



Social Value Creation through Community Engagement in Public Service
Delivery: A Qualitative Comparison between the UK
and Vietnamese Contexts

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Cao Tu Oanh

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Abstract

The transformation of the welfare state and public service delivery in the UK towards marketisation and managerialism resulted from the perceived inefficiency of state-led public services and an increased welfare burden (Osborne and Gaebler, 1992). However, it is also argued that the values created by the market and the state are in conflict, since the goal of the private sector is to create private (economic) value, whilst that of government agencies is to create public (social) value (Moore and Khagram, 2004). This leads to an increased focus on the involvement of the third sector which, it is argued, has the social goals and social legitimacy to understand local needs (Di Domenico *et al.*, 2009a). The current research project consists of an in-depth study of social value creation through community engagement in public service delivery in the United Kingdom and Vietnam. The research explores how social value can be created through community engagement, and the contextual factors which could affect community engagement in public service delivery.

Grounded theory methods are applied, using a case study approach in order to build a model of social value creation through community engagement within a multi-geographical context (Vietnam and the UK). The research focuses on four comparable cases in both countries, which are community-based third sector organisations in the field of community libraries and domestic violence support services. In each case study, the qualitative methods used are semi-structured interviews conducted with service providers and policymakers, as well as focus groups held with service users. The research constitutes an original contribution to the evidence base by developing a framework for community engagement in public service delivery on a multi-geographical scale.

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Initialisations

CCT	Compulsory Competitive Tendering
CE	Community Engagement
CL	Community Library
CSO	Civil Society Organisation
CSR	Corporate Social Responsibility
DV	Domestic Violence
GDP	Gross Domestic Product
GTM	Grounded Theory Method
MO	Mass Organisation
NGO	Non-Government Organisation
NPM	New Public Management
NPO	Non-Profit Sector
OECD	Organisation for Economic Co-operation and Development (OECD)
OWB	Objective Well-Being
PASC	Public Administration Select Committee
PCC	Police and Crime Commissioner
PSD	Public Service Delivery
PSM	Public Service Mutual
SE	Social Enterprise
SOC	Sense of Community
SOCR	Sense of Community Responsibility
SV	Social Value
SVC	Social Value Creation
SWB	Subjective Well-Being
TSO	Third Sector Organisation
UK	United Kingdom
VWU	Vietnam Women's Union

Chapter 1 – Introduction

The current research provides an in-depth exploration of social value creation (SVC) through community engagement (CE) in public service delivery (PSD) in Vietnam and the UK. It explores SVC in PSD in terms of the conceptions, classifications, functions, contextual factors, and policies centred on it. In examining SVC in PSD, the current research specifically focuses on CE as the central aspect of SVC. CE refers to a process that involves people who share geographic proximity and/or are interested in their well-being (CDC, 1997). The involvement of third sector organisations (TSOs) in PSD is said to deliver social legitimacy to marginalised groups and innovative capacity-building on the ground (Di Domenico *et al.*, 2009a). As the welfare and wellbeing of people is inextricable from that of their family and society, in part because of the reciprocity between families and society at community, national, and global levels (Braun and Bauer, 1998; Braun *et al.*, 2002), social interaction and engagement are very important for fostering SVC in PSD. The socially-embedded nature of SVC and CE is also reflected in the current research analysis process, which adopts a Straussian Grounded Theory method (GTM) to explore the data gathered. This grounded theory approach allows the current research to start with a general literature review to provide the initiation of ideas (Strauss and Corbin, 1990), thereby allowing researchers to become familiar with the previous literature and to use this to form their theoretical understanding. This GTM is combined with a case study approach to compare and contrast the different process and contextual factors of CE in PSD in both the UK and Vietnam. In employing this approach, the current research provides an in-depth exploration of SVC through CE in PSD in Vietnam and the UK, making an original contribution to the knowledge by creating a transferable framework for CE in PSD. This chapter starts by providing the background of PSD, the third sector, and CE in both countries. It then continues with an identification of the research methodological framework, the current research aims and the research questions that are explored. Finally, an outline of the contents of the thesis is provided.

1.1 - Background

1.1.1 - Public service reform in Vietnam and the UK

The current research compares CE in PSD in Vietnam and the UK. Therefore, understanding of the contexts of the two countries is crucial to validate the comparison. First, public service reforms in both Vietnam and the UK share similarities and differences. In the UK, before

Thatcher's Conservative government of 1979, the country had adopted a universal system of welfare provision with the establishment of the National Health Service (NHS), free universal secondary education, unemployment benefits for all unemployed over 16 years, and the creation of state-owned housing for low-income families, all of which was solely provided by the state (Hazenberg *et al.*, 2016). Under Thatcher's Conservative government, the market-base reform implemented in PSD were through large-scale privatisation and decentralisation, which resulted in an overall contraction in the role of the state in PSD (Hula, 1993). Since 1997, with the newly-elected Labour government, 'New Labour' policies were introduced, shifting the focus from competition to collaboration in procurement (Parker and Hartley, 1997). The New Labour government applied the "best value" criterion in the performance framework for PSD, and the 'Third Way' policy was first introduced. Many authors have described the Third Way policy as the blending of Thatcher's neoliberalism with new forms of moderate government in order to correct the negative impact of free market policy on the poor (Haugh and Kitson, 2007; Kitson and Wilkinson, 2007). Competition was emphasised as an important feature of the public sector in this period, with the introduction of Compulsory Competitive Tendering (CCT) in some sectors, such as health and local government (Entwistle and Martin, 2005). Third Way policy shows a commitment to providing "public services for all", promoting fairness and flexibility through the introduction of choices and voices.

Furthermore, decentralisation in the UK aimed to transfer powers to local authorities and communities. Public service administration, community ownership, and local government power were strengthened through the Localism Act 2011 (UK Parliament, 2011), which gave new freedom and flexibility to local governments, as well as new rights and powers to communities to request action from their local representatives. Concerning neighbourhood services, the decentralisation in public administration was very important, as it gave more power to the neighbourhood and the local community to deliver development plans that residents wanted, hence creating more bottom-up governance. Neighbourhood councils and local government were free to do what they wanted, as long as it did not break the law, thus enabling local authorities to innovate and be more creative in local public service delivery and to meet local demands. Along with the increasing power of local government, communities were given more opportunity to investigate and assess how services were being delivered by their government. Indeed, the Localism Act 2011 (UK Parliament, 2011) required consultation with the community before any neighbourhood plans were made.

In the case of Vietnam, after the North had gained independence in 1945, the country started to establish its welfare state with features of socialism; for example, in its first Constitution in 1946, in which social welfare was universal (Dang, 2016). The state was both sole provider of public services, as well as the dominant actor in the manufacturing sector (Kokko and Tingvall, 2007). However, since 1986, Vietnam has introduced main market-based reforms, also called the Doi Moi policy, which has not only legalised and encouraged the private sector, but also attracted substantial international development aid into Vietnam. The reforms in Vietnam have been a milestone, as the country has been transformed from one based upon centralised economics to one focused on market-oriented economics. Decentralisation in Vietnam started in 1996 with the State Budget Law which was then revised in 2002 (Vietnam National Assembly, 2002) (Fritzen, 2002). This decentralisation was expected to give local government and local communities more autonomy in administration, as well as in public service provision. Local governments were responsible for expenditure in some public service provision; however, they were not given the right to decide on the spending priorities for their locality. The majority of local government spending was still controlled by the government, which effectively reduced local governments to simple spending units, resulting in severely limited localism and community engagement. Recently, the government has paid more attention to the third sector, especially social enterprises, encouraging their involvement in PSD (i.e. through the Law on Enterprise 2014 (Vietnam National Assembly, 2014). However, few specific policies for the sector have been efficiently implemented yet.

Both countries show a similar path of PSD reform towards a market-based orientation. Both reform agendas aimed to increase competition as a means of improving PSD, and, as would be argued later, both welfare states can be argued to belong to the liberal welfare state type (Section 3.2.2, Chapter Three). However, the UK is now transforming itself toward a more consumer-focused and community-empowered approach. The path that the UK has taken, with greater social value embeddedness in PSD, inspired the researcher to explore whether there is an existing framework for CE in PSD that can be transferable between countries, especially from a developed context to a developing one like Vietnam. Although there have been many differences in history, political systems and culture, as is revealed in Chapter Eight, the similarity in public service reform in the two countries provides the rationale for the current research, as both have similar shared experiences due to the similar paths taken (albeit from different starting points). The differences in the approach to CE in PSD in the

two countries can be good examples from which both countries could improve their public service reforms, especially Vietnam, being a less developed nation. Furthermore, the choice of two different contexts actually can assist the analysis, as the current research employs a blended design of the most similar and most different system design (as explained further in Section 5.4, Chapter Five). The different contexts can help to explain why a common (but not identical) phenomenon (CE in PSD) has taken place in both countries, and what the differences are in the two contexts. Vice versa, analysis of the similarities and differences of such a common phenomenon reveals the influence of context and other related factors, and the relationships between these factors, to develop a transferable framework for CE in PSD.

1.1.2 - Third sector development

Understanding of the context of the third sector in each country is important, as the current research focuses on third sector organisations (TSOs) as public service providers. TSOs are a hybrid model, not only between the private and public sectors but also the community (Pestoff, 2005). The third sector neutralises the behavioural tensions between the private, public and community sectors in relation to their goals and missions (Defourny and Nyssens, 2006). Through a wider involvement of stakeholders and principles of redistribution, TSOs contribute to the development of social capital and therefore create social value (Jain, 2018).

In the UK, the focus on users' needs and collaboration with services providers has been coupled with a focus on using TSOs in public service provision. The Voluntary Sector Compact (VSC), launched in November 1998, aimed to boost the involvement of the social economy in delivering public services (Osborne and McLaughlin, 2004). A subsequent range of policies/legislation enabling the development of the social economy was introduced, such as the Localism Act 2011 (UK Parliament, 2011), the Public Services (Social Value) Act 2012 (UK Parliament, 2012) and the creation of Public Service Mutuals (PSM) (spin-outs), which gave powers to local authorities in designing services and encouraged the third sector to participate in public service delivery (Hazenbergh and Hall, 2016). The shift in focus to better social value in service provision, in order to ensure social equality for all groups and collaboration with the third sector, was rooted in the long history of civil society in the UK. Indeed, in the UK TSOs have a long history of development, especially of participation in public service provision, dating back to the 19th century (Savage and Pratt, 2013). Industrialisation led to the emergence of working-class organisations such as trade unions, cooperatives and housing associations, which allowed them to break free from the "the

patriarchal constraints of the Victorian society" (Savage and Pratt, 2013, p.4). The relationship between the state and TSOs is structurally interdependent, as TSOs receive significant support from the state, whilst the state can refrain from direct action in certain areas by providing funding. The engagement and interdependent relationship between the state and community in providing social welfare and services in the UK, therefore, is rooted in a long history of liberal government and the development of TSOs in the country.

In contrast to the UK, TSOs in Vietnam employ different forms and typologies. In order to engage the community, the government focuses on mass mobilisation, which leads to the formation of a range of mass organisations¹ such as the Veteran's Union, the Women's Union, the Youth Union and the Farmer's Union. The aim of these organisations is to increase the voice of citizens, to connect their members at local levels with the government, and to help the government to consult with the community. However, as discussed earlier, the top-down democratic centralist structure leads to participation in such mass organisations becoming a de facto mobilisation of citizens in support of the state (McElwee and Ha, 2006). As discussed in Chapter Six, the Vietnamese government neither has a focus on social value in public service provision, nor a clear strategy to work with the third sector. Conversely, the third sector in the country does not have the capacity to work with the government in public service provision and often does not have the necessary connections with government officials. Although the reforms seen in both countries started with the same intended purpose (to increase competition in public service provision) the UK has been better able to embed social value and community empowerment into policy and public service delivery. The significant difference in TSOs relates to the different factors in both countries that can be linked to the capability of service providers and their relationship with community and the government (as discussed in Chapters Six, Seven and Eight).

1.1.3 - Social value creation and community engagement in public service delivery

Over the last four decades, PSD reform has attracted the attention of many researchers and policymakers. Studies on PSD focus mainly on the forms of transformation (Torres and Pina, 2002); the types of partnership and collaboration, including public-private partnerships (PPP) and co-production (Needham, 2008); PSMs (Hazenbergh and Hall, 2016; Le Grand and Robert, 2018); and community partnership, together with joined-up and entrepreneurial

¹ Mass organisations (MOs) in Vietnam are defined as socio-political, set up by the government to implement its social and political missions. MOs today have both state and non-state elements because the state is reducing its sphere of influence and MOs themselves are shedding state subsidies (Kerkvliet et al., 2008).

government (Alford and O’Flynn, 2012; Donahue and Zeckhauser, 2011; Osborne and Gaebler, 1992). Previous research also extensively discusses concepts and functions, in addition to the impact of the third sector on the social economy (Young, 2006; Nicholls, 2006) and its involvement in PSD (Di Domenico *et al.*, 2010). Given the policy context, where there is an increasing shift to SVC in PSD, there is also a need for increasing academic discussion on SVC and the social impact. Furthermore, previous studies largely discussed social value in terms of its conception (Jain, 2018); the stakeholders in SVC (Defourny and Nyssens, 2010; Young, 2006); or social innovation (Seddon *et al.*, 2014b; Nicholls and Cho, 2006). There is a lack of research focusing on the framework of SVC specific to PSD, which identifies the main areas where public services could deliver a better social impact (including the five main policy groups, as elaborated in Section 4.2, Chapter Four). Furthermore, SVC in the social economy is rarely discussed within a multi-national context to identify how social value might be achieved in different cultural contexts. This under-researched area is important, as it can provide recommendations for all stakeholders in understanding the context and the implementation of public service policy within each context. Furthermore, PSD reforms have been widely discussed within the realm of European and developed countries (Clark, 2000; Torres and Pina, 2002; Bach and Givan, 2011), or separately in transitional and developing countries (Loevinsohn and Harding, 2005; Janenova and Kim, 2016). There is a need for research that links the two worlds to understand how lessons can be learnt, particularly in terms of SVC and the involvement of TSOs in PSD.

CE is seen as an important aspect that fosters social cohesion (Amin *et al.*, 1999; Davies and Simon, 2012) and social capital (Bovaird *et al.*, 2016) and subsequently social value. CE promotes choices and voices, which lead the service providers and public officials to be more accountable and responsive to the community (Davies and Simon, 2012). The most popular illustration of CE in public activities is the ladder of participation (Arnstein, 1969). This demonstrates the levels of involvement based on the power distribution between the community and the government in the decision-making process. In another aspect, CE in PSD is also strengthened through cooperation and co-production with the government and other sectors (Alford, 1998; Needham, 2008). Therefore, CE in PSD is more than just being actively involved in decision-making but also being collaborative in producing and delivering services. However, previous research has approached CE based upon the level of power distribution and the role of the community in the relationship with the public sector. CE is also affected by many contextual factors, such as the institutional environment, citizens’

education and awareness of their human rights (Di Domenico *et al.*, 2009a), people's political self-efficacy (Bovaird *et al.*, 2016) and the capability of TSOs. In addition, social value is said to play a major role in the explanation of regional development because of the different sets of behaviours, opinions, and characteristics of people in society (Rutten and Gelissen, 2010; Granato *et al.*, 1996). To understand how CE in PSD can foster SVC, it is important to explore the process of CE within a multi-cultural context to identify the similarities and differences. Therefore, there is the need for a more comprehensive framework of CE in PSD in order to understand the process of CE within contextual factors. More importantly, cross-cultural research enables the production of a framework in which CE is discussed in different contexts, which assists all stakeholders in addressing the issues prevalent in PSD in relation to different cultures and conditions.

Furthermore, the choice of CE also resulted from the feasibility of the data collection (as explained further in Section 5.2.1.3, Chapter Five). Due to the differences in capability and scale of TSOs involved in PSD, as discussed in the previous section, it was difficult for the researcher to choose other aspects from the framework established in Section 4.2, Chapter Four, such as *supporting service providers*, *impact measurement tools*, or *accountability*, as the choice of such aspects encounters the problem of unavailability of cases in the Vietnamese context. CE however, is present in both countries and allows the researcher to conduct an in-depth exploration of the relationship between stakeholders (community, service providers, and the government) rather than focusing on a wider set of organisations involved in PSD. Therefore, the focus on CE is both because of its necessity and the feasibility of the research.

1.2 – Overall research approach

1.2.1 - Overall methodological approach

The current research employs an integrated approach using Grounded Theory Method (GTM) and a case study approach to build a model of SVC through CE in PSD, in a dual-geographical context. Although grounded theory is often classified as an inductive approach (Glaser and Strauss, 1967; Strauss and Corbin, 1990), the current research does not apply a pure GTM nor an inductive approach. There is an interplay between induction and deduction in GTM, especially in case study design with theoretical sampling, as the interpretation of the data by the researcher is also deduced from her observations and assumptions about the nature of life or the literature that is referenced (Strauss and Corbin, 1990). Although

Eisenhardt (1989) contended that theory-building research should begin with as little theory or as few hypotheses as possible, he later declared that it was impossible to conduct pure, clean theoretical research. Furthermore, in case study research, Yin (1994) suggests that the research should start with a specific research statement and questions that can direct the information needed. This is also the ideal GTM approach of Strauss, who contends that engagement with the literature is a good start to direct researchers' focus and to extend their understanding, while still allowing the acceptance of emergent ideas (Halaweh *et al.*, 2008). Therefore, the Straussian GTM approach is more appropriate for the current research. Further details on the current research approach and design are given in Section 5.4, Chapter Five.

The cases selected in each country are public services (specifically, a domestic violence support service and community library), delivered through a partnership between the government and the third sector or community, in which differences and similarities in the mechanisms, policies implemented, perspectives toward SVC, and contextual and cultural factors are compared and contrasted (more details of the cases can be found in Sections 5.4.4.2 and 5.4.4.3, Chapter Five). In each case study, the qualitative methods used are semi-structured interviews held with managers of both TSOs and the government, and focus groups conducted with the community, who are users of all the services, in order to assess different perspectives, and the implementation and outcome of the SVC in the CE activities delivered. A process of constant comparison was applied to explore the differences and similarities behind the selected cases. The findings make reference to the literature to make adjustments to the proposed model.

1.2.2 - Levels and units of analysis

The current research examines CE in PSD in each country separately and in comparison. The current research subject (CE in PSD) is put in the context of the social and cultural environment, organisational structure and political system. To explore the opinions of different stakeholders in PSD, the analysis is conducted at micro- (individual) level (service providers and government officers) and groups of individuals (the community and service users). Analysis is also made at the meso-level, by observing the organisation (for example, with regard to interaction, communication within the organisation, organisational forms and relationship with government, and management system). Furthermore, the analysis is also conducted at a macro-level by analysing the contextual factors to explain the similarities and differences between the two country contexts.

In term of units of analysis, the main research unit is the CE in PSD of the three main stakeholder groups (the community, policymakers and service provider) in each country, situated within the wider context of society, culture, economics and politics. The analysis was conducted between units (compared and contrasted) and across all the units of analysis (cross-case analysis) (Baxter and Jack, 2008) in order to reveal the hidden mechanisms of CE in PSD. Further details and discussion of the levels and units of analysis can be found in Section 5.4.6.1, Chapter Five.

1.2.3 - Research aims and questions

The current research has two main aims:

1. To identify how community engagement in public service delivery affects social value creation in the UK and Vietnam.
2. To identify policies that target community engagement and social value creation in public service delivery that can be transferred from developed countries (such as the UK) to developing countries (such as Vietnam).

In order to achieve the above aims, the following research questions (RQs) are explored in the study:

1. How does community engagement affect social value creation in public service delivery?
2. How do cultural/contextual factors affect community engagement and social value creation in the two countries?
3. What is a transferable framework for community engagement in public service delivery?

1.3 - Outline of the thesis

The thesis is structured into nine chapters. Following this introductory chapter, Chapters Two and Three review the literature relevant to the study. Chapter Two reviews the literature on social value, which examines the conception and theories of SV, the third sector and social economy, and SVC in the context of the social economy. Chapter Three discusses the literature relating to the typology, characteristics, and the causal forces behind the welfare state and public service reform. SVC is also discussed in the context of PSD in different welfare states. Chapter Four synthesises the concepts discussed in Chapters Two and Three to generate a framework of SVC in PSD, in which CE is identified as a crucial area. Chapter

Four also discusses CE as the specific focus of the research. Chapter Five presents the methodological approach to the study. It provides an overview of the ontological and epistemological standpoint of the current research and details of the methods and tools employed to collect and analyse the data. The chapter also provides a description of the four participating case study organisations. Chapters Six and Seven present the data analysis and results in relation to Vietnam and the UK, respectively. Both chapters present the researcher's interpretations of the themes and discuss each theme and its relationship to the others. The discussion in both chapters aims to answer research questions RQ 1 and RQ 2. Chapter Eight discusses the framework of CE in PSD by comparing the results of the case study organisations in both countries to answer RQ 3. Chapter Nine is the final chapter of the thesis and presents the broad limitations arising from the data collection and research analysis. The chapter also summarises the main findings of the current research and suggestions for further research are made.

Chapter 2 – Social Value

2.1 - Introduction

Although social value (SV) as a concept has been recognised by academics and policymakers for several decades, it remains vague and poorly defined. It has been mentioned in a variety of areas, from sociology to history, culture, education and business. However, before exploring the concept of SV, the meaning of value needs to be addressed. Therefore, this chapter discusses the theoretical concepts of ‘value’ and ‘social value’. This is followed by an exploration of the nature of SV as a socially and culturally relative construct, in order to discuss its meaning in different contexts. SV is then more specifically discussed in relation to the social economy. The second part of the chapter provides a broad overview of how SV is created and delivered by the third sector and SEs in the social economy, and in doing so provide a theoretical grounding for the subsequent chapter, which explores social value creation (SVC) in relation to public service delivery (PSD).

2.2 - Theories of value

2.2.1 - Objective and subjective theories of value

The theory of value is central to economics in answering the question of why some objects are worth more than others (Dolfsma, 1997). Because the aim of the current research is to explore how community engagement (CE) is embedded in SVC in PSD, understanding SV is crucial to identify why it is worth delivering SV in PSD. Therefore, a theoretical understanding of value provides a background for the discussion of SV in the following section of this chapter. Academic discussions around the theory of value date back to the 18th-19th century, with the “labour theories of value” (Smith, 1776; Ricardo, 1817; Marx, 1865). These theories discuss the relationship between labour and the value of the objects that it creates. Smith (1776) was the first author to develop this school of thought, in his argument that labour is the only factor which adds value to things and that it is also the only real measure of the exchangeable value of all commodities. Indeed, the value of an object is measured by the quantity of labour embodied in its output (Henry, 2000). Value is observed and interpreted with two different meanings: ‘value in use’, which refers to the utility of an object; and ‘value in exchange’, which refers to the purchasing power of other goods that the possession of that object entails (Smith, 1776). The worth of an object when exchanged is based upon the difficulty (quantity of labour) in acquiring it. Labour, therefore, determines value in exchange, and consequently value is identified in relation to the factor of production

(labour) and not consumers' preferences (utility). Marx (1865) developed the labour theory of value by arguing that there are two kinds of labour: abstract and concrete. While concrete labour is used to produce tangible products for various uses (value in use), abstract labour is the power of labour embodied in products that adds value to them (value in exchange). Marx defined value as a socially proportional measure of abstract labour (Reinecke, 2010) and argued that while concrete labour can produce a particular object, it is abstract labour that gives value to that object through exchange. In the labour theory of value, value is approached from a positivist stance, from which the only factor forming value (labour) is objective. Value is therefore created, measured and objectified in relation to production and exchange processes.

In contrast, in response to classical political economy, a marginalist revolution focusing on the subjective theory of value was developed by the Austrian school of economic thought. The proponents of this theoretical approach included the noted economists Menger (1871) and Wieser (1889). The theory of marginal utility is central to the subjective theory of value. Whilst the labour theory of value approaches value as an objectified form created by labour, the subjective theory of value pays more attention to consumers' subjective preferences. Utility refers to people's preferences for different objects and according to the utility theory of value, the satisfaction or utility of marginal items of goods decides the value in exchange of an object (Dolfsma, 1997). Therefore, both the nature and the measure of value are subjective (Menger, 1871), and so utility demonstrates the desirability or the willingness of customers to pay for the commodity. Values in this situation are perceived through an individual's psychological response to the consumption of goods, and not necessarily to the primary value of the goods themselves. This subjective theory of value aimed to solve the diamond paradox that the labour theory of value fails to solve. The labour theory of value states that great value in use does not always have great value in exchange, as in the example of the diamond paradox. While water is more important and necessary for humans than diamonds, the price (value) of water is much cheaper than that of diamonds. The usefulness (value) of each unit of an object is therefore worth further discussion, rather than the total of its usefulness (Böhm-Bawerk, 1891). Table 2.1 summarises the characteristics of the two theories of value.

Table 2.1 - Value formation in different theories

	Objective theory of value (Labour theory of value)	Marginal utility theory (Marginal utility of value)
Philosophical stance	Objective	Subjective
What is valued?	Quantities of labour/ labour power exerted to produce a commodity	Marginal utility of a commodity
Who identifies the value?	From the owners' point of view	From the consumers' point of view
Quality of the value	Primary quality	Secondary quality

Source: Summarised from Smith (1776), Ricardo (1817), Marx (1865), Menger (1871) and Wieser (1989)

Values expressed in the above two schools of economic thought, although they are approached from different philosophical stances, share the same starting point: that of defining value at the individual level (the primary and secondary qualities of value) (Locke, 1691). Primary qualities are those qualities which exist in objects, are inseparable from them and are observable by everybody (Locke, 1691). Labour embodied in objects adds value to them and is inseparable from them. Secondary qualities of value are “produced in us” (Locke, 1691, p.63) on the basis of primary qualities. Marginalists articulate the utility theory approach to value through its secondary qualities, which are perceived and defined among people’s viewpoints. As shown in Table 2.1, value according to the Austrian theory of value is subjective, as it is influenced by consumers’ preferences, while value in classical political economics is objectively formed. Therefore, value in the subjective theory is socially constructed. Even though the labour theory of value defines it as the embedded labour in an object, it fails to realise that labour power differs between people and countries. The value of labour that is put into an object, therefore, is different across contexts and cultures, thus observed by people in different ways. Hence, the value of an object is not merely objective, but also socially and culturally constructed. A detailed discussion of cultural relativism and the social construction of values is made in Section 2.4.2.

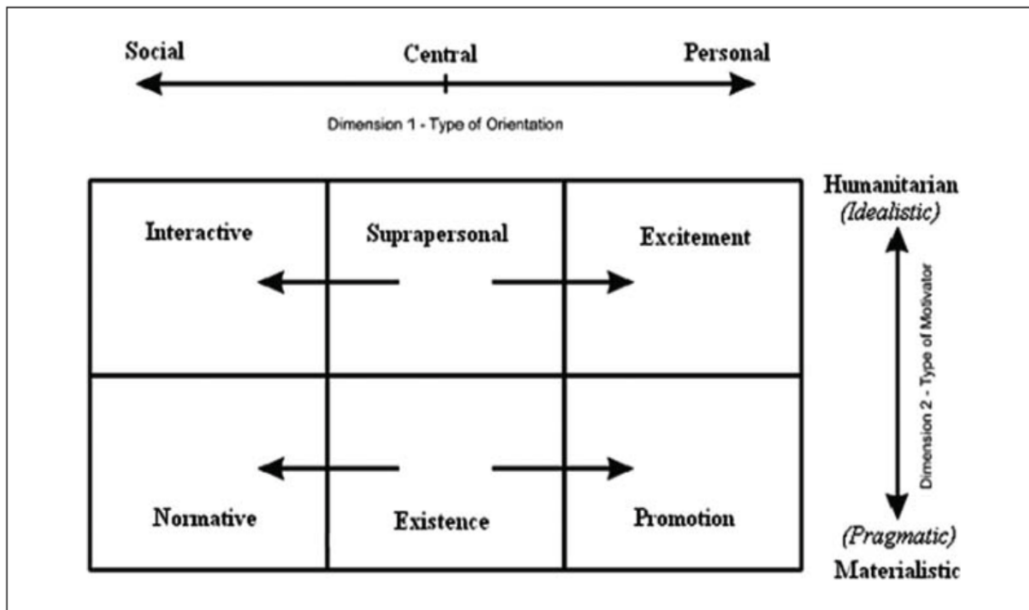
Both the objective and subjective theories of value discuss it at the individual level. However, individual utilities change over time, as they are subject to social influences; for example, when our desire for them is affected by how much others desire them. Consequently, our evaluation is influenced by that of others (Schumpeter, 1909), and theories of value should therefore consider not only individual value, but should also acknowledge other actors and societal factors. Therefore, value as primary or secondary qualities cannot conclusively explain the social construction of value in different contexts (Dolfsma, 1997).

2.2.2 - Functional theory of value

When examining value in general theories of economics, it is also worth exploring it in terms of its structure and function. These dimensions help to demonstrate value not just as a worth (as it is in economics), but also as a social/human phenomenon and construct. Developing such an understanding brings about a more comprehensive picture of what value is and aids the exploration of SV undertaken later in the chapter (Section 2.3).

The functional theory of value was first developed by Gouveia (2003), who contended that values have two main functions: (1) to guide human actions, and (2) to give expression to human needs (Gouveia, 2013; Gouveia *et al.*, 2014). Values are created to interpret meanings for humans during their interactions and therefore function as a guide for human behaviours towards either social or personal orientations (Fischer *et al.*, 2011). The second dimension is considered as a motivator dimension, as it functions as an expression of needs, including two diametrically opposed ends: materialistic and humanitarian needs. The two dimensions are shown in Figure 2.1.

Figure 2.1 - Facets, dimensions and sub-functions of basic values



Source: Fischer et al. (2011)

Values which serve the general purpose of life are centrally oriented and labelled both ‘suprapersonal’ and ‘existence’ values. ‘Existence’ values are the expression of survival needs, towards materialistic motivations such as health, stability and survival. ‘Suprapersonal’ values are also an expression of basic needs, but are instead orientated towards more abstract ideas than absolute materialistic goals, such as beauty, knowledge and maturity. Personal- oriented values are ones of ‘excitement’ and ‘promotion’ and are the expression of individual needs in both personal competence (such as power, prestige and success) and pleasure (such as emotion, pleasure and sexuality). Socially-oriented values are “interactive”, which refers to the demand to interact with society, and the needs of belonging, love and affiliation (Korman, 1974; Maslow, 1954). These values include affectivity, belonging, support and ‘normative value’, which focuses on social rules such as obedience, religiosity and tradition.

2.3 – Social value

2.3.1 – Social value in general

Individual preferences vary and are influenced by other factors that drive us to seek to understand value at another level. Andersen (1911, p.96) called SV the “tertiary qualities” of value. Within this tertiary approach, value is determined not only by the individual desirability of objects, but also in relation to other individuals and their social environment. Indeed, as Clark (1886, p.74) states, “Value is a quantitative measure of utility”. Clark (1886)

argues that it is society, not the individual, that determines the utility of objects that can be used in social or market valuation. This argument leads to the questions of whether SV is expressed as the tertiary quality of value and whether it is related to social utility.

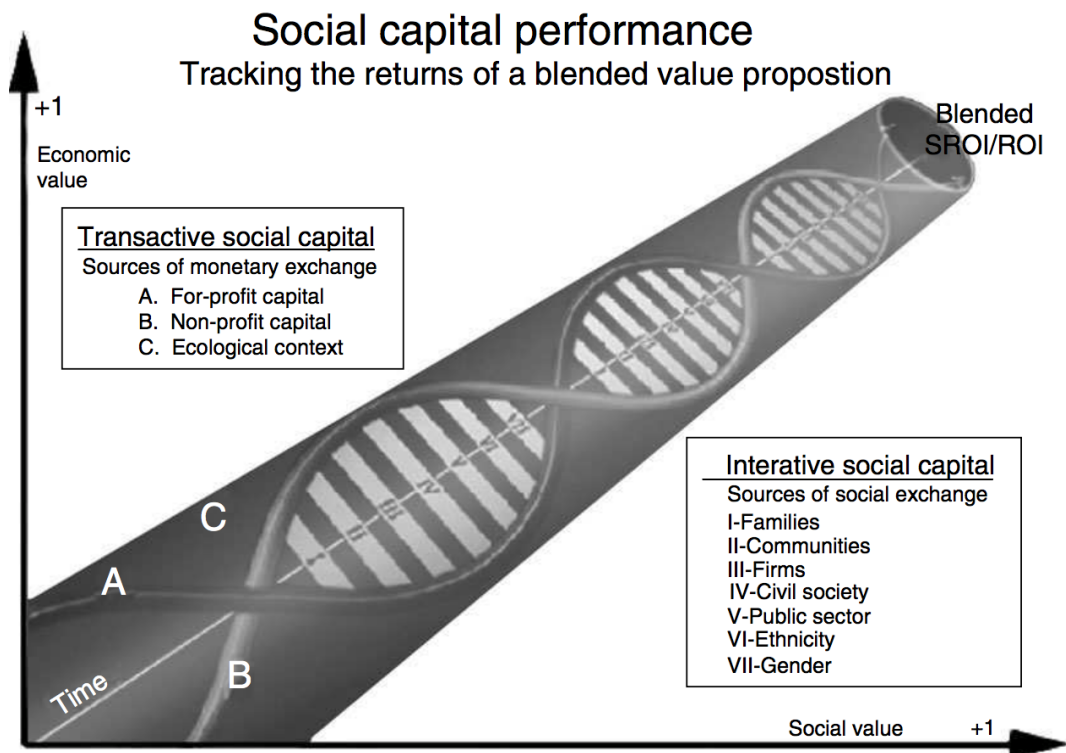
It is argued that utility only demonstrates individual satisfaction, and therefore a social utility curve should be presented in social welfare functions where the priority is social benefit maximisation. Social utility is formulated as a weighted sum of individual utilities (Hediger, 2000). From an economic perspective, private values (individual utilities) are used to make decisions or judgments, while in social welfare, optimality involves a more effective resource allocation, which demands the consideration of SV with regard to other factors such as income, macroeconomic stability, social capital, and environmental quality (Hediger, 2000). In this case, SV, as an attribute of social utility, explains the essence of SV as shared values among individuals and as the expression of social marginal utility (Seligman, 1905). Seligman contends that while individuals' evaluation of a commodity varies, a commodity's worth is actually its valuation by society. Seligman (1905) shared Clark's (1886) idea that it is society that sets the values of things. However, while Clark (1886) states that SV is a fact and has absolute magnitude, Seligman's (1905) approach argues that SV is simply a societal estimation of the worth of things. Clark (1892) emphasises value as a measurement of effective marginal utility, arguing that values measured by money are superficial, as real value resides in how humans evaluate monetary value. He posits two points about value: (1) SV and marginal social utility is a definite quantity; and (2) the ratio of exchange is the ratio between two social marginal utilities or SV, not the prices themselves (Clark, 1892). Indeed, from this theoretical perspective, SV is seen as the more effective and implicit value, which reflects the values of things more comprehensively than the prices set on them. Therefore, SV also needs to be considered when value is discussed more generally.

Conversely, the view of SV as an average of individual values is criticised by some authors. Schumpeter (1934) argues that the concept of SV as the measurement of marginal social utility to explain the evaluation of things in society only applies to a communistic society, in which the wants and utilities of all individuals are considered society's utility as a whole. In contrast, in a non-communistic society, commodities, principles of distribution, and individuals' wants are different. Therefore, SV cannot be defined as the aggregate of individual values, but can only be an "analogy" (Schumpeter, 1934; Anderson, 1911). Indeed, Anderson (1911) rejects the theory that marginal utility is the expression of value. Value as a

tertiary quality is not individual value, but rather it is an SV and therefore prices are determined at a social level. Marginal utility only represents individual value, and so does not reflect the essence of SV and value itself.

To understand the concept of SV, it is necessary to split the concept into two components: the 'social' and 'value'. Value, as discussed in the previous section, is considered at the individual level. What is considered worth to an individual when using and exchanging goods/services is determined by the toil that one has to put into these goods/services and depends on each person's specific preferences. The 'social' attribute refers to values discussed at societal level. In addition, 'social' implies the functional orientation of values toward social goals (as mentioned in the previous section). Therefore, 'social' in 'SV' represents scope and functions, as well as the orientation of the values discussed. As shown in Figure 2.1, values that have a social and humanitarian orientation are values for the benefit and worth of the community and those who reside in it. The word 'social' expands the boundary of value as a worth in economic terms (although when it presents as an attribute of the market, it's worth still needs to be considered) to more sociological and humanitarian aspects in terms of its socially constructed nature, its function and from a behavioural perspective. SVs/belief systems refer to 'non-productive' ideas achieved through experience and participation at the aggregate social level (Kim and Lee, 2015, p.69). Kim and Lee (2015) argue that individual utility is not only about material consumption but also abstract ideas, including scientific knowledge (productive ideas) and values (non-productive ideas). SV can only be achieved through social participation, for example in social meetings, participating in social action, or through religious association. Kim and Lee (2015) therefore consider SV to be a kind of social capital which is built through social interaction (Emerson, 2003) (see Figure 2.2).

Figure 2.2 - Social capital performance



Source: Emerson (2003)

However, Jain (2018) also discusses SV in relation to eight types of capital, categorised as the tangible (economic and physical capital) and intangible (social, political, ethical, environmental, cultural and human capital). Jain (2018) determines the degree of importance of these capitals in association with four SV factors, namely action-driven social value (which emphasises that the role of social actors in creating SV and SVC is determined by people in society rather than the environment or economy); outcomes-driven social value (which considers SV as contribution to the betterment of society through building trust and relationships among members of society, as well as social impact measurement); sustainability-driven social value (which considers SV as an attribute of sustainable development); and pluralism-driven social value (which implies that SV is distinct among individuals and is affected by both internal and external factors). In Jain's (2018) framework, cultural and environmental capital are considered the most important attributes of SV, as they enable social actors to create social values. This is particularly relevant to the findings of the current research on the impact of culture on people's perception of CE and their intention to engage in PSD in both countries studied (see Section 6.4.2, Chapter Six, and Section 7.4.2, Chapter Seven). Physical and financial capital are of mid-high and mid importance to SVC as

they contribute to economic well-being and infrastructure, which facilitate social actors' capacity to create SV.

