

**The Collective Impact of Policy Implementation and Leadership for  
Collaborative Advantage:  
The Sure Start Story of planned exploitation and unplanned exploration**

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## **Abstract**

This research explores the relationship between governance and leadership for collaborative advantage. The aim of this research is to explore the influence, if any, of two governance arrangements on local decision-making in policy decisions for early childhood reforms as demonstrated through the case study, Sure Start.

Sure Start was a cross-departmental program aimed at bringing together services for children under 4 and their families emphasizing the need for local decision-making and involvement in managing local programs.

The research expands limited governance and leadership for collaborative advantage interface where much of the existing research has focused on organizational learning without considering whether governance arrangements are aligned with policy implementation.

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## 1. INTRODUCTION

### 1.1 Background

The significant economic costs of issues affecting society are often further escalated by the lack of local decision-making and community engagement in changes that will affect that particular community. This is most prominent in the topic of reducing child poverty, as those most effected are often the voices that are less heard (Howarth et al 1999; Raham et al 2000; Bradshaw 2001; Raham et al 2001; Eisenstadt 2011 ). Collective responsibility for reducing child poverty need not be based solely on altruistic reasons but for society to flourish it must be built on a base of healthy children growing to be engaged and productive adults (UNICEF 2012).

Child poverty reforms recognize that best results are achieved by engaging communities through local decision-making and intervening early in life transitions (CYPUP 2001; Willow 2002). This research aims to explore the involvement of local decision-making in a specific UK early childhood reform that was set to reduce child poverty (Sure Start). Sure Start was a cross-departmental program aimed at bringing together services for children under 4 and their families emphasizing the need for local decision-making and involvement in managing local programs. There is considerable controversy and debate on the relationship and governance between local decision-making and policy decisions particularly in early childhood reforms as demonstrated by Sure Start. These controversies are best defined as tensions that exist between the governance mandates to reduce child poverty and the children and communities who are affected by child poverty. Since the turn of the millennia the topic of governance in child poverty has become topical and this research is concerned with exploring two governance arrangements and their influence, if any, on local decision-making in policy decisions

for early childhood reforms.

Two governance arrangements within this tension and controversy are described in reference to two contexts 1) frameworks and 2) legislation. The framework context is represented by the concept ‘Collective Impact’, which is based on the belief that the commitment of a group of important actors from different sectors to a common agenda will be able to solve a specific social problem. Collective Impact is a global concept first developed by Kania and Kramer (2011) following an analysis of successful organizations that deal with issues affecting society across political science, public administration/sociology and economics. The five conditions of Collective Impact will be considered in the structure of the interview questions and as part of the research methodology.

The legislation context is a Localism Act, which was established in England to address issues in society and is referred to as ‘the localism agenda’ (DCLG 2011). Localism is set to ensure community visibility and government accountability (DCLG 2011). England’s Localism Act 2011 illustrates a global first for legislation because it sets out targets and strategies for enabling local decision-making, whilst placing duties on government ministers and local authorities to act in ways designed to increase localism (DCLG 2011). The Localism Act 2011 provides a governance time line that the research will consider with data being collected pre and post the establishment of the Localism Act.

Collective Impact and the Localism Act represent two governance arrangements and with a renewed focus on the tensions and controversies that exist between governance mandates to reduce child poverty and the voices of the community that are less heard, this research will seek to further understand how best to influence civil society. This issue is problematic because the limited

governance and leadership for collaborative advantage literature to date has focused on organizational learning without considering the subsequent links and causal chain of events between organizational learning and policy implementation regarding civil society reforms. Hence the purpose of this research is to explore the subsequent links and causal chains of events between governance and leadership for collaborative advantage and investigate whether particular conditions are necessary to positively effect local decision-making in policy decisions for early childhood reforms.

## **1.2 Research scope**

The primary purpose of this research is to explore the influence, if any, of two governance arrangements on local decision-making in policy decisions for early childhood reforms. The topic of governance and leadership for collaborative advantage represent two unique theoretical perspectives of social sciences and complexity sciences that will be further explored by considering local decision-making in policy decisions for Sure Start (early childhood reform). This is an emerging research area where limited empirical data or theory exists especially in relation to the relationship between governance and leadership for collaborative advantage. The focus of the subsequent links and causal chain of events is not just at a government level but also inclusive of service deliverers. The ability for governments to take a collaborative approach to local decision-making is further complicated as they manage what Uhl-Bien et al (2008 p205) refer to as the 'governance gauntlet between administrative leadership and adaptive leadership. 'An area of commonality which requires further exploration between the social science scholars of policy implementation and those in complexity science/ complex adaptive systems is the notion of governance and leadership for collaborative advantage and these contexts will shape the theoretical

and conceptual frameworks of this research.

The conceptual framework is underpinned by Marsh's (1991) conceptualization of 'Exploitation' and 'Exploration' in organizational learning. Marsh's contribution can be summarized as 'maintaining an appropriate balance between exploitation and exploration is a primary factor in system survival and prosperity.' (Marsh 1991 p71). The conceptual framework of this research is presented as a localism continuum ranging from the extreme end of exploitation of old certainties to exploration of unplanned possibilities in the subsequent links and causal chain of events between governance and leadership for collaborative advantage. The research is concerned with the experiences of key actors along a conceptual framework localism continuum using two governance arrangements of Collective Impact framework and legislation Localism Act. This research will explore any influence on local decision-making in policy decisions for early childhood reforms as demonstrated by Sure Start. Data about key actors will be collected to explore the relationships between policy implementation and complex adaptive systems with a particular focus on their governance and leadership for collaborative advantage experiences in Sure Start.

### **1.3 Research justification and contribution**

The research makes several contributions across two broad theoretical areas and is attempting to distill some key relationships from two very deep but broad fields. To date the local decision-making and policy decisions in early childhood reforms have been heavily focused on two separate themes. Firstly explorations of the process of policy decisions are found within the policy implementation literature and across five generations of policy implementation thought. In considering governance

from a policy implementation perspective this research will explore the governance paradigm, which represents the fifth generation of policy implementation literature (Hill and Hupe 2009). The relationship between the fifth generation and previous four; first generation ‘bottom up’ (Baradach 1977) second generation ‘top down’ (Nakumara and Smallwood 1980); third generation ‘synthesis’ (Sabatier and Mazmanian 1980) fourth generation ‘dormant’ (DeLeon 1999) are summarised as being complex in structure. The topic of complexity has many roots in governance with one particular interest being drawn from complex adaptive systems theory with a focus on leadership for collaborative advantage. Data on the relationship between governance and how leadership for collaborative advantage have any influence, if any, on local decision-making in policy decisions for early childhood reforms will also be collected.

Secondly the research does not intend to provide a thorough overview of complexity sciences or complex adaptive systems as that lies with the widely noted scholars and commentators such as Marsh (1991) Goldstein et al (2010), Lichtenstein and Plowman (2009) and Uhl-bien and Marion (2008).

The research will draw on much of their work and the creation of the contextual framework localism continuum, with a particular focus on earlier research from Marsh (1991). Using different words to identify governance and leadership tensions Marsh (1991) describes a continuum focusing at one end on ‘Exploitation of planned old certainties’ and at the other end on ‘Exploration of unplanned new possibilities’. With application to this research at one end of the continuum, top down experiences are presented as those of exploitation where planned ‘old certainties’ are favoured. At the other end of the continuum bottom up experiences are presented as exploration encouraging ‘unplanned new possibilities’. For the purpose of this research the relationship between exploitation and exploration



will be referred to as a conceptual framework the 'localism continuum'.

Finally, much of the existing literature on local decision-making has only considered exploitation and exploration within the organisational learning context without considering the influence of governance arrangements. Duit and Galaz (2008) claim that in order for governments to promote local decision-making in government systems, consideration needs to be given to balancing planned exploitation and unplanned exploration. This research will contribute to understanding the governance and leadership for collaborative advantage interface. This research will argue how governance arrangements have influence on local decision-making presenting further exploring the link with leadership for collaborative advantage. It will argue that positive local decision-making (in policy decisions for early childhood reform) governance arrangements can be used to maintain an appropriate balance to enable positive leadership for collaborative advantage. The conditions that makeup the subsequent links and causal chain of events between governance and leadership for collaboration are further discussed in the literature review of this proposal.

## **2. Policy Implementation and Complexity Theory literature**

### **2.1 Why governance is an issue**

A particular area of interest within the social science discipline is political studies. 'Social scientists have long been interested in the study of public policy.' (Nakumara and Smallwood 1980 pvii). This study is grounded in social science with a key focus on the theme of public policy and an interpretive analysis of one of the key components of political science 'policy implementation'. It is useful to consider the literature emerging from political science. For example to understand the role and impact of legislatures. Secondly to understand the role and impact of public administration and sociology of

organisations. Thirdly to gain an understanding of current policy effects. This research will consider the varied conceptual frameworks that have emerged from these three broad areas with a particular analysis on literature around public administration and sociology.

Harold Lasswell (1951) introduced the idea that there were seven stages in the policy process; intelligence; promotion; prescription; invocation; application; termination; appraisal. Laswell's (1951) policy formations were thirty years later expanded by Pressman and Wildvasky (1973) with their considerations of policy implementation being a separate issue. This was followed through by Hargrove (1975) who later recognised policy implementation as the 'missing link'. Supporting this early line of thought was Gross et al (1971) and DeLeon (1999) who, although from different schools of thought, all saw policy implementation as a separate process to policy decision-making. For example in her earlier work Gross et al argued that policy is a *proposal* for change; not a detailed map' ( Gross et al 1971 p 359). Winter argued that 'looking for the overall and one for all implementation theory is a 'utopian ' objective which is not feasible, and may even inhibit the creativity that comes from diversity.' (Winter 2006 p158 ). Ottomon and Green are well known scholars in public health and education but also found much of their focuses on policy implementation. In their 1987 review of the concept and context of the theory of implementation they contributed to the policy implementation debate through their observations of preceding scholars:

Implementation is variously described as a stage, a process, or as actions. For Williams ( 1976), implementation ends when program operations begin, but for Weiss ( 1972) implementation *is* program operations. For Pressman and Wildavsky ( 1973), implementation is a process of interaction; for Berman and McLaughlin (1976), implementation is more specifically an organisational process. (Ottoson and Green 1987 p 356).

