to take control over the group. • Chelsea’s communication link to the senior management team has been restored. 	<ul style="list-style-type: none"> • Chelsea feels like she is being blamed for what has happened. • Graham is perceived as not addressing the real issue of Brian’s inability to fulfil his role in the group • Chelsea as said her piece and awaits Graham’s plan for next steps • Chelsea demonstrates leadership by taking control and ownership of the situation. • 	<ul style="list-style-type: none"> • Departmental divisions acknowledged as getting in the way of progress. • The influence of the careers team must be harnessed • Job description is a measure of formal authority and ability • Job Grades are a measure of worth of an individual to the organisation • Willowick continues to change but Gateway might • Existing knowledge about employability award is now relevant • New Willowick narrative unaffected • Impact of New Willowick on the group minimal • Work of the group is contextualised for Graham within the larger narrative • Day job remains unchanged and working group is a waste of time

Table 12.4 Changes in External Structures following action after the working group is reconstituted

1. External Structures Before Action	2. Situation	3. Active Agency	4. Outcome	5. External Structure After Action (changes in bold)
<ul style="list-style-type: none"> • Departmental divisions acknowledged as getting in the way of progress. • The influence of the careers team must be harnessed • Job description is a measure of formal authority and ability • Job Grades are a measure of worth of an individual to the organisation • Willowick continues to change but Gateway might • Existing knowledge about employability award is now relevant • New Willowick narrative unaffected • Impact of New Willowick on the group minimal • Work of the group is contextualised for Graham within the larger narrative • Day job remains unchanged and working group is a waste of time 	<p>A new working group is created lead by Chelsea and Tiffany, supported by Graham around a flexible governance arrangement. This time people are brought in from other areas of Gateway dependent upon their skills and special knowledge required by the group. The original working group is maintained as an advisory group</p>	<ul style="list-style-type: none"> • Graham take responsibility for delivering the outcome of the group. • Recognition of pre-existing knowledge and experience given • Linkages made with other working groups and initiatives. • Advisory group set up comprising the previous members of the working group • Chelsea and Tiffany given authority to get on with it but to liaise across the department • Tasks distributed across the department • Design of award linked to online portal development. • Existing award used as the starting point for the new award rather than starting afresh • Project plan developed 	<ul style="list-style-type: none"> • Manager is managing • Working group brought into business as usual • No longer working in isolation • Communication links opened up • No one is excluded from the development, • Everyone’s requirements considered • There is a rich to get the work completed in time for the new academic year • Chelsea and Tiffany assume their familiar role of the people who get things done • New award is launched in an improved way. • There are still people who have not seen the relevance and require ongoing guidance. • Chelsea and Tiffany remain stuck in their own role. • Graham more acquainted with his team 	<ul style="list-style-type: none"> • Departmental divisions narrowing as people have greater understanding of each other professionally. • The influence of the careers team considered, so they are happier with the outcome • Job description is a measure of formal authority and ability • Job Grades are a measure of worth of an individual to the organisation • Willowick continues to change • Gateway is making small changes • Knowledge about employability award shared across team • New Willowick narrative unaffected • Impact of New Willowick on the group increasingly important • Work of the group is business as usual • Day job of team members has changed • Graham’s relationship with his team has changed

12.2.1 Synthesis of the Change in External Structures

Designed to provide an inter-disciplinary space outside the day-to-day hustle and bustle of UOW and Gateway, the group was a safe space for the members to own and manage (Santana *et al.*, 2011:505), the lack of data indicates first working group was an uncontentious encounter.

Initially, mediated external structures are judged as independent of the group, beyond their ability to change, except for the gossip and the existing employability award which is the focus of the group. Being situated as a 'bolt on' to the department (fig 11.1) confines the working group, separating it from the macro-level system changes affecting the department, even though it was impacted by changes in business-as usual. Chelsea and Tiffany's engagement with formal communication made wider NW narratives less of a concern as they accepted what they were told and made adjustments to their business-as-usual work.

Other members of the group, appeared to share this lack of concern, either they also engaged in the same way as Chelsea and Tiffany, or they were ignoring NW due to the constant flux, and inconsistency, in how changes were implemented. Whatever the reason, members of the working group were located outside the department with a focus on the development of a new employability award but influenced by their experience of the changes to business-as-usual and informal gossip about NW.

The events of the second meeting (table 12.1) turned the working group into a microcosm of Gateway, bringing departmental external structures directly into the group. The group's actions refined and enhanced external structures, repositioning the macro nature of these structures at the heart of the group. No longer defined as 'out there' these structures became 'in here' and 'amongst' the group, with the critical distance created through the journals enabling participants to recognise their power to change, previously judged independent, structures. This is seen through the rejection of Brian's authority and the group's openness to debate and argue for alternatives.

Tiffany exercised this critical distance by withdrawing from the meeting to argue with colleagues, herself, and me in the pages of her journal. Chelsea, and the rest of the group, took Brian's idea apart, challenged the role of the careers team, and the influence they had over the group. In doing so Brian's authority as lead was challenged and his lack of creative ability to manage the meeting laid bare. The incident brought Gateway divisions into the working group space; lines were drawn between differing views based on an individual's affiliation with teams outside the group. Opinions about what should be done were decided across external departmental lines, as the group's independence, autonomy, and status as a safe space was brought into question.

The circulation of the meeting notes (table 12.2) reinforced the structures after action in table 12.1, crystalising them as independent and unchangeable. Their embeddedness in the macro context of UOW and Gateway was confirmed by the actions of the individuals concerned, as those outside the group reinforced their dominance regardless of the group's authority. While Brian's position as lead was undermined from the outset, due to the

multiple interests channelled toward him (section 11.7), this was further reinforced by participants lacking trust in job grading structures, the exercise of authority due to job descriptions, and the direct link he had with the careers team. The issuing of the notes produced the unintended consequence of reinforcing Brian as the significant mediator between the context of the careers team and the undermining of the group. This may have been an intentional act of those outside the group, creating a sense of powerlessness within the group.

This powerlessness generated a feeling the SI process was futile in producing any meaningful outcome and the group resigned itself to just go through the motions to produce the award as the line of least resistance. Brian's position as the channel for the careers team had further crystalised Gateway's divisions into the working group, with non-career members resolving to battle against the external enemy. The subjugation of this enemy replaced the group's existing objective and became the overriding measure of success.

Graham's intervention (table 11.3) shifted the tone and dominance of external structures. His intervention turned many of the independent structures into irresistible structures as non-careers members of the group gained the power to resist (Kennedy, *et al.*, 2021:7). This was a turning point for participants who could now see beyond the confines of the group, reframing confining external structures into facilitators of the process. Departmental divisions embedding in the group were acknowledged as inhibiting progress with Graham forcing the group to reflect on their biases toward departmental relationships and accept the careers team needed a role in the group if the award was to be developed. The

expertise of those outside the group was a key resource for the future success and implementation of the award, and Graham levered this into the group. In doing so, he extended the context for the group, reconfigured constraining external structures into enablers, including his leadership and formal authority, and widened the knowledge base and insights available to the group. He loaned his formal authority to the group, empowering them by setting fresh parameters on how the group should operate.

Graham's position-practice resembled those attributable to a social-extrapreneur (section 3.6) maximising the potential of bricolage (section 3.3.2) beyond the parameters of the group. He reached out to leverage resource, created new communication channels, and cemented his expectation of what passed for acceptable behaviour, bridging the gap between the group and 'others'. Through this practice of social-extrapreneurship he turned constraining external structures into enablers, mediated these external structures differently into the group by repositioning position-practice relations, and reset the definition of success beyond the output of the group or the subjugation of the careers team.

The reconstitution of the group (table 12.4) began the process of narrowing departmental divisions with incremental changes emerging in the way Gateway operated. When it was launched, the award was shared across team as business-as-usual with the careers team's involvement in the design, and development, enhancing the roll out. The award was promoted across the university, engaged the wider community in the work of Gateway, enhanced the team's relevance as an integral part of the plan for NW. Day-to-day working arrangements of the department changed with the award now more central to how the

team work together, and constructive discussions on how it affected practice were taking place.

I do not want to over play the changes in external structures between T:1-T:2 presented in table 12.5 as the reality was, they were incremental rather than transformative, but the assessment of external structural changes provided an indication that changes in team relations were underway. There remained many points of contention and conflict, and despite the award being launched, changes in practice and relationships were small and fragile. Changes in external structures represented only part of the story with an analysis of the internal structural changes required to determine whether changes in general disposition and situational specific knowledge influencing actions had also taken place and whether the process of SI, indicated in the assessment of external structures, was really happening. This is discussed in the next section.

1 External Structures T1	5 External Structure T2
Things are changing	
New Willowick has manageable impact	Departmental divisions narrowing as people have greater understanding of each other professionally.
Trust in Willowick senior management decisions	The influence of the careers team considered, so they are happier with the outcome
Job description = authority= ability	Job description is a measure of formal authority and ability
Gossip	Job Grades are a measure of worth of an individual to the organisation
Grade structure	Willowick continues to change
Professional Qualifications	Gateway is making small changes
Narratives on New Willowick	Knowledge about employability award shared across team
Process changes in planning for New Willowick	New Willowick narrative unaffected
TEF	Impact of New Willowick on the group increasingly important
PDR objectives	Work of the group is business as usual
Academic v Professional Services	Day job of team members has changed
The existing employability award	Graham's relationship with his team has changed
University written policies and procedures	
Students as customers	
Departmental divisions	

Table 12.5 Changes in External Structures T1 to T2

12.3 Changes in Internal Structures Across the Social Innovation Process

Having explored changes in external structures across the four pivotal action points within the SI process, this section focusses on analysing changes in internal structures across the same action points.

As with the previous section, columns 1 and 2 of table 12.6 are populated with internal structures before action from the consolidated structural analysis (fig 11.6). Changes in internal structures are identified in columns 5 and 6 in **bold**, with all structures in these columns carried forward into columns 1 and 2 in the next table. The changes between table 12.5 columns 1 and 2, and table 12.9 columns 5 and 6 demonstrate changes to internal structures across the period of the SI process.

Details in columns 3 (context) and 4 (conduct/action) are taken from the corresponding tables in section 12.2.

Table 12.6 Changes in Internal Structures following action after the second working group meeting

1. Internal Structures Conjecturally Specific Knowledge (CSK) Before Action	2. Internal Structures General Disposition Before Action	3. Context	4. Conduct/ Action	5. Changes in (CSK) After Action	6. Changes in General Disposition After Action
<p>Nothing improves Process and policy do changes Hope things will improve Work at dean level to build rapport and relationship across divides. Accepting what told by team Poor leadership Alienated at work An outsider Focus on connecting careers team to wider university Won't Get my view across to inform decisions. Influence over management The working group should succeed</p>	<p>Overloaded Confusion Bored Frustrated Important things don't get done What we do becomes valueless Vulnerability of staff if things go wrong. Distrust Fed up I've stopped caring Lack of expectation of working group Confused over current Gateway role Isolated from the Gateway team and university Poor leadership Frustration at the tension between formal role and not recognised when I exceed role</p>	<p>Brian leads the working group but Graham absent. Information and data about the current award was requested and circulated by Chelsea prior to the meeting for discussion. Discussion on the way the current award operates undertaken by all members in response to Brian's proposal tabled at the meeting, with clarification of the stages of the award requested and provided. Proposals put forward to solve specifically identified problems with the current award No clear success factors agreed but a full and frank discussion undertaken</p>	<p>Prior to the meeting Brian met with his careers colleagues to gain their input into the process. Brain presents the group will a proposal Information ignored Heated discussion and debate The members of the group engage in the discussion Brian's proposal deconstructed and rejected Members of the group raise their difficulties with the current award Jump straight to solution when problem not defined, Tiffany withdraws from the meeting to write her journal providing critical distance to assess what is happening</p>	<p>Nothing improves Process and policy do changes All Hope things will improve has gone Work at dean level to build rapport and relationship across divides. I am not accepting what told by team Poor leadership Alienated at work An outsider The careers team are the problem Won't Get my view across to inform decisions. Management are not interested in what I say The working group will not succeed</p>	<p>I am overloaded I am Confused so are my colleagues I am bored I am Frustrated Important things don't get done What we are doing is valueless If we get this wrong no one will care. Distrust Fed up I've stopped caring Lack of expectation of working group Confused over current Gateway role Isolated from the Gateway team and this group Poor leadership I am just not going to put myself out there to sort this out, I could but why should I</p>

Table 12.7 Changes in Internal Structures following action after the notes of the second working group meeting were circulated

1. Internal Structures Conjecturally Specific Knowledge (CSK) Before Action	2. Internal Structures General Disposition Before Action	3. Context	4. Conduct/ Action	5. Changes in (CSK) After Action	6. Changes in General Disposition After Action
<p>Nothing improves Process and policy do changes All Hope things will improve has gone Work at dean level to build rapport and relationship across divides. I am not accepting what told by team Poor leadership Alienated at work An outsider The careers team are the problem Won't Get my view across to inform decisions. Management are not interested in what I say The working group will not succeed</p>	<p>I am overloaded I am Confused so are my colleagues I am bored I am Frustrated Important things don't get done What we are doing is valueless If we get this wrong no one will care. Distrust Fed up I've stopped caring Lack of expectation of working group Confused over current Gateway role Isolated from the Gateway team and this group Poor leadership I am just not going to put myself out there to sort this out, I could but why should I</p>	<p>The notes from the second meeting have been typed up and circulated by Brian to the rest of the working group which have been received by email, the favoured mode of communication</p>	<p>Brian has typed up the notes and circulated them to the group The notes have not been circulated to Champion or the head of department. He hasn't captured the concerns of the meeting instead reflecting the proposal he presented as the agreed will of the group, participants assume the hand of the careers team guiding and influencing Brian and the direction of the group.</p>	<p>Nothing improves, they just get worse Process and policy do change but not in Gateway This working group will fail There is no point trying to build rapport and relationship across divides, everyone is out for themselves. I am just going to go with the flow Poor leadership Alienated at work An outsider but I am glad The careers team are just awful to work with I am not going to contribute to anything from now on Management are not interested in anything</p>	<p>I am overloaded so I am not going to remain involved I am bored and frustrated Important things don't get done while we waste time What we are doing is pointless If we get this wrong no one will care. Distrust of motivations and communication Fed up I've stopped caring No expectation of working group Isolated from the lead of this group Poor leadership I am just not going to put myself out there to sort this out, I could but why should I</p>

Table 12.8 Changes in Internal Structures following action after the third working group meeting

1. Internal Structures Conjecturally Specific Knowledge (CSK) Before Action	2. Internal Structures General Disposition Before Action	3. Context	4. Conduct/ Action	5. Changes in (CSK) After Action	6. Changes in General Disposition After Action
<p>Nothing improves, they just get worse Process and policy do change but not in Gateway This working group will fail There is no point trying to build rapport and relationship across divides, everyone is out for themselves. I am just going to go with the flow Poor leadership Alienated at work An outsider but I am glad The careers team are just awful to work with I am not going to contribute to anything from now on Management are not interested in anything</p>	<p>I am overloaded so I am not going to remain involved I am bored and frustrated Important things don't get done while we waste time What we are doing is pointless If we get this wrong no one will care. Distrust of motivations and communication Fed up I've stopped caring No expectation of working group Isolated from the lead of this group Poor leadership I am just not going to put myself out there to sort this out, I could but why should I</p>	<p>Graham attends meeting having been asked questions about progress by the head of the department. All members of the team attend, with the notes previously circulated discussed in full. Chelsea attends but absents herself from the discussions raising the interest of Graham and Tiffany is present but busy scribbling giving the impression of being there Brian leads the meeting, but little progress is made.</p>	<p>Graham meets with Chelsea after the meeting to address her absenteeism from the third meeting and ensure she is ok. Taken aback that Graham could consider her the problem, Chelsea tells Graham about her frustrations and exactly what has been going on in the group, its poor leadership, planning, and inability to get things wrong. While not blaming Brian, she makes clear what needs doing. Graham's attendance is used by Chelsea to take control over the group. Chelsea and Tiffany's communication link to the senior management team has been restored.</p>	<p>Things may just start improving now a manager has got involved Process and policy do change This working group has failed but there is an alternative Face to face communication can get things done I am fed up with going with the flow people need to speak up when things are not right Leadership at last Alienated from the working group I'm an outsider now The careers team are just awful but working with them is the price we pay to do things right I am going to make this work Management are interested when their neck is on the line</p>	<p>I am overloaded but I can make room for this now I think it will work and people care I am bored with the way we work, and this is an opportunity to change that Getting this right is important What we are doing is needed If we get this wrong people will care. Distrust of motivations and communication but I have to work with it Fed up I care Expectations high of working group We all lead this group Defined leadership We are going to make this work</p>

Table 12.9 Changes in Internal Structures following action after the after the working group is reconstituted

1. Internal Structures Conjecturally Specific Knowledge (CSK) Before Action	2. Internal Structures General Disposition Before Action	3. Context	4. Conduct/ Action	5. Changes in (CSK) After Action	6. Changes in General Disposition After Action
<p>Things may just start improving now a manager has got involved Process and policy do change This working group has failed but there is an alternative Face to face communication can get things done I am fed up with going with the flow people need to speak up when things are not right Leadership at last Alienated from the working group I'm an outsider now The careers team are just awful but working with them is the price we pay to do things right I am going to make this work Management are interested when their neck is on the line</p>	<p>I am overloaded but I can make room for this now I think it will work and people care I am bored with the way we work, and this is an opportunity to change that Getting this right is Important What we are doing is needed If we get this wrong people will care. Distrust of motivations and communication but I have to work with it Fed up I care Expectations high of working group We all lead this group Defined leadership We are going to make this work</p>	<p>Brian leads the working group but Graham absent. Information and data about the current award was requested and circulated by Chelsea prior to the meeting for discussion. Discussion on the way the current award operates undertaken by all members in response to Brian's proposal tabled at the meeting, with clarification of the stages of the award requested and provided. Proposals put forward to solve specifically identified problems with the current award No clear success factors agreed but a full and frank discussion undertaken</p>	<p>Graham take responsibility for delivering the outcome of the group. Recognition of pre-existing knowledge and experience given Linkages made with other working groups and initiatives. Advisory group set up comprising the previous members of the working group Chelsea and Tiffany given authority to get on with it but to liaise across the department Tasks distributed across the department Design of award linked to online portal development. Existing award used as the starting point for the new award rather than starting afresh Project plan developed</p>	<p>Things have improved, its small steps but things are better Process and policy have changed, and everyone has been involved. This working group as we ended up has worked Face to face communication and getting people together worked. I don't go with the flow anymore and speak up when things are not right Leadership there but needs to keep being revisited and adapted The working group has ended but I have some improved relationships I'm an insider now The careers team still need support and don't always get things but that is ok I am going to make this work Management are interested just busy with other priorities</p>	<p>I am overloaded but I can delegate and know that things will calm down I am bored with the way we work, but I can change that Getting this right was Important for the students and staff What we are doing is needed If we get this wrong people, there will be disappointment and harm could be done Distrust of motivations and communication is ok, but people don't usually try and do things wrong Fed up? Yes, but isn't everyone I care Expectations of the way we work should be high We all led this group Defined leadership Determination made this work It was very slow and time consuming</p>

12.3.1 Synthesis of the Changes to Internal Structures

Despite the Gateway staffs' commitment at the Lodge meeting, the working group met in the context of being overwhelmed, disaffected, and tired of change. They saw the group as an additional burden, putting them in a vulnerable position if it did not deliver. They were receiving no additional recognition for their work in the group, either through increased pay, overtime, or other forms of reward, and had been lumbered with this work when they already have enough to do.

They recognised the opportunity to 'do things differently' to address departmental challenges, but the term 'transformational', adopted at the Lodge workshop, set the wrong expectations. For Brian, transformation could potentially undermine his position and that of the careers team, while for others the enormity of the term conjured blurred images just beyond the horizon, ill-defined and probably unachievable, mirroring the vision of NW. This hindered the group's ability to define the goal they were trying to achieve, but whatever it meant the term 'transformational' made success bigger than they could comprehend.