Although these factors in Jain's (2018) framework are not major ones in shaping CE in PSD, they are important resources, which affect the capability of service providers and government in implementing CE policy, as the findings of the current research suggest (see Section 8.2 and 8.4, Chapter Eight). Social and human capitals are also mid-important attributes of SV in Jain's (2018) framework, which shares findings with the current research on the importance of social capital and capability in shaping the process of CE in PSD (see Section 8.3, Chapter Eight). Finally, political and ethical capitals are the least important factors that affect SVC. In the current research, given the different political contexts in Vietnam and the UK, there is also no major influence of politics on the decision to engage in the PSD of the community (see Section 8.2.1, Chapter Eight). However, political institutions do have an influence on the trust between the community and the government (see Section 6.4.2, Chapter Six). Jain's (2018) framework provides a comprehensive theoretical understanding of SV and SVC, and implies that SV is a complex social construct that is understood in different ways by stakeholders. Therefore, understanding of SV requires attention to be paid to both internal and external attributes in relation to all the relevant subjects.

2.3.2 – Social value in the social economy

Exploring theories of value and SV from theoretical and historical perspectives is useful in building understanding of the concepts; however, the current research seeks to focus on SV through conceptualising its role in the social economy. This section explores how SV is understood and implied in this context, in which third sector organisations (TSOs) and social enterprises (SEs) are the central actors. The theoretical concepts of the third sector and SE and how they create and deliver SV are discussed further in a later part of this chapter.

2.3.2.1 - The perception of social value

Social Enterprise UK (2012) refers to SV the additional benefit to the community through a commissioning/procurement process. From this perspective, SV is a factor that concerns the public's resource allocation when seeking to maximise collective benefit. SV is the value that benefits people whose urgent and reasonable needs are not being met by other means (Young, 2006). It can be defined as the goods and services provided by organisations with the social purpose of promoting community development and fairer and more inclusive societies

(Felício *et al.*, 2013). Granato *et al.* (1996, p.608) define SV (or culture) as “a basic system of common values that helps shape the behaviour of people in a given society”. The important feature of SV is that it can contribute substantially to the economic development of regions, as it is responsible for creating a climate which shapes entrepreneurial behaviour (Rutten and Gelissen, 2010).

- *Social value recipients*

Whilst SVC is identified as the core mission of a TSO, one might argue that other business forms, whose core mission is not to contribute to social benefit, can still create SV and have an impact on the community. Zoltan *et al.* (2013) use the example of Microsoft and Grameen Bank to demonstrate their concept of ‘productive entrepreneurship’. Whilst the aim of Microsoft was not to solve social problems, their products brought about massive innovation for individuals, enabling disabled people to access technology, creating jobs for millions of people, and building social capital through creating new means of interaction for people (Zoltan *et al.*, 2013). Despite the value it delivers, SV is not central to Microsoft’s mission and SVC is not its primary outcome and the main beneficiary group for Microsoft remains the people who are willing to pay for its products, and its shareholders, who are the main drivers of its operations. SV however, is created in both cases. In contrast, social entrepreneurs often target disadvantaged groups whose needs cannot be met by the public sector due to limited resources, or by the private sector due to profit constraints (Smith and Darko, 2014). SVC forms the core mission of a TSO, which drives their work with marginalised people and informs the business model in which SV, rather than profit maximisation, is primary. This targeting differentiates the SV created by social entrepreneurship from that created by ‘productive entrepreneurship’. However, private organisations which embed corporate social responsibility (CSR) in their operations can also create a positive spill-over effect, both internally and externally (Microsoft is an example) (Pullman *et al.*, 2009). Therefore, if we examine a broader range of SV recipients, they could be anyone in society (not just marginalised people). Disadvantaged groups however, are the main focus of SE and the third sector.

- *Social impact that matters*

SV can be created by many stakeholders; for example, private enterprises with community interests, policymakers, social organisations, SEs and even individuals. Indeed, individuals who have social preferences, which refers to “SV orientation” (Murphy and Ackermann,

2014), are often willing to act beneficially to others, despite possible high costs to themselves. Their involvement in such voluntary work can contribute to the SV delivered by the organisations they participate in. However, it is important to note that not all SV created can produce added value and have a social impact. Whilst SV created by individuals or charitable organisations might bring positive benefits to the community, such entities may not really participate in added SV creation, but simply the transformation of resources from one to another (Young, 2006). In contrast, SEs or social entrepreneurs create value by involving the recipients in both their processes and outcomes. For example, a SE or TSO hires disabled people, and provides training to equip them with living skills, self-confidence and social networks, leading to a more inclusive environment for them. Therefore, SV created by SEs and TSOs can translate into social impact on a large scale and deliver transformative social change (Young, 2006; Jain, 2018). However, in the context of the social economy, SV cannot be excluded from its beneficiary groups and social impact. This implies the importance of CE in PSD, especially for who are less able to engage, as a source of SVC.

While SEs and the third sector seek to create SV, the measure and evaluation of their performance are not only based on financial results, but also on social performance. There are currently a variety of tools for the evaluation of SE performance; to do this, not only the output, but also the outcomes and impacts (reflecting the effectiveness of SVs) need to be addressed (Arvidson, 2009; McLoughlin *et al.*, 2009). Impacts are defined as all changes resulting from an activity, project or organisation, including both intended and unintended effects, negative and positive, and long-term and short-term (Wainwright, 2002). SEs are established to tackle social problems, and therefore are expected to have a positive social impact on the community.

While SV is still a controversial concept, the aim of the current research is not to give a concrete definition of it. However, from the review of the current research literature, it is argued that SV, in the context of the social economy, refers to the non-financial positive value created through human activities, which targets disadvantaged and marginalised people and aims to deliver positive impact and social change to the wider community. SVs are not necessarily the aggregation of individual values, but ‘non-productive’ values that are socially oriented and that function as the expression of social needs. In the context of the social economy, SV is effective when it can be transformed into social impact and create social

changes. This has important implications for academics, policymakers and practitioners when considering the role of community engagement in PSD.

2.3.2.2 – Is social value public value?

Some authors argue that whilst the goal of the private sector is to create private (economic) value, the goal of government agencies is to create public (social) value (Moore and Khagram, 2004). While SV is believed to be achieved through public services and aligned with the public service ethos, an emerging question is whether SV and public value are the same concepts or whether they are merely related to each other. The concept of public value was first championed by Moore (1995), who argued that public value includes the values that are consumed collectively by citizens, rather than individually by clients. Public value means it is the consumers of services that make it public value, regardless of who produces it (whether it is the government or the private/third sector). Moore (1995) created a ‘strategic triangle’ (see Figure 2.3) comprising three components: legitimacy and support; public value; and operational capacity.

Figure 2.3 - Strategic triangle



Source: Moore (1995)

Once a strategy or action has democratic legitimacy and a supporting environment, and the government has the operational capacity to implement it, public value can be created. Once this is done, it helps to increase legitimacy and support (for example, increasing trust in the government by the community), as well as improving a government’s operational capacity (for example, it becomes easier to obtain financial and other resources). This strategic

triangle is relevant to the findings of the current research in exploring the importance of trust and the relationship between the community and the government regarding engagement activities such as public consultation, communication and collaboration (see Section 6.4, Chapter Six, and Section 7.4, Chapter Seven). Indeed, the local knowledge, social capital and social legitimacy of social enterprises (SE) are seen as their exchange value, while commercial knowledge, financial capital and market legitimacy are considered to relate to corporations (Di Domenico *et al.*, 2009b). Therefore, in the provision of public service, it is important to access the exchange value of service providers in relation to their legitimacy and interaction with the community to ensure that public values (and/or social values) are achieved (more discussion on SE and the third sector is presented in Section 2.3.4.1). Benington (2009) defines public value in two ways: first, it is what the public values; and second, it is what adds value to the public sphere. The latter emphasises how values are considered to be public ones. Public value is not simply those values determined by individual interests, but also those that benefit a wider public interest. Moreover, public value benefits not just current users, but also future generations (Benington, 2009), so therefore can be argued to be a wider community asset.

However, Alford and Hughes (2008, p.133) contend that there is no universal or unique standard of public value, as value itself consists of two factors, namely “particular circumstances in the social and natural environment” and “the desires and judgments of people”. First, what is valuable is different, depending upon context and culture. Second, what is valuable in public value is determined by the needs and wants of collective citizens. However, these vary and change over time. A democratic political process, although not a perfect mechanism, needs to be adopted in order to help public managers identify and meet citizens’ demands and desires (Alford and Hughes, 2008). In these cases, public value shares several similarities with SV. First, it comprises values that are consumed by the collective as a whole, as opposed to merely individuals. In essence, whoever delivers public value or SV, aims to deliver benefit to a wider community, rather than serve a private group or individuals. Second, there is relativism in both public value and SV, which implies that there is no unique or universal definition of either. Indeed, value is a complex concept that varies between sectors, contexts and cultures, and requires harmonisation rather than a single definition. Third, both concepts are driven by their value recipients, meaning the public rather than the providers. Service providers, whether public officers or social entrepreneurs, should identify the social/public values that they want to deliver by identifying social issues and their

customers' needs beforehand. Fourth, public value and SV are both created through consideration not only of financial cost and benefit, but also other principles and non-financial value-driven issues. SV, created by SEs and TSOs (as discussed in the previous section), is achieved through an innovative model and process, which involves the participation of all stakeholders. To achieve public value, meanwhile, service providers must meet the public service ethos, which refers to public interest, accountability and equality, in addition to financial cost and benefit.

However, when public value is created, it allows us to observe other values as well, namely economic value, such as adding value to the public by generating economic activity and employment; social and cultural value, which add value to the public by contributing to social capital and community well-being; political value, the addition of value to the public by stimulating democratic dialogue and citizen engagement; and ecological value, such as adding value to the public by promoting sustainable development (Benington, 2009). Therefore, while SV and public value share many similarities, it is argued that they are not the same concept when discussed in the context of PSD. In other words, SV is a major part of public value. Social and public value could however, be jointly employed in the discussion of public services as the mutual aims of public service providers and important elements in the evaluation of the public service ethos.

2.3.3 - Nature of social value

2.3.3.1 – Social value as a social construct

In constructivism, social phenomena such as organisation and culture, rules in organisations, and norms and values in culture are constantly constructed and transformed (Bryman, 2012). Social construction theories explain how social phenomena and structures are created, realised and reproduced by actors in society (Giddens, 1984), and the process of ongoing internalisation and externalisation through interpersonal interactions (Edvardsson *et al.*, 2011). In a social system, there are three dimensions: 'signification' (meaning); 'domination' (control); and 'legitimation' (morality) (Giddens, 1984). The first dimension of signification describes how people communicate and interpret their ideas during social interaction. The second dimension, domination, refers to how people use power to reproduce the existing structures of domination. The final dimension, legitimation, refers to how people perceive social norms and values to assess the legitimacy of others' behaviour. Meanings, or norms and values, in these dimensions are realised through social interactions and understood within

social structures and systems (Edvardsson *et al.*, 2011). Therefore, features of social contexts, their customs and values need to be addressed in order to be able to understand social meaning (Hoffman, 1990). Recognition of this also suggests the need for an examination of social actors, their interactions and viewpoints when exploring social phenomena. In other words, the social world is subjective and indeterminate, as it is represented in varying ways depending on different people's points of view, and is socially constructed through social actors' interaction (Porter, 1996). For example, 'peer-assessment' and 'self-assessment' are important in Western education to encourage students to be more confident, independent and autonomous. However, these values of formative assessment are not viewed positively in Confucian culture, where harmony is viewed as the cardinal cultural base and being modest in self-assessment is appreciated more than self-appraisal. It is important to acknowledge these differences in a study that explores PSD comparatively in different countries such as Vietnam and the UK.

Value, therefore, is socially constructed across contexts and cultures and its structure is relatively universal (Schwartz, 1992). Research exploring the stability of value structures and systems in different contexts (Fontaine *et al.*, 2008; Fischer *et al.*, 2011) shows that both random factors (sample size) and systematic factors (societal development and sample types) have an influence on the stability of value structures (Edvardsson *et al.*, 2011). Specifically, the more developed the context, the more stable the value structure. This is due to the shift on the motivator axis towards humanitarian and materialistic values, as shown in Figure 2.3 in the previous section. Higher societal development often enhances social conditions, which eventually enhances humanitarian values (Fontaine *et al.*, 2008). This process is contrary to that in less developed contexts, where the period of modernisation, which requires the improvement and building of social infrastructure, leads to a shift towards materialistic values (Inglehart, 1997).

According to Young (2006), SV is subjective and heterogeneously perceived among different stakeholders, according to their demands and purposes. This is particularly true when examining the perception of SV among various groups. Indeed, how we understand SV depends upon our purpose and position, and on our social construction of the term. A value we decide to select or reject is influenced by our interaction and relation in a social environment and others' views of that value (Dolfsma, 1997). Mirowski (1990, p.705) contends that "In any valuation, the personal and the social are endlessly layered between

acts of interpretation and signification”. SV, if understood as shared conceptions of value within a community, is therefore formed by social actors and constructs in a social environment and influenced by these factors. Therefore, the different perceptions of SV in different fields and cultures can result in different community wants and needs, and hence different societal outcomes.

2.3.3.2 - Cultural relativism of social value

Cultural relativism is often contrasted with universalism. While universalism contends that “some moral judgements are universally valid” (Tilley, 2000, p.505), cultural relativism claims that “every moral judgement is culturally relative” (Tilley, 2000, p.505). A positive or negative moral judgement made to assess an action is only true if that action is within the social/cultural norms and values of the subject of the action (Tilley, 2000). Tilley also argues that it is not cultural relativism that establishes the validity of judgments and norms, but that it is the agreement between them that makes the judgment valid. These points could be interpreted as the idea that social norms and SVs vary across different cultures and contexts, which requires the adjustment of judgement and action. This view was discussed earlier by Kant (1788), who argued that people’s experience was formulated through their own spectrum of the world, which implied that no experience was universally applied. Cultural relativism is also said to be linked to cognitive relativism, through the epistemological viewpoint that there is no objective knowledge, only the interpretation of the science of social objects (Boudon, 2003). Indeed, customs are different from one society to the next, and therefore scientists need to consider the context that they are researching (Howson, 2009).

SV is a complex concept that varies not only between individuals, but also between cultures, and it is therefore crucial for researchers to consider its culturally-relative characteristics. SV, according to Rutten and Gelissen (2010), plays a major role in the explanation of regional development, and the differences in SV between regions should be correlated with regional differences in economic development. SV is understood as a homogenous set of behaviours and characteristics of people in a society (Granato *et al.*, 1996). Therefore, the different societies that establish different social norms and standard behaviours imbue society with different sets of SVs. Consequently, while there are some SVs that can be applied universally, there is no unique set of SVs that holds true globally (Wilson and Bull, 2013; Teasdale, 2011).

In relation to current research on the role of community engagement (CE) in SVC in PSD in both the UK and Vietnam, cultural relativism is important in explaining and recognising the differences between the two countries in their approaches to SV. Furthermore, it has significant implications for recognising whether policies implemented in one country (the UK) can be adjusted to apply in the other (Vietnam), given their different cultures (and vice-versa). Vietnam, with its societal roots in Buddhism and Confucianism, and the UK, with societal roots in Christianity, is affected differently through their respective communities. Furthermore, the differences in socio-economic political culture (with a communistic society in Vietnam and capitalistic society in the UK), as well as the further differing influences that exist, need to be acknowledged and explored in the current research in relation to the implementation of policy designed to facilitate SVC. In exploring this dichotomy, the current research also contributes to academic discussions on the nature of SV from a culturally relativistic viewpoint. However, in order to do this, there must first be an exploration of the SVC delivered within the social economy.

2.3.4 – Social value creation

SV, as discussed in the previous sections of this chapter, is socially constructed and a central outcome of the social economy. Given that the main focus of the current research is on the role of CE in delivering SV through PSD (which is later discussed in Section 4.3, Chapter Four), albeit with third sector organisations delivering these services, the question arises as to what makes the SV created by TSOs different from that created by other sectors and actors. This section specifically explores how SV is created and delivered in the social economy by revealing the concepts of the main actors, which are the third sector and social enterprises.

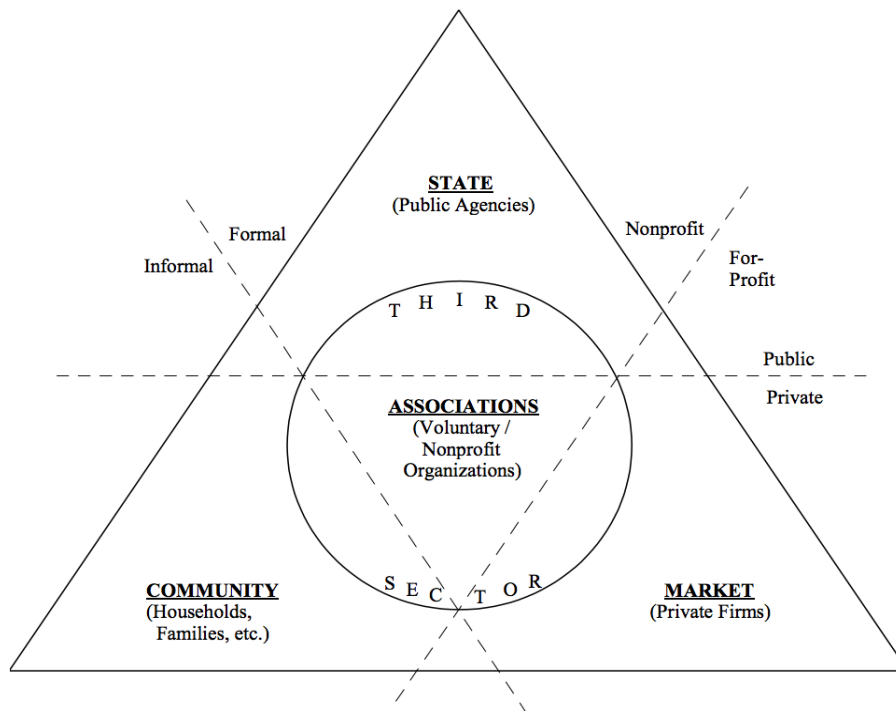
2.3.4.1 - The third sector and social enterprise

- *Definition of the third sector and the social economy*

The term ‘social economy’ originated in France in the early 19th century, coined as the ‘*economíe sociale*’ in 1830 by the French economist Charles Dunoyer (Moulaert and Ailenei, 2005). Later, the concept was developed more academically and recognised by Walras (1896) when he identified three levels of economic analysis: the pure political economy, the applied economy, and the social economy, the latter defined as a combination of private interest (market) and social justice (role of the state). Since then, the concept of the social economy has been developed and discussed by a wide range of authors globally, with reference to an

economy dominated by neither the state nor the private sector. The third sector, therefore, is considered the English equivalent of the French concept ‘*economie sociale*’ (Lorendahl, 1997:76). The overlapping of the third sector and social economy is described in the tri-polar model. In Figure 2.5, the TSOs are hybrid models, including not only the private and public sectors, but also the community (Pestoff, 2005).

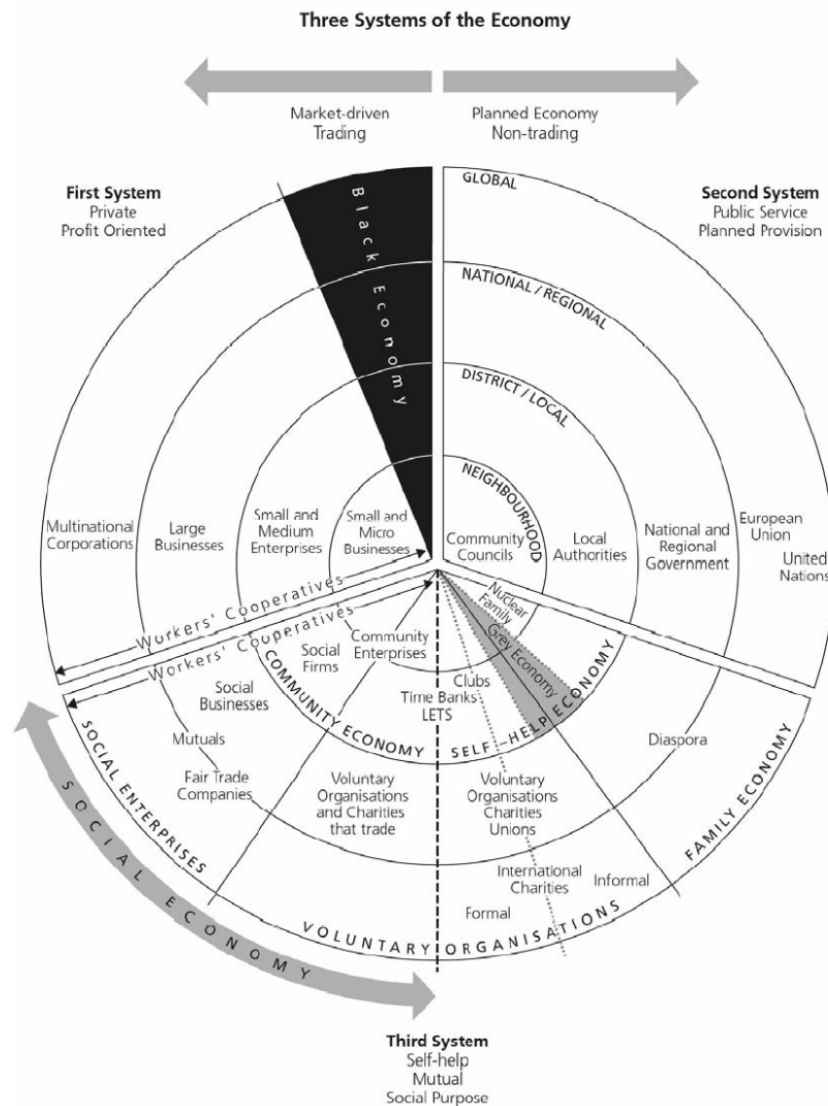
Figure 2.5 - The third sector in the welfare triangle



Source: Pestoff (2005)

The hybrid nature of the third sector lies in its position in the triangle in Figure 2.5. With its central position, it does not belong to the state, the market or the community, and neutralises the behavioural tensions between these three sectors (Defourny and Nyssens, 2006). These behavioural tensions are those of market orientation and profit distribution between the state and private sectors; the tension between public and private value that the state and private sector pursue; and the tension between the formal organisation of the state and informal family, personal and social networks. The overlapping position of the third sector in this model does not aim to provide a precise definition of it, but merely illustrates the overlapping boundaries.

Figure 2.6 - Three systems of the economy



Source: Pearce (2003)

In Figure 2.6, the third sector as an organisation belongs neither to the private sector nor to the public. These organisational forms are voluntary/charitable entities (both trading and non-trading) and SEs (including social firms, social businesses, community enterprises, mutual societies, and fair trade companies). The social economy is shown as that in which all TSOs that have trading activities operate. Thus, the terms ‘social economy’ and ‘third sector’ are not the same, although there is much overlap. In short, any trading activities that embed a social orientation and any social orientation activity that embeds an economic dimension can be considered to be part of the social economy.

- *Definition of social enterprise and social entrepreneurship*

Along with the emergence and development of social enterprises (SEs) globally, many researchers, economists and policymakers have conducted research in which SE is defined from different dimensions and approaches. There is therefore no universal mutual definitional framework of an SE (Kerlin, 2012). Based on drivers to define an SE, Granados *et al.* (2011) identify it as an organisational form that is driven primarily by SVC and auto-sustainability, which means that economic drivers are means to a social end, not the end in itself. Reis (1999) also pointed out two strong forces leading to the establishment of an SE; the first is the desire to create social change through an enterprise-based solution, while the second is the sustainability of the organisation requiring the creation of income. In these approaches, financial sustainability is emphasised as a distinguishing feature of SEs compared to pure charitable organisations, which largely depend on exterior funding. Therefore, an SE is a ‘hybrid’ model (Dees, 1998), as shown in Table 2.2.

Table 2.2 - The spectrum of social enterprises

		Purely philanthropic	←————→	Purely Commercial
	Motives	-Appeal to goodwill	-Mixed motives	-Appeal to self-interest
	Methods	-Mission driven	-Mission and market driven	-Market driven
	Goals	-Social value	-Social and Economic value	-Economic value
Key Stakeholders	Beneficiaries	Pay nothing	Subsidized rates, or mix of full payers and those who pay nothing	Market-rate prices
	Capital	Donations and grants	Below-market capital, or mix of donations and market-rate capital	Market-rate capital
	Workforces	Volunteers	Below-market wages, or mix of volunteers and fully paid staff	Market-rate compensation
	Suppliers	Make in-kind donations	Special discounts, or mix of in-kind and full-price donations	Market-rate prices

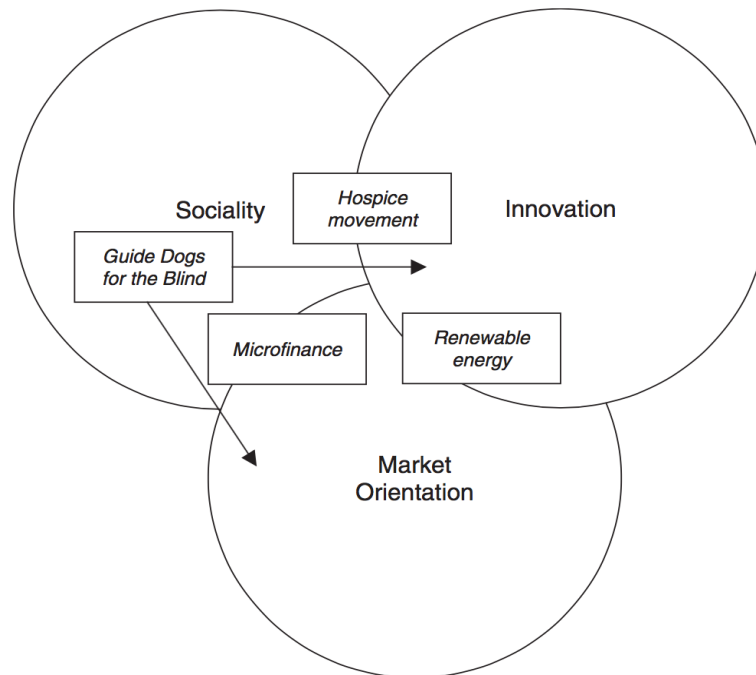
Source: Dees (1998)

The EMES European Research Network took this conceptualisation further and defined SEs on the basis of three organisational dimensions (Borzaga and Defourny, 2001; Defourny and Nyssens, 2006). The first element of this model relates to the economic and entrepreneurial dimension, consisting of four indicators: a continuous activity producing goods and/or selling services; a high degree of autonomy; a significant level of economic risk; a minimum amount of paid work alongside that on a voluntary basis. The second element of the model relates to social dimensions, which include five indicators: an explicit aim to benefit the community; an initiative launched by a group of citizens; a decision-making power not based on capital ownership; a participatory nature; and limited profit distribution (Borzaga and Defourny, 2001). The third dimension is ownership-governance, meaning that SEs are structured by a

group of people sharing a mutual need or aim, and ensuring the participation of all stakeholders (in particular community members) in decision-making processes (Di Domenico *et al.*, 2009b; Borzaga and Galera, 2012). These three organisational features of SEs imply the empowerment of community participation in the organisations' activities. The impacts created are not only the final outcomes, but also the process of engagement and empowerment of all stakeholders and service users, which ultimately creates social changes (as discussed in Section 2.3.2.1). Additionally, while emphasising the business dimension of SEs, it is also important to distinguish between SEs and the revenue creating activities of non-profit organisations. Alter (2007) contends that an income-generating activity becomes a SE when it is operated as a business. This differentiates SEs from income generating activities that are only undertaken as a means to compensate all, or a percentage, of the costs of delivering a non-profit service.

The terms SE and social entrepreneurship are often used synonymously, as private firms are increasingly more socially responsible under increased regulation from governments and consumer expectations (Di Domenico *et al.*, 2009b). However, the two concepts are not the same. Thompson and Scott (2014) argue that social entrepreneurship can exist in an organisation which is not a SE. Therefore, to understand social entrepreneurship it is necessary to distinguish the concept from SE and to understand its role in SVC. Social entrepreneurship has been defined as entrepreneurial activity with an embedded social purpose (Austin *et al.* 2006). Nicholls (2006) constructed a framework of three dimensions of social entrepreneurship comprising sociality (social objectives), innovation, and market orientation (Figure 2.7).

Figure 2.7 - Dimensions of social entrepreneurship



Source: Nicholls (2006)

Nicholls (2006) strongly emphasises the need to look at social entrepreneurship and its features from a sociological standpoint. He contends that the three dimensions of social entrepreneurship represent the interactions of social entrepreneurs in the different social contexts in which they operate. This implies that social entrepreneurship itself is also a social construct, and therefore its definition also requires the consideration of social contexts and structure. Indeed, social entrepreneurs might not necessarily be the owners of SEs. Moreover, social entrepreneurship describes an entrepreneurial activity which meets a social need in a creative and innovative way. Even though entrepreneurial activity here does not necessarily mean an entrepreneur, it is the word ‘social’ that matters more in identifying and defining social entrepreneurship and SE. Although the two concepts of SE and social entrepreneurship are not synonymous, it is the ‘outcomes’, or in other words social impact, created by the entrepreneurs and the organisations that matter more than the definitions themselves (Thompson and Scott, 2014). Therefore, SE or social entrepreneurship present an innovative business approach to solving social issues, in which community benefit and empowerment are emphasised. This feature allows SEs, as well as TSOs, to foster CE in their service provision and operational activities (which is discussed in Section 8.3, Chapter Eight).

2.3.4.2 – Social value creation in the social economy

- *Resource mobilisation*

TSOs, especially SEs, introduce a new approach to solving social problems and creating SV using entrepreneurial methods. Whilst doing so, SEs still have to operate and compete in a traditional commercial market, while at the same time working against the market's principle rule of profit maximisation. This forces SEs to mobilise resources for their double objectives of creating both social and economic value, which refers to the double bottom line (Gui, 1991). In other words, SEs must operate in a poorly functional market (Di Domenico *et al.*, 2010). Furthermore, even though SEs operate in different fields and contexts, they mostly work closely with communities where access to resources is limited (Peredo and Chrisman, 2006); for example, ethnic minorities and the elderly. Therefore, it is a challenge for TSOs and SEs to mobilise all their existing resources and acquire new ones to achieve both economic and social value. This characteristic refers to the concept of social bricolage (Di Domenico *et al.*, 2010). Di Domenico *et al.* contend that social bricolage happens in limited resource situations, and in turn acts as a driver for SEs to take advantage of all available resources to create SV. However, despite scarce resources, social entrepreneurship has a comparative advantage over other business models, namely its ability to mobilise non-financial inputs that private companies or public enterprises cannot access, such as volunteer workforces, donations, funding from other TSOs and social investors (Mulgan, 2006). Resources for the social economy also come from the extent to which investors (public or private) address social issues and contribute resources to their ventures (Rexhepi, 2016). Therefore, it is important that organisations in the social economy are able to address social issues and their accessibility to available resources. These multiple non-financial and non-traditional resource types allow social entrepreneurs to pursue their social mission in spite of their competitive disadvantage.

- *Social interaction and involvement*

Unlike traditional commercial enterprises, in which economic value is created and shown in outputs, the SVC of SEs involves more stakeholders in a wider process. SEs pay attention to the additional inputs that improve the quality of beneficiaries' experiences and allow them to be involved in the process of creating SV (Young, 2006). For example, Work Integration SEs (WISE) not only bring the disadvantaged workforce back to employment, but also give them training and confidence, and empower them to become more included in society. The SV

created is not only demonstrated in the outcome, but also in the process during which the targeted group benefits. However, SV created by SEs cannot always be measured in outcomes, but in their willingness to work on social issues and maintain their core mission, whilst resisting ‘mission drift’ (Hazenberg, 2013). The participation of stakeholders is also demonstrated in the management, governance structures and procedures of SEs, in which every individual can have an input into the decision-making processes of the enterprise. This operational form, therefore, can lead to a more effective way of team-working, motivating employees and producing ideas, which can result in a more creative way of delivering SV.

- *Social innovation as a means*

Social innovation is defined as “changes in the cultural, normative or regulative structures [or classes] of the society which enhance its collective power resources and improve its economic and social performance” (Heiscalea, 2007, p.59). Social innovation is therefore a means for SEs to achieve their double/triple mission. Many authors have emphasised the importance of innovation in entrepreneurship (Schumpeter, 1934), social entrepreneurship (Nicholls and Cho, 2006) and even in public service organisations (Vickers *et al.*, 2017). Schumpeter (1934) emphasised the role of entrepreneurs as innovators, whilst Bolton and Thompson (2004) also consider innovation as the means for entrepreneurs to create and build values. Innovation is the factor that differentiates socially entrepreneurial organisations from the voluntary sector, as it helps them to achieve sustainability (Thompson and Scott, 2014). Indeed, innovation can be considered a distinguishing feature and an essential characteristic of social entrepreneurship (Nicholls and Cho, 2006). While the creation of SV other than individual and shareholder value is the central driver for social entrepreneurship, it is innovation and change that can help to precede that social creation (Noruzi *et al.*, 2010; Defourny and Nyssens, 2010). Furthermore, some SEs or other community initiatives deliver public services on a sub-contract basis with the government as they can provide services more effectively (and innovatively) than state providers. However, it is crucial to investigate whether they are merely responding to government needs (reactively) (Seddon and Denny, 2014), or whether they wish to be innovators in solving social problems in a more effective way (proactively). Indeed, it could be argued that it is only the latter proactive approach that can lead to truly sustainable SV and impact. Many enterprises are simply responding to government needs through contract delivery and do not really operate innovatively as SEs (Thompson and Scott, 2014). Innovation suggests greater collaboration of multiple actors in different domains to mobilise resources (Vickers *et al.*, 2017). It can be present in governance

structures where the organisation motivates and takes advantage of the participation of its stakeholders; in products that satisfy the unmet demand of people in need; and the process in which additional inputs are added to improve the quality of beneficiaries' experience (Young, 2006). Therefore, SV is created at any point of an SE's value chain, not only in the outcome and output (Nicholls, 2006).

- *From social value to social change*

Social change lies in the shift in structure, practices and beliefs of society (Thekaekara, 2005). For example, unlike the traditional approaches of voluntary groups, charitable organisations and public sector bodies who consider social issues of disadvantaged groups, SE also seeks to make a change in the judgment, opinion and capability of community groups. The poor are viewed as having the ability to escape poverty by trading their way to wealth and well-being (Young, 2006). This shift in social perception may lead to shifts in behaviour. Young (2006) took an example of ethical businesses, such as The Body Shop; when they achieved an international scale, they created a new benchmark for the way a sector must behave. SVC as the primary focus of a business then spreads and become a concern for every individual, not only social organisations or the government. The idea of SVC also affects the traditional means of competition in the market, which is based on cost, demand and economic benefits. Many campaigns, such as the 'Buying Social' campaign by Social Enterprise UK and the European Commission, provide examples of these shifts in community behaviours. Indeed, such shifts can be argued to be in part behind the current drive towards increasing community engagement in PSD, which represents a logical next step in the marketisation of public services that has been noted by other scholars (Osborne and Gaebler, 1992; McKay *et al.*, 2015; Han, 2017).

2.4 – Summary

This chapter has explored the conception of value and SV from a theoretical perspective. Value expressed as worth or utility is explored economically at an individual level to express individual satisfaction with an object. Value also functions as an expression of needs and demands toward social, personal, humanitarian or materialistic desires. As a result, the 'social' aspect of SV should be explored further in sociological and humanitarian terms. In the context of the social economy, it refers to the non-financial positive value created through human activities, which targets disadvantaged and marginalised people and aims to deliver positive impacts and social change to a wider community. From a sociological perspective,

SVs are socially oriented and function as the expression of social needs. In the context of the social economy, organisations create SV effectively and sustainably when it transforms into social impact and creates social changes. It is worth noting that SV is not public value, even though it seems as if both concepts describe values that aim for the mutual benefit of the community. Rather, SV is a constituent part of public value. Value and SV are socially constructed concepts, relative to their culture. Therefore, recognition of the socially constructed nature of SV is important and valuable for the current research in its understanding of the concept of SV in relation to international contexts.

SE and the third sector emerge as effective social value creators in the social economy. SE is a hybrid model between the public and private sectors, using an entrepreneurial approach to solve an identified social problem. SEs are able to seek diverse sources of investment (social impact investment) and involve all stakeholders in SVC. Social innovation is an important feature of SE, reflecting the nature of entrepreneurs in their ability to apply ideas to positively transform society. This feature allows the SV created by SEs and TSOs to have a social impact and to make social changes. Through a wider involvement of stakeholders and principles of redistribution, TSOs contribute to the development of social capital, and therefore create SV. It is also crucial to realise that SE and social entrepreneurship are not the same concepts. While a SE is an enterprise operating socially, social entrepreneurship refers to socially entrepreneurial activities that can exist in many forms of an organisation. However, both concepts create social impact, and it is this that makes them effective SV creators.

Although the concept of SV is not uniform, varying among people, stakeholders' perception of the concept is important. The sectors' understanding also helps all stakeholders to find better ways of cooperating and improving their performance. This chapter has also explored the importance of TSOs in CE in PSD (which is the later focus of the research). Through the involvement of recipients in their operations, TSOs foster CE and address community needs more effectively. This involvement results in transformative changes in the community, which eventually create social value.

Chapter 3 – The welfare state and public service delivery

3.1 - Introduction

This chapter continues to explore the concepts and theories around the welfare state (WS) and public service delivery (PSD), with the aim of finding the links between social value (SV) in the two concepts. It is very important to start by exploring the WS, as it affects the way public services are delivered. First, the WS is discussed in terms of its conception, classifications and causal forces. This leads to a critique of the lack of social dimension, with focus on the SV provided by the WS, and the discussion of the importance of embedding this social dimension within the academic field of study. The second part then discusses the reforms in PSD with reference to different forms of WS and its growth toward social value creation (SVC). The theories explored in this chapter provides a valuable source and base for building the theoretical framework of SV in public services in the following chapter, specifically with regard to how community engagement (CE) can facilitate SVC.

3.2 – Welfare state

In order to explore the WS, this section starts by understanding its conception. The dimensions of the WS are discussed to confirm the existence of SV as a social construct in public service delivery. The discussion around models of the WS and its causal forces is followed by an exploration of the relativism of the WS in relation to contextual factors. Finally, a critique is made of SV and well-being in different WSs to establish if SV provides a better model to deliver welfare.

3.2.1 - Conception

The WS has been widely discussed by many authors (Andersen, 1990; Marshall, 1950). Any understanding of it must begin with an understanding of its lexical components and the links and issues around them. Is the ‘state’ the provider of ‘welfare’? Who does it deliver ‘welfare’ to? Can ‘welfare’ be delivered by other parties other than the state? These questions imply the need to understand the actors and the motivations involved in constructing different types of WS, as well as the socio-economic, political, and cultural contexts.