In their observations Ottoson and Green (1987 p376) concluded that the debate as to whether policy comes before or after or during implementation was a theme running throughout most of the

implementation literature. This realisation was preceded by the work of Kingdon (1984) who had earlier identified the importance of agenda setting, which was presented as an attempt to manage the debate of policy coming before or after or during implementation. Lipsky (2010) had earlier introduced the phrasing and importance of 'street level bureaucracy'. This was an important piece of work as it provided insight into the tensions that existed before, after and during policy implementation. Interest around these tensions continued throughout the eighties, nineties and into the new millennium. Barrett had carriage of research throughout this period and at the turn of the century noted a shift in her research. In Barrett's self reflection on policy implementation studies she concluded that focus was needed 'to address the central paradox of control and autonomy.' (Barrett 2004 p 261). This central paradox was further outlined by Hill and Hupe:

While the top-down/bottom-up debate was heavily influenced by the question of how to separate implementation from policy formation, that was only part of a wider problem about how to identify the features of a very complex process, occurring across time and space, and involving multiple actors. (Hill and Hupe 2009 p 44).

This debate of complexity has continued through various generations of thought moving from a strong 'top-down' first generation (Baradach 1977) to the second generation being focused on 'bottom-up' (Nakumura and Smallwood 1980). The third generation had a clear focus on 'synthesis' of the two perspectives (top down and bottom up) (Sabatier and Mazmanian 1980), while the fourth generation brought an argument that policy implementation was actually 'dead'(dormant) (DeLeon 1999). Bringing the same tensions and controversy into recent literature Hill and Hupe (2009) argue there is a fifth generation and a new paradigm being set around 'governance'. Almost in tandem with this line of thinking has been the growth of the complex structures around governance. Hudson et al (1999) embraced discussions of collaboration, interagency communication which collectively form the basis of a separate school of thought in which argues that a focus on leadership requirements is needed to establish effective governance. In reflecting on the five generations of policy implementation and the possible alignment with leadership the definition of policy implementation presents an important platform for this research.

In their seminal work Pressman and Wildavsky (1973) defined policy implementation as 'the ability to forge subsequent links in the causal chain so as to obtain the desired results.' (Pressman and Wildavsky 1973 p xv). This definition was based on their summary that the study of implementation required an understanding of the apparent simple sequences of events and how this depended on complex chains or reciprocal interactions -the forging of subsequent links. As part of their definition they also recognised that each sequence should be considered with the others in view. In later studies the action of not considering the sequences to follow was defined as the 'the missing link' and became the topic of many scholars to follow, in particular, Hargrove (1975) and DeLeon (1999) - The Missing Link revisited. The concept of the 'missing link' is of interest to this research and especially how the implementation of policy decisions can be understood along the subsequent links in the causal chain events between governance and leadership for collaborative advantage.

As DeLeon (1999) noted in the twelve years between Pressman and Wildavsky's re-writing on policy implementation the pages of references had grown from two pages to twelve and a similar rate of growth can be seen to the number of definitions on policy implementation. Since this research does not seek to debate the definition of policy implementation, its focus is more on exploring the subsequent links and causal chain of events between one of its components governance and leadership for collaborative advantage. An important addition to this exploration is the introduction of the 'paradigm shifts' as outlined by Hill and Hupe (2009). The paradigms cover all three broad areas of policy implementation but for this research the focus is on public administration and sociology. The paradigm shift framework provides a summary of the shifts in practice and study of public administration that Hill and Hupe have used in their analysis of the implementation of public policy. Table One sets out the five generations of policy implementation and the relevant paradigms as considered by Hill and Hupe (2009).

Table One

<b>Hill and Hupe Paradigm shifts</b>	<b>Five Generations policy implementation</b>
The problem-solving	Top Down
The policy-implementation paradigm	Bottom Up
The New Public Management paradigm	Synthesis
The embedded market	Dormant
The governance paradigm	Governance

The paradigms are particularly relevant when considering the governance relationships and subsequent links and causal chains between governance and leadership for collaborative advantage. Before any data is collected within these paradigms it is important to fully explore and understand the generations of policy implementation.

*Generation One*

The 'top-down' perspective formed much of the first generation of implementation studies. Bardach (1977) was not known as a top down supporter but more for recognising it as the tension that existed in

opposition between the popularity of community control (local decision-making) and bureaucracy. In understanding that social scientists could offer much to the area of public policy in particular due to its complexity Bardach designed an analytical framework for examining implementation issues. Although this framework was presented as four distinct types Bardach also noted that there was often a mixture of types in the real world and that any separate grouping was slightly arbitrary. Baradach likened much of policy implementation to a game and the role of the 'fixer' was to know who should be the players and what should be the stakes.

The first distinctive type as defined by Baradach (1977) was the diversion of resources with a particular attention on issues around funding. The second distinctive type was around the deflection from policy goals as they were stipulated in the original mandate. Lipsky (2010) wrote quite intensively about this area and coined the phrase 'street level bureaucrats'. This game and tension was a reflection of the constant controversy between the accountability frameworks that were being applied and the direction chosen by the workers on the ground (street level bureaucrats). Bardach equally used his distinct types as a way of better understanding implementation and attempted to better understand the confinements that both governments and those executing and/or recipients could find a way to navigate and lead this tension and controversy. The third distinct type represented 'social entropy' which related to interpersonal and personal forces in the social world that also confounded the system adding to the complexity. Baradach noted that there was a tension 'with the premise that nearly all control systems operate on a premise that a certain degree or standardization is possible and desirable.' (Baradach 1977 p 129). In this early thinking the considerations of top down were already being questioned:

There is a mistaken notion on the part of many people that the problems of social entropy - incompetency, variability in the objects of control, poor coordination, and perhaps others can be solved by designing better management tools and procedures and by giving more power to institutions specializing in management. (Bardach 1977 p139).

It was this notion of a tension and controversy that gave rise to Baradach's fourth distinct type being the dissipation of personal and political energies in game playing and more importantly the energy that was being taken away from the end game (1977). Having considered the four distinct types as a way to further understand policy implementation Baradach argued 'that problems of implementation should somehow be "taken into account" in the – design and adoption stage.' ( Baradach 1977 pp250). He reminded those involved in policy implementation that any social program that was worth having a government policy about was more than likely to be a ' societal wicked issue' and therefore a complex situation (like reducing child poverty) and not an easy solution to lead. It is at this point that Baradach introduced the idea of the ' fixer' who would take a focus on either repairing or adjusting anything to achieve the end game. Baradach was most active with his research during a period when the top down approach to policy implementation was dominant. At the conclusion of his study and concept of the 'fixer' approach it had started to become apparent that 'the fixer' could not always be imposed and the thinking of bottom up perspectives in generation two had began to evolve.

### *Generation two*

In generation two the school of thought had moved into a period of exploring how less of a top down perspective for policy implementation could be carried forward. Nakumura and Smallwood (1980) focused on case study literature on policy implementation and noted how it had grown rapidly since Pressman and Wildavsky (1973). Their exploration considered policy implementation from the perspective of various actors ie policy makers ; bureaucrats; social scientists including the politics of policy implementation. The question they were attempting to answer was:

Is it possible to construct a meaningful model of policy implementation that captures the complexities or circularity in a manner that is both comprehensive and comprehensible?' (Nakumara and Smallwood 1980 p vii).

In Nakumura and Smallwood's study they reported that the studies on policy implementation that appeared during 1970's revealed a consistent and progressive shift away from the 'classical hierarchy' model (Nakumara and Smallwood 1980 p18). Their work identified that policy implementation was best characterised by a fluid series of interrelationships hence the challenge to the 'classical model' of hierarchy in which action was directed from the top to the bottom. In collating the conceptual framework that had preceded their study they introduced three environments, policy formation; policy implementation and policy evaluation. The key part of Nakumura and Smallwood 1980 conclusion was that there was a circulator relationship in all three policy environments. This line of thinking had been earlier set by the work of Rein and Rabinovitz (1977) and their principle of circularity. A common theme was also being recognised being that the links between functions in top to bottom could not be ignored. Nakumura and Smallwood (1980) research aligned these links by designing five criterions that would assist with the subsequent links between the three environments, - policy goal attainment; efficiency; constituency satisfaction; clientele responsiveness; system maintenance:

Our analysis has indicated that the policy implementation process is characterized by a complex series of diverse linkages among policy makers, implementers, and evaluators, and that a high degree of political judgment and leadership is required to tie this system into an integrated whole. (Nakumara and Smallwood 1980 p181).

The notion of leadership was recognised but the consideration of theories that surrounded leadership concepts such as complex adaptive systems by scholars of this period had not yet been clearly aligned.

The conclusion of there being linkages with leadership did prompt many of the second generation thinkers who were exploring the best way to move a policy proposal to its successful fruition. Mazmanian (1983), Nakumara et al (1980) and Berman (1978) were some of the second generation explorers to characterise the top down orientation being less democratic in its



approach was needed to enable the bottom up perspective. In their collective work bottom up implementation only occurred when those who were primarily affected (or to be receiving) were actively involved in the planning and execution of these programs. It was at this point that the literature began to recognise that consideration at both ends of the top down spectrum and bottom up perspectives were important and the third generation of thought of finding a synthesis or balance emerged.

### *Generation three*

The third generation brought a window of 'synthesis' between the top down spectrum and bottom up perspective with Sabatier (1986) being one of the key authors. Matland (1995), Ingram (1990) and Scheberle (1997) presented contingency theories as a way of balancing this third generation. The decade of the 1980s saw much debate and development around the topic of policy implementation. It was presented across two main fields of inquiry with one arguing that hierarchical control does not bring results, while a second field of inquiry introduced the importance of networks. These two lines of inquiry were explored extensively both together and separately by Sabatier and Mazmanian ( refs).