The conflation of a process that 'should succeed' with delivering something no one could define, lowered the group's expectation, and created a tension between the possibility and what would be. This tension was at the heart of the second meeting (table 12.6). In the context of NW, the working group perceived anything they tried to do would be superseded by events and structures beyond their control, a perception reinforced by the intrusion of the careers team. Most internal structures remained unchanged, Brian's proposal, and the ensuing heated discussion, shifted the group's general disposition to acknowledge a shared

confusion of purpose and process, questioning why the group was expected to accept external influence. The process was judged as worthless, encouraging a sense of disillusionment fuelled by a feeling no one cared whether they succeeded or failed. The group was personally and professionally isolated from the security and support of managers they would have if this work were part of business-as-usual, undermining their motivation to put themselves out there, to be bold, and creative.

The crystallising of the careers team as the enemy fired the group to reject the imposition of Brian's authority and saw them 'hope' for improvement, resolve to challenge, and push back at unacceptable decisions and proposals. The group's lowered expectations undermined trust in the process further as the persistent inability to define success, and lack of priority from management, solidified the collective desire to mutiny and take control, but just not yet.

Brian's circulation of notes reflecting his one-sided view of the discussion and the agreement of his proposal (table 12.7) enflamed the group. While the same effect was created in the meeting, igniting discussion, this time it destroyed any resolve, engagement, hope, or commitment the group retained. The difference this time was twofold. What was written down was a decision not a proposal, the artefact could be challenged but its existence could be used to impose the will of external others in multiple ways beyond the control of the group. Secondly, this incident took place outside the meeting when the only way to challenge was via email, not face-to-face. The matter could wait to be addressed at the next meeting, but there was an assumption the 'falsifying' of notes was not down to Brian, but his careers team colleagues. There was speculation the careers team had

assumed leadership, were blocking process, asserting their superior position in Gateway not only through Brain, but directly and behind the scenes, pulling strings to manipulate the group. This 'gossip', engaged in by the members of the working group (not Brian), enflamed the situation further, hardening general dispositions towards everything outside the group. Knowledge of Gateway's context, failed restructures, and experience of working with the careers team in the past reinforced the sense of resignation and the inevitability of failure, with the only way forward being to surrender and go backwards.

As the notes were circulated 'outside' the group the incident also encroached on the day-to-day operation of Gateway, triggering a possible third option of bringing management into the discussion. This had already been discounted as the group did not trust managers, and management would not be interested anyway. While the involvement of management was desirable, it was untrustworthy and inappropriate at this stage as participants believed this matter should have been dealt with outside the scope of business-as-usual, through the governance put in place for the group.

Graham's attendance at the third meeting changed the group's perceptions. Graham's misreading of the situation triggered Chelsea to push back and push back hard. Accused of being negative struck at her personally, allowing her to drop the work cloak of conformity as she became angry at her personal self being misrepresented in that way. Graham unwittingly challenged the core of what Chelsea cared about, and her response had to be taken seriously.

Graham's involvement resulted in a change to his position-practice relation with the working group which saw him to take ownership of the SI process, and the group, as he acknowledged the internal, and external, structural challenges the working group faced. He reset expectations and valued the work as important. The groups situational knowledge was recognised as real but challenged for the block to success it had become. Yes, the careers team could be a nightmare, but they have to be involved, their voice must be heard, and a way needed to be found to work with them. He reconstructed the group to create the right environment, instilling a 'just suck it up' and get on with it! approach to be adopted.

A line was drawn, with a new group formed with new terms of engagement. Graham repositioned the group within the department enabling input from all areas. Outsiders became insiders, with Chelsea and Tiffany back in their rightful place; working directly for a manager, exercising authority, with responsibility to get the job done.

An important structure was surfaced because of this intervention; the time constraint the academic year imposed on implementing any new HE initiative. The deadline of 1st October, the start of the academic year, imposed internal constraints and behaviours on the group which meant the longer they could delay the more likely individual interests, rather than the agreed interests of the group, would be achieved. While the timeframe agreed at the Lodge was clear, it became a mechanism of subordination as people gave up, withdrew, and became disaffected safe in the knowledge delay would be in their interest. Graham used the deadline to reset expectations, but 'transformation' takes time and resources, the group had the latter but only so much could be achieved in the time remaining. Additional resources were obtained by pulling in support outside the group, working collaboratively

across Gateway, and sharing tasks, driven by a determination to hit this date. The department needed to accept the outcome would be flawed and require further development in time... but that was ok. Real change would come in how people worked together rather than the production of a perfect employability award, both had taken long enough already, and would require more time if perfection were to be achieved, if at all, in both.

Between T:1 and T:2 there were indications that internal structures were changing, especially the general dispositions toward the context of Gateway. Frustrations and complaints persisted regarding team members not listening or taking on new ideas. But this was now seen as the exception rather than the rule. Relationships changed to being more empathetic, with participants viewing the SI process as another cycle in a continuous cycle of change, improving with each repetition. Chelsea and Graham indicated improving relationships with their respective teams as they developed greater understanding of the individuals, their relationship with them, and what needed to happen next. The transformation expected at the Lodge had proved elusive, but attitudes towards Gateway colleagues had improved incrementally as specific knowledge and general dispositions had changed through collaborative working and improved understanding. The changes in internal structures across the period of the SI process are identified in table 12.10.

1. Internal Structures Conjecturally Specific Knowledge (CSK) Before Action	5. Changes in Internal Structures Conjecturally Specific Knowledge (CSK) After Action	2 Internal Structures General Disposition Before Action	6 Changes in General Disposition After Action
Nothing improves Process and policy do changes Hope things will improve Work at dean level to build rapport and relationship across divides. Accepting what told by team Poor leadership Alienated at work An outsider Focus on connecting careers team to wider university Won't Get my view across to inform decisions. Influence over management The working group should succeed	Things have improved, its small steps but things are better Process and policy have changed, and everyone has been involved. This working group as we ended up has worked Face to face communication and getting people together worked. I don't go with the flow anymore and speak up when things are not right Leadership there but needs to keep being revisited and adapted The working group has ended but I have some improved relationships I'm an insider now The careers team still need support and don't always get things but that is ok I am going to make this work Management are interested just busy with other priorities	Confusion Bored Frustrated Important things don't get done What we do becomes valueless Vulnerability of staff if things go wrong. Distrust Fed up I've stopped caring Lack of expectation of working group Confused over current Gateway role Isolated from the Gateway team and university Poor leadership Frustration at the tension between formal role and not recognised when I exceed role	I am overloaded but I can delegate and know that things will calm down I am bored with the way we work, but I can change that Getting this right was important for the students and staff What we are doing is needed If we get this wrong people, there will be disappointment and harm could be done Distrust of motivations and communication is ok, but people don't usually try and do things wrong Fed up? Yes, but isn't everyone I care Expectations of the way we work should be high We all led this group Defined leadership Determination makes things work It was very slow and time consuming

Table 12.10- Changes in internal structures T1 to T2

While, in the moment of action, those involved perceived these changes as traumatic and transformational, over the entire SI process these changes turned out to be incremental and lacking transformational qualities. For Tiffany, the incremental nature of the change made the effort and trauma of action seem too great and demotivating, requiring an emphasis on

reducing the impact of constraining structures while maximising the contribution of those structure that enable SI. The next section completes stage four systems analysis by identifying the structures that enable and constrain SI within Gateway, a professional service department at UOW.

12.4 Enabling and Constraining Structures Social Innovation in a Professional Service Department

This section address research question 2 (section 1.3) by identifying structures that enable and constrain SI within a HE professional service department.

The analysis in the previous sections confirmed barriers identified in previous research undertaken on SI within HE (section 3.7), expanding this to suggest there is no single list of enablers or constrainers. The analysis indicates the status of a structure is dependent upon the general disposition and specific knowledge of actors rather than having innate characteristics determining its status.

At each of the four points explored in the previous sections, internal and external structures assumed characteristics of either enablers or constrainers and at times exhibit these characteristics simultaneously dependent upon position-practices relations in existence. Understanding the influence structures have on actions at any given point, and prioritising the reframing of understanding of the context, has greater impact of a given structural framework in enabling SI than identifying whether a structure is enabling or constraining in its own right.

This is demonstrated in the coding of structures through the quadripartite SST model, where in chapter 11, micro-level structures were analysed identifying their enabling or constraining quality (figs 11.3-11.5). This coding was abandoned in this current chapter as I realised a structure's status was both enabling and constraining, never static, and fluctuated at different action points along the SI process dependent upon conduct and the general dispositions of the individuals involved. The status of a structure was also dependent upon changes in the conjecturally specific knowledge of the group, how external structures were mediated through position-practice relations, and a willingness for general dispositions to be changed. To demonstrate this, the role of job descriptions, as an external structure, and their impact of on Chelsea and Tiffany's actions is explored in the next section.

12.4.1 The Influence of Job Descriptions

Job Descriptions are presented as independent structures used to justify inaction above a pay grade or outside what can be reasonably expected of an employee with that job description. Chelsea and Tiffany question the validity of job descriptions when they cast doubt on Brian's ability to lead the group and Graham's lack of managerial interest in supporting when the group when it failed to function. Their specific knowledge of job descriptions was that they limited an individual's capacity to act in the workplace, valued certain qualifications over others, and undervalued individuals by defining people by the tasks they are required to undertake, rather than their human abilities and commitment. Individuals are valued, and their worth to an organisation defined, in their job description which sets boundaries on authority and an individual's ability to affect change by defining what, about that person, is needed within the organisation and discarding the rest.

By internalising their job description, Chelsea and Tiffany consciously withdrew from the group, intentionally disenfranchising themselves by working to rule. The context of the group, reinforced by their specific knowledge of Gateway, the members of the group, and their prior knowledge of how things are done at UOW justified their course of action. Their withdrawal undermined the SI process and inhibited the actions of the group, reducing the work of the group to a mechanistic tick box exercise.

From past experience, Chelsea and Tiffany knew job descriptions could be changed in three ways. Firstly, through the formal process through which they were promoted. This proved bureaucratic, risky, and designed to protect UOW's position over their own. That process undermined their goodwill toward Gateway and UOW, triggering a sense of injustice, uncertainty about their relationships with colleagues, and damaging their confidence in their new roles and position in the Gateway team. Chelsea and Tiffany were inhibited in taking positive action within the working group, as the vulnerability they experienced as people, who were previously happy to exceed their authority, was acute and disabling.

Their perception was the context valued the authority contained in a job description over and above an individual's behaviour and abilities, something the appointment of Brian reinforced. By ignoring an individual's value and worth as a human being, and their abilities beyond the letter of the job description, undermined the SI process, but why should they care? As no one cared about them.

The second was by consciously acting, with managerial authority, beyond the letter of the document. Prior to their promotion this approach enabled them to achieve significant job

satisfaction, authority, and power within Gateway. Even after their promotion, they retained the ability to adapt their role by ignoring the job description in ways that could enable or inhibit the SI process when they wanted to. By the time Chelsea and Tiffany perceived the working group a waste of time, their job descriptions were independent external structures contributing to the difficulties of the group. Graham's intervention, reverted Chelsea, and Tiffany, to their pre-promotional state, acting with the job description as an irresistible structure, changeable with knowledge, and critical distance, when combined with the managerial authority contained in Graham's job description.

It could be argued that Chelsea and Tiffany were petulantly applying their job description to manipulate the situation, managers, and the process, to achieve their interests. However, their actions can also be explained as them adopting position-practice relations that mediate their job descriptions to protect their interests in the context where they perceived vulnerability, dissatisfaction, and distrust.

The final way job descriptions can be changed is with the exiting of an individual from the organisations. There were strong indications in Tiffany's story, confirmed in her final interview, she was contemplating this action as she no longer reconciled actions at a micro-meso-or macro level with her perception of the context and general disposition towards UOW and Gateway. She became increasingly isolated from her work and colleagues, leading her to experience acutely negative wellbeing issues.

Her departure, if it had happened, would be an unintended consequence of the SI and research process, that would have enabled or constrained SI. It could also have been an

intentional consequence designed to reconfigure power relations by deliberately creating the conditions for exit to improve performance. In this situation it was the former, however no organisation or process should intentionally or unintentionally create such turmoil and unhappiness, verging on cruelty, to a member of staff. Additionally, by undervaluing talent and potential in staff, organisations become self-defeating as good people leave and organisations fail to learn why.

The research process and reflexivity afforded through journaling was a significant contributor to this positive outcome, however, it may also have magnified the turmoil Tiffany experienced as she reflexively explored her feelings and relationships in the workplace. Being attuned to individuals' emotional experiences and changes in their general disposition are essential parts of managing an SI process, and I am delighted Tiffany decided to stay with Gateway.

Overall, job descriptions as an external structure both enabled and constrained the SI process dependent upon the internal structures of the individual and the combination of other structures operating at any given time. A significant influence on how the structure of the job description was changed by Chelsea and Tiffany was the intervention of Graham, and the effect his intervention had is explored in the next section.

12.4.2 The 'Graham' Effect

Key to the change in the position-practice relations of the group was Graham's intervention, which introduced the authority contained in his job description. This authority was

delegated to Chelsea and Tiffany to do what was needed to get the job done as he reset the context of the group. This intervention ensured the interests of the original working group, and the wider department, were channelled into the reconstituted group, reconfiguring the process, the working group, and the department around the rearticulated objective. He did this by repositioning his position-practices to channel external structures into the group to support their work.

The working group was created to collectively achieve an agreed 'social' which was in danger of not being achieved because the group was not functioning. Graham's actions facilitated alternative combinations of ideas, people, and resources from outside the working group, across the department, and UOW to address this challenge differently. He used the working group as the platform to support the collective effort of participants and between pre-existing teams within Gateway. He acted as an organisational social-entrepreneur, focussed on improving the 'social' by using resources, his position, and his ability to work between networks, not only to create a solution but, to develop support mechanisms to shape the social change Gateway agreed at the Lodge (Tracey and Stott, 2017:55). He took ownership, without disempowering the individuals involved, to create a multi-team approach that could produce a greater SI impact, i.e., not only produce the award but reconfigure power relations across the team to enhance its capacity to act.

Graham's practice of social-extrapreneurship went beyond the boundary of the group to ensure all available resources were leveraged, including his authority, which Chelsea and Tiffany became custodians of. The working group space remained free from his control but operated within stated parameters and agreement about what was acceptable. While there

was no evidence Graham reached externally of UOW, he would have mediated demands and best practice from faculties, other departments, and the wider HE sector into the space he created from the networks he developed prior to his intervention. His unconscious adoption of position-practices of an institutional social-extrapreneur changed the direction of the working group, redefined the status of external and internal structures, enabled him to redefine his role in line with his specific knowledge on how things 'should be done', and claim ownership of his team.

The 'Graham' effect created change at a meso-level of the working group by providing a bridge to change at the macro (departmental) level as new power-relationships were developed, changing the way Gateway operated. In the process, Graham also changed as a manager as he realised his relationship with his team, and Gateway, had changed. For the first time, he understood his careers team and realised he had the resource needed to take ownership of the next stage of their development. Graham's intervention proved pivotal for the group, Gateway, and for Graham as his practice of social-extrapreneurship enabled change to happen beyond the expectation of the working group.

12.4.3 Summary of Section

Identifying specific structures as levers to SI success in HE underestimates the ability of all structure to act as both enabler and constrainer of SI. The indication from Carspecken's (1996) CQR stage four analysis using Stone's (2005) SST is there is no simple list of enabling or constraining structures, rather the status of a structure is determined by position-practice relations, perceptions of context affected by general dispositions, and the

conjecturally specific knowledge individuals apply to make sense of the possibilities within a given context. By being reflexively attuned to the potential of a team, adopting the practice of social-extrapreneurship, acting to mediate external structures, and redefining context by repositioning specific knowledge to change a groups general disposition, HE managers may enable SI change. The indication is that the practice of social-extrapreneurship within a HE professional service department could enable SI deliver utilitarian value and create new power-relations simultaneously (chapter three) and is explored further in chapter 13.

The next section completes the SST quadripartite analysis at stage four of Carspecken's (1996) CQR by exploring the outcome of the SI process in addressing the SI challenges identified in section 1.2.

12.5 The Outcome of the Social Innovation Process

Section 1.2 identifies the three challenges faced by Gateway as follows: -

1. To address low levels of graduate employability by introducing a new product, service, or approach available to all graduates of UOW.
2. To reconfigure relationships across Gateway to overcome barriers contributing to low levels of graduate employability and the sub-optimal utilisation of resources allocated to the department.

3. To prepare and support staff through the turmoil of the move to NW.

The following sections explore the success the process had in addressing each of these challenges.

12.5.1 The Design and Introduction of a New Product or Service

At the end of the research period, an enhanced employability award was introduced representing a revised prototype (section 7.2) of the previous employability award.

As noted by Chelsea in chapter nine, this version remained imperfect and needed further development to address the unresolved self-reflection element. This element was identified by Chelsea as the root cause of the problem inhibiting the scaling of the award, with a commitment this would be addressed in the next iteration. However, the measure of a university's graduate employability success changed in 2017/18 (HESA, 2021a) making it impossible to evaluate the impact of the award on improving levels of graduate employability as part of this research.

Overall, the SI process outlined in chapter seven met challenge one, with a new product introduced based on previous prototypes with the aim of improving graduate employment outcomes for all graduates of UOW.

12.5.2 Reconfigure the System within the Gateway Department

To confirm whether challenge two was addressed, a revised position-practice relations map (fig 12.1) was developed at the end of the research process (T:2). When compared to the T:1 map presented in fig 11.1, changes in position-practice relations could be identified across the Gateway team. These changes in position-practice relations represented a reconfiguration of power relations across the team and an enhancement to the departments capacity to act.

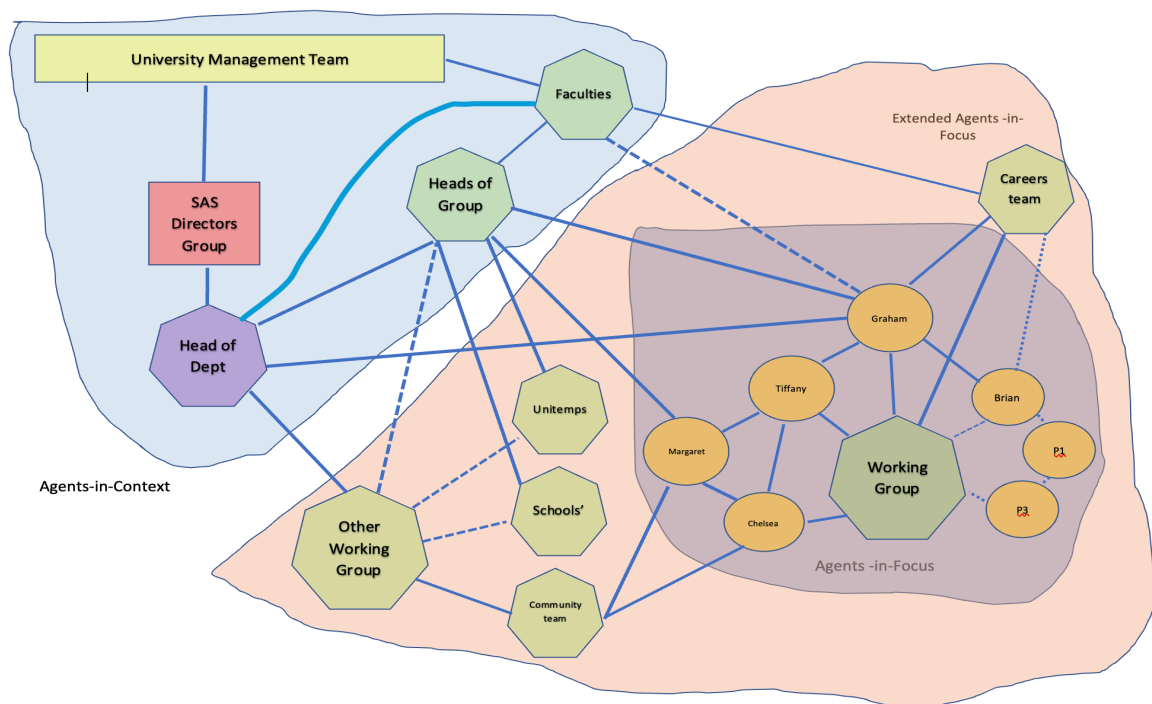


Fig 12.1 -Position-Practice Relations between Agents in Focus and Agents in Context at the end of the SI Process (T2)

Fig 12.1 confirms the reconstituted working group was integrated into all Gateway teams. The development of the award drew expertise from all service areas ensuring individual requirements were accommodated, developing new relationships, and ways of working.