3.2.1.1 - Welfare state

The origin of the WS goes back to the process of democratisation, which implies equal rights and justice, as well as to industrialisation, which led people to depend on the market and therefore to a need for social security (Roller, 1995; Andersen, 1990). Marshall (1950)

approached the concept of the WS by placing social citizenship at its core. He raised the concept of social rights as the social responsibilities that the state has to its citizens. This view is also discussed by Andersen (1990), who refers to social rights in relation to de-commodification. De-commodification implies the degree of immunisation from citizens' market dependency. In other words, de-commodification gives citizens minimum social welfare, which they have the right to access to maintain their life without being affected by the market (Andersen, 1990). Therefore, the WS describes the responsibility of the state to guarantee basic minimum social welfare in terms of housing, healthcare, education and income (Marshall, 1950). Spicker (2000) defined the WS as an institutional form of social protection. This resulted from Spicker's theory that the aim of government is to provide social protection to its citizens, even though he does not deny that social protection can be delivered by entities other than the state (for example, it can also be delivered by family, friends and communities). This emphasis on social protection and social rights as the basis of welfare provision is also shared by Titmuss (1950).

However, to what level 'basic' or 'minimum' welfare should be delivered is a matter of debate. Moreover, the definition ignores the discussion around whether the intervention of the state through its social policies affects market principles. Briggs (1961) emphasised the role of the state in controlling market failures to guarantee the social protection and welfare of its citizens who otherwise would not be reached by the market. However, the direction raises the question of social stratification, which was also discussed by Andersen (1990). While this definition implies that welfare should be delivered comprehensively and equally to all citizens, Andersen (1990) argued that the WS, beyond being a mechanism to correct inequality, is a system of stratification in itself. Therefore, different WSs can create different stratification systems, which do not necessarily serve all classes.

Most authors refer to the state as the provider of welfare, but agree that the state is not the only potential provider of social services. It is however, an important actor, whose intervention is necessary to guarantee a certain quality of life for its citizens. The range of welfare delivered, and the varying participation in delivering it, differs between different types of WS, which is discussed later in the chapter. While the concept of 'welfare' varies across countries, convergence can occur in relation to quality and beneficiary satisfaction. This specifically relates to the concepts of welfare and well-being.

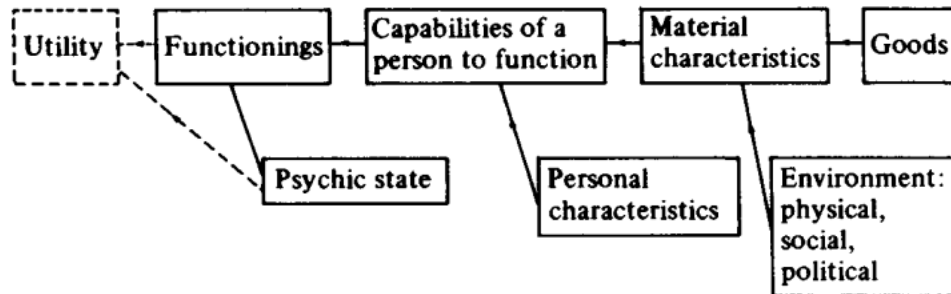
3.2.1.2 - Welfare and Well-being

‘Welfare’ is defined by the Oxford Dictionary as “the health, happiness, and fortunes of a person or group” while ‘well-being’ is defined as “the state of being comfortable, healthy, or happy”. The two words are often used as synonyms for human happiness. Welfare is often referred to the maximisation of individual utility. However, the validity of this assumption is open to question if we instead place welfare into a more ‘social’ dimension, with a focus on SV (Jordan, 2008). Many authors assert that there is a widening gap between GDP and the happiness of people in a nation (Easterlin, 1974, 2005; Jordan, 2008). Easterlin’s paradox claims that more indicators should be identified as alternative measures of happiness. The paradox explains that high income correlates with happiness in the short-term, but in the long-term increases in income do not correlate with increases in happiness. This potentially inverse relationship occurs as human happiness can be derived from many other life factors, such as, but not exclusively, health, social relationships and employment. In the UK, this idea of happiness was first proposed by David Cameron (2010), who asked for a new measurement of growth based not only on GDP, but also on general well-being. The idea was to provide a general picture of where life is improving so that the government can have a practical policy for the improvement of people’s well-being.

Well-being is divided into objective well-being (OWB) and subjective well-being (SWB), which describe its socio-economic and moral-psychological aspects respectively (Alatartseva and Barysheva, 2015). OWB is often determined by indicators such as income, education, environment and security, while SWB reflects the internal experience and psycho-emotional state of the individual, such as confidence, satisfaction, and the feeling of love and/or affection. Therefore, OWB provides the material conditions for people to obtain opportunities and the capabilities to choose their utility. However, utility is not only affected by material factors, but also by others, as described in Sen’s standard of living theory (1988). According to Sen, the standard of living cannot be merely judged by the level of utility, but also by the capability of a person to function. Figure 3.1 shows Sen’s (1988) demonstration of the creation of utility through the transformation of goods into their material characteristics, which leads to the formation of the capability of a person to function. Capability finally translates into functioning, which eventually forms a person’s utility. However, during the transformation to utility, many other factors, such as environmental ones, can affect the

material characteristics of goods, the personal characteristics that affect the capability to function, and the psychic-state which affects the formation of functioning.

Figure 3.1 - Utility, functioning, capabilities and their sources



Source: Sen (1988)

While OWB provides material conditions for people’s standard of living, it is SWB that differentiates the capability set of a person. Welfare and well-being, rather than being synonyms, are two inextricably linked concepts (Heins and Deeming, 2015), which describe the standard of living in both material (objective) and mental (subjective) aspects. Welfare programmes related to education, health, security, income and employment, therefore, need to not only be sufficient, but also pay attention to the factors that affect the capabilities and functions of people who need them. Consequently, welfare and well-being relate not only to the happiness of people, but beyond that to the promotion of ‘contentment’ (Searle, 2008).

From a utilitarian standpoint, some economists such as Layard (2005) argue that the goal of public policy should be to deliver greater happiness to a nation’s population, and not merely to increase GDP. Layard developed the frameworks below of how public policy interventions could affect happiness (see Figures 3.2 and 3.3).

Figure 3.2 – The policymaker’s ideal world

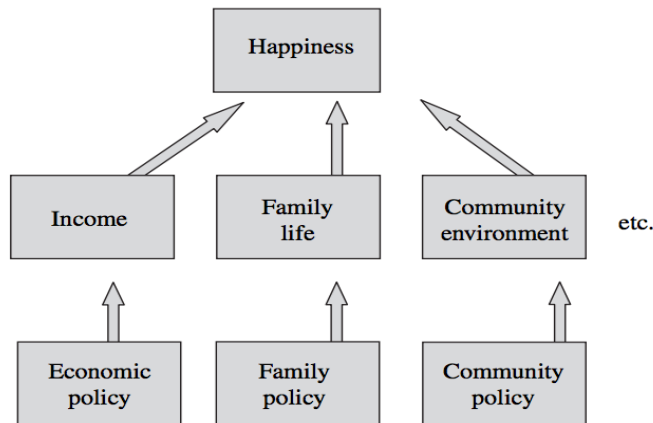
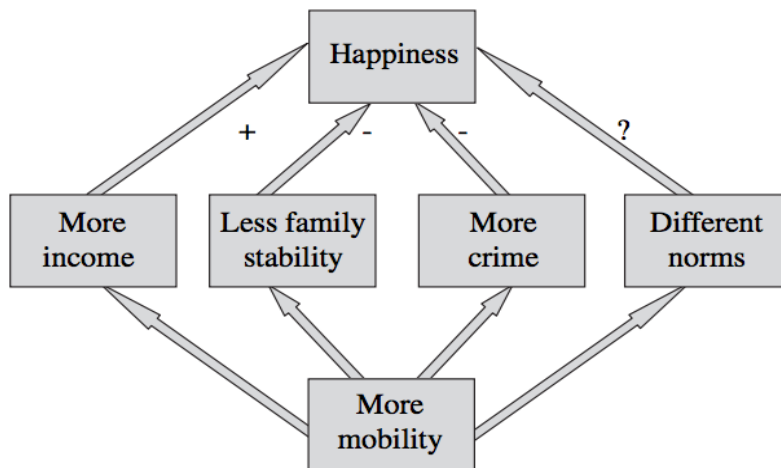


Figure 3.3 - Reality



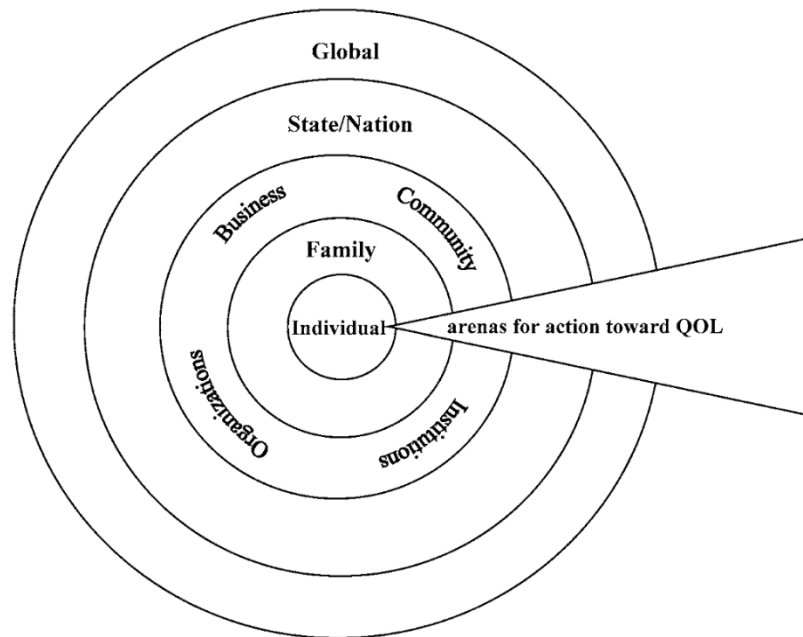
Source: Layard (2005)

Layard pointed out that the limitation of economic theories is that they only look at utility as a motivation to increase the opportunities for voluntary exchanges. However, there are extensive involuntary interactions between people, such as our norms, feelings, and experiences, which might also affect our happiness. Therefore, the intervention of public policy does not always only affect its specific target populations, as there is always overlap between policies and societal sub-populations. This requires the collaboration of economists and social scientists when designing public policies that aim to achieve happiness. This idea is also supported by Granovetter (1985) through his work on social embeddedness. Granovetter (1992) argues that the pursuit of economic goals must be accompanied by that of

non-economic ones such as social power and status; economic action is socially situated, not individually motivated, and economic institutions are socially constructed.

While welfare provides self-sufficiency, well-being provides self-sustainability. Self-sufficiency includes the guarantee of sufficient provision of individual, relational and environmental conditions. Meanwhile, well-being focuses on abstract factors related to the standard of living, such as the preservation of social units and cultural values (Braun *et al.*, 2002). Well-being looks beyond the sufficiency of an individual or a group of people to the sustainability of that standard of living through the psychic-state, and social and cultural values that affect its maintenance. Figure 3.4 describes the ecological view of actions toward quality of life, in which they move towards circles of wider communities.

Figure 3.4 - Ecological view of the arenas for actions in relations to the quality of life



Source: Braun et al. (2002)

Braun *et al.* (2002) claim that there is reciprocity between families and society at community, state, national and global levels. The welfare and well-being of a person, therefore, are inextricable from the welfare and well-being of their family and society. This implies that policymakers need to design sustainable welfare policies that look beyond an individual's utility and towards their well-being or values at a wider level (family, society and globally). This view is shared by Jordan (2008), who argues that public policy should move from a utility base to an SV base, and from a contractarian to a relational model. His idea is that

there is a missing link of social capital that refers to social bonds and interactions, which shape the meaning of human exchanges and community engagement. SV is considered as a source of human well-being and therefore needs to be taken into account in public policy.

As many authors on the economics of happiness (Easterlin, 1974, 2005; Layard, 2005) have argued, economic measurements (for example, GDP and income) are not the only indicator of standard of living, as they are not empirically homogenous with a level of happiness. Whilst the WS remains a complex concept with debates around its function, degree of intervention, and the content of welfare delivered, the current research simply identifies it as the implementation of welfare policies to ensure citizens' social security and social rights (reflected through material and psychic needs). The nature of the welfare and well-being it delivers, and the extent to which the WS can improve its citizens' quality of life, should be related to its efficiency and not be used as a measure of its validity. The discussion of welfare and well-being in this section clearly challenges the WS to reconsider the content of its welfare delivery, with a greater focus on the social dimension. This is the case for the transformation of governance in government and PSD, which is discussed further in the following section.

3.2.2 - Classification of the welfare state

Given the discussion on welfare and well-being in relation to happiness and satisfaction, this section explores the history and different models of the WS in order to understand how welfare and well-being are approached in different models and contexts. The idea outlined in the previous section, that the WS relates to the provision of well-being and social support to people to guarantee their standard of living and happiness, highlights the need for a different approach by the state beyond material welfare provision.

3.2.2.1 – The welfare state in developed countries

Historically, the earliest attempt to classify the WS was made by Wilensky and Lebeaux (1958), who classified it into two types, residual and institutional, in which total social expenditure relative to GDP was used as an indicator to classify WS models. This classification, however, is considered misleading by many authors (for example, Andersen, 1990) as it assumes that all spending is equal. Later, Titmuss (1974) developed another classification inspired by Wilensky comprising three types of WS: the residual welfare model, the achievement-performance model, and the institutional redistributive model.

However, Titmuss did not base his typology on expenditure, but instead on the content of WSs. Within Titmuss' typology, the residual model refers to targeted/means-tested programmes designed to target marginalised groups and which apply only when the family or market fails. In contrast, in the institutional model, welfare is universal and targeted at the entire population. According to Andersen (1990), this approach by Titmuss represents a seminal piece of work in developing our understanding of WS types. Andersen (1990) later developed his own seminal typology of the WS. The differentiation between WSs in Andersen's model is based on three dimensions: social rights (through the level of de-commodification), stratification, and the interconnection of state, market, and family. De-commodification refers to the independence of individuals in the market to access their basic rights, while stratification is a society's categorisation of people ranked in a hierarchy based upon their occupation and income, wealth and social status, or derived power. The two dimensions are analysed in relation to three actors, namely the state, the market and the family. Based on this, Andersen classified WSs into three types: the liberal, conservative, and social democratic models.

In the liberal WS model, principles of the market are applied, in which the provision of private welfare services is encouraged. State welfare is only provided through means-tested programmes to certain groups (e.g. the disabled) that the market fails to serve. In this model, the provision of welfare can be made by either the market (such as private companies) or the voluntary sector (such as charities). This approach minimises the de-commodification effect as benefits are given based on income and market principles. In contrast, the conservative model of welfare proposes service provision to employees through certain organisations. The state plays a more central role in providing welfare than in the liberal model. However, it only provides welfare when family capacity is exhausted. Finally, the highest level of de-commodification occurs within the social democratic model of welfare delivery, in which welfare is provided universally and equally to everybody and strongly controlled by the state. The high cost of the social democratic model is supplemented by high income-revenue through high employability (Andersen, 1990).

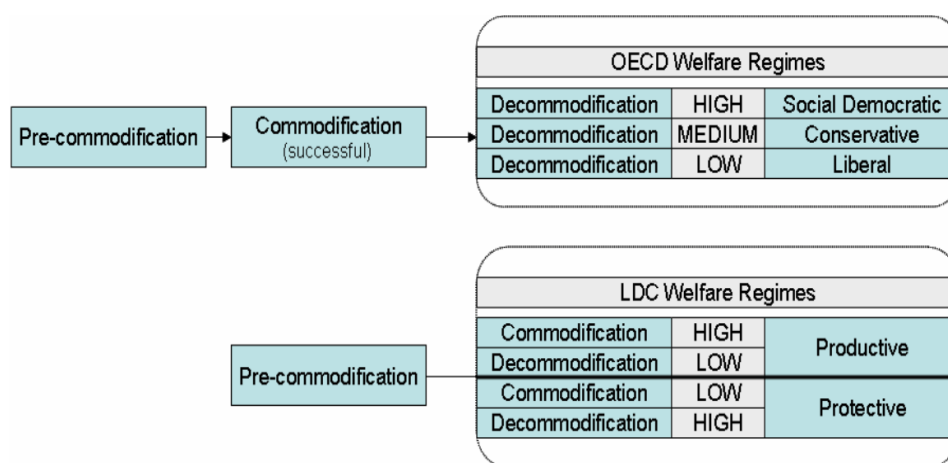
3.2.2.2 – The welfare state in transition economies

As noted earlier, WS regimes according to the models outlined earlier (Wilensky and Lebeaux, 1958; Titmuss, 1974; Andersen, 1990; Ferrera, 1996; Bonoli, 1997) focus on developed countries, where social democracy is entrenched. However, differences in political

structure, socio-economic development, and cultural history affect the application of WS models. Therefore, the models presented by these authors are not suitable for the developing world, especially transitional economies such as Vietnam.

Rudra (2007) identifies three types of WS in the developing world: the productive WS that promotes market development, the protective WS that protects individuals from the market, and the dual WS, which is both protective and productive. Rudra identifies the ‘capacity to commodify’ as the key factor differentiating developing WSs from developed ones. In less developed countries, especially transition economies, the reform towards a regulated market economy facilitates the level of commodification in which government policies are used to ensure that people depend on wage-labour (Andersen, 1990). This is not the case in advanced countries, where proletarianisation has already taken place, and the role of the state has been transformed to focus on the balance between de-commodification and proletarianisation (Andersen, 1990). In Marxism, proletarianisation is the social process whereby people move from being either an employer or self-employed (or rarely unemployed), to being employed as wage labour by an employer. The growth of capital in advanced countries means the growth of the working class, as capital accumulation and privatisation concentrates wealth in fewer hands, causing more people to depend on wages by selling their labour. Rudra (2007) developed a graphic illustration of these differences in de-commodification between countries, as shown below in Figure 3.5.

Figure 3.5 - Welfare states in developed and developing countries



Source: Rudra (2007)

WSs in developing countries in East Asia are categorised as productive (Goodman and Peng, 1996; Kwon, 2005). In this model, social policy is subordinated to economic policy and

productive activities. While the state plays the dominant role in providing welfare, the participation of other sectors in welfare provision is encouraged. Welfare is not universal, but instead linked to people's employment status. These WS models are growth-oriented and therefore are not universal, but linked to people's employment status, which reflects their contribution to economic growth (Holliday, 2005). In productive WS countries, commodification is higher, which represents the dominance of market competition. East Asian countries such as South Korea, Japan and Taiwan are representative of this group. In contrast, in less developed countries, where full-scale proletarianisation has been achieved, workers suffer from the prolonged absence of a guaranteed minimum income (Rudra, 2007), which drives the state to intervene to provide a minimum income through public employment and labour market protection (regulation and legislation).

Kim (2013) developed another classification of three productive WSs, namely: the inclusive productive WS, the market productive WS, and the dual productive WS. The inclusive productive WS focuses on a 'risk pooling' mission through social insurance schemes and public assistance for state employees and industrial workers who are central to the economy. In contrast, the market productive WS focuses on a 'self-reliance' system through a mandatory saving mechanism, in which benefits are linked entirely to the level of contribution (Kim, 2013, p.6). The dual productive WS combines approaches from both the inclusive and market models, in which market-oriented measures are applied for less productive rural residents, while inclusive measures are established for the more productive urban population. Table 3.1 summarises the characteristics and comparison of WSs in both developed and developing countries.

However, there are also noticeable differences in some transition economies such as Vietnam, in that their political system is different (i.e. a one party socialist state). Whilst Vietnam introduced its economic reform over thirty years ago, this development is still focused on a 'socialist'- oriented market economy. This unique political and economic condition requires the country to design a welfare system that balances the principles of both its political system and economic development. With the increase in market forces and workers' dependence on wage labour, the country has witnessed an increase in commodification. Meanwhile, low socio-economic development levels, a result of the limited capacity and resources of the government to provide social welfare, drive the state to seek a combination of state direct provision and public/private partnership to reduce its welfare

burden. Transition economies such as Vietnam, therefore, are considered as the ‘poorer-cousins’ of the so-called productivist regimes of East Asia (London, 2008).

Table 3.1 - Dimensions of welfare state models

Criterion	Three worlds of welfare capitalism			Three worlds of the productive welfare state		
	<i>Liberal</i>	<i>Conservative</i>	<i>Socio democratic</i>	<i>Inclusive</i>	<i>Market</i>	<i>Dual</i>
Countries represented	Anglo-Saxon (the UK, Ireland), the US	Germany, France,	Sweden, Switzerland,	South Korea, Taiwan	Hong Kong, Singapore, Malaysia	China, Thailand, Vietnam
Target groups	Stigmatised people	Labour/employees	All the population	Industrial workers	Self-reliant	Combination of industrial workers and other vulnerable groups
Social rights or level of de-commodification	Low: means-tested minimum benefit level	Medium	High	Medium	Low	Medium
Stratification	High, between not the privileged, middle class and the poor	Medium, between those working and those not working	Low (none); universalist	Medium, as benefits are targeted at medium/upper working class	High, based on level of contribution	Medium, as there are dual schemes to support welfare for both working and non-working people

Criterion	Three worlds of welfare capitalism			Three worlds of the productive welfare state		
	<i>Liberal</i>	<i>Conservative</i>	<i>Socio democratic</i>	<i>Inclusive</i>	<i>Market</i>	<i>Dual</i>
Interconnection between market, state and family						
-market	Central	Marginal	Marginal	Subsidiary	Central	Subsidiary
-state	Marginal	Subsidiary	Central	Central	Marginal	Central
-family	Marginal	Central	Marginal	Subsidiary	Subsidiary	Subsidiary

Sources: Adapted from Anderson (1990) and Kim (2013)

In Vietnam, the pursuit of economic growth as a priority and the neglect of redistribution, as seen elsewhere in East Asia, is seen as unsuitable by policymakers. A hybrid model between a 'protective' and 'productive' WS is perhaps more appropriate for the country. While the political scheme of socialism implies an institutional WS and the dominant role of the state in providing social welfare, the transition of the economy toward market economy principles implies a reform in social welfare programmes, with a more selective approach to priority aims and an increase in the participation of the private sector. This mission can be accomplished by encouraging multi-sector engagement (public/private/third/civil sector), whilst still retaining a focus on the 'social' aspect through the development of SV in welfare provision. A detailed discussion on embedding SV as the core element of welfare provision or in PSD is now presented, as it provides the main focus of the current research in relation to how it is achieved through community engagement.

3.2.3 - Causal forces of different welfare states

Whether in developed or developing countries, there is no single model of the WS. Research has been conducted to test the validity of Esping's WS typologies and has identified that there is still empirical relevance to the classification (Scruggs and Allan 2006; Vrooman, 2009). However, it has also been identified that there are overlaps between some countries in the model; for example, the Netherlands and Austria can both be considered socio-democratic and/or conservative WS models (Kersbergen and Vis, 2013). However, typology is merely the simplification of an object's complex characteristics for analytical and comparative purposes (Kersbergen and Vis, 2013). Moreover, the changes in context and other conditions mean that countries can change their WS model over time. One model can move toward that of another group of WSs when its socio-economic and political conditions are closer to the countries in that group. Therefore, any critique of classifications should also consider the longitude of context and the history of welfare development.

Andersen (1990) argues that three main forces shaped the development of different WSs, namely the nature of class mobilisation, class-political coalition structures, and the historical legacy of regime institutionalisation. According to Andersen, the role of the working class in coalition formation is clear and WS construction depends upon political coalition building. States need to look for allies by paying attention to the major class coalitions inherent within their borders. These incentives drive the state to design its WS to be suitable for its political

coalition situation, or even expand and reform it. Specifically, how the state develops its welfare provision with respect to the market and family informs the choice of WS regime.

In the discussion of Andersen's (1990) WS models, Titmuss (1974) and other authors have focused on developed and capitalist countries. However, the models in developed countries are of limited relevance for developing ones, due to the low level of economic development and widespread poverty in the latter. Nguyen (2001) describes three groups of WS provision based on level of development and type of socio-economic conditions. In developed countries, both coverage and the degree of support in welfare are high (Burgess and Stem, 1991). However, in developing countries, where the level of development is lower, coverage and support are not wide-ranging (Goodman and Peng, 1996). Due to their low level of economic development, their welfare systems are extensive in scope and funded by the government budget, but inefficient and untargeted (Nguyen, 2001). In socialist countries, since income tax plays a minor role in redistribution, the system can also be prone to crisis due to a lack of affordability (as happened in the 1980s in Vietnam) (Nguyen, 2001).

Besides these political and economic conditions, the cultural aspects that determine WS formation and typology should not be overlooked. Indeed, Jones (1993) considers Confucian culture to be the main factor distinguishing the differences between Western and Eastern WSs. Confucian culture emphasises the role of the family in providing basic welfare for people and that of education in the development of society, which reflects Eastern governments' reliance on welfare provided by families. In East Asia or Confucian-rooted countries such as Vietnam, China and South Korea, family welfare plays a very important role in providing a basic living standard for family members. Welfare services offered by the state are either limited (as in South Korea) or universalistic (as in Vietnam and China), but not subsidised, so the income redistribution function is therefore neglected. Furthermore, most welfare services can cover only a small proportion of the population, mainly those working in formal sectors.

In summary, the choice and application of a WS model depends largely on three main indicators: political structure, social-economic development level, and cultural history. Research on WS regimes needs to be put in different contexts, where the three conditions above are different.

3.2.4 - Critique of welfare state models

3.2.4.1 - Social dimensions of welfare states

The discussion around WSs has shown their characteristics and dimensions. Each model has its limitations in dealing with social problems in a given social context. However, it is worth discussing whether there exists a dimension that connects all the WS models. Table 3.2 summarises the dimensions and values on which different classifications are based.

Table 3.2 - Dimensions of WS classifications

Welfare state models		Dimensions
Wilensky and Lebeaux (1958)	Residual and institutional WS	<ul style="list-style-type: none"> • Scope of welfare delivery • Total social expenditure relative to GDP
Ferrera (1996) and Bonoli (1997)	Scandinavian	<ul style="list-style-type: none"> • Rules of access • Conditions under which benefits are granted • Regulations to finance social protection • Organisation and management of social security administration
	Anglo-Saxon	
	Bismarckian	
	Southern	
Bonoli (1997)	British	<ul style="list-style-type: none"> • Extensiveness of WS • The way that WSs are financed
	Nordic	
	Continental	
	Southern	
Three worlds of welfare capitalism of Andersen (1990)	Liberal	<ul style="list-style-type: none"> • Stratification • Commodification • Interrelationship between state-market-family
	Conservative	
	Socio democratic	
Three worlds of productive WSs of Kim (2013)	Inclusive	<ul style="list-style-type: none"> • Delivery scheme of welfare • Risk-pooling • Self-reliance • Dual
	Market	
	Dual	

Source: Adapted from Wilensky and Lebeaux (1958), Ferrera (1996), Bonoli (1997), Andersen (1990) and Kim (2013)

The WS models in Table 3.2 are identified from the perspective of delivery scope, schemes, expenditure compared to GDP, and their position in Andersen's (1990) classification. The dimensions can describe the mechanisms for how WSs operate; however, they also seem to neglect the outcome/output dimensions. If the WS should provide both objective and subjective well-being, as discussed in Section 3.1, whether the WS approach in each model can deliver both these types of well-being remains questionable. Indeed, the focus on either productivity, as in the case of East Asian countries, or on social rights and de-commodification, as in the case of Western countries; does not reflect the complete focus of WSs in increasing both OWB and SWB.

While social welfare is identified by Pareto as purely ordinal utility, the New Welfare Economies are introduced on the basis that utility is cardinal (Mishan, 1960). As discussed in Chapter Two, utility is different for different people, therefore cannot be interpersonally compared. Furthermore, individual preference is also influenced by the preference of others. Indeed, it is society that set values on things (see Section 2.1, Chapter Two). Therefore, if welfare is identified as individual utility, social welfare must be the combination of the social utility of all individuals who receive that welfare. As discussed in Section 3.1, individuals' preferences are inextricable with those of families, social preferences and/or those of the community. Social welfare, therefore, should never neglect the impact on individuals in their interaction with society. This means that SV, as identified in Chapter Two, represents the socially-oriented needs and desires of individuals, as well as the shared norms and interpretations of people through social interactions. This has a noticeable impact on the social welfare delivered by the WS to its community, and therefore on community engagement itself.

Value and SV are not only embedded in well-being, but can also affect attitudes to the WS (Kulin, 2011; Garlington, 2014; Kulin and Meuleman, 2015). It is suggested that values have the potential to impact on attitudes toward WS arrangements, as they can affect people's political thinking (Kulin, 2011). For example, there are differences in the values that underpin attitude formation between Western and Eastern European countries. In Western Europe, self-transcendent values are stronger, while conservative values are stronger in

Eastern European WSs. However, the relationship between value and attitude formation is not dominant in every country, as it only plays a negligible role in some (Kulin, 2011). Garlington (2014) argues that SV is the core factor that constitutes welfare policy as a social structure, as it “contributes to the development of WS policy through value orientation of past policies and current policy making structures” (Garlington, 2014, p.293). Values, as discussed in Chapter Two (see Section 2.2), represent not only worth but also functional orientation. They are created as a functional attribute to transfer and interpret human needs (Gouveia, 2013).

Therefore, a WS that aims to deliver both OWB and SWB (which means both sufficient and sustainable values for human life), must embrace a more social and humanitarian orientation that functions as value for the benefit and worth of the community and those that live in it (Section 2.2.2, Chapter Two). The outcomes and outputs of WSs, therefore, should be expanded to cover the values that strengthen the interrelation between individuals’ values and deepen the boundary of the satisfaction concept that lies beyond utility in search of happiness and contentment. As shown in Chapter Four (see Section 4.3), the current research posits that community engagement can play a critical role in strengthening this relationship and ensuring that PSD is focused on SVC in a way that satisfies both individual and community needs.

3.2.4.2 - Global dimensions of the welfare state

When discussing the actors participating in the WS, the state, market and family are seen as the three main stakeholder types. However, globalisation now means that welfare can also be delivered through the interplay between global and local actors/agencies, especially in developing countries such as Vietnam. Wood and Gough (2006) add a global dimension when discussing the interplay of welfare regimes with the recognition of international organisations, national donors, global markets, multi-national companies (MNCs), and international non-government organisations (INGOs) in delivering welfare services. They state that poorer and transitional countries often have greater reliance on international actors and transfers (as illustrated in Figure 4.7, Section 4.3.2, Chapter Four). While WSs in different countries have different goals, models and values, increasing cooperation in delivering welfare and poverty alleviation raises the question of whether there are values that are shared globally. In fact, the theory of human need of Doyal and Gough (1991) and Maslow’s (1954) hierarchy of needs identify that the basic needs for human well-being are

universal; however, satisfaction is dependent on cultural and social conditions. Therefore, even though the outcomes and outputs of different WSs might be different in line with their priority goals (i.e. productivity focus in East Asia; individualist focus in Anglo-Saxon countries; or social rights focus in Scandinavian countries), the values delivered in different WSs should converge at a certain level of social satisfaction and well-being. An approach that is centred on SV orientation, meaning the content of welfare services and their outcomes, is in fact more important than the structure of welfare regimes per se.

3.2.5 - Summary

Welfare and well-being are not absolute synonyms, but instead inextricably linked concepts. Welfare should aim to deliver material sufficiency, as well as happiness and contentment. WSs should look at the standard of living not only at sufficiency levels, but also in relation to sustainability, as well as at social scales and values, instead of individual preferences. This section has shown that there is no single ideal model of WS delivery, as the choice of WS depends on many factors, such as the political system, culture and socio-economic development. WS models in both developed and developing countries face challenges during crises and when social structures change. Meanwhile, value orientation also has an effect on attitudes towards WSs. Therefore, it is argued that WSs in both the developed and developing world lack the social dimensions that focus on SV. A welfare state that aims to deliver both must embrace a more social and humanitarian orientation, which functions as a proxy value for the benefit and worth of the community in achieving both OWB and SWB. The outcomes and outputs of the WS, therefore, should be expanded to the values that strengthen the interrelation between individuals' values, whilst deepening the boundary of satisfaction concept, which allows a WS to move beyond utility towards happiness and contentment.

3.3 - Public service delivery

If a social dimension that focuses on SV should be added to models of delivery for the WS, then this also holds true for public service delivery (PSD). This section discusses the concept of public service, why there is a need for public service reform and how this can occur. The discussion around SV as the additional dimension in PSD is followed by an exploration of the new public services ethos and SVC in public services. The role of community engagement in PSD is also touched upon, ahead of its deeper exploration in Chapter Four.

3.3.1 - Conception

Humphrey (1998) defines public services as ones that are funded by taxation and mainly include the following areas of public management: central and local government, the health authorities, education, defence, justice/home affairs, and non-commercial semi-state organisations. He also demonstrates how public services do not need to be delivered by just the government, but that other sectors (private and third) can engage in PSD, albeit still funded from taxation and administered by central/local government (Flynn, 2002). Public services are different from private ones in terms of profitability, as they are normally non-profit and non-commercial (Humphrey, 1998). Fairness and equity are the most important features of public services compared to other types (Murphy, 1997). These features distinguish them from the private services provided by the private sector as they have to create profit to distribute to shareholders.

In terms of the relationship with customers, O'Shea (1992) describes that between the customer and state as one of indirect payments, compared to the direct payment relationships between customers and the market (see Figures 3.6 and 3.7). In PSD, the state can directly or indirectly produce and deliver services. The interaction between customers and the state is not a payment process, but one that is driven through taxation and redistribution. In other words, it is a transfer from taxation to redistributed money through public services in order to meet the demands of citizens that otherwise would not be met by the market. This relationship is, however, often not one that is characterised by the community (i.e. the customer) as being overtly engaged in the design and delivery of services. Indeed, it could be argued that in traditional models of PSD the market is one that is supply-side driven, as opposed to one in which suppliers meet demand-led requirements. This is an area where PSD centred on SV and community engagement can offer additional value (see Chapter Four).

Figure 3.6 - Direct payment relationship

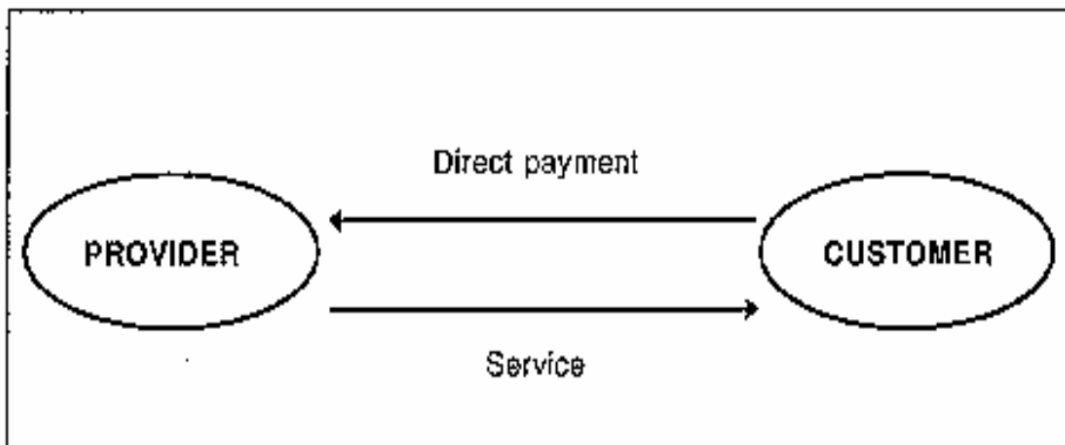
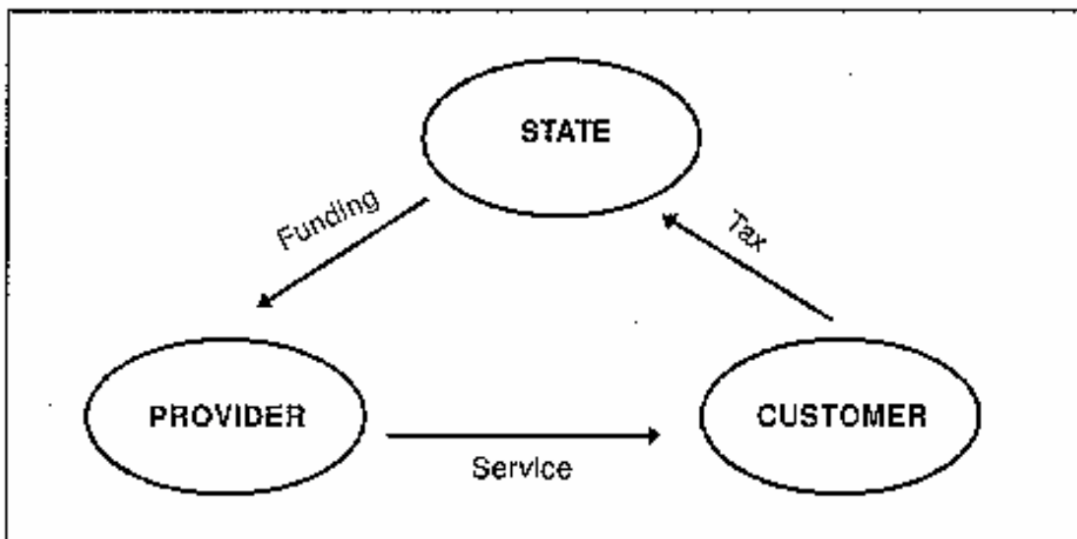


Figure 3.7 - Indirect payment relationship



Source: O'Shea (1992)

Whitfield (2001) identifies public goods and services as non-rival (the use of services by one person does not affect that of others) and non-excludable (everybody has to use them). Public services often include healthcare, education, housing, infrastructure and security. If a service or product has both non-rival and non-excludable characteristics, it is referred to as a pure public service. Other service types that contain some of these features may be called quasi-public services (which not everybody is able to access) and merit goods. Market forces normally refuse to provide such quasi-public services, as they have high administration costs (for example, transportation costs for vehicles at a hospital). Therefore, public services often face double failures from the state and the market. In short, public services are those provided

or funded by the government, with the aim of correcting market failures and ensuring a certain standard of living.

In summary, 'public' refers to the essence of services that are non-profitable, non-commercial, fair and equal. Public service is one of the tools that the WS uses to correct market failure and guarantee people's well-being. Therefore, a good public service must not only satisfy individuals' utility or value, but also their subjective well-being or happiness.

3.3.2 - Incentives for public service reform

The public sector has been claimed to be inefficient in delivering public services due to its limited budget, high administrative costs, corruption, and low accountability (Besley and Ghatak, 2007). In traditional models of PSD, the state plays the key role in delivering public services. The provider lacks incentives to improve service quality, as service users are not seen as customers, whilst the limited budget acts as a constraint and burden for the state to accomplish its mission. Government failures are ascribed as a lack of resource mobilisation, poor quality of services, information asymmetry, political incentives (i.e. re-election) driving policy as opposed to PSD outcomes for beneficiaries, an increase in distributional inequality as services are targeted at median voters (as opposed to those that need them most), and high costs due to the incentives to grow (and spend) allocated budgets by government departments (Wolf, 1979; Billis and Glennerster, 1998). In addition, public service provision by the government creates an absence of choices for its users, as they tend to focus on a 'one-size-fits-all provision' (Besley and Ghatak, 2007).