As part of their early work Sabatier and Mazmanian (1979) identified six conditions that were necessary for effective implementation. The first three conditions were 'dealt with by the initial policy decision.' (Sabatier and Mazmanian 1979 p291). The later three were 'largely the product of subsequent political and economic pressure during the subsequent implementation process.' (Sabatier and Mazmanian 1979 p291). To assist with keeping the focus on the policy implementation process both Sabatier and Mazmanian (1980) later proposed that there were five conditions that could be useful when knowing when to adopt which model. Many scholars of the third generation Sabatier (1986); Elmore (1978); Lane (1987) identified that the synthesis was attempting to balance a controversy between those who supported spontaneity, learning and adaption to problem solving and those who supported hierarchy and control.

Sabatier and Mazmanian's (1980) five conditions identified a common denominator which

subconsciously could be explained as leadership qualities. The emphasis of all two sets of conditions (six and five conditions to effective implementation -Sabatier and Mazmanian ref) highlight the importance of accountability for those overseeing or being recipients of the policies being implemented. The earlier work of Van Meter and Van Horn (1975) recognised the importance of characteristics of the implementing agencies but Sabatier and Mazmanian later increased this to include the recruitment of committed and skilful officials to lead the accountability of the interest groups that were being supported. It was at this point of the third generation that the recognition of the need to lead the policy implementation process was heightened but in Sabatier's and Mazmanian's attempt to contemporise the conditions for effective implementation they re-summarised the focus to find a balance between the spontaneity of problem solving and support for hierarchy and control. Although the exploration of leadership was limited, the need for a balance between tensions and controversy between spontaneous problem solving and hierarchy and control had become heightened.

#### *Generation four*

At the point in time of the fourth generation many policy implementation scholars such as De Leon (1999) labelled policy implementation studies as an 'intellectual dead end'. Although not clearly defined as a fourth generation the work of O'Toole (2000) presented policy implementation and its top down and bottom up controversy as simply different way of looking at policy implementation. In some earlier writings DeLeon (1999) also introduced a consideration of rational choice and game theory yet again aligning social sciences with complexity science but without further analysis of the subsequent link and causal chain of events between policy implementation and complex adaptive systems. Barrett ( 2004) explained the fourth generation as the generation that 'wasn't'. For those who were interested in more contemporary thought consideration was given to the outcome of policy implementation consequences rather than structures or processes. De Leon concluded that:

The combination of greater emphasis on a democratic orientation, buttressed by more of a post-positivist orientation and methodology and a realistic assessment of what

implementation can deliver (as opposed to promise) may not win any Nobel Prizes. (DeLeon 1999 p 30).

Barrett wrote quite extensively about her experiences of earlier policy implementation research and the importance of better understanding what actually happens at policy recipient level. Barrett reflects on her own experience ranging from the mid 1960s which saw a shift to the concept of strategic plans, to the 1970s where research staff were appointed to review and evaluate the effectiveness of their research. In considering Barrett's (2004) reflections the first of her main areas - policy analysis sets the scene for the deliberations of the fourth generation that were more focused on understanding implementation failure. Along with many other commentators Barrett further defined implementation failure by the following factors:

1. Lack of clear policy objectives; leaving room for differential interpretation and discretion in action;
2. Multiplicity of actors and agencies involved in implementation; problems of communication and co-ordination between the 'links' in the chain;
3. Inter- and intra - organizational value and interest differences between actors and agencies ; problems of differing perspectives and priorities affecting policy interpretations and motivation for implementation;
4. Relative autonomous among implementing agencies limits of administrative control. (Barrett 2004 p252).

Barrett 's focus was very much on the links between actors thus a better understanding of subsequent links and causal chains of events. This is demonstrated through Barrett's (2004) presentation of four areas; clear and unambiguous policy objectives: increased emphasis on specific performance targets and standards; formal contracts: no doubt as to what was regarded as satisfactory achievement; resource availability: introduction private sector; control of agencies personnel: line management accountability. These new considerations for managers was described by Barrett in the following terms:

managers were now responsible for putting policy into effect and also to blame if things went wrong. Success or failure was judged on the basis of meeting pre-set targets for ensuring delivery on policy targets. (Barrett 2004 p 258)

The two other main areas identified by Barrett (2004), evaluative studies and organisational studies, introduce the literature behind policy implementation and governance into complex adaptive systems theory and leadership for collaborative advantage. It is suggested that the fourth generation of policy implementation being considered as dormant was better defined as a point in time for a re focus.

#### *Generation five*

Hill and Hupe (2009) promoted the next new era of policy implementation studies to consider 'the governance paradigm', the fifth generation of policy implementation thought. Lynn et al (2000) had earlier introduced a hierarchy of relationships as a way to further understand the logic of governance: those relationships that exist between citizens preferences and legislative choice; legislative preferences and formal structures; formal structures and management; management and primary work of public agencies; public agencies focus on outputs/results; outputs/results and stakeholder assessments; stakeholders assessments and political preferences and interests - which should relate to citizens preferences. Many of these considerations demonstrated the importance of horizontal and vertical collaboration and Hill and Hupe (2009) considered how governance could play a role in balancing such collaborative relationships.

Practitioners in public administration are working under an action imperative. They constantly need to answer questions for themselves about how to act. The study of implementation is about those acts. (Hill and Hupe 2009 p 164).

Hill and Hupe also agreed that:

governance makes the top-down /bottom-up debate seem rather dated, and the top-down control emphasis in the work of some of the top-downers writers particularly irrelevant.

Implementation theory has developed and moved away from that debate to take on board complexity in respect both of the process and of the related issues of control. (Hill and Hupe 2009 p201)

The most recent school of thought being around the governance paradigm and importance of considering the role of leadership for collaborative advantage introduces the second theme and a strong alignment with complexity science .

## **2.2 Why considerations of leadership for collaborative advantage?**

### *Complexity Science*

Leadership for collaborative advantage has its roots in the theory of Complexity Science. Complexity science is set to understand the dynamics of networks and emergent events through considering both mathematical modelling and philosophical foundations. The focus of this theory is on investigating how relationships between parts of a system give rise to the collective behaviours of a system and how the system interacts and forms relationships with its environment. This is a useful framework to consider for this research as complexity science provides an unique theoretical scaffold that can assist with the exploration of subsequent links and causal chains of events along the conceptual framework localism continuum -between policy decision makers and for those the decisions are being made for.

The scaffold is presented in seven complex systems equations and these equations represent organised but unpredictable behaviours of natural systems. The natural systems are summarized as Games Theory; Evolution and Adaption; Networks; Collective Behaviours; Pattern Formation; Non Linear Dynamics; Systems Theory. This research will not explore each of these scaffolds in detail but will further explore those traits that have an effect on leadership for collaborative advantage. The seven complex systems are not presented in any specific order as they all interrelate but the first traits to be considered can be found in the scaffold of Games Theory. These traits include discussions around

rational decision making which are useful in considering the decision making process between the policy decision makers and recipients. The Evolution and Adaption scaffold provides an exploration of the traits to better understand the computation of behaviours and this research will focus in particular on behaviours along the conceptual framework localism continuum. Networks as the next scaffold are important as they often present as adaptive (or non adaptive) which impacts on the adaptability and ability for the behaviours to change the system. The fourth scaffold Collective Behaviour presents the ability to be critically self-organised requiring quite sophisticated behaviours to consider the issue in hand as a whole rather than an isolated case. The final three scaffolds, Pattern Formation, Non linear Dynamics and Systems Theory are the most relevant for this study.

Patterns Formation sets the scene for dissipative structures and Lichtenstein and Plowman (2009) describe this as disequilibrium where a need for change becomes heightened to an intense level. The need for change leads into Non linear Dynamics where particular attractors agitate the collective behaviours thus creating some form of new entity to be considered (Goldstein 2010). Systems Theory becomes a reality when sense making of this new entity enables changes to take effect (ref). In considering the conceptual framework localism continuum the shift in the behaviours (Pattern Formation) of policy decision-making incorporating local decision-making (Non Linear Dynamics) can move from extreme ends of the continuum and totally shift the balance of power creating systemic change (Systems Theory). This research will provide an exploration of the experiences of key actors and the subsequent links and causal chains of events along the localism continuum. The study will explore how two governance arrangements influence local decision-making in policy decisions in early childhood reforms, especially through the experiences of the key actors involved. The scaffolds of the seven complex systems and their relevant traits are being used to introduce the mass literature available in this broad theoretical base. One part of the complexity sciences literature that is relevant for this research is further drawn from the Pattern Formation, Non Linear Dynamics, Systems Theory and presented as Complex Adaptive Systems. (CAS).

### *Complex Adaptive Systems (CAS)*

Complex Adaptive systems (CAS) are special cases of complex systems. They are complex as they are made up of dynamic interconnected elements and as Uhl-Bien and Marion (2008) claim they are adaptive in that they have the capacity to change. In this research the complex adaptive systems to be explored are best described as a dynamic network of interactions rather than a multi-agent system. Dynamic network interactions are very different to a multi-agent system as a multi-agent system is composed of multiple interacting agents. The exploration of subsequent links and causal chain of events is a dynamic network where all agents such as the individual and the aggregate are adaptive. The Sure Start reform was also created to shift from multiple interacting agents to a more dynamic network and therefore provides a useful case study for this research project.

The differences between a dynamic network of interactions and multi-agents system will be further explored in this research as part of the emergent behaviour patterns that will be plotted along the conceptual framework localism continuum. Although not in isolation the case study will consider complex adaptive systems by being focused on features like complexity, emergence and self-organization which are all presented as components of leadership for collaborative advantage (Huxam). McKelvey and Lichtenstein (2010) point out that complex adaptive systems theory considers leadership not to be held by any particular person or role but to be a process embedded in all the interactions amongst all agents in a system. It is widely considered that Complex Adaptive Systems are capable of creative problem solving and this is the focus of any leadership in particular with issues affecting society, such as reducing child poverty. In accepting that complex adaptive systems are a dynamic network of interactions, open evolutionary aggregates bonded by a common goal, purpose or outlook the form of leadership in this environment has to be about leadership for collaborative advantage.

