

UNDERSTANDING THE RESOURCE GAPS FOR SOCIAL ENTREPRENEURS AND
THE CHALLENGES IMPLEMENTING CHANGE IN A SOCIAL ENTERPRISE

A Record of Study

by

JENNY REBECCA NUCCIO

Submitted to the Graduate and Professional School of
Texas A&M University
in partial fulfillment of the requirements for the degree of

DOCTOR OF EDUCATION

Chair of Committee,	Kim Dooley
Co-Chair of Committee,	Amy Boren Alpízar
Committee Members,	Lori Moore
	David Lawver
Head of Department,	Mathew Baker

May 2022

Major Subject: Agricultural Education

Copyright 2022 Jenny Nuccio

ABSTRACT

This paper focuses on identifying the resource gaps within human capital, social capital, and financial capital to better understand the dilemmas that social entrepreneurs face in implementing change. In this conventional content analysis, I interviewed 24 social entrepreneurs who met the following criteria: (a) must be leading a social enterprise; (b) must have a global social impact component; and (c) must have been in their leadership position (founder or CEO) for at least two years. To maximize the learning opportunities for other social entrepreneurs, these interviews were made available as a podcast. This study identified 15 constraints in resource gaps presented across human, social, and financial capital. The themes that emerged within human capital included communication, cultural differences, training/development, business modeling, and sustainability. The themes that emerged within social capital included community (i.e., feeling isolated), inconsistent supply chain, market access, partnerships/networks, and scaling/growth. The themes that emerged within financial capital included finances to pay staff/expand operations, finances to pay for marketing, funding for growth, financial struggle, and overall strategy to profitability. The 15 themes that emerged among the resource gaps of human, social, and financial helped inform where the biggest gaps, lack of resources, and dilemmas lay within Kotter's (1996) 8-step change model. These dilemmas include (a) cross-cultural communication, (b) culture misalignment, (c) financial sustainability, (d) inconsistent strategy, and (e) lack of training/development. The information that was obtained through this research will help the social impact sector understand the resource gaps that cause dilemmas in change implementation. This knowledge aids in strategy, leadership development, and sustainability for social entrepreneurs.

DEDICATION

This is dedicated to my family who have never stopped believing in me and all that I could accomplish. They pushed me from day one and I am incredibly grateful for their support.

To my husband, who loves me relentlessly and fights for my dreams.

To my children, Jadon, Sophie Gene, and Selah who always made me laugh on the hard days and their sweet smiles were my constant motivation.

Then finally, to my cohort who were my inspiration from day one. We went through many tears in the process, but we got through it together and I am forever grateful for such an amazing group of individuals.

ACKNOWLEDGEMENTS

I would like to thank my committee chair, Dr. Dooley, my co-chair, Dr. Boren, and my committee members, Dr. Moore, and Dr. Lawver, for their patience, guidance, and amazing support throughout the course of my research. They never stopped believing in my wild proposals and always supported my tenaciously driven spirit.

Thanks also to all the department faculty and staff at both Texas A&M University and Texas Tech University for providing me with a wonderful experience.

Thank you to all my friends and family for constantly motivating me to write and cross the finish line. There was lots of love, patience, and grace given to me throughout the last year. I am forever grateful for everyone who has been alongside me in this process and allowed me to write at their kitchen table late at night when we were on the road as a family. Also, a special shout out to Swindler Farms, where I finished my first draft of this dissertation with love, support, and lots of fresh coffee around.

Finally, I am extremely grateful for my husband, who deserves not just a dedication, but a great big thank you! His dedication to our family is incredible and his love for me is immeasurable. During this program, I had two children in addition to our one-year-old son. I went through classes, late nights, and data collection all while pregnant or with a baby in my lap. I could not have done any of this without Sean, and he deserves an honorary doctorate for being an amazing support system. Well, he at least deserves this acknowledgment, hug, and pat on the back. Thank you, Sean, for your love and relentless spirit to not allow me to give up. Also, thank you, thank you for all the late nights you spent with our babies so I could rest. I am forever grateful for those extra hours of sleep and for you.

CONTRIBUTORS AND FUNDING SOURCES

Contributors

This work was supervised by a dissertation committee consisting of Dr. Kim Dooley of the Department of Agricultural Leadership, Education and Communications from Texas A&M University, Dr. Amy Boren Alpízar of the Department of Agricultural Education and Communications from Texas Tech University, Dr. Lori Moore of the Department of Agricultural Leadership, Education and Communications from Texas A&M University and Dr. David Lawver of the Department of Agricultural Education and Communications from Texas Tech University.

All work conducted for the dissertation was completed by the student independently.

Funding Sources

This work did not receive any specific funding. All content is solely the responsibility of the author.

TABLE OF CONTENTS

	Page
ABSTRACT.....	II
DEDICATION.....	III
ACKNOWLEDGEMENTS.....	IV
CONTRIBUTORS AND FUNDING SOURCES	V
TABLE OF CONTENTS.....	VI
LIST OF FIGURES	IX
LIST OF TABLES.....	X
CHAPTER I INTRODUCTION.....	1
STATEMENT OF THE PROBLEM	3
PURPOSE OF THE STUDY.....	4
RESEARCH QUESTIONS	4
SCOPE OF THE PROBLEM	5
POSITIONALITY STATEMENT	6
LIMITATIONS.....	7
DEFINITION OF TERMS	8
ORGANIZATION OF THE RESEARCH STUDY	9
OUTLINE FOR THE RECORD OF STUDY	10
CHAPTER II REVIEW OF LITERATURE	11
INTRODUCTION	11
SOCIAL ENTREPRENEURS	11
CHANGE AGENTS.....	13
SOCIAL ENTERPRISES.....	15
BUSINESS MODELING.....	16
<i>Nonprofit</i>	18
<i>For Profit</i>	20
<i>Hybrid</i>	22
RESOURCE GAPS.....	23
<i>Human Capital</i>	24
<i>Social Capital</i>	26
<i>Financial Capital</i>	27
DIFFUSION OF INNOVATION	28
KOTTER’S 8-STEP CHANGE MODEL	29
PODCASTS.....	29
THEORETICAL FRAMEWORK	30
CONCEPTUAL FRAMEWORK	34
CHAPTER III RESEARCH DESIGN AND METHODS.....	36
PURPOSE OF THE STUDY.....	36
RESEARCH QUESTIONS	36

SIGNIFICANCE OF THE STUDY	37
RESEARCH DESIGN	37
SAMPLING.....	39
PARTICIPANT DEMOGRAPHICS	39
HUMAN INSTRUMENTATION.....	47
DATA COLLECTION.....	48
DATA ANALYSIS	51
TRUSTWORTHINESS.....	53
CHAPTER IV FINDINGS AND RESULTS	54
PURPOSE OF THE STUDY.....	54
RESEARCH QUESTIONS	54
INTRODUCTION	54
IDENTIFIED RESOURCE GAPS	55
RESEARCH QUESTION ONE: WHAT ARE THE MAIN CHALLENGES IN LEADING A SOCIAL ENTERPRISE THAT ALIGN WITH THE HUMAN, SOCIAL, AND FINANCIAL CAPITAL RESOURCE GAPS PRESENTED?.....	40
<i>Human Capital</i>	41
<i>Social Capital</i>	50
<i>Financial Capital</i>	59
IDENTIFIED DILEMMAS IN CHANGE IMPLEMENTATION	67
KOTTER’S 8-STEP CHANGE MODEL	68
RESEARCH QUESTION TWO: WHEN INITIATING CHANGE REPRESENTED IN KOTTER’S 8-STEP MODEL, WHICH STEPS INCUR THE BIGGEST GAPS, LACK OF RESOURCES, AND DILEMMAS FOR THE CHANGE AGENT OR SOCIAL ENTREPRENEUR?	68
<i>Stage 1: Create a Climate for Change</i>	69
<i>Stage 2: Engaging and Enabling the Organization</i>	73
<i>Stage 3: Implementing and Sustaining for Change</i>	76
RESEARCH QUESTION THREE: WHEN EXAMINING SHARED EXPERIENCES, IN WHAT WAYS DID HUMAN, SOCIAL, OR FINANCIAL RESOURCE GAPS CAUSE DILEMMAS OR CHALLENGES WHEN CREATING, IMPLEMENTING, OR SUSTAINING CHANGE?	79
<i>Creating</i>	80
<i>Implementing</i>	82
<i>Sustaining</i>	83
YOUNGER SELF-REFLECTION.....	85
SUMMARY OF FINDINGS.....	86
CHAPTER V CONCLUSIONS	89
PURPOSE OF THE STUDY.....	89
RESEARCH QUESTIONS	89
IMPLICATIONS AND RECOMMENDATIONS.....	89
RESEARCH QUESTION ONE CONCLUSIONS.....	91
RESEARCH QUESTION ONE IMPLICATIONS	97
RESEARCH QUESTION TWO CONCLUSIONS	97
RESEARCH QUESTION TWO IMPLICATIONS	98
RESEARCH QUESTION THREE CONCLUSIONS	99
RESEARCH QUESTION THREE IMPLICATIONS	100
RECOMMENDATIONS FOR RESEARCH.....	100
RECOMMENDATIONS FOR PRACTICE	101
REFERENCES	104

APPENDIX A INFORMED CONSENT.....	125
APPENDIX B INTERVIEW PROTOCOL.....	128
APPENDIX C RECRUITMENT EMAIL.....	129
APPENDIX D IRB: TEXAS A&M UNIVERSITY.....	130
APPENDIX E IRB: TEXAS TECH UNIVERSITY.....	131
APPENDIX F AUDITED BIBLIOGRAPHY.....	132
APPENDIX G VISUAL REPRESENTATION OF OPEN CODING.....	136

LIST OF FIGURES

Figure 1 The Relationship Between Kotter's 8-Step Change Model and Rogers' Diffusion of Innovation Roles of a Change Agent	35
--	----

LIST OF TABLES

Table 1	For Profit Business Entity Types	21
Table 2	Demographic Data of Participants	40
Table 3	Qualitative Data Collection Timeline	49
Table 4	Themes of Human Resource Gaps Identified by Participants.....	57
Table 5	Themes of Social Resource Gaps Identified by Participants	59
Table 6	Themes of Financial Resource Gaps Identified by Participants.....	39
Table 7	Identified Dilemmas in Change Implementation	70

CHAPTER I

INTRODUCTION

Social entrepreneurs are known for leveraging good in this world. Their reason for existing is to tackle problems confronting society (Haber, 2016). They want to see social impact become of the utmost importance in companies and consumers' purchasing practices. They strive to redefine business, push into harder narratives to see transformation amongst a society, and yet are still misunderstood from stakeholders across sectors. There is ambiguity in the appropriate business modeling to utilize as well as unclear implications of how to create a sustainable model that works for both impact and profitability. This uncertainty is seen throughout how social entrepreneurs make decisions and create, engage, and implement change.

It is certain that if social entrepreneurs want to leverage good and desire to create a clear significance among communities in solving social problems with their businesses, they will need to be creative, innovative, and contribute to the "emergence of a new, more adaptive, conceptual framework for economic activity" (Schultz, 2013, p. 103). Unlike traditional entrepreneurship that focuses on economic value creation, social entrepreneurs see social value creation as the primary objective and the economic value as a byproduct, which is the value creation that focuses on self-sufficiency and overall sustainability (Seelos & Mair, 2005).

Social entrepreneurs are change agents by nature who are leading the way of how to rethink the bottom line of business. They help build healthy economies and grow businesses that believe in people and leverage good through profits (Dees, 2008). According to Koch and Hooks (2020), although "history shows that social entrepreneurs can inspire people from all walks of life to break down barriers and end injustices, breaking the biggest barriers and transforming institutions requires movements of millions of people" (p. 14). These social

entrepreneurs can create a ripple effect of social movement and impact. With that in mind, developing a service or product that meets a social need is not the dilemma of a social entrepreneur. The challenge presented is whether they are equipped with the right tools to respond to changes in environment, as well as an understanding if they have the right networks and capabilities to acquire the appropriate resources to establish a venture that is sustainable (Sharir & Lerner, 2006).

So, imagine if these social entrepreneurs could access the appropriate resources at the right time when creating, implementing, or sustaining change. If the appropriate resources, whether human, social, or financial, were made available to social entrepreneurs, then this could possibly change the complexity of their business model and potential dilemmas in implementing social change.

Imagine if the disparate resources went to a social impact business that in its innate mission and desire is to leverage good. It is to see transformation in communities, to partner with other key aligned stakeholders, as well as to see purpose and profit work cohesively side by side – not in competition, but in collaboration (Koch & Hooks, 2020). Social entrepreneurs mobilizing human, social, or financial resources could have the potential to not only uplift all areas of the business sector, but also to create some change for the betterment of this world.

Social entrepreneurs, as agents of change, create social value through being innovative in business. They often operate where there are paradoxes and tensions, where existing systems do not work, or the people they are trying to create social change for are those no longer able to keep up with the disadvantages they face daily from society (Nicholls, 2006). Along with the complexity of the social creation being the primary focus, there can be less resources available to social entrepreneurs to leverage. This can be caused by lack of understanding from the standard business industry. These resources can be reflected in

human resource capital (Harris & Kor, 2013) where there is lack of training or education for the social entrepreneurs. Another gap could be in financial resource capital (Certo & Miller, 2008) where there is lack of funding available or an overall gap in knowledge of how to access various rounds of funding. Lastly, there is social resource capital (Westlund & Gawell, 2012) where the entrepreneur lacks networks or overall support. Creating social value often happens by altering existing inadequate institutional arrangements. Resource scarcity demands resourcefulness, and social entrepreneurs must improvise (Hemsling, 2015).

It is important that the social impact sector understands what gaps of human, social, and financial capital resources social entrepreneurs face. By identifying these various resource gaps and understanding where they cause the biggest dilemmas for change agents, social entrepreneurs can create appropriate steps to bridge and fulfill these gaps. Addressing the challenges that are being faced by social impact leaders will enable them to increase their impact and profit and grow a sustainable social model.

Statement of the Problem

Over the last twenty years, social impact has become a norm and social enterprises have been emerging throughout the world creating positive change, transformation, and development (Nicholls, 2006). With expansion in the sector and a growth of social entrepreneurs in general, there has been a continuation of ambiguity and complexity to the sector. The social entrepreneur has the drive, passion, and motivation to address the social problems and needs (Sharir & Lerner, 2006); however, due to the business modeling involved with a social enterprise, the challenges that these leaders face look very similar to those of traditional entrepreneurs and ventures (Tropman, 1989; Young, 1986). The unique essence of social entrepreneurs is they can recognize and understand both the social need and the need for the equitable counterpart (Casson, 2003). It is also important to note how researchers have conceptualized social entrepreneurship:

Social entrepreneurship, in literally meaning, consists of two words which are social and entrepreneurship. Social functioned as adjective word, in another word, social entrepreneurship is entrepreneurship that has social characteristic. As a concept, social entrepreneurship began within the development of United States economic system. (Wiguna & Manzilati, 2014, p. 14)

The challenge is bridging relationships or strategic partnerships to understand the need for effective and pivotal resources (Alvord et al., 2004). By understanding these challenges and identifying the human, social, and financial resource gaps, this also sheds light to the dilemmas or challenges when creating, implementing, or sustaining change in a social enterprise.

Purpose of the Study

The purpose of this conventional content analysis study was to understand the dilemmas in implementing change for social entrepreneurs that stem from the presented resource gaps. The information that was obtained through this research study will help the social impact sector understand the resource gaps that cause dilemmas in change implementation. This knowledge aids in strategy, leadership development, and sustainability for social entrepreneurs.

Research Questions

The main research questions guiding this study were:

1. What are the main challenges in leading a social enterprise that align with human, social, and financial capital resource gaps?
2. When initiating change represented in Kotter's 8-step model, which steps incur the biggest gaps, lack of resources, and dilemmas for the change agent or social entrepreneur?

3. When examining shared experiences, in what ways did human, social, or financial resource gaps cause dilemmas or challenges when creating, implementing, or sustaining change?

Scope of the Problem

Many entrepreneurs desire to see their venture grow (Gilbert et al., 2006) and the intention to make profit is priority, although high margins and sales are not the only driver for social entrepreneurs (Hossain, 2021). The dilemmas that social entrepreneurs face are complex and not as granular as those experienced by traditional entrepreneurs. This complicates the implementation of changes and hinders the growth of resource gaps to be more prevalent and common. Social entrepreneurs tend to run their business grounded in purpose and aligned with their mission, yet lack training, development, finances, and networks (Granovetter, 2005) to create an enterprise that will be able to grow, scale, and keep their impact sustainable (Conroy & Weiler, 2019; Weiler, 2000). Dilemmas can occur when implementing change due to the lack of resources and uncertainty in their role as a change agent (Ghalwash et al., 2017). Additionally, most social entrepreneurs work in uncharted environments. According to MacMillan and Thompson (2013), authors of the *Social Entrepreneur's Playbook*, entrepreneurs are met with the following challenges:

- *Undeveloped markets.* Nascent markets typically offer entrepreneurs or firms little idea about what beneficiary/customer segments to target and what the reactions of those segments might be.
- *Uncertain pricing.* Given that the market is weak, there is scarce indication of what prices might be acceptable for the products or services envisioned by the social entrepreneur. Furthermore, there are few proxies available to provide price baselines or brand comparisons.

- *Absence of consistently administered (predictable) governance.* Entrepreneurs can confront mazes of ambiguity when they try to navigate the corridors of permissions, people, and policies. Interpretations of legal frameworks and their corresponding requirements can be frustratingly unclear and often ad hoc.
- *Unreliable infrastructure.* Nonexistent, poorly developed, or poorly maintained infrastructure often translates into unacceptably high operational costs and high unreliability of transportation, power, water, and labor.
- *Untested technology.* The use of a technology, especially a new one, in an undeveloped market environment adds additional complexity to the venture, and the new technology is unlikely to work as it did in its original environment and likely will need to be modified to adapt to local conditions. Even then, acceptance is not guaranteed.
- *Unpredictable competitive responses.* In environments with significant market failures, the nature of competitive response may be very different from that in more developed markets.

With these challenges in mind, I chose to focus on the dilemmas presented in implementing change that were connected to the various resource gaps. These gaps are presented in three categories in this study: human resource capital, social resource capital, and financial resource capital. Identifying these gaps will help alleviate pain points for entrepreneurs in the social impact sector and create more clarity over ambiguity as this social impact space continues to grow.

Positionality Statement

As the founder and chief executive officer (CEO) of Imani Collective, a socio-economic women empowerment program that is a leading ethical impact brand, I am aware of the challenges that social entrepreneurs might face because of my own personal journey

building and scaling a social enterprise. As the co-founder of the School of Ethical Impact, an institute equipping changemakers with confidence to create real impact in this world, I have had exposure to a variety of perspectives from individuals in our cohort who have completed the 12-month immersion program and who have also struggled within their social impact business. My involvement in the field, coupled with my experience as a thought leader, over the last decade has granted me access to other leaders of social enterprises. Given my experience, I still lack the understanding of where social entrepreneurs struggle the most in implementing change, whether that be creating, engaging, or sustaining change. I understand my personal journey and the gaps in resources I experienced and how that affected the timeline of change and establishing sustainability within our social enterprise; however, I also lack the depth of knowledge across the entire social impact sector. Considering these limitations in the research and my positionality as a social entrepreneur, I conducted a qualitative research study using the following research questions:

1. What are the main challenges in leading a social enterprise that align with human, social, and financial capital resources gaps?
2. When initiating change represented in Kotter's 8-step model, which steps incur the biggest gaps, lack of resources, and dilemmas for the change agent or social entrepreneur?
3. When examining shared experiences, in what ways did human, social or financial resource gaps cause dilemmas or challenges when creating, implementing, or sustaining change?

Limitations

Limitations of a research study are defined by the factors that cannot be controlled by the researcher (Creswell, 2013). I discovered limitations that were consistent with other qualitative studies in the field. The first limitation of the study was the time constraints of the

participants' interviews. Due to the busy schedules of the social entrepreneurs, I had limited time to interview them. Most of the interviews were scheduled to be approximately 60 minutes in length, but with additional time for more in-depth exploratory questions, the expanded interviews could have allowed for more clarity on some of the barriers and challenges mentioned.

The second limitation of the study was the diversity of social enterprises being presented. From the selected participants, 21 of the 24 entrepreneurs were leading social enterprises in the global artisan sector. For challenges and resource gaps to have diversity and breadth, it would be recommended to interview social entrepreneurs from a variety of business sectors in the social impact space. Some of these sectors could include agriculture, consumable goods, technology, water, and construction. These business sectors are growing and are utilizing social impact practices. Researching across sectors would likely enhance this study by understanding how capital resource constraints or challenges might compare or contrast with one another.

The third limitation would be my position as a practitioner in the social impact sector. As mentioned previously in my positionality statement, I am aware of the challenges that social entrepreneurs might face because of my own personal journey building and scaling a social enterprise. I also understand my personal journey and the resource constraints and dilemmas I have faced as a leader. With this perspective, I am aware of potential biases and took the necessary steps to reduce such tendencies of occurring in this study.

Definition of Terms

The following terms are defined to help the reader understand the context of each term used in this study:

Change Agent: An individual who has the skills to stimulate and facilitate a change effort through creation, implementation, and sustaining. The roles of the change agent in this

study were also applicable to the social entrepreneur. This characteristic was present in all participants (Rogers, 2003).

Constraints: Resource constraints in the form of shortage of managerial and technical skills and expertise, financial resources, and technology (Tran & Santarelli, 2014). In this study, the limitations were indicated through the inputs of human capital, social capital, and financial capital.

Dilemmas: Occur because of the response of uncertainty of change, although do not necessarily signal that a strategy is flawed or that leadership is failing. Rather, they are part of the strategy implementation process; dilemmas are referenced by change implementation (Lowy, 2015).

Social Enterprise: A business that uses their profits to benefit society (Nyssens, 2007).

Social Entrepreneurs: Individuals who are interested in using their business for a greater social good and not just in pursuit of solely profits, and they combine the passion of a social mission with an image of business-like discipline, innovation, and determination. (Dees, 1998).

Podcast: Podcasts is a hybrid term between iPod and broadcast. It is used when audio broadcasts are distributed via internet. Podcasts are not a new concept and have evolved over the years to have easier access points for the listeners (Gaden, 2010).

Organization of the Research Study

The following chapters will discuss social entrepreneurs' lived experiences leading a social enterprise, the gaps in resources, and the dilemmas that occur in implementing change. The review of literature not only creates a foundation to understand social entrepreneurs as change agents and their desire of leveraging good in the world, but also discusses the misunderstandings they face in the sector because of the social impact element they focus on

in their business. The literature review also provides a basic level of business modeling to support the research to convey the complexity of a social enterprise. Furthermore, it sheds light on the intricacies of decision making that a social entrepreneur must resolve and comprehend as they grow their enterprise.

Outline for the Record of Study

Chapter II is the literature review for this study. This literature review delves into the following topics:

- Social Entrepreneurs
- Change Agents
- Social Enterprises
- Business Modeling
- Resource Gaps
- Diffusion of Innovation
- Kotter's 8-step Change Model
- Podcasts

Chapter III details the methodology and data collection involved in this research study. In the subsequent chapter (IV) is my discussion and data analysis. The final chapter (V) of this record of study encompasses a conclusion, along with implications and recommendations for future research.

CHAPTER II

REVIEW OF LITERATURE

Introduction

Social entrepreneurs are unique as they do not focus solely on profits, but rather the social implication at the forefront of their business plan (Rangan & Gregg, 2019). This discipline that challenges traditional business practices overflows across business studies, nonprofit practices, social movements, and gatherings, as well as global entrepreneurial spaces creating its own unique sector (Mair & Marti, 2006; Perrini, 2006). Although this concept is technically not new, the terminology of social entrepreneurship means different things to different people, and this alone has blurred sector boundaries (Dees, 1998). This ambiguity has created a misunderstanding of social entrepreneurs and social enterprises, leaving an area where there is a lack of knowledge on how to best implement change (Peredo & McLean, 2006). The purpose of this conventional content analysis qualitative study was to understand the dilemmas in implementing change for social entrepreneurs that stem from the presented knowledge and gaps in resources. The information that was obtained through this research will help the social impact sector understand the resource gaps that cause dilemmas in change implementation. This will aid in informing the social impact sector how to best collaborate alongside social entrepreneurs, whether in strategy, leadership development, or sustainability for social entrepreneurs.

Social Entrepreneurs

Social entrepreneurs “dive in fearlessly to tackle the longstanding, entrenched, and intractable ills of our society with passion and commitment” (Chang, 2019, p. 29). They are leaders that see transformation—not just a transaction—and take an approach to business that is driven just as much by empathy as well as ambition to see social change come to fruition. They are innovative, resourceful, and are always fighting for social change. They believe in

people and their capabilities, and they immerse themselves in communities to understand the root of the problem that needs a solution. Making a positive impact and social change on the world is the driving force to the emergent idea to social entrepreneurship (Stephan et al., 2016).

As time passes and experience continues to accumulate, the understanding of social entrepreneurs and their underlying goals of social impact have grown in the last two decades with increasing attention among sectors across business, government, research, and educational fields (Hossain et al., 2016). There is more clarity around the difference between a traditional entrepreneur and a social entrepreneur when profit is not their only driver, and profit has an indirect effect after the social value creation (Wiguna & Manzilati, 2014). This also can be seen as a problem for overall sustainability and is supported by research. Bacq et al. (2016) observed the reluctant attitude of a social entrepreneur towards entrepreneurship and the adverse effects it caused towards confidence and skills in managing a business. Social entrepreneurs understand that it takes time to create long-term impact to establish sustainability of an organization and have continued to find innovative ways to do business with a social purpose embedded within the structure of the business, rather than the business just solely having the main objective focused on profit-making initiatives (Doherty et al., 2014; Mair & Marti, 2006). This type of enterprise does not happen overnight but is developed through deeply rooted relationships that have formed through trust, collaboration, and authentic interactions. “Revolutionary leaders cannot think *without* the people, nor *for* the people, but only *with* the people” (Freire, 2000, p. 131). It is through this immersion and established relationships that social entrepreneurs learn over time “the structures, culture, and defaults that make up an organizational system” (Heifetz et al., 2009, p. 51). Overall, social entrepreneurs are business leaders with a high moral standard who “possess the courage and passion to lead the change initiative simply because they believe in the need to change and

have the skills to bring it about by working with others” (Trybus, 2011, p. 34). In the end, research presents that social entrepreneurs are committed to the social mission of their organization (Bornstein, 2004; Drayton, 2002; Light, 2006). Although there are numerous case studies highlighting successful social stories (Alvord et al., 2004; Jones et al., 2008; Mair & Marti, 2009; Mair & Schoen, 2007; Marshall, 2011; Thompson & Doherty, 2006; Vasi, 2009), it is the opposing stories that shed light on the lack of knowledge and resource gaps that could have prevented their demise.

Change Agents

Social entrepreneurs are agents of change around the world who are pivotal to the sustainability of the social mission and impact of organizations. These agents are easily seen as someone who can “generate, implement, and adopt change within and outside organizations” (Heiskanen et al., 2016 p. 218). Change agents, especially in international settings, seem to display a resiliency that is unique, courageous, and radiates a sense of deep empathy. These agents show a sense of urgency to see change and there is an underlying moral leadership that defines their actions and how they seek a higher standard of ethics. Jacqueline Novogratz (2020) said it best in her book, *Manifesto for a Moral Revolution*:

Ultimately, our future as a human race depends on all of us subscribing to a revolution of morals in which we commit ourselves to something beyond ourselves. We spend so much time focused on what we believe to be true rather than opening ourselves to the ways others perceive the world. A peaceful, sustainable planet demands that we celebrate our individual identities while recognizing the one thing we have in common: we are all human beings. We are born equal by virtue of our precious, blessed, wild humanness – and that is enough to bind us to one another. Each of us is the ocean in a drop. (p. 93)

A change agent is one whose core values center on identifying, addressing, and solving societal problems (Drayton, 2002). They seek to see everyone as human beings and equal in nature with a desire to see radical change in this world and within the people who make up these communities. They understand that it takes a team of people to be in your corner and that by being together, more can be achieved than apart. A successful change agent recognizes that people are not problems to be solved, but are often the ones that are creative, innovative, and come with the solutions (Koch & Hooks, 2020).

The change agent fully encompasses their role to enact change and incorporate other key stakeholders because they understand that successful transformation of change in an organization or community, starts with creating the urgency of change (Kotter, 1996). Along with urgency, these change agents are leading social enterprises by “creating a guiding coalition, developing a vision and strategy, communicating the change vision, empowering a broad base of people to take action, generating short term wins, consolidating change and producing even more change, and institutionalizing new approaches to culture” (Kotter, 1996, p. 20). Additionally, change agents work from ethics of care (Held, 2006), which focuses on the benevolence as a virtue and the importance of relationships. It is ultimately about doing what is right and not about what is easy. A change agent has an ethic that is defined by their moral principles to listen to the voices that seem to be unheard and stand up for those in despair. “It requires patience and kindness, resilience and grit: a hard-edged hope. It’s leadership that rejects complacency, breaks through bureaucracy, and challenges corruption” (Novogratz, 2013, p. 239).

The roles of change agents in the social sector include: (a) adopting a mission to create and sustain social value; (b) recognizing and relentlessly pursuing new opportunities to serve that mission; (c) engaging in a process of continuous innovation, adaptation, and learning; (d) acting boldly without being limited by resources currently in hand; and (e)

exhibiting heightened accountability to the constituencies served and for the outcomes created (Dees, 1998). The effort of a change agent takes resiliency. The research study conducted by Nikolaou et al. (2007) shed light on the characteristics and competencies related to attitude of change and adopting change. Lastly, social entrepreneurs are seen as agents of change who are developing businesses, also known as social enterprises, that are making social change in this world.