The issues outlined in the paragraph above led to the reform of public services delivered through a neo-liberal ideology. The philosophy of neoliberalism is one that encourages marketisation and privatisation, in which public services should be tendered and outsourced to the private/third sectors to reduce costs and mobilise more funds, whilst enhancing the efficiency and quality of the services. Although neo-liberal policies are intended to boost the development of economies by enhancing efficiency and effectiveness, issues surrounding equality, the environment and employment are often neglected (Whitfield, 2001). The outsourcing of services to private organisations and the creation of quasi-public bodies have led to a fragmentation in governmental organisation and management (Whitfield, 2001). The private sector has its own failures, as does the government. Indeed, profitability as the main priority can lead to high costs for customers, diminishing service quality or labour conditions,

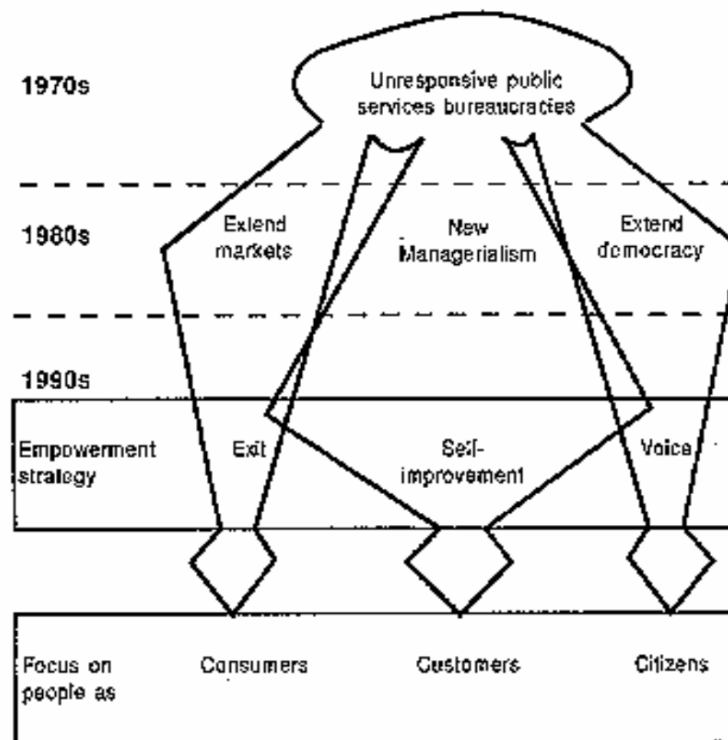
and hence inequality, as not all customers can afford to pay for the services (Wolf, 1979; Billis and Glennerster, 1998). In addition, as private sector companies focus on delivering PSD contracts, this means that the community can often be overlooked and become more remote from the services being delivered (i.e. they are not consumers in the pure market sense). The existing limitations of welfare delivery by the state and the market, as well as increasing social problems (and the global economic crash of 2008) have caused governments to reform their welfare policies (and specifically public service provision), towards an approach that seeks greater efficiency, taking advantage of resources from non-public sector actors, while still retaining the ‘social’ dimensions of the ‘public service ethos’.

3.3.3 - Reform of public service delivery

3.3.3.1 - Public service delivery reform in different welfare states

Burns *et al.* (1994) introduced a consortium that represents the relationship between public service providers and customers and that can be reflected in different public service reform strategies (Figure 3.8). WS regimes decide the reform strategies employed, whether exit-based (individual choice) in Anglo-Saxon countries, voice-based in social democratic WSs, or self-improvement (loyalty-based) in conservative countries. If the government sees their public as customers, reform to improve the quality of public services and the delivery system is necessary. This internal improvement strategy is often employed by conservative WSs. However, viewing the state as the seller of services is not seen as an appropriate relationship for the public sector to adopt (Burns *et al.*, 1994). Therefore, countries in favour of the liberal model and marketisation often employ exit strategies, which view the public as consumers rather than customers. Finally, viewing the public as citizens drives social democratic regimes to employ voice-based strategies, which aim to enhance citizens’ influence on PSD and deliver universal welfare services to all. No matter which approach is employed, all three service delivery reform strategies show a better embeddedness of service users as key stakeholders in public service provision, which implies more focus on community engagement in PSD. The engagement is conducted with the cooperation of the state with different stakeholders (including private/third sector/community as service providers, and the community as service users) (see Section 4.3, Chapter Four).

Figure 3.8 - Different service delivery reforms



Source: Burns et al. (1994)

3.3.3.2 - Public service reform

Regardless of the different reforms of public services in different WSs, there is some convergence worldwide among models towards more multi-sector participation, which can be identified in certain shared trends (Besley and Ghatak, 2007). These include decentralisation; the introduction of outsourcing and quasi-markets in the provision of activation services; new public management as a core strategy; and increasing attention to, and participation of, the third sector in public service provision. These is now explored in turn.

- *Decentralisation*

Decentralisation has been a common feature in public service reform, and is discussed widely in terms of costs and benefits by economists, and with regard to democratic aspect processes by social scientists. There are three main features pertaining to decentralisation: fiscal decentralisation through the granting of tax-raising powers to local government, administrative decentralisation, in which functions of central government are transferred to local administrative units, and political decentralisation, which refers to the transfer of power and responsibilities to local government (Robinson, 2007). The reform in PSD does not always apply to all three levels of decentralisation. For example, developing countries,

especially socialist ones such as Vietnam or China, have introduced fiscal decentralisation but the power and decision-making regarding areas such as the budget are still powered by the central government. Decentralisation, therefore, is neither comprehensive nor effective.

Decentralisation can take various forms, such as the promotion of local partnerships in the provision of services and the granting of autonomy to municipalities and agencies in order to implement PSD. Evidence of decentralisation can be found in European countries with the increasing autonomy of local governments in delivering and managing public services. For example, there is the establishment of local agencies to provide employment consultancy services, such as Job Centre Plus in the UK, the Job Centre in Germany, or the Centre for Work and Income in the Netherlands (Berkel, 2008). Decentralisation is argued to help to decrease the financial burden by producing services at a lower cost. Local government can mobilise more local resources, since they have a better sense and understanding of local preferences and demand (Azfar *et al.*, 2004). However, incapable staff and regional disparities in provision breadth and quality can be risks to the process (Burki *et al.*, 1999).

- *Introduction of quasi-market government*

Quasi-market typology was developed by Le Grand (2003, 2007) as an alternative to the model of monopolistic public service provision (Le Grand and Bartlett, 1993). The state, by contracting or outsourcing, pays other providers to supply public services to citizens (Le Grand, 2011). Le Grand and Bartlett (1993) identify three parts of the quasi-market system: goals, means, and market structures. The goals of quasi-market provision include quality, efficiency, responsiveness/accountability, and equity. Quasi-market approaches are developed to correct failures by the market and the state in the effective provision of public services. This requires the correction of market structures in terms of information asymmetry, transaction costs, and motivation. In short, a quasi-market is introduced and employed in many public service reforms, as it is believed that user choice and provider competition leads to higher quality services and greater efficiency in resource mobilisation and performance (Le Grand, 2011).

With the transformation of public management, more providers are able to enter the market to deliver public services. Possible alternative external providers could be (other) local government bodies, (other) provincial/national government bodies, private firms, voluntary agencies, volunteers, clients, and regulators (Alford and O'Flynn, 2012). With the focus of

the current research being on SV in PSD, three main groups of providers can be identified from a sectorial perspective: the private sector, the public sector and the third sector (Pearce, 2003). In public services, the shift in provision toward ‘externalisation’ rather than ‘privatisation’ (Alford and O’Flynn, 2012. p.5) has been led by a desire to create more cost-efficient but improved public services that better respond to service users’ needs (Hazenberg and Hall, 2016). This has widely been regarded as a successful policy intervention. Indeed, research on 1,231 service users receiving support from the public, private and third sectors showed that coordination between the state, the private and the third sectors often resulted in the best provision (Hopkins, 2009). Cross-sector partnerships can be public-private/third sector partnerships (PPP), community partnerships (between the government and the non-profit sector), joined-up government (partnerships between government bodies) (Alford and O’Flynn, 2012), and firm-NGO partnerships (Cojocaru and Sfetcu, 2013). To create SV, partnerships are even more important as they require the involvement and interaction of stakeholders (see Section 2.3.4, Chapter Two). This leads to the increasing participation of the third sector, with their focus on SV, in delivering public services, which is discussed further in the following section of the chapter.

- *New Public Management*

The transformation toward more entrepreneurial government with increasing public-private partnerships has been termed New Public Management (NPM). This new theory of public management was first introduced in the UK by PM Margaret Thatcher during the 1980s and later became the dominant reform strategy across OECD countries (OECD 2004; Pollitt and Bouckeaert, 2004). NPM refers to a business-like model of governance which focuses on customers and competitors and the internal integration of organisational functions (OECD, 2005). NPM reform has been grouped into three main themes: marketisation, managerialism and performance management (Bach and Givan, 2011). A core feature of NPM is the introduction of entrepreneurial government. The 1980s and early 1990s saw a focus on more customer-based and entrepreneurial government (Osborne and Gaebler, 1992). This resulted from the economic recession, which led to high fiscal pressures on governments. Alternative ways of delivering services were required, which could reduce expenditure whilst not affecting service quality or breadth (the extent to which this was achieved is still very much open to debate). By contracting out public services to the private sector, customer service and service quality can be improved. This transformation is defined and synthesised by Osborne and Gaebler (1992) in Table 3.3.

Table 3.3 - Transformative aspects of entrepreneurial government

Transformation	Traditional government	Transformative government
Community owned	Serving people	Empowering people by placing control into the community; greater voice of the private sector; more transparency in assessing government activities
Competitive	Monopoly in delivering public services	Involving other sectors in PSD
Result-oriented	Focus on inputs (budget)	Focus on outcomes
Mission-driven	Driven by rules and regulations	Driven by mission
Customer-driven	Bureaucratic and monopolistic	Treating clients as customers and giving them choices
Anticipatory	Offering solutions to problems	Offering prevention for problems
Entrepreneurial	Spending	Earning
Decentralised	Centralised power and management	Decentralised authority; embracing participatory management
Market-oriented	Bureaucratic mechanism	Market mechanism
Catalytic	Rowing (doing everything directly and on their own)	Steering (catalysing all sectors – public, private and third – to solve community problems)

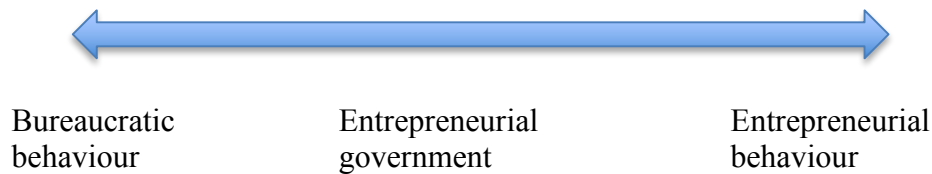
Source: Summarised from Osborne and Gaebler (1992)

There are three features of this dimension that distinguish a transformative government from a traditional one, namely an interactive relationship with people (empowering, partnering, and involving people in public service provision), an innovative approach to public service provision (diversifying resource mobilisation through decentralisation and market mechanisms, and offering prevention instead of solutions), and outcome-oriented governments, which assess efficiency on outcomes, not budget allocation. Therefore, transformative government is more active than the passive traditional government model.

While an entrepreneurial government applies market mechanisms and involves the private sector in PSD, it cannot be run like a business (Osborne and Gaebler, 1992). The position of

the government can be described as being in between the spectrum of bureaucratic and entrepreneurial behaviours, as shown in Figure 3.9:

Figure 3.9 - Continuum of entrepreneurial government



Source: Adapted from Osborne and Gaebler (1992)

With the increasing privatisation and entrepreneurial orientation of the government in PSD, more providers are participating. PPP is driven by the comparative advantages of different providers, allowing them to deliver services more effectively. However, there is also increasing focus from government on more outcome-oriented services, which focus more on the SV created for wider beneficiary groups. This can be demonstrated by the third-way policy in welfare reform in the United Kingdom (Haugh and Kitson, 2007). The increasing attention of the government towards the third sector and SE opens up more chances for the sector to deliver public services, and increases the legitimacy of SEs and community based initiatives.

However, the implementation of NPM has potential limitations for transitional economies such as Vietnam, due to institutional and cultural problems, which can constrain their implementation (Janenova and Kim, 2016). The capacity of central agencies to manage the process and the lack of preconditions for effective implementation can cause many problems for the developing world in implementing NPM in PSD (Larbi, 1999). Social-cultural issues in reforming administration and the relationship between the state and civil society can also constrain implementation (Sozen and Shaw, 2002). Therefore, it is important to understand the different preconditions and capabilities of all stakeholders in different contexts and welfare states (which is discussed further in Section 4.2.4) in order to implement PSD reform in the most effective and community-focused way.

3.4 - Social value in public service delivery

Although the reform of public services has been introduced with the transformation toward a more active, entrepreneurial government, the drawbacks of privatisation, as discussed in

Section 3.3, are significant. An entrepreneurial government and new public management have to compete against being a merely commercial in order to maintain their public service ethos (Whitfield, 2001). Therefore, public service ethos and a range of public values must be placed at the centre of the reform.

3.4.1 - Public service ethos

In an entrepreneurial government that encourages the private and voluntary sectors to participate in delivering public services, it is argued that not only public officials, but also entrepreneurs and volunteers can uphold the public service ethos (Public Administration Select Committee (PASC), 2002). PASC (2002, p.7) defines public service ethos as “a principled framework for action, something that describes the general character of an organisation, but which, and more importantly, should also motivate those who belong to it”. Public service officials and organisations, therefore, should see this ethos as a benchmark against which to evaluate themselves. The PASC includes some characteristics of public service ethos, namely impartiality, accountability, trust, equity, probity and service (PASC, 2002, p.8), which could be considered to be a traditional public service ethos. A similar framework by Pratchett and Wingfield (1994) demonstrates public service ethos with characteristics related to accountability, bureaucratic behaviour (honesty, integrity, impartiality and objectivity), public interest, motivation and loyalty. However, they argue that it is not a set of behaviours embraced by all individuals in the public sector, but rather the logic of appropriateness to follow (Pratchett and Wingfield, 1994). In this identification, public interest and motivation are added as important ingredients to emphasise that public servants, or those who subscribe to this ethos, are motivated by public, rather than private, interest (PASC, 2002). This is an important component of public service ethos, as it identifies that the aim and motivation of service delivery institutions is not economic gain, but benefit to the wider community. While not directly linked to SV, public service ethos actually contributes to SVC, and focuses on individual and organisational motivation and values in delivering public services. Public service ethos, therefore, helps to shape, and is shaped by, those values (Rayner *et al.*, 2010). Public servants are expected not only to commit to all these values, but also to have “a dedication to the public (social) interest” (Pffiffner, 1999, p.541).

In 1997, the New Labour government instigated public service reform with the increasing participation of other sectors in delivering public services, the public service ethos has now

changed towards a more customer-focused base (Brereton and Temple, 1999; Needham, 2006). A customer focus means a greater focus on performance and commitment to community well-being; in other words, “a new public service ethos culture that is more entrepreneurial and outcome focused” (Aldridge and Stoker, 2002, p.9).

Public service ethos, with its more entrepreneurial and customer-focused dimensions, reflects the reform in PSD toward multi-sector participation (contracting and outsourcing). No sector has a monopoly on public service ethos (Kelly *et al.*, 2002), as it involves the joint involvement of all providers in PSD. This shift in public service provision has been led by a desire to create more cost-efficient, but better, public services that respond to service users’ needs (Hazenbergh and Hall, 2016). This implies not only an improvement in the quality of public services, but also a more responsible and value-driven way of delivering them. It is now important for public service providers to focus on the needs defined by the customer, rather than assumptions about their needs and what it is convenient for them to provide (Needham, 2006). SV, while understood as shared values among communities, therefore, should be addressed as a determinant of the outcomes achieved.

3.4.2 – Social value in public service delivery

As public services are different from commercial ones (as demonstrated earlier), the key issue when externalising public services is the selection of service providers, who do not ignore the features of public services as a non-profitable, fair, and an equal set of values (Torres and Pina, 2010). In the third system of the economy, social interaction between a variety of actors is the norm in defining the third sector (Moulaert and Ailenei, 2005). By focusing on social interaction and social bonds through wider stakeholder involvement (see Section 2.3.4.1), wider community benefits through applying principles of redistribution and reciprocity, TSOs help to build and increase social capital, which eventually creates SV for the community. Essentially, shared norms, values and links can enable people to trust and work together better. Scholars paid attention to how SV can affect the development process (Putnam, 1993; Fukuyama, 1995; Gradstein and Justman, 2002). Many scholars argue that factors of production (economic capital, human capital) cannot adequately explain contemporary society’s undesirable outcomes, such as income inequality and unemployment, and that social and cultural capital, which refers to norms, values and networks, as in Putnam’s definition (1993), should also be taken into account. The cooperation between sectors in the social economy, while increasing interactions among those sectors, also

contributes to the formation of social capital. The collective goods generated by such partnerships do not enhance, but rather transform, existing interactions among partnerships towards innovation rather than smoother functioning (Jordan, 2008). In Section 3.2.1.2, individual welfare was claimed to be inextricable from social welfare, as individual utility and value orientation are strongly affected by social preferences and interrelation. A public service that centres on SV, therefore, eventually enhances the utility of each individual in the community it serves. The values achieved, including both objective and subjective well-being, is also more sustainable.

3.4.3 - Summary

This section explains the conception of public services, with an emphasis on their quality and essence as non-profitable, non-commercial, fair, equal, socially-oriented services. The inefficiency and absence of choices represent the main pressures for PSD to reform. Even though there are many reform strategies in the different WSs, it is argued that there is a lack of focus on public and social value in PSD as the main feature distinguishing it from other state-led services. Any sector can deliver public services, as long as they obtain SV orientation and can create social impact. Chapter Two however, pointed out that the third sector, especially SE, is a very effective one for delivering SV. SV delivered in public services can increase social capital formation, which eventually increases individual well-being in interrelation with other social actors, as richer social relationships generally make people happier (Gowdy and Erickson, 2005).

3.5 - Conclusion

This chapter has explored the relationship between SV, the WS and PSD. First, the concepts of the WS, welfare and well-being were discussed to find the missing link between them. Welfare and well-being are not absolute synonyms, but instead are inextricably linked concepts. While welfare is attached to self-sufficiency, well-being is aimed at self-sustainability, as mental health is a crucial factor in happiness (Frey and Stutzer, 2002; Layard, 2003). While welfare in welfare economics often refers to individual utility, well-being concerns both objective and subjective aspects of human happiness. Furthermore, as shown in Chapter Two, individual utility is affected by social utility because of the social interactions and opinions within the community. Bonding with family and the community strongly contributes to individuals' happiness and therefore to societal happiness. Therefore,

welfare should aim to deliver material sufficiency, as well as happiness and contentment, and at a social value scale rather than at that of individual preferences.

The choice of WS model depends on many factors, such as the political system, culture and socio-economic development. There is no single perfect WS model, as each one, in both developed and developing countries, faces challenges and the need to reform when in crisis. It is argued that WSs in both the developed and developing world lack a social dimension which focuses on SV. They must embrace a more social and humanitarian orientation that functions as values for the benefit and worth of the community, to achieve both OWB and SWB. Outcomes and outputs of the WS therefore, should be expanded to the values that strengthen the interrelation between individuals' values and deepen the boundary of satisfaction that lies beyond utility towards happiness and contentment.

Even though there have been many public service reforms, there remains a missing focus on what value public services should deliver to the community, and the need to focus on outcome values. Any sector can deliver public services as long as they obtain SV orientation and can create social impact. Meanwhile, the third sector is emerging as an effective model that can have a social impact on the community. In addition, SV delivered in public services can increase social capital formation, which eventually increases individual well-being in interrelation with other social actors, as richer social relationships generally make people happier (Gowdy, 2005). The formation of more social capital is claimed to strengthen social bonding and interaction, which contributes to increasing subjective well-being. These enhance community cohesion, and make community engagement in PSD easier to achieve.

Chapter 4 – Theoretical framework and community engagement in public service delivery

4.1 - Introduction

As reviewed in the previous chapters on social value creation (SVC), the welfare state (WS) and public service delivery (PSD), there has been increasing attention paid to these areas by both academics and policymakers. However, the link between SVC and PSD is an under-researched area. While SV and its creation have been widely discussed in relation to the social economy (Nicholls, 2006, 2010; Young, 2006), these authors have focused more on the creation process through the operation of sectors in the economy (such as private, third and public sectors), rather than on SVC from a policy viewpoint. Similarly, the reform of the WS and PSD (Chapter Three) towards a more active WS (Berkel, 2008) focuses mainly on the increasing involvement of external providers and reform models. There is a lack of focus on the discussion around policies to promote SVC in PSD. Therefore, this chapter builds a theoretical framework for SVC in PSD from a policy approach. The chapter is structured into three main parts. First, it introduces the theoretical framework of policies supporting SVC in PSD, in which sub-sections on SVC, public service policies, and revolutionary theory are discussed. This is followed by an analysis of policy documents from both the UK and Vietnam, with application of the proposed framework. In this section, the scope of the current research is narrowed down to focus on policies designed to develop community engagement (CE). The aim of the chapter is to explore the role of CE in delivering social value (SV) in PSD.

4.2 - Theoretical framework

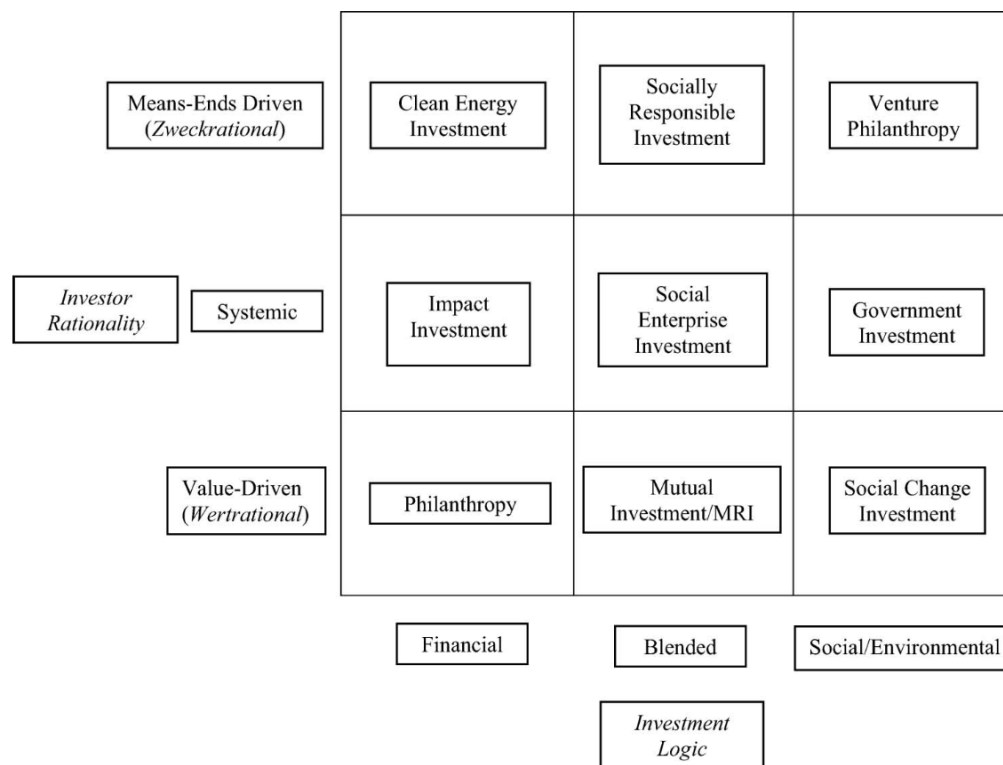
4.2.1 – Social value creation

In Chapter Two, value is not simply the expression of utility, it also functions as the expression of people's demands and value orientation (Fischer *et al.*, 2011). SV, therefore, represents values that have social and humanitarian orientation, and are for the benefit and worth of the community and those who reside within it (Section 2.3.1, Chapter Two). In addition, the discussion in Chapter Three on welfare and well-being also explored objective and subjective well-being in relation to SV. The welfare and well-being of individuals is inextricable from the welfare and well-being of their family and society, as there is reciprocity between families and society at the community, state, national and global levels (Braun and Bauer, 1998; Braun *et al.*, 2002; see Figure 3.4, Chapter Three). Therefore, a WS

should provide both sufficient resources and conditions for people (objective well-being) and the self-sustainability of a good life through an additional focus on social-cultural units and values (subjective well-being) (Section 3.1.2, Chapter Three).

With specific reference to the social economy and public service provision, Chapter Two clarified SE and social entrepreneurs as important, but not exclusive, SV creators. It can be argued that SV can be created by many forms of organisation and individuals; for example, public service spin-outs³ (Young, 2006; Hazenberg and Hall, 2016). The values behind the logic and rationality of investors mapped by Nicholls (2010) can provide a strong overview of how different value orientations (*zweckrational*⁴ and *wertrational*⁵) lead to different types of behaviours and logics amongst societal actors (Nicholls, 2010) (Figure 4.1).

Figure 4.1 - Social investment logic



Source: Nicholls (2010).

For example, a clean energy company that benefits the community through its environmental work, or a social network that connects people and gives people free access to wider

³ The UK government defines a spin-out (also known as a ‘public service mutual’) as an organisation which has left the public sector but still continues to deliver public services and aims to have a positive social impact, with a significant degree of staff influence or control in the way it is run.

⁴ German, meaning ‘instrumentally rational.’

⁵ German, meaning ‘value rational.’

platforms of information such as Facebook or Twitter, are good examples of this dichotomy (Nicholls, 2010). The public sector, through the provision of public services that benefit the community, can create SV embedded in public value (Section 2.3.2.2, Chapter Two). The concept of SV adopted in this aspect is regarded as the non-financial, positive values created through human activities, which mostly target disadvantaged and marginalised people and aim to have a positive impact and deliver social change to a wider community (Section 2.3.2.1, Chapter Two). In summary, even though SV can be created by different sectors and in different forms, there are some shared channels through which it is created, as discussed below.

- *Social intervention:* Through the logic of values orientation, SVs can be created through the intervention of the public, private and third sectors, as well as other societal actors, as long as social returns are achieved. Whether services are provided by a charitable organisation that cares for the vulnerable, or a private company that cares about maximising profit, SV is created so long as the organisations simultaneously do no harm and create positive externalities for the community. Social intervention is achieved by creating SV through improving the well-being of people, especially marginalised individuals (Martin and Osberg, 2007). Public services are a form of intervention by government, delivered as a result of perceived market failure, in areas that are viewed as non-profitable or non-commercial (Humphrey, 1998). This kind of intervention is regarded as a provision in which social needs are considered as an institutional part of social welfare and social life (Titmuss, 1974). Therefore, a good public service must involve a social intervention function.

- *Social innovation:* Chapter Two discussed the importance of social innovation in SVC. Indeed, while solving social issues that both the commercial and non-profit sectors fail to tackle (due to market failures and inefficiency and unsustainability), social innovation is required in order to develop new models and approaches that deliver both profit and SV to the community. Innovation can be in the form of the development of new methods, new technologies, new products, or new governance structures, in which the motivation and participation of all stakeholders are encouraged (Young, 2006). With regard to PSD, social innovation is argued to not only deliver more sustainable outcomes that meet a social need (UNDP, 2014), but also to change the process of innovation in which relevant stakeholders collaborate, with the governance capacity of a society in dealing with emerging social challenges being enhanced (Bekkers *et al.*, 2013). Through social innovation, public services

are partly shifted to community and other social actors, including SEs and the third sector, to achieve a longer-lasting result (UNDP, 2014). Therefore, public service policies need to be addressed in order to enhance social innovation in public service provision.

- *Social interaction and social bonds*: Chapter Three discussed the importance of social intervention and bonds in strengthening social capital and the social environment in which individual welfare is situated (Section 3.4.2, Chapter Three). Individuals' well-being is determined both by their objective and subjective well-being, and by their social situation, where principles of redistribution and reciprocity are applied (Braun and Bauer, 1998). Shared norms, values and links can help people build trust and teamwork in an organisation, a community or a society, thus impacting upon the development process (Putnam, 1993; Fukuyama, 1995; Gradstein and Justman, 2002).

- *Social inclusion*: SV, as discussed in the previous section, can only be achieved through social participation, such as in social meetings, social action, and social organisations in which social exchange can be conducted among families, communities, firms, civil society, public sector, ethnicity, and gender (Emerson, 2003). Therefore, social inclusion must be ensured among communities. Social equality is important in order for marginalised people to gain the opportunity to become involved in social groups or social exchange, thus fostering SV creation.

In summary, even though SV can be argued to be most effectively created by SEs and the third sector, SVC can also be found in the private and public sectors. The creation of SV should be recognised based on the aspects involved, mainly social intervention, social innovation, social interaction/social bonds, and social inclusion, instead of the forms of organisation. This approach assisted the researcher to embed SVC in PSD models in order to identify which policy groups are necessary to create SV, which is discussed in the following section of this chapter.

4.2.2 - Public service delivery

Chapter Three discussed different WSs, as well as the reform of public service provision. Public service reforms under different WSs have been discussed with reference to four mainstream strategies: *decentralisation; outsourcing and quasi-markets in the provision of*

activation services; new public management as a core strategy; and the increasing attention to, and participation of, the third sector in public service provision. In this section, the mainstream strategies of public service reform are discussed in relation to SVC, in order to reveal public policies that help to create SVC in PSD.

Decentralisation was argued to decrease the financial burden and increase the efficiency of public services, as local governments can better mobilise local resources and understand local needs and preferences (Azfar *et al.*, 2004). Decentralisation is discussed in terms of fiscal, administrative and political aspects (Robinson, 2007); however, it can be argued that researchers have rarely discussed decentralisation as a process of enhancing the legitimacy of the state, service providers and community. When local governments are given more autonomy and power, it is also important for them to enhance legitimacy with their local community in order to sustain the improved quality of public service with respect to the community's preferences and demands. Therefore, the decentralisation of PSD is more efficient if it is able to increase *social interaction and social bonds* among the community.

Co-production is defined as the involvement of the community in producing public services (Alford, 1998; Needham, 2008). Interaction between the community and service providers has been argued to develop horizontal relationships and social capital for both services users and services providers (Needham, 2008). Through frontline interactions, staff acquire expertise, while services users become more responsible and involved. Needham (2008) explored co-production as a therapeutic tool that helps to build trust and communication and as a diagnostic tool, which reveals users' needs, identifies causes, and finds solutions. The engagement of the community in public service provision and production is an aspect of transformative entrepreneurial government (Table 2.3, Chapter Two); from serving to empowering people, and from centralised power to decentralised and participatory management (Osborne and Gaebler, 1992). Therefore, policies that aim to *foster community engagement* in PSD is an important resource in SV delivery.

Chapter Three also introduced the *transformation of entrepreneurial government and new public management*. With the aim of improving public service quality in the age of austerity, external providers, including the private sector, the third sector, local government, and the community are encouraged to participate in delivering public services (Alford and O'Flynn, 2012). In this hybrid model, the role of the state is to ensure that services are accessible to

everyone in need and to prevent services providers from only providing what is profitable. In other words, the state in the WS has a distributive function (Korpi and Palme, 1988). There are both competitive and complementary interactions between state and non-state sectors (Trubek and Trubek, 2007). The competitive interactions result from the limited resources, which both state and non-state organisations face in providing public services to recipients, which causes them to compete to improve their quality of services. Conversely, each sector has its own interest in certain service provision, based on profitability or expertise. For example, the private sector is not willing to provide unprofitable services to the poor, while the state may struggle to provide certain high-end technological solutions in healthcare. This is when the complementary interactions take place with the distribution of service provision among service providers. However, SVC seems to be a missing link when public service commissioning decisions are made. Therefore, the outsourcing of public services to multiple sectors should be focused on externalisation rather than privatisation (Alford and O’Flynn, 2012), since a good public service needs to involve a social intervention function (Humphrey, 1998). Therefore, policies to **support service providers** who can deliver better social impacts is another important tool in promoting SV creation.

Consequently, it is also important to have a range of tools to assess the performance of public service providers, which is not only based on traditional financial indicators, but also on the social impacts delivered. The emphasis on social impact creation in public services requires the understanding of how these impacts should be achieved and how they can contribute to the well-being of society (Grieco *et al.*, 2015). Impact measurement also drives both social and commercial entrepreneurs to create social value in organisations and societies (Dohrmann *et al.*, 2015). However, the culturally relativistic nature of SV suggests that it is impossible to have singular measures of social impact (Clifford *et al.*, 2014). Hazenberg and Clifford (2016) argued that there was instead a need for a guiding framework for social impact measurement that could be used to design specific social impact measurement frameworks. Therefore, the government needs to **develop and support the development of social impact measurement tools** and to apply them in the assessment of the public services delivered.

As public services are different from commercial ones, the key issue when externalising them is in the selection of service providers, who do not ignore the features of public services as a non-profitable, fair, and equal set of values (Torres and Pina, 2002). Therefore, a good public

service must ensure that all people have a right to access services and a right to be included in service provision. Therefore, public service policies need to *ensure equality of access to public services* for all people in order to deliver more SV.

Chapter Three discussed the reform of public service provision with the focus on strategic management; increasing competition among public service providers; enhancing choice and the voice of customers, along with quality assurance; empowering stakeholders, ranging from organisations and employees, through to the community; and especially reforming the culture of the public sector. The power and control transferred to the community must be ensured through accountability, communication, quality assurance and performance review (Whitfield, 2012). To ensure the right to participate in public service production and provision, transparency is needed whenever accountability is involved. In the previous section, increasing ‘choice’ and ‘voice’ was argued to encourage the community in developing and managing public service provision. This co-production relationship needs to be extended to *the responsibility of the accountability* of service providers and the government to the community, and also that of service providers to the government.

4.2.3 - Policy groups

A review of the strategies and policies for PSD reveals that a variety of policies depend on specific national and local contexts. However, in relation to, and when combined with, the aspects of SV creation, as discussed in the previous section, five main policy groupings should be addressed.

- *Community engagement*: Lunde (1996) suggests that there are five levels of CE in public service delivery: Information, Consultation, Partnership, Delegation and Control, although the latter two levels are rare in public service delivery (Lunde, 1996), and greatly depend on different political and institutional contexts. However, CE in which the public service providers engage with community views and concerns, feedback and participation help the services delivered to be more appropriate and efficient in addressing social issues. CE can be achieved through satisfaction surveys, opinion polls, feedback forms, suggestion boxes, customer complaints procedures, advisory boards and media reports (Lunde, 1996).

- *Supporting public service providers*: To improve the quality of public services and to create social value for the community, it is important for the government to partner with other

sectors, especially social enterprises and the third sector, which can create social value more efficiently. Policies to support the development of potential providers are very important in order to increase their capacity, and to promote social value creation through public procurement.

- *Ensuring equal access to public services*: The privatisation of public services can help to reduce the financial cost for the government and to improve public service quality. However, it can also create a two-tier system in which competition and profit are prioritised, leading to limited access to good public services for the poor. Therefore, to ensure that social value is delivered to the community, everyone must be given the equal right to access public services.

- *Developing impact measurement tools*: It is important for all organisations to measure the social value and impacts that they create (Brown, 2017). To increase social value creation, the quality of services must be assessed based on both the economic and social value created. This can be evidenced through the development of impact measurement tools so that social value and social impact are measured in public service provision.

- *Accountability*: Accountability is an essential responsibility of government and service providers in order to increase transparency and trust among communities. This can be achieved through the production of performance or social value reports, so that the impact of public services is demonstrated to the public.

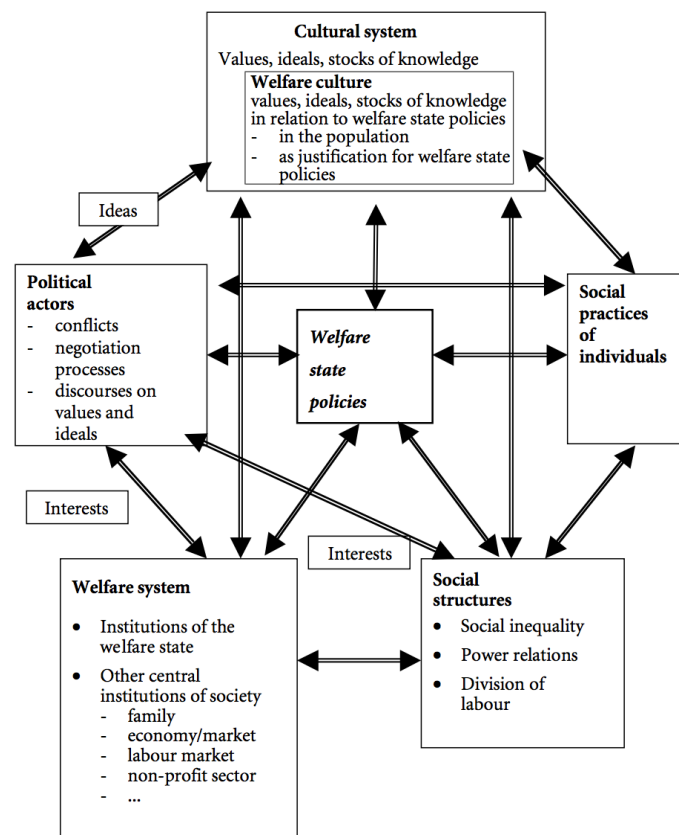
4.2.4 – Influential contextual factors

Chapter Three discussed the causal forces behind WS and public service reform in each country. Furthermore, SV, as discussed in Chapter Two, is a social construct and subject to relativism. Therefore, the research on policies of SVC in PSD in multi-geographical situations must embed those contextual factors in order to adjust the policies to the different contexts.

Chapter Two discussed the emergence of New Public Management (NPM) and the transformation toward a more entrepreneurial government. However, the applicability of

NPM and public service reform, which originated in liberal WSs and is now global in scale, especially in developing countries, is still a matter of debate (Larbi, 1999; Sozen and Shaw, 2002; Le Grand, 2007). There are institutional and economic capacity constraints that these authors argue should discourage developing countries from applying pure NPM from advanced countries. The efficiency of the market, the capacity of the private sector, and the management capacity of the state, are all considered preconditions to the reform of public services (Larbi, 1999). If the market is not efficient because of insufficient competition, and the private sector is not capable of delivering public services, the contracting out of public services can be wasteful and inefficient. Furthermore, PSD and public management reform is a complex process requiring strong government capacity, since the contracting out of services is not an absolution of responsibility for the government (Metcalf and Richards, 1990). Therefore, in less developed countries, where there are a large number of small-scale non-state providers, it is hard for the government to regulate and monitor the system effectively (Larbi, 1999).