Chelsea and Tiffany were connected to Margaret, their new line manager, and community team with the working group fulfilling the opportunity for all individuals within that team to work together with a shared purpose. The award was integrated within the new online portal Margaret's group developed, thereby influencing how the community team, and other working groups, worked to accommodate, and be accommodated in, the new award.

The careers team no longer influenced the working group via Brian's involvement but were linked with the working group to inform, and be informed about, the development with Graham aligned to the working group, providing authority to decisions on how the award was implemented. Other service areas were located within the extend agents-in-focus zone with their role, and the role of other working groups, clearly delineated though the Champions with weaker links outside the formal governance arrangements.

Graham's position was significant as his position-practice relations as a social-extrapreneur is clearly aligned to the working group and his careers team, rather than Faculties and Gateway's senior management team. His motivation for positioning himself in this way is unclear from the data, however there are three possible suggestions.

1. He has completed the work with Faculties, achieving his objectives, thereby creating time to focus on the working group.

2. His role with the working group reflects the underperformance of the group which may have impacted on his standing with the head of the department, and colleagues.
3. He realised without the success of the working group the department would not deliver his promised service to the Faculties.

Whatever the reason, Graham provided an environment in which the group delivered the required award by involving the whole department and acted to mediate external structures across the system.

The T:2 map further illustrates a separation between the working group and interference from the wider university and senior managers of Gateway, with all external structures mediated through Graham, except for formal and informal communication. There are clear links to the heads of service with the importance of strong links between the careers team and faculties recognised. My role, as head of the department was repositioned, so my position-practices mediated external structures only through the heads of service group and the working group for which I was Champion. I retained a strategic role with faculty deans and their teams, allowing Graham and the careers team to operate at differing levels with these stakeholders. My relationship with Chelsea and Tiffany was formalised with their position-practices prioritising the department and their community team colleagues rather than with me as their previous line-manager.

This map not only reflects the position-practice position to the working group but the starting position for the next cycle of structuration across the department as it entered the final stage the move to NW. As Graham asserts in chapter eight, he had a greater understanding of his team, how it needed to operate, and what he needed to do to achieve this. Chelsea was more aware of the next phase of development of the award, and had already started planning the next and, possibly, final iteration. Tiffany was contemplating the end of her time at UOW as her disaffection with the way things were was coming to a head.

An unintended consequence of the process was that Chelsea and Tiffany's position as the experts of the employability award was consolidated rather than handed on. The role they wanted to be extricated from was now more heavily embedded in their day-to-day interactions. Chelsea's frustrations with poor communication, colleagues not following processes, the continual bombardment with questions, queries, and mistakes to sort out looked set to continue. However, she was prepared to accept this as a short-term price to pay for successful delivery of the award if this was finally addressed in the future cycle.

The change in the position-practice relations map offers an indication challenge two was partially addressed. The challenge was far greater than the ability of one cycle of SI structuration to achieve with further cycles and work needed to shift the system completely so that it felt real and recognised by members of the team. This may now not be possible to assess as UOW has relocated to NW, with the shock of the move and subsequent pandemic affecting the system greater than any localised process could ever achieve.

Finally, the preparation of the team for the move to NW placed a significant emphasis on the wellbeing impacts of that time. It is evident from the research Tiffany was experiencing significant turmoil, which I am sure many others were, but it has not been possible to assess whether engaging staff in a SI process they controlled improved their ability to transition or impacted on their wellbeing. This area requires further exploration, to identify how negative impacts on wellbeing can be minimised as individual's go through a SI process.

Overall, at T:2, relationships through which power was exercised, as represented by the changes in position-practice relations, were changed from those at T:1. The inclusion of SST at stage four of CQR identified changes in both internal and external structures across the SI process. The indication is the SI process enabled this to happen, but whether it would sustain and improved performance or working relationships, would remain to be seen. T:2 was a moment in time along a continual journey for Gateway and UOW as the final moving date was announced and many unforeseen shocks and challenges would still need to be faced.

12.6 Summary

This chapter has completed Carspecken's (1996) stage four systems analysis, started in chapter 11, by applying Stones (2005) quadripartite model of SST to assess changes in external and internal structures across the SI process and produce a revised position-practice relations map reflecting changed power relationships across Gateway at the end of the research (T:2).

Chapter 11 applied SST to understand the perceive context and conduct of the three participants, Graham, Chelsea, and Tiffany, and the external and internal structures they brought into the working group. This chapter expanded this analysis to identify changes in these structures across four pivotal action points identified in the SI process. From this, it was identified that structures both enable or constrain SI dependent upon position-practice relations, individuals' perceptions of context affected by general dispositions, and the conjecturally specific knowledge individuals apply to make sense of the possibilities within that context at any given time. By being reflexively attuned to the potential of a team undertaking a SI process, adopting the practice of social-extrapreneurship, acting to mediate external structures to redefine perceptions of context, and repositioning specific knowledge to change a groups general disposition, HE managers may enable, and limit the constraints on, SI.

The application of SST at stage four of Carspecken's (1996) CQR to map small-scale systems and changes in structure over time together with the articulation of the practice of social-extrapreneurship within a HE professional service department as an enabler of SI are original contributions made by this research (section 1.4).

The next chapter completes Carspecken's (1996) CQR methodology by relating findings back to modify Cajaiba-Santana's (2014) conceptual SI framework as an original contribution to theory.

Chapter 13. Stage Five-Revising Theory

13.1 Introduction

This chapter completes the application of Carspecken's, (1996) critical qualitative research (CQR) methodology by looking at findings in light of existing theory to suggest a modification to the Cajaiba-Santana, (2014) conceptual social innovation (SI) framework (fig 13.2) to explain how SI can be enabled within a professional service department of a university.

Chapter three concluded with Ayob *et al's.*, (2016) synthesis of SI literature as the co-production of societal impact created through five pathways across a four-stage process representing two SI traditions, weak and strong, presented again as fig 13.1.

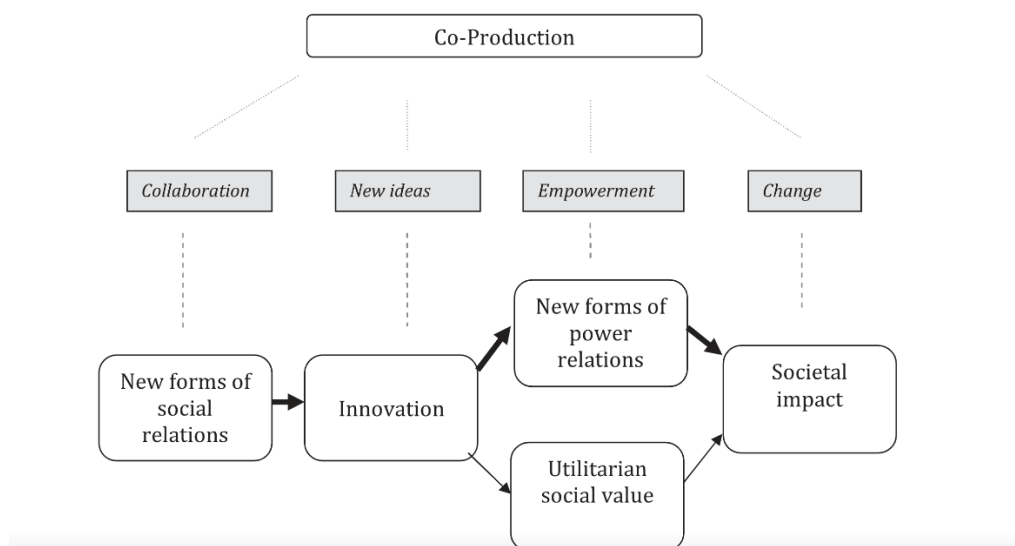


Fig 13.1- Social innovation pathways and drawing the link to co-production taken from Ayob *et al.* 2016

The empowerment stage involves creation of either utilitarian value or new forms of power relations, which appears counter to the definition of SI as both good for society and enhancing society's capacity to act (section 3.4). This latter definition requires both forms of empowerment to occur simultaneously in a virtuous cycle of SI, however it remains unclear how such a cycle is created.

The research adopted Cajaiba-Santana's, (2014) framework to identify an institutional-structuration solution to this problem, however the framework required modification to explain the findings of this research. The modification introduces the practice of social-extrapreneurship as action in a process of SST that maximises the ability of external and internal structures to enable SI.

13.2 Cajaiba-Santana (2014) Revisited

Fig 13.2 reintroduces the Cajaiba-Santana, (2014) institutional-structuration approach to SI.

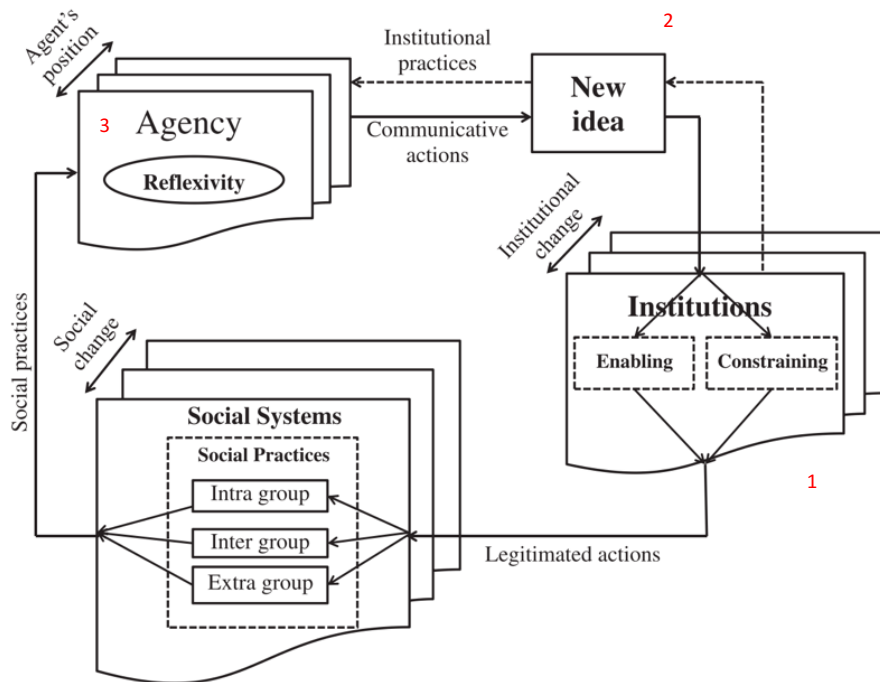


Fig 13.2 The Institutional- Structuration Model of the Social Innovation Process taken from Cajaiba-Santana 2014:48

The framework is an example of the institutional-structuration approach to SI, located in the strong tradition of SI (Ayob *et al.*, 2016). The framework demonstrates that SI happens as power relations across systems, institutions, and individuals are changed through ‘planned, coordinated, goal oriented, and legitimated actions undertaken by social agents aiming at social change’ (Cajaiba-Santana, 2014:44). The framework includes the elements of Stones (2005) quadripartite SST with outcomes and active agency represented and point 2 and 3,

and external and internal structure represented as enabling and constraining institutions are at point 1 of fig 13.2.

Active and reflexive interactions of agents 'embedded in complex institutional environments that not only constrain but also enable actions' (2014:46) to transform the context, and agents, as social change happens through changes in social practices (2014:49) at intra, inter, and extra group levels. This has implications for how actions are legitimated, creativity developed, bricolage supported (section 3.3.2), and collaboration leveraged (section 3.8.2) in mobilising resources and other agents (2014:49).

13.3 Implications for Cajaiba-Santana' Framework

Cajaiba-Santana's, (2014) framework emphasises the role of enabling and constraining institutions, or structures, contributing to, and being transformed by, action. However, the research indicated the status of these structures is not static but dependent upon individual's conjunctually-specific knowledge of external structures and how this are reconciled with general disposition.

When left to themselves to rely solely on bricolage and their own creativity, the findings indicated constraining structures were reinforced and enabling structures were either ignored or positioned as constraining by participants as they reflected on the process and their position in it. The potential of the working group to be creative, exercise bricolage, and collaborate were limited by access to resources, especially authority and leadership, beyond the working group, constraining them further.

13.3.1 The Role of Social-Intrapreneurship

Chelsea and Tiffany's role was key in the SI process and the working group. They were creative individuals who had experience operating as social-intrapreneurs (section 3.6) when they worked with the head of the department, but were now confused by their role, adopting position-practice relationships designed into their job descriptions. They understood the SI process but interpreted structures that previously enabled, as constraints, potentially using them to consciously undermine the group. Their ability to reach beyond their sphere of influence to leverage resources had been removed by their promotion, leading them to withdraw from the group and Gateway. This restricted their ability to act in the way they previously enjoyed, undermining their position within the group and department further, something unaddressed until Graham's intervention in the working group when they resumed their role as social-intrapreneurs with the authority of Graham.

13.3.2 The Importance of the 'Graham' Effect- Social-Extrapreneurship

The 'Graham' effect (section 12.4.2) empowered Chelsea and Tiffany to take ownership when the instruction to do things their way to deliver the employability award was given. Their creativity and knowledge was released to facilitate, rather than inhibit, collaboration allowing them to exercise bricolage by drawing from an extended pool of resources under Graham's authority and leadership. Structures previously judged as constraints became enablers as Graham provided a bridge to a wider resource base, reframing relationships, expectations of ways of working, and roles and responsibilities. Graham not only

empowered Chelsea and Tiffany, but the careers team also, who had always wanted a voice in the process. He avoided disempowering

members of the working group by insisting they retained important roles in the development and delivery of the award. He paved the way for the integration of Chelsea and Tiffany into the community team by enabling Margaret to develop management level relationships and a better understanding of their contribution to her team.

Left to operate under its own auspices, the working group was perceived to have failed, yet with Graham's practice of social-extrapreneurship the award was delivered, and there were indications relationships across the department had changed (section 12.5).

13.3.3 The Practice of Social-Extrapreneurship

The 'Graham' effect displays characteristics of social-extrapreneurship (fig 13.3) but within a complex organisation (section 3.6).

	Social entrepreneurship	Social intrapreneurship	Social extrapreneurship
Definition:	The process of creating and growing a venture, either for-profit or non-profit, where the motivation of the entrepreneur is to address social challenges	The process of addressing social challenges from inside established organizations	The process of inter-organizational action that facilitates alternative combinations of ideas, people, places and resources to address social challenges
Approach to social change:	Creates change through the founding of new organizations	Creates change by leveraging the resources and capabilities of established organizations	Creates change through platforms that support collective effort within and between new and established organizations
Example:	Ayzh, an Indian social enterprise founded by Zubaida Bai to provide rural women in India with affordable health technologies – produced by women for women. www.ayzh.com/	Arup, the multinational engineering firm, set up Arup International Development, a specialist non-for-profit venture. The venture provides a range of services to vulnerable communities, including support with disaster response and the construction of sustainable buildings and infrastructure. www.arup.com/services/international_development	Environmental organizations including WRAP and the Ellen MacArthur Foundation are working with governments, companies and social sector organizations to promote the concept of a 'circular economy'; i.e. to reconfigure deeply held attitudes towards the use and reuse of resources and 'normalize' environmentally sustainable practices. www.ellenmacarthurfoundation.org/programmes

Fig 13.3- A Typology of Social Innovation taken from Tracey and Stott 2017:53

While Tracey and Stott, (2017) define extrapreneurship as inter-organisational action, the concept equally relates to inter-group actions across a complex organisation, creating access to resources beyond the reach of the working group. Any group of employees or department within a social enterprise organisation, such as a university, always has limited access to resources. This includes social intrapreneurs whose ability to be socially innovative is restricted to their immediate sphere of influence and authority. Social-extrapreneurship practice, expands the possibilities of bricolage as systems are reconfigured, strengthened,

and enlarged to empower action through collaboration and the attraction of additional resources.

The practice of social-extrapreneurship as a legitimate action requires senior management, and leadership, to use their authority to mediating external structures to facilitate action. Being reflexively aware of their leadership position within an organisation, and the needs of a group of employees engaged in SI, enables a senior manager to optimise the potential for SI. Graham demonstrates this by appointing Chelsea, Tiffany 'custodians' of his authority by instructing them to do whatever was needed to get the job done while reframing actions in the wider context of the department, empowering others, and enabling access to resources. Graham's practice of social-extrapreneurship also reframed constraints as enablers by influencing resource allocation decisions and policy change within Gateway to support the development and implementation of the outcome.

Social-extrapreneurship as practice reframed conjunctually-specific knowledge and repositioned external structures as enablers within an individual's general disposition. It provided access to organisational resources beyond the reach of the group, reconfiguring systems beyond the sphere of action by connecting, and changing, position-practices. Graham also potentially influenced the little understood extra-group, or macro, (Cajaiba-Santana, 2014:49) policy, and resource allocation decisions within Gateway, and wider university, requiring a modification of Cajaiba-Santana's framework.

13.4 The Modification of Cajaiba-Santana' Framework

While the framework proposed by Cajaiba-Santana, (2014) is relevant in understanding SI within a particular context, the research findings presented in chapter 12, and summarised in this chapter, suggest a modification is required to explain Gateway participants' experience.

Rather than presenting structures as a duality as contained in the original framework, the structural context for a group as fluid and dependent upon individuals' conjunctually-specific knowledge of, and general dispositions toward, external structures requires acknowledgement. The inclusion of Stones (2005) SST in the framework (section 13.2) acknowledges the fluid nature of institutions, as external and internal structures, that can both enable and constrain SI as identified in chapter 12.

The first modification to the Cajaiba-Santana, (2014) framework is therefore the substitution of enabling and constraining institutions with Stones' external and internal structures as defined in the quadripartite model of SST as illustrated in zone 1 of fig 13.4.

The framework also fails to recognise the limits of SI within a complex organisation, like a university, due to the availability of resources, suggesting the inclusion of a form of organisational social entrepreneurship is needed. This social-entrepreneurship leverages resources beyond the context in which SI is taking place, suggesting a form of social-intrapreneurship as a solution. However, in more complex an organisations, such as universities, social-intrapreneurs have limited authority and reach into the totality of

available resource, suggesting the practice of social-extrapreneurship, rather than a heroic individual social-extrapreneur, as a more appropriate form of organisational entrepreneurship to enable SI in higher education (HE).

Introducing the practice of social-extrapreneurship maximises the enabling capacity of the structural context. By remaining reflexively attuned to the potential of a team, acting to mediate external structures, and redefining context by repositioning specific knowledge to change a group's general disposition, HE managers may enable SI beyond what is initially perceived possible. The second modification is the inclusion of social-extrapreneurship within the framework as illustrated at zone 2 of fig 13.4, reorientating the capacity of structures to enable SI and legitimises actions at intra, inter, and extra group levels to change individuals, power relations between groups, and inform macro policy and resource allocation strategy to facilitate SI.

The inclusion of these two elements concludes the modification of Cajaiba-Santana's, (2014) framework presented in fig 13.4 based on the research findings. These enhancements enable the framework to also demonstrate the experience of Gateway and the participants, in simultaneously producing a new product or service that is good for society while enhancing the departments capacity to act in a virtuous cycle of SI.