Social Enterprises

Social entrepreneurs tend to set the bar high in ethical standards and redefine business (School of Ethical Impact, 2021). They have changed the blueprint of the global marketplace with how a business should be running and where the ethical standards should be known and transparency implemented (Schultz, 2013). It is the social entrepreneur or change agent that holds the power of creating authentic relationships, instilling trust among the organization, and implementing new practices (Nicholls, 2006). What these social enterprises “all over the globe have in common is that they challenge the status quo and our conventional thinking about what is feasible” (Seelos & Mair, 2005, p. 243).

These companies set high standards of behavior for all employees and agents and have put into place effective systems for monitoring, evaluating, and reporting on how the company does business. Through the years, it has been evident that “the best leaders will not only transform their own businesses but will have the vision to change attitudes and mindsets in their industries” (Hind et al., 2012, p. 492). These changes are rooted in ethics and moral imagination and are ultimately the foundation of a change agent’s desire to improve the livelihoods of others. There will always be challenges in the social impact sector because of the nature of the business model, whether in the form of a nonprofit, for profit, or even hybrid model (Kerlin, 2009). With the continued growth of the social impact sector and entrepreneurs establishing social enterprises, collaborations and new partnerships will

continue to form. In addition, most of the literature on social enterprises focus on regional analysis and case studies (Ernst, 2011; Hwee Nga & Shamuganathan, 2010; Kirby & Ibrahim, 2011). Although Hockerts (2015) researched the intention of starting a social enterprise, a lack in research understanding the elements or resources that achieve sustainability of that enterprise still exists.

Overall, it is important to have a deeper understanding of a social enterprise because “one of the most appealing claims about social enterprise is its potential to end dependency and achieve financial self-sufficiency” (Guo & Peng, 2020, p. 522). To gain this independence, the strategy of the social enterprise is foundational to its business modeling as this will help identify the gaps in resources available to social entrepreneurs and the dilemmas these leaders potentially face when implementing change.

Business Modeling

Business models are how organizations capture their key goals and activities and are overall representations of their practices and processes (Boons & Lüdeke-Freund, 2013). Social enterprises are businesses that exist with a social purpose (Kerlin, 2009). They have the potential for providing significant benefits to society due to their dual social and financial objectives. The potential value of these benefits is the reason social enterprises have received increased attention, as they aim to address long-standing social challenges and needs through a financially sustainable business model (Bradford et al., 2020).

It is the development and understanding of what business model to utilize to attain sustainability that seems to be a major dilemma among social entrepreneurs. Zavalko et al. (2020) stated:

The essence of an enterprise’s business model can be disclosed deeper through its functions: the determination of a mission, the strategic vision and development prospects in the current and promising markets; the analysis of consumers’ future

priorities; measures to provide the optimum distribution of an enterprise's current strategic resources, and a focus on the mobilization of new strategic resources; the organization of an efficient system of business processes, the formation, use, and development of the enterprise's intellectual capital; the identification and realization of key competences; the attraction of investor capital; measures to increase the enterprise's market value and profitability; and measures to make the enterprise more competitive in the market. (p. 87)

These elements of a business model and the growth from strategy to mobilization and meeting profitability to scale are directly linked to social impact. If profits are made, then over time and with growth, sustainability of the business occurs. Sustainability is important as this will only bring more impact to a community or cause (Guo & Peng, 2020). However, business modeling is the first step in enacting change, and this is where confusion can often begin for business leaders. "Social enterprises are different from traditional nonprofit organizations because their earned income is directly tied to their social mission" (Grassl, 2012, p. 41). A social enterprise often provides a 'business' source of revenue for many types of socially oriented organizations and activities" (Kerlin, 2010, p. 164). Whether the social enterprise is a nonprofit organization or a for profit business, the revenue or income generated will always flow back to a social impact arm. Essentially, the biggest "difference to commercial entrepreneurship lies in the nature of the intentional relationship between entrepreneurs and projects (i.e., in motivation)" (Grassl, 2020, p. 41). The results of Battilana and Dorado's (2010) comparative study suggested that to be sustainable, a new type of hybrid organization needs to create a common organizational identity that strikes a balance between the logics the organization combines. This is not always the answer as it also depends on your core values, mission, and community that is being served within the model. "Core values are the deeply ingrained principles that guide all of a company's actions; they serve as its cultural

cornerstones” (Lencioni, 2014, Understand the Different Types of Values section, para. 4). Therefore, to know your values, mission, and strategy will help inform what business model is preferred (Sparviero, 2019).

Overall, no matter which model is chosen, the goal is to seek a business model that provides sustainability for your social mission. According to Guo and Peng (2020), “social enterprises, whether in form of a nonprofit or a for profit, have their unique advantages and challenges” (p. 523), and “they extend the theory by positing that the organizational form plays an important role in shaping organizational mission and services, and thereby influence a social enterprise’s sources of startup funding and sources of revenue” (p. 529). To better understand these models and the challenges in implementing change that social entrepreneurs face regarding business modeling, each model is carefully presented.

Nonprofit

Nonprofits are complex in themselves and have ambiguities throughout the sector as there are many uses for a nonprofit (Frumkin, 2009; Weisbrod, 1988). Nonprofit organizations continue to grow over the years as individuals are more aware of their impact and want to stand by a cause that they are motivated about. For the last 30 years, there has been an upsurge globally for voluntary work, service, and donations where individuals have a better understanding of where they want their money to go (Salamon, 1994). Regarding social entrepreneurs and choosing to run their entity as a nonprofit entity depends on their goals in mind, both personal and professional. By identifying their goals then this will help address the business model they should pursue. Nonprofit organizations are organized to do charity, education, religious, literary, or scientific work. Because their work benefits the public, nonprofits can receive tax-exempt status, meaning they do not have to pay state or federal income taxes on any profits. There can also be no shareholders within a nonprofit, so there is no equity that a founder could participate in receiving (DiMaggio & Anheier, 1990;

Weisbrod, 1988). “A nonprofit organization is, in essence, an organization that is barred from distributing its net earnings, if any, to individuals who exercise control over it, such as members, officers, directors, or trustees” (Hansmann, 2003, p. 838). The strengths of a nonprofit include that the organization does not have to pay state or federal taxes and can receive a tax-exempt status. They also can accept donations and are eligible to receive federal, state, local, and private grants. Nonprofit organizations can also receive a profit, if that profit circulates back into the cause and mission at hand (Guo & Peng, 2020). The weakness of a nonprofit is that they must follow the same rules as a certain business entity, like a C corporation, but must follow special rules with profits they earn (Karayan & Swenson, 2015). A C corporation is a business distinguished by having one or more owners and is supervised by shareholders, a board of directors, and management. The business is a separate entity that pays corporate taxes and is usually reserved for larger businesses (see Table 1).

Also, any profit made in the nonprofit organization must return into the programs that are outlined in their reports and overall organizational mission and vision. There are also no shareholders, and you still must pay taxes on profits from selling goods and services (Opiela, 2004).

The benefits for social entrepreneurs in choosing this model could be to help alleviate financial burden because of the diversity of funding that could be obtained through donations (Ranucci & Lee, 2019) to aid in a source of capital while the social enterprise grows and builds up the other revenue sources like services or goods (Guo & Peng, 2020). The understanding is that it will be more congruent to the welfare logics and the cause rooted from the mission. Also, the knowledge needed would be foundational to running an organization versus a for profit which focuses on commercial metrics, goals, and profitability as one of its main drivers (Battilana et al., 2012; Pache & Santos, 2010; Smith et al., 2013).

For Profit

In contrast to a nonprofit entity, a for profit business model focuses on profit generation, but as a social enterprise also understands being intentional with the underlying social mission (Kerlin, 2006). Both profit and mission are important as a social enterprise, yet the prominent difference lies within the accessibility of financial resources. As a nonprofit, there are philanthropic resources that can be utilized; however, a for profit structure is constraint to donations, although have more availability to opportunities with capital by shareholders and equity (André, 2015; McDonnell 2019). There are different variants of a for profit that can be chosen for a social entrepreneur (Young & Lecy, 2014). These entities include the following: (a) sole-proprietorship, (b) partnership, (c) C corporation, (d) S corporation, and (e) limited liability corporation (Smith, 2021). Each entity holds its own strengths and weaknesses as well as legal structures and requirements. If the social entrepreneur is pursuing a for profit model, they need to begin by asking themselves questions like (a) why am I in business and what is my market? (b) what are my goals and metrics? (c) am I owning this alone or with another individual? Starting with these basic questions will help guide which for profit entity to implement. Table 1 describes the various entities that a social entrepreneur could adopt when pursuing a for profit business model (Smith, 2021).

Table 1

For Profit Business Entity Types

Business entity type	Summary
Sole proprietorship	One person owns and controls the business. The owner pays all taxes and debts personally. There is no corporate entity. They report profits and losses on Schedule C of their personal tax return.
Partnership	Two or more individuals share control and ownership of the business. Partners file their taxes for their own share of profits. Costs, debts, and losses pass through to them equally.
C corporation	One or more owners, and the corporation is supervised by shareholders, board of directors, and management. The business is a separate entity that pays corporate taxes. Usually reserved for larger businesses.
S corporation	Like a C corporation, except the income, losses, deductions, and credits are passed onto shareholders who file this in their personal income tax.
Limited liability corporation (LLC)	A hybrid business entity: owners can choose how they are taxed, whether as a corporation or as individuals on their personal taxes.

There are strengths and weaknesses to all these entities, but the most important aspect is for clarity in the creation of core values for the company, which creates a foundation for direction and succinct strategy to be formed (Lencioni, 2014).

As previously mentioned, we know that a social enterprise aims in pursuing a social mission (Dacin et al., 2011; Smith et al., 2013) and it also can be pursued through a nonprofit, which focuses on the solely social welfare as priority (Hwang & Powell, 2009) or a for profit

model, which tends to keep maximizing profits as priority (Lounsbury, 2007). As social enterprises have grown and become a global phenomenon (Nicholls, 2006), there have been new and innovative ways in approaching leveraging profits for good. The complexities of social enterprise over the years have been partially due to assuming that there was one distinctive strategy, model, or activities that were to be pursued (Kerlin, 2012), when in fact, a social enterprise is quite complex in nature, seamlessly trying to navigate prioritizing impact and profits (Nicholls, 2006). Over time, social entrepreneurs started to question the architecture of a social enterprise and began stepping into a hybrid model, creating a more in-depth business model canvas (Sparviero, 2019).

Hybrid

Hybrid organizations are defined as organizations that possess significant characteristics of more than one economic sector (Bassi, 2014). Hybrids exist to bridge the gap between fiscal objectives and the social movement related to the cause of the enterprise (Doherty et al., 2014). In addition, the leaders (social entrepreneurs) of these social enterprises are diverse, innovative in adopting new business models, and creative in finding solutions to persistent and difficult social problems (Zahra et al., 2009). It is evident that social entrepreneurs are driven by the cause and social objectives at hand (Harding, 2004). In addition, they are also creating innovative solutions to these problems, and looking to leverage profits for good by being creative, proactive, and ultimately taking risks to accomplish the sustainability of the social mission as well as the transformation (Alvord et al., 2004; Reis, 1999; Sullivan Mort et al., 2003). What differentiates a hybrid is that the social enterprise is leading by recognizing the triple bottom line of their business (Bocken et al., 2014). Not only is it just being driven by economic drivers, but also by social and environmental factors, which create a distinct difference in strategy when merging all these factors. Hybrid owners described how their business models were “explicitly intended to not

only generate income for their organization but also to promote both community economic and supply chain development” (Doherty & Kittipanya-Ngam, 2021, p. 498). It is important to note that hybridity can vary in terminology and is dependent on the entrepreneur and how they are utilizing the business model, but the underlying elements is that it is not lying in a single entity but in multiple to attain the social and economic elements of a social enterprise, giving both equal priorities.

Nicholls (2006) explained:

What is striking about all these various conversations and perspectives is the fact that each of these actors – whether investor or businessperson, social entrepreneur, or philanthropist – is trying to do what essentially the same thing. They are all circling around the core question of how best to think about value as more than simple economic performance or social impact alone. Whether or not they consciously know it, they are each confronting the reality that value itself is not a single entity, but rather a composite – a blend – of economic, social, and environmental elements. (pp. 392–393)

Even with a blend of elements, hybrid models are still complex and have many different approaches (Litrico & Besharov, 2019), which is important to consider when analyzing resources through a human, social, and financial lens.

Resource Gaps

Resources are essential in any business, but especially important to secure as a social entrepreneur and necessary to compete in the marketplace (Diochon & Anderson, 2009; Sharir & Lerner, 2006). Resources are not always physical assets, but can also be intangible (Barney, 1991) and are core to the development of the social enterprise (Hynes, 2009). Along with access to funding being a prominent issue for social entrepreneurs (Hines, 2005; Mendell & Nogales, 2009), talent and human capital can be a constraint when it comes to

sourcing the right individuals (Austin et al., 2006) and having the training and development to support them is difficult as well (Hossain, 2021). Human capital is linked to other resources like financial capital and social capital, which is where connection, community, and collaboration are explored (Granovetter, 2005). These connections create network and affiliations that are seen as crucial in growth and provide critical information, innovation, and resources (De Carolis & Saporito, 2006; Starr & MacMillan, 1990). The more these resources can be understood, then the better long-term strategy (Hynes, 2009) the social entrepreneur can put into place within the sector to create a stronger social impact.

Human Capital

Human capital is vital to the growth of social entrepreneurs and can be viewed through the lens of knowledge, training, or skills acquisition a leader can receive (Becker, 1975). Additionally, “human capital could be a major challenge for social ventures due to internal resource shortages and external labor market condition” (Harris & Kor, 2013, p. 166). Furthermore, Harris and Kor (2013) focus on three key dimensions of a social enterprise’s human assets and how they contribute to the direction and effectiveness of the company’s operations or overall implementation of a mission. These dimensions are (a) human capital acquisition, (b) human capital development, and (c) human capital retention.

Human capital acquisition involves recruitment of staff and other individuals that have essential knowledge, skills, and mindset to run the operations of the business (Adner & Helfat, 2003). Human capital development involves training, inspiring, and motivating employees. Individuals with a higher capacity for learning and gathering quality human capital deliver better performance and can be key competitive advantages for social enterprises (Hitt et al., 2001). Human capital retention involves human resources on a managerial level and reducing turnover of employees. This can be a challenge in companies and “it can be disruptive to day-to-day operations and is also costly especially when it

involves the departure of employees who have received specialized training in the company” (Harris & Kor, 2013, p. 169). It is not just the training for employees and your team that you have involved, but it is also about the entrepreneur. Most businesses start with one individual– the entrepreneur and whatever skills that individual possesses is what they initially bring to the company’s table. Many of these entrepreneurs seem to back into their business and started with being grounded in purpose and were striving to find a way to create sustainability (Austin et al., 2006). Due to this common path of a social entrepreneur, this naturally has created gaps in human capital and overall training, education, expertise, and direction (Hossain, 2021). Many social entrepreneurs feel isolated in their journey, which may be contributed to the lack of grounded knowledge and feeling like they must wear every hat before they can pass them on. Human capital is also aligned with financial capital because with the lack of finances comes the lack of ability to hire, train, or learn at institutes or through coaching/mentorship programs.

Many social entrepreneurs also work in various cultures, countries, and communities that they are not originally born into. The challenge that the entrepreneur faces is creating quality connection to opinion leaders on the ground. By building these relationships, this develops strong partnerships, networks, and appropriate cultural affiliations to build a sustainable enterprise. The social capital gap is another resource that is essential to the growth of a social enterprise and becomes widely important to the social entrepreneur when trying to market, brand, raise capital, and grow their enterprise to be sustainable. Connection, community, and collaboration are key to a social entrepreneur’s growth and cannot be ignored (Granovetter, 2005).

Moreover, having access to human capital could change the direction of a social enterprise and the timeframe of when a social entrepreneur can implement change due to abundance or lack of these resources. By possessing human capital, this creates viability to a

business, creates prosperity in the social mission, and allows for it to also take steps to sustain.

Social Capital

Social capital is in reference to the resources that are available to someone from knowing others, which also includes the social network around them as well as having a good reputation for being known in alliance with others (Baron & Markman, 2000; Nahapiet & Ghoshal, 1998). This capital involves “networks/relations and the norms and values that are generated, accumulated, and disseminated through these networks” (Westlund & Gawell, 2012, p. 104). Social capital can be viewed in bridging and bonding categories (Putnam et al., 1993) where bonding social capital is comprised of the internal networks that share common norms or values, which subsequently keep that group held together (bond). On the contrary, bridging social capital leads to other networks or affiliations that give an individual access to networks of positional power. Depending on the organization or sector you are a part of or begin with, there will be vast differences in the offerings of networks available to a social entrepreneur and the key stakeholders in various settings that potentially hold different norms or values (Westlund, 2006). Overall, “entrepreneurial initiatives and social capital are highly interconnected” (Westlund & Gawell, 2012, p. 105) and have potential of effecting sustainability of social change if there are gaps presented for the social entrepreneur. Social capital is the connection between stakeholders, not just the financial stakeholders, but also the key partners in community, customers, supply chain, and more (Seelos et al., 2011). These relationships and networks are viewed as essential and vital to the growth and success of a social enterprise (Dacin et al., 2010; Seelos et al., 2011; Shaw & Carter, 2007). The influence of social capital is a valuable tool for resources (De Carolis & Saporito, 2006; Starr & MacMillan, 1990), and the information that is shared between networks and affiliations is key to this resource capital (Conroy & Weiler, 2019). Additionally, with continued growth in

community and networks, this will allow for more opportunities to gain access to financial capital (Hynes, 2009; Meyskens et al., 2010).

Financial Capital

Financial capital is the access to funds to grow, scale, and sustain a business venture. It helps a new venture survive after its inception, and this capital facilitates growth (Cooper et al., 1994). This capital is fuel for engines of venture development growth and help social enterprises create, innovate, and scale (Kickul & Lyons, 2020). Traditionally, most investments are focused on financial return and “despite the positive social or environmental impact, social ventures are typically unable to match the financial returns realized by commercial ventures” (Clarkin, 2014, p. 192). Social entrepreneurs must face a complex arena of a variety of financial systems to fund their idea (Brown et al., 2011). Social enterprises do not always fit the traditional model of funding and must be creative through crowdfunding, foundations, or impact investors who align with their social impact (Clarkin, 2014). Both commercial and social enterprises need financial capital to grow in their business; however, with the added value creation of a social enterprise and the complexity of the business model itself, this can cause for confusion of the social entrepreneur and ambiguity of how primary stakeholders can be involved (Sahasranamam & Nandakumar, 2020).

Nicholls (2006) identified five shortcomings to investing in social initiatives: (a) information provision with no quality assurance, (b) narrow focus on a specific geographic area or a specific problem, (c) lack of feedback loops or monitoring systems, (d) limited types of investment instruments, and (e) small number of quality initiatives. With these shortcomings, there is still a demand and growth among social ventures (Austin et al., 2006; Mair & Marti, 2006) and funding is the main issue in this sector (Hines, 2005; Mendell & Nogales, 2009). There is the existing concept that social enterprises have multiple ways to

access funding whether through grants, donations, or commercial activity and are seen as multiple resource entities (Doherty et al., 2009; Ridley-Duff & Bull, 2011). Yet, it is still complex because social enterprises can run in various models, not just the nonprofit framework (Sparveiro, 2019), which then puts a resource constraint on capital raising in the sector. Ultimately, income streams from the marketplace should be the core feature (Barraket et al., 2010). As the social enterprise expands, this revenue source grows, eventually creating less dependency on grants or loans (Sunley & Pinch, 2012). In addition, the social entrepreneur needs to understand how to utilize these various resources, understand the gaps, and then create, implement, and sustain change movements as the role of the change agent (Rogers, 2003).

Diffusion of Innovation

Diffusion of innovation and the role of the change agent is an important element when being able to look at the various sectors of resource capital like human, social, and financial. Resource development and implementation have been perceived as an important role. Innovation is a type of communication of a new idea where there is a desired social change in the new structure that seeks to be implemented into the current system (Rogers, 2003). Presented by Rogers (2003) are the characteristics of innovation that are used to explain and predict the rate of adoption: (a) relative advantages, (b) compatibility, (c) complexity, (d) trialability, and (e) observability. Rogers (2003) defined diffusion of an innovation as the “process by which an innovation is communicated through certain channels over time among the members of a social system,” whereas an innovation itself is “an idea, practice, or object that is perceived as new by an individual or other unit of adoption” (Rogers, 2003, p. 6).

In addition to the diffusion process, the role of the change agent includes encouraging the idea of adoption. The change agent, along with an opinion leader, are “individual(s) who influences clients’ innovation-decisions in a direction deemed desirable by a change agency”

(Rogers, 1995, p. 27). When change agents work with opinion leaders, their influence is greater, and this helps enhance the impact of the diffusion activities that are taking place in the social system. According to Rogers (1995), opinion leadership is “the degree to which an individual is able to influence other individuals’ attitudes or overt behavior informally in a desired way with relative frequency” (p. 27). Overall, success in innovation diffusion is subjected to a range of factors—social norms, affiliations, growth, mindset, knowledge, and various practices (Le et al., 2018).

Kotter’s 8-Step Change Model

Change is common in any business, whether nonprofit or for profit, and change management is important for the sustainability and growth of organizations (Lozano, 2013). Moran and Brightman (2001) characterized change management as “the process of continually renewing an organization’s direction, structure, and capabilities to serve the ever-changing needs of external and internal customers” (p. 111).

Kotter’s (1996) 8-step change model is a top-down approach and uses the role of the leader to set the vision and empower action through developing a team. Furthermore, vision motivates people to take action in an appropriate direction, and it helps change managers coordinate activities of different participants (Kotter, 1996). Therefore, “implementing change management through training and establishing high-performance practices is critical to building robust organizations” (Bekmukhambetova, 2021, p. 100).

Podcasts

Podcasts is a hybrid term between iPod and broadcast. It is used when audio broadcasts are distributed via internet. Podcasts are not a new concept and have evolved over the years to have easier access points for the listeners (Gaden, 2010). Podcasts allow for a new way for educators to teach and for individuals to receive knowledge. It is an application of technology that gives practitioners, in this case social entrepreneurs, the accessibility to

information where they can learn and grow from (Salloum & Smyth, 2013). It is a platform that utilizes technology creatively by bringing supplemental learning materials to individuals, organizations, or educational institutions. This application of technology as a means of learning creates a boost in knowledge, efficacy in specific fields of work, and integrity of implementation (Salloum & Smyth, 2013). Podcasts also provide support for individuals with learning needs (Powell & Robson, 2014), but more importantly provide inclusivity and belonging to a community (Van Zanten, et al., 2012). This accessibility to knowledge and sense of feeling ‘not alone’ is an important aspect to humanity, especially regarding this study involving social entrepreneurs and their ability to access resources. The use of podcasts continues to grow and be implemented into learning, which has allowed this platform to be harnessed as both a learning tool and as a medium for storytelling (Lindgren, 2016; Salloum & Smuth, 2013).

Theoretical Framework

After reviewing the literature, it is evident that a “social entrepreneur is a mission-driven individual who uses a set of entrepreneurial behaviors to deliver a social value to the less privileged” (Abu-Safain, 2012, p. 25), and they strive to be financially independent, self-sufficient, or sustainable through the entity they lead. These individuals also stand out in courage, pursue new ways, and engage with commitment to real social value. Ultimately, they are agents of change and are aware of their role in enacting this social change but seem to have a lack of understanding in business modeling, financial capital, strategic planning, and how to create sustainability for their social impact (Westlund & Gawell, 2012; Harris & Kor, 2013). As a change agent, they initiate the innovation-decision process by pointing out alternative solutions to an existing problem, emphasizing the importance of the problem, and assuring stakeholders and beneficiaries that they can address the problem (Rogers, 2003). The

influence they must enact change is vital, to lead change well and enable long term sustainability among communities.

The theoretical framework used in this study was the roles of a change agent from Rogers' (2003) diffusion of innovation and Kotter's (1996) 8-step change model to help identify resource gaps in the implementation of social change to sustainability. In the role of a change agent, there are seven roles that can be identified in the diffusion process. I will first introduce Kotter's change model and then incorporate the intersectionality of the models in a conceptual framework to guide the theoretical triangulation.

Kotter's (1996) 8-step change model was primarily utilized due to the in-depth nature of the processes. These include the following:

- Step 1: determine the urgency of change
- Step 2: form a strong nucleus, leading change
- Step 3: create a new vision
- Step 4: notify all new vision
- Step 5: empower others to act on the vision
- Step 6: create short-term wins
- Step 7: build on the change
- Step 8: anchor the change

The basis of Kotter's 8-step change model is rooted in Lewin's (1947) three step change process which included the steps of unfreezing, moving, and refreezing. This model represents a more simplistic process of change and aids in developing the understanding of the change process. Unfreezing aligns to the first three steps of Kotter's model: (1) determine the urgency for change; (2) form a strong nucleus, leading change; and (3) create a new vision. Lewin's second step, moving, aligns with step four, five, and six: (4) notify all new vision, (5) empower others to act on the vision, and (6) create a short-term win. Then

refreezing aligns with steps seven and eight: (7) build on the change and (8) anchor the change. The primary purpose of unfreezing is to destabilize the stationary state and then transition to moving, which is where change behavior occurs, and then Lewin's (1947) process finishes with freezing, which reinforces the stabilization, but with a new behavior in place. This "three-step model represents a well-developed approach to changing human behavior" (Burnes, 2020, p. 52).

The first step, determine an urgency of change, requires the leader to create the momentum in their organization to want to move at the same pace to enact significant change. "Increasing urgency demands that you remove sources of complacency or minimize their impact" (Kotter, 1996, p. 42), so that the systems to move this change forward is focused on the right measures. This also normally takes bold action from leaders, which is evident in the characteristics needed in the first three roles of Rogers' (2003) roles of a change agent: (a) to develop a need for change, (b) to establish an information-exchange relationship, and (c) to diagnose the problem. Within the first role, the change agent makes others aware of the need of change and altering of behaviors. To start this change process, "the change agent points out new alternatives to existing problems, dramatizes the importance of these problems" (Rogers, 2003, p. 336), and begins to share the importance of altering behaviors for this change. Once they establish the need for this change then the change agent "must develop rapport" (Rogers, 2003, p. 336). This is where the change agent builds trustworthiness and credibility to create stronger relationships through empathy. Through gathering information, the change agent must then diagnose the problem and "view the situation empathetically" (Rogers, 2003, p. 337) from the perspective of the individual or community where there is an initial need for altering behaviors. These three roles then lead into Kotter's second step to form a strong nucleus, leading change. This step can also be recognized as creating a guiding coalition. Although leaders such as social entrepreneurs

(change agents) are remarkable people, no one person can successfully lead a movement alone. “Major change is so difficult to accomplish, a powerful force is required to sustain the process” (Kotter, 1996, p. 51). By building a strong team, this will enable steps three through five of Kotter’s model to facilitate an easier implementation. Furthermore, to create a new vision, share that vision successfully, and grow that vision by empowering others to act on it, takes a strong team. These stages encompass the second phase of Kotter’s model, engaging and enabling the organization, which align with Rogers’ roles of a change agent in roles (4) to create an intent in the client to change and (5) to translate an intent to action. During these roles, the change agent motivates, inspires, and uses opinion leaders to help move into the persuasion stage of the innovation-decision process. Flynn et al. (1994) defined opinion leaders as people who directly influence other consumers by giving advice and verbal directions for the search, purpose, and use of a product. This allows the change agent to operate indirectly by using opinion leaders in communities and activating networks who are close to the members of the region (Rogers, 2003).

The final phase of Kotter’s 8-step change model is implementing and sustaining for change. The phase includes building on the change (step 7) and anchoring the change (step 8), which aligns with Rogers’ roles of a change agent in the roles of stabilizing adoption and achieving a terminal relationship. This phase involves long term solutions to change and creates sustainable models for change to endure. The role of the change agent is ensuring that this change is stabilized by cultural adoption and transformation. The goal of the change agent is to develop individuals by altering them from a position that starts out as fully reliant to a position of self-reliance, in the end transforming into future change agents (Rogers, 2003). The relationship of Kotter’s 8-step change model and Rogers’ roles of a change agent is displayed in Figure 1 to help depict how they work alongside one another to strengthen the framework for this study.

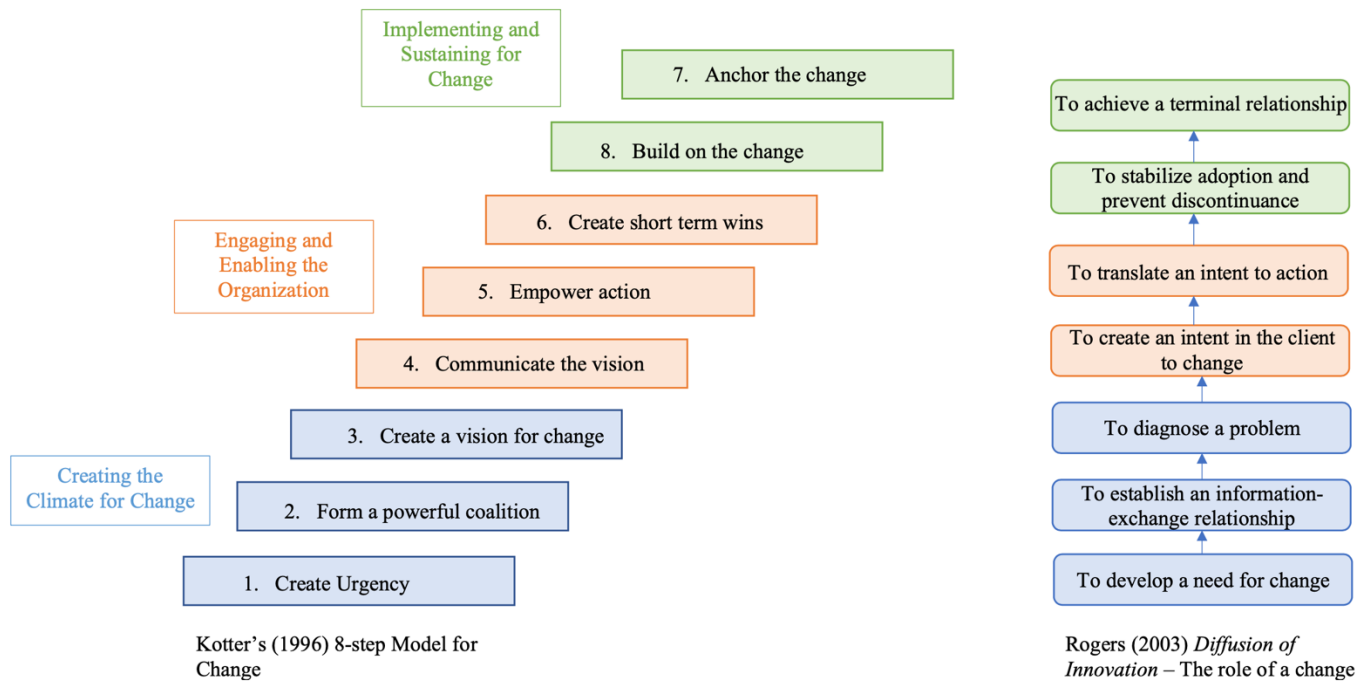
Furthermore, by understanding the role of a change agent (Rogers, 2003) and Kotter's (1996) 8-step change model, this will align the theoretical frameworks to help identify resource gaps in the implementation of social change to sustainability. The research will inform the social impact sector what steps among Kotter's 8-step model incur the biggest gaps, lack of resources, and dilemmas for the change agent.