Figure 4.2 - Interrelations within the welfare arrangement



Source: Pfau-Effinger (2005)

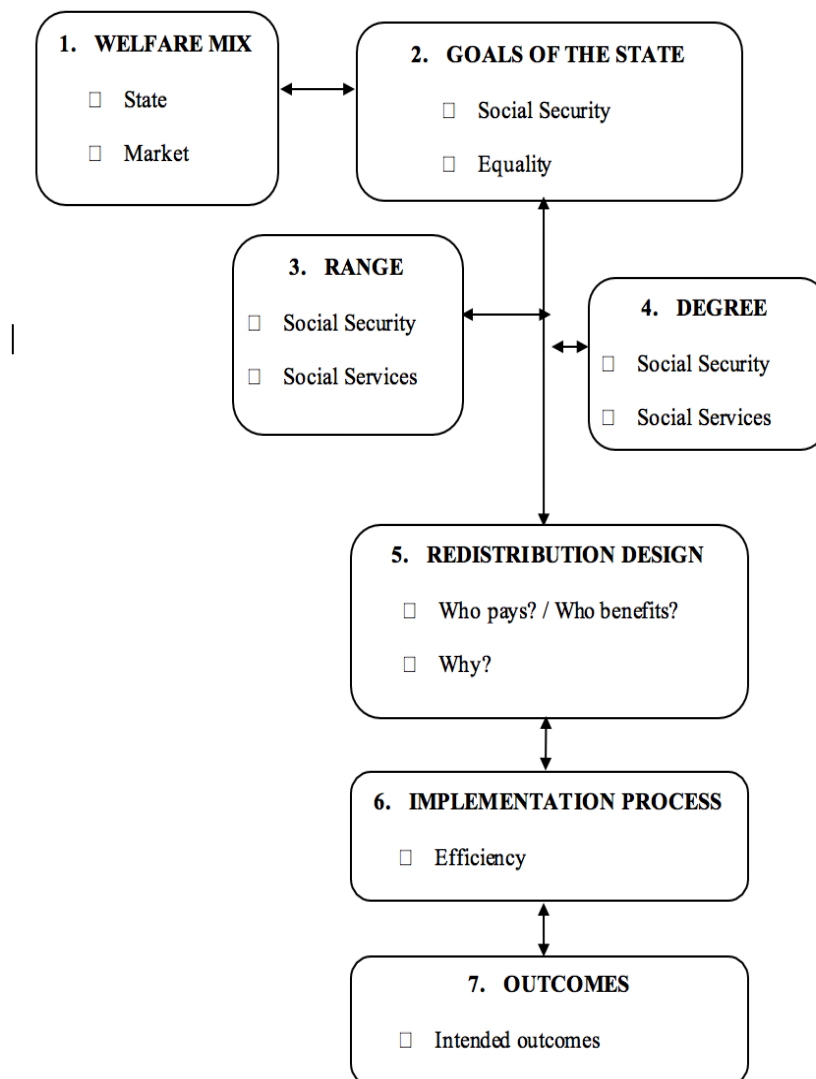
As Figure 4.2 illustrates, Larbi (1999) contends that the patronage system, along with other institutional weaknesses such as weak management, potentially leads to corruption in the contracting-out (tendering) process. With regard to SV creation, not only the capacity of the private sector, but also that of the third sector, including SEs and TSOs, as well as that of the community, should also be considered. Furthermore, the contextual conditions related to a country's economic capacity, political and institutional systems, and the welfare system and its policies, can also be argued to be determined by the interrelationship between the cultural system (including relative values and norms in a given society), institutional system, social structures, and social actors.

The interrelation of the cultural system of welfare policies is not simply direct, but is connected through social actors and social structures (Pfau-Effinger, 2005). The cultural system can be connected to the welfare system through ideas and through the negotiation of interests with other social actors, and under the different social structures of political actors. Conversely, the cultural system can also modify the impact of welfare policies on individuals through different social practices (Pfau-Effinger, 2005). Diverse values and discourses under different social structures can lead to heterogeneous political interests and ideas, and thus a different welfare system. For example, societal differences of opinion about the root of poverty, whether self-inflicted or caused by external factors, have an effect on the social policy approach to poverty alleviation (Kluegel and Myiano, 1995). A cultural idea of the responsibility of welfare provision with regard to whether the state, family or market should be dominant in providing social services, also affects the welfare mix structure (Pfau-Effinger and Geissler, 2002; Pfau-Effinger, 2005). Therefore, culture, politics and social structures have a complex relationship with welfare policies, and in particular with public service delivery.

As discussed in Chapter Three in relation to the causal forces of different WSs, the design of the WS is equally affected by the political system, socio-economic development, and cultural and historical aspects (Section 3.2.3, Chapter Three). Consequently, different types of WS can pursue different public service reform policies. Roosma *et al.* (2013) identified seven welfare dimensions: the welfare mix; the goals of the state; range; degree; redistribution design; implementation process; and outcomes (Figure 4.3).

The causal factors of WSs affect the development of the welfare mix and government goals in the sense that welfare reform and the priority goals of development vary between nations (Section 3.2.3, Chapter Three). Understanding of the welfare mix and government goals is important in understanding the value orientation and level of stakeholder involvement in different models of provision. The welfare mix dimension describes the joint participation of state, market, civil society and family in providing welfare and public services. The range and degree of the partnership in public service provision also affects SV creation, whereby SV is best created through the cooperation of sectors (see above). Therefore, to understand the mechanism of SVC in public service provision, the roles and relationships of different actors in the welfare mix of a country must be examined.

Figure 4.3 - Dimensions of the welfare state



Source: Roosma et al. (2013)

With regard to SVC, the legitimacy of the state and potential SV creators is expected to affect the formation of the welfare mix in a country. The relationship between the state and civil society is very important, as TSOs are the key actors in delivering SV, as previously discussed. This is crucial on a geographical platform, as the presence of the private and third sectors varies between developed and developing countries. A weak (or politically unrecognised) civil society (as is the case in single-party countries such as Vietnam and China) could lead to a different welfare mix emerging.

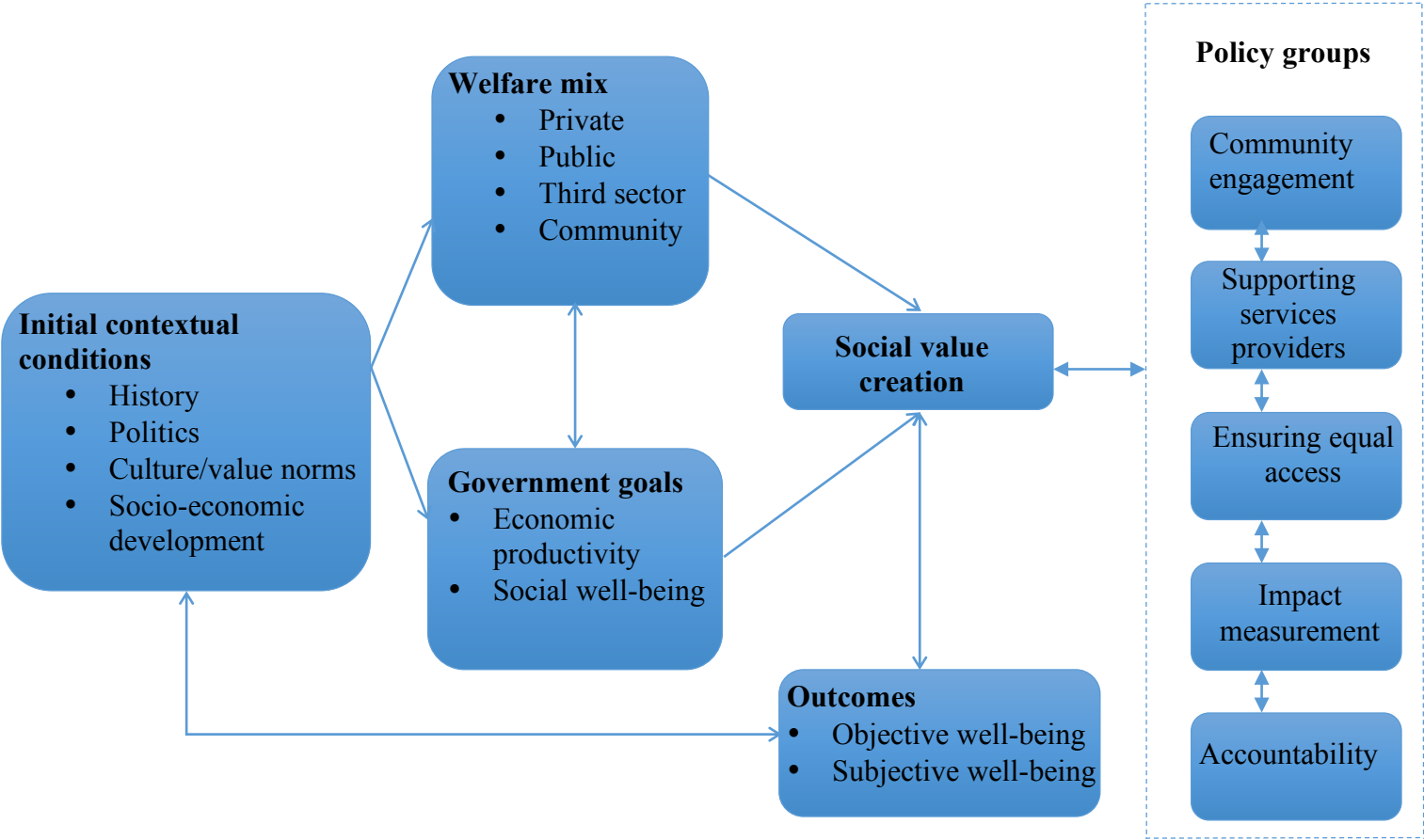
The second dimension, ‘Goals of the State’, implies the important values that the nation upholds in relation to priority development goals, promotion of social inclusion, social security, equality or individualism, and productivity and growth (Roosma *et al.*, 2013), but also in relation to the value orientation of state and service providers. Value orientation is either instrumental (means-ends orientation) or substantive (value-driven orientation) (Nicholls, 2010). The implementation and outcome dimensions are necessary for assessing the efficiency and values delivered by public and welfare services.

To summarise, contextual conditions (including history, culture, the political system, and socio-economic development), welfare mix, and the government’s goals are all important factors surrounding the formation and implementation of policies in PSD.

4.2.5 - Theoretical framework

Combining the five main policy groups discussed in the previous section in this chapter with the contextual factors discussed in Sections 4.2.3 and 4.3.4, a theoretical framework on policy supporting SVC in PSD has been formed, as illustrated in Figure 4.4.

Figure 4.4 - Theoretical framework of policy supporting social value creation in public service delivery



Source: The author

All policy groups and influential factors have been placed within a multi-directional relationship framework. The relationship between factors explains the rationale for their presence in the framework.

- *One-way relationship*: In the framework discussed above, an initial contextual condition such as history, culture and social norms, politics, and socio-economic development affects the formation of different WS mixes and government goals. This context directly determines policies around SVC in PSD.

- *Two-way relationship*: Each group of policies supporting SVC around PSD and outcomes have an impact on the SV created and on policy adjustment. In addition, while contextual conditions influence the formation of WS and PSD, the SV created through a range of policy groups also has an effect on the culture, value orientation, and the social well-being of a nation/region. This reflects the nature of SV as a relativistic social construct.

- *Multi-way relationship*: There are also relations between policy groups in the framework. These policies are not implemented separately, but also interlink with each other. For example, to engage the community in delivering PSD, intermediate actors such as service providers and community organisations should be supported, and accountability should also be strengthened.

4.3 – Social value creation through community engagement in public service delivery

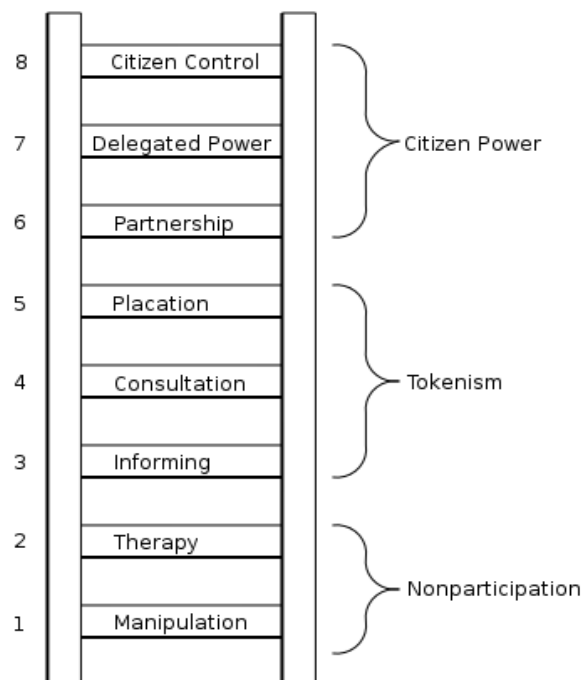
Even though there are five main policy groups promoting SVC in PSD, as illustrated in Figure 4.5, due to the limited scope of the current research, one main area is focused on and discussed. CE has been the focus of policy makers both in Vietnam and the UK, albeit from different approaches. While the UK increasingly embeds CE in public service provision, in Vietnam it is not directly embedded in public service provision, even though there are many public services provided by NGOs, which are embedded within communities. Exploring CE in the two countries helps the current research to identify the mechanisms and the stakeholders involved, and also the factors influencing SVC in public service provision in both countries. Furthermore, CE is an important factor in creating social capital, social cohesion and social innovation, and ultimately creates SV and benefits the whole community.

Therefore, this section focuses on discussing the first policy group’s *community engagement* with regard to the concept of CE and its benefits and constraints in PSD.

4.3.1 – Definition of community engagement

Community or civic development and community/public participation are terms which are often used interchangeably (Davies and Simon, 2012). CE refers to a process that involves people in economic, social, cultural and political actions that directly affect their lives (UNDP, 1993). More specifically, it is a process of collaborating with groups of people who share geographic proximity and interest in addressing issues in relation to their well-being (CDC, 1997). The community can be based on mutual interest (for example, a community of the disabled, or one of young offenders); geographic location (for example, a local or neighbourhood community); or governance and engagement (McCabe *et al.*, 2006). The engagement of the community in public activities is demonstrated in a ladder of participation (Arnstein, 1969), as shown in Figure 4.5.

Figure 4.5 - Ladder of citizen participation



Source: Arnstein (1969)

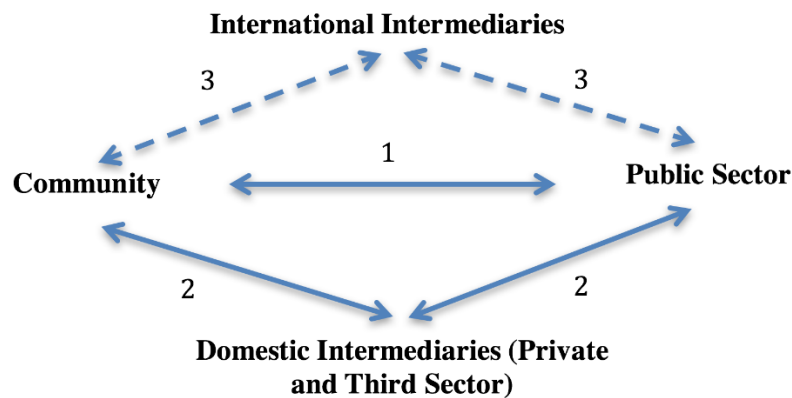
The levels of involvement increase from the passive involvement of the community (being informed and consulted) to playing an active role (working directly, partnerships, decision-making). However, this ladder is based upon the power distribution between the community

and the government with regard to the decision-making process. In PSD, CE is also strengthened through co-production (Alford, 1998; Needham, 2008). It is the transformation of a government from serving people to empowering them by giving them control and a greater voice; from centralised power to decentralised and participatory management (Osborne and Gaebler, 1992). Therefore, the engagement of the community in PSD expands the boundaries of community power beyond being involved (in decision-making) to collaborative action (producing and delivering public services) (as discussed in Section 2.3.4.1, Chapter Two, and Section 8.3, Chapter Eight).

In relation to PSD, the engagement of the community is an important aspect of the public service innovation process, as it plays a key role in suggesting new improvements and discovering and identifying issues (Nambisan and Nambisan, 2013; Merickova *et al.*, 2016). Engagement between the community and public organisations in PSD can take three main forms: *citizens as co-implementers* (the community performs a public service task that used to be performed by public organisations); *citizens as co-designers* (the community is closely involved in how public services are designed and implemented); and *citizens as initiators* (the community takes the initiative for public services and the government is invited to join) (Voorberg *et al.*, 2015). Although this typology of community-public relationships is also based on the degree of power the community is given, it also classifies the community as value creators at different levels in a co-creation relationship with the state.

However, in reformed PSD, where participatory government outsources, partners, and co-produces with other actors, the participants in CE increase, as shown in Figure 4.6.

Figure 4.6 - Relationship between participants in community engagement



Source: The author

The map of actors' relationships shows the active aspect of the community in engaging with other actors, namely policymakers, domestic intermediaries who are service providers, and international intermediaries. In the relationship between the community and the public sector, policies imposed on the community from the government result not only from the state's consideration of where and how to engage, but also citizens' decisions on the topic and the methods of this engagement. In PSD, CE can also be conducted through intermediaries such as service deliverers, including the private and third sectors. While not all service providers can deliver CE, TSOs who focus on marginalised people can provide social legitimacy and social innovation. This is because as they are socially embedded within the community, so they are better positioned to understand local issues than the local authority (Di Domenico *et al.*, 2009a). Therefore, policies promoting CE in PSD must support service providers in engaging, empowering and enabling community action/collaboration (Joshi, 2008). This also implies an interactive relationship between policy groups in the policy framework.

In addition to the three main actors, international intermediaries such as international development organisations also play an essential role as external actors in developing countries (UNDP, 2016). International development organisations or international NGOs, such as the World Bank, the British Council, UNDP and the UN, often embed a participatory approach into their development goals (World Bank, 1992). Even though the actor does not directly participate in PSD, its role is of importance. Collaborative relationships, therefore, can not only originate from below (the community), above (politicians), or within (public officials and service providers), but can also be expanded to the outside (international organisations and donors) (Fox, 2008; UNDP, 2016).

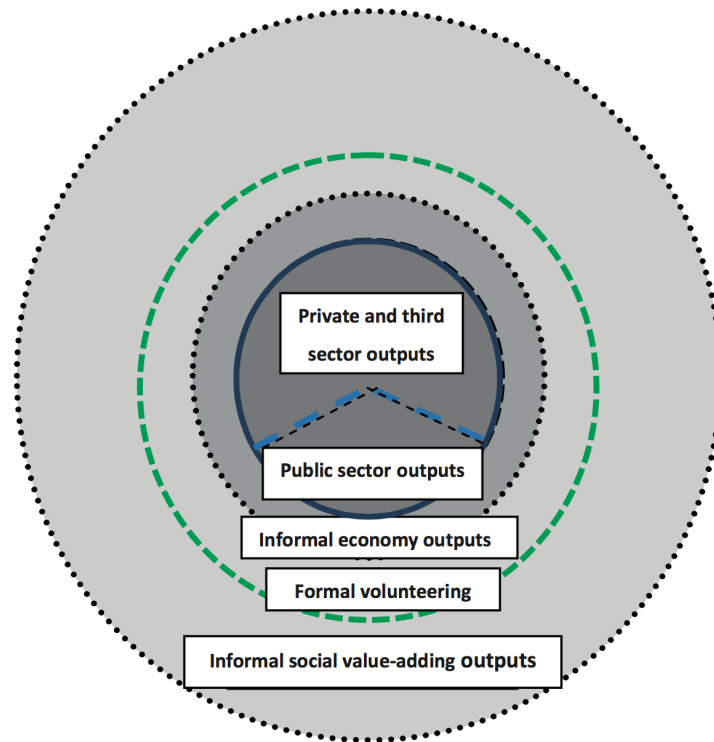
4.3.2 - *Why community engagement?*

Community or civic engagement has been regarded as an important element of sustainable development. Sen (1999) argues that freedom is the primary source of development. He rejects welfare theories that exclusively focus on utility without paying attention to the non-utility information existing in intrinsic values such as social norms, moral aspects and personal needs. Sen (1999) argues that people need to have freedom to approach and achieve what they need in their lives, and therefore contribute to their well-being. He introduces a capability approach, with an emphasis on human capability as a notion of freedom and distinguishes between capability (the opportunity to approach education) and functions (being educated), arguing that investment in capability is critically important in human development, as functions are conversions of capabilities. However, the conversion of capabilities to functions is affected by three factors: personal characteristics (physical condition, skills, intelligence and political efficacy); social characteristics (social norms, social hierarchy and public policies); and environmental characteristics (infrastructure and institutions) (Robeyns, 2003). Sen's theory of freedom as development expands the boundaries of utilitarian welfare and well-being to embedded intrinsic values and social aspects. However, it could be argued that Sen's (1999) theory seems to encourage the voices and choices of humans on an individual basis, while conversion factor capabilities, as mentioned above, imply engagement on a community basis. If human capabilities allow people to enhance their life choices, engagement and participation with social actors (public officials, service deliverers and other people in the community), then it is imperative to facilitate them to share social constructs (social norms and culture), and to engage in social institutions, social policies and the environment. By fostering human capabilities and freedom, CE contributes to people's well-being (UNDP, 2016). As a result, specific to PSD, CE can convert intrinsic values to fundamental ones by helping service providers to address a community's needs.

Furthermore, it is also argued that CE contributes to social capital development (Bovaird *et al.*, 2016) (as discussed in the findings in Sections 8.3 and 8.4, Chapter Eight). Through participation, people can exchange interests, opinions, capabilities and demands, which lead to a process of mutual understanding and collective action. Through collective co-production, CE is argued to create more SV-adding outputs to society, through the exchange of individual

values in a community, the linkages of the monetised economy, and civic society (Figure 4.7).

Figure 4.7 - Economic and social value adding outputs in society



Source: Bovaird et al. (2016)

CE is also believed to strengthen social cohesion (Amin *et al.*, 1999). Amin *et al.* argues that it is not the simple act of participation that leads to social cohesion, but the way participation is conducted, where equality is ensured, transparency and accountability are guaranteed, and inter-group cooperation is required. In PSD, CE must be conducted at multiple levels so as to ensure that accountability, interaction and social intervention are present where needed (as shown in Figure 3.7). By increasing the choices and voices of CE, public officials and service providers are able to be more accountable to consumers and responsive to their needs. Community participation will, therefore, reduce levels of corruption, increase democracy for citizens, and empower local voices (McGee and Gaventa, 2010).

In summary, CE can bring about social capital, social cohesion, democracy and social innovation through the process of interacting, sharing and collaborating with other social actors, which ultimately creates SV and benefit for the whole community. SV embeds a social orientation that aims to provide mutual benefit for the community, beyond the worth of

exchange. CE in PSD contributes to SVC by creating mutual interests among people, involving individuals in expressing their needs, and giving them the opportunity to achieve their goals. In this way, CE improves the human capabilities and intrinsic values existing in social norms and moral aspects.

4.3.3 - Contextual factors of community engagement

Even though CE can contribute to SV creation, as shown in the framework, there are limitations and contextual factors that affect the implementation of community participation in PSD. Engaging the community in PSD is a complex process which, due to its high transaction costs, requires both financial and human resources (Malik and Waglé, 2002). In developing countries, scarce resources in terms of both money and human endeavour may be a significant constraint on community development. Furthermore, without the guarantee of equality in CE, local elites may take advantage of participation to dominate and control the local administrative and political bodies (Malik and Waglé, 2002). This requires the attempt to build a strong institutional environment, which can enforce rules and transparency through the process of CE.

TSOs are also affected by the context within which they operate. In deprived areas, where people's income is lower and more ethnically diverse, CE at a civil society level is often lower than in more affluent areas (Björkman and Svensson, 2009) (as demonstrated by the finding of Section 7.4.2, Chapter Seven). In such areas, where people's education and awareness of their human rights are lower, CE often takes place on a one-to-one basis (Di Domenico *et al.*, 2009a). The capability to engage the community also depends on the scope and capacity of each TSO. The mechanism of service delivery organisations needs to ensure two-way exchanges and accountability to all key stakeholders (Di Domenico *et al.*, 2009a). In countries where the scale of the social economy is still small, and the participation of the sector in the WS is limited, CE delivered as services by TSOs faces more challenges (e.g., financial and human resource) than that in more advanced countries. As a result, the welfare mix and an enabling environment are crucial for the social economy to grow can affect the CE process.

The level of CE also correlates with a strong sense of political self-efficacy, which refers to the belief that people can make a difference, shaping their willingness to participate in service delivery (Bovaird *et al.*, 2016). This correlation relates to the differences in cultures, social

norms and political systems, in which individuals' self-efficacy beliefs differ compared to other actors in the welfare system. Therefore, advanced countries with a longer history of democracy may have a higher rate of CE than developing ones with less democratic engagement.

In summary, CE is a process of participation in activities that affect the community's well-being, requiring interaction and collaboration between the community, the state and service providers. CE is a facilitating tool to enhance social cohesion, social capital and human capabilities in achieving a better quality of life. However, CE also faces challenges in different contexts, where political systems, institutional structures and costs present constraints.

4.4 - Conclusion

The chapter has combined the discussion of SV and PSD undertaken in the two previous chapters, in order to build a framework centred on SVC in PSD. SVC is argued to exist in four aspects, namely social intervention, social innovation, social interaction and social inclusion. With the discussion of WSs and public service provision, a range of policies are argued to enable SV creation: community engagement; service delivery support; ensuring service equality to improve social inclusion; developing social impact measurement tools; and accountability. The framework comprises three main parts: policy groups; influencing factors including contextual conditions (political, socio-economic development, culture and history), welfare mix and governmental goals; and final outcomes. The framework is built on a multi-way relationship, in which contextual factors affect the formation of policies, and the outcomes from policies (SVs) are also expected to affect the context.

In the second part, the chapter has explained the focus on CE as an aspect of SVC for further research. CE in PSD can result in the enhancement of social capital and social cohesion. Through social interaction and collaboration with the community, service providers and policymakers can reach mutual understanding and provide mutual benefits for the community. CE can also give the community the opportunity to express their needs and achieve their goals. However, CE and SVC are also affected by many contextual factors. The focus on CE, therefore, is important in understanding how CE and SVC are implemented in PSD in both Vietnam and the UK. Regardless of the differences in context and development levels between the two countries, the social issues they are facing, such as social inequality

and social mobility, are similar, even though the causal factors behind these (and their levels of relative significance) might be different. Both governments are facing budget constraints and need to find new ways of delivering public services in an age of austerity, while continuing to improve their quality. Furthermore, it is interesting that Vietnam and the UK employ different political systems, but both utilise privatisation in delivering public services and a mixed WS model in which both universal and means-tested programmes are applied. Privatisation in both countries has created gaps in service provision, which limits marginalised people's access to public services. Therefore, it could be argued that, regardless of the differences, Vietnam can still learn from the path that the UK has travelled, as indeed can the UK from Vietnam. Whilst significant overhauls and reforms of the WS in both countries may not be needed, the current research can, by focusing on CE and SVC in PSD, increase our understanding of how policies can be designed and implemented to increase CE and SVC within public services across different socio-economic and political-cultural contexts.

Chapter 5 - Methodology

5.1 – Introduction

This chapter discusses the methodological approach to the current research. The chapter begins with a discussion of the ontological and epistemological approach taken by the researcher with regard to the research topic. This is followed by a detailed description of the research aims and research questions. Based upon the research questions, aims and philosophical standpoint, discussion of an appropriate research methodology and research tools for the current research then follows. The sampling frame is also described, along with potential analytical tools and approaches. Finally, the chapter ends with an ethical consideration of data collection, the researcher's reflexivity during the research process with regard to bias, and the solutions adopted to minimise these limitations.

5.2 - Philosophical standpoint

Social research, as Bryman (2012, pp.4-5) states, refers to academic research on social scientific topics for “conceptual and theoretical inspiration”. The aim of the researcher, therefore, is to design their research and discover methods to “interpret implications from research findings” (Bryman, 2012, p.5). A researcher's views on ontology and epistemology are crucial because they help him/her to identify the appropriate methods for the research topic. The aim of this section is to discuss the appropriate ontological and epistemological approaches to the current research. The section summarises different ontological and epistemological perspectives, and finally outline the approaches chosen for the research.

5.2.1 - Ontology and epistemology

Ontology is the philosophy of the nature of social entities (Bryman, 2012) and an explicit specification of a conceptualisation, which emphasises the differences between people's perceptions and views of the world they want to interpret (Gruber, 1993). At a fundamental level, ontology seeks to answer the question “what is the nature of reality?”. Answers to this question are frequently referred to as objectivism and constructivism. Objectivism views social phenomena as external to social actors. Social phenomena, with their two most common components, organisation and culture, are tangible objects (Bryman, 2012). People follow the standardised regulations and order of the organisation they inhabit and are influenced by the customs and values of the organisation's culture. Social researchers, therefore, explain and interpret the truth and social phenomena by observing them in their habitat. In contrast, in constructivism, social phenomena such as organisation and culture are

no longer prescribed, which could constrain social actors. Indeed, orders, rules, norms and values in organisations/cultures are constantly constructed and transformed by the social actors (Bryman, 2012). The social world is subjective, as it is heterogeneously represented under different people's points of view and socially constructed through social interaction (Porter, 1996). Social researchers, therefore, are required to consider social actors and their interactions and viewpoints when exploring social phenomena.

Epistemology reflects the researcher's attitude toward knowledge. Judgment can be true or false, but it needs to be true to be considered knowledge (Landesman, 1997). An appropriate epistemology helps the researcher to understand whether their perceived reality can be considered knowledge and whether that knowledge can help them to achieve what they want to explain about the social world. Indeed, the theory of knowledge must be consistent with the theory of the nature of being from which knowledge stems. In positivism, reality is external and objective. Therefore, knowledge must be confirmed by the senses and must be observable through empirical explanation. In contrast, the epistemology of interpretivism supports the idea of reality as a social construct, thus knowledge must be acquired through the interpretive understanding of social actions in order to arrive at a causal explanation of its cause and effects (Bryman, 2012). Critical realism represents a connection between different epistemological approaches (Losch, 2009). Critical realism shares similarities and differences with both positivism and interpretivism in terms of how reality is perceived and how knowledge should be applied in order to understand reality. The current research seeks to adopt a critical realist epistemological approach, as the researcher neither accepts a view of reality as an objective and independent subject, nor supports the idea of reality as purely socially constructed. In adopting a critical realist approach, however, it is important to understand the epistemological implications of the research.

5.2.2 - Critical realism as the philosophical standpoint of the current research

While sharing with positivism the idea that reality is independent and real, critical realism also argues that there are many underlying structures of natural and social objects that have a causal mechanism to produce events, and shares similar ideas with interpretivism (Collier, 1994; Bhaskar, 2008). In terms of knowledge about reality, critical realists argue that there are social and natural worlds that exist independently. However, our knowledge about them is stratified, differentiated, transformative, and socially constructed by means of prior social products (Bhaskar, 2008). Therefore, reality cannot be observed exclusively through

empirical observation, but also requires an investigation of underlying structures, causal mechanisms, and certain conditions that produce events (Collier, 1994; Sayer, 2000). Thus, critical realism can help the researcher to integrate different layers of social agency and uncover different levels of causal influence (Edwards, 2005; Thompson and Vincent, 2010). More specifically, regarding social relations, critical realism is especially appropriate, as it conceives social relations between social agents as facilitating or constraining their social activities (Bhaskar, 1998). Table 5.1 below summarises the key features of critical realism compared to other ontological and epistemological approaches.

Table 5.1 - Different philosophical standpoints

	Objectivism and positivism	Critical realism	Constructivism and interpretivism
Nature of reality	Reality is external, objective, and cannot be changed.	<ul style="list-style-type: none"> • Reality is stratified into levels of the real (the mechanisms that generate phenomena), the actual (the phenomena) and the empirical (our experience of those phenomena). • Not only individuals, but also social structure and social practice, are seen to have causal powers. 	<ul style="list-style-type: none"> • Reality is subjective and socially constructed and can be changed. • Only individuals have causal powers.
Nature of knowledge	Knowledge is confirmed by the senses and must be observable.	Our understanding of the world is fallible, but possible.	Knowledge is the process of interpretation which constructs human actions.
Research approach	Predominantly deductive.	Either inductive or deductive,	Predominantly inductive.
Research methods	Quantitative tools.	Either qualitative or quantitative, or both.	Qualitative tools.

Source: Adapted from Bhaskar (2008), Bryman (2012) and Peters et al. (2013).

According to Table 5.1, critical realism provides a connection and synthesis of both objectivism and constructivism in terms of an ontological approach, and both positivism and interpretivism in terms of an epistemological approach. The key difference between critical realism and social constructivism lies in the causal powers of people. While the latter considers humans as the only ones who have causal power that affects the social universe and human activities, the former argues that the causal powers of people are not sufficient to explain the social world, as there is also the causal efficacy of other social actors and social structures, such as relations in organisations and positions within a social context, that help to explain the world more comprehensively (Peters *et al.*, 2013).

In relation to the current research, this hybrid feature of critical realism seems to be more appropriate for the research aims, which are to explore and understand both the mechanisms of, and the public policies for, social value creation (SVC) in public service delivery (PSD). First, critical realism provides an appropriate view of reality and knowledge of the current research subject, which is SVC in PSD in two countries, Vietnam and the UK. Social value (SV) is “subjective” and “a matter of life experience” where it is “negotiated between stakeholders” (Young, 2006, p.57). Therefore, the author needs to discover SV as a social construct, built from the different viewpoints of all stakeholders. However, SV in the current research is also perceived as relating to positive social impacts and social changes that may exist in different contexts such as Vietnam and the UK (Section 2.1, Chapter Two). The aim of the current research is to investigate the efficacy of a global welfare model that is centred on SV and to understand the underlying mechanism of SVC given the existence of cultural relativism. Therefore, an objective view with regard to the reality of SVC in PSD allows the researcher to make an objective evaluation of policies in different contexts and cultures when exploring the implications for Vietnam, from which a transferable policy framework is built. While the policy recommendations must be based on objective observation and evaluation of the phenomena in both countries, the current research also explores underlying structures, causal mechanisms, and certain conditions that create SV in each nation.

Second, in relation to public administration and public policy, Al-Habil (2011) claims that positivists seek to apply empirical scientific standards and principles to the decision-making of policy and that empirical proof is necessary for the government to claim efficient functioning. However, the accountability of those positivist-oriented policymakers “would be far different from the sort of accountability envisioned in democratic theory” (Fay, 1975,

p.26). This argument is worth considering, especially in the field of SV and social impact delivered through public services. While there are a variety of measurement tools for social impact and SV in social business, Young (2006, p.64) argues that “the risk with any metric is that people will come to see it as a description of a reality, rather than as a tool for a conversation about that reality. Moreover, it can be all too easy to mistake what is measured as a proxy for value as being the value itself”. Therefore, a purely positivist or interpretivist approach is not appropriate to comprehensively explore a suitable policy framework centred on SVC in PSD.

Third, critical realism is suitable for the case study research approach (Easton, 2010) and was therefore adopted for the current research and is explained further in Section 5.4. Whilst constructivists are often interested in the conception of a phenomenon, critical realism is appropriate for exploring the mechanism that generates that phenomenon (Bhaskar, 2008; Easton, 2010; Peters *et al.*, 2013). Therefore, critical realism allows the researcher to explore the mechanism of SVC in considering social conditions, stakeholders, and interactions between social actors.

Fourth, critical realism gives the researcher more flexibility in selecting appropriate methodological approaches. In critical realism, there are two broad types of research method: extensive and intensive. The extensive approach often employs large scale surveys and statistical analyses, and looks for regularities, similarities and replication for generalisation, while the intensive approach often employs interviews, ethnography, and qualitative analysis to produce causal explanations (Easton, 2010). The current research does not look for regularity on a large scale, but aims to give an in-depth understanding of SVC in PSD within certain contexts and conditions. Therefore, the intensive approach is more suitable. Furthermore, critical realism also allows either an inductive or deductive approach. Although the inductive approach is often associated with theory generation research, the current research does not employ a purely inductive approach. It uses theoretical sampling, which is in fact a deductive process grounded in inductive categories (Fernández, 2004). An interplay of the inductive and deductive approaches is more appropriate, as it allows the current research to explain the phenomenon (CE in PSD) (Saunders *et al.* 2003) and not ignore the contextual factors around it, which is also deduced from the researcher’s own observations and assumptions concerning the nature of life (Strauss and Corbin, 1990) (see Section 5.4.1 of this chapter).

5.3 - Research rationales and research questions

5.3.1 - Research rationales

The comparison of CE in PSD in two different contexts, Vietnam and the UK, resulted from many rationales. This section explains why the Vietnam and UK contexts were adopted as comparable case studies from the contextual perspective, the academic perspective, and the perspective of the feasibility of the research.

5.3.1.1 – Contextual perspective

The current research was first inspired by the Law on Enterprise 2014 (Vietnam National Assembly, 2014) in Vietnam, which recognised social enterprise as a type of enterprise. The Vietnamese government, academic sphere, and community was increasingly paying attention to TSOs and social impact creation in service delivery. In the meantime, the Localism Act 2011 (UK Parliament, 2011) and Public Services (Social Value) Act 2012 (UK Parliament, 2012) in the UK, which require the embeddedness of social value and social impact creation in public procurement, also inspired the researcher to question whether a developing country such as Vietnam can adopt a similar path to promote social value creation. However, it is important to also consider the historical and cultural aspects of the two countries regarding public service reform in order to make them a case for comparison.