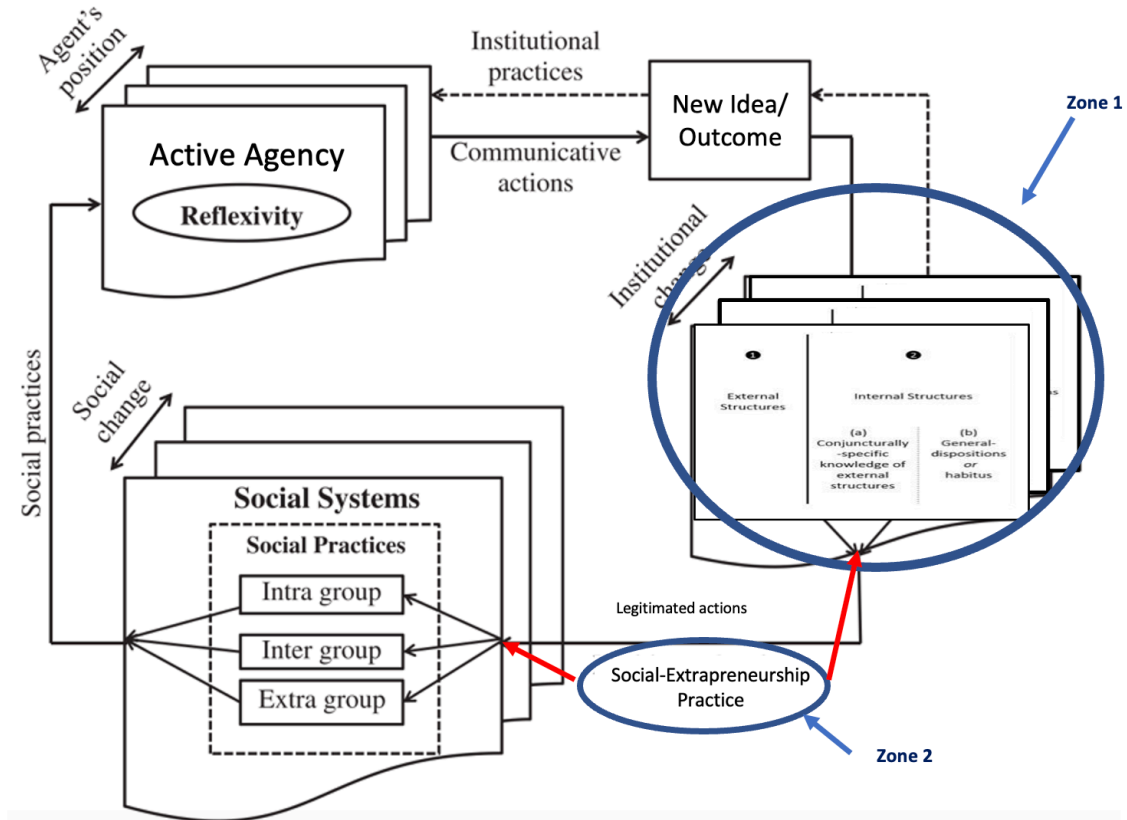


Fig 13.4 The modification of Cajaiba-Santana’s Social Innovation Framework based on the Findings of the Research

13.5 Summary

This chapter concludes Carspecken's (1996) CQR by looking at findings from stages one to four in light of existing social theories. Chapters 11 and 12 began this process by applying Stones (2005) SST to analyse data at stage four, with this chapter applying the findings to modify Cajaiba-Santana's (2014) conceptual framework at stage five.

The modification replaces the notion of institutions being either enabling or constraining with the idea they can be both dependent upon individuals' conjunctually-specific knowledge of, and general dispositions toward, external structures. This knowledge and disposition can be repositioned by managers reflexively assessing the potential of a team, acting to mediate external structures, and redefining context in which SI is taking place. This practice of social-extrapreneurship within organisations is required to leverage resources, enhance possibilities, and affect change across intra, inter, and extra groups, changing individuals, teams, and the organisation to support SI further.

The modification of Cajaiba-Santana's framework represents an original theoretical contribution of this research (section 1.4).

Having completed the five stages of Carspecken's (1996) CQR, the next chapter outlines the research conclusions and recommendations.

Chapter 14 Conclusions and Recommendations

14.1 Introduction

This chapter summarises the key findings related to the research questions, aim, and objective (appendix O). In the following sections I present answers, indicated in the findings, to research questions, assess whether the stated aim and objective were met, make recommendations, and outline the original contributions of the research.

14.2 Question 1- How can SI simultaneously be good for society and enhance society's capacity to act?

This research question was framed in the context of Gateway implementing a new product to improve graduate employability for all UOW students and reconfiguring position-practice relations simultaneously to enhance the team's ability to act.

14.2.1 Was the New Employability Award Introduced?

A revised employability award was introduced as a result of the SI process (chapter seven). This would prove not be the final version of the award, as Chelsea had already identified problems with it and was making plans for a further iteration as the research ended.

The impact the award had on levels of graduate employability for all students could not be assessed. Changes to the definition of graduate employability in 2017/18 (section 12.5.1),

made it impossible to evaluate whether the award contributed to an improvement in levels of graduate employability. This illustrates the difficulty of assessing the success of SI in HE within a limited research horizon when outcomes and impacts are measured over long periods of time against metrics externally imposed.

As a direct result of this research, UOW adopted a proxy indicator of future graduate employability, measuring the % of students completing the award. A research programme was introduced evaluating the efficacy of this proxy in predicting future graduate employability levels. The first report is due in 2023-24 academic year.

14.2.2 Were Relationships Across Gateway Reconfigured?

The position-practice relations maps conducted at the start and end of the research period (figs 11.2 and 12.1) indicate changes in relationships vis-à-vis the working group, Gateway, and position-practice relationships across the department.

At the end of the research, Graham retained his strong position with heads of service, careers team, and created strong relationships with faculties and other members of Gateway. Whereas the development of the employability award was originally confined to the working group, it was now integrated into the work of all teams, represented by the extended agents-in-focus area of fig 12.1. There was evidence teams were working closer together and were empowered to own the way the award was implemented. Despite the separation between the department and the heads of service illustrated in fig, 12.2, the senior team were more engaged and aware of the work of colleagues.

No major transformation took place, with only incremental changes apparent across Gateway. The barriers of being based in multiple locations, email communication, and the white noise of NW would not be resolved until the move to the new campus where teams were co-located in one space. Whether the result warranted all the effort is questioned by Chelsea, and Graham resorted to formal plans to undertake a top-down restructure to sort out the remaining issues he had with his team as he felt the process, we had gone through, was not worth the effort.

The findings indicate changes in the way the team was configured between the start and end of the research, this was incremental and did not deliver the major shift in working practices hoped for.

14.2.3 So... How did this Happen?

Key to the outcome was Graham's intervention, and his practice of social-extrapreneurship (section 12.4.2).

Graham's intervention ensured the interests of all sections of Gateway were channelled toward the production of the award by reconfiguring the process, the working group, and the department around the objective. He repositioned his position-practices, channelling external structures into the group differently while he reach beyond the team, and department, to leverage resources, commitment, and authority.

Resetting expectations and repositioning specific knowledge members had of context, he created a safe space, wider than the group, for collaboration. He enhanced the capacity of the new working group to act by acknowledging the interests everyone had of the process and reconfiguring position-practice relations across the team. This was evident when he instructed Chelsea and Tiffany, to do whatever was needed to get the job done in return for authorising the inclusion of the careers team in the development process.

While Graham's practice exhibits some characteristic of a social-intrapreneur, the indication is he went further by creating the space as a platform supporting the collective effort of the department by practicing social-extrapreneurship. While usually reserved for inter-organisational action, complex organisation like a university position relevant resources, ideas, and people 'outside' a department requiring social-extrapreneurship to maximise SI. Graham's facilitation created new combinations across multiple locations, reconfiguring individuals' deeply held attitudes. He released human and intellectual resources toward a shared goal, ensuring the award was delivered and contributed to the small steps the team made toward improved working relationships.

The real SI occurred in the way people worked together rather than the production of a perfect outcome. The enhancement of a team's capacity to act took time, requiring a long-term commitment to SI as the way in which the department operated, allowing for relationships to reposition, and redefining individuals' conjunctually-specific knowledge of external structures and how this are reconciled with general disposition. This long-term commitment empowered those employees who wanted to, to be socially innovative.

14.3 Question 2- Which structures enable and constrain SI within a University Setting?

The same structural barriers to SI in HE identified by (Selznick and McCarthy, 2020; Lough, 2022; Prantl, *et al.*, 2022), namely the attitudes of staff, bureaucracy, a concentration of administrative functions making universities resistant to new ideas and slow to change where identified in this research.

However, the stage four analysis (chapters 11 and 12) suggested there is no simple list of enabling or constraining structures, rather the status of a structure is determined by position-practice relations, perceptions of context affected by general dispositions, and the conjecturally specific knowledge individuals. By being reflexively attuned to the potential of a team and adopting the practice of social-extrapreneurship may enable HE managers to support SI by mediating external structures differently, redefining context, and repositioning specific knowledge to change a groups general disposition.

The role of job descriptions provide an example of this. Job descriptions do not tend to change to reflect what people actually do, or their expertise. They are standard for anybody at a particular level regardless of their performance and ability. This standard contractualism does not fit a knowledge-based business where innovation (whether social or research) requires flexibility in recognising talent and rewarding it appropriately.

Chelsea and Tiffany experienced greater satisfaction when working outside their job description, using it to justify their constraining of SI through inaction, or working within

their job description. Graham's intervention altered their general disposition by reframing their knowledge of the context, turning their negative disposition towards the task determined by the job description into positive action.

While external structures were wider than the attention given here to job descriptions, the indication is that supporting individuals to reframe their specific knowledge and general disposition toward a context, through the practice of social-extrapreneurship, maximises the potential for external and internal structures to enable SI. In the context of this research, HR policies and procedures, together with the contractual expectations of staff, were constructed to constrain SI, leading managers to bypass formal processes to release the SI potential of staff.

14.4 Question 3- What is the role of Organisational Social-Entrepreneurship?

As indicated in section 14.2, two forms of organisational social entrepreneurship were identified. Graham exhibited the practice of social-extrapreneurship and, following his intervention in the working group, Chelsea and Tiffany assumed the position-practices of social-intrapreneurship. The participants addressed social change from within the university as part of their employee status, leveraging available resources in a bricolage approach to SI. While Chelsea and Tiffany were limited by their access to resources Graham acted to expanded available resources beyond the team. The key resource required was authority, something previously accessible to Chelsea and Tiffany but taken from them with their promotion.

With Graham's intervention, Chelsea and Tiffany became the driving force behind the award, their commitment to students success, together with a general disposition toward fairness, structure, and doing things right guided the development of the award. This may not have been achieved without Graham's intervention, indicating that within a HE professional service context, a reliance on social-intrapreneurship alone is insufficient in delivering SI. While this organisational social-entrepreneurship is important in delivering the potential of SI it will not just materialise within a university professional service department, it requires the optimum policy context and resource allocation to support both social-intra and extra-preneurship.

14.5 Did the Research fulfil its Aim and Objective?

The research met both its aim and objective.

The application of Carspecken's (1996) five stage CQR provided a robust methodology enabling the prioritisation of participant voice in the production of the representations of experiences in chapters eight to ten. CQR required a significant time commitment, making it difficult to apply completely within the time constraints of a PhD. Despite that, CQR's ability to be modified to meet changing research demands facilitated a participative approach, captured a wide range of data, and enabled experimentation and creativity. The modifications required an appraisal of the appropriateness of the validity requirements of CQR, allowing for additional safeguards to be explored and implemented.

The inclusion of Stones (2005) SST at stages four and five enabled a deep small-scale systems analysis to identify changes based on participant stories developed through CQR's stages one to three. The stage five requirement to look at findings in light of theory provided opportunities to develop a complex understanding of experience not just describe it.

Carspecken's (1996) CQR, incorporating Stones (2005) SST, enabled the research aim and objective to be fulfilled in a robust way and identified recommendations to inform practice and further research.

14.6 Recommendations

The recommendations outlined in the section relate to SI practice within HE, and research.

14.6.1 Recommendations Related to Practice

Based on the research findings and conclusions the following recommendations are made to UOW, and the wider HE sector, to support SI within university professional services.

1. Universities adopt a strategic commitment, policy framework, and approach to resource allocation within professional service departments to create an enabling environment for SI. In this way, SI can be supported as a way of working to enhance student outcomes through system and process redesign that enhances capacity to act rather than a design response to underperformance.

2. Universities implement staff development in becoming a reflective practitioner for those managers who wish to develop social extra-preneurship within their management practice. This could enhance the capacity of professional service departments to act beyond existing boundaries by leveraging resources needed from beyond the reach of staff within the department.
3. Universities should consider introducing, and supporting professional service staff into, associate professors and professors of professional practice. These professorial roles and titles would be open to professional service, and academic, staff who make significant contributions to enhancing professional practice in any field. For those practicing and contributing to the field of organisational social innovation this would provide a way for them to be recognised and rewarded for their work while supporting them to develop, disseminate, and research their practice. This professorial pathway would be structured to ensure parity with research professorial pathways and would not be appropriate for all professional service staff but could also be used to recognise the contribution of any member of staff in enhancing professional practise across any field.
4. Universities to adopt staff recruitment strategies identifying organisational social-entrepreneurship behaviours, capability, and competence, within appropriate professional service roles both administrative and managerial, and for this to be reflected within appraisal processes for such roles. This would ensure recruitment of socially entrepreneurial skill sets into roles that potentially impact on university student outcome priorities.

14.6.2 Recommendations Related to Social Innovation Research

The following recommendations are made to inform research on SI within HE.

5. Researching SI within HE takes time and happens over long periods. Researchers should consider adopting a theory of change approach to planning and structuring their research. Theories of change offer a comprehensive description to illustrate how and why a SI change is expected to happen. It provides an outline of the causal linkages in a process of expected change, defining short-term, medium-term, and longer-term outcomes, allowing findings based on short-term measures to be extrapolated into claims about the possible longer-term outcomes of SI. This approach could also retain the engagement of participants by demonstrating progress towards these multi-level outcomes. No theory of change approaches to SI research within higher education have been identified and could enable more empirical research by shortening the research timeline.

6. Carspecken's (1996) CQR is recommended as a useful methodology for undertaking SI research within an organisational setting. It allows flexibility, experimentation, and adaptability without undermining the validity of the process or outcome. There is no one way to apply CQR, with its value increased when combined with other methodologies, and requires selective application to avoid a researcher becoming overburdened with complexity and time commitment. The opportunity to flexibly apply, modify, and combine CQR with other methodologies provides opportunities for researchers to innovate methodological approaches to undertaking SI research

both within HE, and wider contexts, to expand understanding and develop SI as a field of study.

7. The application of Stones (2005) SST is recommended for further research into SI within organisations as it provides a useful framework in identifying changes in small-scale systems over time. Further studies using SST are also recommended within other SE organisations and community settings to improve understanding of SI and progress SI as a field of study

14.7 Original Contributions

The original contribution made by this thesis lays in the delivery, and presentation, of a longitudinal ethnographic study of social innovation within a professional service department of a university, a gap identified within the social innovation research literature. This originality raised methodological challenges, implications for existing theory, and informed practice. Addressing these issues resulted in several further claims for originality being identified. These are: -

1. The application of Carspecken's (1996) critical qualitative research (CQR) methodology to the study of SI as outlined in chapter four, and across the text, to prioritise participant voice in understanding their experience of undertaking a process of SI.

2. The inclusion of Stones (2005) strong structuration theory (SST) at stages four and five of CQR to map small-scale systems and changes in structure over time, (chapters 11 and 12).
3. By suggesting a modification of the Cajaiba-Santana, (2014) conceptual framework by incorporating Stones, (2005) SST and the practice of social-extrapreneurship to explain participants experience of a SI process and how SI could be enabled (chapter 13).
4. By suggesting the modification identified in point 3 may explain how the unification of SI pathways across weak and strong traditions of SI, identified by Ayon *et al.*, (2016) happens, producing utilitarian value in the form of improved student outcomes and the reconfiguration of power relations in a virtuous cycle of SI.
5. By suggesting the practice of social-extrapreneurship, as a form of organisational social entrepreneurship, enables SI within professional service departments of universities

14.8 Summary

This chapter has presented answers to the research questions emerging from the research findings. It has outlined how the research aim and objective were met and made recommendations related to practice within HE and research in SI with HE. It concluded by stating the original contributions made by this research.

Chapter 15 Limitations and Further Research

15.1 Introduction

This chapter concludes the thesis by outlining the limitations of the study and suggesting future research identified from this research.

15.2 Limitations

This section summarises the main limitations identified for this research.

Firstly, despite arguing for the generalisability of participant representations as simulacra conveying the essence of the direction of truth and true in themselves (section 5.7.3), the focus on one department, within a single university, limits the generalisability of the experiences and findings beyond UOW. The scale of the disruption experienced at UOW is also atypical of the shocks and events organisations experience in the usual flow of business. Despite this, events such as Brexit and a pandemic, demonstrate universities are not immune to profound organisational change of the magnitude experienced at UOW. While it may be possible to generalise the experience of UOW to other universities experiencing such profound changes, the unique situation experienced at UOW limits this ability to generalise the findings as representative of truth beyond UOW.

Additionally, while I argue universities as a type of social enterprise, all social enterprises are different, assume different trading models, legal structures, and trade in sectors outside of

HE. Universities as complex organisations, operate autonomously, in a highly regulated sector, and while it may be possible to identify other social enterprise organisations operating under similar circumstance, the generalising of findings to other social enterprise or commercial organisations remains limited.

The second category of limitations relates to methodological.

Firstly, while the bracketing of the research within position-practice relations and the SI process designed by the Gateway team provided a focus, UOW was dominated at that time by NW, with every operational decision impacting on the research. It was difficult to determine whether actions were the result of this influence, the SI process, or both making findings difficult to attribute to the SI process alone.

Secondly was the time commitment required to implement Carspecken's CQR and the prioritising of participant voice and experience. The full implementation of CQR required more time than a PhD permits. Of note was the time taken in undertaking pragmatic horizon analysis (section 4.5.6), central to the development of participants' stories. The analysis of dialogical data gathered through journaling and interviews generated became unmanageable, requiring decisions on how data would be used (section 4.10) and which events would be prioritised (section 12.2). Together these decisions limited the research to the experiences of three participants and four specific events within the process, rather than the collective experience of all participants across a range of events.

Finally, I was unable to fully complete stage four of CQR, limiting the analysis to one site rather than across multiple-sites. The removal of data when participants left UOW provided data for only three participants. In some respects, I was lucky they were all working in the same working group, but this limited analysis to that one group with little available data to undertake a meaningful multi-site analysis. While Carspecken and others have applied CQR in truncated forms in other studies (chapter four) findings from such studies are limited and their ability to be generalised or to draw trustworthy conclusions from macro-theory restricted.

The research also presents definitional limitations. Firstly, the definition adopted was SI as the intentional and collaborative acts within a university setting. In addition, recognising the contested and multi-disciplinary nature of SI, the research makes no claim the findings extend beyond a social entrepreneurship theory paradigm.

The final set of limitations relate to omission. With a significant number of staff declining to be involved in the research, the experiences presented reflect a small group of individuals within Gateway, and excludes the voices of the careers team, and those working part-time for Gateway. While I tried to bring these voices in through my own journaling and primary record, the lack of careers team involvement has contributed to the sense they are the 'Others' against whom the good guys are fighting, demonstrating a bias within the text that has influenced the findings.

The decisions to limit the data, required to make the data manageable and comply with the ethics strategy agreed by participants, also removed participant voices from the final text.

These could have shaped findings differently, offering alternative experiences, and possibilities. The research is therefore limited to the experience of a small number of individuals within Gateway, in which the majority of voices have been omitted, operating in a university where the wider context is only presented by that small number of participants.