Conceptual Framework

The following conceptual framework was developed to explain the relationship between Kotter's (1996) 8-step change model and Rogers' (2003) diffusion of innovation roles of a change agent (see Figure 1). This conceptual framework will support the research on where dilemmas are occurring along the Kotter's 8-step model and in the role of the change agents due to the resource gaps presented. The conceptual framework outlines three major areas when implementing change: (a) creating the climate for change, (b) engaging and enabling the organization, and (c) implementing and sustaining for change.

Figure 1

The Relationship Between Kotter's 8-Step Change Model and Rogers' Diffusion of Innovation Roles of a Change Agent



CHAPTER III

RESEARCH DESIGN AND METHODS

Purpose of the Study

The purpose of this study was to understand the dilemmas in implementing change for social entrepreneurs that stem from the presented resource gaps: human, social and financial capital. This qualitative study utilized conventional content analysis by examining a social entrepreneur podcast series conducted by the researcher. The significance of making these interviews available on a podcast forum was to maximize the learning opportunities for other social entrepreneurs around the globe. Podcasts allow for anywhere learning while giving an individual access to high caliber educational materials and resources within their home at any time (Palenque, 2016). The interviews are supplemental resources for social entrepreneurs to engage with and learn from. The information that was obtained through this research will help the social impact sector understand the resource gaps that cause dilemmas in change implementation. This knowledge aids in strategy, leadership development and sustainability for social entrepreneurs. The methodology of this study is presented in this chapter, including research questions, the research design, data collection processes, credibility and trustworthiness, and data analysis processes.

Research Questions

The research study was guided by the following questions:

1. What are the main challenges in leading a social enterprise that align with the human, social, and financial capital resource gaps presented?
2. When initiating change represented in Kotter's 8-step model, which steps incur the biggest gaps, lack of resources, and dilemmas for the change agent or social entrepreneur?

3. When examining shared experiences, in what ways did human, social, or financial resource gaps cause dilemmas or challenges when creating, implementing, or sustaining change?

Significance of the Study

Social entrepreneurs are faced with many dilemmas when leading, growing, and implementing change in their business and communities. They are often misunderstood because of the prioritization of profit and social impact embedded into their model and strategy as an enterprise (Nicholls, 2006). This study's findings identified the resource gaps within human capital, social capital, and financial capital. These resource gaps gave insight to the dilemmas, barriers, or constraints that social entrepreneurs face when implanting change. The findings also helped to understand the biggest gaps, lack of resources, and dilemmas a change agent, also known as a social entrepreneur, faces when creating, implementing, or sustaining change. This research study is rooted in Kotter's (1996) 8-step change model and aligned with Rogers' (2003) roles of a change agent. The knowledge generated from this study supports social entrepreneurs in understanding the resource barriers they most likely will face during their venture in building a social enterprise. In my research, I attempted to identify gaps in knowledge as the role of a change agent who is implementing change. Understanding dilemmas in change implementation will inform the social impact sector regarding where to increase or reduce resources. The findings from this study have implications to improve the sustainability of social enterprises by identifying resources that are contributing to dilemmas for social entrepreneurs in change implementation.

Research Design

The qualitative research design that was conducted was a conventional content analysis. This analysis was informed by Hsieh and Shannon (2005) and was implemented to address the study research questions. A content analysis is a research method that uses a set

of categorization methods to systematically identify various characteristics and patterns within a text. In the case of a conventional content analysis, categories and codes are derived from the data that is analyzed (Hsieh & Shannon, 2005). The interview data was pulled from the podcast forum that hosted the initial participant interviews that the researcher conducted. The interview scripts were then transcribed and analyzed. The data was first read multiple times before creating codes based on key words that represented the categories in the data. It then was organized into categories and subcategories to address the research questions. The conventional content analysis was the most appropriate choice as the method allowed the categories and themes to emerge directly from the text that was transcribed directly from the podcast interviews. The primary purpose of a content analysis is to study behavior and experiences without influencing it and this can be done through both written and visual representations of human communication (Fraenkel et al., 2016).

This conventional content analysis qualitative design had a purposeful sample of 24 social entrepreneurs who lead a global social enterprise. This study began through semi-structured interviews and the interviews were delivered in such a way that participants could share openly and freely about their shared experiences and their leadership experiences as a social entrepreneur. This research study utilized conventional content analysis to be able to take the data from these podcast interviews through transcription, so the researcher could fully immerse in the reading of the data scripts to obtain a sense of the whole (Tesch, 1990). This data was read word by word to derive codes (Miles & Huberman, 1994; Morgan, 1993; Morse & Field, 1995) through highlighting, underlining, and calling attention to the words from text that appear to capture key concepts. A conventional content analysis was the most appropriate choice as the method allowed the categories and themes to emerge directly from the text (Hsieh & Shannon, 2005).

Sampling

The participants were 24 social entrepreneurs who are actively leading a social enterprise. A total of 21 interviews took place. I separately interviewed 18 independent social entrepreneurs, one-on-one. I also conducted three separate interviews with three pairs of cofounders of social enterprises. To be in the research study, the participants had to be leading an enterprise with global social impact components and hold the top leadership positions. These positions included founder, CEO, or a leading decision maker for at least two years in the social enterprise. These research participants were purposively selected (Fraenkel et al., 2016). Before interviews were scheduled and conducted, an informed consent letter was sent to all participants and consent was obtained (see Appendix A. This consent explained their participation in the study, the possible benefits and risks, and that the interview would be used in a podcast platform for further learning, engagement and analysis. After each interview, basic demographic information of participants such as age, number of years in business, location of global region enterprise, and business modeling utilized for their social enterprise was collected.

Participant Demographics

There were 24 social entrepreneurs that were interviewed, and participant demographics were collected after each semi-structured interview. The demographics of the participants are listed in Table 2. The demographics collected for each participant included age, gender, number of years in a leadership position of the enterprise, region enterprise location, and the implemented business model.

Table 2*Demographic Data of Participants*

Participant	Pseudonym	Age	Gender	# of years in a leadership position	Region enterprise location	Business model
SE1	Tara	34	Female	9	Honduras	Nonprofit
SE2	Kellie	39	Female	8	Guatemala	For profit
SE 3	Ann	36	Female	4	United States (California)	For profit
SE 4	Olivia	42	Female	18	United States (Colorado)	Nonprofit
SE 5	Hailey	30	Female	9	Haiti, United States	For profit
SE 6	Luke	63	Male	23	United States, Global	Nonprofit
SE 7	Mia	29	Female	3	Horn of Africa	For profit
SE 8	Jody	40	Female	12	Kenya	Nonprofit
SE 9	Amber	37	Female	7	United States (Wyoming)	Nonprofit
SE 10	Terrence	39	Male	7	United States (Wyoming)	Nonprofit
SE 11	Gary	35	Male	14	Uganda, India, Peru	For profit, Nonprofit (Hybrid)
SE 12	Faith	38	Female	13	Ghana	Nonprofit
SE 13	Linda	33	Female	3	Uganda	Nonprofit
SE 14	Nicole	26	Female	3	Uganda	Nonprofit
SE 15	Molly	34	Female	8	India	Nonprofit
SE 16	Pauline	33	Female	8	India	Nonprofit
SE 17	Lily	32	Female	5	Asia	For profit
SE 18	Stacey	41	Female	8	Papua New Guinea	For profit, Nonprofit (Hybrid)
SE 19	Charlotte	34	Female	7	Mozambique	Nonprofit
SE 20	Valerie	34	Female	3	United States, Global	For profit
SE 21	Barbara	44	Female	13	Canada, India	For profit

SE 22	Hope	26	Female	4	Guatemala	For profit
SE 23	Sonja	35	Female	12	Uganda, India, Global	For profit
SE 24	Emma	54	Female	17	Tanzania	Nonprofit

Note. Global is listed for regions that could not be named in this study due to security of workforce or beneficiaries within that social enterprise.

All the participants were coded and given pseudonyms. The name assigned to each participant has no direct connection to the participant's race, ethnicity, political ideology, or personal interests. The social entrepreneurs included the following participants: Tara, Kellie, Ann, Olivia, Hailey, Luke, Mia, Jody, Amber, Terrence, Gary, Faith, Linda, Nicole, Molly, Pauline, Lily, Stacey, Charlotte, Valerie, Barbara, Hope, Sonja, and Emma.

Tara

Tara is 34 years old and is the founder of a social enterprise in the region of Honduras. She has been a key leader in the enterprise the last 9 years. The industry her social enterprise focuses on is home and accessories. The social enterprise was founded as a nonprofit and continues to run in a nonprofit status. The model has not changed over the duration of its existence in the social impact sector.

Kellie

Kellie is 39 years old and is the founder of a social enterprise in the region of Guatemala. She has been a key leader in the enterprise the last 8 years. The industry her social enterprise focuses on is shoes. The social enterprise was founded as a for profit and continues to run in a for profit status. The model has not changed over the duration of its existence in the social impact sector.

Ann

Ann is 36 years old and is the founder of a social enterprise in the region of the United States, specifically in the state of California. She has been a key leader in the enterprise the

last 4 years. The industry her social enterprise focuses on is home and accessories. The social enterprise was founded as a for profit and continues to run in a for profit status. The model has not changed over the duration of its existence in the social impact sector.

Olivia

Olivia is 42 years old and is the CEO of a social enterprise in the region of the United States, specifically in Colorado. She has been a key leader in the enterprise the last 18 years. The industry her social enterprise focuses on is shoes. The social enterprise was founded as a nonprofit and continues to run in a nonprofit status. The model has not changed over the duration of its existence in the social impact sector.

Hailey

Hailey is 30 years old and is the founder and CEO of a social enterprise in the regions of Haiti and the United States. She has been a key leader in the enterprise the last 9 years. The industry her social enterprise focuses on is in jewelry. The social enterprise was founded as a for profit and continues to run in a for profit status. The model has not changed over the duration of its existence in the social impact sector.

Luke

Luke is 63 years old and is the CEO of a social enterprise in the regions of Global and the United States. Global is listed for regions that could not be named in this study due to security of workforce or beneficiaries within that social enterprise. He has been a key leader in the enterprise the last 23 years. The industry his social enterprise focuses on is micro-finance and agriculture. The social enterprise was founded as a nonprofit and continues to run in a nonprofit status. The model has not changed over the duration of its existence in the social impact sector.

Mia

Mia is 29 years old and is the co-founder of a social enterprise in the region of the Horn of Africa. The area is more generalized for the safety and security of artisans who work in the enterprise. She has been a key leader in the enterprise the last 3 years. The industry her social enterprise focuses on is jewelry and accessories. The social enterprise was founded as a for profit and continues to run in a for profit status. The model has not changed over the duration of its existence in the social impact sector.

Jody

Jody is 40 years old and is the founder of a social enterprise in the region of Kenya. She has been a key leader in the enterprise the last 12 years. The industry her social enterprise focuses on is education and training. The social enterprise was founded as a nonprofit and continues to run in a nonprofit status. The model has not changed over the duration of its existence in the social impact sector.

Amber

Amber is 37 years old and is the co-founder of a social enterprise in the region of the United States, specifically in Wyoming. She has been a key leader in the enterprise the last 7 years. The industry her social enterprise focuses on is home décor, accessories, and apparel. The social enterprise was founded as a nonprofit and continues to run in a nonprofit status. The model has not changed over the duration of its existence in the social impact sector.

Terrence

Terrence is 39 years old and is the co-founder of a social enterprise in the region of the United States, specifically in Wyoming. He has been a key leader in the enterprise the last 7 years. The industry his social enterprise focuses on is home décor, accessories and apparel. The social enterprise was founded as a nonprofit and continues to run in a nonprofit status. The model has not changed over the duration of its existence in the social impact sector.

Gary

Gary is 35 years old and is the founder and CEO of a social enterprise in the regions of Uganda, India, and Peru. He has been a key leader in the enterprise the last 14 years. The industry his social enterprise focuses on is apparel and accessories. The social enterprise was founded as a nonprofit and over the years shifted to a hybrid model. Currently, the enterprise runs as a for profit with a nonprofit arm for community impact and growth.

Faith

Faith is 38 years old and is the executive director of a social enterprise in the region of Ghana. She has been a key leader in the enterprise the last 13 years. The industry her social enterprise focuses on is accessories, apparel, and home décor. The social enterprise was founded as a nonprofit and continues to run in a nonprofit status. The model has not changed over the duration of its existence in the social impact sector.

Linda

Linda is 33 years old and is the co-founder of a social enterprise in the region of Uganda. She has been a key leader in the enterprise the last 3 years. The industry her social enterprise focuses on is talent (art) and home décor. The social enterprise was founded as a nonprofit and continues to run in a nonprofit status. The model has not changed over the duration of its existence in the social impact sector.

Nicole

Nicole is 26 years old and is the co-founder of a social enterprise in the region of Uganda. She has been a key leader in the enterprise the last 3 years. The industry her social enterprise focuses on is talent (art) and home décor. The social enterprise was founded as a nonprofit and continues to run in a nonprofit status. The model has not changed over the duration of its existence in the social impact sector.

Molly

Molly is 34 years old and is the co-founder of a social enterprise in the region of India. She has been a key leader in the enterprise the last 8 years. The industry her social enterprise focuses on is apparel and accessories. The social enterprise was founded as a nonprofit and continues to run in a nonprofit status. The model has not changed over the duration of its existence in the social impact sector.

Pauline

Pauline is 33 years old and is the CEO of a social enterprise in the region of India. She has been a key leader in the enterprise the last 8 years. The industry her social enterprise focuses on apparel and accessories. The social enterprise was founded as a nonprofit and continues to run in a nonprofit status. The model has not changed over the duration of its existence in the social impact sector.

Lily

Lily is 32 years old and is the founder and CEO of a social enterprise in the region of Asia. She has been a key leader in the enterprise the last 5 years. The industry her social enterprise focuses on is home décor and accessories. The social enterprise was founded as a for profit and continues to run in a for profit status. The model has not changed over the duration of its existence in the social impact sector.

Stacey

Stacey is 41 years old and is the founder and CEO of a social enterprise in the region of Papua New Guinea. She has been a key leader in the enterprise the last 8 years. The industry her social enterprise focuses on is home décor and accessories. The social enterprise was founded as a hybrid model, both with a nonprofit and for profit entities working cohesively together. The model has not changed over the duration of its existence in the social impact sector.

Charlotte

Charlotte is 34 years old and is the founder of a social enterprise in the region of Mozambique. She has been a key leader in the enterprise the last 7 years. The industry her social enterprise focuses on training and education. The social enterprise was founded as a nonprofit and continues to run in a nonprofit status. The model has not changed over the duration of its existence in the social impact sector.

Valerie

Valerie is 34 years old and is the founder and CEO of a social enterprise in the regions of Global and the United States. She has been a key leader in the enterprise the last 3 years. The industry her social enterprise focuses on is apparel, accessories, and home décor. The social enterprise was founded as a for profit and continues to run in a for profit status. The model has not changed over the duration of its existence in the social impact sector.

Barbara

Barbara is 44 years old and is the founder and CEO of a social enterprise in the regions of Canada and India. She has been a key leader in the enterprise the last 13 years. The industry her social enterprise focuses on is apparel. The social enterprise was founded as a for profit and continues to run in a for profit status. The model has not changed over the duration of its existence in the social impact sector.

Hope

Hope is 26 years old and is the founder of a social enterprise in the region of Guatemala. She has been a key leader in the enterprise the last 4 years. The industry her social enterprise focuses on is traditional textiles. The social enterprise was founded as a for profit and continues to run in a for profit status. The model has not changed over the duration of its existence in the social impact sector.

Sonja

Sonja is 35 years old and is the founder and CEO of a social enterprise in the regions of Uganda, India, and Global. She has been a key leader in the enterprise the last 12 years. The industry her social enterprise focuses on is in apparel and shoes. The social enterprise was founded as a for profit and continues to run in a for profit status. The model has not changed over the duration of its existence in the social impact sector.

Emma

Emma is 54 years old and is the founder of a social enterprise in the region of Tanzania. She has been a key leader in the enterprise the last 17 years. The industry her social enterprise focuses on is home and accessories. The social enterprise was founded as a nonprofit and continues to run in a nonprofit status. The model has not changed over the duration of its existence in the social impact sector.

To gain a better understanding of the participant's journey, experience, and background in the social impact sector, the interview protocol (see Appendix A) asked relevant questions about the participants and how their journey began in the sector.

Human Instrumentation

Regarding this study, I served as the human instrument. Since I was 18 years old, I have been serving and working overseas. I have spent a third of my life as a resident of another country and building socially conscious and ethically run businesses. I currently reside in Mombasa, Kenya where I work with a socio-economic women's empowerment program that I started building back in 2011. I have grown Imani Collective over the last decade from 16 women to over 110 artisans and staff. We also have artisan partnerships in both Ethiopia and India. Along with being the CEO and founder of Imani Collective, I also began the School of Ethical Impact, which is a 12-week digital incubator that works with social entrepreneurs across the world. The curriculum was built for dynamic changemakers

who want to start or scale an ethical business. Over the past year, the school has already hosted 24 students through its curriculum, while promoting engagement and conversation with likeminded social entrepreneurs through conferences, podcasts, and various platforms. Throughout my journey, I personally struggled with feeling as if I was isolated, alone and had access to little resources or knowledge of the sector. I have made a positionality statement and recorded my perspective as some limitations of the study. In addition, my extensive background in the sector improved data collection in the study because of the position I have to acquire such participants. Also, because of similar backgrounds with both the researcher and participants, this allowed for more open conversations because increased trust was established, and this created more candid, transparent, and vulnerable conversations in the interviews.

Data Collection

In-depth, semi-structured interviews were conducted to identify the challenges that leaders of social enterprises experience (Fraenkel et al., 2016). The interviews were conducted with a purposeful sample to identify the resource gaps in the social impact sector and overall development of themes surrounding challenges they endure as leaders. The purposeful sample included 24 participants who were categorized as social entrepreneurs. These interviews took place from August 5, 2021, through September 15, 2021. As the researcher, I purposely selected social entrepreneurs who focused on diverse regions around the world to attain a variety of perspectives. The interviews followed the proposed interview protocol (see Appendix B, and all interviews took place through Zoom. The benefits of conducting an interview via Zoom included the ability to establish rapport with the participants (Fraenkel et al., 2016) and allow for personal experiences to be shared in a safe space so themes could be established. After interviews were conducted, they were first transcribed using Otter AI and then by myself to account for any errors in transcription. Full

transcripts were emailed back to participants for member checking. Once checked, data analysis began. Table 3 represents the timeline for my data collection.

Table 3

Qualitative Data Collection Timeline

Date	Procedure
July 29, 2021	Initial contact email sent
August 5, 2021	Tara interviewed and transcribed
August 5, 2021	Kellie interviewed and transcribed
August 5, 2021	Ann interviewed and transcribed
August 6, 2021	Olivia interviewed and transcribed
August 6, 2021	Hailey interviewed and transcribed
August 9, 2021	Luke interviewed and transcribed
August 9, 2021	Mia interviewed and transcribed
August 10, 2021	Jody interviewed and transcribed
August 10, 2021	Amber interviewed and transcribed
August 10, 2021	Terrence interviewed and transcribed
August 10, 2021	Gary interviewed and transcribed
August 10, 2021	Faith interviewed and transcribed
August 12, 2021	Linda interviewed and transcribed
August 12, 2021	Nicole interviewed and transcribed
August 12, 2021	Molly interviewed and transcribed
August 12, 2021	Pauline interviewed and transcribed
August 12, 2021	Lily interviewed and transcribed
August 13, 2021	Stacey interviewed and transcribed
August 13, 2021	Charlotte interviewed and transcribed
August 16, 2021	Valerie interviewed and transcribed
August 16, 2021	Barbara interviewed and transcribed
August 16, 2021	Hope interviewed and transcribed

August 18, 2021

Sonja interviewed and transcribed

September 15, 2021

Emma interviewed and transcribed

Note. Transcripts were sent back to participants for member checking.

As the researcher, I observed carefully and asked questions that allowed me, as the researcher to probe their experiences, thoughts, and feelings on topics brought forth in the interview protocol. Additionally, I kept a neutral stance, keeping as much ambiguity so that different perspectives could form throughout the process of the interviews (Fraenkel et al., 2016).

All data were recorded, transcribed, de-identified, coded, and sorted into common themes and results. The interview guide used open-ended questions to further elicit the views and opinions of the participants (Creswell, 2013). As the interviews were conducted, open-ended questions were utilized to allow for an informal and interactive process to be created (Moustakas, 1994a). As recommended by Creswell (2013), there was interview transcription by Otter AI, followed by transcription by the researcher for clarity. These steps were repeated for all interviews. Once interviews were transcribed, they were then made available within the social entrepreneur podcast series that was created by the researcher.

It was also crucial, as the researcher, to not let “pre-existing framework onto the data, but rather to let new themes emerge from it. Through keeping ‘close to the data’ continuously sifting through themes, idea fragments, and seemingly unrelated utterances, data categories can become thematically stabilized, defined, and differentiated” (Charmaz, 2008, p. 80). This process helped organize the reflections and shared experiences from the interviews and allowed for emergent themes to form as the coding was continually refined in the process.

The transferability of this study to other social entrepreneurs is presented through these findings and should offer insights to the resource gaps and potentially removing barriers which create dilemmas in implementing change.

Data Analysis

From the analysis, themes were categorized between human, social, and financial capital. The insights gleaned from these lived experiences of the participants should be like other populations who share the same characteristics of an entrepreneur in the social impact space. Data analysis began by utilizing the data from the qualitative interviews to identify core themes (Fraenkel et al., 2016). Data from the qualitative interviews underwent open coding to identify common themes. There were three rounds of coding conducted by the researcher. The first round included discovering and establishing patterns. As Berg and Luna (2012) proposed, the first round was conducted through marking, highlighting, clustering words and phrases, as well as journal writing. The first round of coding was completed for all participant transcripts. Once transcripts were marked, highlighted, and keywords were identified, then the researcher began the second round of coding, which continued to give an additional analysis angle and ensure accuracy of themes. All data was reexamined and with open coding, categories and subcategories took shape and were noted. This gave recognition to themes and drew out connection and commonalities across participants in the study (Strauss, 1990). These segments were then rewritten and typed to identify detailed segments, also known as clusters (Merriam & Tisdell, 2016). The third round involved going through the main emergent themes throughout the 24 social entrepreneurs and considering the total number of mentions for a particular theme. All participants received the same interview protocol and same analysis procedure. Lastly, themes emerged from the responses of the qualitative interviews.

To answer research question one, participants were asked to describe the main challenges in leading a social enterprise that align with the gaps presented (human, social, and financial capital resource gaps). They were first asked how they entered the social impact sector, followed by the biggest challenges they have had to overcome. These questions

highlighted the purpose behind why the research participants started their social enterprise and then the challenges they have faced in their journey. There was a further question presented that stated, where do you believe you have experienced gaps in resources for you and your business? This question presented in the interview protocol (see Appendix A) aided in research question one by aligning the challenge to a resource gap. It also began to inform research question two in relationship to Kotter's (1996) 8-step model.

Research question two stated, when initiating change represented in Kotter's 8-step model, which steps incur the biggest gaps, lack of resources, and dilemmas for the change agent (social entrepreneur)? In addition to the previous interview protocol question, research participants were also asked from the interview protocol, have you seen those gaps reduce or increase as you have grown, scaled, or implemented new change in your business or community. These guided questions were conducted during each participant's Zoom interview and helped inform this study on which steps in Kotter's (1996) 8-step change model inferred the biggest gaps, lack of resources, and dilemmas for the change agent.

Research question three was, when looking at shared experiences, what were the different resource gaps (human, social, or financial) that caused dilemmas or challenges when creating, implementing, or sustaining change? This question was accomplished through the guided questions of the interview protocol and gave opportunity during the Zoom interviews for the participants to share their experiences.

Trustworthiness

Due to the qualitative nature of the study and the researcher being both the data collector and data analyst, there was potential for researcher bias (Miles & Huberman, 1994). To reduce bias, personal experience of the researcher was noted and journaled during interviews and alternative data sources were used for verification of findings. This can be seen throughout the literature review and results. Each set of data was analyzed immediately after member checking and compiled with other interview data, which promoted credibility (van Manen, 2014). Also, as the researcher, I made other efforts to establish truthfulness and transferability when analyzing the data (Slevin & Sines, 2000). I included an audit trail, which is a systematic documentation of all procedures and data relevant to the study (Lincoln & Guba, 1985; Onwuegbuzie & Leech, 2006), and data interpretations from experts in the field (Lincoln & Guba, 1985). I also utilized reflexive and methodological journaling (Hayman et al., 2012). Bracketing was used in this process of collecting is self-reflective data after the initial data collection took place (Dowling, 2007). Bracketing is an important first step after data is collected, and personal reflection and description are captured. Bracketing is also important in creating reflexivity, especially after interviews are completed. Reflexivity refers to the engagement by the qualitative researcher in continuous self-critique and self-appraisal and the provision of an explanation of how his/her own experiences did or did not influence the stages of the research process (Koch & Harrington, 1998). The analysis of data was a highly iterative process as it involved going back and forth between transcripts, data reduction, and coding before final themes were formed for discussion (Strauss, 1987).

CHAPTER IV

FINDINGS AND RESULTS

Purpose of the Study

The purpose of this conventional content analysis was to understand the dilemmas in implementing change for social entrepreneurs that stem from the presented resource gaps. The information that was obtained through this research will help the social impact sector understand the resource gaps that cause dilemmas in change implementation. This knowledge aids in strategy, leadership development, and sustainability for social entrepreneurs.

Research Questions

The following research questions were developed to guide this study:

1. What are the main challenges in leading a social enterprise that align with the human, social, and financial capital resource gaps presented?
2. When initiating change represented in Kotter's 8-step model, which steps incur the biggest gaps, lack of resources, and dilemmas for the change agent or social entrepreneur?
3. When examining shared experiences, in what ways did human, social, or financial resource gaps cause dilemmas or challenges when creating, implementing, or sustaining change?

Introduction

There were 24 social entrepreneurs that were interviewed, and participant demographics were collected after each semi-structured interview. When recruiting participants, 18 independent social entrepreneurs and three pairs of co-founders were scheduled for interviews. The interviews with the three pairs of co-founders expanded the participant count to 24 and gave another level of detail and perspective to the social enterprise and the entrepreneurs' shared experiences. The participants' demographics are

listed in Table 2. The demographics collected on each participant included age, gender, number of years running or leading the enterprise, region enterprise location, and the implemented business model.

The number of years ranged from 3–23 years of being in the social impact sector as a social entrepreneur, and the locations of the social enterprise and place of business ranged globally. The common thread to all the social entrepreneurs interviewed in this study is that they were involved with marginalized people groups as their main beneficiaries and team members, as well as all social entrepreneurs work among communities all over the world. In this study, regions included were the United States, Uganda, India, Canada, Mozambique, Ghana, Guatemala, Peru, Haiti, Honduras, and a few other areas that could not be mentioned due to security of their enterprise and workers. These secure areas are listed as global in the participants' demographics presented in Table 2. The business model was also presented in the participant demographic information as this was recognized as a resource gap in human capital because of lack of knowledge, training, or understanding of their business model. There is an opportunity to dig deeper into how the different models (for profit, nonprofit, hybrid) differ in the challenges these social entrepreneurs face. The present study focused on the gaps in resources, challenges, and the dilemmas social entrepreneurs are faced with when leading and implementing change to create sustainable social impact businesses.

Identified Resource Gaps

The results were presented in clustered themes to replicate, extend, or refute prior discoveries (Boyatzis, 1998). These themes emerged from the interview of the 24 social entrepreneurs. Themes emerged within the resource gaps of human capital, social capital, and financial capital. The emergent themes aligned with participant engagement as well.

Human resources are reflected in a lack of training or education, as well as the human assets and how they contribute to the direction and effectiveness of the company's operations

or overall implementation of a mission. The following themes emerged in human capital resource gaps, communication, cultural differences, training/development, business modeling and sustainability. Table 4 represents the resource gaps identified from human capital resources.