The UK has a long history of welfare state development, with changes in PSD over the time. Reform of public services has developed over three main periods (Hazenberg *et al.*, 2016). The first period was from 1945-1979, when the UK adopted a universal system of welfare provision with the establishment of the National Health Service (NHS), free universal secondary education, unemployment benefits for all the unemployed over 16 years old, and the creation of state-owned housing for low-income families, all of which was solely provided by the state (Hazenberg *et al.*, 2016). However, since the Conservative government of Margaret Thatcher began market-based reforms in 1979 (Osborne and Gaebler, 1992), the transformation of public services has focused on reforming both economic and social policies through large-scale privatisation, decentralisation, and overall contraction of the role of the State (Hula, 1993). The second period, from 1979 to 1999, witnessed a transformation of British welfare toward individualism and free-market consideration (Hazenberg *et al.*, 2016), with the introduction of ‘Compulsory Competitive Tendering’ (CCT), which requires public services to be contracted out on a competitive tendering basis. Furthermore, the election of

the New Labour government in 1997 created a turning-point for the third sector, especially social enterprise, in its involvement in PSD. Under New Labour, the desire for both entrepreneurial government and services that were focused on social aims resulted in the creation of ‘third-way’ policies (Haugh and Kitson, 2007). This led to a large growth in the number of third sector organisations (TSOs), and particularly social enterprises, delivering public services (Haugh and Kitson, 2007). The third period, from 1999 to the present, the involvement of TSOs in PSD has been constantly supported by the introduction of the Social Enterprise Unit in 2001 (now the Office for Civil Society in the Cabinet Office) and the introduction in 2004 of the Community Interest Company (CIC), as official types of social enterprise in legal form. However, there has been a shift from state supporting social enterprise to a market base, where TSOs have to compete to seek finance from social investors such as the Big Lottery Fund with its investment readiness scheme (Nicholls, 2010). This shift towards SV is demonstrated by the Public Services (Social Value) Act 2012 (UK Parliament, 2012), which requires local authorities to consider SV and social impacts in public service contract commissioning (Teasdale *et al.*, 2012). In general, the path of public service reform that the UK has taken has been towards marketisation, with consideration of social impact and community partnership.

Although the reform in PSD in Vietnam started later than in the UK, the paths of the two countries share both similarities and differences. After the North of Vietnam gained independence in 1945, the country started to establish its welfare state with features of socialism, as in its first Constitution in 1946, in which social welfare was universal (Dang, 2016). The state was both sole provider of public services as well as the dominant actor in the manufacturing sector (Kokko and Tingvall, 2007). This meant the state faced a financial burden in providing good public services. In the country’s next period from 1986, with the socio-economic reform “Doi Moi”⁶, Vietnam has seen rapid growth in economic development thanks to the introduction of the private sector in the market to provide public services. Vietnam entered the group of lower middle-income countries in 2009. There was also a change in the role of the state in PSD. Especially in healthcare and education, the financial burden largely shifted from the state to individuals and their families (Kokko and Tingvall, 2007). There has been a reform towards the commissioning of public services to non-state sectors in education, healthcare, culture, gymnastics and sports activities. This rapid

⁶ Doi Moi refers to the economic reforms initiated in Vietnam in 1986 with the goal of creating a "socialist-oriented market economy".

economic transformation has also contributed to increasing inequality in income, leading to many social issues such as unemployment, as well as inequality in access to both healthcare and education. In an effort to socialise public services, the state in Vietnam has always encouraged the operation of services within a non-profit mechanism (CIEM and Stiftung, 2006). However, the implementation of these policies is inefficient, as the increasing commercialisation of public service supply (including the healthcare and education sectors) makes it difficult for poor people to access services (CIEM and Stiftung, 2006). Healthcare and education provided by the private sector improved the quality of services and gave more options for the wealthy population, but not for poorer groups. Realising this issue, in the next period since the 2000s, a variety of National Targeted Programs have been implemented to extend access to public services and welfare to disadvantaged groups. In particular, the Comprehensive Poverty Reduction and Growth Strategy (CPRGS) (Vietnam Government, 2002) was introduced, which showed a gradual shift from pure growth-oriented objectives to a more social equity- and social issues-oriented development strategy (Kokko and Tingvall, 2007). Along with this strategy, a range of policies have been introduced, which support enterprise, provide services and work with marginalised groups, cooperatives and especially social enterprise in the Law on Enterprise 2014 (Vietnam National Assembly, 2014) with support such as tax incentives, infrastructure and land preference (Truong *et al.*, 2018). Although there is no clear strategy that focuses on social value creation and social impact delivery, the Vietnamese government has paid attention to marginalised groups and equality in public service delivery, with the encouragement of social enterprise and other social impact business in order to deliver public services.

The two paths of public service reforms in the UK and Vietnam show both differences and similarities. Both countries have shown a transformation from universal provision of welfare to a more means-tested type within a marketised base. In the UK, this reform began with Thatcher's government in 1979, while in Vietnam it started in 1986. However, the differences lie in the approach to improving social issues caused by the marketisation of PSD. There has been a shift from 'competition' to 'collaboration' in the UK, with the encouragement of TSOs in PSD and co-production with the community through public procurement and community empowerment in order to boost social value creation (Parker and Hartley, 1997; Hazenberg and Hall, 2016). The UK has shown reform in the quality of services (the way services are delivered), the efficiency of the services (collaboration and

innovation to achieve social bricolage), the evaluation of services (how much social impact is created), and the accessibility to the services (how the community accesses services).

Meanwhile, although there have been policies giving special treatment to enterprises and social enterprises delivering public services, there has been no clear strategy from the Vietnamese government to improve the way public services are delivered but simply a focus on increasing the availability of services to marginalised groups by encouraging the non-state sector to participate. To revise the existing inefficient implementation of socialisation and social welfare supply, it is important for the Vietnam government to identify the best mechanism for creating SV in PSD. Understanding of, and attention to, SVC in public policy are therefore crucial to this process and lessons that can be learned from the UK could be crucial in the policy reform process. The path that the UK has taken, as one of the early actors in public service reform towards SVC, can be informative for Vietnam. Furthermore, the UK can also learn from what Vietnam is doing to improve its efficiency in PSD. Although the two countries have different cultures and socio-economic development levels, they share a similar path of public service reform. Therefore, a comparative approach is appropriate for the aims of the research, one of which is to examine the applicability and cultural relativism of policies and activities in public service reform. The comparison of an advanced and experienced country such as the UK, and a country that is in a transition period, such as Vietnam, contributes to discovering the underlying social factors that affect the reformation process.

5.3.1.2 – The academic perspective

The transformation in PSD has attracted the attention of academics, policy makers and civil servants in both countries. In the UK and some other developed contexts, previous research on public service transformation has largely focused on the forms of transformation (Torres and Pina, 2002), and the types of partnership and collaboration, such as public-private partnerships, community partnerships, collaborative government, collaboration as contracting out, and collaboration as outsourcing (Alford and O’Flynn, 2012; Donahue and Zeckhauser, 2011; Salamon, 2002; Osborne and Gaebler, 1992). More recently, there has been increased attention to the involvement of the third sector in PSD. In Vietnam, there has been increasing research on the efficiency of PSD and the partnerships between the government and non-government sectors (Duong *et al.*, 2004; Kerkvliet *et al.*, 2008; Nguyen, 2010; Malesky *et al.*, 2014). However, the current research focuses on evaluation of the efficiency of the public

services delivered and the relationship between state and service providers but not exploration of the values behind the mechanism of service provision.

While previous studies have mainly discussed the involvement of different sectors in PSD in relation to their impact and advantages, a clear theoretical framework of SVC in PSD has not yet been developed. In addition, research on the social impact of PSD mostly explores the situation in advanced countries (including the UK), but not in developing contexts such as Vietnam.

Furthermore, public service delivery reforms have been widely discussed from a cross-national comparison perspective but mainly within the borders of European and developed countries (Torres and Pina, 2002; Bach and Givan, 2011) or with a particular focus on transitional and developing countries (Loevinsohn and Harding, 2005; Janenova and Kim, 2016). Little research has compared the two different worlds of developed and developing countries in terms of their public service reform paths and, in particular, the involvement of TSOs in PSD. Therefore, SVC in public policy is an under-researched area, especially with a cross-cultural approach to identifying how SVC in PSD can be achieved in different contexts. This motivated the researcher to examine PSD reforms and the involvement of TSOs in PSD to create social value in the developed and developing contexts of the UK and Vietnam. The research enriches the field, as while developing countries seek to learn from successful models, it is crucial to have a framework for them to identify and justify a suitable approach to their context. The current research is also meaningful in developed contexts such as the UK, which can improve its approach as well as looking further to PSD in different nations, where different cultural and development levels exist. Therefore, the researcher was motivated to conduct research that comparatively analyses SVC through CE in PSD in both the UK and Vietnam, as this provides an opportunity to positively impact on both Vietnamese and the UK policy-making and society.

5.3.1.3 –Feasibility of the current research perspective

Besides addressing the knowledge gap and the motivation to explore the influence of contexts in SVC in PSD, the choice of Vietnam and the UK and the current research focus were also based on the feasibility of the research. By being able to use both English and Vietnamese fluently and having connections in both countries, it was feasible for the researcher to conduct the current research using Vietnam and the UK as case countries, especially in terms

of data collection. In Vietnam, the researcher used to work for Vietnam National University (VNU) and took part in various projects involving social enterprises and social impact enterprises. This allowed the researcher to access TSO networks in Vietnam and also provided a background in the field. In the UK, the University of Northampton (UoN) has been focusing on social impact, community engagement and social enterprises. This provided a good environment for the researcher to learn about and understand the development of the sector in the UK and also a network to other TSOs in the UK. In particular, VNU has a partnership with UoN, which allowed the researcher to travel between the two countries to conduct her research.

Regarding the choice to focus on CE, besides its importance and relevance in well-being improvement, as discussed in Section 4.3, Chapter Four, it was also more feasible for the researcher to select cases in both countries which were able to match the criteria, especially in Vietnam (as discussed in Section 5.4.3). The choice of other aspects of SVC, as shown in the proposed framework (Section 4.2.5, Chapter Four), such as ‘supporting service providers’ (TSOs), ‘social impact measurement’, and ‘ensuring equal access to services’ required the researcher to examine a wider set of data (number of organisations) in order to understand the subject. However, there is still a very limited number of TSOs delivering public services in partnership with the government in Vietnam which can be used as case studies. Therefore, choosing these aspects faced the problem of unavailability of cases in the Vietnamese context. Furthermore, the different levels of development between TSOs in both countries (as discussed in Section 1.1.2, Chapter One and Section 8.2.2, Chapter Eight) limited the possibility to consider a wider range of TSOs in PSD and impact measurement in both countries due to the different levels of development. On the other hand, CE exists in both countries (Section 4.3.3, Chapter Four), which allowed the researcher to seek cases in both countries and to explore the depth of the phenomenon rather than looking at a wider set of data. As such, the differences in TSO development and contexts became the causal factors that the current research analysed and discussed with regard to CE in both contexts.

5.3.2 - Research objectives and research questions

Previous chapters have formed a conceptual model of policies for SVC in PSD within contextual factors, including culture, history, socio-economic development levels, and political environments. The previous review focused on one group of policies, i.e. CE (see Chapter Four), for further exploration as the main subject of the research. While the conceptual framework (Figure 4.6, Chapter Four) shows that CE can create SV, it is unclear

how SV is created through CE within different contexts. The current research has the following two aims:

1. To identify how CE in PSD affects SVC in the UK and Vietnam.
2. To identify the policies that target SVC in PSD that can be transferred from advanced countries (the UK) to developing ones (Vietnam).

Along with the literature review in the previous chapters, the following three research questions (RQs) are posed in order to demonstrate the current research aims.

1. How does CE affect SVC in PSD?
2. How do cultural/contextual factors affect CE and SVC in the two countries?
3. What is a transferable policy framework for CE in PSD?

5.4 - Research methodology

5.4.1 – Research approach

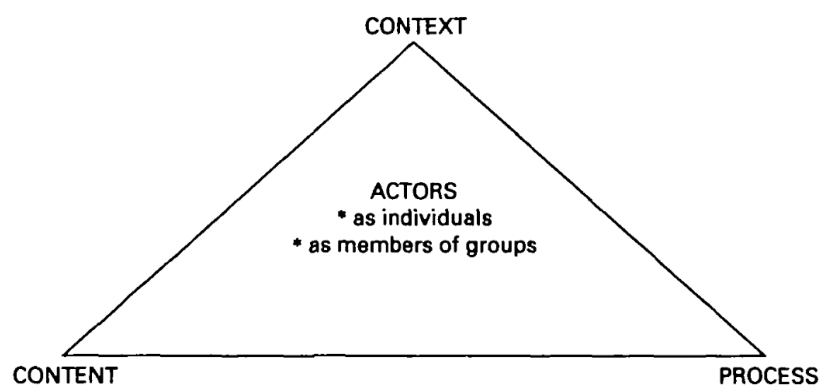
Mill (1884) summarised three main approaches to designing comparative cross-national research: universalist, culturalist, and societal. The differences between the three research approaches lie in the view of the relationship between social reality and its social context (Hantrais, 1999). Universalism considers social reality to be context free; that generalisation can be made from the observation of social processes. With this logic, the current research approach searches for similarities and convergence, which often test the applicability of a theory (Hantrais, 1999). However, the approach has been criticised for ignoring contexts and cultural factors as exogenous variables. Therefore, a contrasting approach termed culturalism considers context an object of study and a nexus for comparison, as there are no truly universal concepts and values (Hantrais, 1999). However, the major task of a cross-national study is to avoid the excesses of universalism or culturalism, as the differences between countries have limits (Rose, 1991). The implication is that the selection of appropriate national contexts must ensure a balance between differences and representativeness for the coverage of variability (Hantrais, 1999). The third approach, called the societal approach, reaches a compromise position by agreeing with culturalism that social phenomena are diverse and components of interdependent systems that require the examination of intrinsic factors in the system to be explained (Przeworski and Teune, 1970). However, this approach also shares ideas with universalism, that systems are not unique and aspects of social phenomena can also be explained by factors extrinsic to the system (Przeworski and Teune, 1970).

In the current research, Vietnam and the UK are significantly different regarding their social-economic development levels, history and culture, and politics and development of TSOs, as detailed in Section 5.3.1 and discussed in Section 8.2, Chapter Eight. However, both countries share similar PSD reform paths toward more customer-focused and community collaboration (Section 5.3.1). In order to develop a robust explanation of the similarities and differences of CE in PSD in both countries, a blended universalist and culturalist approach was therefore taken. By understanding that social phenomena (CE) are different in different contexts, and with the aim to deliver a transferable framework for CE in PSD, the current research took into account the social contexts in both countries as important extrinsic factors in the CE process. The transferable framework for CE in PSD as the aim of the current research does not mean a unified frame for any country, but rather the provision of a general explanation and demonstration of the relationship between direct (culture, demography, capability) and indirect factors (contextual conditions) of CE in PSD (Section 8.3, Chapter Eight). The modification of the model is aimed at further research that includes more countries and social contexts (Section 9.4, Chapter Nine).

5.4.2 - Methodological overview

Walt and Gilson (1994) developed a policy analysis triangle that consists of four elements: context, content, process and actors (see Figure 5.1). According to the triangle, not only the content of the policy, but also the actors involved in the policy reform, the process of developing and implementing the policy, and the context within which the policy is developed are also important for the analysis.

Figure 5.1 - Policy analysis triangle



Source: Walt and Gilson (1994)

According to Walt and Gilson (1994), to focus policy analysis merely on content, while neglecting other factors such as actors, process and context, is inadequate. The model is a

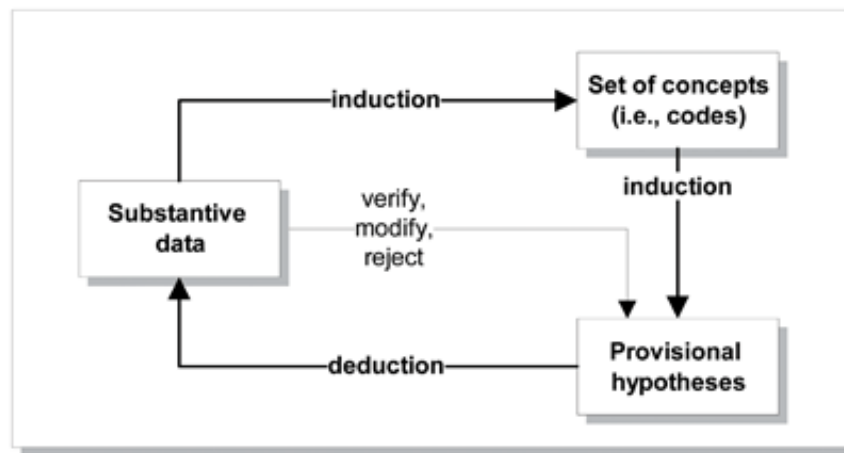
simplification of a complex set of interrelationships between those factors that the researcher needs to understand when analysing policy. Actors (who are involved in policy reform at national and regional levels) are influenced by the context within which they live; context is affected by many factors, such as political regimes and cultures; the process of policy making is then affected by the actors (their position in the power structure, their values and expectations); and the context of the policy is the reflection of some or all the above dimensions (Walt and Gilson, 1994). This triangle shares similarities with the theoretical framework of the current research, in that it does not ignore the importance of actors, context and process in exploring policies. However, given the aims of the research, this model is expanded to include practitioners and consumers, taking into consideration that the process not only involves the decision-making, but also its implementation.

The current research applied an integrated approach of grounded theory method (GTM), using a case study approach to build a model of SVC through CE in PSD, in a dual-geographical context. More specifically, case study research was conducted in both Vietnam and the UK. In each case study, the qualitative methods used were semi-structured interviews held with managers of both TSOs and the government, and focus groups held with the community, the service users of all the cases, in order to assess different perspectives, implementations and outcomes toward SVC in the CE activities delivered. A process of constant comparison was conducted to explore the differences, similarities and causes behind those in the selected cases. The findings made reference to the literature in order to make adjustments to the proposed model. A more detailed discussion on the integration of case study research and grounded theory methods is presented in Section 5.4.2.

As discussed in the philosophical standpoint of the research, critical realism allows the current research approach to be either inductive or deductive. Deductive research is suitable for testing a theory or a hypothesis, while quantitative methods are often used to quantify variables so that the theory can be confirmed or rejected. In contrast, the inductive approach, known as an approach to theory generation, is often used in qualitative research in order to explore unanticipated factors that may form the theory (Bryman, 2012). Although grounded theory is classified as an inductive approach by many authors (Glaser and Strauss, 1967; Strauss and Corbin, 1990), the current research does not apply a pure GTM together with the inductive approach. In fact, theoretical sampling is a deductive process that is grounded in inductive categories (Fernández, 2004). Although the process of generating theory is

achieved through data analysis, the interpretation of data is not merely based on the researcher’s subjectivity, but also deduced from her observations and assumptions about the nature of life or the literature that is referenced (Strauss and Corbin, 1990). Therefore, there is an interplay between induction and deduction in GTM, especially in the case study design with theoretical sampling applied. The cycle of inductive and deductive process in GTM is described in Figure 5.2.

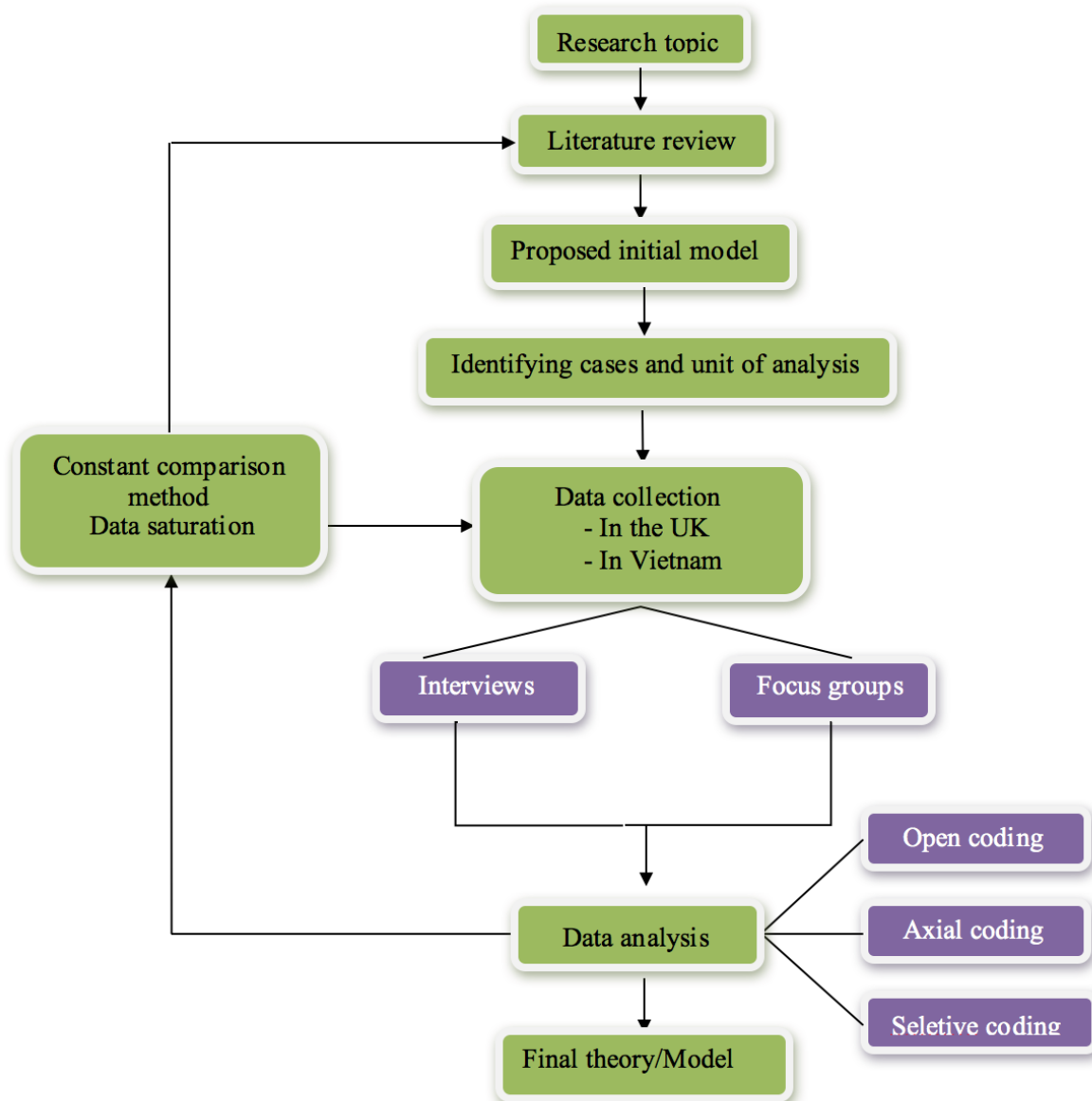
Figure 5.2 - Inductive-deductive cycle of the grounded theory method



Source: Fernández (2004).

An overview of the current research method structure is outlined in Figure 5.3. The current research employed qualitative interviews (semi-structured interviews and focus groups) as the main research method. The findings from the qualitative interviews and focus groups in the case studies were combined with a previous and emerging literature review in a process of triangulation (McLeod, 1994) in order to assess how the policy works in each country and whether policies can be transferred given the different contexts. The constant comparison method (CCM) was applied to compare the emergence of themes from the data collected between the two countries. The findings may lead the researcher to revisit the literature review in order to continue updating documents for the analysis, or to conduct more interviews until the information reaches saturation point (Bryman, 2012).

Figure 5.3 - Methodological overview



Source: The author

5.4.3 - Integrating case study and grounded theory methods

Case study research is designed to explore and predict social phenomena with the aim of advancing understanding (Cousin, 2005). In terms of scope, case study research helps the researcher to make an in-depth investigation of a contemporary phenomenon (Yin, 2014) and/or an intensive examination of a setting (Bryman, 2012). It is relevant when the researcher wants to explore a real-world case within important contextual conditions (Yin and Davis, 2007). Other research methods such as surveys can have limitations in exploring the context in conjunction with the phenomena (Yin, 2014). Therefore, a case study approach

is helpful for the current research to explore how CE has been engaged within PSD and how it promotes SVC. Furthermore, the phenomenon of CE in PSD has been put in the context of culture, history and the welfare state of the two countries in order to explore the incentives for and barriers to SVC. Investigation of policies and policy implications therefore required the involvement of context in exploring the appropriate policies for SVC.

More specifically, the current research employed a comparative case study approach on the basis of a cross-cultural research design. This approach allowed analysis of the situation in each country, and addressing of the similarities and differences in order to establish particular conditions that foster SVC. The cases selected in each country were public services delivered through a partnership between the government and the third sector or community, in which differences and similarities in the mechanisms, policies implemented, perspectives toward SVC, and contextual and cultural factors were compared and contrasted (Section 5.4.3). This allowed the current research to explore the phenomena in question and also the contexts within which they existed (Yin, 2014).

Although case study research can help the researcher to explore a specific social phenomenon in depth and to understand the contexts and factors surrounding the phenomenon, it is claimed that this type of research is not the best methodology for generalisation (Dooley, 2002) due to its small sample size. However, in case study research, generalisation differs from that found in empirical studies (Yin, 2014). Unlike empirical studies, which often take statistical generalisation as a method to synthesise empirical data collected from a large sample of participants, a case study is not a sampling unit. Instead, it is a setting where in-depth exploration and analytic generalisation of the findings can produce new concepts, new terms, or even modify existing theories (Yin, 2014). It is therefore concerned with increasing our understanding and knowledge and building theoretical explanations of a phenomenon. Case study research can be used to provide a description, test a theory, or generate a new theory (Eisenhardt, 1989). The process of building theory from case study research is described in Table 5.2.

Table 5.2 - The process of building theory from case study research

Step	Activities
Getting Started	Definition of research question Possibly a priori constructs
Selecting Cases	Theoretical, not random, sampling
Crafting Instruments and Protocols	Multiple data collection methods Qualitative and quantitative data combined
Entering the Field	Overlap of data collection and analysis, including field notes Flexible and opportunistic data collection methods
Shaping Hypotheses	Iterative tabulation of evidence for each construct Replication, not sampling, logic across cases Search evidence for the "why" behind relationships
Enfolding Literature	Comparison with conflicting literature; comparison with similar literature
Reaching Closure	Theoretical saturation when possible

Source: Eisenhardt (1989)

There are concerns over the representativeness of a specific case in case study research, which makes it problematic when developing theory from the results of that specific case. However, in the process of building theory from case study research proposed by Eisenhardt (1989), the selection of a case can be completed through theoretical or purposive (not random) sampling that focuses on specific features that are suitable for exploring the relationship and logics among constructs (Eisenhardt and Graebner, 2007) (more details in Section 5.4.3). The findings are grounded in data and make reference to the literature until theoretical saturation is reached. However, in this approach, Eisenhardt does not make it clear how theoretical categories are identified without mentioning the process of literature engagement ahead of the case selection.

Glaser and Strauss (1967) are considered the first creators of GTM, a method widely used in theory building research. They later developed and extended the original theory into different approaches, which are often known as the Glaserian and the Straussian approaches to GTM (Hekkala, 2007). The major differences between the two approaches lie in the role of

literature reviews, research questions, the position of the researcher, and the inductive-deductive approach (Onions, 2006). In the Glaserian approach, research should start with a general query and with neutral research questions in order to avoid assumption or bias from the literature. Theory is then grounded in, and revealed, by the data (Glaser, 1992). In contrast, in the Straussian approach, a general literature review is conducted to provide starting ideas; it is believed that the literature can derive theoretical sampling and a good source of questions to use in the fieldwork (Strauss and Corbin, 1990). While the researcher in the Glaserian approach is passive and the process of generating theory is seen as data-grounded and purely inductive, the Straussian approach sees researchers as active observers attempting to interpret their understanding of data to generate theory. Therefore, in the Straussian approach, research is a cycle of inductive-deductive interpretation of data (Hekkala, 2007).

There is both convergence and divergence in case study research (Eisenhardt, 1989; Yin, 2014) and GTM (Strauss and Corbin, 1990; Glaser, 1992). Although Eisenhardt (1989) contended that theory-building research should begin with as little theory or hypothesis as possible, he later declared that it was impossible to conduct pure clean theoretical research. Yin (1994) suggested that case study research should start with a specific research statement and research questions that direct the information which is collected. This means that case study research should not start without a literature review. This type of research shares the ideal of GTM in the Straussian approach, in that engaging with the literature can be a good starting point to direct the researcher towards what to focus on, and that this engagement with the literature extends the researcher's understanding, whilst allowing for the acceptance of emergent ideas (Halaweh *et al.*, 2008). Furthermore, Straussian GTM is relevant for theoretical sampling and for identifying the units of analysis that are required in case study research (Halaweh *et al.*, 2008). Therefore, Strauss' version of GTM is a more appropriate approach to building theory from case studies. Therefore, the current research structure is based on the work of Halaweh *et al.* (2008), which is a combination of Straussian GTM and case study research, whereby the research starts with a general literature review, from which a research model or theory is proposed, so that cases and units of analysis can be identified. The data is then collected and analysed while revisiting the literature to collect more data if needed and to make appropriate adjustments to the final findings. The details of the sampling and data analysis is provided in the following sections.

5.4.4 - Sampling

5.4.4.1 – Reliability of samples: A blended research design

Before describing the samples, it is important to address the reliability of choosing the UK and Vietnam for a comparative analysis. Although the rationales for conducting research in the UK and Vietnam have been clarified in Section 5.3.1, this section justifies the validity and reliability of such a comparison. Two different approaches in comparative research are addressed by Durkheim and Weber, namely variable-oriented strategy and case-oriented strategy (Ragin and Zaret, 1983). While the former focuses on finding relations between variables with the aim of generalisation, the latter focuses on achieving in-depth knowledge of cases. Case-oriented strategy often employs a relatively small number of cases in an attempt to understand a complex interpretable whole (Hammersley and Gomm, 2000). The comparison of the UK and Vietnam is designed on a case-based comparative approach. The number of cases and nations involved in the current research is suitable for the purpose of achieving in-depth knowledge of a social phenomenon (SVC through CE) in different social settings. Therefore, a focus on just one country would not enable the current research aim. In addition, a two-nation study also enables the researcher to investigate a large number of contextual and micro variables, which would not be possible in a multinational study (Hantrais, 1999).

In addition, in case-oriented strategy, there are also two different system designs: most-similar system design (MSSD) and most-different system design (MDSD). The former approach compares very similar countries with only few differences and tries to explain why the outcome is different. A stricter application of MSSD compares countries that are similar in a number of characteristic with only one different variable. A looser application of MSSD allows the researcher to choose countries that have similar characteristics but not strictly matched (Anckar, 2008). However, the disadvantage of comparing two similar systems is that it is not possible go beyond the restricted areas (Della Porta, 2008), such as within Europe when making a comparison of the west and the south. Meanwhile, MDSD approach compares very different countries with similar outcomes (Della Porta, 2008). MDSD can go beyond the restricted areas, allowing one to check whether a certain social phenomenon holds true in whatever context. If countries are selected because they differ from each other in terms of a particular phenomenon, the aim is to explain these differences and explore whether any common causal factors exist despite the diversity (Hantrais, 1999).

In the current research, Vietnam and the UK are different in most aspects but still share a similar PSD path towards community collaboration. By comparing the two countries, the current research aims to explain a common phenomenon (community engagement), in order to identify common mechanisms (as the aim is to build a transferable framework for SVC through CE in PSD) not in specific circumstances. However, as discussed in Section 5.4.1, the framework does not claim a universal applicability, but rather an expression of the relationship between contexts and CE and SVC in PSD and should be justified in different contexts. Furthermore, as a grounded theory research, the research did not start with an assumption about the similarity or difference of the research subject (CE), which might emerge between cases. Therefore, while CE in PSD can be considered a common phenomenon between two countries, the subject is not absolutely similar (as one of the research finding in Section 8.3, Chapter Eight). Meanwhile, the selection of cases in each country was based on a loose application of MSSD with basic similar background characteristics while remaining a certain degree of difference among those variables (as shown in Section 5.4.4.3). Therefore, while the two countries are mostly different (MDS), the cases selected are similar in their background characteristic (MSSD). The combination of MDS and MSSD is suitable to explain both similar outcomes (the presence of CE in PSD) and also different outcomes (the effect and efficiency of CE in PSD) between two countries. This approach also allows a multi-level analysis (Anckar, 2008) (see more in Section 5.4.6.1), in which the variables interaction within different system (i.e. social bonds and social interactions in the process of engagement, as discussed in Section 8.3, Chapter Eight) are studied first. If the result is different, the system level is explored (i.e. the contextual factors such as culture, geography that affects the ability and intention to engage, (as discussed in Section 8.4, Chapter Eight). Therefore, a blended research design of MSSD and MDS is believed to be the most suitable for the current research. Further details of the case selection are given in Section 5.4.4.2.

5.4.4.2 – Theoretical sampling

There are many kinds of sampling techniques, and the choice of sampling model for research depends largely on the research questions, objectives and strategies. The two main types of sampling method are probability sampling (including random, systematic and stratified random sampling) and purposive sampling (including theoretical, generic purposive and snowball sampling) (Bryman, 2012). While probability sampling is often utilised within quantitative research, qualitative research often adopts purposive sampling, as it is essential

for the sample to have a selection of units that is relevant to the research questions and aims (Bryman, 2012). The current research seeks to explore SVC through CE in PSD in a specific setting, as delivered by collaboration between the government and third sector. Therefore, the purposive sampling method was adopted. The participants in the qualitative interviews were staff and managers of the TSOs and policymakers in each country, while service users formed the focus groups. The selection of participants for the focus groups avoided excessive homogeneity, but instead strove for heterogeneity, as this encourages different viewpoints to be expressed (Krueger, 1994). Therefore, the selection of service users for the focus group needed to take into account their social and educational backgrounds.

In relation to sample size, there is no single definitive answer relating to what is an acceptable size, as this is dependent on many factors (Morse, 2000; Flick, 2008; Bryman, 2012). Bryman (2012) identifies factors affecting the size of the sample, namely the issue of saturation, minimum requirements for sample size, the theoretical underpinnings, and the heterogeneity of the population. In terms of theory generation, Eisenhardt (1989) suggests four to ten cases is desirable for building theory from case study research. Warren (2002) proposes that the minimum number of interviews for a qualitative study should be between twenty and thirty. In addition, Creswell (2002) states that grounded theory research should be based on fifteen to thirty interviews, while Morse (1994) considers that thirty to fifty interviews are suitable. Therefore, there is no definitive sample size, although there has been discussion on the saturation point derived from Glaser and Strauss's (1967) work on grounded theory. Theoretical saturation refers to a process whereby the researcher continues to sample relevant cases until no new data emerges (Bryman, 2012). Although not all qualitative research is grounded theory-based, this theory implies that sample size in qualitative research is not predetermined. The researcher aims to speak with all relevant stakeholders in each case study, while bearing in mind the suggested sample sizes. However, this does not determine the need for a fixed number of research participants. With regard to focus groups, a suggestion of between six and ten participants for each group has been made to ensure the involvement of participants (Morgan and Krueger, 1998).

As a blended design of MSSD and MDSD, the current research aims to examine a shared (but not the same) social phenomenon in different social contexts, as explained in the previous section. In this case the phenomenon is CE in PSD, in relation to which the opinions, motivation, interaction and relationships between the three main stakeholders (the

community, policymakers and service providers) are explored to understand how CE is conducted and how SVC is achieved in PSD. Therefore, within two different contexts, Vietnam and the UK, the cases chosen can be relatively little different in their organisational forms or types of partnership with the government, as these factors reflect the causal differences between contexts. However, the cases must be similar in some relevant dimensions to ensure their comparability (Gerring, 2001), such as in their profiles (i.e. size and year of establishment, types of service delivered, scope of service delivery, and location of service delivery) and the presence of the researched phenomenon (i.e. the presence of community engagement activities, and the connection and partnership with the government). Several criteria informed the case selection. Each case study was a public service, delivered through the engagement and connection with service providers, government and the community, and possibly by professional service providers (operating in any sector) that have a social mission as one of their core values. More specifically, the case studies in each country needed to include the following six features:

- ***Type of services delivered:*** public services (education, human rights, healthcare, public libraries, security, etc.).

- ***Size of organisation:*** With the differences in the GDP and socio-economic development of the two countries, financial size would be a poor sampling frame for identifying an organisation. Rather, the age of the organisation, the number of employees and the number of beneficiaries are more important to establish how long and how deeply the organisation interacts with its community/beneficiaries. For the current research, the important criteria informing the choice of organisation lay in the period of operation, and the number of employees and beneficiaries engaged, rather than financial capacity. The organisations chosen also needed to be matched for size.

- ***Location of the organisation:*** while no specific location for the organisations was determined, the respective locations (rural/urban, local/national) needed to be matched in the two cases in each country.

- ***Scope of service delivered:*** depending on the location of the organisation, the services could be delivered locally or nationally. However, the current research targeted niche markets in which public services are delivered to disadvantaged groups or poor communities.

- ***Type of stakeholders involved:*** the government, community, and possibly professional service providers that have a core social mission. CE, as discussed, is a process of empowering the community and exchanging mutual benefits and values. Therefore, regardless of the legal form of the organisation, it was more important to seek one that had

social orientation embedded in its mission. The presence of the government was necessary in the operations of the case, regardless of the types of collaboration and partnership.

- **Presence of community engagement:** there are a variety of forms of CE. The community can engage through workshops, meetings, idea exchange, feedback, partnerships with the government or professional service providers, or co-production with the government by contributing labour, time and/or money.

Table 5.3 - Summary of the case criteria

Criterion	Description
Type of service	Public services (education, human rights, healthcare, public libraries, security, etc.)
Size of organisation	Established
Location of organisation	Not specific (rural/urban, local/national)
Scope of service delivered	Locally or nationally; marginalised groups
Type of stakeholders involved	The government, community, and possibly professional service providers that have social missions at their core
Presence of community engagement	Workshops, meetings, idea exchange, feedback, partnering with the government or professional service providers, co-production with the government

5.4.4.3 – Description of the case study organisations

Following the criteria in the theoretical sampling, participants were identified and secured from five organisations, giving two cases in each country (two organisations providing the same service in the same county council were grouped together as one case). In each country, there were two case study organisations, one of which provided community library services, and the other domestic violence support services. The participation of 48 people from three stakeholder groups was involved, with 20 individual interviews with policymakers and service users and five focus groups with service users across the two countries. Besides the matching features according to the criteria for case selection, there were slight differences in the forms of partnerships and relationships between the service providers and the government, and in the forms of the organisations. For example, regarding the domestic violence supporting services, Case 1 in Vietnam is a mass organisation subordinated to the government, while Case 4 in the UK is an independent charity; and regarding library

services, Case 2 in Vietnam is a community group, while Case 3 in the UK are social enterprises, which were previously owned by the government. In addition, the forms of community engagement are variables that helped the current research to explore the influence of the absence or presence of a combination of factors, not of each of them individually (Ragin, 1987; Della Porta, 2008). For instance, the presence of public service contracting-out in the UK in a different form to Vietnam and the presence of the mass organisation form in Vietnam but not in the UK were combined to explain the relationship/engagement between service providers and their community. A detailed description of cases is now presented. Tables 5.4 and 5.5 also summarise similar features (as case selection criteria) and different features of the cases in both countries' delivery of related services.