Rather than focusing on top-down control and alignment, complexity leadership theorists

agree that leaders should temper their attempts to control organisations and futures and instead focus on developing their ability to influence organisational behaviour so as to increase the chances of productive futures. (Marion & Uhl-Bien 2001 p4)

The dilemma, tensions and challenges between top down spectrum and conditions for bottom up perspectives are well documented within all of the five generations of policy implementation thought commentary. Collaborative leadership in policy implementation is recognising that the skills required from leaders is to balance this tension and create conditions that leave the system able to generate positive emergence, whilst providing some basic control to keep the system focused along the way. This process is referred to as leadership for collaborative advantage and will be explored by this research recognising that the tension between empirical research and practical wisdom is a given so the need to nurture dynamic network interactions is key. In furthering exploring leadership for collaborative advantage Huxam (2003) argued that a conscious decision whether an issue is best progressed through collaboration would need to be agreed.

#### *Leadership for Collaborative Advantage*

Huxam (2003) proposed the kind leadership style required for collaborative advantage could be coordinated through nurture. The theory of complex adaptive systems describes a similar form of nurturing leadership as generative. Generative leaderships creates a context to stimulate innovation in complex systems it involves balancing connectivity and interaction among individuals and groups in complex systems by managing complexity and institutionalizing innovation (Surie and Hazy 2006). In considering the balancing of the tensions along the localism continuum the ability to demonstrate a critical element of generative leadership is particularly relevant to this research. Surie and Hazy (2006) describe generative leadership as:

the ability to seek out, foster, and sustain generative relationships that yield new learning relevant for innovation. (Surie and Hazy 2006 p13)

Since this research seeks to understand the influence of two governance arrangements on local decision-making in policy decisions for early childhood reforms, the behaviours of leadership for



collaborative advantage experienced by the key actors involved is an important context to be explored.

In further understanding leadership for collaborative advantage there are five processes of generative leadership that this research will consider; interaction experience; interaction alignment; interaction speed; interaction partitioning; interaction leveraging. The use of interaction experience symbolic language ie visionary/charismatic allows individuals to experience the communication as being personalized or as Weick (1979) describes sense making and sense giving. This sets the stage for interactions and promotes clear and effective communications between groups and individuals:

generative leaders focus on helping to evolve a language that evokes meanings that are well understood in the organisational context. (Surie and Hazy 2006 p17).

The understanding of symbolic language along the localism continuum in this research will be considered through the interviews with key actors. The second process to be considered is interaction alignment and in particular how interactions are aligned toward the achievement of system goals:

Generative leaders ensure the goals are specified in advance to ensure that all group members participating in the innovation project are aware of them. (Surie and Hazy 2006 p17).

In addition the third process includes interaction speed in particular how new technologies can enhance complexity absorption and permit rapid interactions. Both the second and third process will be explored in the research by considering how key actors align the pace of their interactions with a particular interest if technology had any influence.

The fourth process, 'interaction partitioning', is where resources are allocated dynamically across sub-systems and operate to manage the interfaces between them. This process is relevant to this research because gaining an understanding how key actors cope with the tensions along the conceptual framework localism continuum will be explored with a focus between governance and leadership for collaborative advantage. Surie and Hazy (2006) claim that 'Generative leaders also recognize that complex tasks must be sub-divided into simpler tasks and performed in independent modules to

enable collaborative interactions without overloading the system.’ (Surie and Hazy 2006 p18). The final and fifth process, ‘interaction leveraging’, is the ability to simultaneously induce interactions while reducing and absorbing the resulting complexity. This balancing of inducing and reducing will be further explored along the conceptual framework localism continuum.

### **2.3 Tensions and controversies of exploitation and exploration**

#### *Localism Continuum - Exploitation and Exploration*

As noted earlier the work of Marsh (1991) provides a useful descriptor framework to outline the extremes at each end of the localism continuum. At one end, top down experiences are presented as those of exploitation where planned old certainties are favoured. At the other end, bottom up experiences are presented as exploration encouraging unplanned new possibilities. Marsh (1991 p71) established that maintaining an appropriate balance between exploitation and exploration was a primary leadership factor in system survival and prosperity. This research aims to explore complexities along the conceptual framework localism continuum to further understand the influence, if any, local decision-making in policy decisions for early childhood reforms as demonstrated through Sure Start.

If adaptive systems engage in exploration to the exclusion of exploitation Marsh suggests ‘they are likely to find that they suffer the costs of experimentation without gaining many of its benefits. They exhibit too many undeveloped new ideas and too little distinctive competence.’ (Marsh 1991 p71).

Conversely Marsh explains that ‘systems that engage in exploitation to the exclusion of exploration are likely to find themselves trapped in suboptimal stable equilibria.’ (Marsh 1991 p71).

Understanding the level of exploitation and exploration and how leadership for collaborative advantage experiences emerge across two governance arrangements are a key focal point for this research.

## *Emergence*

Lichtenstein and Plowman (2009) describe emergence as focusing on the connection between knowledge. This research is interested in the interactions that occur between exploitation and exploration, especially those that result in unintended changes. Lichtenstein and Plowman (2009) have devoted much of their studies to the concept of emergence and in understanding how emergence assists with identifying the movements in any individual or group interaction.

To assist with this understanding Lichtenstein and Plowman (2009) identified four contextual conditions that were conducive to enabling emergence. The first of these conditions is being in a 'disequilibrium state', which is simply identifying or being aware of the need for change as introduced in the scaffold of Pattern Formation. The second condition is 'amplifying actions' as it is not sufficient to just have disequilibrium but some form of model to lead the need for change. In appreciating leadership for collaborative advantage the key role for the leader in this second condition is to manage and nurture this process. This heightens the importance of leadership for collaborative advantage as presented by Huxam (2003). The third condition is 'recombination/self-organisation' and it is at this point that the leadership role is a shared one and all those involved which Goldstein et al (2010) refer to as 'attractors' take specific areas as lead. The final and fourth condition is 'stabilizing feedback' which involves governance arrangements that can account for behaviour and be content at multiple levels at the same time.

Zivkovic (2012) in her summary of emergence explains the four contextual conditions as the 'disequilibrium state embracing uncertainty'. The amplification of actions is where a new adaptive process is occurring while the self-organisation occurs 'the other side of the threshold where the agents and resources in the system recombine into new interaction patterns that improve system functioning.' (Zivkovic 2012 p3). Zivkovic summarises the fourth condition of stabilizing feedback as where the new adaptive state becomes integrated and the new system begins. In considering Zivkovic's summaries they align well with this stage of the research and exploration of the conceptual

framework localism continuum and the experiences of key actors involved in the Sure Start reform.

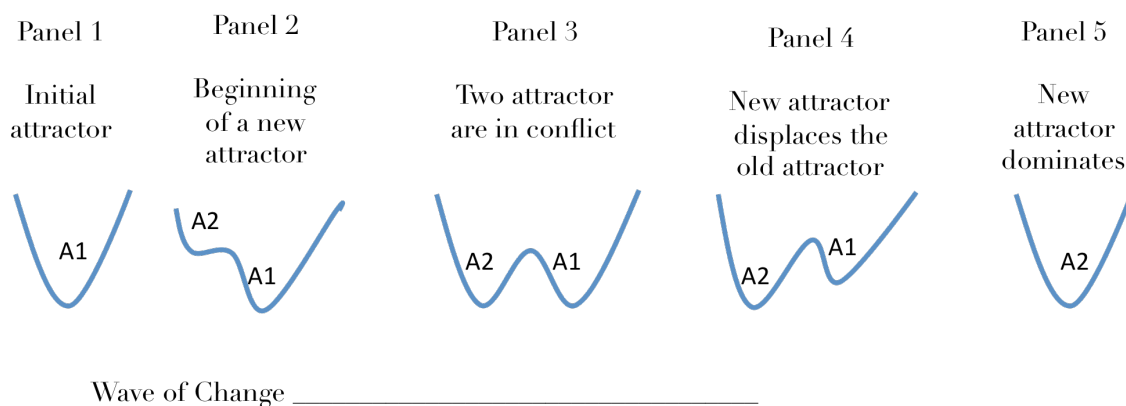
As pre outlined by many commentators (Lichenstein and Plowman 2009; Goldstein et al 2010; Uhl-Bien and Marion 2008; Surie and Hazy 2006; Marsh 1991; Huxham 2003) experiences are interconnected and set within a moving framework and the style of governance to enable such leadership must have the ability to set the right conditions for bottom up dynamics whilst applying top down alignment. To be successful at managing emergence along the conceptual framework localism continuum it is important to be able to firstly embrace uncertainty and be successful in disrupting existing patterns to generate disequilibrium. Along with this comes an ability to bring to the surface conflict to create controversy and continue with the disequilibrium being created thus setting the scene for unplanned exploration.

Emergence is an important concept within this research as it describes the balancing of the tensions and controversies that may exist within the localism continuum. Nine leadership behaviours will be considered across the localism continuum to explore if any governance arrangements has had any influence with local decision-making in policy decisions for early childhood reforms. Brown (2012) recognizes the difficulty in managing emergence and promotes the nine specific leadership behaviours to contend with: embracing uncertainty; surfacing conflict to create controversy; allow experiments and fluctuations; encourage rich interactions; support collective action; create correlation of language/symbols; recombine resources; becoming a 'tag'; stabilizing feedback. This research provides an exploration of key actors (that have been identified as part of the case study) level of difficulty and interactions they may have experienced with emergence along the conceptual framework localism continuum. The nine specific leadership behaviours will provide a framework to further understand emergence and the adaptive process known as 'attractors'.