Despite these limitations, the research has been carefully constructed to ensure valid representations of the experiences of those involved at UOW is presented in the text (chapter five)

15.3 Further Research

Several areas for further research are suggested.

1. Further research is needed within social enterprises, universities, and other organisational types, to better understand of the value of Carspecken's (1996) CQR methodology to undertaking SI research.
2. Further research on social-extrapreneurship as leadership within social enterprises would enhance understanding social-extrapreneurship and on how leadership of social enterprises can be improved to maximise societal impact.
3. The flexibility afforded at stages four and five of CQR suggests further SI research combining CQR with other methodologies could provide fresh insights into SI within HE with a particular focus on macro change at the policy and societal level.

4. Further studies are required to identify the optimum strategic, policy, and resource allocation environment to maximise SI within HE professional services as a way of supporting positive student outcomes and enhancing a departments capacity to act.
5. The experience of Tiffany indicates further research is needed on supporting the wellbeing of individuals undertaking a process of SI within a university setting

15.4 Summary

This chapter concludes the theses by identifying the main limitations of the research and suggesting further areas of study based on the findings.

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Appendices

Appendix A Financial Assessment of Willowick as of 31st July 2016

Income and Expenditure Account

Profit and Loss	Jul-14	Jul-15	Jul-16
Income			
Tuition	£76,552	£88,865	£95,797
Grants	£16,238	£16,866	£13,217
Research	£1,322	£1,783	£906
Operating Income	£15,538	£17,527	£17,813
Donations		£168	£249
Endowment and Investment	£446	£1,775	£2,785
Total Income	£110,096	£126,984	£130,767
Less share of income in Joint Ventures	£ (1,100)	£ (988)	£ (1,224)
Net Income	£108,996	£125,996	£129,543
Expenditure			
Rent	£452	£470	£348
Rates	£266	£256	£231
Insurance	£224	£393	£264
Repairs and Maintenance	£1,891	£1,637	£1,601
Telephones	£307	£259	£335
Depreciation	£7,724	£9,147	£10,416
Wages	£52,967	£56,728	£63,146
Operating Expenses	£-	£-	
Staff Recruitment	£92	£81	£21
Staff Training	£635	£806	£447
Heating Lighting and Power	£1,865	£2,215	£1,951
Partner Schools	£448	£208	£201
Printing Postage and Stationery	£1,170	£871	£805
Marketing	£2,499	£3,012	£2,807
Travelling	£1,228	£1,682	£1,667
Infrastructure and IT	£2,459	£3,239	£4,056
IT costs	£1,891	£2,785	£2,487
Equipment Rental	£497	£13	£-
Catering	£689	£892	£804
Student Bursaries	£6,145	£8,150	£5,473
Student Visits and Field Trips	£552	£578	£460
Subscriptions	£704	£645	£628
Professional fees	£46	£55	£69
Audit	£62	£53	£59
Legal fees	£1,046	£526	£431
Franchise Fees	£789	£990	£573
Transport	£1,400	£1,132	£1,234
Other Expenses	£3,722	£3,464	£5,770
Student Union	£1,270	£1,366	£1,481
Interest and Finance Costs	£2,730	£15,625	£10,634
Agency staff	£1,842	£628	£219
Bank Charges	£100	£118	£166
Consumables and Lab	£568	£684	£607
Books and Periodicals	£1,550	£1,331	£1,501
Consultancy	£3,652	£3,396	£2,375
Total Expenditure	£103,482	£123,435	£123,267
Operating profit	£5,514	£2,561	£6,276

Income and Expenditure after Finance Costs

Finance Costs			
Joint Venture	-26	£15	£ (25)
Operating Profit in Associate	25	£26	£35
Interest	£0	£0	£-
Taxation	£0	£8	£-
Endowments	£0	£52	£-
Dividends	£0	-£8	£12
Gain on Investment			£155
Total Finance costs	-£1	£93	£177
Net Surplus	£5,513	£2,654	£6,453
Actuarial Loss in respect of Pension Scheme	-£9,231	-£4,676	-£4,861
Total Comprehensive Income (Expense)	-£3,718	-£2,022	£1,592

Balance Sheet

Current Assets			
Trade Debtors	£7,121	£8,427	£7,173
stock	£4	£3	£3
Other Debtors	£-		
Investments	£36,186	£202,587	£135,955
Cash at Bank	£364	£1,584	£106,810
Endowments	£980	£953	
Total Current Assets	£44,655	£213,554	£249,941
	£-	£-	
Current Liabilities			
Trade Creditors	£951	£2,141	£967
Taxation and Social Security	£1,960	£2,383	£2,046
Short Term Debt	£1,517	£2,819	£5,197
Accruals and Deferred Income	£16,336	£18,578	£31,818
Total Current Liabilities	£20,764	£25,921	£40,028
Net Current Assets/(Liabilities)	£23,891	£187,633	£209,913
Fixed Assets			
Freehold Property Under Construction	£90,713	£84,383	£83,638
Leasehold Premises	£12,554	£36,794	£78,959
Investment Property	£1,317	£1,290	£1,263
Investments	£1,610	£1,610	£1,765
IT Equipment	£201	£201	£201
IT Equipment	£4,619	£3,311	£2,512
Fixtures and Fittings	£-		
Joint Ventures Net Income	£89	£44	£10
Investment in Associate	£25	£51	£86
Total Fixed Assets	£111,128	£127,684	£168,434
Long Term Liabilities			
Amounts Falling Due After 12 Months	£46,377	£230,456	£290,060
Provisions	£1,567	£1,248	
Endowment	£980	£953	
Pension Liabilities	£32,728	£38,010	£49,638
Accruals /Deferred Income	£25,344	£18,622	£10,469
Total Long Term Liabilities	£106,996	£289,289	£350,167
Total Net Assets	£28,023	£26,028	£28,180
	£-		
Reserves			
Income and Expenditure Account	£44,923	£49,453	13936
Capital Reserves			
Revaluation Reserve	£15,828	£14,519	£13,210
Pension Reserve	£-32,728	£-38,010	
Minority Interest		£66	108
Restricted Reserve			926
Share Capital			
Total Reserves	£28,023	£26,028	£28,180
Number of Employees	955	1203	1229

Ratio Analysis

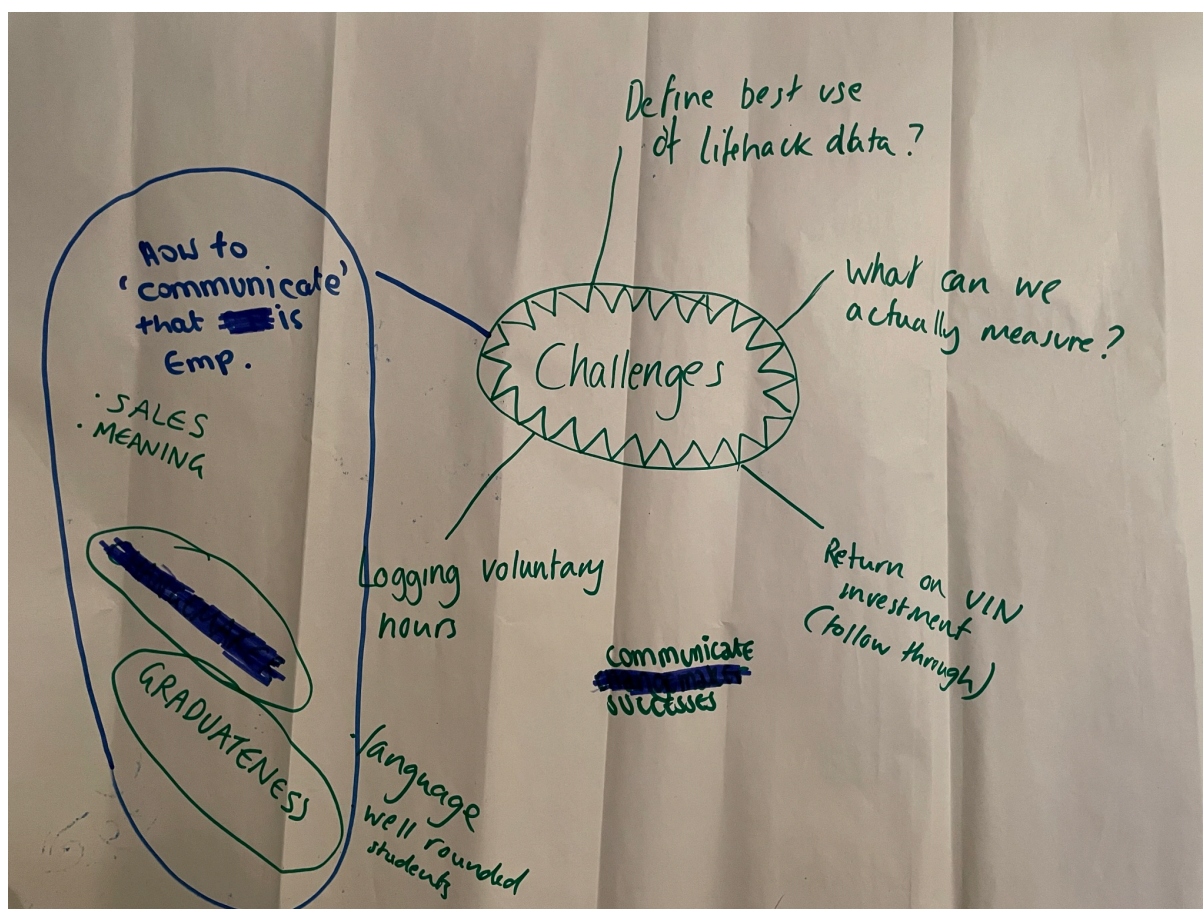
	Jul-14	Jul-15.	Jul-16	
Profitability Ratios				
Operating Profit Margin	5.01%	2.02%	4.80%	
Net Profit Margin	5.01%	2.09%	4.93%	
Return on Capital Employed	0.76	23.93	(0.53)	
Efficiency Ratios				
Debtor Turnover	24	24	20	Days
Sales to capital employed	15.17	1186.77	-11.04	
Income per Employee	£114.13	£104.73	£105.41	
Liquidity Ratios				
Net working capital	£23,891	£187,633	£209,913	
Current Asset	2.2	8.2	6.2	
Acid Test	2.1	8.2	6.2	
Financial Gearing				
Gearing	107001	289300	350185	%
Interest Cover	2.02	0.16	0.59	

Appendix B- Researcher's Critical Value Orientation

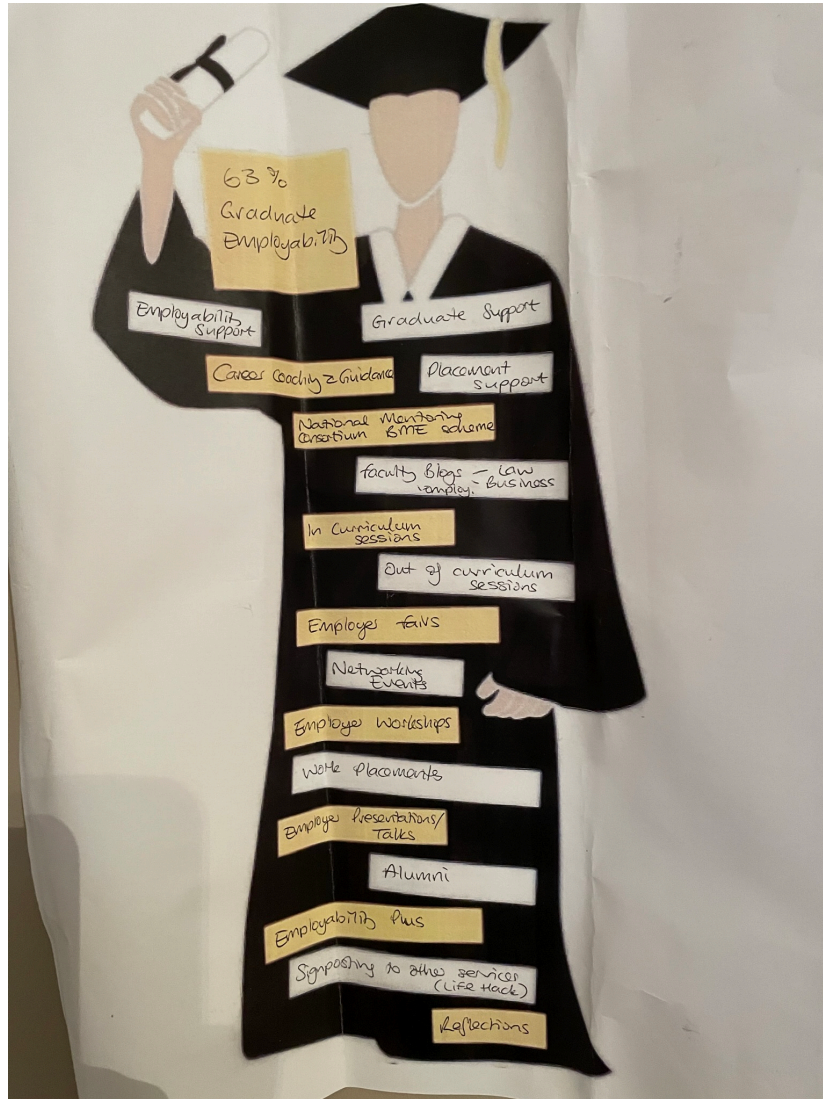
Taken from Carspecken (1996:6-7) citing (Kincheloe *et al.*, 2018:237)

1. All thought is fundamentally mediated by power relations that are social and historically constituted.
2. Facts can never be isolated from the domain of values or removed from some form of ideological inscription.
3. The relationship between concept and object and between signifier and signified is never stable or fixed and is often mediated by the social relations of capitalist production and consumption.
4. Language is central to the formation of the subjective (conscious and unconscious awareness)
5. Certain groups in any society and particular societies are privileged over others and, although the reasons for this privilege may vary widely, the oppression that characterises contemporary societies is most forcefully reproduced when subordinates accept their social status as natural, necessary, and inevitable.
6. Oppression has many faces and focussing on only one at the expense of others often elides the interconnections among them.
7. Mainstream research practices are generally, although, most often unwittingly, implicated in the maintenance of capitalist production and in the reproduction of systems of oppression.

Appendix C Photographs of a sample of artefacts produced by the Gateway team



Example of synthesised challenges identified for the Gateway Community Team produced at the Lodge Meeting on the 19th August 2016



Example of the Persona created for a Gateway Careers Adviser at Gateway to Illustrate the Complexity of the Gateway Offer to Inform the Meeting at the Lodge 19th August 2016

SCHOOLS ENGAGEMENT

Tranche of activities / Opportunities



UG + PG paid
WORK OPPORTUNITIES
+
Volunteering
OPPORTUNITIES

(Supporting Employability
PI's + Changemaker)

Captured / recorded on
central database

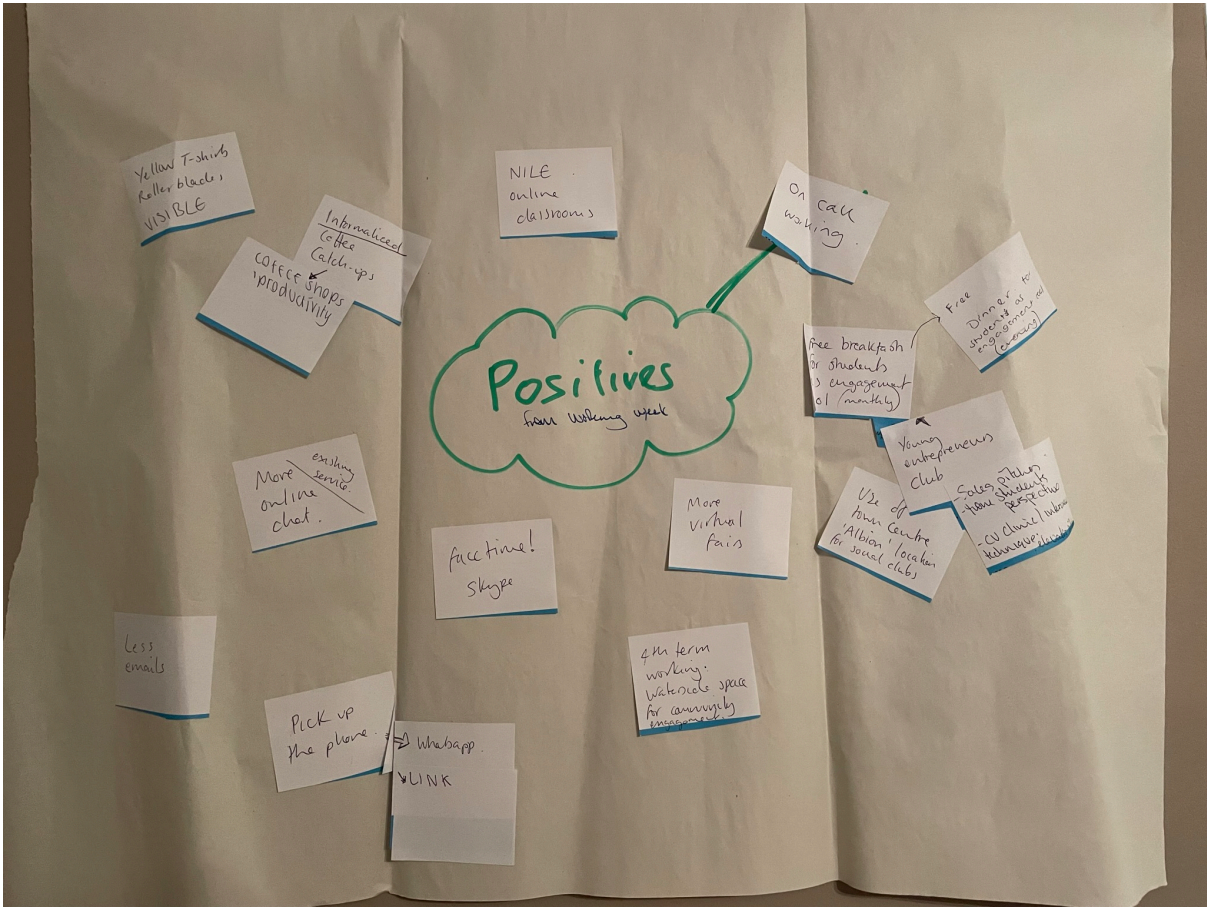
General recruitment of
downloaded
students to VON

Employer engagement
BIG BANG / VIP

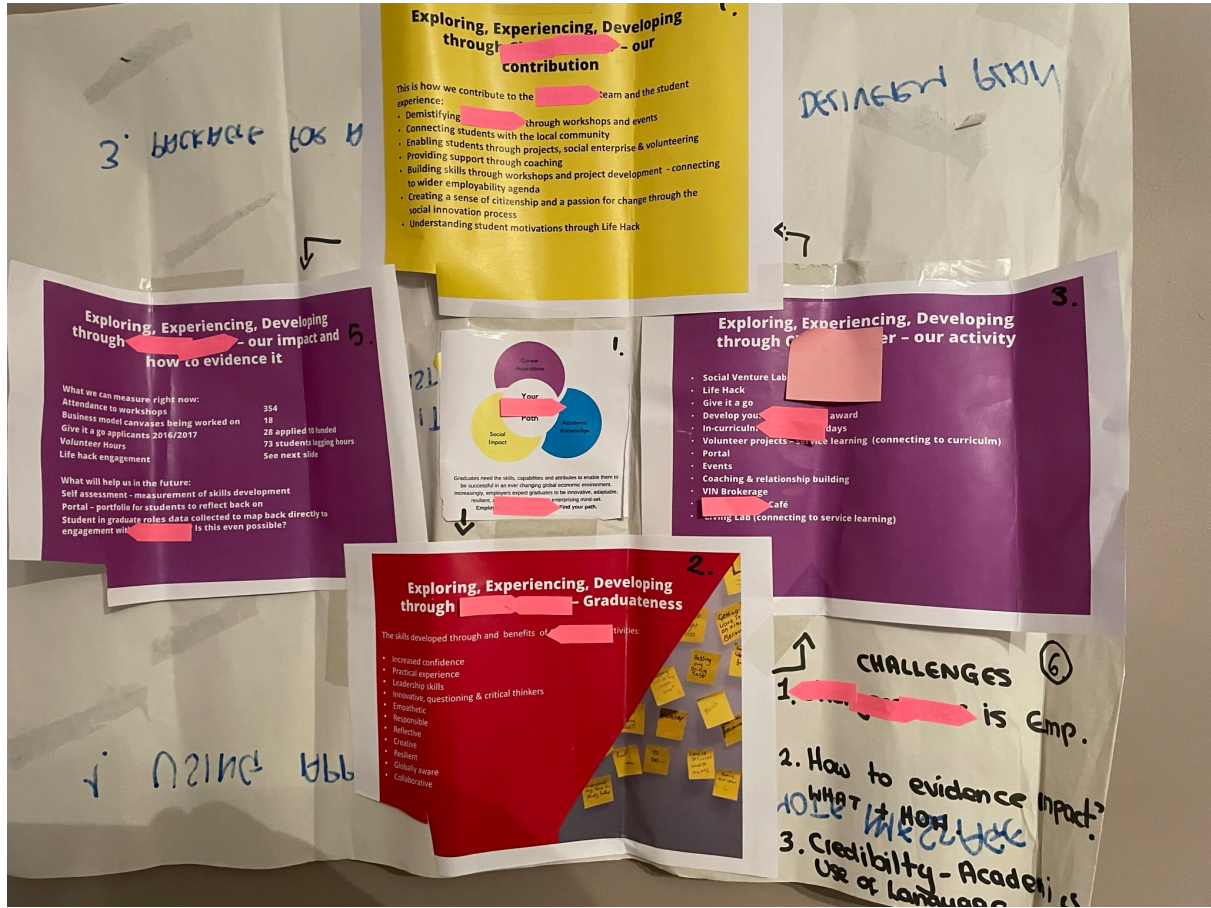
→ (creation (+
recording of)
NEW work placements,
scholarships and
bursaries.