- ***Case 1 – A domestic violence support service provider in Vietnam***

Case 1 is an organisation that is a unit directly subordinated to the Vietnam Women's Union (VWU), a mass organisation in Vietnam established in 2002. Its main mission is to support the development of the skills and capacities of Vietnamese women by improving their access to education and healthcare services. Specifically, the centre provides a range of services to support female victims of domestic violence (DV), including consultancy services through a hotline and face-to-face consultancy, as well as refuge accommodation and vocational training for women suffering from domestic violence.

Case 1 is supported and funded by the government through the VWU. The support includes all the buildings and facilities that the centre uses and a certain amount of money for each victim that it supports. Besides the support from the government, the centre runs its own hospitality business to create more money for its social activities. With this business income, it can afford to support more women and for a longer duration than the funding from the government would typically allow.

The CE aspect of Case 1 is shown in the centre's wide network and partnerships with different stakeholders in the community. It works with the local women's union, as well as the local police (in order to identify victims and ensure their safety when they return home) and has a wide network using the so-called 'trusted addresses'⁷ model at the local level.

⁷ 'Trusted addresses' are models organised by the VWU, which are private homes that women can go to, managed by the local authority and local women's unions. In this case, they can be considered sub-units of Case 1 at the local level, as both are sponsored and supported by the Women's Union.

Workshops and conferences are also held at both national and local levels to educate the community about women's rights. The centre also works with many social enterprises, NGOs and the community to provide services to its victims. For example, it partners with social enterprises that provide free vocational training to vulnerable people to help female victims access vocational training. The centre is also partnered with a law office to provide free legal consultancy services to female victims of domestic violence.

- ***Case 2 – A community library in Vietnam***

Case 2 is a small community library (CL) that was founded in 1999 by members of the association of the elders in the village. The main mission of the library is to promote reading habits and provide a source of knowledge for the village's residents in the context of the limited provision of library services in rural areas.

It is a community-managed library that is run 100% by unpaid local volunteers. Although there is no formal partnership with the government, the library still receives some support from it. It has two rooms, including the village hall, with associated fees paid for by the local government. Through the network of the National Library and its partners, such as international NGOs and provincial libraries, Case 2 receives annual book exchanges, which contribute to the diversity of the books on offer. However, the support from the government is not yet systematic or adequate.

Case 2 shows strong CE because it encourages people from the community to participate in the library operations through the network of 118 voluntary collaborators. These people not only contribute to the delivery of library services, but also understand most of the needs of the community they live in. Furthermore, the library also has connections with people in local schools to encourage a large number of children to come to the library. This gives the library a stable number of readers, which is more than many libraries at the provincial level.

- ***Case 3 – Community libraries in the UK***

The two organisations in Case 3 are community-led libraries that are entirely run by volunteers. Following the decision of the county council in 2011 that they could no longer afford community library services, public consultations were held to decide the future of library services. In both areas where the two CLs are located, people decided to keep the libraries and a small group of volunteers took charge of running the library services. Therefore, both libraries in their current form were founded in 2012.

Both libraries have a board of directors and a number of volunteers to help run them. Both chose to register as not-for-profit companies with liability limited by guarantee. One of the libraries is also identified as a social enterprise in its development strategy. Both libraries run regular library services with book exchanges, and are restocked from the county council's central library services. In addition, they both have income generation activities from their photocopy machines, and also hold some events through which they raise revenue by charging small fees. However, most of their income is still sourced from grants received from the county council, their respective parish councils, and other donor organisations.

Both libraries in Case 3 demonstrate CE through their community events, their local knowledge and networks, as well as their networks of local volunteers. Case 3 is quite similar to Case 2 in Vietnam in relation to its management (community-managed organisations), their human resources (including volunteers), and their scale of operation (local to the villages). However, the supporting ecosystem and forms of engagement in the two countries make the cases different.

- ***Case 4 – A domestic violence support service provider in the UK***

Case 4 is a charitable organisation working in the field of domestic violence support services. It has been running a refuge house for over 35 years; its mission is to help women and families suffering from domestic violence. They undertake a range of activities, from raising awareness of domestic violence, running a women's and family's refuge house, to training professionals. Furthermore, Case 4 provides programmes that help women to recover after suffering from acts of violence, so as to ensure that they can progress and live independently after they leave the refuge house.

It is an independent organisation, with funding from a variety of sources, in which the funds provided by central government and the county council play a significant role. However, due to austerity, Case 4 is currently not receiving funds from either the government or the county council. It is important to investigate how the organisation works with the government and how it obtains support from it. It demonstrates its CE aspects through its programmes that focus on community demand, and its service users' forum that aims to gain feedback from its beneficiaries. The activities and programs designed by Case 4 concentrate on empowering the community and engaging the service users in social interactions. It is comparable to Case 1 in

Vietnam in relation to its organisational size, age, social mission, and the services provided. Although there are differences in the sources of funding received by the two organisations (Case 1 is government funded; Case 4 is not), this does not affect the exploration of the CE aspects of both cases and a comparison between the two.

Table 5.4. Common features of the cases

Feature	Description	
	<i>Vietnamese cases</i>	<i>UK cases</i>
Domestic violence services (Cases 1 & 4)		
Type of services	Domestic violence supporting services and refuge house	Domestic violence supporting services and Refuge House
Size of organisation	Established for 17 years	Established for 35 years
Location of the organisation	City	City
Scope of services delivered	Countrywide	Countrywide
Type of stakeholders involved	Government, community, service provider	Government, community, service provider
Presence of community engagement	Yes	Yes
Library services (Cases 2 Case 4)		
Type of services	Community Library	Community Library
Size of organisation	Established for 20 years	Established for 7 years, but formally run by the government
Location of the organisation	Village	Village
Scope of services delivered	Within the village	Within the village
Type of stakeholders involved	Government (mainly local government, though not systematic support), community (volunteers and users), service provider	Government (both finance and management), community (volunteers and users), service provider
Presence of community engagement	Yes (community-based library, wide range of volunteers)	Yes (community-based library, volunteers, workshops)

Table 5.5. Different features of the cases

Feature	Description	
	<i>Vietnamese cases</i>	<i>UK cases</i>
Domestic violence services (Cases 1 & 4)		
Organisational forms	Subordinated unit of a mass organisation	Charitable organisation
Partnership with the government	Funded and politically controlled by the government	Funded by contract but not managed by the government
Forms of community engagement	Service users' feedback and involvement, community events, wide and close network with the local community through the model of 'trusted addresses'	Service users' forum, volunteers, community events
Library service (Case 2 & Case 4)		
Organisational forms	Community groups formally established by local level mass organisations	Not-for-profit companies (but run by voluntary community groups)
Partnership with the government	Mainly supported by the local government (village level, similar to parish council in the UK), though no systematic support from the government.	Partially financially and managerially supported by all government levels, especially parish and county councils; still in the county council's library system
Forms of community engagement	Community-based library, wide range of volunteers (more than 100 people)	Community-based library, volunteers, workshops, community events

5.4.4.4 – Description of the participants

The current research involved the participation of 48 participants from three stakeholders in both countries; the number of participants per group of stakeholders and per case is presented

in Table 5.5. The details of each participant’s role and their anonymous coded number can be found in Appendices 6.1, 6.3, 7.1 and 7.3

Table 5.6 - Number of participants

Number of participants		Service providers	Policymakers			Service users
			Commune/village level	Provincial/county level	National level	
Vietnam	Case 1	3	0	2	2	7
	Case 2	1	1	1	1	5
UK	Case 3	3	2	1	0	9
	Case 4	2	0	1	0	7

5.4.5 - Qualitative research methods

The main qualitative research methods used are semi-structured interviews and focus groups. Patton (2015) states that humans have the capacity to assign meaning to things. He posits that qualitative research contributes to interpreting “the meaning-making process”, captures people’s perspectives, identifies unanticipated results and understands the context (Patton, 2015, pp.1-13). Qualitative research is especially helpful in making case comparisons to reveal important factors and themes that are undiscovered and maybe unanticipated (Patton, 2015). The richness of qualitative data is argued to focus on natural settings, to reflect ‘real life’, and to reveal the complexity that exists in a real context (Miles *et al.*, 2014). Qualitative data, therefore, assists the interpretation of the opinions and perspectives of stakeholders in the two countries concerned, providing insight into SVC in PSD, and the exploration of under-researched patterns that affect SVC in PSD, from which policy implications are revealed.

5.4.5.1 - Semi-structured interviews

In qualitative research, unstructured and semi-structured interviews are the two main types of interview. Unlike structured interviews, unstructured and semi-structured ones allow the researcher flexibility to capture unanticipated information emerging during the conversations with interviewees and encourage rich and detailed answers (Bryman, 2012). In this case, the interview data were then coded using GTM and processed in order to produce units of analysis, categories and themes that reflected participants’ real lives. Using semi-structured

interviews, the researcher explored the opinions of the managers of public service providers in terms of motivations, barriers, mechanisms and methods for CE and SVC. The interviews with policymakers also helped to explore why and how policies have been implemented and why policies do or do not work. More structured interviews, which are designed to maximise the validity of the measurement of concepts, may not provide the opportunity to collect a broader spectrum of data (Bryman, 2012). Instead, in-depth semi-structured interviews provided rich information that helped the researcher construct themes, concepts and theories. The content of the prepared questions for the semi-structured interviews with the managers of service providers was informed by the following concepts:

- History of the organisation
- Aims and values of the organisation and the public service projects
- Funding structure of the project
- Role of stakeholders (the government, the third sector and the community) involved in service provision
- Awareness of, and current attempts at, CE
- Motivation and barriers to CE in PSD
- Methods of engaging the community in PSD
- Role of contemporary policies in encouraging public participation in PSD
- Contemporary economic, cultural and political environments
- Outcome of CE and public service delivered
- Policies needed to improve CE in PSD

However, there are certain challenges in conducting semi-structured interviews that require the researcher to be well-prepared before doing any fieldwork. First, the interviewer effect might exist; for instance, the appearance or opinion of the interviewer during open-ended questions may have a certain influence on the interviewees' responses (McIntosh and Morse, 2015). Researchers, therefore, must avoid leading behaviour or over-expressing their thoughts on the discussed topic. Another issue with less structured interviews, especially with vulnerable groups or during the discussion of sensitive topics, is that the interviewees may become distressed or emotional, and be reluctant to provide 'truthful'⁸ answers (Ashton, 2014). Interviews with vulnerable groups also may cause the interviewer to be overly empathetic with the interviewees. However, it is important for the researcher to keep an

⁸ That is, their perception of the truth from their own socially-constructed perspective.

“empathetic distance” (Valentine, 2007), which requires a balance between empathy and neutrality. It is important for the researcher to listen, observe, take note and calm down the interviewees when they become distressed or emotional, but not to become too involved in their stories and answers. With regard to sensitive topics, a neutral question such as: “can you tell me how...” instead of “why” or “what” questions help to improve the likelihood of a full answer (McIntosh and Morse, 2015). Furthermore, although semi-structured interviews can provide a large amount of information, it can be harder to synthesise and analyse this. Face-to-face interviews are more expensive in terms of time and money than conducting this type of interview by phone or email, but phone and email interviews reduce the level of engagement with participants and the observations made by the researcher. Face to face interviews; however, provide the researcher with opportunities to discuss, explore and observe the participants more deeply. A detailed summary of the interview schedules with policymakers and service providers is provided in Appendices 5.1 and 5.2.

5.4.5.2 - Focus groups

The focus group technique is a method of interviewing that involves more than one participant, as opposed to interviews that often occur on a one-to-one basis. There is a blurred boundary between focus groups and group interviews, as they both contain an element of qualitative interviewing. However, the focus group method is more focused than group interviews, as it focuses on a specific theme or topic to be explored in-depth (Bryman, 2012). Furthermore, the focus group method is used when the researcher wants to engage with individuals as members of a larger social group and to explore their opinions and interactions within a group (Massey, 2011). In relation to the current research, the aim is to reveal the opinion of community service users in terms of their involvement in PSD and the impact of the service(s) delivered to them. Focus groups are extremely helpful, as they allow the researcher to observe how the individuals within a community interact with each other, how different and common their ideas are, and how they debate and share thoughts around the topic. The process is preferable to one-to-one interviews, as the participants are representing a community as a whole. Furthermore, focus groups can reveal unexpected aspects of social phenomena, as the interaction between participants in groups allows them to reflect on their own opinions/perceptions and to have a chance to modify, support or come up with new ideas about what other participants have said (Morgan and Spanish, 1984; Morrison, 1998). The group as a source of information, and the interaction emerging during the discussion, are the two key characteristics that differentiate focus groups from other methods (Acocella, 2012).

The focus groups with service users in this study were useful in encouraging them to discuss, debate and exchange ideas among the group. The interaction among service users during the discussion was an important source of information for identifying community perspectives that would be hard to capture with one-to-one interviews. The following concepts informed the questions asked during the focus group sessions:

- Perception and opinion of the community with regard to their engagement in PSD
- Satisfaction with the quality of service delivery
- Motivation and barriers to participating in PSD
- Well-being when engaged in service delivery
- Impacts and changes in the service delivered to them
- Future policy needs.

However, there are also four main limitations and challenges in using focus groups that should be acknowledged. As the moderator of the discussion, it is important for the researcher to clarify the topic and the goal of the meeting so that the participants can identify themselves as a group and not just as individuals (Acocella, 2012). This is important in order to avoid any imbalance, with some overly prominent participants affecting the others' opinions, as the main goal of focus groups is to reveal the collective dimension of opinion (Krueger, 1994). There is also a risk of the speed of interaction among participants. Discussion can be minimal when participants resist interacting and are not comfortable with debating. The discussion can also be too wide-ranging, which may take the topic in another irrelevant direction (Acocella, 2012). Whilst the interviewees should be allowed the freedom to express their perceptions, the researcher must also always continually specify the current research topic to the participants. While focus groups can provide a huge amount of information (Bryman, 2012), the information can create semantic dispersion (Marradi, 1984). This requires the researcher to clarify the terms used and ask the participants to explain their meaning. In short, there is the potential to collect a huge amount of information, which can present difficulties in analysis that can be perceived as a limitation and challenge for the employment of focus groups in research. A detailed summary of the interview schedules with policymakers and service providers is provided in Appendix 5.3.

5.4.5.3 - Data collection process

Regarding the interviews and focus groups, the researcher ensured that all the terms and questions were grounded in the literature and explained clearly so that the interviewees could

easily understand them. This is important, as SVC, PSD and CE are all social constructs that are culturally understood (as discussed in previous chapters). Therefore, each country can have a different understanding of the concept. This clarity is also very important for the individuals in the focus groups, who are representing their community, and who may not always be educated to a high level. For example, the question around how the community is engaged in PSD required an explanation of the levels and forms of engagement (see Figures 4.6 and 4.7, Chapter Four).

The researcher was also aware of the cultural differences when conducting the interviews. In a less politically open environment such as Vietnam, maintaining good relationships with the participants is vital, as it can affect the atmosphere, and the willingness and openness of the interviewees towards the researcher (Suh *et al.*, 2009; Nguyen, 2015). It is better to build relationships with participants through face-to-face meetings in Asian cultures such as Vietnam than through emails or phone calls, as may be the case in Western culture (Vu and Napier, 2000). Nguyen (2015) contends that when conducting interviews in Vietnam, the researcher should be a cultural insider in order to gain trust and to better understand the cultural norms of behaviour. Therefore, the researcher built good relationships with the participants before conducting the interviews through networking, introductions through acquaintances and other less formal communication channels such as social networks. Another aspect of the difference in culture is that Vietnamese people may often provide “half-hearted” responses (Nguyen, 2015, p.42), as they tend to give brief answers, and do not feel the need to elaborate on their responses. Therefore, the researcher specified the contexts of the questions, and gave examples that related them to their living or working context so that they could have a concrete picture of what they should express (Nguyen, 2015).

During the interviews, unlike in Western culture, eye contact was minimised to an appropriate degree. In Western culture, it is a normal routine that before interviews are conducted an overview of the current research is provided for the interviewees to read. Research participants are also provided with participation consent forms to sign. In situations where interviewees are unable to read, other methods more suitable for them need to be used, such as spoken explanations. However, in Vietnamese behavioural culture, people often rely more on trust-based commitment and are not familiar with Western-style research. Therefore, ethical paperwork such as consent forms, and the guarantee of confidentiality, may make

participants less open by over-formalising the interview process (Nguyen, 2015). The researcher however, still presented the ethical paperwork to all the participants as a compulsory requirement, but through a less formal approach. It was clarified that this was just a part of the normal research routine and ensured that the participants understood the research, their right to withdraw, and the confidentiality and anonymity of the data they provided. In fact, the researcher visited the organisation several times before conducting the interviews in order to build up trust and enhance communication with the organisations. All the interviews and focus groups were digitally recorded so that full transcripts could be made, which allowed for a more detailed textual analysis of the data. In the case of Vietnam, it was possible that some participants were not familiar with the recording of interviews. Explanation and clarification of the reasons for doing so, and guarantees of the confidentiality and anonymity of participation, were therefore stressed. If the interviewees insisted on not being recorded, then the researcher made detailed notes and observations during the interview so as not to discourage participation (see Section 5.5 for detailed discussion related to ethical considerations).

5.4.6 - Qualitative data analysis

5.4.6.1 – Levels and units of analysis.

Another important aspect of case study research is identification of the units and levels of analysis. These two concepts have often been used interchangeably since the work of Singer (1971) which discussed the level of analysis in international relations. Regarding levels of analysis, Singer (1968) summarised three main levels: the decision-maker level (individual); the national level; and the systematic/global level. He defined levels of analysis as “a vertical axis from single individual to global system at which one’s objects of analysis are to be found” (Singer, 1971, p.16). In social science, Blalock (1979) also identifies three main levels of analysis into which research may fall: the micro-level (which often refers to individuals or small groups of people in a particular setting); the meso- or middle-range level (which refers to a population size that is between the micro- and macro-levels, which often refers to communities and organisations, and can be used to reveal connections between micro- and macro-levels); and the macro-level (which often traces the outcomes of interactions in a large population, such as societies, civilisations or nations). Overall, Singer and Blalock both classify levels of analysis by the scope or the extent of the context in which the analysis is made. However, Yudursev (1993) argues that Singer does not distinguish between levels and units of analysis, as they imply two different aspects of the

methodological design of research. Yudursev contends that levels of analysis answer the question of the context at which we examine the current research subject while units of analysis answer the question of who the major actors of the subject at that level of analysis are. She proposes three different levels of analysis: the philosophical (the most abstract); the theoretical (the less abstract); and the practical (the least abstract level). She also suggests three types of unit of analysis, namely the single/individual, the collective/societal, and the universal/all-inclusive. While agreeing with Yudursev that units and levels of analysis need to be separated, her proposed levels of analysis do not closely match her definitions of the terms. By classifying levels of analysis based on their degree of abstraction, this refers to the depth and content of the analysis rather than its contextual layers. Furthermore, a unit of analysis is defined as “the level of the aggregation of data collected during the subsequent data analysis stage” (Sekaran, 2003, p.132). A unit of analysis can refer to individuals, dyads, groups, organisations, nations or interactions (Sekaran, 2003). Therefore, while levels and units of analysis can be separated, they are also interlinked concepts. If the level of analysis is the micro (individual), the units of analysis can also be individual, but can also refer to characteristics of other actors or interactions at the individual level, such as background, qualifications and orientation, so there can be sub-units within a unit (Yudursev, 1993).

The current research considers CE in PSD in each country separately and in comparison. The current research subject (CE in PSD) is put in the context of the social and cultural environment; organisational structure and characteristics (collaboration of the government and the third sector); and the policies implemented in each country. Analysis is conducted at the micro- (individual) level (service providers and government officers) and on groups of individuals (the community and service users) to understand their opinions, interaction and relationships in PSD. It is also conducted at the meso-level by observing the organisation (such as interaction, communication within the organisation, organisational forms and relationship with government, and management system). Moreover, analysis is also conducted at the macro-level by examining the contextual factors in order to explain the results of the analysis of individuals’ opinions and relationships and to make connections between the two country contexts. It is also important to note that the UK and Vietnam in the current research are both the *contexts* of the study and its *objects*, or *units of analysis*, as classified by Kohn (1987). This means that the Vietnamese and UK contexts are compared to understand how social institutions (service providers, government agencies, community groups) operate and how some aspects of social structures can affect personality (such as how

social bonds affect the willingness to engage) in each country (Kohn, 1987).

In terms of the units of analysis, a holistic (single) unit of analysis would not allow the researcher to examine other sub-units of analysis such as context and organisation. Therefore, an embedded multiple-case approach was more appropriate for the current research. The main units of research are CE in PSD among the three main stakeholder groups (the community, policymakers and service providers) in each country, situated within the wider context of society, culture, economics and politics. Analysis was conducted between units (compared and contrasted) and across all the units of analysis (cross-case analysis) (Baxter and Jack, 2008) in order to reveal the hidden mechanisms of SVC in relation to CE and the policies supporting them.

5.4.6.2 - Analysis tools for the interviews and focus groups

The current research employed 'coding' and the constant comparison method (CCM) as the main tools to analyse the data used in GTM (Strauss and Corbin, 1990). Grounded theory analysis includes three stages of coding: open coding, axial coding, and selective coding (Bryman, 2012). Open coding is a process of grouping data into themes and categorising them. In this step, themes are coded with a vague understanding of the connections between them, which are later grouped into categories when the researcher has a clearer understanding of the data. Axial coding is a search for connections between categories. Strauss and Corbin (1990) suggest that the researcher should look at the previous conditions, interaction among the subjects, tactics, consequences and strategies in order to establish the relationships between the coded categories. Selective coding is a process of selecting core categories and relating them systematically to other categories. These core categories ultimately become the basis for grounded theory (Babchuk, 1996). Data collection stops when a point of saturation is reached and when no new information is emerging (Strauss and Corbin, 1990). This approach is appropriate for the current research, as it allows for comparison between cases and for an explanation of the relationships between the themes and categories. This helped to identify concepts and theories in order to explain how different mechanisms of SVCs are perceived in each country and if there are transferable policies for SVC in PSD.

This process of coding was followed by the Constant Comparative Method (CCM) to adjust the categories and concepts of the cases (Lincoln and Guba, 1991). Glaser and Strauss (1967, p.105) describe CCM in four stages: (1) comparing incidents applicable to each category; (2)

integrating categories and their properties; (3) delimiting the theory; and (4) writing the theory. They emphasise that when coding an incident for a category, one must always compare it with previous incidents in the same or different groups in the same categories to reveal its relationships to other categories. After comparing incidents, the researcher compared them with the property of the categories resulting from the initial comparison. Finally, modification was made to remove irrelevant properties so that the theory could be formed with a smaller set of concepts. CCM was suitable for the current research as it does not merely involve a triangulation process, with comparison between the different groups of people interviewed, but more importantly it allows comparison of the two countries. By constantly comparing incidents and categories among people within a country, and between the two countries, causal factors were revealed to explain the mechanism of SVC through CE in the two places.

5.4.6.3 - Analysis of cross-cultural research

Along with the challenges of data collection in cross-cultural research, there are also a number of issues relating to data analysis in different cultures that need to be addressed. Relevance theory (Sperber and Wilson, 1986) claims that human communication is intentional and that a speaker does not only convey information but also his or her intention behind that information. Communication is a cognitive process that is relevance-oriented as “we pay attention to information that seems relevant to us” (Wilson, 1994, p.45). Context plays an important role in generating interpretation as it is a part of the “cognitive environment of an individual” that affects his or her knowledge of the world (Sperber and Wilson, 1995, p.39). This theory holds true within the critical realist stance of the current research, which considers reality to be independent but our knowledge of it, socially constructed. This means that culture background has a direct impact on the cognitive environment of individuals, so subsequently on their interpretation of meaning. Therefore, it is important to explore and understand the cultural or contextual drivers behind the meaning expressed by the participants. It is also important for the researcher to self-reflect, as her interpretation of meaning might be affected by her cultural background.

A major issue in cross-cultural studies is equivalence or bias, including functional equivalence, conceptual equivalence, metric equivalence, and linguistic/translation equivalence (Ilesanmi, 2009; Clark, 2012). Functional equivalence means that a behavioural phenomenon implies the same purposes or meanings in different cultures (Ilesanmi, 2009).

However, body language or expression may imply different cultural meanings and concepts that the researcher should be aware of to avoid inappropriate behaviour during the interviews or misunderstanding of the interviewees' behavioural response (Matsumoto, 2001). Conceptual equivalence refers to the meanings associated with similar concepts across cultures (Ilesanmi, 2009). Indeed, a common problem faced by cross-cultural researchers relates to their inadequate knowledge of contexts, and therefore the meaning of concepts in different contexts (Hantrais and Mangen, 1996). Thus, the researcher must ensure conceptual equivalence during the analysis of data. In relation to the current research, the issue is particularly important as the aim is to explore the mechanism of SVC, given the cultural relativism of the two countries. The expression and understanding of concepts by participants in both countries are important sources, which reveal underlying factors in SVC. However, the researcher also needed to provide clarification of complex terms in both countries, such as CE, public services and SVs.

Metric equivalence refers to the numerical scales that are used to measure a concept equally; for example, IQ or GDP. Linguistic/translation equivalence requires researchers to understand interviewees' responses correctly in their cultural settings; for example, idiographic terms or words that are unique to a culture (De Mendoza, 2008). Linguistics and translation can be problematic for a non-native speaker, as was the case in the current research when interviews were conducted in the UK, as it is possible to misunderstand participants' responses. This could lead to inaccuracies in analysis, as the researcher may simplify or complicate participants' answers through their own culturally relativistic interpretations. Ilesanmi (2009) suggests that a solution to the issue of equivalence, especially linguistic equivalence, is to use a back translator, who can communicate well in both languages and interpret conceptual and cultural differences. With regard to the current research, it was an advantage that the researcher was capable of communicating fluently in both English and Vietnamese (as her mother tongue). However, as a foreigner and in relation to the interviews in the UK, it was necessary to conduct cross-checks with a native-speaker when transcribing and interpreting the interviews. Discussion with supervisors was also important to ensure correct understanding and interpretation. Similarly, the translation of data in Vietnamese into English also needed to be cross-checked by a second translator to ensure the equivalence of language. In addition, by the time the fieldwork had begun in the UK, the researcher had been living in the country for over two years, which ensured a certain degree of cultural embeddedness from this experience.

Another common issue with cross-cultural research is cultural effects. Berry (1999) considers imposed etic⁹ as an issue in cross-cultural research, as different thinking models and cultural belief systems have important effects on how to interpret responses from participants. There are also social norms and habits that researchers need to be aware of. For example, in some Asian cultures, self-censorship is common and people, especially women, do not freely give their opinions in groups, whilst people from Western cultures are often more comfortable with group discussion. In this case, the differences in culture were minimised by close cooperation between the researcher and the translator (when needed), the researcher's cultural embeddedness in both contexts, and her awareness of the issues faced by foreign researchers in cross-cultural research. Before undertaking the interviews, it was important for the researcher to fully understand normative social etiquette regarding behaviour and communication in both countries to minimise mistakes. There are also important cross-cultural factors to consider in relation to the ethical context of the research, which is discussed in the following section. Table 5.7 summarises the key issues in cross-cultural research and the strategies to overcome these.

Table 5.7 - Key issues in cross-cultural research and strategies to overcome these issues

Key issue	Strategies to overcome cross-cultural issues
Functional equivalence	Being aware of body language and expression to avoid inappropriate behaviours during the interviews or misunderstanding of interviewees' behavioural response.
Conceptual equivalence	Giving clarifications of complex terms to participants; asking them to explain what they mean by the concepts they are describing.
Metric equivalence	Making sure to use one measurement of each concept in a study.
Linguistic/translation equivalence	Using a back translator; conducting cross-checks with a native-speaker when transcribing and interpreting; discussing with supervisors.
Cultural effects	Cooperation between the researcher and the

⁹ Imposed etic occurs when a cultural ideal is wrongly imposed on another culture.

Key issue	Strategies to overcome cross-cultural issues
	translator (when needed); being culturally embedded in both contexts; being aware of the issues faced before undertaking the fieldwork.

Source: Adapted from De Mendoza (2008) and Ilesanmi (2009)

5.5 - Ethical considerations

This section discusses the ethical issues relating to the research. These include confidentiality and anonymity, protection from harm, and informed consent. The research plan, proposed methods and ethical protocol were approved by the University of Northampton’s Committee before the researcher conducted the fieldwork. The full ethical protocol is provided in Appendix 1. First, in terms of confidentiality and anonymity, the researcher acknowledged the confidentiality and privacy of participants’ information and identity throughout the study (Green and Thorogood, 2009). It was acknowledged that the two countries had different political systems and different cultures, which might affect the perception of confidentiality and sensitivity of the information. For example, the interviews with policymakers in Vietnam were not easy, as some of them did not want their identity to be revealed. Similarly, some service users belonged to a vulnerable group, and individuals in that group hesitated to reveal their thoughts. Therefore, the researcher had to ensure participants’ and organisations’ anonymities were protected throughout the study, from data collection, analysis and writing up, to the dissemination of the research. This was done by including a reference number on the consent form and replacing participants’ and organisations’ names. All the data were stored on the researcher’s computer and another backup portable hard drive, with password protected files for both. All the data collected were subject to the Data Protection Act (UK Parliament, 1998) and the General Data Protection Regulation 2018 (GDPR). The researcher also followed the University of Northampton’s Code of Practice for Research Ethics to ensure the confidentiality and anonymity of the research.

With regard to protection from harm for the participants, as mentioned above, the researcher was aware of the sensitivity of the policy topic, which might cause some participants to be uncomfortable and to adjust their responses accordingly. There was also a potential power imbalance between the researcher and the participants that needed to be tackled. Many authors contend that the balance needed between researchers and participants is a researcher-

participant coproduction of knowledge (Wolf, 1996; Gergen and Gergen, 2000). Indeed, power balance means both parties must feel significant levels of involvement: participants must feel engaged because the topic is related to their personal experience, and researchers must also feel involved because of their in-depth immersion in the experience of others (Karnieli-Miller *et al.*, 2009). However, while building a good relationship with the participants, the researcher also needed to maintain a distance in order to allow professional judgment (Torres and Baxter Magolda, 2002). Therefore, the power imbalance must ensure that the researcher is a neutral observer who objectively explores human/social phenomena (Reason, 1994).

When approaching participants, it is important for the researcher to build a good relationship with them and choose a suitable way of introducing the research. At this stage, the power balance means reasonable negotiation between the researcher and the participants regarding the information to be provided (Bravo-Moreno, 2003). Researchers can use their power to persuade the participants by providing them with a clear explanation and information about the current research and their participation. However, it is crucial to avoid making participants feel an obligation to take part (Karnieli-Miller *et al.*, 2009). For example, the victims of domestic violence and the library users in both countries were introduced to the researcher by the service providers. Therefore, the researcher tried to let them think that they were not there because they had to be (because of the introduction by the service providers).

The researcher started the interviews by showing great appreciation for the participants' participation and clearly explained the current research objectives, emphasising the voluntary and confidential nature of the participation. This approach helped to reduce the hierarchical power distribution between the interviewer (asking the questions) and interviewees (answering the questions) by underlining the role of the participants as a co-producers of knowledge (Whitmore, 1994). However, during interviews, while showing informed consent can enrich the data and increase participation, it also can accentuate participants' vulnerability or distress (Krayner, 2003). For example, a government officer in a domestic violence case in Vietnam showed his concern about the recording and the potential revealing of his identity after reading the consent form. However, the researcher gradually convinced him by ensuring him about confidentiality and the purpose of recording being solely for transcription purposes. This process was also based on the mutual trust that was developed during the data collection, when the researcher travelled to meet and get acquainted with the

participants before returning at later dates to conduct the interviews. All the other participants felt comfortable with the informed consent. Moreover, they were also encouraged to ask any questions in relation to any aspect that they did not understand. The Participation Information Sheet provided a summary of the current research and information about the researcher, the benefits and risk of participation, the participation rights, the security of the information collected, and the use of the current research results. A full Participation Information Sheet is provided in Appendix 3.

Before the interviews, a consent form was given to each participant to inform them about what would be involved (Hansen, 2006). This is provided in Appendix 2. The form covers the following information: description of the research; what happens to the participants' private information; confidentiality and anonymity; voluntary participation without any coercion; the right to withdraw at any time; the researcher's contact details; and instructions if there is a complaint (Thomas, 2011). A consent form should ensure four elements: competence (the participants must be capable of understanding the facts about the research); disclosure (the researcher must tell the participants what they need to know about the research); understanding (the participants must understand what the researcher tells them); and voluntariness (the participants' decision to take part in the current research must be voluntary) (Emanuel *et al.*, 2011). The consent form for this study included space for both the researcher's and the interviewees' signatures and all were able to retain a copy.

5.6 - Reflexivity in the current research process

Reflexivity is a process of critical self-reflection that researchers must undertake in order to obtain an objective position regarding the quality of the research and to be aware of the implicit and explicit constructs that have an influence on the research process (Guba and Lincoln, 2005). Thus, reflexivity is very important in the research process. The current research was conducted in two countries, Vietnam and the UK, with Vietnam being the home country of the researcher. It must therefore be acknowledged that there was a potential for bias because the researcher might have the tendency to know more about her home country. This feature can also affect the analysis and evaluation of documentary and interview data, to the extent that the findings could be based more on the knowledge of the researcher, rather than the text and words resulting from the data collection. Therefore, the researcher had to be reflexive when coding the data, and needed to cross-check and hold discussions with the supervisory team to reduce analytical bias. In addition, in the case of interviewing vulnerable

groups, the researcher may have felt overly empathetic with the interviewees' stories, which would affect the discussion and interview questions. The researcher was aware of her position during the interviews and needed to balance her own knowledge to avoid being (or being perceived to be) "overly self-absorbed" (Holloway and Biley, 2011, p.968). In fact, during her interviews with the victims of domestic violence, the interviewees in both countries sometimes resorted to telling their life story and veered away from the topic. The researcher always had to be aware of her purpose and attempt to return the interviewees back to the questions and topic focus by asking questions to stop them going off topic and also to prevent the researcher from participating in their off-topic stories.

Another important aspect in research reflexivity is the positionality of the researcher and its influence on the research process. Positionality reflects the position that the researcher chooses to adopt in a research study (Savin-Baden and Major, 2013). Reflexivity requires explicit self-acknowledgement by researchers to locate their views, values and beliefs, which might have an influence on the design, execution and interpretation of the research data (Greenbank, 2003; Foote and Bartell, 2011). There are three primary ways for researchers to locate their positionality: locating themselves in relation to the subject; locating themselves in relation to the participants; and locating themselves in relation to the research contexts and process (Savin-Baden and Major, 2013). Researchers must acknowledge their backgrounds (such as gender, culture, political orientation or class) as the research context may have the potential to influence the research and the way the researcher and participants construct their identities. There are two main positions that researchers often consider adopting, either as insider or outsider. The insider is someone who is familiar with the research participants because of their background or knowledge of that group, while the outsider is a person who has less intimate knowledge of the group he or she is researching (Griffith, 1998). There are both advantages and disadvantages to each position. Insiders have the ability to understand the experience of those inside the culture, while outsiders are able to avoid bias (Kusow, 2003). However, many authors claim that there may be no clear dichotomy between the two positions and that the position of the researcher is never fixed, since as the research progresses, the researcher constantly moves back and forth, depending on the time, location and topic, and on the participants themselves (Mercer, 2007). For example, as time progresses and more contact and discussion are made, familiarity increases, and with it the ability of the researcher to be perceived as an insider. In this case, research was conducted in two different cultures; the researcher could be considered an insider in the Vietnamese

context, as this was her home country, while being considered an outsider in the UK context. However, it was important for the researcher to constantly reflect on her positionality during the process of data collection, analysis and interpretation in both countries.

As an insider who understands Vietnamese culture, norms and values better than those of the UK, the researcher did not underestimate the potentially inaccurate assumptions she might make when communicating and interpreting the data. Indeed, during the interviews, the researcher did experience some moments where she foresaw what the interviewees would say. However, even if her forecasts were true, she never mentioned it or jumped to any conclusions, but rather let them speak and then re-confirmed her understanding by asking questions. For example, when the interviewees in both Vietnamese cases mentioned that the organisation of activities at local levels was focusing too much on reputation, and that people paid more attention to awards rather than the real efficiency of the services, the researcher understood what they meant because of her immersion in Vietnamese culture. The researcher tried not to jump into the conversations by showing agreement or disagreement in order to avoid bias. In contrast, although there was a cultural gap when undertaking the fieldwork in the UK, the researcher constantly confirmed the ideas and interpretations with the current research participants. For example, when the domestic violence victims mentioned some discomfort relating to privacy control when staying in the refuge house, being an outsider of British culture, this was a surprise for the researcher as this was not considered a major issue in Vietnamese culture and was not reflected in the Vietnamese cases. By asking questions for further explanation, the researcher could link these to the culture of individualism (as discussed in Section 8.3, Chapter Eight). Therefore, whether as an outsider or insider, it is crucial for researchers to constantly reflect on themselves by asking questions and reconfirming ideas with participants to avoid researcher bias in understanding and during analysis. In this case, the researcher also clearly presented her motivation for conducting the current research to the participants, with the result that their understanding, trust and familiarity were increased.

Furthermore, because SV and CE are still vague concepts that not everybody, including policymakers, are fully cognisant of, the deep understanding of the field by the researcher might affect the interviewees' opinions if she tried to express her thoughts. Therefore, the researcher always checked her understanding of what interviewees were saying by asking and confirming with them what they meant (Engward and Davis, 2015). This potential for bias

was acknowledged by the researcher during the data collection process, data analysis, interpretation and writing up in order not to let her own perceptions affect the interviewees and her own knowledge affect the data and analysis balance.

5.7 - Summary

This chapter has discussed the current research methodology in terms of its philosophical standpoint, research aims and questions, methodological strategies with the current research methods for data collection and analysis, ethical considerations, and reflexivity of the research process. The current research aimed to explore how CE affects SVC in the UK and Vietnam and to examine the potential for creating a transferable policy framework for both countries. It was decided that critical realism as a philosophical approach best facilitated the achievement of the research aims and answering of the research questions, allowing the researcher to consider the areas of research as social constructs affected by contextual factors. This philosophical standpoint also fostered the inductively qualitative research methodology as an appropriate approach (Bryman, 2012).