## Attractor

Attractors are phenomena that arise when small stimuli and probes resonate with people (Snowden and Boone 2007). The key actors experiences within attractors is important as through exploring the adaptive process, of opportunity tensions and controversies information, differences can be identified. Goldstein et al (2010) described this process as ‘criticalization’ and this study will consider criticalization along the conceptual framework localism continuum. To assist with this understanding Goldstein et al presented the merging of adaptive processes in the form of a ‘five panel’ model. The model provides an exploration of the criticalization experience, which is useful in understanding the adaptive process along the conceptual framework localism continuum and why at times the balance is difficult to ascertain and chaos may prevail. The five panel diagram is represented in Table Two:

Table Two: The path of criticalization (Goldstein, Hazy & Silberstang, 2010, p.107)



The five panel model begins with a current state of play where the norm is no longer evident and a need for change is recognised. The second panel of the model represents the situation where the need for change which is becoming more intense. This corresponds to the scenario along the conceptual framework localism continuum where the bottom up needs or local decision-making are not being met

by top down policy decisions. This is often a stage of unrest and traditional leadership approaches are therefore not effective. The third panel is where there is chaos and the two attractors can no longer operate effectively and something must be changed. Within the conceptual framework localism continuum this is represented as a heightened tension. For the exploitation end of the localism continuum the top down planned policy implementation is represented by ineffective policies. At the exploration end of the continuum recipients report much evidence of unrest and disengagement. To move into the fourth panel leadership for collaborative advantage and criticalization enables a new attractor to take shape. The systemic change of the fifth panel is one of stability and balance that leads to systemic change.

The attractor model as outlined in Table Two provides an understanding of the tensions along the conceptual framework localism continuum but also highlights the importance of leadership for collaborative advantage. In considering a more focused lens on this type of leadership Snowden and Boone (2007) created five tools that underpin complex leadership systems. Firstly being able to open up discussions and foster network construction is the first stage in recognizing that change is afoot and a new attractor is to be considered. The next two tools set barriers/boundaries and stimulate attractors are established to create bottom up network construction recognizing that this will lead to some form of chaos as identified at the third stage. The fourth tool is to encourage dissent and diversity or 'dropping seeds' of emergence. This is achieved through identifying, empowering and fostering communication between all parties and in line with Godsteins et al (2010) criticalization identifying opportunity tensions and information differences. The fifth tool considered by Snowden and Boone (2007) utilizes the conditions of emergence to think systemically and guide the new attractor into the change that has taken place.

The importance of the seven scaffolds of complexity science and the need to better understand the subsequent links and causal chain of events between governance and leadership for collaborative

advantage have been established. Complex adaptive systems theory as a scene setter demonstrates the importance of dynamic network interactions to align governance and leadership for collaborative advantage. The importance of generative leadership and tracking emergence will be further explored across the contextual framework localism continuum. The attractor model provides five panels to explore subsequent links and causal chain of events between governance and leadership for collaborative advantage. Social issues like reducing child poverty continue to appeal to the need for leadership for collaborative advantage to enhance local decision-making and community engagement to promote changes that will positively affect that community. Given the magnitude of policy decisions to address child poverty the topic of aligning policy implementation and complex adaptive systems continues to need to operate from a more connected interface and result in reduce silos.

### **3. Theoretical Background**

#### **3.1 Governance arrangements – Collective Impact/Localism Act**

The two governance arrangements being considered in this research represent and provide two analytical practices that are anticipated to contribute to the exploration of subsequent links and causal chain of events between governance and leadership for collaborative advantage. The first is a governance framework, Collective Impact (Kania and Kramer 2011), which has five conditions that will underpin the interview questions of the Sure Start key actors in the case study. The second is a legislative global first and the Localism Act (2011) and provides a timeline for pre and post Sure Start policy implementation.

#### **Collective Impact**

##### *Introduction to concept*

Collective Impact is a concept formed by Kania and Kramer (2011) following an analysis of successful organisations that deal with societal issues across political science, public administration/sociology and economics. The key focus of their study was on the not-for-profit sector

in particular around the processes of how it was funded. Collective Impact is presented as a commitment of a group of important actors from different sectors to a common agenda for solving a specific problem. Many commentators proposed that Collective Impact reverses the traditional not-for-profit social change process (Schmitz 2012; Blatz 2013).

Traditionally, a nonprofit identifies an isolated need, creates a service for that need, demonstrates results, and scales their service to more people in hopes of creating larger societal change. Collective Impact instead begins with changing the community overall and works backward. ( Schmitz 2012 accessed 10/4/13 posted 9/27/12 4.54pm).

In further understanding the differences between a traditional not-for-profit and one that was embracing the Collective Impact framework a key differentiator to note is the way success is measured 'instead of each group's success being measured by meeting outcomes with their clients, everyone's success is measured based on how they help move the overall community result. (accessed 10/4/13 posted Schmitz 9/27/12 4.54pm.)

Measurement was highlighted in their seminal paper in winter 2011 and Kania and Kramer identified five conditions that underpinned successful Collective Impact initiatives to date; Common agenda – the group being focused on same outcome; Shared measurement: using data to learn from each other; Mutually reinforcing activities: all operating differently but all activities aligned and co-ordinated through an aligned strategy; Continuous communication: regular updates at all levels; Backbone organization: Infrastructure that holds everything together across the participating organizations. Kania and Kramer summarised their work by hypothesizing that the 'five conditions offered a more powerful and realistic paradigm for social progress than the prevailing model of isolated impact in which countless nonprofit, business, and government organisations each work to address social problems independently.' (Hanleybrown et al 2012 p 1). The five conditions are important elements of Collective Impact but more importantly since its inception and pilot stages a further three pre conditions to achieve Collective Impact and three phases that track its progress have been identified.



Three pre conditions and phases

In more recent studies Hanleybrown et al (2012) identified the importance of three pre conditions to be actioned and inclusive of three distinct phases. The pre conditions of Collective Impact are presented in Table Three:

Table Three

<b>Pre-condition 1</b>	<b>Pre-condition 2</b>	<b>Pre-condition 3</b>
Case for change	Champion/s	Adequate resources (capital allocation)

The three pre-conditions represent just a few of the components of the first phase of Collective Impact. In the first pre-condition Hanleybrown et al (2012) found that to even initiate action there needs to be a reason for the change or as Lichtenstein and Plowman (2009) emphasized the importance of setting the scene for dissipative structures or disequilibrium as identified in patterns formation. The second pre-condition highlights the importance of a champion being identified and how an influential champion could consist of either singular or plural characters. The key identified attributes include having the energy of pursuing the purpose for change, demonstrate leadership for collaborative advantage which Surie and Hazy (2006) argue demands a generative leadership style to stimulate interaction. The third pre-condition plays an important role in ensuring adequate resources or capital allocations are established. Kania and Kramer (2011) claim that ‘the creation of a new set of non profit management organisations that have the skills and resources to assemble and co-ordinate the specific elements necessary for collection action to succeed.’ (Kania and Kramer 2011 p39). In summary the three pre-conditions must take as long as what is needed to build the foundations for the three phases to follow. The three phases of Collective Impact are introduced in Table Four:

Table Four

<b>Components for success</b>	<b>Phase 1 initiate action</b>	<b>Phase 2 Organise for Impact</b>	<b>Phase 3 Sustain action and impact</b>
<b>Governance and infrastructure</b>	Identify champions and form cross-sector groups	Create infrastructure (backbone and processes)	Facilitate and refine
<b>Strategic planning</b>	Map this landscape and use data to make case	Create common agenda (goals and strategy)	Support implementation (alignment to goals and strategies)
<b>Community involvement</b>	Facilitate community outreach	Engage community and build public will	Continue engagement and conduct advocacy
<b>Evaluation and improvement</b>	Analyse baseline data to identify key issues and gaps	Establish shared metrics (indicators measurement and approach)	Collect, track and report progress (process to learn and improve)

Hanleybrown et al(2012) describe the first phase of Collective Impact as developing strategic frameworks:

Successful frameworks include a number of key components: a description of the problem informed by solid research; a clear goal for the desired change; a portfolio of key strategies to drive large scale change ; a set of principles that guide the group's behaviour; and an approach to evaluation that lays out how the collective impact will obtain and judge the feedback on its efforts (Hanleybrown et al 2012 p 5)

In considering that part of the establishment of the first phase the three pre-conditions of Collective Impact are most instrumental in creating successful leadership frameworks. As stated earlier the importance of leadership and the components of the first phase align well with preparing for the process of ‘criticalization’ (Goldstein et al 2010). Criticalization maps the adaptive process of opportunity tensions with any controversies of information differences, which is integral to initiating action. Key to managing this first phase is in initiating the action in readiness for the emergence of the second phase of organising for impact.

The second phase relates to initiating governance and the first two of the Collective Impact five conditions of success; common agenda and shared measurement. Hanleybrown et al (2012) concluded that governance arrangements are best consolidated once these two conditions have been met. In simplest terms this enables the governance arrangements to be designed and 'fit for purpose'. Even identifying whom the relevant stakeholders to be a part of the governance arrangements are is a key task in itself. The establishment of key stakeholders is best achieved through shared metrics, which also provide a joined up platform. It is also important to note that much of the momentum throughout the pre conditions and the three phases is not linear and there may be forward and backward movement across the table throughout the life of the project especially while the common agenda is being agreed and the shared measurement data procedures are established. Once phase two is established central accountability by all stakeholders demonstrates a shift from the historical practices of isolated impact models . Especially as Collective Impact is more than a matter of encouraging more collaboration (Blatz 2013). When the governance structures of phase two are in place the project is ready for the sustained action of phase three.