Open days
with employers
and schools

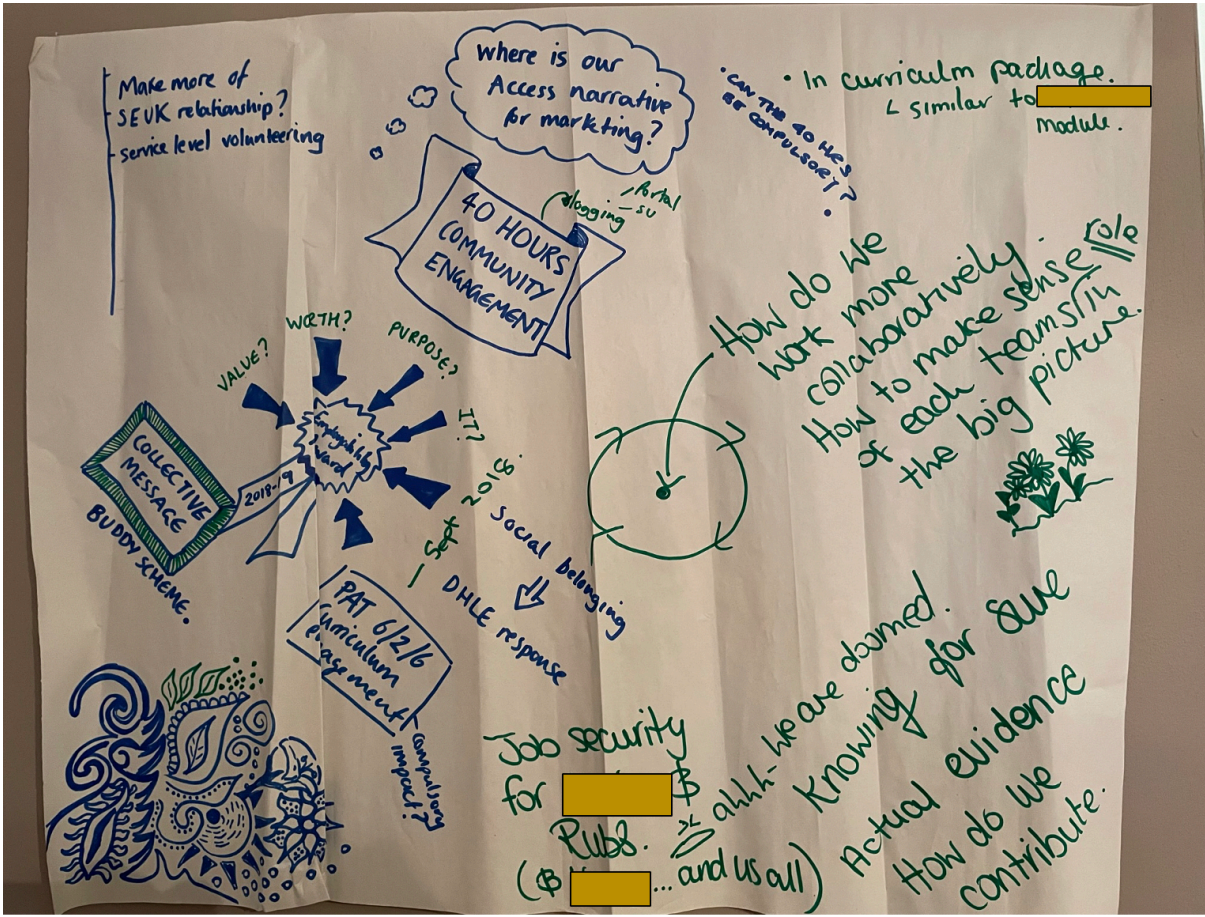
Synopsis of how the Schools' Engagement Team Contribution to the Employability Offer of Gateway (19th August 2016)



Example of Best Practice Identified from Employer Event Debriefing Session Held After the Meeting at the Lodge to Inform Working Group Priorities (date attributed 6th October 2016)

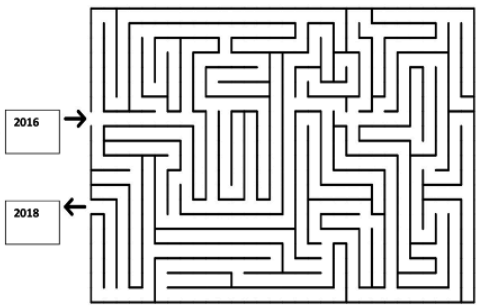
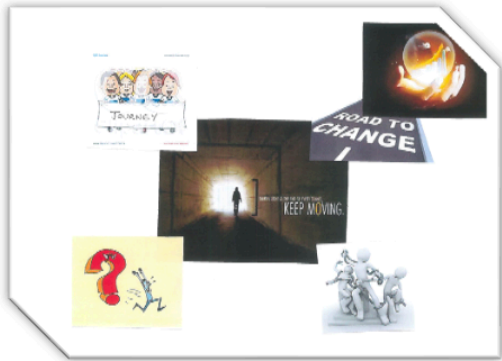


Example of Artefacts produced by the Gateway Team at Staff Meetings After the Meeting at the Lodge (date attributed 6th October 2016)

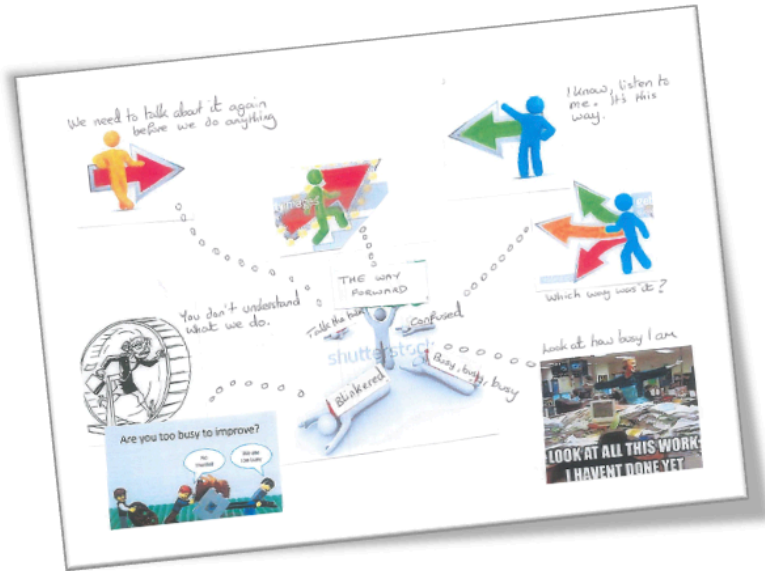


The Poster Produced at the Meeting at the Lodge Identifying the Employability Award Priority and Identifying the Need to Work More Collaboratively (19th August 2016)

Appendix D Participant Representations of University of Willowick



Appendix E Participant Representations of Gateway



Appendix F Position Statement of Willowick at the Start of the Research

The University of Willowick

The Uni is working well now despite New Willowick dominating everything. The Senior Management Team is leading from the top and we are all doing as we are told. What is not recognised, or it is, and it is part of the plan, is that this exciting journey we are on is not one everyone wants to embark on. I see people resisting because they do not think there is a personal benefit. The general feeling is of us, the staff, and then the bosses, and we have no control over our destiny. People are obsessing over the trivial things rather than looking at the big picture of the exciting opportunities it presents us. It is a major change, and it is leaving us all feeling unsure and apprehensive about the future.

We are in the middle of a transformation, working towards something we are told will be much better, yet it feels like as staff it is happening to us, rather than it being something we fully own. This state of flux we are in feels like we are being pulled, or pushed, to something we cannot see, feel, hear, or imagine and that is scary because there are so many things need doing. It feels like a maze we must navigate daily because not getting there is not an option, and there may well be back where we are now.

So instead of engage staff in a plan, we are throwing everything in the air to redefine what to do and how to do it. The instability we are all feeling is therefore inevitable, that for some is a negative, but it could be the catalyst for massive development and progress.

Appendix G Position Statement for Gateway at the Start of the Research

Gateway

Gateway is a vibrant department with a complex offer requiring multiple connections and different ways of working together to produce different outcomes and opportunities for students. We are like a jumble of wires all entangled up chaotic and confused with too many options to explore and colleagues who have no idea how to make the most of them.

The department is very much divided, everyone doing their own specific roles but not crossing over to work with others. I find colleagues unable or unwilling to convert talk into effective action. They are happy to tell you how very 'busy', they are working their butts off but make no progress. We don't Not work together, often we work against each other. Going round in the same circles expecting different results.

We are opinionated group of people who can't or won't grasp the concept of the way forward, who all know best, never think that failure is a problem or their fault I accept we are in a period of change with many hurdles to face to reach our end goal, but I am left feeling frustrated and disheartened as I don't know what our team is actually doing or why. We end up plastering over the cracks with knee jerk reactions that don't work towards a goal leading to a general confusion and an overall sense of it all being someone else's fault.

There is much to consider, the team, students, academics, policy, strategy, Waterside, and performance to name a few, all of which add greater complexity. We must manage these by being measured, driven, cohesive and practiced rather than what we are at the minute with most of my colleagues are very keen to prove how busy they are, easily misdirected, distracted, and confused.

Appendix H Copy of the Information Sheet

The Social Innovation University: A processual study of organisational change in higher education through embedded social innovation

PARTICIPANT INFORMATION STATEMENT

(1) What is this study about?

You are invited to take part in a research study about the change process undertaken by the Gateway in the period up to 31st December 2017. The aims of the study are firstly to capture the stories and reflections of members of the Gateway team to understand how we make sense of the changes that are happening and also how much they feel they are influencing the change that happens.

The research is concerned with the refocussing of the Gateway's activities so that it makes a positive social impact and contribution to the strategic plan. In particular to widening participation objectives and addressing differential outcomes in student success. Whilst this research will be undertaken during the same period in which the University plans for the move to New Willowick, this research is NOT about the move New Willowick other than to provide the context in which the Gateway develops.

The research study is part of PhD programme of study undertaken by Researcher as a student at the University of Willouwick. This research study will add to the body of knowledge related to both organisational change and social innovation whilst making a unique contribution to the literature on Higher Education as such a study has not been carried out within a university before. It is also anticipated that the research may make a positive contribution to the development of the Gateway.

You have been invited to participate in this study because you are a member of the Gateway team and will be experiencing significant change over the coming two years. This Participant Information Statement tells you about the research study and the nature of your involvement.

Knowing what is involved will help you decide if you want to take part in the research. Please read this sheet carefully and ask questions about anything that you don't understand or want to know more about.

Participation in this research study is **voluntary**.

By giving consent to take part in this study you are telling me that you:

- ✓ Understand what you have read.
- ✓ Agree to take part in the research study as outlined below.

- ✓ Agree to the use of your personal information as described.

You will be given a copy of this Participant Information Statement to keep.

(2) Who is running the study?

The study is being carried out by Researcher, head of the Gateway for the purposes of this research. Researcher is a student at the University of Willowick.

Researcher is conducting this study as the basis for the PhD degree at The University of Willowick. This will take place under the supervision of Dr Peron 1 and Dr Person 2; Dr Person 1 is also acting as the Director of Studies. In addition, Professor Plum of Not Willowick University is acting as the external supervisor as part of the Supervision team.

This study is being 50% part funded by the University of Willowick within the University's staff development policies and procedures with no agreement for study leave approved. This arrangement was authorised by the Director for Student and Academic Services. The University does not benefit financially from this research, and you as a participant will not receive any remuneration, incentive, or benefit in kind from being involved.

Due to the nature of this study, it is anticipated that there are a number of conflicts of interest that will need to be managed through the period of the study and beyond. There will be a need for the researcher to make implicit or explicit choices between their own values and between the interests of the University, the wider Gateway team, and those members of the team participating in the research. Ethical and legal dilemmas will occur at all stages of research and the researcher recognises their responsibility to anticipate such problems and insofar as is possible to resolve them without harming either the research participants, the wider Gateway team, or the university's reputation. To this end the researcher will work closely with the University's Research Ethics Committee (REC) throughout the period of study. An ethics risk assessment has been undertaken and is available for you to review if you so wish.

Key areas of potential conflicts of interest already identified are: -

1. Research's position within the University as head of the department being studied will mean that he will be required to implement decision made by the University's senior management team that may cut across the research and influence the direction that it takes.
2. Research's interest and advocacy for social innovation will influence how decisions will be implemented and provides a challenge for undertaking unbiased critical research.
3. The multi-level relationships between the roles of Researcher (employee, line manager, student researcher) and you (participant, employee, team member).
4. The research itself and the University's willingness for the findings to present a view of change that it is not comfortable with.

Whilst these conflicts of interest are acknowledged attempts to mitigate their impact in the study have been made by obtaining the University's permission to undertake the research and have access to the University for this purpose. In addition, the research is undertaken within the researcher's and participants' personal time not as part of their employment responsibilities to the university, and the supervisory team are there to ensure robust academic standards are maintained

(3) What will the study involve for me?

Journals

You will be asked to complete a reflective journal for the period 1st January 2017 until 31st December 2017. In this journal you will be asked to record your reflections on the change process being undertaken by the Gateway, its impact on you personally, your involvement in the changes, and your understanding of what is happening and why. This journal will need to be updated at least once a week, but the periodicity of completion over and above this weekly requirement is your decision. Entries can relate to any and all formal and informal interactions you may have with individuals across the Gateway team and/or the University but must relate back to the development of the Gateway in some way.

Unless entirely necessary direct reporting of what individuals said should be avoided with all entries anonymised so as not to provide any information that may lead to the identification of an individual and the comments made.

All entries must be dated to provide a chronology of events and thoughts as it is this progression over the two years of the study that is of interest. At the outset, your entries can be in free format covering all and any issues of interest to you. As the study progresses and themes emerge you may be asked to reflect on specific topics, actions, or events this will be communicated to you in a timely manner and will not be retrospectively applied.

All journals can be either handwritten, typed, presented in a diary or any other format which you are comfortable with. There is no requirement for you to put your name to the entries and all submission can be made anonymously by posting them to Research using the pre-paid envelopes provided.

The completion of the journals will not be part of the duties required of you as part of your employment but will be completed in your personal time. All entries will be confidential and will not be used in any way that might damage your relationships with other team members or work colleagues across the university. As personal documents, no entries will be used or admissible as part of any grievance, disciplinary, investigation, or redundancy procedure or any other University procedure or policy requirement.

1-2-1/small group meetings

Periodically you may be asked to attend a meeting with Research either as a 1-2-1 meeting or as part of a small group meeting involving the other participants.

These meetings are researcher/participant meetings Research will attend in the capacity of a student not your line manager. Such meetings will be arranged outside of working hours, at a venue off campus or away from your area of work at a time that suits you. All requests for such meetings will be made in a timely manner, in writing, and with prior notice of the areas for discussion. **Attendance at such meetings is voluntary.**

Minutes will be taken by Researcher and circulated to all present to confirm accuracy.

In addition to the formal record of such meetings, Research will be observing the discussions, seeking clarifications, and testing understanding of the data. Such observations will be recorded in his own journal and will not be shared with you; however, all observations will be anonymised and unattributable as far as it is possible to do so.

Such meetings may be recorded using audio recording equipment providing all present agree.

Observations

As part of the study Researcher will also be maintaining a reflective journal. In this journal he will be recording his day-to-day observations of the Gateway team, his interactions with team members, and his interpretations of events as they unfold. As part of the Gateway team, you will be part of these observations. All observations will be anonymised, they will not directly report conversations in a way that would be attributable to any individual, will be treated confidentially and not shared with anyone. Researcher's observations will be added to the data collected by all participants and analysed in the same way.

All observations will be treated as Researcher's personal information and will not be used in any way that might damage your relationships with other team members or work colleagues across the university. As personal documents, no entries will be used or admissible as part of any grievance, disciplinary, investigation, or redundancy procedure or any other University procedure or policy requirement.

Observational data will be collected over the full two-year period of the study commencing 1st August 2016 and will take the form of a written diary completed by Researcher outside of working hours.

Documentary data

The research aims to locate the change happening in the Gateway within the wider institutional changes at the University. A range of public/unrestricted documents will be used to achieve this including minutes from meetings, agenda papers, internal communications; list is not exhaustive. Such documents may indicate your involvement in a meeting, discussion, and/or event attributing actions and discussion points to you personally. All such documents will form part of the data for the research with your involvement anonymised where possible. **It will not be possible for such documents to be withdrawn from the study**

No other personnel data, records, or documentation related to your employment at the University will be accessed or referred to in any way as part of this study.

Verification of data prior to publication

Should any data collected during the study be utilised for peer review or other publications other than the final PhD thesis, you will be advised, and a draft of the proposed publication provided to you for comment prior to submission for peer review process. Whilst you will not be able to stop the submission completely you will be able to work with the researcher so that a jointly agreed submission can be achieved. If no such approved version can be achieved Research will be able to submit the final amended version to the relevant publisher, provided all considerations of confidentiality and anonymity have been met.

(4) How much of my time will the study take?

It is anticipated that over each term the time commitment will be in the region of 5 hours. This is made up of 20 mins per week over a 12-week term maintaining the reflective journal plus a maximum of 1x1 hour for 1-2-1/small group meeting per term. In total it is estimated that the total commitment over the two years will be in the region of 30-40 hours of your personal time.

(5) Do I have to be in the study? Can I withdraw from the study once I've started?

Being in this study is completely voluntary and you do not have to take part. Your decision whether to participate or not will have no impact your current or future relationship with Research as your line manager or anyone else at the University of Willowick

If you decide to take part in the study and then change your mind later, you are free to withdraw at any time. You can do this by emailing me at Researcher@cantab.net. Your withdrawal will be effective from the day I receive the email. Withdrawal only refers to the continued completion of the journals and attendance at 1-2-1, and small group meetings. Your anonymised inclusion in the observations will continue as will your inclusion in publicly available university documents.