Table 4*Themes of Human Resource Gaps Identified by Participants*

Participant	Theme				
	Communication	Cultural differences	Training/ Development	Business modeling	Sustainability
Tara	X	X	X	X	X
Kellie	X	X	X		X
Ann				X	X
Olivia	X		X	X	X
Hailey	X		X	X	X
Luke	X	X		X	X
Mia		X	X	X	X
Jody		X	X		
Amber	X			X	X
Terrence	X		X	X	X
Gary	X		X		
Faith			X		X
Linda	X	X	X	X	X
Nicole	X	X	X	X	X
Molly	X		X		
Pauline	X		X		
Lily	X		X		X
Stacey	X	X	X		X
Charlotte	X			X	X
Valerie				X	X
Barbara				X	
Hope		X	X	X	X
Sonja				X	X
Emma	X			X	X

Table 5 represents the resource gaps from social capital resources. Social resources are reflected in having network and affiliations with others. It is a resource that creates bonding comprised of the internal networks that share common norms or values, which subsequently keep that group held together. The following themes emerged in social capital resource gaps, community, inconsistent supply chain, market access, partnerships/networks, and scaling/growth.

Table 5*Themes of Social Resource Gaps Identified by Participants*

Participant	Theme				
	Community	Inconsistent supply chain	Market access	Partnerships/ Networks	Scaling/Growth
Tara	X			X	X
Kellie		X		X	
Ann		X		X	
Olivia	X	X		X	X
Hailey		X			
Luke				X	
Mia	X	X		X	X
Jody	X			X	
Amber	X			X	
Terrence	X			X	
Gary	X			X	X
Faith		X	X	X	X
Linda	X		X	X	
Nicole	X		X	X	
Molly	X			X	X
Pauline	X			X	X
Lily	X	X	X	X	X
Stacey	X		X		
Charlotte	X		X		X
Valerie	X	X			
Barbara	X			X	
Hope	X		X	X	X
Sonja	X			X	X
Emma	X	X	X	X	

Table 6 displays the resource gaps from financial capital resources. Financial resources are access to funds to grow, scale, and sustain a business venture. The following themes emerged in financial capital resource gaps, finances to pay for staff/expand operations, finances to pay for marketing, funding for growth, financial struggle, strategy to profitability.

Table 6*Themes of Financial Resource Gaps Identified by Participants*

Participant	Theme				
	Staff/expand operations finances	Marketing finances	Funding for growth	Financial struggle	Strategy to profitability
Tara	X		X	X	X
Kellie		X	X	X	X
Ann					X
Olivia		X		X	X
Hailey					X
Luke					
Mia	X		X	X	
Jody		X		X	
Amber		X	X	X	X
Terrence		X	X	X	
Gary		X	X	X	X
Faith	X		X	X	X
Linda			X	X	
Nicole			X	X	X
Molly	X		X	X	X
Pauline	X		X	X	X
Lily	X	X		X	X
Stacey	X	X		X	
Charlotte	X			X	
Valerie	X			X	
Barbara		X		X	
Hope				X	
Sonja		X	X	X	X
Emma	X	X	X	X	X

Research Question One: What are the main challenges in leading a social enterprise that align with the human, social, and financial capital resource gaps presented?

To gain a better understanding of the main challenges presented among human, social, and financial research gaps for social entrepreneurs, they were first asked how they entered the social impact sector. Out of the interviews that were conducted, 19 out of the 24 social entrepreneurs (excluding Ann, Olivia, Luke, Amber, Barbara) expressed working with a non-governmental organization (NGO) NGO or community project that sparked their interest, love, and passion in the community. Tara expressed this sentiment in her interview, “I loved the country, I fell in love with the culture and the foods and of course, the people and I loved how different it was. Over the years, I kept going back to Honduras and kept going back on short term trips, and began to build relationships” (Tara, Zoom Interview, August 5, 2021). Lily expressed her passion of wanting women to experience freedom and live to their fullest potential and with her desire to see women succeed. She disclosed in her interview, “we explored different opportunities and couldn't find any good job opportunities for these ladies. So, we thought, hey, let's start something ourselves” (Lily, Zoom Interview, August 12, 2021). With this intention of serving a community, this was then expanded through presenting the following question of why they chose the industry and community they are involved in. The community they were involved in kept consistent with the first interview question and had a relationship with the exposure the social entrepreneurs received from a trip with an NGO or nonprofit, but the industry varied based on region. Much of the industry was chosen through the resources available in the area, as expressed in Stacey’s interview, “that's where the sort of the idea started by identifying the beautiful craft and trying to harness a way of helping these women have gained market access basically” (Stacey, Zoom Interview, August 13, 2021). The industry was also chosen by the people they already knew on the ground in the community the social entrepreneur had become passionate about

investing in. This was reflected with Kellie as she mentioned, “we ended up basically like falling into shoes, like it was not necessarily something that we had intended to do. But we had gotten connected with a shoemaker” (Kellie, Zoom Interview, August 5, 2012). In addition to the familiarity of a community and people you know, much of the industry was chosen by what the people already knew how to do. Faith explained, “the original products that we started out with were apparel, and that was really just because that's what the women were making. And it just made sense to market products that were already familiar to what they were working in (Faith, Zoom interview, August 10, 2021).

The basis of these questions was to gain a deeper understanding of the connection and steps to what drove the social entrepreneur to begin their social enterprise. This also transitioned the interview to the following question, where do you believe you experienced resource gaps for you and your business. This interview question set up the three areas of resource gaps: human capital, social capital, and financial capital.

Human Capital

The themes that represented the gaps in human capital were communication, cultural differences, training/development, business modeling, and sustainability.

Communication

Communication was a major challenge in both internal and external operations for the social entrepreneurs. Out of the 24 social entrepreneurs, 16 discussed the major constraints and barriers because of communication. The following interview excerpt represented the challenging aspect of getting buy-in among the community while trying to communicate a vision. This represents an external communication challenge when growing influence as a change agent with key stakeholders of the community the business is potentially serving.

Faith stated:

I mean, getting buy-in is always a challenge, right? Especially when you have such a diversity of opinions, right? And, and culture, right, like different diversity of culture, and everybody kind of getting on the same page. So, getting buy-in is always a challenge. Again, a lot of times you go in with one vision of what you think it should be, and that completely shifts and that can be challenging to let go of and say, okay, but that's what it is as an organization, our goal is to serve our community. (Faith, Zoom Interview, August 10, 2021)

Another aspect of communicating was also seen in production and quality control of the social enterprise that the entrepreneur is leading. This resource constraint is an internal communication challenge and this excerpt from Mia displayed an act of trying to communicate culture expectations from a differing culture to another and it is seen through the explanation of quality control and the trustworthiness of what is being marketed to the customer. Mia explained about quality control in the marketplace,

And that's something that we really had to work on with the artisan. And it makes sense. You know, when you sell a product in the marketplace, like, actual market, I'm not talking about like umbrella term marketplace, but like that market, people can walk up, and they can see there's five of the same piece of the same item. And they can say, Oh, this one looks the best, I'm going to take this one, like, it looks like it has the best stitching or whatever. And so, you kind of get to choose what you want. And you get to see it in person. And that's how these women have always sold their products is in that environment. And so, shifting to the idea of, Okay, we're taking a picture of this one, and putting it online, and shoppers are coming. And when they see that picture, they want their item to look like that. Yes, we have like a disclaimer that it's handmade, and there's might be slight differences, but it's going to pretty much look like this picture. And so, if you were trying to sell someone an apple, and you

took a picture of this apple and it looks beautiful on the front of the huge hole in the back. Like we don't want to give our customers that and so trying to just teach them that. (Mia, Zoom Interview, August 9, 2021)

This internal communication challenge that overlaps with culture differences or expectations was also seen in the participants interviews of Tara, Kellie, Ann, Hailey, Mia, Amber, Terrence, Gary, Faith, Molly, Pauline, Lily, Stacey, Hope, Sonja, and Emma. These expectations and quality control challenges were alleviated through building an infrastructure, training, and managing quality control. Hope expressed, “there's so many things that vary when it's handmade. So, creating an infrastructure where you can control the quality and the consistency takes a lot of work time, resources to experiment and intentionality” (Hope, Zoom Interview, August 16, 2021). Also, Ann commented, “especially working cross culturally, and alluding back to communication...people understanding quality or deadlines” (Ann, Zoom Interview, August 5, 2021). Developing these systems took time to develop, but also it was unknown knowledge before beginning their venture. Lily commented on their experience of growth in this gap of knowledge; “I think also just in designing really high-quality products, having good quality control, these were all processes that we've learned and now feel really comfortable with” (Lily, Zoom Interview, August 12, 2021). The gap of quality control, infrastructure, and understanding how to communicate this effectively was discovered over trial and error. This constraint and gap could have potentially been prevented if knowledge would have been presented to these social entrepreneurs before developing an international social enterprise. Communication was the foundation of human capital resource constraints, which stemmed into these cultural differences and gaining the understanding of systems that needed to be put into place. Communication also brought forth other gaps as in training/development needs, comprehension of the business model, and lack of knowledge in the strategy to reach sustainability.

Cultural Differences

Among the social entrepreneurs interviewed, 23 of the 24 had a global presence or specifically worked and partnered with cooperatives all around the world (excluding Olivia). Working internationally also creates cultural challenges and because of these differences this normally causes friction in communication due to language barriers and mismatched expectations. Linda explained her gentle approach to minding this barrier by listening and adapting to perspectives, but by also acknowledging differences and accepting that reality and challenge as well:

I will never understand the complexities of the beautiful Ugandan culture that we work with, and the people we work with, and their history, and the trauma from the war and everything. So, I think it just comes to us to be really open and really gentle. And just try to acknowledge their perspective and adopt it as much as we can as our own and walk alongside them. Because there can be many challenges in communication. (Linda, Zoom Interview, August 12, 2021)

This sentiment of listening to the culture and adopting a new perspective was also in the interviews of the following participants, Tara, Luke, Jody, Gary, Nicole, Lily, Stacey, and Hope. The communities represented among these social entrepreneurs are Honduras, India, Peru, Papua New Guinea, Guatemala, and Uganda. There will be an ongoing challenge in culture if the social entrepreneur does not take time to listen, immerse, and just be present with the community they are serving. Jody stated, “but I think that walking that journey of living in rural Kenya, kind of helped me to see the beauty of the gifts and the talents that the people within the community have, that I think can often go unnoticed” (Jody, Zoom Interview, August 10, 2021).

This resource gap in human capital is encapsulated with understanding how to work with people and a community of a particular region. Out of the 24 interviews, 19 of the social

entrepreneurs, making up 79% of this research study found this to be a challenge and common barrier they have had to face. This challenge places the social entrepreneur in a difficult spot of understanding how to partner while respecting culture, but also keeping clear communication for efficiency's sake. The struggle of balancing cultural expectations, new innovations, and overall communication was evident in the following interview excerpt:

Being willing to let go of relationships that just no matter how hard we tried, were not working. And learning what to look for in new partnerships, I think was really key. Again, just working in a country where they're just so very deeply rooted in tradition and finding people who are willing to do something different. (Kellie, Zoom Interview, August 5, 2021)

Training/Development

Training and development are key elements in growing abilities, increasing capacity, and creating sustainability for the social impact within the community. Out of the 21 interviews conducted, 19 social entrepreneurs mentioned a lack of training and development. This training and development were communicated in two perspectives. There was a lack of training and development for the social entrepreneur. Then there was a lack of training and development among the internal staff of the community the social entrepreneur was working among. The results of this study supported this notion that there is a drive and motivation for purpose, but the knowledge and training to support is still underdeveloped. Social entrepreneurs throughout the interviews presented how they “backed into their business” (Hailey, Zoom Interview, August 6, 2021) and then after starting up their business, began to realize their lack in training, knowledge, and various skill acquisitions. This was expressed in the interviews with Tara, Kellie, Gary, Molly, and Pauline. For example, Molly mentioned:

We started as two design students straight out of school without any experience in the business sector, nonprofit space. So, we immediately started connecting with people

with more expertise than us. And collaboration from an accountant, expert in marketing, and knew that it was going to take a whole group of people to make this go. And of course, that's evolved and collaborating with different brands to help distribute the product and support our artisans as well. (Molly, Zoom Interview, August 12, 2021)

Having connections with people to gather skills, knowledge, or training was mentioned throughout the interviews and this stemmed from the guiding question, what does partnership, collaboration, key stakeholders mean to you (see Appendix A)? Developing partnerships was foundational for all 24 social entrepreneurs, but not a challenge for all participants as Hailey, Stacey, Charlotte, and Valerie did not mention this as a resource gap and challenge when identifying social capital (see Table 5).

Furthermore, there was a need to develop accessible training programs for entrepreneurs and the communities they serve. SE17 expressed “seeing the development of our staff” (Lily, Zoom Interview, August 12, 2021) and the development of internal training with staff was recognized in the following participants interviews, Tara, Kellie, Olivia, Hailey, Mia, Jody, Gary, Faith, Linda, Nicole, Molly, Pauline, Lily, Hope, Sonja, and Emma. In the following excerpt, there is a struggle between priorities that were being externally processed and it shows the relationship between finances, and how training and development opportunities are hard to commit to if there is a lack of funds. There is an understanding presented by Jody of knowing the importance of training and desiring it, but a sense of hesitancy around priorities of the expense:

I feel like that gap really existed with continuing education and training, not just for myself, but also for my staff, and just recognizing that. In some senses, there was this feeling of, well, you know, you're getting the job done. You're doing what we've asked you to do, so we just don't have money for that. I think that I would want that to

be a priority. And I do want that to be a priority, as we move forward, just that we recognize people should constantly be growing and that a big part of that is continuing to be educated about the work that you're doing and to help educate those people who are working with you so that they're the best that they can. (Jody, Zoom Interview, August 10, 2021)

This is also witnessed when Emma mentioned that there was a “gap of poverty of the artisans,” which hindered them from being able to develop their talents (Emma, Zoom Interview, September 15, 2021). The same sentiments conveyed by Olivia aligned with their vision, but it gave insight to the social impact space. She expressed:

The premise on which we're built is that we believe all women have the power to transform their lives through employment and so in with that belief, we hire women experiencing chronic unemployment. A typical woman we hire hasn't had a job longer than a year in her lifetime. (Olivia, Zoom Interview, August 6, 2021)

Social entrepreneurs have a passion for the community they build their business within and intentionally choose individuals who are specifically at-risk or of a marginalized people group. This specific characteristic of a social entrepreneur causes unique challenge and resource constraints. Overall, training and development was seen across the spectrum from the community member (i.e. beneficiary) to the social entrepreneur. Among the social entrepreneur, training was lacking, and this was greatly seen in the inefficiencies of understanding their business model.

Business Modeling

Business modeling is seen as a challenge due to the complexity of combining impact with business. Even with some of the participants in this study being involved in the social impact sector for over 20 years, there is still an element of growth, knowledge, and learning development that needs to happen among key stakeholders like customers and investors. The

complexity of balancing impact, business, and profits has left social entrepreneurs feeling misunderstood. This is expressed by Gary in the following excerpt:

We had started a business much earlier in life...And we said...Why don't we give women in these communities this skill, and we will do the hard work on our end to sell the product and create an income stream and start to fund the cycle. And it was just that, it wasn't a lot beyond that initially, but it was something, it was a place to start. And we confused a lot of people as you might imagine...because we would tell people what we were doing, and everybody wanted to put us in a box and say are you trying to help people? Or are you trying to make money? That was the question we got over and over and over. We just had to be resolute and say we want to create an earned income stream that helps people. (Gary, Zoom Interview, August 10, 2021)

This same experience was also mentioned by Sonja:

I also remember having a business advisor who was helping us out really early on in our business...And he was just like, you got to decide, are you a nonprofit that cares about these women and girls in Africa? Or are you a for profit who's going to be focused on making money? ...We really believe that we can make a profit and be financially sustainable and generate wealth and meet this social need. I think the landscape and the public consciousness has changed so dramatically over the last decade, that now the idea of a social business that's making a positive impact in the world, not only is it something that we get, and we understand, but there's actually a consumer demand for it. And that just didn't exist when we were first starting out. (Sonja, Zoom Interview, August 18, 2021)

There were 16 out of the 24 participants that expressed business modeling as a challenge and created a barrier to growth, strategy, and sustainability of impact. These interviews have begun to shed insight on business modeling and the intricacies that involve

starting a business that is foundationally coupled with solving a social problem. The social impact business model is slowly being more understood by stakeholders in the traditional sector due to dissemination of knowledge around conscious consumerism and social good businesses, but the decision of what business model to choose is still a pain point for current social entrepreneurs. In the interviews, 67% of the social entrepreneurs in the study talked about business modeling being a challenge and barrier. The business model should align with the companies or organizations values and their mission, but when there is a lack of overall knowledge in business, governance, and how to properly scale to sustainability then it is difficult to comprehend the best legal structure that will best complement the desired vision. This concept of aligning with vision can be seen with Valerie as she noted:

I always say focus on your purpose. If you set out to build a business, make sure that you're always coming back to what is your impact goal, at the end of the day? Why did you start the business in the first place? (Valerie, Zoom Interview, August 16, 2021).

This same advice was expressed by Gary, “My encouragement always is to take the missional aspect, or the impact of what you are trying to do, and really focus towards backing it into the actual fabric of the operations and the business model itself” (Gary, Zoom Interview, August 10, 2021). As much as business modeling was seen as a barrier, it is something that can be navigated for future social entrepreneurs through proper training and mentorship. The importance of understanding this model leads to sustainability, and 19 of the 24 participants in the study saw sustainability as a challenge. In time, this challenge reduced for some participants and is later discussed in these findings when reviewing research question two with Kotter’s 8-step change model. In the beginning stages, when a social entrepreneur is developing their initiative, the initial business model is seen as a barrier, and this can later result in the overall sustainability of the enterprise.

Sustainability

This balance of creating social value and economic value while managing key relationships can be some of the biggest challenges amongst social entrepreneurs and the journey to building out sustainable enterprises. Terrence provided insight on these feelings:

Part of our goal from the start of this was to make it sustainable...that concept of how does it become sustainable? In theory, every investment we're making in staff and in people, and certainly, with our board of directors, hopefully, it creates that sustainability model that, we could disappear tomorrow, and...it would be okay.

(Terrence, Zoom Interview, August 10, 2021)

The same concerns are shared by Gary and have highlighted the internal struggle and conversations many of the participants in this study have been having:

I think as social entrepreneurs we walk a very difficult and challenging line because we are extremely passionate about the impacts that we're creating. And that's why we do the work that we do. To marry that with the profitability side with the long-term financial sustainability of our business, is just a recipe for tension. I think it's a healthy tension, but we are always within that tension. We have to find the right combination of what's the longevity of this business model, in tandem with the sort of social impacts that we can create. If we are only focusing too much on one or the other then we're either going to fail in our mission, or we're going to fail our business, and we're not going to be able to sustain the work that we're doing. (Gary, Zoom Interview, August 11, 2021)

Social Capital

The themes that represented the gaps in social capital were community, inconsistent supply chain, market access, partnerships/networks, and scaling/growth.

Community

Community creates strength for an entrepreneur, but it also signifies unity and makes an individual feel less alone in the process. In community, accountability can materialize and access to resources can be less strenuous when there is a collective of individuals working together. In this study, it became evident that the social entrepreneurs who have been in the social impact sector for less than 5 years felt more included in a unique community and have felt less isolation in the process. These research participants included Ann, Mia, Linda, Nicole, Lily, Valerie, and Hope. The comments shared by Hope also represented having support by a community within a university. She mentioned:

Being a student entrepreneur was incredible. My university offered a lot of support. I also found a lot of support outside of it. So different fellowships and I honestly don't think that I'd still be running [enterprise name] if I hadn't had those experiences.

(Hope, Zoom Interview, August 16, 2021)

Hope gave insight to knowledge gaps that are being reduced in the social impact sector. If there is support being seen at a university level, then this is representing training and development resources that have been thought out and established in a higher education space. This did not exist for a majority of social entrepreneurs who have created a social enterprise in the last decade. For the entrepreneurs who have been in the field before the “field” even had names like “social enterprise” or “social entrepreneur,” those individuals have felt the isolation and, in their experiences, have felt this gap decrease over time and felt community has grown especially for entry level social entrepreneurs. Terrence who has been leading in the social impact sector for 7 years expressed his sentiments:

When we were starting, it was sort of a black hole on a lot of those conversations.

You didn't really know what questions to ask there certainly were not like cohesive groups of entrepreneurs in the social good realm, trying to do things. Certainly, was

not common conversation happening within like churches, or Christian communities, from what we could tell. You sort of felt like you were out there on your own, just trying and failing and pivoting and trying again. (Terrence, Zoom Interview, August 10, 2021)

As the community has shifted for entry social entrepreneurs having more mentors, leaders, and examples who have gone before them, the other key stakeholder, the consumer, is still learning and developing what it means to purchase ethically. “Conscious consumerism,” although a common phrase used among social entrepreneurs and the sector as whole, it is not as known in some communities. This is expressed in the excerpt below from Molly reflecting on how their goods are perceived in the small town they sell them in the United States, as well as Amber explaining the lack of community and the isolation felt when entering the social impact space. There were feelings of intimidation and lack of confidence endured when first entering the social impact arena and beginning conversations. Molly stated, “We were the only ones in town doing this type of work. So convincing people to care and tune in with their global community can be a challenge for any customer, really (Molly, Zoom Interview, August 12, 2021). Similar to Molly, Amber expressed the feelings of isolation and loss of where to ‘fit in’:

I think when we started, I think being in a small town, and being a woman, I felt really isolated. I didn't really know where to turn for help, I didn't even really know the conversations to have or who to have them with. Then there was definitely just a piece of intimidation, of like, I shouldn't be doing this. So, it's easier to not tell people or not say, admit, I need help. (Amber, Zoom Interview, August 10, 2021)

Inconsistent Supply Chain

An inconsistent supply chain is a gap that continues to be presented mainly for the social entrepreneurs that lead and operate a global business. In this study, 23 of the 24 social

entrepreneurs lead and operate a global business (Olivia excluded). There is a lack of consistency, quality, and communication creating barriers in relationships and culture which then overflows to the inconsistency of the supply chain. When running a global business, this is an important aspect to consider and with these barriers present, it can ultimately affect the trust and commitment. The lack of consistency in supply chain can also affect growth and scale of a business. Emma stated:

For us personally, as a small nonprofit, financial difficulty has been that next level growth, and for a while it was just pure inventory, being able to buy that much outright inventory to be able to supply wholesale and work with so many small batch artisans, and then be able to keep that inventory on hand. That supply chain had been a big challenge. (Emma, Zoom Interview, September 15, 2021)

The inconsistency of supply chain becomes hindered when financial constraints are not alleviated. Financial implications of an inconsistent supply chain were also discussed among participants Tara, Mia, and Hope. Furthermore, another element of an inconsistent supply chain is transparency of talent. This is communicated by Hope:

There's a lot of factors that affect the consistency of textiles...you can show someone something and they'll be like, 'yeah, we could do it.' And then when they actually do it, it looks very different. It is common to just say, we can do this, we'll work on it, and it not be identical. So, kind of stressing the quality. And again, that consistency is really important for us. (Hope, Zoom Interview, August 16, 2021)

This relationship with transparency of talent is tied to effective communication, developed relationships, and an in-depth comprehension of cultural tendencies. The inconsistency of the supply chain is linked to a lack of social capital in partnerships and building relationships, but it is also presented that the lack of consistency in supply chain links back to human capital in the lack of training and scarcity of knowledge on a certain skill set. When there becomes a

lack of skill and supply, then that hurts the sustainability of the business and the overall impact that can be had on a community because of constraints in capacity, time, and efficiency.

Market Access

Market access is difficult to navigate, and in this research study eight of the 24 social entrepreneurs mentioned this as being a barrier. It is a theme of social capital that was not directly talked about or discussed compared to the other themes that emerged but was indirectly affected or seen as a challenge by the other gaps and challenges discussed like community, networks, and scale/growth. The eight participants that did mention this theme directly included Faith, Linda, Nicole, Molly, Lily, Hope, and Emma. This thematic challenge and gap of resource is a pain point with growth and Faith took note of this challenge as the ‘missing link’:

Market access, in the beginning was the huge kind of missing link. I think that's the case for a lot of small producers around the world, right? How do you compete and access this larger market? And then what are the tools you need to scale up once you access that market? I know that's a big transition for a lot of small social enterprises. You know, okay, so we've got the attention and now we need to produce a ton of this stuff. How do we do that and stick true to our ethics, right? There's not a lot out there that shows you how to do that in a kind of slow and steady way, because we want to jump and do it. And sometimes it's okay to say no, I think that's one of the missing links for people to is like, it's, it's all right to say I can't take that order, because it's going to mess up our slow steady growth. (Faith, Zoom Interview, August 10, 2021)

This excerpt also acknowledges the slow growth of a handmade brand, especially if an international artisan brand.

Partnerships/Networks

Over the last few years, partnerships have become an important element for social entrepreneurs and these entrepreneurs have begun to choose collaboration over competition. There has been a level of community that has developed, and support systems created in recent years that have grown to strategic partners and key influences. This theme highlighted the importance of collaboration and not reinventing the wheel, but rather utilizing other individuals who are experts in specific supportive fields. This was very evident in the interviews with Tara, Jody, Gary, and Faith:

I have just noticed this growing desire in my own heart for partnership and for collaboration, and for valuing key stakeholders. And I think that partnership looks like we're not an island. So as an organization, I have no desire to be all in to provide all for everybody. I think that partnership looks like, this is what I'm seeing in my community is in need. This is not a need that I'm prepared to meet, or that I'm equipped to meet, perhaps, but I do know...people who maybe have skills and talents that need to be developed, or maybe they need more business training to this partner who is who's doing that, who's equipped to do that, and who knows how to do that. So that, in a way, we can kind of all stay in our own lanes but grow the communities from those positions. And I just feel like collaboration is so key, because if we can work together. I mean, we know this right, but I think that sometimes ownership or pride or something gets in the way and keeps really meaningful partnerships from happening. But I think that the more that we can let go, and the more that we can say, you know, this is about the community...then I think the collaborations can happen in an organic way that is building on the knowledge and the talents and the skills of different people. (Jody, Zoom Interview, August 10, 2021)

Jody processed in the interview what partnerships has the potential to harness, if the entrepreneur who is the leader and change agent can recognize that they do not need to do it alone. This is essential to growth and has the potential to alleviate other pain points or barriers like scale/growth or sustainability because the enterprise is not being spread in so many places or initiatives. Faith expressed her sentiments, she noted “Everything we do is super collaborative... We have this extended team that everybody's got a voice (Faith, Zoom Interview, August 10, 2021). Another perspective from Gary was the evolution of partnerships and how it lacked in the community but has changed over the last decade that social entrepreneurship has grown and individuals within the sector have realized what they have missed and needed to be successful. Gary stated:

The difference that I've seen in the last 15 years of being really sort of plugged in with it all is this idea of partnership. When we were getting going, and even in the first number of years of our business, there's this period, where we're told as businesses, that the key differentiation of our business is the thing that we have to do, we have to guard and hold, and, you know, make our own and sort of carve out for ourselves, right? There's a big problem that occurs, in my opinion, and we saw this through, maybe we continue to see this in this idea of social impact, which is when the thing that is your differentiator is the social impact, and you are isolating that and trying to keep it to yourself and trying to vertically integrate every aspect of your business, it can be very damaging, because you can sort of safeguard that thing, that social impact so much and not invite other people into that and in a way that will ultimately limit your impact. (Gary, Zoom Interview, August 10, 2021)

This barrier is still a challenge especially in the social entrepreneurs entering the sector and was seen as pivotal to growth. In this study, 20 of the 24 participants talked about partnerships/networks “being everything” and foundational to how they run their social

enterprise. They might have great networks in the community they are working in, but in this study, it was noticeable that the lack of networks/partnerships linked back to lack of market access, which created a lack of viability to grow or scale. This ultimately leads to confusion in business modeling and sustainability projections. Although these themes are broken in human capital, social capital, and financial capital, this research study gave insight to how they are interwoven and one element like communication can immensely impact another gap like partnerships.

Scaling/Growth

To grow and scale, the enterprise must first understand the balance of profits and impact. This challenge of growth and scale is connected to other themes already presented because if there is lack in one area, then it will present itself through other challenges. This challenge is specific to the social entrepreneurs in this study because the criteria to be a research participant specifically required at least 2 years of leading the enterprise. This requirement placed the entrepreneurs in this study to at least at growth stage in their enterprise. The interviews in this section indicate not only how constraints in community, inconsistent supply chain, market access, and networks can affect the scale and growth of a business, but also its overall strategy. Lily expressed:

As we started having kind of those low barrier opportunities to learn, that didn't require an enormous budget to pay for consultants or enroll in different courses. That was the biggest challenge. So, we just had to bootstrap it, and read a bunch of articles and watch kind of free videos or ask, you know, be really resourceful. (Lily, Zoom Interview, August 12, 2021)

The reality of scale/growth challenge is the relationship it has with financial capital constraints. This study displayed this throughout all the participants, but the linkage to even fundraising or gaining capital was mentioned by Olivia and as running their social enterprise

as a nonprofit, this has given them other opportunities, but also other challenges in storytelling the need for growth/scale. Olivia stated:

The benefit to us is that we can fundraise...So, it is kind of a different sale, so to speak. And so I think that, learning how to do that and tell that story of why getting a gift that would actually go to purchase some equipment, or would go to product development, or changes and packaging, that's the learning how to how to sell the dream, so to speak it because it's a different, it's like a step or two removed from the mission impact in a lot of ways for people and so you have to do a really good job of creating that bridge and selling the dream. (Olivia, Zoom Interview, August 6, 2021)

Another very evident link is with partnerships/networks. In order to scale, grow, and develop the community, there is a sense of being close to the community. Gary provided insight on the alignment between impact, community, and partners. These in alignment can help grow and scale a social impact business. Gary has been in the social impact sector for 14 years and shed light on their experience:

We started in Uganda because we had some connections there and we knew some local organizations that we could work with. We had a foothold and an understanding of how we could sort of step into those communities with the right and trusted partners, and that sort of has always led, because it's hard to make a positive impact if you aren't really closely aligned with folks in those communities who are on the ground everyday working and caring for the population that you want to serve. (Gary, Zoom Interview, August 10, 2021)

This theme of scale is deeply tied to financial capital and the constraints that are presented in that resource gap. Many social entrepreneurs have trouble accessing capital due to human and social capital constraints. There is a lack in the social impact sector for long term sustainability planning and this is grounded in constraints of financial capital.