The third phase best describes a form of fluidity that is required to enable sustainable action and impact. This becomes the working hypothesis of the collective and is a space where not just success is noted but how failure is understood, which plays a key role in aligning the collective. Often in social change project failure, is not recognized, as an important element to be encouraged or presented, in reality funding is more likely to be withdrawn if failure presents. The Collective Impact framework advocates for the importance of ongoing facilitation and refining approach to failure. This presents as a natural alignment with literature of leadership for collaborative advantage and its roots in complex adaptive systems theory (ref). The nine leadership behaviours of the context of emergence outlines the importance ranging from embracing uncertainty to stabilizing feedback, in particular, within dynamic network interactions.

This research provides a link between governance and leadership for collaborative advantage through an exploration of two governance approaches and their influence, if any, on local decision-making in policy decisions for early childhood reforms. Collective Impact presents as one of the governance arrangements and the five successful conditions will be used to underpin the questions asked of key actors involved in Sure Start. The five conditions provide a useful framework to further explore and understand complexities along the conceptual framework localism continuum.

### *Collective Impact - five conditions*

#### *1. Common agenda*

The results of a common agenda involve stakeholders imagining, believing, owning and being accountable to the social project. The steps to achieving this is to spend time on the visions and to do this effectively the right stakeholders need to be involved. Although stakeholders at all levels need to be involved Kania and Kramer (2011) found it was most important for those with the most senior influence to take the lead in the first instance to give the concept adequate gravitas. Diversity of views is also essential so consideration must be applied across all actors to be involved ensuring there is a good cross section and not complacency or just ‘the usual suspects’ from one sector/organisation. The common agenda is inclusive of the first pre-condition and is one of the important stages of the first phases of Collective Impact. From a leadership for collaborative advantage perspective the common agenda is recognized in the setting of the early stages of emergence (Lichtenstein and Ploughman 2009) and nurturing bottom up dynamics whilst applying top down alignment (Huxam 2003).

The common agenda is most important in structuring governance arrangements especially to support spontaneity whilst managing hierarchy and control. This process requires a form of trust to be built and will need to take as long as is needed — could take up to two years to arrive at a common agenda (Blatz 2013). Skilled facilitation can make a big difference at this stage as it enables all actors to be on an even level. All actors need to enter these discussions being prepared to be out of their comfort zone, leaving egos behind and willing to change their views. Expecting the process to seem and feel

unclear is an important pre stage in arriving at a point of clarity. Even before the common agenda is agreed some form of tracking of progress is important to have established and a more detailed tracking process is managed within the second condition of Collective Impact - shared measurement.

## *2. Shared measurement*

It is well received that metrics provide a sense of clarity to better understand any outcome. It is also well understood that setting outcomes provides a pathway to being clear on the problems to be solved and/or area of focus. Focus is key to Collective Impact and goals need to be defined as much as possible on the data that is available. It is also equally as important to note areas of focus where there is no available data as this sets a very clear goal in itself. Kania and Kramer (2013) and Blatz (2013) advocate that decisions must not be made unless the data to base the decisions upon is available. In the first phase of the Collective Impact framework data is used to support the honest and courageous conversations that need to be held especially to highlight relevant issues and drive change at the local level.

As data is central to the change agenda it is important to publish and share the results of the baseline analysis to identify key issues and gaps. Keeping data transparent and available is a powerful lever for change both for improvements and failures. These combined factors along with the focus for the collective being on what can be done together rather than what can be done separately is fundamental to preparing for the second phase of Collective Impact. Blatz (2013) emphasized the importance of knowing what data can be shared, what will help stakeholders make better decisions, what activities can be better coordinated if working together and what advocacy issues need to be progressed. The shared measurement process presents an opportunity to develop a system to hold all involved to account. In return this provides a platform to be clear on what needs to happen to 'move the needle' in the right direction (Blatz 2013). As discussed earlier, failure and setbacks are not to be seen as a negative but as something to learn from. It is during this point in particular, that any failures are not followed through with funding cuts but are considered as part of the framework for mutual decisions to be made. The third successful condition focuses on mutual activities to align such purposes.

### *3. Mutually reinforcing activities*

Mutually reinforcing activities become very clear once the work of many different organisations can be mapped out against the same set of indicators and outcomes.

(Hanleybrown et al 2012 p5).

Mutually reinforcing activities form much of the foundations of the second phase of Collective Impact in organizing for impact. It is at this point that the conversations around the infrastructure of what exactly needs to change to be able to ‘move the needle’ are identified. Consideration of the five paradigm shifts as presented in Table One (Hill and Hupe 2009) highlight the importance of understanding the subsequent links and casual chains between governance and leadership for collaborative advantage that enable mutual reinforcing activities. The nature of the outcomes reporting to a shared system and single reference point forces if nothing else the collective to be reporting on collective impact progress. This research provides an exploration of any mutual reinforcing activities of key actors within Sure Start to be found along the conceptual framework localism continuum. As part of this analysis a key emphasis will be placed on the fourth Collective Impact condition – continuous communication.

### *4. Continuous communication*

The process of communicating especially during all three pre-conditions and three phases of Collective Impact is part of the value setting process, which is a prerequisite for building trust. There is of course a balance to be achieved and patience is required throughout this process. Blatz (2013) reported on the success of the pilot Collective Impact scheme Cradle to Career how communication techniques were used to get the message across and engage service users, funders, advocates, service providers, government and the business community. To establish continuous communication face to face meetings are essential especially in the early stages while trust is being established (Blatz 2013). The exploration of the importance of communication and the criticalization process (Goldstein et al 2010) along the conceptual framework localism continuum is best demonstrated through the five stage model as outline in Table Two. This model outlines various stages that require different forms of

communication, mobilising and enabling adaptation of unplanned possibilities to systemic change. This adaptive process is referred to as ‘attractors’ and Snowden and Boone (2007) created five tools that underpin the communication of such complex scenarios.

Blatz (2013) managed communication across complex scenarios by recognizing that once the social change project is underway it is important to inform all stakeholders regularly on how things are especially progressing. The use of technology particularly in the third phase enables the strategic plan to be updated for the whole collective to make decisions based on the ‘needle being moved’. All four of the Collective Impact conditions of success require some form of co-ordination and this is convened in the fifth condition by the creation of a Backbone organization.

##### *5. Backbone organization*

The Backbone organization is a crucial element of the Collective Impact framework as without a well-funded backbone entity or entities (sometimes this can be a shared role) the project is unlikely to be a success. The right leadership in the backbone organization requires the creation of a ‘a new set of nonprofit management organizations that have skills and resources to assemble and co-ordinate the specific elements necessary for collective action to succeed.’ (Kania and Kramer 2012b p 5). A key differentiator between a coalition and Backbone organization is the later’s ability to focus on the ‘whole’ rather than ‘itself’. The skill set required within the backbone is further shaped during the establishment of the three pre-conditions and the first two phases of Collective Impact. Although there is a strong requirement for the ability of a Backbone organization to be able to build trust with all stakeholders the key staff skills include project management and data gathering and analysis. A key role of the backbone is to ensure those most affected are involved throughout as they have a crucial role in holding all stakeholders involved in the process to account. This requires an advanced ability to ensure attention is given to ensure things that don’t seem right are discussed until agreement is achieved.

No collective impact effort can survive unless the backbone organisation is led by an executive possessing strong adaptive leadership skills; the ability to mobilize people without

imposing a predetermined agenda or taking credit for success. (Hanleybrown et al 2012 p6).

To better understand the backbone organization Turner et al (2012) have identified six common activities: guide vision; supporting aligned activities; establishing shared practices, build public will; advance policy; mobilize funding. These common activities are going to be used as a thematic framework to collate the answers of the key actors. This research provides an exploration of the subsequent links and causal chains of events especially the experiences of the key actors of Sure Start: how the vision of Sure Start was developed, how the key actors were supported, if any shared practices were achieved with a focus to building public will and/or advancing policy and any findings that funding was better mobilized. In their attempt to share learnings about implementing Collective Impact Turner et al (2012) also identified seven characteristics of backbone leadership to include: visionary; results orientated; collaborative relationship builder; focused but adaptive; charismatic and influential co-communicator; Politic; Humble (servant leader). As discussed earlier, the exploration of governance is embedded in the broad literatures of social science and this research is expanding the limited links with complexity science literature. These leadership characteristics provide a framework for analysis along with the complexity science theories. The interest of subsequent links and causal chains of events between governance and leadership for collaborative advantage is presented through the three broad areas of public policy, the five generations of thought of policy implementation, the seven scaffolds of complexity science, the complex adaptive systems theory of dynamic interactions and nurturing generative leadership, the four contextual conditions of emergence, nine leaderships context of emergence and five stage model of criticalization to better understand leadership for collaborative advantage. To assist with the understanding of Collective Impact and relevance to this research it is useful to consider the most recent findings of Collective Impact to date including the international experiences relevant to this study, with a particular focus on USA.

#### *USA Evaluation of the Collective Impact framework to date*

The Greater Cincinnati Foundation (GCF) joined forces with Kania and Kramer to fully evaluate the successful application of the Collective Impact framework. There were six organizations that had



formed a strong collective and TGC not only funded the Backbone organization within this group but the evaluation of its success and failures (Blatz 2013). Having had a common agenda for ‘change’ five goals were agreed across the collective and following the many discussions an action plan was agreed to leverage all involved. This became the mutually reinforcing activities with the common action being a focus to continue to build upon. Communication of these developments and the necessary community engagement to achieve them became a long term commitment. This was possible due to the support of TGF in particular of STRIVE as the Backbone organization who have since begun to codify what it has learned in the format of STRIVE Theory of Action (Blatz 2013).

The USA has provided some useful experiences to be considered in particular the interest being held at the Presidential level. In December 2010 President Obama signed an executive order for establishing the White House Council for Community Solutions to engage a diverse group of prominent cross-sector leaders. This group was charged with assessing Collective Impact as a model for enabling social change. Some of the timing recognition around Collective Impact reflected the fact that many not-for-profit organizations were not being affective in an isolated impact model and a collective effort was required to really ‘move the needle’. It had become clear that it was no longer acceptable to be receiving negative results for the country with individual organisations celebrating their own successes. By June 2012 the same dozen social sector leaders gathered in Washington D.C., to discuss the ways in which Collective Impact was being used to grow the numbers of communities that were aligning their resources and pulling together to create significant change on a community problem.