The nature of the research means that the journals you submit will be incorporated into the data and analysed on an ongoing basis rather than at the end of the data collection period. **This coupled with the anonymous nature of journal data provided means that you will not be able to withdraw any data provided up to the point of withdrawal from the study.**

If you take part in a 1-2-1 or small group meeting, you are free to stop participating at any stage, not turn up, or to refuse to answer any of the questions or take part in any discussion. **However, it will not be possible to withdraw your individual comments from our records once the group has started, as it is a group discussion. Any recordings made up until the point of your departure from such meetings and/or withdrawal from the study will be included in the study results and cannot be withdrawn for the reasons given above**

(6) Are there any risks or costs associated with being in the study?

Aside from giving up your personal time, it is not anticipated that there will be any risks or costs associated with taking part in this study.

(7) Are there any benefits associated with being in the study?

It not anticipated that you would receive any direct benefits from being in the study.

As the study is part of a PhD study any publications that arise from the research and/or the final thesis will add to the body of knowledge of social innovation, organisational change, and higher education with potential benefits to other organisations and employees undertaking processes of change.

(8) What will happen to information about me that is collected during the study?

Types of information collected during the study

The main types of information collected during this study will be your reflective journal, Research's observations as contained in his reflective journal, minutes and recordings of meetings undertaken as 1-2-1s or small groups, and unrestricted documents produced by the University. All information will be collected and used for the purpose of completing the PhD programme of learning, including potential peer review papers, and for no other purpose.

How audio recordings will be treated

All audio recordings of meetings involving participants will be transcribed by Research and will be sent to you to review. Once reviewed by all present the recording will be deleted and the transcription stored in a password protected electronic file. All hard copies will be retained in a locked filing cabinet off the University's premises with access limited to Research only.

Confidentiality

All Journals, minutes, documents, transcripts, and all other data will be scanned and kept in password protected electronic format on TUNDRA or other secure document storage system. All Hard copy source documents will be retained in case of future verification of data and will be held in a locked filing cabinet used solely for the purpose of storing the data for this research at Research's home with access limited to him alone.

Your confidentiality is of paramount importance. No agent, member of staff, or any other third party will have access to the documents, information, or data you have provided unless there are indications of illegal activity or required by court order or as part of an ongoing police investigation.

Verification of data

You will be provided with an opportunity to verify all meeting notes, transcripts of audio recording, and typed up versions of handwritten notes you generate. You will be permitted to amend, correct, clarify, add detail, or withdraw any part of the transcriptions which are attributable to you. All journal

submissions that are submitted anonymously will not be able to be accessed for verification once submitted and Research will be able to use them in unverified format.

Publication of study

The main purpose of the study is to complete a PhD programme of study. All information collected will inform the results of the study and be included as part of the final thesis. In addition, the information may be used as supporting evidence for peer review publications in which case your verification of data prior to publication as outlined in section 3 will apply.

Data Storage

The Data Protection Act 2003 will be adhered to, and the 8 principles enshrined in the conduct of the research and the maintenance of information held, see <https://ico.org.uk/for-organisations/guide-to-data-protection/>.

All electronic data will be stored using the University's document storage platform utilising password protection. This platform is provided to all PhD students as a tool to utilise to aid their studies and will not be accessed by any member of the University unless for reason identified in the confidentiality section above.

Hardcopy documents, source documents, and other information will be held in a locked filing cabinet off University premises and only accessible to Research. All hard copy documents will be shredded 1 year after the final thesis is submitted and the online storage account will be closed, and all electronic files deleted. You will be notified of the destruction of all information at that time.

By providing your consent, you are agreeing to the collection of personal information about you for the purposes of this research study as outlined above. This information will only be used for the purposes outlined in this Participant Information Statement, unless you consent otherwise.

Your information will be stored securely, and your identity/information will be kept strictly confidential, except as required by law. Study findings may be published. Although every effort will be made to protect your identity, there is a risk that you might be identifiable in these publications due to the nature of the study and/or the results.

(9) Can I tell other people about the study?

Yes, you are welcome to tell other people about the study and your involvement in it.

(10) What if I would like further information about the study?

When you have read this information, Researcher will be available to discuss it with you further and answer any questions you may have. If you would like to know more at any stage during the study, please feel free to contact Researcher directly or the Director of Studies Dr Person 1.

(11) Will I be told the results of the study?

You have a right to receive feedback about the overall results of this study. You can indicate that you wish to receive feedback by ticking the relevant box on the consent form. This feedback will be in the form of a summary document outlining the data analysis and the findings of the study. You will receive this feedback after the study is finished and before the submission of the final thesis.

In addition, you will receive invitations to attend the Transfer Seminar and any other seminars delivered as part of the PhD study process. Attendance at such seminars is at your discretion and not compulsory.

(12) What if I have a complaint or any concerns about the study?

Research involving humans is reviewed by an independent group of people called the Research Ethics Committee (REC). The ethical aspects of this study have been approved by the REC of the University of Willowick. As part of this process, I have agreed to carry out the study according to the Association of Social Anthropologists of the UK and the Commonwealth (ASA) Ethical Guidelines for good research practice and the British Educational Research Association (BERA) Ethical Guidelines for Educational Research, copies of the guidelines are available upon request. These guidelines have been developed to protect people who agree to take part in research studies like this one.

If you are concerned about the way this study is being conducted or you wish to make a complaint to someone independent from the study, please contact the University using the details outlined below. Please quote the study title and researcher.

The Chair, the University of Willowick Research Ethics Committee, via the Graduate School, Willowick,

- **Email:** Chair@REC.ac.uk
- HR@Willowick.ac.uk

This Information sheet is for you to keep

Appendix I Copy of Consent Form

The Social Innovation University: A processual study of organisational change in higher education through embedded social innovation

PARTICIPANT CONSENT FORM

I,[PRINT NAME], agree to take part in this research study.

In giving my consent I state that:

- ✓ I understand the purpose of the study, what I will be asked to do, and any risks/benefits involved.
- ✓ I have read the Participant Information Statement and have been able to discuss my involvement in the study with the researchers if I wished to do so.
- ✓ The researchers have answered any questions that I had about the study, and I am happy with the answers.
- ✓ I understand that being in this study is completely voluntary and I do not have to take part. My decision whether to be in the study will not affect my relationship with the researchers or anyone else at the University of Willowick now or in the future.
- ✓ I understand that I can withdraw from the study at any time and that **any data provided as part of my reflective journal prior to my point of departure will not be able to be withdrawn from the study.**
- ✓ I understand that I may stop 1-2-1 or small group meeting at any time if I do not wish to continue, **and that any recordings or data collected up to my point of departure will not be able to be withdrawn from the study.** I also understand that I may refuse to answer any questions or take part in any discussions I don't wish to answer or contribute to.
- ✓ I understand that I may leave any Gateway group at any time if I do not wish to continue. I also understand that it will not be possible to withdraw my comments once the group has started such an activity.
- ✓ I understand that personal information about me that is collected over the course of this project will be stored securely and will only be used for purposes that I have agreed to. I understand that information about me will only be told to others with my permission, except as required by law.
- ✓ I understand that the results of this study may be published. Although every effort will be made to protect my identity, I may be identifiable in these publications due to the nature of the study or results.

I consent to:

- **Reviewing transcripts** YES NO

Would you like to receive feedback about the overall results of this study?

YES NO

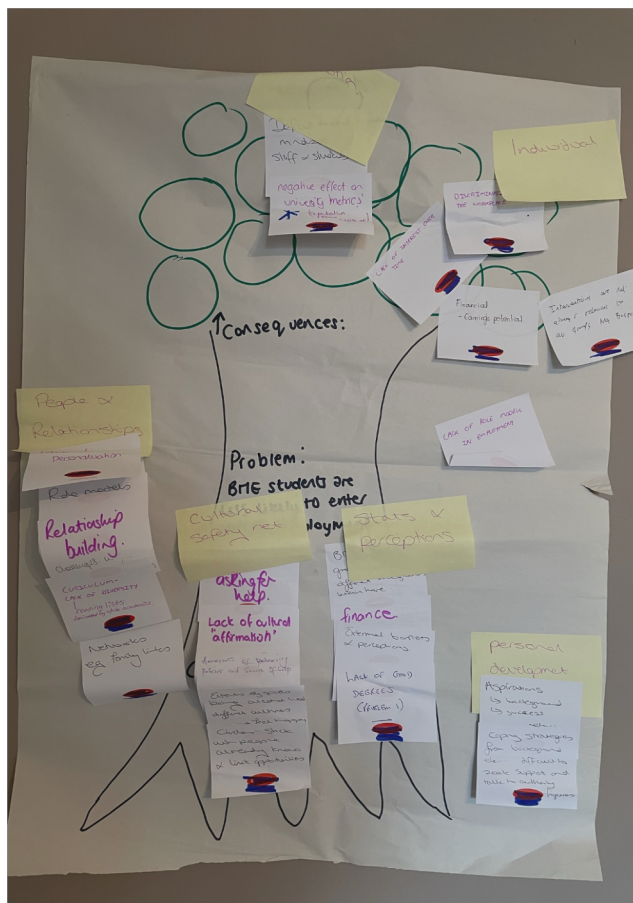
If you answered **YES**, please indicate your preferred form of feedback and address:

Postal: _____

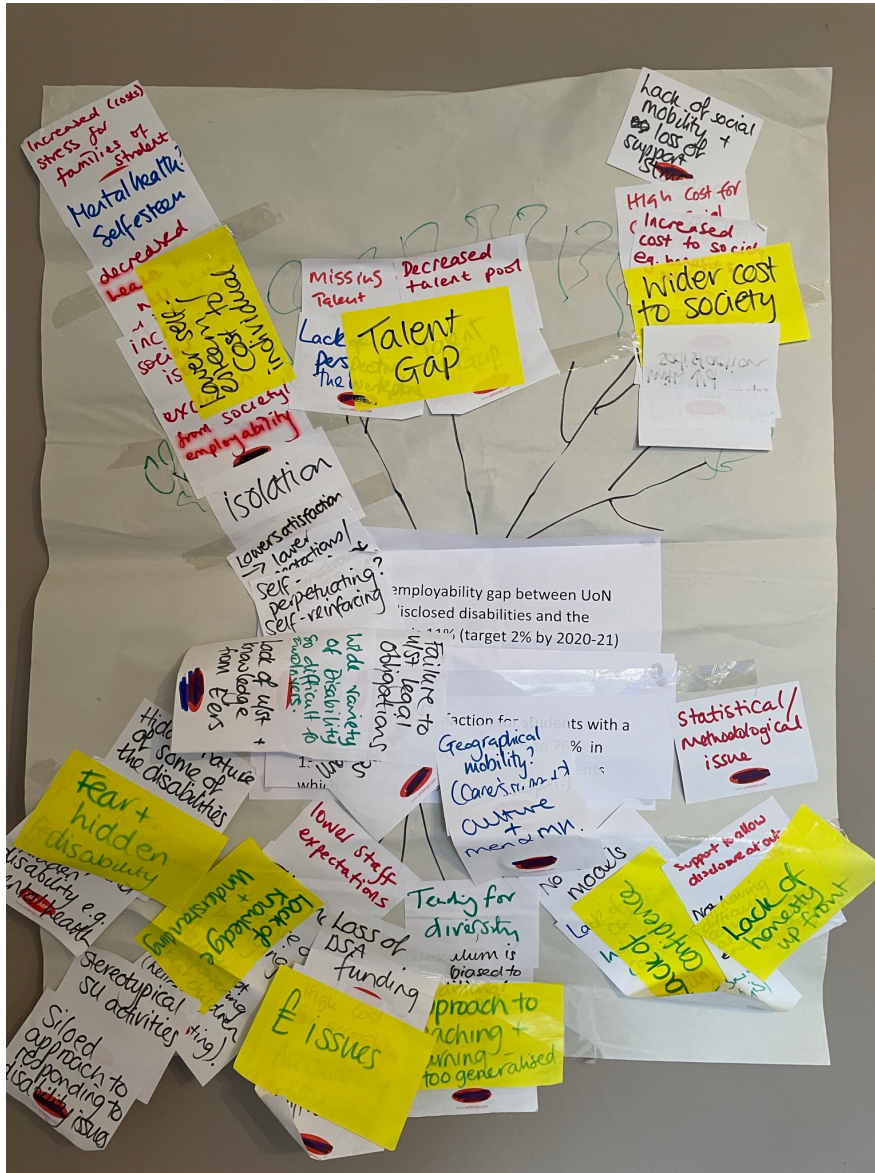
Email: _____

.....
Signature

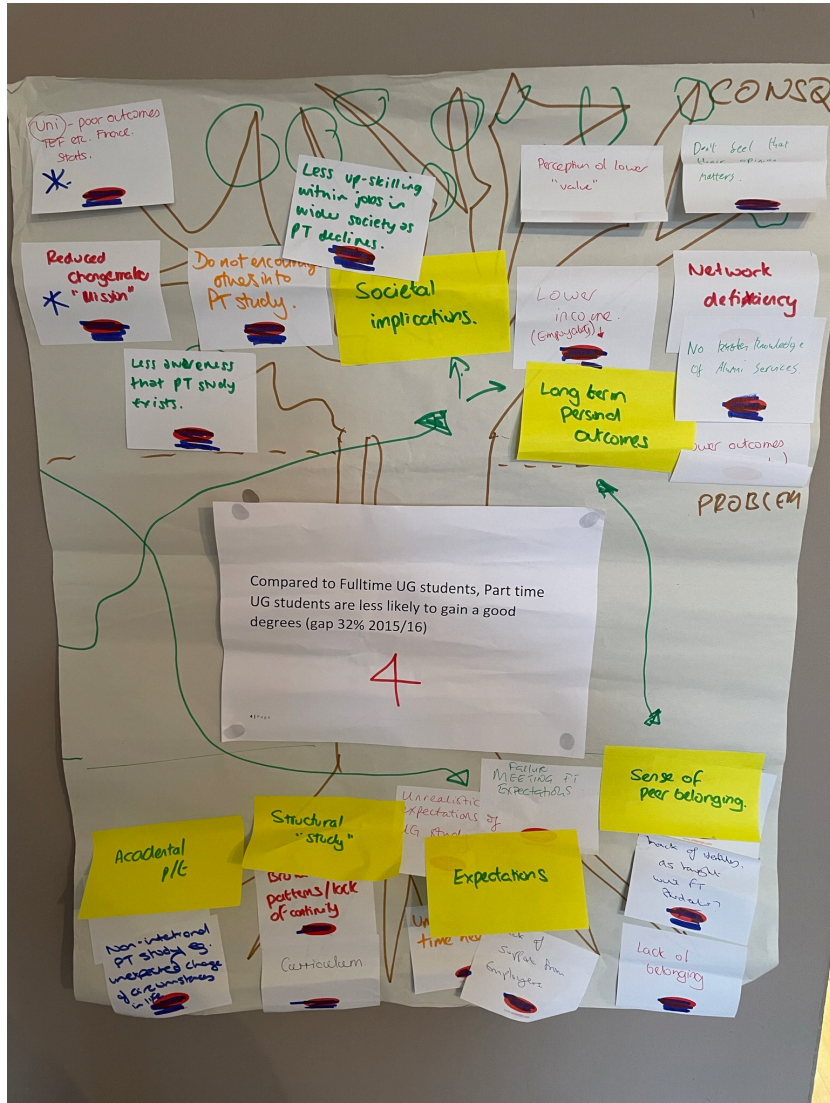
Appendix J Sample of Problem Trees Produced by the Gateway at the Team Meeting of the 19th August 2016



Problem Tree Exploring BAME Graduate Outcomes Gap with White Students (19th August 2016)

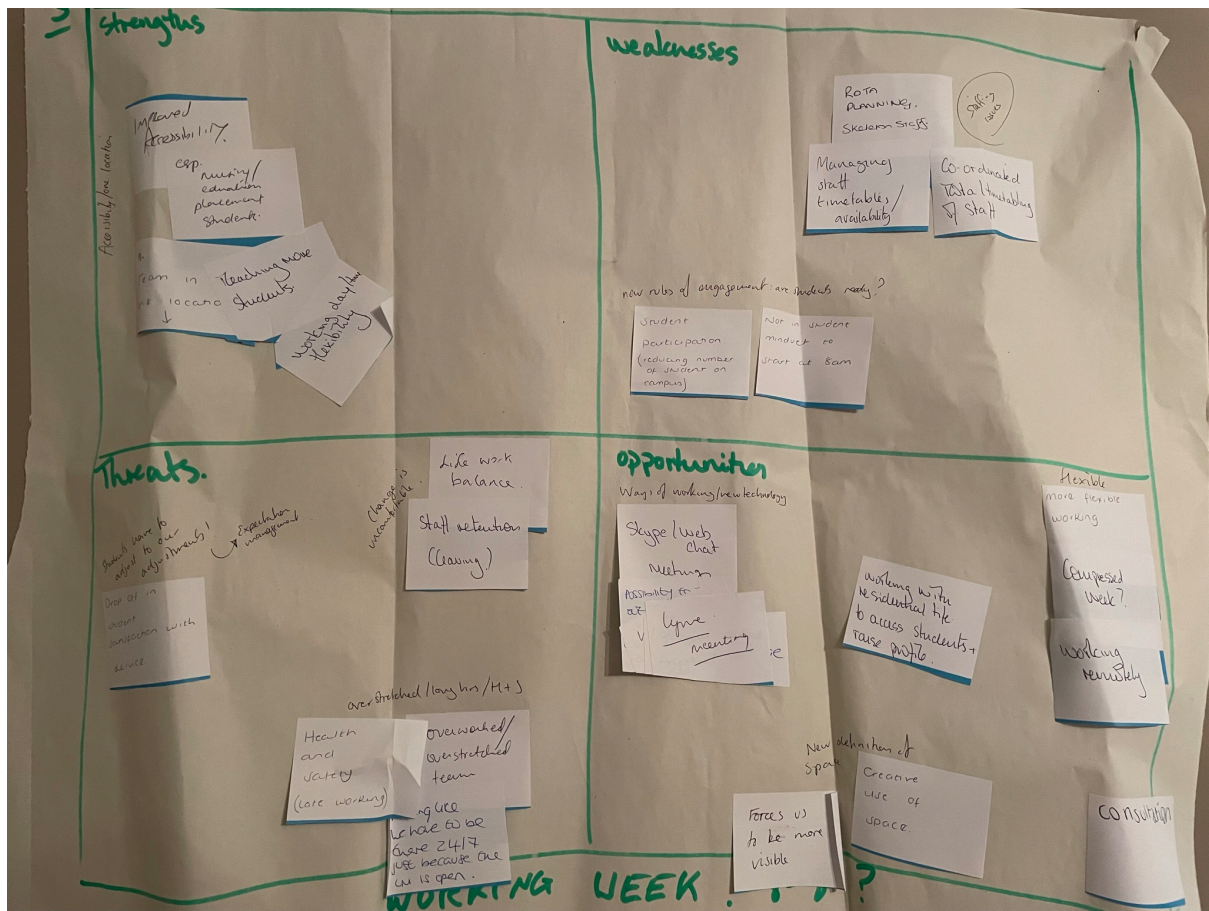


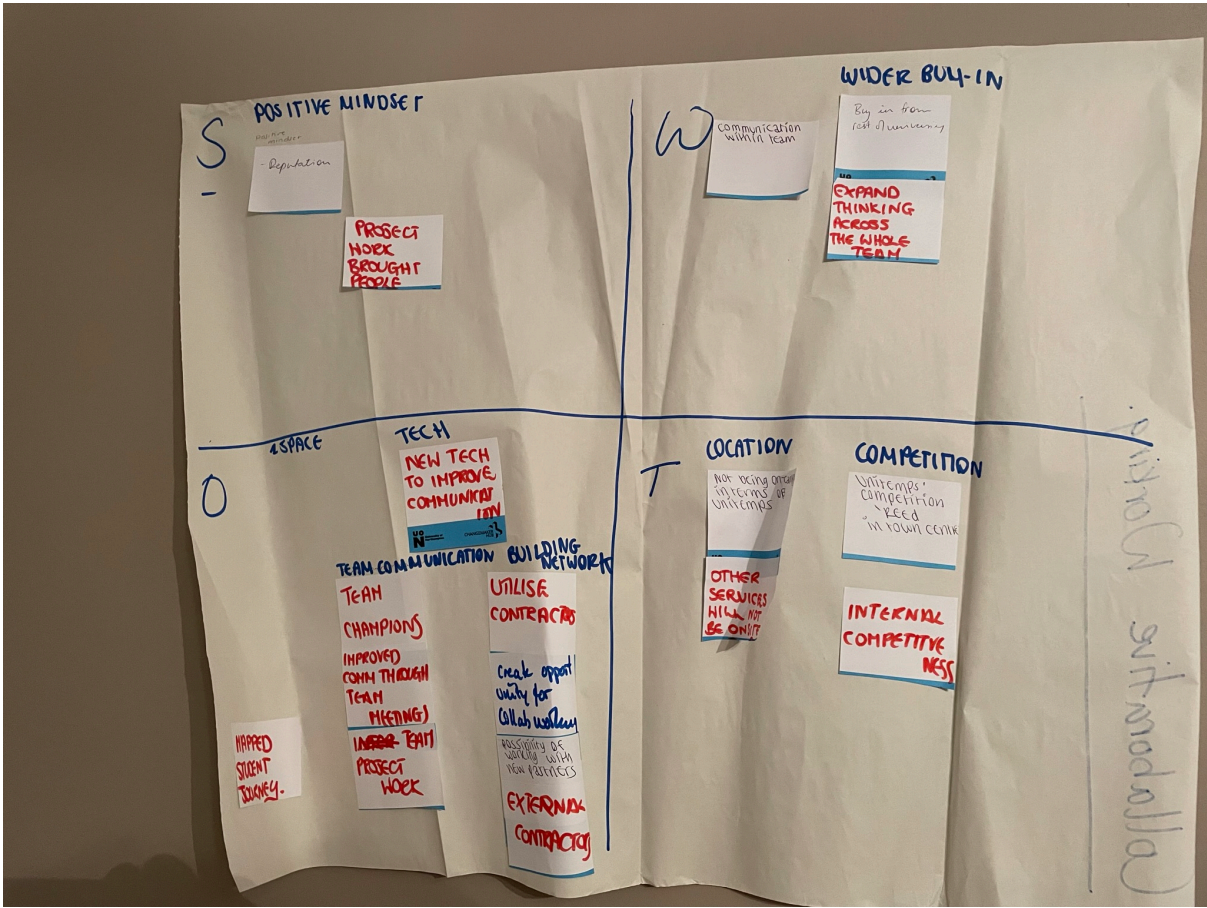
Problem Tree Exploring Low Graduate Outcomes for Students with declared Disabilities