Financial Capital

Financial capital represents the funds that it takes to run the business, grow and leverage this capital to make positive social impact. The themes that represented the gaps in financial capital were finances to pay staff/expand operations, financials to pay for marketing, funding for growth, financial struggle, and strategy to profitability.

Finances to Pay Staff/Expand Operations

This theme is interwoven with human capital constraints because it focuses on the lack of knowledge, talent, and skills to actually grow the business to be successful. As mentioned previously, because many of these individuals are driven by purpose and tend to back into starting a business because they know it would ‘do good’, this causes lack of strategy and understanding of how to properly know the talent needed. It was also found through the interviews that once a business gets to a certain level, there is a tension between growth, expanding operations, understanding capacity, and balancing cash flow. Tara expressed the tension of growth and staff needs and noted, “I need this person but not sure I can afford to have this person (Tara, Zoom Interview, August 5, 2021). Also, Molly mentioned, “the one thing is the artists wage, and I refuse to make any adjustments there (Molly, Zoom Interview, August 12, 2021). This highlighted the tension that is always present for social entrepreneurs of the desire to pay fair wages, create dignified work, but also balancing the cost of goods, profit margins, and navigating the growth and strategy to become a successful social impact business. This tension of people, profit, and scale is a continuous struggle with social entrepreneurs. This leads to a slower growth trajectory with financial capital constraints. This research study has highlighted the barriers to growth and expansion of the social entrepreneurs’ internal team. Finances, business, and talent have a ripple effect when there can be an influx in the various areas, but with financial constraints, this puts

pressure on the social entrepreneur to choose which priority outweighs the other for where capital should be given. An example of product development is witnessed with Hope:

With product and fashion, it's very capital intensive. It always cost more for a sample than the actual products when to start purchasing. But sometimes we go through two to four or five samples until it's perfect. Then we always buy in quantity, so we can get a better price...So it is something that's very pricey, and it has limited my growth as far as, as what I can put my money into. Because right now, the majority of my capital goes into product and production. (Hope, Zoom Interview, August 16, 2021)

Financials to Pay for Marketing

Brand awareness is essential to any business and important to growth of a social enterprise. With the right marketing, this can be game changer in the impact and sustainability that is being developed. Social entrepreneurs, especially if running a nonprofit, tend to have a different mindset to how money should be spent, although they typically lack the financial resources to obtain quality talent and marketing assets. Having the financials to pay for marketing aligns with the growth, scale, and strategy of the business. If there is limited funding, then the overall growth of the business will take time to build. This growth will be slower, more organic and that reality must be realized and then planned for by the social entrepreneur. Marketing helps grow partners and market access but finding the talent to capture the vision and fit in the budget can be a challenge. Faith expressed, “finding people who are willing to work in this space, talented artists, photographers, videographers, that can work within our budget is huge” (Faith, Zoom Interview, August 10, 2021). This similar expression of talent is seen in the interview with Jody. The need to communicate the impact is essential to maintain funding with key stakeholders. Jody stated:

If we can't communicate what we're doing, and if we can't spend money to do that, then people won't know and then the funding will dry up, because people need to stay

informed, they need to be aware of what's happening. You can't do that without spending resources. (Jody, Zoom Interview, August 10, 2021)

Along with getting the word out on the impact being done through the enterprise, marketing is also essential to move product. Throughout the interviews, there was a frustration of lacking the financial resources to compete with other social impact brands. This was evident when Olivia mentioned about the 'consistent challenge they face:

I think that that's probably been the most overarching consistent challenge is this idea of honor, you know, particularly because, in the last 18 years, we've had companies emerged like TOMS shoes and other companies that have a social impact that has huge marketing budgets. How do you compete in a sort of a crowded feel-good marketplace now? So, it's gone from how do we even build the brand at all to how do we compete because now consumers are thinking a lot more about making purchases from companies that have a mission. (Olivia, Zoom Interview, August 5, 2021)

Furthermore, there was this realization of the financial barrier to marketing throughout the interviews. There were 11 out of the 24 social entrepreneurs who mentioned having money for marketing as a challenge within the gap of financial resources. With the lack of resources for a marketing budget, organic and slow growth is evident for social entrepreneurs when creating sustainable measures. Lily recognized the fact that this slower growth was their reality, and it would require being innovative and creative to grow brand awareness since the marketing budget is out of question. Lily stated:

So again, just the gap of funding the gap of market opportunities and getting our brand out there in front of more people. So how do we overcome that it's just through creativity and resourcefulness and being okay with kind of the slow growth.

Accepting that as a reality. (Lily, Zoom Interview, August 12, 2021)

Funding for Growth

The understanding of business modeling ties into funding for growth because whether it is a nonprofit or for profit, there is a different strategy to both entities. In this study, it was made evident that the social entrepreneurs who ran as a nonprofit were thankful to have multiple funding resource options like grants and donations, but also had a gap in connecting with investors because of the constraint of their model. These participants included Tara, Olivia, Luke, Jody, Amber, Terrence, Gary, Faith, Linda, Nicole, Molly, Pauline, Charlotte, and Emma. Contrarily, social entrepreneurs who started as a for profit had trouble securing investors due to the lack of historical financial data. They also had difficulties securing investors because of their higher bottom line, which was because of their social impact. Overall, they had individuals who believed in their cause and wanted to donate but had no option to utilize that money as the donor did not understand the potential of investment into the company. These participants included Kellie, Ann, Hailey, Mia, Lily, Stacey, Valerie, Barbara, Hope, and Sonja. The interviews below highlight the complexity of raising capital in both business models and give insight to the gaps of knowledge in both a donor and investor mindset.

Among the social entrepreneurs leading in a nonprofit business model, being able to have donations to grow and expand has been a great resource. Faith expressed this sentiment:

Because, as a nonprofit, we've been able to acquire those without any problem and apply them. A lot of our donations go into our capacity building programs or growth opportunities...so that that has been a huge resource for us as a nonprofit to be able to use those funds for growth. (Faith, Zoom Interview, August 10, 2021)

Another aspect in funding for growth, is this internal struggle with justifying why donations are needed to be given to a model that runs like a business. There is always a gap in

knowledge for the donor that the social entrepreneur must mind. Terrence gave insight to this and stated in their interview:

So, we look at it as well, it helps us justify and be able to bridge that when a normal business that has to be in the black, they wouldn't touch most of what we do with 10 foot pole...we want to show people that...if we really believe what we believe, then the return is not always like this hard currency in our hand at the end of the year or two years. You know, if we're really working towards what we believe, then the return is more of an eternal perspective. (Terrence, Zoom Interview, August 10, 2021)

From an alternative perspective, raising capital is expressed as a desire; however, the struggle of understanding if their model is sustainable for their social impact is a continuous struggle for social entrepreneurs. Mia expressed, “we really want to be able to raise more capital, we really want to get into that” (Mia, Zoom Interview, August 9, 2021). Throughout the interview, Mia externally processed how to take their for profit model and grow it to sustainability. Also, with the participants who have been in the social impact sector for close to 10 years or more, there has always been the challenge for obtaining funding for growth because the concept had not been exactly proven yet. This was evident for the following participants, Kellie, Olivia, Gary, Faith, Sonja, and Emma. In the excerpt below, Sonja, who has been in the social impact sector for 12 years, expressed:

When we were first starting out, there was this huge gap in tension, in that there wasn't a bucket for us to fit into, it was like we couldn't get grants. And we couldn't take donations because we were a business. And there were plenty of people like people that were literally trying to throw money at us that we were like, we can't take your money. We're not a nonprofit, we can't take grants. We don't want to fundraise, we want to make money, like we will take your investment. But we won't take your donation dollars, but ...too big of a risk for investors...this idea that purpose was

going to drive value. It just hadn't been proven yet. (Sonja, Zoom Interview, August 18, 2021)

Financial Struggle

This theme is not unique to just social entrepreneurs as starting any business involves many financial commitments and implications. The overall financial struggle a social entrepreneur endures is connected to communication, lack of networks, and to the final theme of strategy to profitability, which is always evolving with the growth and size of impact of the enterprise. Molly talked about the struggle of gaining individuals and the continued financial struggle as impact growth continues. The excerpt below shares the insight from Molly's interview:

Convincing people to care consistently about your mission has been a definite challenge over the past 10 years. I think in the beginning, it was much about building the infrastructure and quality control and getting seed funding in the beginning just to get started. And lots of sweat equity between the two of us have many years unpaid and kind of just like building it out. But yes, as time has gone on it, the challenges have evolved. But some of the core things, I think just exposure and funding continue to be bigger challenges. (Molly, Zoom Interview, August 12, 2021)

In alignment with expanding impact and funding continuously being a challenge as growth incurs, having financial partners to keep up with the vision of the social entrepreneur is also a gap. Linda stated, "sometimes it can be challenging, especially operating as a small nonprofit to have the financial resources that really match the vision and the dreams that you do have" (Linda, Zoom Interview, August 12, 2021). Tara also mentioned, "there's a lot of financial challenges. There's trying to figure out how to organize everything...and make it sustainable" (Tara, Zoom Interview, August 5, 2021). With financial challenges, social

entrepreneurs must choose the priority of where finding needs to be allocated and that takes time to organize as well as has a direct relationship to strategy.

Strategy to Profitability

This theme is rooted from being misunderstood as a social entrepreneur. The results of this study suggest that many social entrepreneurs were questioned about their choice in business model and then posed with the question of profit or impact, but not both. This sector creates a third option that is still being discovered. There is this constant tension in the social impact sector between profit and impact. Social entrepreneurs must navigate how to do both well and in tandem with one another. This involves creating sustainable and innovative models. Sonja highlighted this throughout their interview:

Because that third bucket didn't yet exist. It was like you're either a nonprofit or your business. We couldn't compete with businesses that had no social mission, from a financial or just like pace of scale perspective. Then we weren't a nonprofit, so we couldn't finance ourselves like a nonprofit. And that was being in that middle land left us and what honestly kind of felt like uncharted territory, which was exciting. But it was also a desert when it came to right resources. (Sonja, Zoom Interview, August 18, 2021)

There is this “uncharted territory” that social entrepreneurs have been living in, which has caused a lack of strategy. There have not been others who have consistently achieved success to pave the way for fellow entrepreneurs. This way of doing business has developed over the last 20 years and social entrepreneurs are now becoming more known than ever before. As entrepreneurs, they are “used to having to build scrappy businesses,” although having to navigate impact with profit and share that with key stakeholders had been a challenge (Valerie, Zoom Interview, August 13, 2021). It was also very common throughout the study of participants expressing they just did not have a plan or accidentally “backed into

the business” (Hailey, Zoom Interview, August 6, 2021). Emma also expressed similar sentiments of not having a plan, but just acting in response to a cause or purpose. Emma stated:

I was not somebody who went in with this big strategy plan. It was very grassroots. It was really in response to primarily working with the poor and having a heart for ethical financial freedom for people. (Emma, Zoom Interview, September 15, 2021)

Then with this response of acting out of purpose, heart, and passion, there is this balance that social entrepreneurs play of making ‘heart decisions’ versus ‘strategic decisions.’ Gary expressed this tension and balance of building a sustainable business, while staying true to the roots of the social impact:

I think as social entrepreneurs, we walk a very difficult and challenging line, because we are extremely passionate about the impacts that we're creating. And that's why we do the work that we do. To marry that with the profitability side and to marry that with the long-term financial sustainability of our business, is just a recipe for tension. And I think it's a healthy tension. But we are always within that tension. And we have to find the right combination of what's the longevity of this business model, in tandem with the sort of social impacts that we can create. And if we're only focusing too much on one or the other then we're either going to fail in our mission, or we're going to fail our business, and we're not going to be able to sustain the work that we're doing. (Gary, Zoom Interview, August 10, 2021)

Overall, the gaps and challenges presented within human, social, and financial capital highlighted the challenges that the social entrepreneur, also known as the change agent, face throughout their experience growing the social enterprise. These findings inform which dilemmas, challenges, and barriers are incurred when implementing change in a growing social impact enterprise.

Identified Dilemmas in Change Implementation

The first question highlighted the main challenges in leading a social enterprise was previously answered and highlighted the 15 themes among the three categories of human capital, social capital, and financial capital. The findings and 15 themes that emerged among the resource gaps of human, social, and financial helped inform the second research question. From the interviews and overall findings, five dilemmas in change implementation were identified. These dilemmas include cross-cultural communication, cultural misalignment, financial sustainability, inconsistent strategy, and lack of training/development. These dilemmas were then explored through the shared experiences presented in the interviews and gave insight to the third research question.

The dilemmas were then aligned with Kotter's (1996) 8-step change model. This model is fundamentally made up of three main areas:

1. creating climate for change
2. engaging and enabling the organization
3. implementing and sustaining for change.

In the model, the first area (1) creating climate for change, consists of:

- i. create urgency
- ii. form a powerful coalition
- iii. create a vision for change

The second area (2) is engaging and enabling the organization, which includes:

- iv. communicate the vision
- v. empower action
- vi. create short term wins

The final section (3) is implementing and sustaining for change. This section engages the remaining steps, which includes the following:

- vii. build on the change
- viii. anchor the change

For his study, 24 social entrepreneurs were interviewed. Through their shared experiences, the five dilemmas (cross-cultural communication, cultural misalignment, financial connection, inconsistent strategy, and lack of training/development) were identified from the 15 themes found in human capital, social capital, and financial capital.

Kotter's 8-Step Change Model

Research Question Two: When initiating change represented in Kotter's 8-step model, which steps incur the biggest gaps, lack of resources, and dilemmas for the change agent or social entrepreneur?

There are three main stages comprising Kotter's (1996) 8-step change model: creating, implementing, and sustaining. This section of the findings answers the second and final research questions: (2) when initiating change represented in Kotter's 8-step model, which steps incur the biggest gaps, lack of resources, and dilemmas for the change agent or social entrepreneur? (3) when examining shared experiences, in what ways did human, social, or financial resource gaps cause dilemmas or challenges when creating, implementing, or sustaining change?

This study identified 15 themes of gaps in resources within human capital, social capital, and financial capital. To answer research question 2 with more depth, this section will present each stage in Kotter's (1996) 8-step change model and then will align the dilemmas that were found in each stage. These dilemmas stem from the resource gaps found in human, social, and financial capital that were presented in the beginning of this chapter and seen in Figure 4.2. Within each stage, there were a variety of challenges for social entrepreneurs presented that caused barriers when it came to creating, implementing, or sustaining change.

Research question two was acknowledged through the interview protocol (see Appendix A).

These guided questions included:

1. Additionally, have you seen those gaps reduce or increase as you have grown, scaled, or implemented new change in your business or community?
2. How can you build a sustainable enterprise where profit and impact cohesively work together?
3. What is your current business model? Has that changed over time? Why did you choose to implement that model?

These guided questions helped expand the knowledge on change implementation and the dilemmas that have occurred while trying to develop and build a business that values both profit, impact, and people. These challenges will be expanded on in the remainder of this chapter and supported with interview excerpts and researchers' interpretation of the data.

Stage 1: Create a Climate for Change

The first stage of Kotter's 8-step change model, creating a climate for change, involves three steps:

- i. create urgency
- ii. form a powerful coalition
- iii. create a vision for change.

These first steps help others see the need for change, communicate the importance of this change, coordinate and form a powerful group around this change, and then finally be able to cast a vision to enable that change (Kotter, 1996). The dilemmas presented in this research positioned within Stage 1 of Kotter's 8-step change model were inconsistent strategy and training and development. Both dilemmas are human resource gaps and create barriers and challenges within this "creating" stage. Table 7 represents the dilemmas identified in change implementation.

Table 7*Identified Dilemmas in Change Implementation*

Dilemma	Example quote	Kotter's 8-step change model relationship
Cross-Cultural Communication	I mean, getting buy-in is always a challenge, right? Especially when you have such a diversity of opinions, right? And, and culture, right, like different diversity of culture, and everybody kind of getting on the same page. So getting buy-in is always a challenge. And, again, a lot of times you go in with one vision of what you think it should be, and that completely shifts (Faith, Zoom Interview, August 10, 2021)	Stage 2: Engaging and enabling the organization. Communication creates a barrier to (iv) communicate the vision and (v) empower action.
Cultural misalignment	I will never understand the complexities of the beautiful Ugandan culture that we work with, and the people we work with, and their history, and the trauma from the war and everything. So I think it just comes to us to be really open and really gentle. And just try to acknowledge their perspective and adopt it as much as we can as our own and walk alongside them. Because there can be many challenges in communication. (Linda, Zoom Interview, August 12, 2021)	Stage 2: Engaging and enabling the organization. Culture creates a barrier to (iv) communicate the vision because of language barriers or other culture differences between stakeholders.
Financial sustainability	When you're dealing with using quality materials and paying people a fair wage, your margins are just going to be smaller, because you also have to be competitive in a very competitive marketplace. (Kellie, Zoom Interview, August 5, 2021)	Stage 3: Implementing and sustaining for change; (vii) build on the change.
Inconsistent strategy	I think as social entrepreneurs, we walk a very difficult and challenging line, because we are extremely passionate about the impacts that we're creating. And that's why we do the work that we do. And to marry that with the profitability side to marry that with the long term financial sustainability of our business, is just a recipe for tension. And I think it's a healthy tension. But we are always within that tension. And we have to find the right combination of what's the longevity of this business model, in tandem with the sort of	Stage 1: Create a climate for change. With an inconsistent strategy, this creates barriers around (i) create urgency, (ii) form a powerful coalition, and (iii) create a vision for change. If the strategy is not firm and keeps changing,

Table 7

Identified Dilemmas in Change Implementation

Dilemma	Example quote	Kotter's 8-step change model relationship
	social impacts that we can create. And if we're only focusing too much on one or the other then we're either going to fail in our mission, or we're going to fail our business, and we're not going to be able to sustain the work that we're doing. (Gary, Zoom Interview, August 10, 2021)	then creating a stable vision will become difficult.
Lack of training/development	Because I was 23 when I originated this, I did not know concepts and had no experience, I would remind myself that you have so much more power than you think you do. And you really do and can make impact in this space without all of that expertise and networking, and to kind of just continue to fight for your own (Molly, Zoom Interview, August 12, 2021).	Stage 1: Create a climate for change. Stage 2: Engaging and enabling the organization. Stage 3: Implementing and sustaining for change.

Inconsistent Strategy

Among the 24 social entrepreneurs, many found themselves starting their business because it was aligned with their purpose, and they wanted to find a solution alongside a community or cause they have become attached to. This social cause tends to be supported with little strategy because the motivation to begin is driven by a passion pursuit instead of clear direction or strategy. A lack of strategy can cause inconsistencies and, as mentioned in research question one, many challenges that present themselves within human capital, social capital, and financial capital resource gaps. Throughout the interviews, it seemed the longer the social enterprise had been around, the more the strategy and clarity that had been put into place. The younger organizations or shorter periods of time in the social entrepreneur's venture exposed a lack of clarity due to training, development, and understanding of cultures. In Table 7 the example is highlighted from Gary:

I think as social entrepreneurs, we walk a very difficult and challenging line, because we are extremely passionate about the impacts that we're creating. And that's why we do the work that we do. And to marry that with the profitability side to marry that with the long-term financial sustainability of our business, is just a recipe for tension. And I think it's a healthy tension. But we are always within that tension. And we have to find the right combination of what's the longevity of this business model, in tandem with the sort of social impacts that we can create. If we're only focusing too much on one or the other then we're either going to fail in our mission, or we're going to fail our business, and we're not going to be able to sustain the work that we're doing.

Gary, Zoom Interview, August 10, 2021)

Lack of Training and Development

This will always evolve as the business grows and team develops. There will be a need for more training and development with each stage that the social enterprise finds themselves in, therefore this dilemma is found in every stage of Kotter's 8-step change model. The social impact sector is learning, growing, and changing. The following excerpt highlights the elements of change from a public perspective in their own experience of when they started their enterprise 7 years ago to current day:

The education gap is probably actually the other most exciting thing to see is that people do understand now a lot more. I feel like when we first started, it was just blank stares, like what? And now guys have really become educated on the fact that where their products come from matter, and you know, they make an impact with their purchases or their life. (Terrence, Zoom Interview, August 10, 2021)

This gap decreases as time passes and the general consumer becomes more aware of their purchasing behaviors, but there is still this common thread of lack of readiness for the social entrepreneur.

Stage 2: Engaging and Enabling the Organization

The second stage of Kotter's 8-step change model, engaging and enabling the organization, includes the following steps:

- iv. communicate the vision
- v. empower action
- vi. create short term wins.

This stage involves gathering many people around a movement to create common opportunity and drive change. It involves removing barriers and generating real impact and then communicating progress and results to create short-term wins and energize all the individuals involved to keep persisting (Kotter, 1996). This stage represents “implementation” and the dilemmas found in the research that aligned with stage 2 of Kotter's 8-step change model was cross-cultural communication, cultural misalignment, and lack of training and development.

Cross-Cultural Communication

Cross-Cultural Communication is important to all key stakeholders across the social enterprise. This ranges from beneficiary to consumer to investors and to donors. This is important to understand the various facets of this communication. The following excerpt presents the importance of knowing how to communicate both social impact and profit as mutually exclusive and important, yet together.

And I think while it may be better today, I think that social entrepreneurs are still going to be facing this idea of communicating how every side of the business are important, and how the social impact is the goal and the profitability is the goal that it isn't either or these things aren't mutually exclusive. (Gary, Zoom Interview, August 10, 2021)

Cross-Cultural Communication barrier is also highlighted in Table 7. In this stage of change implementation, the social entrepreneur should be able to gather people around a movement and enact change. This is already a difficult task along with the added element of being in a different culture. This barrier of communication has a strong relationship with the theme of culture represented in the human capital resource gaps (see Table 4). Faith stated:

I mean, getting buy-in is always a challenge, right? Especially when you have such a diversity of opinions, right? And, and culture, right, like different diversity of culture, and everybody kind of getting on the same page. So getting buy-in is always a challenge. And, again, a lot of times you go in with one vision of what you think it should be, and that completely shifts. (Faith, Zoom Interview, August 10, 2021)

Cultural Misalignment

This dilemma supports the cross-cultural communication dilemma because culture is key to understanding a community and then being able to effectively communicate in the culture allows for stronger buy-in and local connections. When looking at Rogers' (2003) diffusion of innovation roles of a change agent, this stage of the change model includes the role of a change agent to create intent in the client to change and to translate an intent to action. This is when the change agent utilizes opinion leaders to motivate, inspire, and use the role of persuasion to move into this innovation-decision process (Rogers, 2003). Opinion leaders are important to the influence within the community. They help develop trust and credibility and this allows for the social entrepreneur to establish networks in the community by activating peer relationships as a change agent (Rogers, 2003). This is essential with enacting change and fighting against cultural barriers. As the change agent, coming from outside of their culture, this will always remain a challenge and Nicole reflected their understanding of this concept in their interview. She stated, "as far as local expertise, that's the biggest, and most important thing for us –is that we are always finding local experts that

can share this knowledge that can transition this knowledge” (Nicole, Zoom Interview, August 12, 2021). Additionally, it is important to not just create networks of opinion leaders, but also to build that trust and credibility. This starts with radically listening to the community and keeping in mind that even with time, the social entrepreneur will have an outside perspective and needs to respect the community through observing, learning, and gently serving. Gary expressed the importance of partners and utilizing networks to easily step in and align with community values. He expressed that “it’s hard to make a positive impact if you aren’t really closely aligned with folks in those communities” (Gary, Zoom Interview, August 10, 2021).

As displayed in Table 7, the dilemma represented by culture and keeping a stature to be open, present, and adoptive, was evident in Linda’s interview. This greater appreciation to culture and history was expressed in her response:

I will never understand the complexities of the beautiful Ugandan culture that we work with, and the people we work with, and their history, and the trauma from the war and everything. So, I think it just comes to us to be really open and really gentle. And just try to acknowledge their perspective and adopt it as much as we can as our own and walk alongside them. Because there can be many challenges in communication. (Linda, Zoom Interview, August 12, 2021)

Lack of Training and Development

Training and development are seen again in this phase of implementation but looks slightly different than in the creating phase. In this phase, the findings displayed characteristics like persistence, tenacity, and a hard-edged spirit to not intentionally give up. Table 7 highlights Molly’s reflection of understanding their lack of development, but realizing they had to keep fighting, learning, and growing:

Because I was 23 when I originated this, I did not know concepts and had no experience, I would remind myself that you have so much more power than you think you do. And you really do and can make impact in this space without all that expertise and networking, and to kind of just continue to fight for your own. (Molly, Zoom Interview, August 12, 2021)

Stage 3: Implementing and Sustaining for Change

The final stage of Kotter's 8-step change model, implementing and sustaining for change, engages the remaining steps:

- vii. build on the change
- viii. anchor the change

This third stage involves building on the foundation that was set in the previous stages to create successful change. It is about increasing credibility through improvement of systems and structures. It also continues to articulate connections so that there is continued success in the movement and change (Kotter, 1996). This stage represents "implementation." The dilemmas found in the research that best aligned with these steps of the model were financial connection and lack of training and development. As seen throughout the results and in Table 7, lack of training and development is present across all stages and steps. This resource of human capital is essential from the beginning and has great impact to the sustainability of an organization. Furthermore, this is also a financial capital resource. With a gap in this resource, it is very difficult to build on change and anchor the change if finances are inconsistent and lack steady growth to stability. Additionally, when looking at Rogers' (2003) roles of a change agent, it is about ensuring that the change is stabilized for cultural adoption and transformation. This phase focuses on building out sustainable models and it is the goal of the change agent to develop individuals by altering them from a position that starts out as fully reliant to a position of self-reliance, in the end transforming into future change agents

(Rogers, 2003). The social entrepreneur is the change agent and should drive these changes to be sustainable, but this can be a hard task to accomplish if there are resource gaps like financial capital (financial struggle) and human capital (training and development).

Financial Sustainability

There is a continuous struggle that exists among the participants in this study. The implications of the struggle to find financial sustainability stem from balancing profit, people, and purpose of the social impact cause. Social impact businesses typically have more expensive expenditures because of their standards, which overflows to the length of time it takes to reach financial viability and sustainability. Again, this struggle is recognized throughout all the interviews that were conducted and there continues to be that question of “how do we keep this sustainable?” (Tara, Zoom Interview, August 5, 2021). It was also mentioned by Olivia that their “organization went through a pretty serious financial crisis... fortunately, there were people in the community who believed enough in the organization that they rallied together to at least keep the doors open” (Olivia, Zoom Interview, August 6, 2021). This shows the power of community, but even after she gathered people together, they continue to have the struggle to rebuild, create efficient systems, and keep profitability for their other supplemental programs they offer in their business and community.

The social entrepreneurs who have been in the social impact sector for more than 10 years have incurred some large investments and debt. This financial sustainability struggle is consistent with participants like Tara, who desire to hire someone but cannot because of financial constraint. The struggle lies with working out of abundance with capital, while still having the financial struggle with growth and possessing the financial knowledge necessary for repayment. Sonja stated, “You’re taking on this immense lift, risk, capital intensive part of the project for the social impact, but it has massive financial implications. And so that was a huge struggle for us” (Sonja, Zoom Interview, August 18, 2021).

In Table 7, the example displayed regarding financial struggle and the dilemmas faced include managing smaller margins because, as the social entrepreneur, they are dedicated to fair wage and quality supply/product. This interview excerpt stated:

When you're dealing with using quality materials and paying people a fair wage, your margins are just going to be smaller, because you also have to be competitive in a very competitive marketplace. (Kellie, Zoom Interview, August 5, 2021)

Lack of Training and Development

As a human resource gap, development of leaders, staff, communities will always be needed. When looking at establishing a sustainable entity, there needs to be a development of leaders, and this starts with the change agent. For this longevity to be created, the social entrepreneur has to give staff the chance to grow, develop, and thrive in the social enterprise. Lily gave a beautiful example of a business in the social impact space giving one of their beneficiaries, a survivor of human trafficking, a chance to grow in skill training and growth into management. This shows trust, credibility, transformation, and characteristics to building a sustainable social enterprise. Lily displayed intentionality in comprehending the need for training and development especially when the community she serves and works in is with women coming from situations of abuse. She stated in her interview:

I would say our biggest one is just seeing the development of our staff. So, our first staff that was ever employed with us, she had been in a situation of abuse and exploitation, and she finally got the courage to leave. She joined us before we had any products, and we were learning how to make knotted rugs. We were terrible at it. But we were just figuring it out together. We quickly identified that she was really good at making things with her hands and then she was good at designing things. Today, she's been with us the whole duration of our companies five years. She's now the production manager, she assists in all of our designing. She is growing and she uses

her experience to train new staff as they come on and seeing her excel is awesome. I really believe all about upward mobility in the company. And almost everybody in management is a survivor. (Lily, Zoom Interview, August 12, 2021)

Research Question Three: When examining shared experiences, in what ways did human, social, or financial resource gaps cause dilemmas or challenges when creating, implementing, or sustaining change?