#### **4. Research Questions**

The subsequent links and causal chain of events between governance and its positive or negative influence on local decision-making has been debated across much of the policy implementation literature. In this literature the debate has been presented as a choice between top-down approach or a bottom up approach. This debate raises several questions which this research will endeavour to

answer. The first and primary questions is... Do governance arrangements have any impact on decision-making at the local level? In considering two governance arrangements as part of this research – Collective Impact (Kania and Kramer 2011) and Localism Act (DCLG 2011) - there are two sub questions being considered:

1. What is the impact of utilizing the Collective Impact framework on local decision-making?
2. What is the impact of the timeline of the Localism Act legislation on local –decision-making?

These questions are designed to further explore the subsequent links and causal chain of events between governance and leadership for collaborative advantage. This exploration will be achieved through a three stage research methodology. Furthermore, the conceptual framework - localism continuum - presents an analysis tool to explore the relationship between governance and leadership for collaborative advantage and provides a basis for expanding empirical research. The experiences of key actors are presented along the localism continuum ranging from exploitation of old certainties (top down) to exploration of new possibilities (bottom up) the other end. The experiences and themes, identified in the chosen literature from complexity science, will be taken into further consideration as the research questions are explored.

Policy implementation began with a heavy emphasis on the top down spectrum and then as the generations and schools of thought progressed the importance of bottom up perspectives became more evident. This research provides an expansion into the subsequent links and causal chain of events between the top down spectrum and bottom up perspectives as demonstrated through local decision-making with a particular focus on an early childhood reform which aims to reduce childhood poverty namely Sure Start. The interview questions are based on four of the five conditions of Collective Impact (Kania and Kramer 2011) and will explore the influence of these four conditions on local decision-making. Furthermore an understanding into the timing of the Localism Act (DCLG 2011) will assess the influence such legislation can have on local decision-making. The research methodology has been designed

to explore these questions and is discussed in the next section.

## **5. Research methodology**

To fully explore these research questions the study will be divided into three stages; namely exploration implementation and analysis. The first stage (exploration) will consider the impact of the first governance arrangement the Collective Impact framework. This will be achieved by underpinning the interview questions with four of the five conditions of the Collective Impact framework that is common agenda, shared data, mutually reinforcing activities and continuous communication. The first condition will explore if there was any evidence of there being a common agenda between the Sure Start partners. Shared data is the second condition and questions relating to shared data will explore if there was any evidence of data being shared as well as how formal or informal this relationship was. The third condition relates to mutually reinforcing activities and these questions will look at whether there were any experiences of joined up working or examples of the opposite. Continuous communication is recognised as the fourth condition of Collective Impact and key actors will be asked to reflect on their experiences of communication. The fifth condition 'backbone organisation' provides a useful point for thematic clarity and preparation as presented in Appendix A.

The second stage of the study will be the exploring key actors experiences of Sure Start pre and post the implementation of the Localism Act. As Sure Start was an initiative of the Blair government its framework discussions commenced in 1997 with the trailblazer Local Sure Start programs being released just before the turn of the millennium. In the period between 1997 – 2014 there have been three changes of Prime Ministership as well as a change of government in 2010. Some key timelines to consider include the Serving Children Well Local Government Report in 2002 (LGA 2002); introduction of Sure Start Children Centres in 2003 (DfES 2003) (representing a shift away from the Local Sure Start policy); the creation of Every Child Matters (Cm 5860) (over arching outcome framework); the introduction of the Local Area Agreement Partnerships in 2004 (LAA 2004); the implementation of the Localism Bill 2010 with the Act following in 2011 (DCLG 2011). The

experiences of the key actors will be mapped along the timeline pre and post implementation of the Localism Act (2010) to better understand the influence, if any, of local decision making on policy decisions.

The third stage of the study is designed to interpret and analyse the interview responses and explore the relevant themes of influence. Appendix A outlines the three components of Collective Impact; initiate action; organise for impact; sustain action and impact. In stage one the six common activities of the fifth Collective Impact condition (backbone organisation) guide vision; supporting aligned activities; establishing shared practices; build public will; advance policy; mobilize funding will have already been identified as possible theme responses of the key actors. Any additional themes identified during interviews will be considered during the analysis section of this third stage of the research methodology. As part of the analysis the key actor experiences will be plotted along the localism continuum to further understand their experiences of exploitation (planned old certainties) and exploration (new possibilities). This analysis will include the characteristics of complexity science including backbone leadership (Turner et al 2012); attractor and five panels of change (Goldstein et al 2010); tools that underpin complex leadership conditions (Snowden and Boone 2007); contextual conditions for emergence (Lichtenstein and Plowman 2009); generative leadership to enable emergence (Surie and Hazy 2006); leadership behaviours of emergence (Brown 2012) (detailed framework presented in Appendix B). The sample size will be a maximum of 50 interviewees with the main requirement being a good representation of levels of input and experience in Sure Start from both a policy and service delivery spectrum.

It is anticipated that the responses from the key actors reflecting on their experiences of governance and leadership for collaborative advantage will provide insight into the recent Collective Impact framework, in particular, if there are any influences on local decision-making in policy decisions. The insights will be focused on whether governance arrangements have any influence on decision-making at the local level as demonstrated by the case study of Sure Start. The case study methodology is well suited to an exploration between governance and leadership for collaborative advantage because a case study like Sure Start is recognised as a reform focused on reducing a social phenomena – child

poverty. Many commentators report that case studies are preferred strategies for examining complex social phenomena because they allow researchers to develop a holistic understanding of real life events (Miles and Huberman 1994; Yin 2009). Furthermore case studies aim to assist with understanding dynamic processes such as the subsequent links and casual chains of events between governance and leadership for collaborative advantage. The rationale and choice of case study setting for this research is further outlined in the next section.

## **5.1 Research setting**

As policy implementation is a central concept of the study the research setting needs to best enable an exploration and examination of policy implementation. The case study Sure Start focus is on a social phenomena of reducing child poverty. Sure Start was a cross-departmental program aimed at bringing together services for children under 4 and their families emphasizing the need for local decision making and involvement in managing local programs. Kent has been chosen as the case study setting for two key reasons. Firstly England is the only country in the world so far to have established a Localism Act (DCLG 2011) and Kent is one of the largest counties of England. Secondly Kent has been involved in all rounds of the Sure Start early childhood reform.

This research will adopt a case study approach by selecting 50 key actors who have had involvement with Sure Start pre and post the implementation of the Localism Act (DCLG 2011).

A number of individual and focus group semi structured interviews will be performed to provide a more in-depth analysis of local decision-making experiences between the period

1997-2014 which includes a timeline of pre and post the Localism Act. Semi-structured

interviews have been chosen as they offer an opportunity to better understand set themes whilst exploring experiences of those being interviewed – Sure Start key actors.

There are a series of set questions to be asked and space for some divergence, with the interviewer then returning to the structured interview questions (Wisker 2001 p 168)

There were 12 local Sure Start programs in Kent and the location identified for this case study is Dover which is fundamental to the research for a key reason relating to available data.

During the timeline 1997 - 2014 Dover was one of the randomly selected sites for the national Sure Start evaluation (Belsky et al 2007) and therefore a lot of secondary data is available for this location. The research setting sets the boundaries for the study and the rationale of the research methods being a single case study are further outlined in the next section.

## **5.2 Selection case study**

In contrast to traditional hypothesis-testing studies that rely on statistical sampling, case studies offer an opportunity for more of an in-depth exploration. Case studies belong to grounded theory where the theories are generated empirically from the data, and constantly checked and tested against the data (Wisker 2001 p188). Strauss and Corbin in commenting on grounded theory argued that ‘one doesn’t begin with a theory to prove it, rather one begins with an area of study and what is relevant to that is allowed to emerge.’ (Strauss and Corbin 1990 p 23). Grounded theory tends to be more selective and localized rather than being generalizable as strict scientific experimentation is. In grounded theory case studies are

used to clearly set out and explain each phase of the research and are chosen for their weighted ability to draw on theoretical results. Wisker (2001) explains this as being important so that limitations and constraints are expressed, and findings seen in context. In this research Sure Start Dover represents a single case study and provides opportunities for an in depth exploration between local decision-making and the policy decisions. Wisker (2001) explains that the single case study method has been around for a long time and in this study Sure Start Dover offers an opportunity to be considered and explored as an appropriate purposeful sample for the study. Shively (2011) explains that a purposive sample does not attempt to replicate the full population. Rather a purposeful sample (like Sure Start Dover) draws subjects to 'maximize variation in the independent variable of interest, so that the relationships being looked for will be very clear.' (Shively 2011 p 103).

With a key interest in understanding the relationships between governance and leadership for collaborative advantage a single case study has been selected for this research. Shively and Wisker both promote and highlight the challenges of using a single case study. Wisker (2001) argues that 'one of the issues is that you cannot easily generalize from one case, so the case needs to be contextualized, carefully described and then others can consider its usefulness in other contexts and examples' (p 190). Shively (2011 p 104 ) argues that there is 'much to be gained by taking the relationship of interest rather than randomly drawing the case' .This study has selected Sure Start Dover as it provides an empirical investigation opportunity of the subsequent links and causal chain of events between governance and local leaderships for collaborative

advantage.

### **5.3 Data collection**

The aim of the data collection is to identify themes and understand the subsequent links and casual chain of events experienced by the key actors involved in Sure Start Dover. This will involve interviews with government politicians, government officials and representatives of non-government organisations. The interview questions will be framed around four of the five Collective Impact framework conditions common agenda; shared data; mutual reinforcing activities; continuous communication. It is anticipated that this will provide insight into the influence, if any, that the governance arrangements along the localism continuum may have on local decision-making in early childhood reforms. These insights will consider key actor experiences (between 1997-2014) which includes a timeline pre and post the Localism Act. This is planned to assist with better understanding of the influence of governance arrangements in local decision-making in Sure Start Dover policy decisions. A significant amount of secondary data sources are available for Sure Start and in particular for Dover in Kent which was part of the Sure Start National Evaluation study. Secondary data where it exists will be considered as complementary to the semi structured interviews.