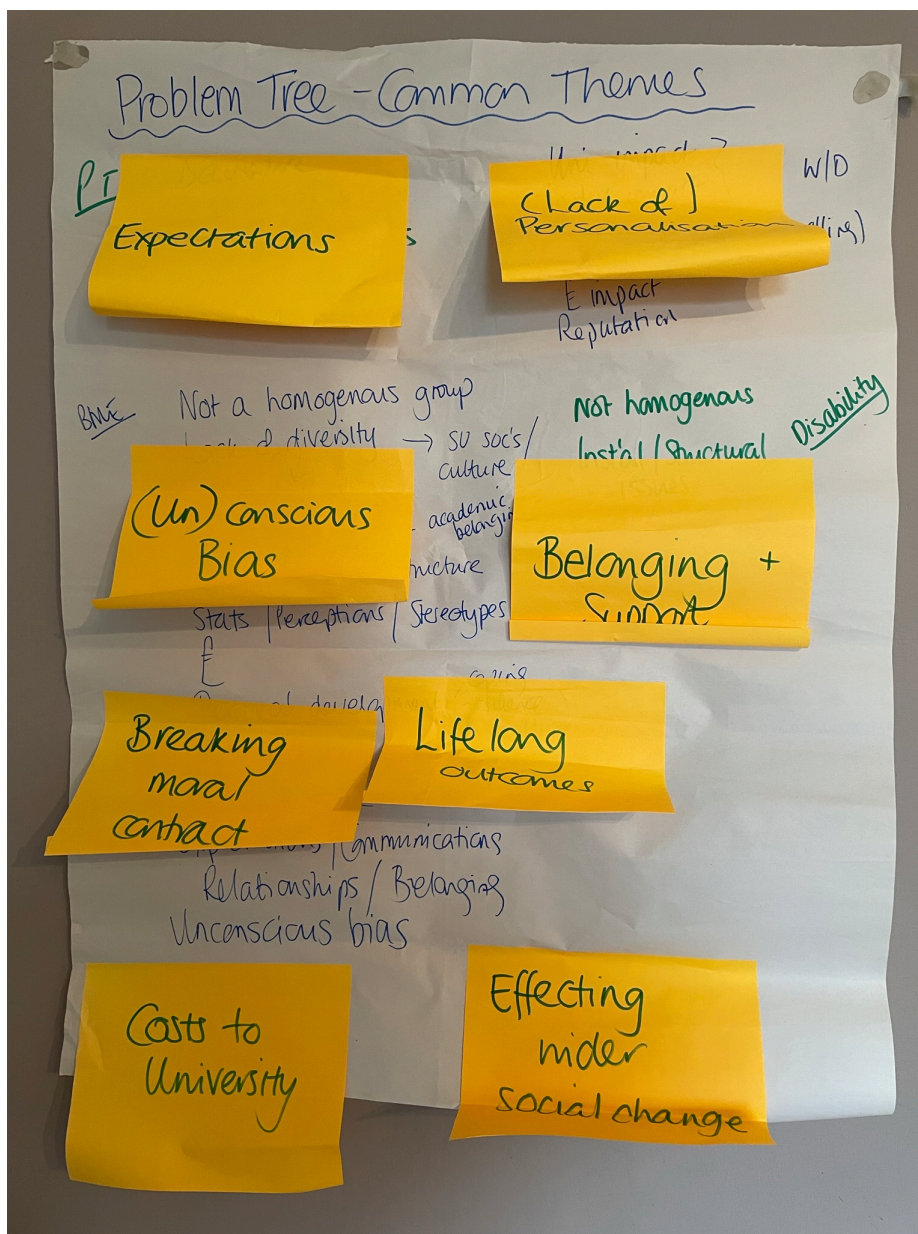
Problem Tree exploring Differences in Graduate Outcomes by Mode of Study (19th August 2016)

Appendix K Sample of the SWOT Analysis undertaken by the Gateway at the Team Meeting of the 19th August 2016

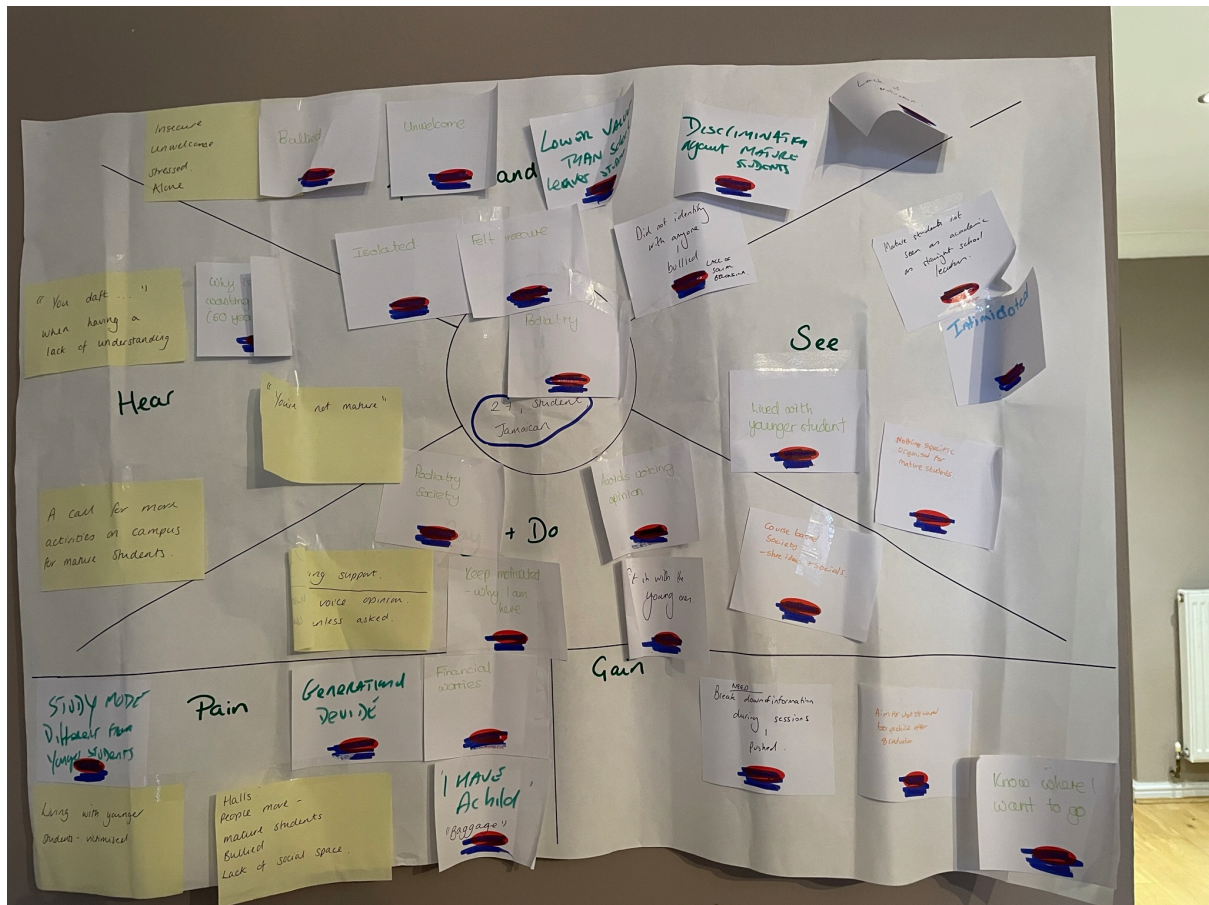




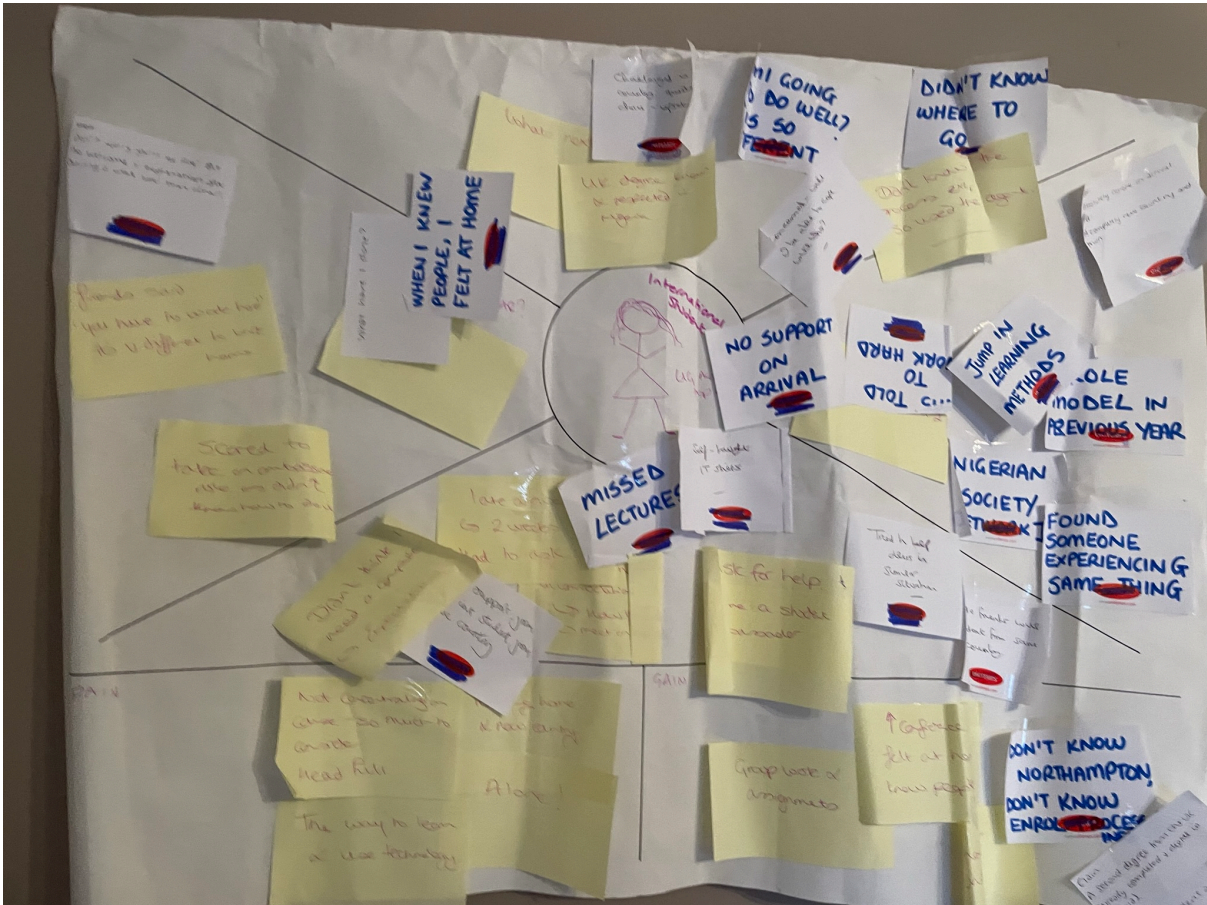
Appendix L Synthesised Problem Tree produced by the Gateway at the Team Meeting of the 19th August 2016 Identifying Themes



Appendix M Examples of Empathy Maps Generated to Inform Student Profiles







Appendix N Deep dive into the priority initiatives highlighted at the Lodge

STAFF ACTIONS

Understanding why people
Access to Systems - Proactive support
Rolling support & induction beyond initial weeks.
REGULAR PAT MEET UPS (ACADEMIC + PERSONAL)
Better Transition into University

Staff

Staff Training
3 Year Accreditation Schedule

All 1st Years in Halls

Course specific Clothing History, Habits.
Get to know your Lecturer
Be Proactive of Services through the year

"SOCIAL BELONGING"
+ definition is based on UNi's values

alcohol related events

Academic Societies

Team work activities for different groups on course

COURSE FACEBOOK / WHATSAPP groups

Everyone Join so

for ALL Courses

Buddy Scheme

Mature Focus Groups

Get welcome week right

More Halls Activities

'Life @ Uni' should start before welcome week

Summer Schools/Workshops

CURRICULUM CHANGE

change Academic Year

change term length

make year Proper

Early Formative Assessments

INDUCTION 2 weeks (pre 1st semester)

Induction slots all through the year

Relevant course content

Re-design 1st Year Curriculum

Lecture times

Support at peripheral sites eg free drinks

Creating a safe space

Learn to Value teach respect.

Teach Empathy

Understanding the unwritten rules

to work in groups

Break down barriers

Build confidence speak out

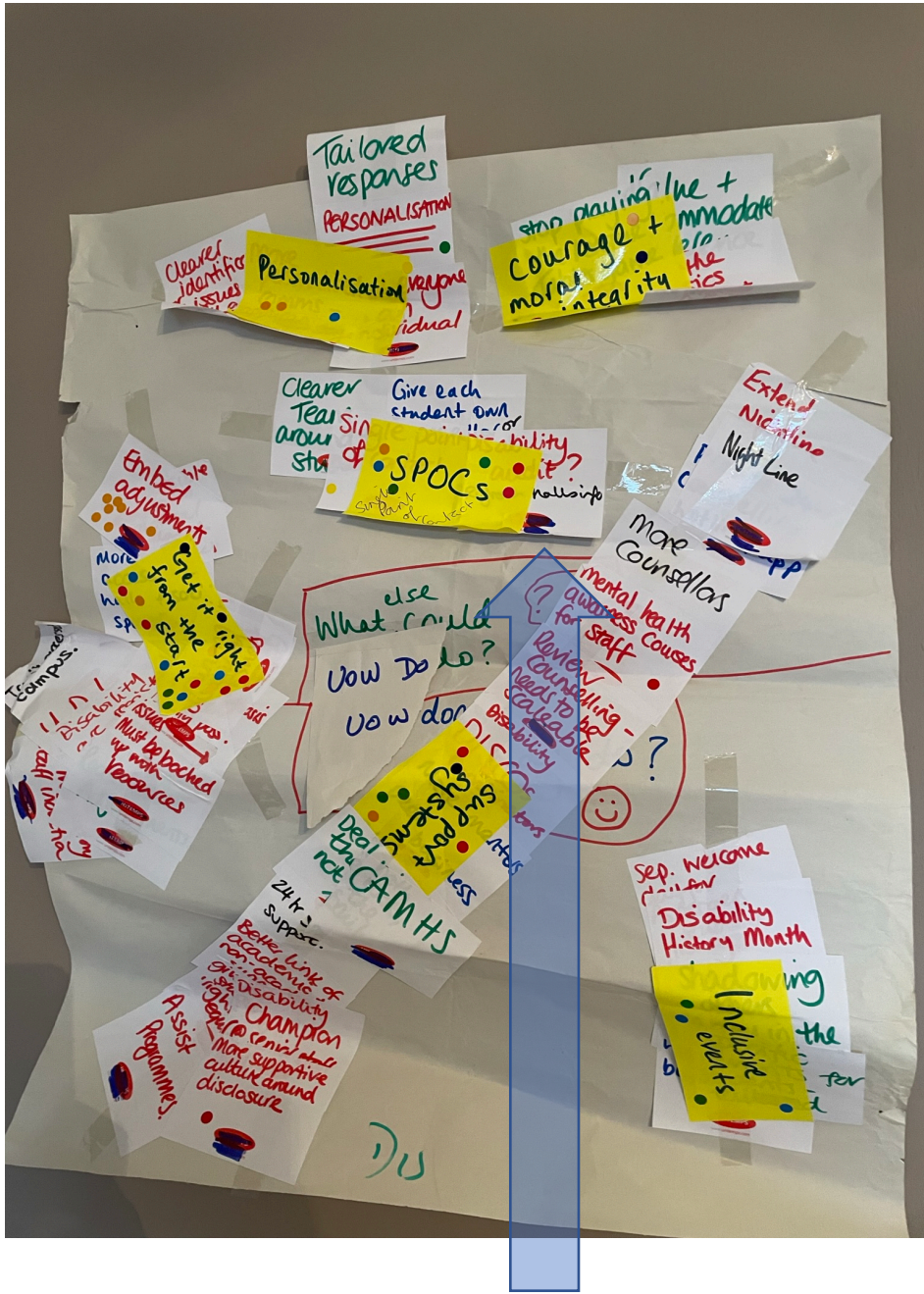
Programme based team building.

VALUE ONE ANOTHER.

ABILITY TO EXPRESS VIEWS + OPINIONS

DISMOROSY

M



Deep Dive Identifying The Single Point of Contact Portal and Personalisation as Priorities progressed by Margaret's Working Group

Appendix O – Research Aims, Objective, and Research Question

Aim

To understand the application of SI, within a professional service department of a university, to create a new product, or service, that simultaneously improved graduate outcomes and reconfigures power relations across the department to enhance the department's capacity to act.

Objective

To prioritise the voice of participants involved in a process of SI within a university setting to understand their experience.

Research Questions

1. How can SI simultaneously be good for society and enhance society's capacity to act (Young Foundation, 2012:42)?
2. Within a university setting, which structures enable and constrain SI?
3. In delivering SI within a university professional service department, what is the role of organisations social-entrepreneurship?