The results of this study identified 15 constraints in resource gaps presented across human, social, and financial capital. The themes that emerged within human capital included (a) communication, (b) cultural differences, (c) training/development, (d) business modeling, and (e) sustainability. The themes that emerged within social capital included (a) community, (b) inconsistent supply chain, (c) market access, (d) partnerships/networks, and (e) scaling/growth. The themes that emerged within financial capital included (a) finances to pay staff/expand operations, (b) finances to pay for marketing, (c) funding for growth, (d) financial struggle, and (e) overall strategy to profitability. The 15 themes that emerged among the resource gaps of human, social, and financial has helped inform where the biggest gaps, lack of resources, and dilemmas lay within Kotter's 8-step change model. These dilemmas included (a) cross-cultural communication, (b) culture misalignment, (c) financial sustainability, (d) inconsistent strategy, and (e) lack of training/development. Additionally, within each stage, there were a variety of challenges for social entrepreneurs presented that caused barriers when it came to creating, implementing, or sustaining change. In addition, the conceptual framework in Figure 1 displays the relationship between the Kotter's (1996) 8-step change model and Rogers' (2003) diffusion of innovation roles of a change agent. With the social entrepreneur as the acting change agent, this framework depicts where the resource gaps land in the process of implementing change and how it affects the start, growth, or scale

stages. To answer research question three, this section utilized the following guided questions from the interview protocol:

1. Additionally, have you seen those gaps reduce or increase as you have grown, scaled, or implemented new change in your business or community?
2. What does partnership, collaboration, and key stakeholders mean to you?
3. In your journey, what has been your biggest challenge you have had to overcome?

The previous section outlined Kotter's (1996) 8-step change model and answered research question two and gave insight into research question three. The intention of this section is to align the creating, implementing, and sustaining stages that is identified in Kotter's (1996) 8-step change model to the role as the change agent in Rogers' (2003) roles of a change agent. Table 7 displays the dilemma and an example of the dilemma, which is an interview excerpt retrieved from the data. It also aligns the information with the relationship it has with Kotter's (1996) 8-step change model.

Creating

The creating phase is the beginning of developing a vision and getting people involved behind that vision. It is the starting phase for beginners to implement change and create a social impact. Within this creating phase, Rogers (2003) highlighted three steps in the role as a change agent:

- Developing a need for change
- Developing an information-exchange relationship
- Diagnosing a problem

The dilemmas presented in this study under the phase of creating were (a) inconsistent strategy and (b) training and development. The social entrepreneur begins their journey here. This is where relationships are established, passions are formed into motivations, and visions are created. This research study identified the passion driven pursuit of the participants

through the first guided question of the interview protocol (see Appendix A). This question was (1) who are you and how did your journey begin in the social impact sector?

Through this question, it became evident that it was an experience of a trip, class, or opportunity that opened the participants' eyes to new relationships and endeavors. There is a common thread throughout the interviews of wanting to help with a certain issue, like Sonja explained when she pursued journalism. "I went to journalism school, was really interested in issues facing women and girls living in extreme poverty and in conflict and post conflict zones" (Sonja, Zoom Interview, August 18, 2021). Similar experience occurred with Lily, "I was in Asia, studying language, had been there for a few years, and I had a local friend...we were both interested in just serving women at risk women who had experienced abuse or exploitation" (Lily, Zoom Interview, August 12, 2021). Another commonality is seeing the need through the development of the relationship and then wanting to find a way to help or be involved. Valerie was certain in what career field she wanted to be in and then got connected to many organizations. She stated, "I started my career, knowing that I wanted to work in international development in some capacity, I ended up, after the 2008 market crash getting a job for a media company that serves the global development community" (Valerie, Zoom Interview, August 16, 2021). Again, Emma expressed her experience:

I moved to Ethiopia in 2002...we were doing language immersion and figuring out life in a new country. In the midst of that, I became friends with several women who lived in the refugee camp. They were pretty desperate...so just started being with the women and building friendships with them. (Emma, Zoom Interview, September 15, 2021)

And similarly, Molly was exposed to the red-light district through a school program. She shared:

And this whole journey started now, almost 11 years ago for us, after I took a class in graduate school called design for development at Rhode Island School of Design. And during that course, I got the opportunity to travel to India, and was introduced to an NGO, on the ground that were working with women in a red-light district. (Molly, Zoom Interview, August 12, 2021)

These experiences developed information-exchange relationships, that grew into diagnosing the problem and from that diagnosis, a passion grew into wanting to implement an action. Just as many of the participants in this study expressed “it started from passion...I never thought I would be an entrepreneur” (Lily, Zoom Interview, August 12, 2021) or we are “accidental fashion entrepreneurs” (Gary, Zoom Interview, August 10, 2021). They knew they needed to engage in some positive change that would be transformative. Tara reflected on Honduras and the realities “that you can't go and ignore the poverty. It's an extreme, it's extreme poverty. And so, through that, I began to think and ask the question, how can I respond to this?” (Tara, Zoom Interview, August 5, 2021)

Implementing

The implementing phase initially begins with engagement. This phase commences by enabling the organization through empowering action. This action begins when a vision comes to fruition in a community. Within the stage of implementing, the role of a change agent involves:

- Creating an intent in the client to change
- Translating an intent to action

The dilemmas presented in this study under the phase of implementing were (a) cross-cultural communication, (b) culture misalignment, and (c) lack of training and development. This is where the social entrepreneur journey continues as a change agent. They saw the problem and now there was a motivation to enact the change. This communication of vision and the

enactment of change was expressed in the vision of Molly as she explained in her interview, “that's where the sort of the idea started that identifying that beautiful craft and trying to harness a way of helping these women have gained market access” (Molly, Zoom Interview, August 13, 2021). This same sentiment is mentioned by Sonja:

I just started dreaming about like, what's a way that we could bridge this gap between high school and university and ideally do that in a commercially viable way create jobs, they can earn an income, they can learn skills, we can contribute to the local economy. And all of those things combined together ended up becoming [social enterprise name]. (Sonja, Zoom Interview, August 18, 2021)

The action of the change agent then moves to the next phase of sustaining.

Sustaining

The sustaining phase is where systems form, relationships take hold, and the community is anchored in the change. This is where adoption and stabilizing occur, and sustainability is enacted. Within the stage of sustaining, the role of a change agent involves:

- Stabilizing adoption and preventing discontinuance
- Achieving terminal relationship

The dilemmas were presented in this study under the phase of sustaining were (a) financial sustainability and (b) lack of training and development. This is where the social entrepreneur leaves a sustainable enterprise and pass on the role of a change agent, so long-term sustainability can occur in the community. In this research study, the 24 participants who took part in the study are still actively working on this sustaining phase. There are also constraints in the previous creating phase that have added to the difficulty of this phase for a change agent. It is evident the struggle of this phase through the participants of this study.

Gary stated:

One thing when it comes to challenges is this sort of idea of you know, what our impacts are, and what a long term or sustainable impact looks like versus a depth of impact, we ran into this issue, probably about eight to nine years into our work. Our whole focus was to provide job opportunities to very vulnerable people groups and it still is to this day, but in those earlier years, we were putting so much focus on the job creation side that we almost buried our business. (Gary, Zoom Interview, August 10, 2021)

Another similar statement of sustainability challenges was mentioned by Valerie when discussing sustainable business model, sales, and personal definition of what sustainable production look like for the social entrepreneur. The differing practices will also change costs, efficiencies, and staffing. Valerie discussed about understanding how “they reach their endpoint consumer and do it in a way that can sustain their growth. The other resource gap is really around defining what is ethical and sustainable production” (Valerie, Zoom Interview, August 16, 2021). She continued in her interview, processing how “a major resource gap for brands is to really understand how they can build the most sustainable company possible” (Valerie, Zoom Interview, August 16, 2021).

In summary, the creating phase has a dilemma of inconsistent strategy and lack of training and development. Although that was seen in this research to cause challenges, it does not stop the social entrepreneur from moving on to the implementation phase. In the implementation phase, the dilemmas were cross-cultural communication, cultural misalignment, and lack of training and development. The participants in this research study are in this phase as change agents and working towards the sustaining phase. As the change agent moves through phases, the dilemmas build on one another making it more difficult to create sustainability. Aligning a clear strategy, communication, understanding of culture and

expectations, training and development, and financial resources are pertinent for the social entrepreneur to pass their role as a change agent to an opinion leader of the community.

Younger Self-Reflection

In the interviews, the researcher also presented a question regarding self-reflection of the participants. The question from the interview protocol (see Appendix A) asked the participants to offer advice to their younger selves. The answers brought up characteristics of persistence, tenaciousness, gentleness, strength, and an aligned confidence to their purpose. It also brought up feelings of a lack of focus when they were younger, fear, imposter syndrome, and the desire to be more intentional in one area of the social impact space. Emma expressed, “I think I felt a lot of fear. Do we keep going? Is this a risk? So, to my younger self, I would say yeah, keep going, keep going (Emma, Zoom Interview, September 15, 2021). The same sentiment of fear was seen with Jody as she stated, “You don’t ever want to not do something because of fear, so just throw yourself into it, you’ll figure it out (Jody, Zoom Interview, August 13, 2021). With fear, also comes focus. In his interview, Jody shared his advice to his younger self:

I would say be honest with and understand the things that you're good at and do those more sooner. I think for so long, all of us as entrepreneurs, you know, in one way, shape, or form, you know, you are a leader, you're lead, if you're founding an organization, you know, you have a lot of responsibility, you have a lot of ideas of what you think that means. I know that for me, I was reading every book on organizational structure, culture, management, all these sorts of things, thinking, I had one idea of what a sort of CEO of a business or nonprofit meant. And I think I was chasing after this idea of what I thought I should be doing versus the places where that I could actually add the most value. And as part of that, it's just the things that we all have to go through as we as we are figuring out, where we add value and what the

what the model is that we're doing. But the sooner that we can be honest with ourselves and sort of our, you know, closest teammates, or the people who are building with us and divide and conquer, the better off our organizations will be.

(Gary, Zoom Interview, August 10, 2021)

Although Barbara expressed having numerous ideas, she tried her best to “stay focused” (Barbara, Zoom Interview, August 16, 2021). Concerning another area of focus, Mia stated to her younger self, “just take a step back from what other people are doing or saying, because that's not your story. And you need to you need to walk in your own story” (Mia, Zoom Interview, August 9, 2021). This expression was a fight against comparison in the sector and staying focused on herself as the entrepreneur and the skills she was good at. In the end, this question of giving advice to your younger self yielded insights to the bigger fight and purpose that social entrepreneurs represent and work towards every day. As the social entrepreneur, who is acting as the change agent, to keep motivation and drive, there needs to be an initial desire to “find what you love and do what you love” (Stacey, Zoom Interview, August 13, 2021).

Summary of Findings

Social entrepreneurs participating in this study shared their experiences around starting, growing, and sustaining their social impact business. The information gathered from the participants’ interviews highlighted resource gaps, implementing change, and dilemmas as a leader to answer the three research questions that were presented:

1. What are the main challenges in leading a social enterprise that align with human, social, and financial capital resource gaps?
2. When initiating change represented in Kotter’s 8-step model, which steps incur the biggest gaps, lack of resources, and dilemmas for the change agent or social entrepreneur?

3. When examining shared experiences, in what ways did human, social, or financial resource gaps cause dilemmas or challenges when creating, implementing, or sustaining change?

The results of this study identified 15 themes within the resource gaps of human capital, social capital, and financial capital. In summary, the themes that emerged within human capital included (a) communication, (b) cultural differences, (c) training/development, (d) business modeling, and (e) sustainability. The themes that emerged within social capital included (a) community (i.e., feeling isolated), (b) inconsistent supply chain, (c) market access, (d) partnerships/networks, and (e) scaling/growth. The themes that emerged within financial capital included (a) finances to pay staff/expand operations, (b) finances to pay for marketing, (c) funding for growth, (d) financial struggle, and (d) overall strategy to profitability. These themes that were formed from the resource gaps helped identify the challenges and dilemmas when creating, implementing, and sustaining change for a social enterprise. The five thematic dilemmas that emerged were organized in each stage of Kotter's (1996) 8-step change model. The first phase of "create a climate for change" included inconsistent strategy. The second phase of "engaging and enabling the organization" included cross-cultural communication and cultural misalignment. The third stage of "implementing and sustaining change" included financial sustainability. Throughout all three stages, the dilemma of training and development was present as this evolves with growth of the social enterprise and the individuals who make up the workforce and community. As the role of the change agent, it was evident from this research study that the 24 participants included in this study witnessed the most dilemmas in the implementing phase and sustaining phase. As the change agent grows, the dilemmas do not change per phase; they only reduce or increase dependent upon the social entrepreneur and how they have engaged in the five thematic dilemmas that emerged in this study. As mentioned previously, if a clear strategy,

communication, understanding of culture and expectations, training, development, and financial resources align, then the social entrepreneur will be able to pass their role as a change agent among an opinion leader of the community. It is these major dilemmas that need to be developed for sustainable change to take place and for the change agent to be successful in their role. The following chapter will discuss the results of this research including implications of findings, directions for future research, and limitations of the study.

CHAPTER V

CONCLUSIONS

Purpose of the Study

The purpose of this conventional content analysis was to understand the dilemmas in implementing change for social entrepreneurs that stem from the presented resource gaps. The information that was obtained through this research will help the social impact sector understand the resource gaps that cause dilemmas in change implementation. This knowledge aids in strategy, leadership development, and sustainability for social entrepreneurs.

Research Questions

The following research questions were developed to guide this study:

1. What are the main challenges in leading a social enterprise that align with human, social, and financial capital resource gaps?
2. When initiating change represented in Kotter's 8-step model, which steps incur the biggest gaps, lack of resources, and dilemmas for the change agent or social entrepreneur?
3. When examining shared experiences, in what ways did human, social, or financial resource gaps cause dilemmas or challenges when creating, implementing, or sustaining change?

Implications and Recommendations

The interviews expectedly revealed a complexity to social entrepreneurship and supported the review of literature in many aspects. The social entrepreneur is focused on leveraging good in their business and is driven by purpose, so the interviews were filled with passion, heart, and beautiful stories. Many of the interviews focused on the slow growth and struggle of finances. For me, most surprising was the lack of strategy moving forward. Even after years of being in the enterprise, only a few entrepreneurs seemed confident their

business model would bring sustainability. Accordingly, business modeling was a topic of discussion in the interviews and highlighted the human capital constraints based on the knowledge and training of the social entrepreneur. However, the lack of understanding of the “why” behind choosing that model still existed. Many of the social entrepreneurs in this study chose their business model because based on what they just felt was best, although little to no research was put into understanding the implications of choosing their model. The lack of training and development seemed to be a common thread not only upon the beneficiaries or communities that the social entrepreneur was working among, but also within themselves. Along with training and development was communication and culture. Since these social entrepreneurs have enterprises in regions around the world, many of the social capital constraints had to do with lack of community, various expectations of culture, and challenges in running a global business suffering from inconsistency of supply chain and market access. When this study was first being developed, I viewed the capital resources as different fields: human, social, and financial; however, as the study progressed, my attention focused on the crossover these resources had with one another. For example, if there is a human capital constraint of communication and culture, then this plays a part in the social capital constraint of community, partnerships, and even the relationship with the supply chain. Contrarily, if there is an overall financial struggle and the capital is not in place to run the social enterprise effectively, then this affects the overall sustainability, ability to scale or grow, and the strategy around profitability. I started this study observing these resources separately, but the reality is they are all interwoven and directly affect how the social entrepreneur leads as a change agent and implements change.

This research study included 24 social entrepreneurs. Of the 24 social entrepreneurs, there were three sets of co-founders. As a result, a total of 21 social enterprises were represented in this study. The social entrepreneurs who were interviewed were open with

their answers and gave honest responses to the best of my knowledge. Although I was not surprised in their transparency, it was refreshing that they felt a safe place to share their experiences in this research. These interviews have given insight to the social impact field and given knowledge to how to better understand the common gaps of resources. Due to these resource constraints, the dilemmas occurred in various stages of a social enterprise.

In the following section, I will discuss my interpretations of the research findings. First, I will expand on the human capital, social capital, and financial capital resource gaps and the themes that were presented as barriers, challenges, or overall gaps in the social impact sector. Second, I will expand on Kotter's (1996) 8-step change model and the dilemmas faced by the social entrepreneur, who is the acting change agent in this study. The thematic dilemmas that emerged were (a) cross-cultural communication, (b) culture misalignment, (c) financial sustainability, (d) inconsistent strategy, and (e) lack of training/development. These topics represent the most common dilemmas that naturally came from the data.

Research Question One Conclusions

Research question one's goal was to identify the main challenges in leading a social enterprise that align with the gaps presented. The qualitative interviews gave insight to human, social, and financial capital constraints. In these three resource gaps presented, there were five themes that emerged from each.

Human capital

Human capital encompasses the knowledge, training, and skills acquisition that a leader has available that can be a challenge due to internal resource shortage (Becker, 1975; Dimov & Shepherd, 2005; Harris & Kor, 2013). The themes that emerged and represented the gaps in human capital were (a) communication, (b) cultural differences, (c) training/development, (d) business modeling, and (e) sustainability. When the research began,

human capital was assumed to be in the lens of training and development only and as the interviews continued, the other themes that caused challenges and barriers emerged. When discussing elements of human capital, communication was a common area of focus. Communication is key in any relationship but is especially essential when running a business as a social entrepreneur. They must incorporate both nonprofit and for profit themes and deliver this complex message to a variety of stakeholders, including customers, investors, employees, volunteers, the media, and beneficiaries (Mason et al., 2007; Morris et al., 2007; Roundy, 2014). The additional element present in most interviews was the complexity to communicate to the beneficiaries of the social enterprise. This added a cultural dimension that involved a language barrier, as well as varying expectations and complications in system efficiencies. Out of the 24 social entrepreneurs, 19 shared their thoughts regarding communication and culture being a challenge in all aspects of the business. Communication and cultural differences are interwoven when it comes to complex challenges faced by the entrepreneur. To not understand a culture and to intentionally decide not to take the time to learn language, traditions, or custom norms creates continuous challenges in the human capital realm (Dacin et al., 2010; Moses & Sharma, 2020). Along with these two themes, training and development was continuously mentioned in all the shared experiences discussed in the interviews. In the social impact sector, there is a lack of support in knowledge, skills, and competencies. Also present is the need to overcome these gaps through training and development (Bencheva et al., 2018). In addition, training and development are important elements in building confidence as well as improving skills and abilities (Jahanzeb & Bashir, 2013). This training did not only include the community served by the business and the beneficiaries directly impacted, but also included themselves as the social entrepreneur. Training and development were mentioned by 19 out of the 24 social entrepreneurs as something needed where funding should be properly budgeted for and utilized. This human

capital resource of training and development of staff and self-seemed to be lacking in most experiences presented. Business modeling and sustainability emerged as a major gap and lack of understanding on the proper steps to take. When running a social enterprise, this involves pursuing a social issue while looking at developing a market exchange for profit (Litrico & Besharov, 2019). Historically, social enterprises are balancing nonprofit tendencies and ideologies while also taking new approaches to solving social issues (Battilana & Lee, 2014). These two thematic challenges, business modeling and sustainability, aligned with social and financial capital resources. Out of the 24 social entrepreneurs, 20 shared the lack of knowledge in business and overall in-depth understanding of how to achieve sustainability. They also questioned if their current business model was the right vehicle to support sustainability. Sustainability, a common word used in the social impact space, is a concept that takes longer to attain than a traditional business and poses problems when striving for organizational sustainability (Foster & Bradach, 2005; Moizer & Tracey, 2010). During this portion of the interviews, I observed the respondents, and many seemed intimidated by this question and a bit hesitant when asked about their business modeling. This was not because of their unwillingness to share, but rather due to the lack of understanding of why they chose the model in the first place. As previously mentioned, many chose their model because that is all they knew. They did not anticipate the potential limitations or constraints of their model due to a lack of research and comprehension. In the end, the resources seen in human capital were identified as constraints and gave insight to the overlap of capital. Prior to being viewed as separate capital constraints that acted alone, the reality is each capital resource whether human, social, or financial is interwoven in how it affects the social entrepreneur's venture and long-term vision.

Social Capital

Social capital is seen as the network and affiliations to key stakeholders (Westlund & Gawell, 2012). The themes that emerged and represented the gaps in social capital were (a) community, (b) inconsistent supply chain, (c) market access, (d) partnerships/networks, and (e) scaling/growth. Community is the foundation for the other themes in social capital. The importance of community and feeling a part of a movement is important for the social entrepreneur as much as it is the beneficiary involved. There were 19 out of the 24 individuals who talked about community in the aspects of not feeling alone. The other themes stemmed from this communal piece because if there was a lack of community, then there were more gaps and inconsistencies being found in the supply chain. The lack and inconsistency of supply, like raw materials depended on the resource viability of the country. Also, with lack of community, came a lack of understanding and connections to market accessibility. In any business, finding your customer and market access is essential to growth in profitability (Jenner, 2016), so when you have a product that is handmade, which creates a slower process plus an enterprise that cares just as much for its people as it does on the production of a product, this will automatically slows production and creates capacity issues (Diochon & Anderson, 2009; Yitshaki et al., 2009). This makes it hard for these entry level social enterprise brands to compete with the big retailers that can carry a product of the same aesthetic, but for half of the price in a larger capacity and faster production speed. This market access battle will always be a part of the growing pains of a social entrepreneur and a gap that will need to be navigated when growing, scaling, and implementing change (Kotter, 1996). With lack of community, there seemed to be a minimum number of partners, which directly influenced the scale and growth of the social enterprise. Social capital is grounded in community and then expands with networks and affiliations. The interviews also documented the importance of these partnerships/networks. Instead of trying to reinvent the wheel, isolate

and have a lack of community and partnership, entrepreneurs in the social impact space have learned to leverage one another's skills and strategically partner in their impact and business. Hence, realizing that alliances and partnership are key influences to growth and sustainability of any small business (Davidsson et al., 2010; Hansen & Hamilton, 2011). Although partnership and networking have evolved over the last decade, it was still very common for entrepreneurs in the social impact sector to isolate themselves from community. Even in the early 2000s, this was a new movement, and many entrepreneurs held tight to their purpose, cause, and did not want to share resources. With social enterprises still evolving and more social entrepreneurs developing, community has become an important resource and when this is lacking it causes a barrier to growth. To grow and scale, the enterprise must first be sustainable of profits and impact. This, at times, is a very challenging aspect in the social impact sector and many enterprises struggle with having an innovative business model (Sparviero, 2019), while also scaling up their impact activities. On the other hand, social entrepreneurs are changing the narrative and redefining business. Profits and impact are known to have their "effectiveness as two distinct entities which are necessarily in conflict with one another; rather than exist in synergy" (Moizer & Tracey, 2010, p. 264).

Financial Capital

The themes that emerged and represented the gaps in financial capital included (a) finances to pay staff/expand operations, (b) finances to pay for marketing, (c) funding for growth, (d) financial struggle, and (e) overall strategy to profitability. For the social entrepreneur, there is a lack of training and understanding of business, capital raising, and long-term sustainability strategy (Coburn & Rijdsdijk, 2010; Hyde, 2008; Jenner, 2016; Mair & Marti, 2006). It is not unique for a social entrepreneur to have a gap in financial capital. Entrepreneurs are always trying to be innovative, creative, and gain capital to grow their businesses in the most efficient way possible. What was seen as unique in this study was the

continuous financial struggle even as the social enterprise developed. Financial capital represents the funds that it takes to run the business, grow the business, scale the business, and then be able to make a positive social impact by leveraging profits for good (Clarkin, 2014; Cooper et al., 1994; Kickul & Lyons, 2020). This struggle was not just present in the early-stage social entrepreneurs, but there was still a struggle and fight for sustainability with the social entrepreneurs who have been in the social impact space for over 7 years. In the interviews conducted, 21 out of the 24 social entrepreneurs discussed financial struggles and the intricacies that came with these struggles. With the financial struggle, came the other development of themes when it comes to sustainability and steps to profitability. There were gaps in funding for paying staff and expanding operations. Regarding staff pay, this was mainly because social impact businesses provide dignified work and pay fair wages. The 10 social entrepreneurs who touched on paying staff or expanding of operations focus on paying monthly salaries to their team instead of contracting or by piece work, which adds another level of commitment and overflows into the financial struggle of the entire venture. It increases budget and commitment to the community and people. The other theme that presented itself was funding for marketing. In any business, obtaining market access and having brand awareness is important to converting customers to sales (Momany & Alshboul, 2016). This theme also directly links to the other following thematic constraints, such as financial resource capital, funding for growth, and strategy to profitability. Thirteen of the 24 entrepreneurs also mentioned funding for growth, which is linked back to business modeling in human capital resources. Starting any business takes initial capital and strategy (Hynes, 2009). Funding for growth entails a raising capital, which involves key stakeholders. In this case, those stakeholders can be seen as donors or investors. When the social entrepreneurs of this study shared their experiences about business modeling, many felt lost in how to raise money for growth. This has continued to be a barrier for those social entrepreneurs who have

changed their model and approach during the process. Many of the participants in this study exhibit the behavior of feeling stuck in a model. However, the reality is at any moment, with the right steps, the model could easily change. This was presented as a challenge for most social entrepreneurs after interviews were conducted.

Once resource gaps were identified, there were five thematic dilemmas that emerged as constraints in resources and common barriers that tend to show up in the three phases of Kotter's (1996) 8-step change model. These included (a) communication, (b) culture, (c) financial struggle, (d) inconsistent strategy, and (e) training and development.

Research Question One Implications

Research question one has several implications after identifying the challenges that emerged as themes under each resource constraint. It is not merely the human, social, and financial constraints that cause dilemmas, but it is also the intricacies the challenges present. For social entrepreneurs to anticipate the needs and to be proactive in strategy, there needs to be more training and development first for the social entrepreneur. The results of this study indicated that the training and development was also for internal staff. This is reflective of the participant's first-year criteria and would be essential for the entrepreneur to have training.

Research Question Two Conclusions

Research question two explored initiating change as represented in Kotter's (1996) 8-step model. The interviews were conducted to determine which steps incur the biggest gaps, lack of resources, and dilemmas for the change agent or social entrepreneur. This study found that the biggest gaps were found in engaging and enabling the organization as well as implementing and sustaining change stages of Kotter's (1996) 8-step model. Within this model, resources lacked in empowering others to act on the vision, anchoring the change, and building on the change. Lack of resources was found in the lack of human, social, and financial capital. The themes that emerged within human capital included (a) communication,

(b) cultural differences, (c) training/development, (d) business modeling, and (e) sustainability. The themes that emerged within social capital included (a) community, (b) inconsistent supply chain, (c) market access, (d) partnerships/networks, and (e) scaling/growth. The themes that emerged within financial capital included (a) finances to pay staff/expand operations, (b) finances to pay for marketing, (c) funding for growth, (d) financial struggle, and (e) overall strategy to profitability. In the end, these themes gave insight to the five key dilemmas, which were (a) inconsistent strategy, (b) culture, (c) communication, (d) financial struggle, and (e) lack of training and development. It was from these dilemmas that helped answer research question three of this study.

Research Question Two Implications

It is evident that the stages of implementing and sustaining change is the most challenging in the social entrepreneur's journey. The results of this study imply that by focusing on the challenges of each resource construct, it may be possible to alleviate these pain points. As mentioned in Chapter 4, I began this study thinking that human capital, social capital, and financial capital challenges ran independently of one another. This research brought clarity to this presumption. All these constructs are interwoven with one another. Although the social entrepreneur could focus on their challenge of communication or culture, they will eventually need to pay attention to the tension of finances and how that also hinders their market access and overall training. All of these align with one another. If communication is struggling both internally or externally, then this will affect supply chain, market access, partnerships, and growth. All those challenges presented in social capital will greatly affect the financial health of the enterprise and the strategy to profitability. Just as social entrepreneurs are driven by purpose and take a holistic approach, this research study implies that the lack of resources presented need a holistic approach moving forward. As training and development programs emerge specifically for impact and business to cohesively

work together, programs need to look at the whole process, so the social entrepreneur is equipped with the right knowledge, skill, and financial capital to implement and sustain effectively.

Research Question Three Conclusions

Research question three explored shared experiences to understand in what ways human, social, or financial resource gaps cause dilemmas or challenges when creating, implementing, or sustaining change. It was evident from the results of this research study that the 24 participants witnessed the most dilemmas in the implementing phase and sustaining phase. As the change agent grows, the dilemmas do not change per phase; they only reduce or increase dependent upon the social entrepreneur and how they have engaged in five thematic dilemmas that emerged in this study. To conclude, the five thematic dilemmas that emerged were organized in each stage of Kotter's (1996) 8-step change model. The first phase of "create a climate for change" included inconsistent strategy. The second phase of "engaging and enabling the organization" included cross-cultural communication and cultural misalignment. The third stage of "implementing and sustaining change" included financial sustainability. Along with the stages of Kotter's 8-step change model, a change agent also has a role in each stage. Figure 1 shows the conceptual framework, which displays the relationships between Kotter's (1996) 8-step change model and Rogers' (2003) diffusion of innovation roles of a change agent.

It was concluded that most of the dilemmas happen in the implementing and sustaining stage. This does not imply that there are not challenges in the creating stage, it only suggests that the participants in this study found that implementation of change and then sustaining that change is the most challenging. This is directly related to the themes that emerged as challenges among human, social, and financial resource gaps.

Research Question Three Implications

Research question three built upon research question two and gave insight to the fact that no gap caused more dilemmas than the other. Human capital, social capital, and financial capital were more interwoven than expected and if one resource lacked, then it affected another and brought forth challenges. The results of this research implies the need for more training and development for social entrepreneurs. By giving the social entrepreneur, who is the acting change agent, more training, knowledge, and skills will help equip them to also understand how to be more strategic and mindful of the financial constraints. In the end, human capital and social capital can be taught, or skill-attained through the proper infrastructure built for social entrepreneurs. These programs are beginning to emerge, but there is still a lot of work to be done in this area to provide social entrepreneurs the right tools to be successful and less misunderstood.

Recommendations for Research

This research provided a clearer understanding about the resource gaps identified for social entrepreneurs and understand the challenges met when implementing change that are felt across the sector. The study has helped gain clarity about the nature of issues faced by social entrepreneurs. These findings are rooted in Kotter's (1996) 8-step change model and aligned with the roles of a change agent from Rogers' (2003) diffusion of innovation. In conjunction with the limitations mentioned in Chapter 1, I would first broaden the perspective of the representation of social entrepreneurs. Another study with the same interview protocol could be undertaken, but with participants of social entrepreneurs from a variety of business sectors. This would give insight to resource capital constraints seen in human capital, social capital, and financial capital across various sectors to discover similarities or differences depending on the business. This study was mainly focused on global artisan brands, so the

resource constraints could possibly vary or be similar depending on the capital being investigated.