At the beginning of each interview permission for it to be recorded will be sought which will allow each interview to be transcribed. In the event that a key actor does not wish for the interview to be recorded notes will be taken during the interview. Interview participants will be selected on the basis of their standing in the areas of early childhood reform – Sure Start, policy formulation, implementation or service delivery. A maximum of



50 participants will be chosen for interview on the basis of their representation in the macro (politician), meso (government officials -policy implementation), micro (representatives of non-government organisations -service delivery) aspects of the Sure Start reform. The study will explore the experiences of these key actors considering themes based upon the six common activities from the fifth condition of the Collective Impact framework (backbone organization) (Detailed framework presented in Appendix A).

## **6. Research limitations**

Wisker (2001 p.193) notes that any research or study ‘only takes place in a specific point in time and place, with specific events or individuals or groups involved, and also taking the researcher into the question’. The fact that this study is considered across two timelines pre and post the implementation of the Localism Act (DCLG 2011) provides a boundary for points in time to explore in depth the experiences of the key actors of Sure Start. The research limitation of such a single case study is that it represents the nominated point in time through the lens of the researcher. Such a case study is ‘a method of studying elements of the social through comprehensive description and analysis of a single situation or case’ Emphasis is often placed on understanding the unity and who lenses of the particular case’ (Wisker 2001 p 115). O’Learly (2004 pp113/114) argues that one of the challenges of using a single case study means ‘working with non random samples, qualitative samples, conducting research in natural settings, searching for holistic meaning and recognizing and

managing the inherent biases of the researcher'. Unlike positive quantitative research statistical significance cannot be achieved. The advantage that a single case study over statistical significance is its ability for saturation, crystallization, persistent observation and broad representation. This research will primarily be mobilized through crystallization and building a rich and diverse understanding of the subsequent links and casual chain of events between governance and leadership for collaborative advantage.

Many social commentators encourage single case studies to ensure rich and diverse understandings can be made. Robson (1993 p 416) suggested that bringing the more technical and scientific report format into the qualitative method of case study helps to mitigate against any questions over rigorous subjectivity and focus. Wisker proposes part of the mitigation process is being diverse with research methods:

‘Essentially, problem -based or inquiry-based learning, or research, in this case, involves the researcher conceptualising the problem or underpinning question, and then all literature searches , experimental work, questionnaires, and so on, and other methods of finding out and scrutinizing data and information, spring from there.’

(Wisker 2001 p217)

Although there are limitations to using a case study, this research aims to uphold the expression of Goode and Hatt ( 1952 p331) who over 50 years, ago, stated that the case study was a way of organizing social data so as to preserve the unitary character of the social object being studied.’ Furthermore this research will concentrate its efforts on one case over a specific timeline and therefore offer one set of boundaries for the study. It is

hoped that through this research new empirical understandings and interface between social sciences and complexity science will be brought to light.

## **7. Conclusion**

Scholarly research that examines the subsequent links and causal chain of events between governance and leadership for collaborative advantage are still in their infancy. A review of the social science and complexity science literature shows there are many concerns, criticisms and arguments as to why a deeper understanding of how two of their related theories – policy implementation and complex adaptive systems should be further considered. Most importantly, this debate highlights the importance of how academic research can contribute to answering the questions about the best way that policy decisions and local decision-making could work more effectively. Empirical research that incorporates perspectives from the practical implementation is critical for understanding the impact of the subsequent links and causal chain of events between governance and leadership for collaborative advantage.

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**9. Appendices Appendix A: Phase 2 Research methodology Themes**

<b>Collective Impact Phases</b>	<b>1. Initiate action</b>						<b>2. Organise for impact</b>						<b>3. Sustain action and impact</b>					
Collective Impact Components for success: Governance and infrastructure	Identity champions and form cross-section groups						Create infrastructure (backbone and process)						Facilitate and refine					
Backbone organisation common activities	1	2	3	4	5	6	1	2	3	4	5	6	1	2	3	4	5	6
Pre Localism Act																		
Post Localism Act																		
Question Link	A	B	C	D	A	B	C	D	A	B	C	D						

<b>Collective Impact Phases</b>	<b>1. Initiate action</b>						<b>2. Organise for impact</b>						<b>3. Sustain action and impact</b>					
Collective Impact Components for success: Strategic planning	1. Map this landscape and use data to make the case						2. Create common agenda (goals and strategy)						3. Support implementation (alignment goals and strategies)					
Backbone organisation common activities	1	2	3	4	5	6	1	2	3	4	5	6	1	2	3	4	5	6
Pre Localism Act																		
Post Localism Act																		
Question Link	A	B	C	D	A	B	C	D	A	B	C	D						

Key:

Backbone organization common activities

1. Guide vision
2. Supporting aligned activities
3. Establishing shared practices
4. Build public will
5. Advance policy
6. Mobilize funding

Question Link

- A. Common Agenda
- B. Shared data
- C. Mutual reinforcing activities
- D. Continuous communication

<b>Collective Impact Phases</b>	<b>1. Initiate action</b>						<b>2. Organise for impact</b>						<b>3. Sustain action and impact</b>					
Collective Impact Components for success: Community involvement	Facilitate community outreach						Engage community and build public will						Continue engagement and conduct advocacy					
Backbone organisation common activities	1	2	3	4	5	6	1	2	3	4	5	6	1	2	3	4	5	6
Pre Localism Act																		
Post Localism Act																		
Question Link	A	B	C	D	A	B	C	D	A	B	C	D						

<b>Collective Impact Phases</b>	<b>1. Initiate action</b>						<b>2. Organise for impact</b>						<b>3. Sustain action and impact</b>					
Collective Impact Components for success: Evaluation and improvement	Analysis baseline data to identify key issues and gaps						Establish shared metrics (indicators measurement and approach)						Collect, track and report progress (process to learn and improve)					
Backbone organisation common activities	1	2	3	4	5	6	1	2	3	4	5	6	1	2	3	4	5	6
Pre Localism Act																		
Post Localism Act																		
Question Link	A	B	C	D	A	B	C	D	A	B	C	D						

Key:

Backbone organization common activities

1. Guide vision
2. Supporting aligned activities
3. Establishing shared practices
4. Build public will
5. Advance policy
6. Mobilize funding

Question Link

- A. Common Agenda
- B. Shared data
- C. Mutual reinforcing activities
- D. Continuous communication

## Appendix B: Phase 3 Research methodology Analysis framework

(Appendix B identifies a rich body of literature from which scholars can draw on to better theorise and operationalise (in an empirically and rigorous way) the emergent and complex nature of human intentions.

	Pattern Formation	Non-Linear dynamics	Systems Theory
Lichtenstein and Plowman (2009)	Contextual conditions for emergence: <ul style="list-style-type: none"> <li>• Being in a disequilibrium state</li> <li>• Amplify actions – some form of model to lead the need for change</li> <li>• Re-combination/s elf-organisation identify areas to be lead – ‘tags’</li> <li>• Stabilizing feedback</li> </ul>		
Marsh (1991)	Exploitation ----- Exploration (planned certainties) (unplanned possibilities)		
Brown (2012)	Leadership behaviours - emergence: <ul style="list-style-type: none"> <li>• Embracing uncertainty</li> <li>• Surfacing conflict to create controversy</li> <li>• Encourage rich interactions</li> <li>• Create correlation of language/symbols</li> <li>• Allow</li> </ul>		

	<p>experiments and fluctuations</p> <ul style="list-style-type: none"> <li>• Support collective action</li> <li>• Recombine resources</li> <li>• Becoming a 'tag'</li> <li>• Stabilizing feedback</li> </ul>		
Marsh (1991)	Exploitation ----- Exploration (planned certainties) (unplanned possibilities)		
Snowden and Boone (2007)		<p>Tools that underpin complex leadership systems:</p> <ul style="list-style-type: none"> <li>• Open up discussions and foster network construction</li> <li>• Set barriers/boundaries to manage interactions</li> <li>• Stimulate some form of chaos to enable change</li> <li>• Encourage dissent and diversity – dropping the seeds of emergence</li> <li>• Utilize conditions of emergence to think systemically for the change (new shape) to take place</li> </ul>	
Marsh (1991)	Exploitation ----- Exploration (planned certainties) (unplanned possibilities)		

Surie and Hazy (2006)		Generative leadership: <ul style="list-style-type: none"> <li>• Interaction experience – sense making and sense giving language</li> <li>• Interaction alignment – all group members engaged</li> <li>• Interaction speed- use of technology</li> <li>• Interaction partitioning – sub dividing complex tasks</li> <li>• Interaction leveraging – reducing complexity</li> </ul>	
Marsh (1991)	Exploitation ----- Exploration (planned certainties) (unplanned possibilities)		
Kania and Kramer (2011)		Leadership characteristics: <ul style="list-style-type: none"> <li>• Visionary</li> <li>• Results orientated</li> <li>• Collaborative relationship builder</li> <li>• Focused but adaptive</li> <li>• Charismatic and influential co-communicator</li> <li>• Politic</li> <li>• Humble (servant leader)</li> </ul>	
Marsh (1991)	Exploitation ----- Exploration (planned certainties) (unplanned possibilities)		

Goldstein et al 2(010)			<ul style="list-style-type: none"> <li>• Initial attractor</li> <li>• Beginnings of a new attractor</li> <li>• Two attractor are in conflict</li> <li>• New attractor displaces the old attractor</li> <li>• New attractor dominates</li> </ul>
Marsh (1991)			<ul style="list-style-type: none"> <li>• Exploitation of old certainties</li> <li>• Exploration of new possibilities</li> </ul>