Another recommendation would be to extend the research to a mixed methods or quantitative study to find a way to be able to measure the duration of time in relation to the gaps and resources and measure the relationship between time, knowledge gained, and growth in the overall social enterprise. Moreover, there are many extensions to this research that could be pulled into smaller, more granular studies that focus on depth versus such a broad sphere of knowledge that this study represented between resource gaps, change model, and the role of a change agent.

Lastly, there could possibly be an intervention program that could be created. This could be conducted as a quasi-experimental study comparing enterprises that participated in the intervention versus potentially enterprises that did not.

Recommendations for Practice

Over the last decade, there has been research presented on understanding the characteristics of a social entrepreneur or the complexity of profit and social impact being in presented in one entity (Austin et al., 2006; Germak & Singh, 2010). Although the actual dilemmas, pain points, or challenges the entrepreneur faced is limited when looking at shared experiences. This study gives insight into human capital, social capital, and financial capital in relation to a social entrepreneur's journey. From the 15 themes that were presented as challenges within each resource capital area, there were five dilemmas identified that aligned with the change model. These dilemmas created clarity around where the biggest challenges lied in implementing change. This research presented that there can be dilemmas in phases. Those phases include:

1. Create a climate for change
2. Engaging and enabling the organization

3. Implementing and sustaining change

With the knowledge of resource gaps and constraints, future social entrepreneurs can be better prepared and be able to plan for these phases. It is foundational to social entrepreneurs that there is this social cause that is a driving force of motivation (Germak & Singh, 2010). As a result of this motivational drive, there is little support of strategy which leads to inconsistencies and ambiguity that seem to be common among younger entrepreneurs and businesses (MacMillan & Thompson, 2013). If it is known that inconsistent strategy hinders the first phase of creating the change, then it can be inferred that a strategic plan is probably a good place to start. Also, considering that opinion leaders are pivotal because they directly help influence individuals in that community, and because of their position, trust and credibility have already been established (Flynn et al., 1994). This allows for the social entrepreneur to establish networks in the community by activating peer relationships as a change agent (Rogers, 2003). On the other hand, if cross-cultural communication and cultural misalignment affect the implementation of the social change and impact, then it is seen as equally important to understand the culture and community and find proactive ways to navigate the communication challenges. Of course, there will always be communication barriers through growth, but this research helps identify a few of these pain points to help alleviate challenges for future or even current social entrepreneurs in the social impact sector. Furthermore, there must be an understanding of finances and training and development to create sustainability and long-lasting transformation in the sector. The finances from starting a social enterprise look much different than a traditional business because of the social impact implications (Blundel & Lyon, 2015; Dart, 2004; Reis & Clohesy, 2001). Fair wages, quality supply, are all important for the social entrepreneur. Due to these different priorities, a social entrepreneur must take a different path concerning raising capital, cash flow tendencies, and overall, the business bottom line is more expensive (Scott & Teasdale, 2012).

The findings of this research study will continue to inform the social impact sector and help provide knowledge to fill the resource gaps. They will also offer insight of how to best serve social entrepreneurs to aid in resources, such as continued growth in knowledge, skills, and abilities, or funding. The social impact sector is always growing and evolving, and this study is essential to helping mend the gap in resources among entrepreneurs and point them in the right direction before resource constraints are felt. There are now solutions or documentation of potential gaps that social entrepreneurs are likely to face. Social entrepreneurs, leaders, change agents, and social enterprises, whether a nonprofit or for profit, will benefit from this study by gaining the knowledge of resource gaps in human, social, and financial capital constraints.

REFERENCES

- Abu-Saifan, S. (2012). Social entrepreneurship: Definition and boundaries. *Technology Innovation Management Review*, 2(2), 22–27. <https://doi.org/10.22215/timreview523>
- Adner, R., & Helfat, C. E. (2003). Corporate effects and dynamic managerial capabilities. *Strategic Management Journal*, 24(10), 1011–1025. <https://doi.org/10.1002/smj.331>
- Alvord, S. H., Brown, L. D., & Letts, C. W. (2004). Social entrepreneurship and societal transformation. *The Journal of Applied Behavioral Science*, 40(3), 260–282. <https://doi.org/10.1177/0021886304266847>
- André, R. (2015). Benefit corporations at a crossroads: As lawyers weigh in, companies weigh their options. *Business Horizons*, 58(3), 243–252. <https://doi.org/10.1016/j.bushor.2014.12.002>
- Austin, J., Stevenson, H., & Wei-Skillern, J. (2006). Social and commercial entrepreneurship: Same, different, or both? *Entrepreneurship Theory & Practice*, 30, 1–22. <https://doi.org/10.5700/rausp1055>
- Bacq, S., Hartog, C., & Hoogendoorn, B. (2016). Beyond the moral portrayal of social entrepreneurs: An empirical approach to who they are and what drives them. *Journal of Business Ethics*, 133(4), 703–718. <https://doi.org/10.1007/s10551-014-2446-7>
- Barney, J. (1991). Firm resources and sustained competitive advantage. *Journal of Management*, 17, 99–120.
- Baron, R., & Markman, G. (2000). Beyond social capital: How social skills can enhance entrepreneurs' success. *Academy of Management Perspectives*, 14(1), 106–116. <https://doi.org/10.5465/ame.2000.2909843>
- Barraket, J., Collyer, N., O'Conner, M., & Anderson, H. (2010). *Finding Australia's social enterprise sector: Final report*. Australian Centre for Philanthropy and Nonprofit

Studies.

https://library.bsl.org.au/jspui/bitstream/1/1926/1/Finding_Australias_Social_Enterprise_Sector.pdf

- Bassi, A. (2014). David Billis: Hybrid organizations and the third sector: Challenges for practice, theory and policy. *Nonprofit Policy Forum*, 5(2), 395–401.
<https://doi.org/10.1515/npf-2014-0015>
- Battilana, J., & Dorado, S. (2010). Building sustainable hybrid organizations: The case of commercial microfinance organizations. *Academy of Management Journal*, 53(6), 1419-1440. <https://doi.org/10.5465/amj.2010.57318391>
- Battilana, J., & Lee, M. (2014). Advancing research on hybrid organizing—insights from the study of social enterprises. *Academy of Management Annals*, 8(1), 397–441.
<https://doi.org/10.1080/19416520.2014.893615>
- Battilana, J., Lee, M., Walker, J., & Dorsey, C. (2012). In search of the hybrid ideal. *Stanford Social Innovation Review*, 10(3), 51–55.
- Becker, G. (1975). *Human capital*. Columbia University Press.
- Bekmukhambetova, A. (2021). Comparative analysis of change management models based on an exploratory literature review. *New Horizons in Business and Management Studies*. https://doi.org/10.14267/978-963-503-867-1_10
- Bencheva, N., Stoeva, T., & Todorova, S. (2018). Key skills and competences for social business advisors: Views from experts. *International Journal of Organizational Leadership*, 7(4), 413–425. <https://doi.org/10.33844/ijol.2018.60282>
- Berg, B. L., & Lune, H. (2012). *Qualitative research methods for the social sciences* (8th ed.). Pearson.

- Blundel, R. K., & Lyon, F. (2015). Towards a “long view”: Historical perspectives on the scaling and replication of social ventures. *Journal of Social Entrepreneurship*, 6(1), 80–102. <https://doi.org/10.1080/19420676.2014.954258>
- Bocken, N. M. P., Short, S. W., Rana, P., & Evans, S. (2014). A literature and practice review to develop sustainable business model archetypes. *Journal of Cleaner Production*, 65, 42–56. <https://doi.org/10.1016/j.jclepro.2013.11.039>
- Boons, F., & Lüdeke-Freund, F. (2013). Business models for sustainable innovation: State-of-the-art and steps towards a research agenda. *Journal of Cleaner Production*, 45, 9–19. <https://doi.org/10.1016/j.jclepro.2012.07.007>
- Bornstein, D. (2004). *How to change the world: Social entrepreneurs and the power of new ideas*. Oxford University Press.
- Boyatzis, R. E. (1998). *Transforming qualitative information*. Sage: London
- Bradford, A., Luke, B., & Furneaux, C. (2020). Exploring accountability in social enterprise: Priorities, practicalities, and legitimacy. *International Journal of Voluntary and Nonprofit Organizations*, 31, 614–626. <https://doi.org/10.1007/s11266-020-00215-8>
- Brown, A., Garguilo, S., & Mehta, K. (2011). The relentless pursuit of financial capital for micro-enterprises: Importance of trust and social capital. *International Journal for Service Learning in Engineering*, 6(2), 78–97. <https://doi.org/10.24908/ij sle.v6i2.3660>
- Burnes, B. (2020). The origins of Lewin’s three-step model of change. *The Journal of Applied Behavioral Science*, 56(1), 32–59. <https://doi.org/10.1177/0021886319892685>
- Casson, M. (2003). *The entrepreneur: An economic theory*. Edward Elgar Publishing.
- Certo, S. T., & Miller, T. (2008). Social entrepreneurship: Key issues and concepts. *Business Horizons*, 51(4), 267–271. <https://doi.org/10.1016/j.bushor.2008.02.009>

- Chang, A. M. (2019). *Lean impact: How to innovate for radically greater social good*. John Wiley & Sons.
- Charmaz, K. (2008). Constructionism and the grounded theory. In J. A. Holstein & J. F. Gubrium (Eds.), *Handbook of constructionist research* (pp. 397–412). The Gilford Press. <https://doi.org/10.1037/e493882008-001>
- Clarkin, J. E. (2014). Crowdfunding, foundations, and impact investors as sources of financial capital for social entrepreneurs. *Theory and Empirical Research in Social Entrepreneurship*, 191–220. <https://doi.org/10.4337/9781782546832.00013>
- Coburn, J., & Rijdsdijk, R. (2010). *Evaluating the success factors for establishing a thriving social enterprise in Scotland*. Edinburgh: Scottish Executive.
- Conroy, T., & Weiler, S. (2019). Local and social: Entrepreneurs, information network effects, and economic growth. *The Annals of Regional Science*, 62(3), 681–713. <https://doi.org/10.1007/s00168-019-00915-0>
- Cooper, A. C., Gimeno-Gascon, F. J., & Woo, C. Y. (1994). Initial human and financial capital as predictors of new venture performance. *Journal of Business Venturing*, 9(5), 371–395. [https://doi.org/10.1016/0883-9026\(94\)90013-2](https://doi.org/10.1016/0883-9026(94)90013-2)
- Creswell, J. (2013). *Qualitative inquiry and research design: Choosing among five approaches*. Sage.
- Dacin, P. A., Dacin, M. T., & Matear, M. (2010). Social entrepreneurship: Why we don't need a new theory and how we move forward from here. *Academy of Management Perspective*, 24(3), 37–57. <https://doi.org/10.5465/amp.2010.52842950>
- Dacin, M. T., Dacin, P. A., & Tracey, P. (2011). Social entrepreneurship: A critique and future directions. *Organization Science*, 22(5), 1203–1213. <https://doi.org/10.1287/orsc.1100.0620>

- Dart, R. (2004). The legitimacy of social enterprise. *Nonprofit Management and Leadership*, 14(4), 411–424. <https://doi.org/10.1002/nml.43>
- Davidsson, P., Achtenhagen, L., & Naldi, L. (2010). What do we know about small firm growth? *The Life Cycle of Entrepreneurial Ventures*, 361–398. https://doi.org/10.1007/978-0-387-32313-8_13
- De Carolis, D. M., & Saporito, P. (2006). Social capital, cognition, and entrepreneurial opportunities: A theoretical framework. *Entrepreneurship Theory and Practice*, 30(1), 41–56. <https://doi.org/10.1111/j.1540-6520.2006.00109.x>
- Dees, J. G. (1998). Enterprising nonprofits. *Harvard Business Review* 76(1), 55–66.
- Dees, J. G. (2008). Philanthropy and enterprise: Harnessing the power of business and social entrepreneurship for development. *Innovations: Technology, Governance, Globalization*, 3(3), 119–132. <https://doi.org/10.1162/itgg.2008.3.3.119>
- DiMaggio, P. J., & Anheier, H. K. (1990). The sociology of nonprofit organizations and sectors. *Annual Review of Sociology*, 16(1), 137–159. <https://doi.org/10.1146/annurev.so.16.080190.001033>
- Dimov, D. P., & Shepherd, D. A. (2005). Human capital theory and venture capital firms: Exploring “home runs” and “strike outs.” *Journal of Business Venturing*, 20(1), 1–21. <https://doi.org/10.1016/j.jbusvent.2003.12.007>
- Diochon, M., & Anderson, A. R. (2009). Social enterprise and effectiveness: A process typology. *Social Enterprise Journal*, 5(1), 7–29. <https://doi.org/10.1108/17508610910956381>
- Doherty, B., Foster, G., Mason, C., Meehan, J., Rotheroe, N., & Royce, M. (2009). *Management for social enterprise*. Sage.

- Doherty, B., Haugh, H., & Lyon, F. (2014). Social enterprises as hybrid organizations: A review and research agenda. *International Journal of Management Reviews*, 16(4), 417–436. <https://doi.org/10.1111/ijmr.12028>
- Doherty, B., & Kittipanya-Ngam, P. (2021). The role of social enterprise hybrid business models in inclusive value chain development. *Sustainability* 2021, 13, 499. <https://doi.org/10.3390/su13020499>
- Dowling, M. (2007). From Husserl to van Manen. A review of different phenomenological approaches. *International Journal of Nursing Studies*, 44(1), 131–142. <https://doi.org/10.1016/j.ijnurstu.2005.11.026>
- Drayton, B. (2002). The citizen sector: Becoming as entrepreneurial and competitive as business. *California Management Review* 44(3), 120–132. <https://doi.org/10.2307/41166136>
- Ernst, K. K. (2011). *Heart over mind – an empirical analysis of social entrepreneurial intention formation on the basis of the theory of planned behaviour* [Doctoral Dissertation, University of Wuppertal]. <http://elpub.bib.uni-wuppertal.de/servlets/DerivateServlet/Derivate-2825/db1103.pdf>
- Flynn, L. R., Goldsmith, R. E., & Eastman, J. K. (1994). The King and Summers opinion leadership scale: Revision and refinement. *Journal of Business Research*, 31(1), 55–64. [https://doi.org/10.1016/0148-2963\(94\)90046-9](https://doi.org/10.1016/0148-2963(94)90046-9)
- Foster, W., & Bradach, J. L. (2005). Should non-profits seek profits? *Harvard Business Review*, 83(2), 92–100.
- Fraenkel, J. R., Wallen, N. E., & Hyun, H. H. (2016). *How to design and evaluate research in education*. McGraw-Hill Education.
- Freire, P. (2000). *Pedagogy of the oppressed*. (30th anniversary ed.). Continuum.

- Frumkin, P. (2009). *On being nonprofit: A conceptual and policy primer*. Harvard University Press. <https://doi.org/10.4159/9780674037403>
- Gaden, G. (2010, September 1). Podcasting: Thinking about new opportunities for pedagogy and activism. *thirdspace*
- Germak, A., & Singh, K. K. (2010). Social entrepreneurship: Changing the way social workers do business. *Administration in Social Work, 34*(1), 79–95. <https://doi.org/10.1080/03643100903432974>
- Ghalwash, S., Tolba, A., & Ismail, A. (2017). What motivates social entrepreneurs to start social ventures?: An exploratory study in the context of a developing economy. *Social Enterprise Journal, 13*(3), 268–298. <https://doi.org/10.1108/SEJ-05-2016-0014>
- Gilbert, B. A., McDougall, P. P., & Audretsch, D. B. (2006). New venture growth: A review and extension. *Journal of Management, 32*(6), 926–950. <https://doi.org/10.1177/0149206306293860>
- Granovetter, M. (2005). The impact of social structure on economic outcomes. *Journal of Economic Perspective, 19*(1), 33–50. <https://doi.org/10.1257/0895330053147958>
- Grassl, W. (2012). Business models of social enterprise: A design approach to hybridity. *ACRN Journal of Entrepreneurship Perspectives, 1*(1), 37–60.
- Guo, B., & Peng, S. (2020). Do nonprofit and for-profit social enterprises differ in funding? *International Society for Third-Sector Research, 31*, 521–532. <https://doi.org/10.1007/s11266-020-00218-5>
- Haber, J. (2016). *The business of good: Social entrepreneurship and the new bottom line*. Entrepreneur Media Inc.
- Hansen, B., & Hamilton, R. T. (2011). Factors distinguishing small firm growers and non-growers. *International Small Business Journal: Researching Entrepreneurship, 29*(3), 278–294. <https://doi.org/10.1177/0266242610381846>

- Hansmann, H. (2003). The role of trust in nonprofit enterprise. *Nonprofit and Civil Society Studies*, 115–122. https://doi.org/10.1007/978-1-4615-0131-2_6
- Harding, R. (2004). Social enterprise: The new economic engine? *Business and Strategy Review* 15(4), 39–43. <https://doi.org/10.1111/j.0955-6419.2004.00338.x>
- Harris, D., & Kor, Y. (2013). The role of human capital in scaling social entrepreneurship. *Journal of Management for Global Sustainability*, 1(2), 163–172. <https://doi.org/10.13185/jm2013.01210>
- Hayman, B., Wilkes, L., & Jackson, D. (2012). Journaling: Identification of challenges and reflection on strategies. *Nurse Researcher*, 19(3), 27–31. <https://doi.org/10.7748/nr2012.04.19.3.27.c9056>
- Heifetz, R., Grashow, A., & Linsky, M. (2009). *The practice of adaptive leadership: Tools and tactics for changing your organization and the world*. Harvard Business Review Press.
- Heiskanen, E., Thidell, Å., & Rhode, H. (2016). Educating sustainability change agents: The importance of practical skills and experience. *Journal of Cleaner Production*, 123, 218–226. <https://doi.org/10.1016/j.jclepro.2015.11.063>
- Held, V. (2006). *The ethics of care: Personal, political, and global*. Oxford University Press.
- Hemsling, A. H. J. (2015). Conditions for social entrepreneurship. *International Journal of Social Quality*, 5(1), 51–66. <https://doi.org/10.3167/ijsq.2015.050104>
- Hind, P., Magala, S., & Millar, C. (2012). Sustainability and the need for change: Organizational change and transformational vision. *Journal of Organizational Change Management*, 25(4), 489–500. <https://doi.org/10.1108/09534811211239272>
- Hines, F. (2005). Viable social enterprise: An evaluation of business support to social enterprises. *Social Enterprise Journal*, 1(1), 13–28. <https://doi.org/10.1108/17508610580000704>

- Hitt, M. A., Bierman, L., Shimizu, K., & Kochhar, R. (2001). Direct and moderating effects of human capital on strategy and performance in professional service firms: A resource-based perspective. *Academy of Management Journal*, *44*(1), 13–28. <https://doi.org/10.5465/3069334>
- Hockerts, K. (2015). The social entrepreneurial antecedents scale (SEAS): A validation study. *Social Enterprise Journal*, *11*(3), 260–280. <https://doi.org/10.1108/SEJ-05-2014-0026>
- Hossain, M. U. (2021). Relationship between individual characteristics and social entrepreneurial intention: Evidence from Bangladesh. *Business & Economics Research Journal*, *12*(2), 385–397. <https://doi.org/10.20409/berj.2021.328>
- Hossain, S., Saleh, M. A., & Drennan, J. (2016). A critical appraisal of the social entrepreneurship paradigm in an international setting: A proposed conceptual framework. *International Entrepreneurship and Management Journal*, *13*(2), 347–368. <https://doi.org/10.1007/s11365-016-0400-0>
- Hsieh, H. & Shannon, S. E. (2005). Three approaches to qualitative content analysis. *Qualitative Health Research*, *15*(9), 1277-1288. <https://doi.org/10.1177/1049732305276687>
- Husserl, E. (1931). *Ideas: General introduction to pure phenomenology*. Macmillan.
- Hwang, H., & Powell, W. W. (2009). The rationalization of charity: The influences of professionalism in the nonprofit sector. *Administrative Science Quarterly*, *54*(2), 268–298. <https://doi.org/10.2189/asqu.2009.54.2.268>
- Hwee Nga, J. K., & Shamuganathan, G. (2010). The influence of personality traits and demographic factors on social entrepreneurship start up intentions. *Journal of Business Ethics*, *95*, 259–282. <https://doi.org/10.1007/s10551-009-0358-8>

- Hyde, P. (2008). Working with stories: Diverse tales of organizational life. *Qualitative Research in Organizations and Management: An International Journal*, 3(2), pp. 147–158.
- Hynes, B. (2009). Growing the social enterprise – issues and challenges. *Social Enterprise Journal*, 5(2), 114–125. <https://doi.org/10.1108/17508610910981707>
- Jehanzeb, K., & Bashir, N. (2013). Training and development program and its benefits to employees and organization: A conceptual study. *European Journal of Business*, 5(2), 243–252.
- Jenner, P. (2016). Social enterprise sustainability revisited: An international perspective. *Social Enterprise Journal*, 12(1), 42–60. <https://doi.org/10.1108/SEJ-12-2014-0042>
- Jones, R., Latham, J., & Betta, M. (2008). Narrative construction of the social entrepreneurial identity. *International Journal of Entrepreneurial Behaviour and Research*, 14(5), 330–345. <https://doi.org/10.1108/13552550810897687>
- Karayan, J., & Swenson, C. (2015). Choosing a legal entity: Risk management, raising capital, and tax management. In *Strategic Business Tax Planning* (pp. 93–123). <https://doi.org/10.1002/9781119196563.ch3>
- Kerlin, J. A. (2006). Social enterprise in the United States and Europe: Understanding and learning from the differences. *Voluntas: International Journal of Voluntary and Nonprofit Organizations*, 17, 246–262.
- Kerlin, J. A. (2009). *Social enterprise: A global comparison*. Tufts University Press.
- Kerlin, J. A. (2010). A comparative analysis of global emergence of social enterprise. *International Journal of Voluntary and Nonprofit Organizations*, 21, 162–179. <https://doi.org/10.1007/s11266-010-9126-8>

- Kerlin, J. A. (2012). Defining social enterprise across different contexts: A conceptual framework based on institutional factors. In B. Gidron & Y. Hasenfeld (Eds.), *Social Enterprises* (pp. 91–117). <https://doi.org/10.1057/9781137035301.0013>
- Kickul, J., & Lyons, T. S. (2020). *Understanding social entrepreneurship: The relentless pursuit of mission in an ever changing world*. Routledge.
- Kirby, D. A., & Ibrahim, N. (2011). The case for (social) entrepreneurship education in Egyptian universities. *Education + Training*, 53(5), 403–415. <https://doi.org/10.1108/00400911111147712>
- Koch, C., & Hooks, B. (2020). *Believe in people*. St. Martin's Press.
- Koch, T., & Harrington, A. (1998). Reconceptualizing rigour: The case for reflexivity. *Journal of Advanced Nursing* 28(4), 882–890. <https://doi.org/10.1046/j.1365-2648.1998.00725.x>
- Kotter, J. P. (1996). *Leading change*. Harvard Business School Press.
- Le, T., Singleton, G., Dzung, V., & Palis, F. (2018). The roles of change agents and opinion leaders in the diffusion of agricultural technologies in Vietnam: A case study of ACIAR-World Vision collaborative adaptive research projects.
- Lencioni, P. (2014, August 1). *Make your values mean something*. Harvard Business Review. <https://hbr.org/2002/07/make-your-values-mean-something>
- Lewin, K. (1947). Frontiers in group dynamics: Concept, method and reality in social science; social equilibria and social change. *Human Relations*, 1(1), 5–41. <https://doi.org/10.1177/001872674700100103>
- Light, P. C. (2006). Reshaping social entrepreneurship. *Stanford Social Innovation Review*, 4, 47–51.
- Lincoln, Y. S., & Guba, E. G. (1985). *Naturalistic inquiry*. Sage.

- Lindgren, M. (2016). Personal narrative journalism and podcasting. *Radio Journal: International Studies in Broadcast & Audio Media*, 14(1), 23–41.
doi:10.1386/rjao.14.1.23_1
- Litrico, J. B., & Besharov, M. L. (2019). Unpacking variation in hybrid organizational forms: Changing models of social enterprise among nonprofits. *Journal of Business Ethics*, 159(2), 343–360. <https://doi.org/10.1007/s10551-018-4047-3>
- Lopez, K., & Willis, D. (2004). Descriptive versus interpretive phenomenology: Their contributions to nursing knowledge. *Qualitative Health Research*, 14(5), 726–735.
<https://doi.org/10.1177/1049732304263638>
- Lounsbury, M. (2007). A tale of two cities: Competing logics and practice variation in the professionalizing of mutual funds. *Academy of Management Journal*, 50(2), 289–307.
<https://doi.org/10.5465/amj.2007.24634436>
- Lowy, A. (2015). The six dilemmas of strategy execution. *Strategy & Leadership*, 43(6), 18–24. <http://dx.doi.org/10.1108/SL-07-2015-0062>
- Lozano, R. (2013). Are companies planning their organisational changes for corporate sustainability? An analysis of three case studies on resistance to change and their strategies to overcome it. *Corporate Social Responsibility & Environmental Management*, 20(5), 275–295. <https://doi.org/10.1002/csr.1290>
- MacMillan, I. C., & Thompson, J. D. (2013). *The social entrepreneur's playbook: Pressure test, plan, launch and scale your enterprise* (Expanded ed.). Wharton Digital Press.
- Maher Palenque, S. (2016). The Power of Podcasting: Perspectives on Pedagogy. *Journal of Instructional Research*, 5(1), 4–7. <https://doi.org/10.9743/jir.2016.1>

- Mair, J., & Marti, I. (2006). Social entrepreneurship research: A source of explanation, prediction, and delight. *Journal of World Business*, 41(1), 36 – 44.
<https://doi.org/10.1016/j.jwb.2005.09.002>
- Mair, J., & Marti, I. (2009). Entrepreneurship in and around institutional voids: A case study from Bangladesh. *Journal of Business Venturing*, 24(5), 419–435.
<https://doi.org/10.1016/j.jbusvent.2008.04.006>
- Mair, J., & Schoen, O. (2007). Successful social entrepreneurial business models in the context of developing economies: An exploratory study. *International Journal of Emerging Markets*, 2(1), 54–68. <https://doi.org/10.1108/17468800710718895>
- Marshall, R. S. (2011). Conceptualizing the international for-profit social entrepreneur. *Journal of Business Ethics*, 98(2), 183–198.
- Mason, C., Kirkbride, J., & Bryde, D. J. (2007). From stakeholders to institutions: The changing face of social enterprise governance theory. *SSRN Electronic Journal*.
<https://doi.org/10.2139/ssrn.1345903>
- McDonnell, B. H. (2019). Three legislative paths to social enterprise: L3Cs, benefit corporations, and second-generation cooperatives. In B. Means & J. Yockey (Eds.), *The Cambridge Handbook of Social Enterprise Law*, (pp. 67–84).
<https://doi.org/10.1017/9781316890714.005>
- Mendell, M., & Nogales, R. (2009). Social enterprises in OECD member countries. *Local Economic and Employment Development (LEED)*, 89–138.
<https://doi.org/10.1787/9789264055513-4-en>
- Meyskens, M., Carsrud, A. L., & Cardozo, R. N. (2010). The symbiosis of entities in the social engagement network: The role of social ventures. *Entrepreneurship & Regional Development*, 22(5), 425–455.
<https://doi.org/10.1080/08985620903168299>

- Miles, M. B., & Huberman, M. (1994). *An extended sourcebook: Qualitative data analysis* (2nd ed.). Sage.
- Moizer, J., & Tracey, P. (2010). Strategy making in social enterprise: The role of resource allocation and its effects on organizational sustainability. *Systems Research and Behavioral Science, 27*(3). <https://doi.org/10.1002/sres.1006>
- Momany, M., & Alshboul, A. (2016). Social media marketing: Utilizing social media to advance brand awareness and increase online sales. *International Journal of Business, Marketing, & Decision Science, 9*(1), 33–54.
- Moran, J. W., & Brightman, B. K. (2001). Leading organizational change. *The Career Development International, 6*(2), 111–118.
<https://doi.org/10.1108/13620430110383438>
- Morris, M. H., Coombes, S., Schindehutte, M., & Allen, J. (2007). Antecedents and outcomes of entrepreneurial and market orientations in a non-profit context: Theoretical and empirical insights. *Journal of Leadership & Organizational Studies, 13*(4), 12–39.
<https://doi.org/10.1177/10717919070130040401>
- Moses, A., & Sharma, A. (2020). What drives human resource acquisition and retention in social enterprises? An empirical investigation in the healthcare industry in an emerging market. *Journal of Business Research, 107*, 76–88.
<https://doi.org/10.1016/j.jbusres.2019.07.025>
- Moustakas, C. (1994a). *Phenomenological research methods*. Sage.
- Nahapiet, J., & Ghoshal, S. (1998). Social capital, intellectual capital, and the organizational advantage. *Academy of Management Review, 23*(2), 242–266.
<https://doi.org/10.5465/amr.1998.533225>
- Nicholls, A. (2006). *Social entrepreneurship: New models of sustainable social change*. Oxford University Press.

- Nikolaou, I., Gouras, A., Vakola, M., & Bourantas, D. (2007). Selecting change agents: Exploring traits and skills in a simulated environment. *Journal of Change Management*, 7(3–4), 291–313. <https://doi.org/10.1080/14697010701779173>
- Northway, R. (2000). Ending participatory research? *Journal of Learning Disabilities*, 4(1), 27–36. <https://doi.org/10.1177/146900470000400102>
- Novogratz, J. (2013, April 22). *A manifesto*. Acumen. <https://acumen.org/blog/a-manifesto/>
- Novogratz, J. (2020). *Manifesto for a moral revolution*. Acumen Fund.
- Nyssens, M. (Ed.). (2007). *Social enterprise: At the crossroads of market, public policies and civil society*. Routledge.
- Onwuegbuzie, A. J., & Leech, N. L. (2006). Validity and qualitative research: An oxymoron? *Quality & Quantity*, 41(1), 233–249. <https://doi.org/10.1007/s11135-006-9000-3>
- Opiela, N. (2004). According to form: Choosing the right entity. *Journal of Financial Planning*, 17(7), 36–42.
- Pache, A. C., & Santos, F. (2010). When worlds collide: The internal dynamics of organizational responses to conflicting institutional demands. *The Academy of Management Review*, 35(3), 455–476.
- Patton, M. Q. (1999). Enhancing the quality and credibility of qualitative analysis. *HSR: Health Services Research*. 34(5), 1189–1208.
- Peredo, A. M., & McLean, M. (2006). Social entrepreneurship: A critical review of the concept. *Journal of World Business*, 41, 56–65. <https://doi.org/10.1016/j.jwb.2005.10.007>
- Perrini, F. (2006). *The new social entrepreneurship: What awaits social entrepreneurship ventures?* Edward Elgar Publishing.

- Powell, L., & Robson, F. (2014). Learner-generated podcasts: a useful approach to assessment? *Innovations in Education and Teaching International*, 51(3), 326-337.
<http://dx.doi.org/10.1080/14703297.2013.796710>
- Putnam, R. D., Leonardi, R., & Nanetti, R. (1993). *Making democracy work: Civic traditions in modern Italy*. Princeton University Press.
- Rangan, V. K., & Gregg, T. (2019). How social entrepreneurs zig-zag their way to impact at scale. *California Management Review*, 62(1), 53–76.
<https://doi.org/10.1177/0008125619876903>
- Ranucci, R., & Lee, H. (2019). Donor influence on long-term innovation within nonprofit organizations. *Nonprofit and Voluntary Sector Quarterly*, 48(5), 1045–1065.
<https://doi.org/10.1177/0899764019843346>
- Reis, T. K. (1999). *Unleashing the new resources and entrepreneurship for the common good: A scan, synthesis and scenario for action*. W.K. Kellogg Foundations.
- Reis, T. K., & Clohesy, S. J. (2001). Unleashing new resources and entrepreneurship for the common good: A philanthropic renaissance. *New Directions for Philanthropic Fundraising*, 32, 109–144. <https://doi.org/10.1002/pf.3206>
- Ridley-Duff, R., & Bull, M. (2011). *Understanding social enterprise: Theory and practice*. Sage.
- Rogers, E. M. (1995). *Diffusion of Innovations*. Free Press.
- Rogers, E. M. (2003). *Diffusion of innovations* (5th ed.). Free Press.
- Roundy, P. T. (2014). Doing good by telling stories: Emotion in social enterprise communication. *Academy of Management Proceedings*, 2014(1), 10318.
<https://doi.org/10.5465/ambpp.2014.10318abstract>

- Sahasranamam, S., & Nandakumar, M. K. (2020). Individual capital and social entrepreneurship: Role of formal institutions. *Journal of Business Research*, 107(1), 104–117. <https://doi.org/10.1016/j.jbusres.2018.09.005>
- Salamon, L. (1994). The rise of the nonprofit sector. *Foreign Affairs*, 73(4), 109–122. <https://doi.org/10.2307/20046747>
- Salloum, A., & Smyth, K. (2013). Clinicians’ experiences of a podcast series on implementing a manualized treatment. *Journal of Technology in Human Services*, 31(1), 71–83. <https://doi.org/10.1080/15228835.2012.738382>
- School of Ethical Impact. (2021, July 11). *The school*. <https://www.schoolofethicalimpact.com/theschool>
- Schultz, R. (2013). *Creating good work: The world’s leading social entrepreneurs show how to build a healthy economy*. Palgrave Macmillan.
- Scott, D., & Teasdale, S. (2012). Whose failure? Learning from the financial collapse of a social enterprise in ‘Steeltown’, *Voluntary Sector Review*, 3(2), 139–155. <https://doi.org/10.1332/204080512x649333>
- Seelos, C., & Mair, J. (2005). Social entrepreneurship: Creating new business models to serve the poor. *Business Horizons*, 48, 241–246. <https://doi.org/10.1016/j.bushor.2004.11.006>
- Seelos, C., Mair, J., Battilana, J., & Tina Dacin, M. (2011). The embeddedness of social entrepreneurship: Understanding variation across local communities. In C. Marquis, M. Lounsbury, & R. Greenwood (Eds.), *Communities and organizations (Research in the sociology of organizations)* (vol. 33, pp. 333–363). Emerald Group Publishing. [https://doi.org/10.1108/S0733-558X\(2011\)0000033013](https://doi.org/10.1108/S0733-558X(2011)0000033013)

- Sharir, M., & Lerner, M. (2006). Gauging the success of social ventures initiated by individual social entrepreneurs. *Journal of World Business*, 41(1), 6–20.
<https://doi.org/10.1016/j.jwb.2005.09.004>
- Shaw, E., & Carter, S. (2007). Social entrepreneurship: theoretical antecedents and empirical analysis of entrepreneurial processes and outcomes. *Journal of Small Business and Enterprise development*, 14(3), 418–434.
<https://doi.org/10.1108/14626000710773529>
- Slevin, E., & Sines, D. (2000). Enhancing the truthfulness, consistency and transferability of a qualitative study: Utilizing a manifold of approaches. *Nurse Researcher*, 7(2), 79–98. <https://doi.org/10.7748/nr2000.01.7.2.79.c6113>
- Smith, A. (2021, April 8). *Business entity types: A simple guide: Bench accounting*. Bench.
<https://bench.co/blog/starting-a-business/business-entity-types/>
- Smith, W. K., Gonin, M., & Besharov, M. L. (2013). Managing social business tensions: A review and research agenda for social enterprise. *Business Ethics Quarterly*, 23(3), 407–442. <https://doi.org/10.5840/beq201323327>
- Sparviero, S. (2019). The case for a socially oriented business model canvas: The social enterprise model canvas. *Journal of Social Entrepreneurship*, 10(2), 232–251.
<https://doi.org/10.1080/19420676.2018.1541011>
- Starr, J., & MacMillan, I. (1990). Resource co-optation via social contracting: Resource acquisition strategies for new ventures. *Strategic Management Journal*, 11(1), p. 79–92.
- Stephan, U., Patterson, M., Kelly, C., & Mair, J. (2016). Organizations driving positive social change: A review and an integrative framework of change processes. *Journal of Management Studies*, 42(5), 1250–1281. <https://doi.org/10.1177/0149206316633268>

- Strauss, A. L. (1987). *Qualitative analysis for social scientists*. Cambridge University Press.
<http://doi.org/10.1017/CBO9780511557842>
- Sullivan Mort, G., Weerawardena, J., & Carnegie, K. (2003). Social entrepreneurship: Towards conceptualisation. *International Journal of Nonprofit and Voluntary Sector Marketing*, 8(1), 76–88. <https://doi.org/10.1002/nvsm.202>
- Sunley, P., & Pinch, S. (2012). Financing social enterprise: Social bricolage or evolutionary entrepreneurship? *Social Enterprise Journal*, 8(2), 108–122. <https://doi.org/10.1108/17508611211252837>
- Thompson, J. L., & Doherty, B. (2006). The diverse world of social enterprises: A collection of social enterprise stories. *International Journal of Social Economics*, 33(5/6), 361–375. <https://doi.org/10.1108/03068290610660643>
- Tran, H. T., & Santarelli, E. (2014). Capital constraints and the performance of entrepreneurial firms in Vietnam. *Industrial and Corporate Change*, 23(3), 827–864. <https://doi.org/https://academic.oup.com/icc/issue>
- Tropman, J. E. (1989). Human service entrepreneurship. *Administration in Social Work*, 13(3–4), 219–242. https://doi.org/10.1300/j147v13n03_11
- Trybus, M. A. (2011). Facing the challenge of change: Steps to becoming an effective leader. *Delta Kappa Gamma Bulletin*, 77(3), 33–36.
- van Manen, M. (2014). *Phenomenology of Practice: Meaning-giving methods in phenomenological research and writing*. Left Coast Press.
- VanZanten, R., Somogyi, S., & Curro, G. (2012). Purpose and preference in educational podcasting. *British Journal of Educational Technology*, 43(1), 130–138. <http://dx.doi.org/10.1111/j.1467-8535.2010.01153.x>
- Vasi, I. B. (2009). New heroes, old theories? Toward a sociological perspective on social entrepreneurship. In R. Ziegler (Ed.), *An introduction to social entrepreneurship*:

- Voices, preconditions, contexts* (pp. 155–173). Edward Elgar Publishing.
<https://doi.org/10.4337/9781848446229.00018>
- Weiler, S. (2000). Pioneers and settlers in lo-do Denver: Private risk and public benefits in urban redevelopment. *Urban Stud* 37(1), 167–179.
<https://doi.org/10.1080/0042098002348>
- Weisbrod, B. A. (1988). *The non-profit economy*. Harvard University Press.
- Westlund, H. (2006). Social capital in the knowledge economy: Theory and empirics. *Journal of Regional Science*, 48(3), 675–677. https://doi.org/10.1111/j.1467-9787.2008.00567_11.x
- Westlund, H., & Gawell, M. (2012). Building social capital for social entrepreneurship. *Annals of Public and Cooperative Economics*, 83(1), 101–116.
<https://doi.org/10.1111/j.1467-8292.2011.00456.x>
- Wiguna, A. B., & Manzilati, A. (2014). Social entrepreneurship and socio-entrepreneurship: A study with economic and social perspective. *Procedia - Social and Behavioral Sciences*, 115, 12–18. <https://doi.org/10.1016/j.sbspro.2014.02.411>
- Yitshaki, R., Lerner, M., & Sharir, M. (2009). What are social ventures? Toward a theoretical framework and empirical examination of successful social ventures. In G. Shockley, P. Frank, & R. Stough (Eds.), *Non-market entrepreneurship* (pp. 217–242). <https://doi.org/10.4337/9781848445154.00021>
- Young, D. L. (1986). Entrepreneurship and the behaviour of non-profit organization: Elements of a theory. In S. R. Acerman (Ed.), *The economics of non-profit institutions: Studies in structure and policy*. Oxford University Press.
- Young, D. R (2013). The state of theory and research on social enterprises. In *Social Enterprises* (pp. 19–46). Palgrave Macmillan.

- Young, D. R., & Lecy, J. D. (2014). Defining the universe of social enterprise: Competing metaphors. *Voluntas: International Journal of Voluntary and Nonprofit Organizations*, 25(5), 1307–1332. <http://www.jstor.org/stable/43654343>
- Zahra, S. A., Gedajlovic, E., Neubaum, D. O., & Shulman, J. M. (2009). A typology of social entrepreneurs: Motives, search processes and ethical challenges. *Journal of Business Venturing*, 24(5), 519–532. <https://doi.org/10.1016/j.jbusvent.2008.04.007>
- Zavalko, N. A., Kozhina, V. O., Yudina, E. V., Beketova, O. N., & Lavrenova, A. V. (2020). Innovative approaches to business modeling at an enterprise. *Revista Inclusiones*, 7(March 2020), 84–92. <https://doi.org/10.15332/dt.inv.2020.01202>

APPENDIX A
INFORMED CONSENT

TEXAS A&M UNIVERSITY HUMAN RESEARCH PROTECTION PROGRAM

INFORMED Consent Document

Title of Research Study: Understanding the resource gaps for social entrepreneurs and the challenges implementing change in a social enterprise

Investigator: Dr. Kim E. Dooley

Funded/Supported By: There is no funding for this research

Why are you being invited to take part in a research study?

You are being asked to participate because you have been identified as a social entrepreneur who meets the following criteria, (a) must be leading a social enterprise; (b) must have a global social impact component; and (c) participant must have been in their leadership position (founder or CEO) for at least two years.

What should you know about a research study?

- Someone will explain this research study to you.
- Whether or not you take part is up to you.
- You can choose not to take part.
- You can agree to take part and later change your mind.
- Your decision will not be held against you.
- You can ask all the questions you want before you decide.

Who can I talk to?

If you have questions, concerns, or complaints, or think the research has hurt you, talk to the research team at jnuccio1228@tamu.edu or Kim.Dooley@ag.tamu.edu, (979) 862-7620

This research has been reviewed and approved by the Texas A&M Institutional Review Board (IRB). You may talk to them at 1-979-458-4067, toll free at 1-855-795-8636, or by email at irb@tamu.edu, if

- You cannot reach the research team.
- Your questions, concerns, or complaints are not being answered by the research team.
- You want to talk to someone besides the research team.

- You have questions about your rights as a research participant.
- You want to get information or provide input about this research.

Why is this research being done?

The purpose of this hermeneutic phenomenological study is to understand the dilemmas in implementing change for social entrepreneurs that stem from the presented resource gaps. The information that is obtained through this research will help inform the sector in its entirety and how to best come alongside leaders of social enterprises and social impact stakeholders to build successful social impact companies.

The main research questions are:

1. What are the main challenges in leading a social enterprise that align with the gaps presented? (human, social and financial capital resource gaps)
2. When initiating change represented in Kotter’s 8-step model, which steps incur the biggest gaps, lack of resources, and dilemmas for the change agent (social entrepreneur)?
3. When looking at shared experiences, what are the different resource gaps; human, social or financial, that cause dilemmas or challenges when creating, implementing or sustaining change?

How many people will be studied?

There will be 20 social entrepreneurs purposively selected for this study.

What happens if I say “Yes, I want to be in this research”?

If you agree to be in the research, the following will be conducted,

- Semi-structured interviews and observations
- The interviews will be conducted online and the duration of the interview will be 1 hour in length.
- As a participant, you will interact with the primary investigator
- Due to COVID-19, the research will be conducted over Zoom, an online technology platform.
- The research will be completed during one sitting and last no longer than 1 hour
- Participants will be asked for permission to be contacted for future research.
- All interviews will be recorded through the Zoom technology and stored among a external harddrive for records

What happens if I do not want to be in this research?

You can leave the research at any time and it will not be held against you.

What happens if I say “Yes”, but I change my mind later?

You can leave the research at any time and it will not be held against you.

If you decide to leave the research, contact the investigator so that the investigator can terminate participation immediately. Upon withdrawal, data that has been collected will be stored for records and an explanation from the participant will be collected and stored

Will being in this study help me in any way?

We cannot promise any benefits to you or others from your taking part in this research. However, possible insights and recommendations into the social impact sector.

What happens to the information collected for the research?

Efforts will be made to limit the use and disclosure of your personal information, including research study and other records, to people who have a need to review this information. We cannot promise complete privacy. Organizations that may inspect and copy your information include the TAMU HRPP/IRB and other representatives of this institution.

APPENDIX B

INTERVIEW PROTOCOL

The interview will align with an exploratory study and include the following semi-structured interview questions:

Interview Questions for Social Entrepreneurs are as follows:

1. Who are you and how did your journey begin in the social impact sector?
2. Why did you choose the industry you are in or community you are involved with?
3. In your journey, what has been your biggest challenge you have had to overcome?
4. Where do you believe you have experienced gaps in resources for you and your business?
5. Additionally, have you seen those gaps reduce or increase as you have grown, scaled or implemented new change in your business or community?
6. What does partnership, collaboration, key stakeholders mean to you?
7. How can you build a sustainable enterprise where profit and impact cohesively work together?
8. If you were talking to your younger self, what advice would you give them?

If time allows then here are other questions that may be asked...

- What has been your biggest celebration in this journey?
- How do you measure impact?
- How do you tell your story in your branding and marketing?
 - And with that, do you find it challenging to create a cohesive message around profit, product and people?
- What is your business model?
- How would you describe impact investing?
- Have you raised capital, and can you talk about that experience?

APPENDIX C
RECRUITMENT EMAIL

Good Morning!

My name is Jenny Nuccio and I am pursuing my Ed.D in the Doc@Distance program with Texas A&M University and Texas Tech University. I am currently conducting my dissertation research study to help understand the research gaps among social entrepreneurs and the challenges involved when implementing change in social enterprises.

Social entrepreneurs need to meet the following criteria (a) must be leading a social enterprise; (b) must have a global social impact component; and (c) participant must have been in their leadership position (founder or CEO) for at least two years.

I am emailing you because you have been identified as a leading social entrepreneur in the social impact sector and would love to have you as part of my research!

Participation is completely voluntary, and all answers given by the beneficiaries involved will be anonymous.

If you are interested, I would love to schedule a time to give you a scope of the study.

These interviews will be held will be conducted online through Zoom, and be approximately one hour in length. These interviews will be recorded and conducted with open ended questions and will be a conversation to highlight your journey as a social entrepreneur.

If you have any questions, please do not hesitate to ask me.

Thank you for your time and thank you for your continued efforts as a leading change agent in your social enterprise and global community.

With gratitude,



Jenny Nuccio
Doc@Distance Cohort 8
Texas A&M University

APPENDIX D

IRB: TEXAS A&M UNIVERSITY

DIVISION OF RESEARCH



Exemption Determination
(Common Rule – Effective January 2018)

July 23, 2021

Title: Understanding the Change Agent and their role in Sustainable Development among International Programs: A Qualitative Approach
Investigator: Kim E Dooley
IRB: IRB2019-0181M
Submission Type: Submission Response for IRB Amendment
Funding: N/A
Reference Number: 127928

Dear Kim E Dooley:

The HRPP determined on July 23, 2021 that this research continues to meet the criteria for Exemption in accordance with 45 CFR 46.104.

This determination applies only to the activities described in this IRB submission and does not apply should any changes be made. Please use the reviewed, stamped study documents (available in iRIS and outlined below in the Appendix) for applicable study procedures (e.g. recruitment, consent, data collection, etc...). If changes are needed to stamped study documents or study procedures, you must immediately contact the IRB. You may be required to submit a new request to the IRB.

Your exemption is good for three (3) years from the Approval Start Date (02/25/2019). Thirty days prior to that time, you will be sent an Administrative Check-In Notice to provide an update on the status of your study.

If you have any questions, please contact the IRB Administrative Office at 1-979-458-4067, toll free at 1-855-795-8636.

Sincerely,

IRB Administration

Appendix: Reviewed Study Documents. Of note, all "forward-facing

APPENDIX E

IRB: TEXAS TECH UNIVERSITY

27/07/2021

Mail - Nuccio, Jenny - Outlook

IRB2021-567 - Initial: Relying on IRB (IAA)

do-not-reply@cayuse.com <do-not-reply@cayuse.com>

Tue 7/27/2021 10:32 AM

To: Boren-Alpizar, Amy <Amy.Boren-Alpizar@ttu.edu>; Nuccio, Jenny <Jenny.Nuccio@ttu.edu>



Jul 27, 2021 10:32:32 AM CDT

Amy Boren Alpizar
Ag Education and Communication

Re: IRB2021-567 Understanding the Resource Gaps for Social Entrepreneurs and the Challenges Implementing Change in a Social Enterprise

Findings: *Good luck with your research.*

Dear Dr. Amy Boren Alpizar, David Lawver:

A Texas Tech University IRB reviewer has approved the proposal referenced above for an Institutional Authorization Agreement (IAA). The IAA has been fully executed and the investigators are now authorized to engage in research as outlined in the approved protocol. The IAA is effective beginning July 27, 2021.

Please notify the IRB of record and Texas Tech of any reportable events, modifications, renewals, and closures. Any change to your protocol requires a Modification Submission to the IRB of record for review and approval prior to implementation. Then submit a modification in Cayuse IRB to Texas Tech and attach the approved modification letter. Should a subject be harmed or a deviation occur from either the approved protocol or federal regulations (45 CFR 46), please complete an Incident Submission form at Texas Tech and contact the IRB of record. Once your research is completed, please use a Closure Submission to terminate this protocol at Texas Tech.

Your study may be selected for a Post-Approval Review (PAR). A PAR investigator may contact you to observe your data collection procedures, including the consent process. You will be notified if your study has been chosen for a PAR.

Sincerely,

A handwritten signature in black ink, appearing to read 'MBS', with a horizontal line underneath.

Martin Binks, Ph.D.
Chair, Texas Tech University Institutional Review Board
Director, Nutrition & Metabolic Health Initiative (NMHI)
Professor, Department of Nutritional Sciences, College of Human Sciences

Human Research Protection Program

<https://outlook.office.com/mail/inbox/id/AAQkADc0ODQ2MTJhLWQ3MzU0NDEzYyIiOWFmLWVxZjQ0WNIYjRkYQAQAaYgZK24VRPkeazv276Chs%3D> 1/2

APPENDIX F

AUDITED BIBLIOGRAPHY

Audit Coded Bibliography

All interviews conducted via zoom

1. **SE1:** Pseudonym assigned was **Tara**. Founder of Social Enterprise in Honduras, Industry focused in home and accessories / Interviewed August 5, 2021 at 9am CST via zoom
2. **SE2:** Pseudonym assigned was **Kellie**. Founder of Social Enterprise in Guatemala, Industry focused in shoes / Interviewed August 5, 2021 at 10am CST via zoom
3. **SE3:** Pseudonym assigned was **Ann**. Founder of Social Enterprise based in United States (California), Industry focused in home and accessories / Interviewed August 5, 2021 at 11am CST via zoom
4. **SE4:** Pseudonym assigned was **Olivia**. CEO of Social Enterprise based in United States (Colorado), Industry focused in consumables / Interviewed August 6, 2021 at 9am CST via zoom
5. **SE5:** Pseudonym assigned was **Hailey**. Founder and CEO of Social Enterprise based in Haiti and Mexico, Industry focused in jewelry / Interviewed August 6, 2021 at 10am CST via zoom
6. **SE6:** Pseudonym assigned was **Luke**. CEO of Social Enterprise based in Global*, Industry focused in micro-finance and agriculture / Interviewed August 9, 2021 at 9am CST via zoom
7. **SE7:** Pseudonym assigned was **Mia**. Co-founder of Social Enterprise based in Horn of Africa (Global*), Industry focused in jewelry and accessories / Interviewed August 9, 2021 at 11am CST via zoom

8. **SE8:** Pseudonym assigned was **Jody**. Founder of Social Enterprise based in Kenya, Industry focused in education and training / Interviewed August 10, 2021 at 9am CST via zoom
9. **SE9:** Pseudonym assigned was **Amber**. Co-Founder of Social Enterprise based in United Stated (Wyoming), Industry focused in home décor, accessories and apparel / Interviewed August 10, 2021 at 10am CST via zoom
10. **SE10:** Pseudonym assigned was **Terrence**. Co-Founder of Social Enterprise based in United Stated (Wyoming), Industry focused in home décor, accessories and apparel / Interviewed August 10, 2021 at 10am CST via zoom
11. **SE11:** Pseudonym assigned was **Gary**. Founder and CEO of Social Enterprise based in Uganda, India and Peru, Industry focused in apparel and accessories / Interviewed August 10, 2021 at 11am CST via zoom
12. **SE12:** Pseudonym assigned was **Faith**. Executive Director of Social Enterprise based in Ghana, Industry focused in accessories, apparel and home decor / Interviewed August 10, 2021 at 12pm CST via zoom
13. **SE13:** Pseudonym assigned was **Linda**. Co-Founder of Social Enterprise based in Uganda, Industry focused in talent (art) and home decor / Interviewed August 12, 2021 at 9am CST via zoom
14. **SE14:** Pseudonym assigned was **Nicole**. Co-Founder of Social Enterprise based in Uganda, Industry focused in talent (art) and home decor / Interviewed August 12, 2021 at 9am CST via zoom
15. **SE15:** Pseudonym assigned was **Molly**. Co-Founder of Social Enterprise based in India, Industry focused in apparel and accessories / Interviewed August 12, 2021 at 11am CST via zoom

16. **SE16:** Pseudonym assigned was **Pauline**. Co-Founder of Social Enterprise based in India, Industry focused in apparel and accessories / Interviewed August 12, 2021 at 11am CST via zoom
17. **SE17:** Pseudonym assigned was **Lily**. Founder and CEO of Social Enterprise based in Asia, Industry focused in home décor and accessories / Interviewed August 12, 2021 at 12pm CST via zoom
18. **SE18:** Pseudonym assigned was **Stacey**. Founder and CEO of Social Enterprise based in Papua New Guinea, Industry focused in home décor and accessories / Interviewed August 13, 2021 at 9am CST via zoom
19. **SE19:** Pseudonym assigned was **Charlotte**. Founder of Social Enterprise based in Mozambique, Industry focused in training and education / Interviewed August 13, 2021 at 11am CST via zoom
20. **SE20:** Pseudonym assigned was **Valerie**. Founder and CEO of Social Enterprise based in United States and Global*, Industry focused in apparel, accessories and home décor / Interviewed August 16, 2021 at 10am CST via zoom
21. **SE21:** Pseudonym assigned was **Barbara**. Founder and CEO of Social Enterprise based in Canada and India, Industry focused in apparel / Interviewed August 16, 2021 at 11am CST via zoom
22. **SE22:** Pseudonym assigned was **Hope**. Founder of Social Enterprise based in Guatemala, Industry focused in traditional textiles / Interviewed August 16, 2021 at 4pm CST via zoom
23. **SE23:** Pseudonym assigned was **Sonja**. Founder and CEO of Social Enterprise based in Uganda, India, and Global*, Industry focused in apparel and accessories / Interviewed August 18, 2021 at 2:30pm CST via zoom

24. **SE24:** Pseudonym assigned was **Emma.** Founder of Social Enterprise in Tanzania,
Industry focused in home and accessories / Interviewed September 15, 2021 at 10am CST
via zoom

APPENDIX G

VISUAL REPRESENTATION OF OPEN CODING

[REDACTED]

Date: August 5, 2021

Code: SE1

HUMAN CAPITAL TENDENCIES *business model example.*

- [REDACTED]
- Pandemic affected direction due to people at home decorating
- Caring for yourself so you can continue journey
- **Lack of staff, resources**
- Community development in other communities
- Through pandemic see who needed food assistance and working in partnership to help
- **Coming from Deep South in the US (cultural differences). There are some things I will never fully understand.**
- Cultural differences effect even negotiation to get supplies, pricing, etc. (American's have money)
- Nurturing relationship with donors as well
- People invested in people
- 501(c)3 thinking about eventually adding an LLC

SOCIAL CAPITAL TENDENCIES

- Products in that region in what I was going was outside the norm, resulting in lack of support
- Shipping and staffing issues
- Listening to market and what they wanted to purchase
- Added more artisans creating products with us/for us
- Relational – investment in relationship is foundational in everything (working in community)
- Artisans need storefront to have other skills marketable as well *market access.*
- Community development work (local Honduras)
- People invest in the areas - not only locally but globally as well
- Goal is to help our partners in Honduras succeed

FINANCIAL CAPITAL TENDENCIES

- Tweaks to make it in the Western Market
- Added more artisans and more products
- Started with using own personal finances – Financial Challenges
- Tried a new seasonal product and sold like hotcakes – so continued to produce
- Making sure financial needs were met, people paid/salaries – very stressful
- Salaries of above living wages, while developing stateside causing more financial stress
- Sales keep up doing this work
- Strategic plans in place make a huge difference in sales success
- Diversifying income- passionate about artisans & products will creates grown and sustainability

Date: August 5, 2021

Page 2

OTHER GENERAL TENDENCIES

- **Long term Impact = Sustainability versus quick fix**
 - Someone who said "yes" and believed
 - Fell in love = Location for social enterprise
 - **Making sustainable**
 - Building relationships, strengthening communities, renewing hope (Mission of their reason)
 - Learn celebration with artists – Caring for people and belong within community (birthday's/big sales celebrations/trips to beach) – Celebrate people
 - **Committed to long term – leadership quality**
 - **Emphasis is on people not profit. Organization built on love of people.**
-

CONSTRAINTS FROM TENDENCIES

HUMAN CAPITAL CONSTRAINTS

SOCIAL CAPITAL CONSTRAINTS

FINANCIAL CAPITAL CONSTRAINTS

██████████ (SE1)
August 5, 2021
9am.

(post personal reflections)

- I have similar sentiments of starting by a mission trip and falling in love with the country and the people:
hers is Honduras and mine is Kenya
hers is at 16 and mine is at 18
- I personally remember feeling an overwhelm of this balance of poverty and the mixed emotions of feeling privileged, needing to help but also hopeless in the beginning.
- She mentions sketching and just producing. I used to call them my pity purchases. and I just got started with little knowledge of design or customer base.
- mentions following 31 bits as an example for a model to go by. My model I went by was Knicker kids and had recently learned about Nounday + Akola in 2011.
- she started with personal finances and I can relate because I started with selling my car and all possessions to go to Kenya — I understand the struggle and sacrifice.
- shipping: oh! the joys and complications of this question and so expensive...

- talks about listening to the market and this makes me think of my experience at NY now and listening to boots around me and their growing pains or successes. This when he pivoted and rebranded... actually listened and learned.
- talk of staff, burnout and limited resources. All the memories that flood into my mind of the earlier years and feeling so alone and misunderstood.
- loved all the programs she mentioned she offers her artisans - I have seen transformation happen for our artisans at Imahi Collective through our programs, so I believe in holistic care and what it can do for the individual and community as a whole.
- I feel the friction of another country being your home but there will always be a lack of understanding or disconnect because of being foreign.
- strategy and financial planning where big pivots and I can relate to this desire for strategy and diversifying income stream.
- when COVID happened, we lost so many sales because of tourism plummeting - always learning to pivot w/ threats

→ people are my foundation, just as she mentions. I can relate to this why — I for sure would have quit a long time ago without our artisans and people believing. This covenant hit home for me.

↳ Reminded me of 2016 and how tired I was after NY NOW. I almost quit but I went on a retreat, prayed, refueled and surrounded myself with the women which gave me that energy to move forward.

"if it were here for money, I would have quit a long time ago."