The current research adopted a blended approach of the grounded theory method, combined with a case study approach. The choice of the grounded theory approach to case study research allowed the researcher to provide an in-depth exploration of the phenomenon. Cases were chosen in each country based on the purposive sampling method; the cases involved a public service delivered in partnership with the third sector and the government to a targeted service user group. The research tools used for the current research were semi-structured interviews and focus groups. Semi-structured interviews were conducted with managers of service providers (the third sector) and policymakers in both countries in order to explore the attempt to engage the community in PSD, the motivation and barriers for doing so, and the current policies implemented to support such activity. Focus groups were conducted with service users to explore the outcome and impact of the services delivered to them. These research tools helped the researcher to compare and contrast the efficiency and mechanisms of CE in PSD with regard to SVC. Final findings were drawn from the common themes that emerged during the analysis, which might form theories or concepts to explain and explore the policies for SVC in PSD. Table 5.7 below provides a summary of the methodological approach to the research.

Table 5.7 - Methodological overview

Methodological aspect	Approaches
Philosophical standpoint	Critical realism
Methodology	Qualitative research
Research approach	Integrated grounded theory method and comparative case study
Research aims	<ul style="list-style-type: none"> • To identify how CE in PSD affects SVC in the UK and Vietnam • To identify transferable policies that target SVC in PSD from advanced countries (the UK) to developing countries (Vietnam)
Qualitative research tools	<ul style="list-style-type: none"> • Semi-structured interviews • Focus groups
Sample	<ul style="list-style-type: none"> • Frame = 4 cases • Interview size = 5+ individual interviews per case; 1+ focus group per case • Number of participants = 48 participants • Focus group size = 5-10 participants per group

Chapter 6 - Case Study of Vietnam: analysis and results

6.1 - Introduction

This chapter reports the analysis of the data collected from both cases in Vietnam, the subordinated organisations of the Vietnam Women's Union (VWU), which provide a domestic violence (DV) support service, and a community library (CL). The analysis applies 'coding' as the main tool to analyse the data, as used in the Grounded Theory Method (GTM) (Strauss and Corbin, 1990). Grounded theory analysis includes three stages of coding: open, axial and selective (Bryman, 2012). Open coding is a process of describing data according to themes and categorising them. In this step, themes are coded with a vague understanding of the connections between them, and are later grouped into categories when the researcher has a clearer understanding of the data. Axial coding refers to the search for connections between categories, while selective coding is a process of selecting core categories and relating them systematically to others. These core categories ultimately become the basis for the grounded theory (Babchuk, 1996) (see Section 5.4.5, Chapter Five). In this study, this helped identify concepts and theories to explain how different mechanisms of social value creation (SVC) are perceived in each country and whether there are transferable policies for SVC in public service delivery. The chapter comprises three main parts: analysis and results from Case 1, analysis and results from Case 2, and discussion, including a comparison of both cases in order to answer some of the current research questions. In each of the cases, introduction to it and analysis of all the themes, with subordinating categories and units of analysis emerging, were provided.

6.2 - Case 1: analysis and results

The researcher conducted eight in-depth interviews with one ex-service user, three service providers at both national and local levels, and four policymakers at both national and local levels, together with one focus group with six service users. Most of the interviews (8/9) were conducted face-to-face, with only one via a Skype call. All the participants were coded randomly as P1, P2, etc. so that their identity would not be revealed. As their demographic information was not crucial in the current research, only a description of the participants' roles is provided in Appendix 6.1

6.2.1 - Coding process

As explained in Chapter Four, the coding process included three main steps, namely open coding, axial coding, and selective coding. During the open coding stage, the researcher

identified the different units of analysis in each transcript, which were words or phrases that emerged from the data. Units of analysis are defined as “the level of the aggregation of data collected during the subsequent data analysis stage” (Sekaran, 2003, p.132). The researcher identified 92 units of analysis from the eight interviews and the focus group. A full list of the units of analysis can be found in Appendix 6.2. Connections between units of analysis and categories in relation to each interpreted theme were shown when each theme was interpreted.

During the axial coding process, the researcher grouped the units of analysis into 16 categories, as follows:

- | | |
|----------------------------|---|
| 1. Collaboration | 10. Priority of authority |
| 2. Confusion | 11. Qualifications of service providers |
| 3. Culture | 12. Location |
| 4. Economic development | 13. Third sector development |
| 5. Human resources | 14. Solution |
| 6. Impact on community | 15. Community Communication |
| 7. Ineffective regulations | 16. Awareness |
| 8. Policy implementation | |
| 9. Politics | |

At the final stage of coding, the selective coding, from these 16 categories, six key themes were interpreted that were considered important to discuss, namely:

- | | |
|--------------------------|-------------------------|
| 1. Contextual Conditions | 4. Management Mechanism |
| 2. Capability | 5. Goals |
| 3. Engagement | 6. Impacts |

The following sections discuss the relationships between the units of analysis and categories which helped to inform the researcher’s interpretation of the emergent themes.

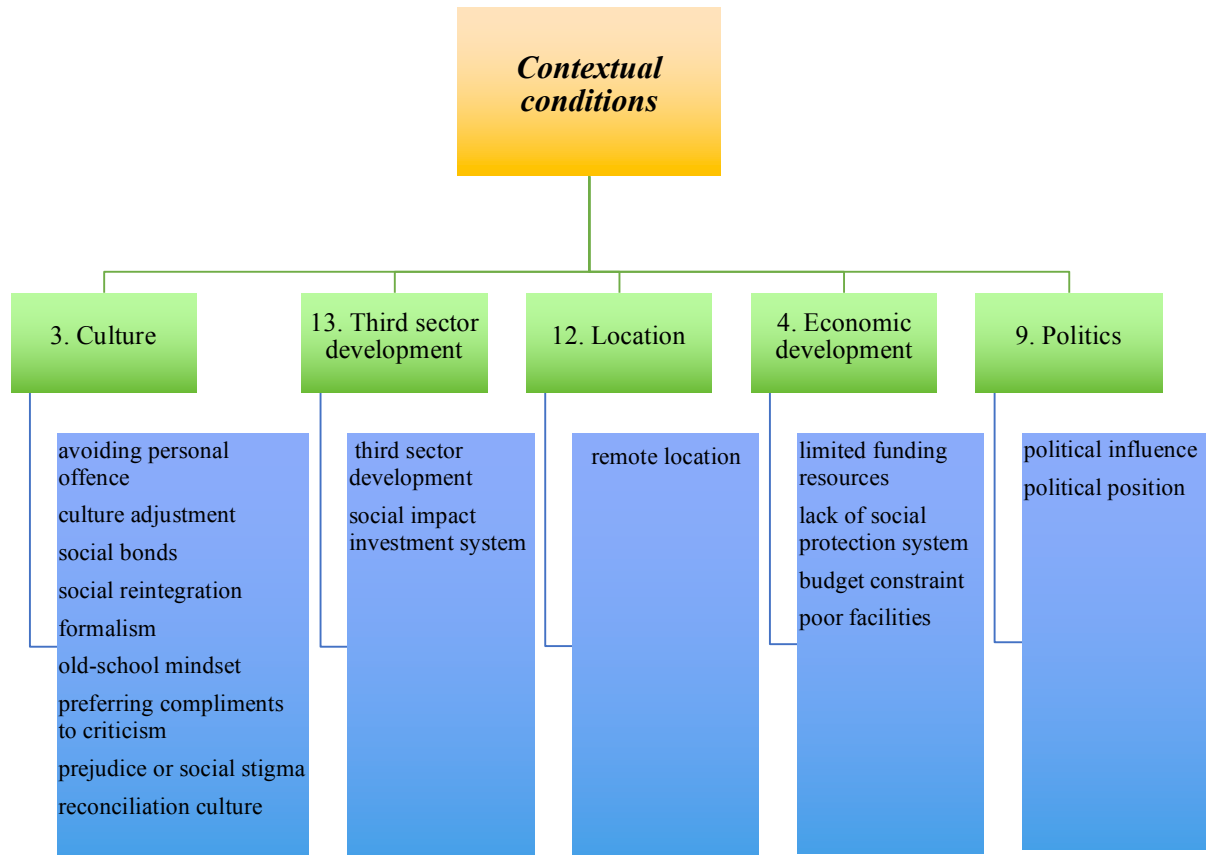
6.2.2 - Analysis and interpretation of themes

6.2.2.1 - Theme 1. ‘Contextual conditions’

The researcher’s interpretation of the theme ‘contextual conditions’ was supported by describing the relationship with its five emergent categories: ‘culture’, ‘third sector

development’, ‘location’, ‘economic development’ and ‘politics’. All these categories indicate the importance which participants placed upon context. The relationship between categories and units of analysis that informed the researcher’s interpretation of the theme ‘contextual conditions’ are shown in Figure 6.1.

Figure 6.1 - Case 1 units of analysis and categories of Theme 1 – Contextual conditions



Regarding the category ‘culture’, all stakeholders considered the ‘old school mindset’, and ‘social prejudice/social stigma’ toward gender equality and family reputation to be the main reasons preventing people from raising their voices. For example, culturally, domestic violence (DV) is considered a means of education. Therefore, the community and even the local authority often do not consider a DV event a serious issue. The victims also reported that they did not trust the local authority, as they often blamed the women for not displaying ‘proper’ behaviour, which caused the husbands to use violence. Participants saw this ‘old-school mindset’ as a barrier for them to communicate and reach a shared vision.

“A large proportion of local people believe in education by using violence. For example, parents using violence against their children is acceptable in Vietnam as a way to educate the children and make them behave better. It does work sometimes, yet

it has consequences. Whenever violence occurs within a family, other people won't interfere since it is a personal matter; they won't stick their noses in" (P4)

"Many people still possess an old-school mindset that women are supposed to suffer DV" (P14)

In the category of 'culture', the 'social bonds' unit of analysis was mentioned as one feature that facilitated the model of trusted addresses, regarded as sub-units of the refuge house provided by Case 1. This model is claimed to be suitable for the Vietnamese culture by the policymakers as it is close to the community and can take advantage of community support. However, the notion 'social bonds' did not emerge from the users' opinions. They did not appreciate the efficiency of local women's unions nor of the local authority very highly, as they thought that most of them cared more about their achievements than the actual issues. This response reflects another interesting aspect of the category 'culture' reflected in the unit of analysis 'formalism', which describes an emphasis on form over content or meaning. The service providers and some government officers complained that the policy was constructed with 'formalism', which looked perfect but was not realistic. The social norm that people 'prefer compliments and achievements to criticism' also reflects an aspect of 'formalism'.

"The policymakers in Vietnam are trying to cover so many things at once, they set a goal which is too unrealistic". (P2)

"The head of the local women's union didn't know anything. When I talked to the staff at the province level, they assured me that all of their members had been trained thoroughly. So it wasn't because she didn't know, she just didn't want to ruin her achievement" (P8)

'Third sector development' is another category that emerged when participants discussed the chances to partner with other third sector organisations (TSOs) in delivering DV services. It seems that policymakers at the national level are more familiar with and open-minded towards the Non-Governmental Organisation (NGO) concept. Moreover, third sector development in Vietnam is not strong enough to reach and maintain a sustainable partnership at the local level, where most of the DV cases occur. This means that the collaboration between the government and the third sector in delivering DV support services is not extensive or effective, not only because of the government's attitude, but also because of the capability of the country's third sector. Furthermore, the social impact investment ecosystem

in Vietnam is not yet well developed, and both service providers and the government only have a vague understanding of how to invest and how to develop the investment.

“Our department used to be sponsored by SAGA, an NGO working on DV. But their support didn't last long, while we need something long-term” (P7)

“The international NGOs can only work at the national level, not the local level. And it also depends on the leaders. Some leaders care, some do not” (P1)

The interviews also revealed another contextual factor relating to the category of ‘location’. Participants suggested that the quality of the service and engagement with the community also depended upon the region. Unexpectedly, rural areas around big cities such as Hanoi have not always been well supported because of the very poor communication between the local authority and the victims. One main reason is that the government seems to focus on social issues in remote areas, while ignoring areas close to the city. Another reason is the lack of budget, which leads the government to spend more in certain prioritised places.

“For those areas which are remote like hers, they have the attention of the government, unlike where I live, which is right by the city. They don't believe such things could happen here, so they don't pay attention” (P8)

“Publicity is important in some remote areas like hers, but there wasn't any in the cities where I live” (P10)

The category ‘economic development’ is another important contextual condition. Many participants claimed that the main reason why public services for DV victims were not effective was due to the lack of budget. This limited budget and funding results in the lack of a professional social protection system, making it difficult for the service providers to collaborate with different sectors to protect victims.

“However, we cannot just bring that model and apply it to our country immediately due to standard of living differences, and all related departments must be involved” (P3)

“The authorities are all aware of the issue, yet they still lack funding. We need money to coordinate and run the project, and it is a worthy investment with regard to economic impacts” (P4)

As Case 1 is subordinate to a mass organisation sponsored by the government, it is not surprising that the category of ‘politics’ emerged, which was related to two units of analysis, ‘political influence’ and ‘political position’. Case 1 stated that they had many advantages because of their legal and ‘political position’ compared to other normal TSOs with regard to their connection with local levels, a wide network that is close to the community and attracts social media. The local authority seems to have a sceptical view of working with non-state sectors. Therefore, its ‘political position’ provides Case 1 with high credibility and influence to work with the local authority and community.

“Our credibility and legal status are guaranteed” (P5)

“When we handle a case, we will present the related documents and the recommendation letter from VWU so that the local authority will have to work with us, as we are one of the major mass organisations in Vietnam. The other NGOs cannot do what we do because the local authority does not know who they are and they will not bother communicating with them” (P5)

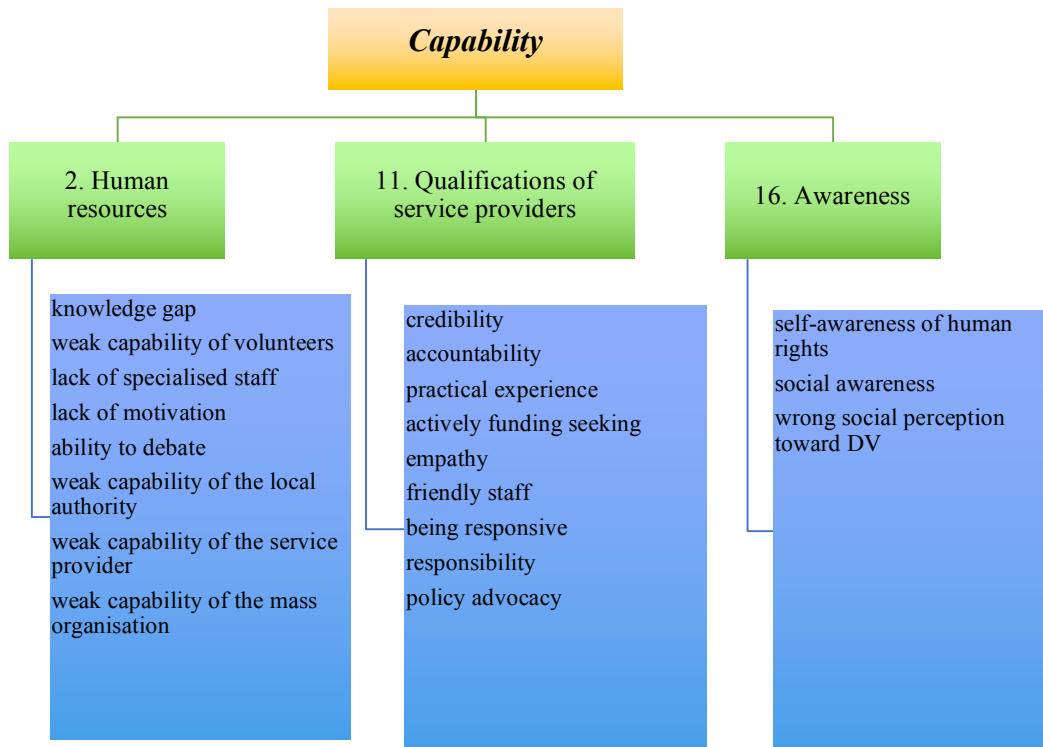
However, the ‘political position’ of Case 1 does not always result in great ‘political influence’, as claimed by an ex-service user of Case 1, who was also the team leader of the ex-service users’ Case 1 group. She thought that because Case 1 was sponsored and managed by the government, it was not a pure TSO, and therefore would not be independent in raising its voice on behalf of the community. This ‘political position’ could be an advantage for Case 1 to exert influence on the local authority, but not always on the community. This fact somehow reflects the community’s perception of the background of service providers. The victims might appreciate the services delivered by Case 1, but their trust in the overall system of social protection in the country is low.

“Personally speaking, since Case 1 is not a pure NGO but belongs to the government, they are not active. I’d rather not express my opinion via unions in Vietnam as they are too weak to affect other people” (P14)

6.2.2.2 - Theme 2. Capability

The theme of ‘capability’ is formed of three categories: ‘human resources’, ‘qualifications of service providers’ and ‘awareness’. Details of the units of analysis and categories that comprise the theme ‘capability’ are shown in Figure 6.2.

Figure 6.2 - Case 2 units of analysis and categories of Theme 2 – Capability



In the category ‘human resources’, participants indicated that the community could not participate in the service delivery, not only because of their knowledge gap, but also because of their awareness of the issue, which was partly affected by culture, as previously discussed. People are incapable of delivering the services, even though they want to, because they are not well trained. Besides, their ability to acknowledge this issue is not always appropriate due to their educational level.

“Many people want to join the group, but they don’t have the professional background and experience, so sometimes they give wrong advice. Thus, we need the funds to build up our capacity” (P14)

“Raising awareness is only effective if they can do it consistently. They only do one-way promotion such as via the TV or radio, and do not care about who the audiences are or whether they pay attention or not, not to mention that the community’s ability to acknowledge the problem is quite weak” (P2)

In addition, participants reported the ‘weak capability’ of service providers and the local authority, which they felt was due to the lack of specialised staff. Furthermore, there was also a ‘lack of motivation’ which discouraged people from working hard and improving the services. The model of protecting DV victims in Vietnam is embedded within the activities of local women’s unions, in collaboration with the local authority and community. Therefore, the participants felt that there was no motivation for those people to work and support the victims effectively, as they also had to commit to other tasks and did not get extra pay for doing this work.

“The local staff don’t have a social services background. Only a few students who majored in social services become social workers. Supposedly there is at least one social worker, hired by the local authorities, for each commune, but that’s not how it is in reality” (P2)

“Those who are supposed to protect the women are too young and have little life experience; they haven’t married yet so they can’t understand and empathise with us” (P10)

Another category that emerged was ‘the qualifications of service providers’, even though there was no direct question asking participants what qualifications service providers should have. The units of analysis interpreted in this category mainly relate to the background, the personality, and the function of a service provider. Regarding the background, a service provider with high ‘credibility’ and ‘practical experience’ is trusted more by the community. The service user participants experienced greater levels of empathy, and trusted more those who had practical experience and could give them valuable advice. This indicates the importance of trust between the community and the service providers, as well as with the government when working together. Service users want to engage with the service providers once they feel that they have mutual understanding and shared values.

“Most of the government staff stay in their offices and build policy, and they don’t have real experience” (P1)

“I was greatly offended by the fact that someone with little life experiences told me how I should feel and what I should do. After that, I lost my belief in the local authorities; all they ever did was to make me blame myself more” (P10)

In terms of the personality of service providers, many characteristics are mentioned, such as ‘accountability’, ‘actively funding seeking’, ‘empathy’, ‘being friendly’, ‘being responsive’, ‘responsibility’, which were considered to be significant. Service users felt that Case 1 was supportive, as they were responsive and, most importantly, showed empathy with their situation. Engagement, therefore, greatly depended much on the response and trust among stakeholders.

"The accountability of a social worker is essential. We have to gain the community's trust, so they can come to us either if they are witnesses or victims. We have to approach them, persuade them to join us. After a short time working together, they can see the meaning of our actions, and they will continue to support us" (P6)

"Only when joining the refuge house was I able to feel that I had all the rights and I could receive sympathy from the staff there. I was overwhelmed and felt the urge to do something to help these victims wholeheartedly" (P14)

"All of the social workers in Case 1 are very friendly and kind, and they are willing to support us anytime" (P11)

In contrast to the positive feedback for the Case 1 service provider, the local authority was said to lack empathy and responsibility and that there was a lack of specialised staff who could understand and communicate well with the victims. During the interviews with some government officers, they even stated that the victims had the primary responsibility for protecting themselves. This implies a lack of knowledge and an ‘old-school mindset’ from the government staff, which eventually discouraged the users from engaging with the service.

"Yes, but the staff member who handled my cases didn't have any credibility. When she came to us, the first thing she did was point out that I was wrong. I wasn't supposed to go to my mom's house when I fought with my husband. She tried to solve the problem between us but didn't make any report to the local authority. I was very frustrated with her" (P13)

"The local staff don't have professional skills in social services. Only a few students who majored in social service fields become social workers" (P2)

Another category in the theme ‘capability’ is ‘awareness’. As the community lacked knowledge, they often showed no interest if there were no gifts or benefits to be gained by

joining community events or meetings. Furthermore, both victims themselves and the authority still possessed an old-school mindset shaped by social awareness. The victims were not aware of their rights and tried to protect their family's reputation instead. Moreover, some policymakers even expressed bias toward the women, claiming they should take partial responsibility for being abused. Victims also pointed out the ignorance of the local authority, as they did not want to ruin their achievements. This conflict in perception led to a lack of trust by the community with regard to the service providers and local authority. Incorrect awareness of the issue might also have misled the policymakers in their choice of direction in solving problems.

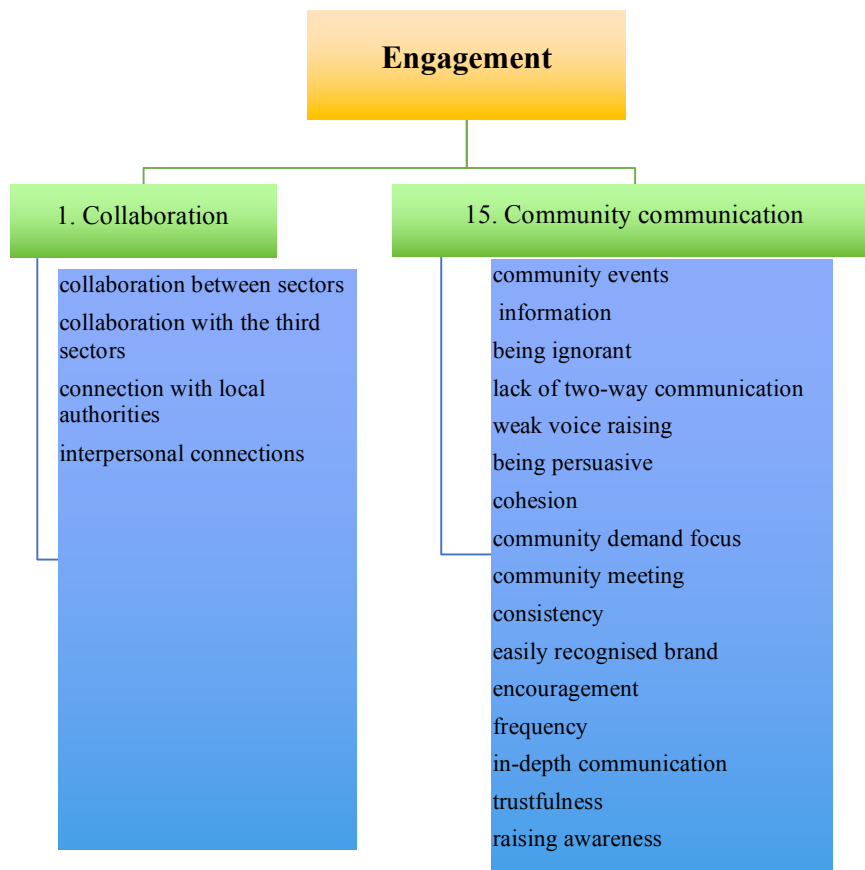
“Some women are also quite dramatic, they talked too much and got beaten up. They have to find one way or another. Some can predict when the husbands are drunk, and they will try to avoid them immediately, even if it's in the middle of a meal, by hiding in the neighbour's [house] for example. Ultimately, it's is a family matter, so they still have to protect themselves first” (P2)

“I told them that my husband did not admit his violence behaviour to me and assumed that every family has its problems. I also did not know how to resolve the problem on my own and what my rights were. So, it caused a lot of trouble and time for the authorities to understand the real issue” (P11)

6.2.2.3 - Theme 3. Engagement

Theme 3, Engagement, consists of two categories, ‘collaboration’ and ‘community communication’. These are also the two main forms of engagement, which were constructed from the 20 units of analysis. Figure 6.3 describes the hierarchy of Theme 3 and its categories and units of analysis.

Figure 6.3 - Case 1 units of analysis and categories of Theme 3 – Engagement



The first category of the theme ‘engagement’ is ‘collaboration’. CE is achieved more successfully when there is collaboration between the service providers and the community, as this provides the opportunity to understand what the community needs and what suits it best. For example, when organising community events, the leader of Case 1 often worked closely with the local people to understand their culture and customs and adjust the publicity content to suit their culture. Participants indicated that partnering with the community, including the ex-victims, the women's union at local levels and the volunteers, was an effective way to better connect with the community.

“We collaborate with the local people to deliver all the knowledge, tools and methods to them. Honestly, I have done this for years, I can see that whichever activities we can involve them in by letting them create their own products, will be a success” (P5). “Besides, we also partner with NGOs related to gender equality and anti-DV. Universities also support us a lot as we have to increase the awareness of as many

people as possible. Regarding promotion, we work with both leaders and citizens within the community” (P5)

The other form of engagement that emerged was ‘community communication’, which was conducted mainly in the form of publicity through ‘community events’ that focused on ‘raising awareness’ in the community. Case 1 often held events to connect with the community in different sectors, such as the policymakers and students at universities through the programme “breakfast for men only” to discuss the topic of DV. Case 1 also collaborated with other partners, such as the Culture department in each province, to organise performance events to raise awareness about DV. However, service users said that these events were not attractive and they were not even informed about them. Most of the victims interviewed knew about Case 1 through the internet and media channels, not through these community events and local women’s unions. In addition, when asked about what form the engagement should take, almost all the policymakers stated that “raising awareness” was the most important issue. However, the service provider thought that the government was only performing sufficiently on that level, while supporting victims of DV requires further steps such as protection, intervention and the setting up of refuge houses. This can also reflect the culture of ‘formalism’ in Vietnam, as previously discussed, which implies that the government’s focus is more on promoting campaigns rather than on actually setting up a protection system.

“The meeting in my area only discussed how the local women’s union spends their money and how to get income”. (P12)

“The bond among families in rural areas seems to be tighter in comparison to urban areas, but that requires more effective promotion”. (P2)

“Highly interactive promotion hardly exists or is very limited, not only because of the system but also due to human capacity. They don’t have enough resources to organise this stuff”. (P2)

The service users felt that the communication with Case 1 was quite good, as it showed empathy with the victims, and provided opportunities to comment upon and discuss the services provided it. The service users were consulted about the events or topics they wanted to participate in and were part of the decision-making process. Communication between the ex-service users and the current victims, coordinated by Case 1, was especially useful. Activities that focused on users’ demands and demonstrated an effort to understand them

were often appreciated by the service users of Case 1. Evidence from the analysis suggests that ‘cohesion’ is essential in community communication as it builds trust in the community and encourages people to engage with the service providers.

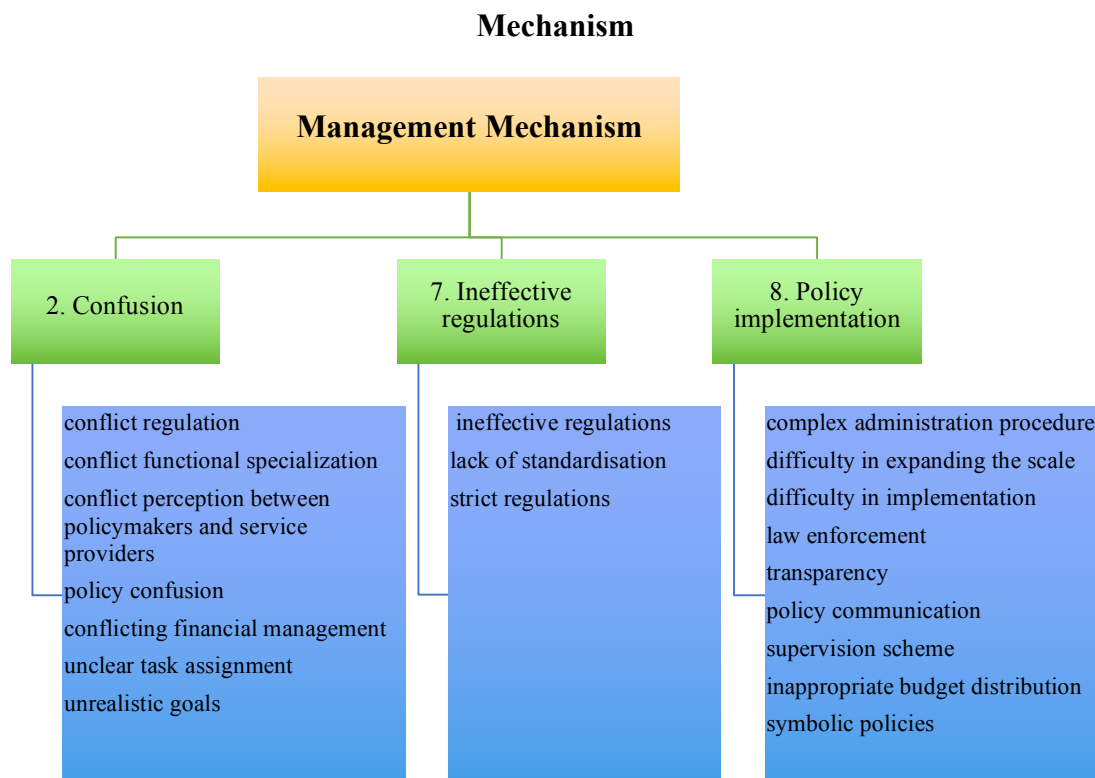
“The content is frequently suggested by members like us. For example, what do we want to discuss or learn this week, ranging from interpersonal skills to women’s rights, etc. We can also decide on the food and drinks” (P9)

“Every time we meet, we discuss a particular issue, such as therapy for children living in a DV environment or therapy for women after divorces, etc. Before each meeting, we have to conduct a quick survey of the group to decide which topic we will discuss and give it to Case 1 to carry it out. Then we facilitate the tasks ourselves, while Case 1 supports us by digging deeper into each topic. Those activities were very effective, but sadly we don’t have the money to continue doing them” (P14)

6.2.2.4 - Theme 4. Management Mechanism

The interpretation of the theme “Management mechanism” is supported by three categories: “confusion”, “ineffective regulations”, and “policy implementation”, which are shown in Figure 6.4.

Figure 6.4 – Case 1 units of analysis and categories of Theme 4 – Management



Both the public officers and service providers stated that some issues in the management mechanism caused them difficulties in working together because of much 'confusion', which is the first category of the theme 'management mechanism'. There was the confusion surrounding the functions of each sector in delivering the services, which led to an overlap in the provision of community events. There was also conflict in the perception of service providers and policymakers regarding the delivery of better services. For example, the local authority and local women's union tended to solve cases of violence by negotiation to help couples get back together, as they treated DV as a family issue. Meanwhile, the service providers in Case 1 considered DV to be a crime and needed to help the women to escape their situations. These different perceptions led to different action directions. Furthermore, the second category, 'ineffective regulation', showed that the laws conflicted on many points, which created policy implementation difficulties. For example, the policy of DV support services conflicted with the policy of healthcare services in financial terms. This confusion implies a lack of official guidance from the government to the local authority and the service providers, as well as a weak management system.

“In the law against DV, victims are supposed to have regular health visits for free. But according to the Ministry of Health, the cost of their health visits must be covered

by health insurance, which in most cases the victims do not have, as they are often in rural areas. So, we have to raise the money from other sources. This is a mutual conflict among the policies that we cannot change.” (P5)

“We need a standardised process and protocol amongst the sectors, so whenever a case occurs, we know each sector's responsibility, which would speed up the process [...]. We are still wondering which criteria should be applied to determine the extent to support the victims”. (P5)

Besides the ‘confusion’ and ‘ineffective regulation’, ‘policy implementation’ was also reflected to be weak. In this category, the unit of analysis 'symbolic policies' was reported by many participants to imply policies that were not realistic and not efficiently implemented. There may be links here to the unit of analysis 'formalism' in the 'culture' category of the 'contextual conditions' theme. The policy may look perfect in theory, but it is hard to apply in reality due to the lack of resources and inappropriate application. 'Complex administration procedure', 'transparency' and 'supervision scheme' are factors that discourage the community and different sectors from working together. Lack of communication and transparency in law enforcement causes the community to lose their trust and motivation to engage and raise their voices.

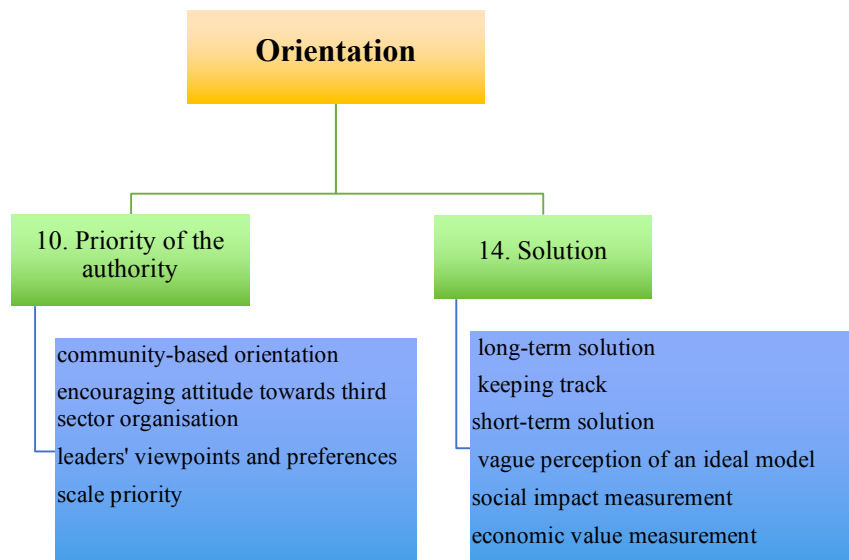
“The government introduced policies to establish shelters but they didn't grant us any funding” (P1)

“According to the law against DV, the Ministry of Culture is supposed to authorise working IDs for social workers like us, but that is not the reality [...]. Project 32 by the Vietnamese government stated that each commune must have at least one social worker, but I don't know when that will be true” (P5)

6.2.2.5 - Theme 5. Orientation

Two categories, ‘priority of the authority’ and ‘solution’ inform the researcher’s interpretation of theme 5, ‘orientation’. Figure 6.5 describes the connection between the categories and units of analysis with theme 5.

Figure 6.5 - Case 1 units of analysis and categories of Theme 5 – Orientation



Many public officers mentioned the influence of ‘the priority of the authority’ regarding the development and implementation of the local public service. The development of the service greatly depends on whether the leader of that local authority considers the service important and necessary.

“No one can answer that except for the president of the province. Vietnamese laws are different from international laws. They change with each generation of leaders” (P1)

It is also interesting that the national government seems to be very open and in favour of the idea of working with the community in delivering public services. However, it seems that even though the government sees the benefits of doing so, they invest little in the community and take advantage of it.

“There is no way the government will hire local staff to take care of this matter. It has to be included in each village’s regulations, so whenever something happens, every force (the women, the police, the villagers) will jump in and do their jobs” (P2)

“The trusted addresses model has not been very effective in terms of social impact, yet regarding economic value, I think it is. We hardly invest any money, yet it produces results. It is easy to assume that the trusted address model is not effective.

But we also need to consider their difficulties, especially the minor investments they have received from the government” (P4)

Regarding the category ‘solution’, this shows the orientation and strategy of the government in tackling the issue. Some policymakers claimed that the setting up of a wide network of ‘trusted addresses’ by the government was only an emergent solution to the issue. Policymakers also stated that they hoped there would be a more ‘long-term solution’, such as the setting up a tool for social impact and economic values measurement to gauge the impacts of service provision or keep track of the victims after they leave the refuge accommodation in order to ensure sustainable results.

“In order to assess CE, its social value and impact must be measured. What challenges us has been how to prove and showcase the positive impact of anti-DV activities on the economy. The chairman of the commune understands the importance of these activities, but he doesn’t have the money and doesn’t know how many benefits it will bring about” (P4)

“So, it would be better if we could support them to help them find a stable job, focus on earning money, less time to gamble, which results in less DV. But we haven’t been able to do that” (P6)

6.2.2.6 - Theme 6. Impacts

The theme ‘impact’ is a macro concept of the micro one that was interpreted as ‘impacts on the community’, which in turn was informed by the five units of analysis shown in Figure 6.6.

Figure 6.6 - Case 1 units of analysis and categories of Theme 6 – Impacts



Service users stated that Case 1 helped them in ‘building confidence and knowledge’, ‘building trust’, and ‘changing mindsets’. After receiving support from Case 1, the victims not only gained more knowledge about their rights, regulations and gender equality, but also felt more confident to raise their voices to their families and local authority. They also wanted to share their experiences and support other victims. Such impacts imply a change in each victim. Not only the victims, but also the local authority and community changed their awareness regarding the issue after meeting with the service providers. However, it is hard to conclude whether these impacts are sustainable and whether they will create social change in the long term.

“Now that I joined here, I have realised that the government does care about us and is willing to support us mentally and physically. So, after leaving here, I would love to help Case 1 to help others” (P10)

“More confident, especially more knowledge about the laws” (P8)

“More confident and believe more in myself” (P11)

“My interpersonal skills have been greatly improved” (P9)

“Only when joining Case 1 can I feel that I have all the rights” (P14)

6.3 - Case 2: analysis and results

The researcher conducted four in-depth interviews with one service provider and three policymakers, and one focus group with five service users of the library. All the interviews were conducted face-to-face. The status of the participants is described in Appendix 6.3.

6.3.1 - The coding process

During the open coding stage, the analysis of the interviews in Case 2 resulted in 51 units of analysis (see Appendix 6.4). During the axial coding phase, 15 categories were formed by grouping units of analysis from the open coding phase, namely:

- | | |
|----------------------------|---|
| 1. Budget constraints | 9. Priorities of the authority |
| 2. Collaboration | 10. Qualifications of service providers |
| 3. Confusion | 11. Location |
| 4. Culture | 12. Tradition |
| 5. Human resources | 13. Solution |
| 6. Impact on the community | 14. Community communication |
| 7. Policy implementation | 15. Awareness |
| 8. Politics | |

During the selective coding process, the following six themes emerged from these 15 categories:

1. Contextual conditions
2. Capability
3. Management mechanism
4. Engagement
5. Goals
6. Impact

Although the categories that emerged from Case 2 are slightly different than those from Case 1, the resulting themes that emerged from them are similar to those that emerged from Case 1. This similarity can also be interpreted by the data analysis process having reached 'saturation' (Bryman, 2012). However, in each theme the majority of responses tended to

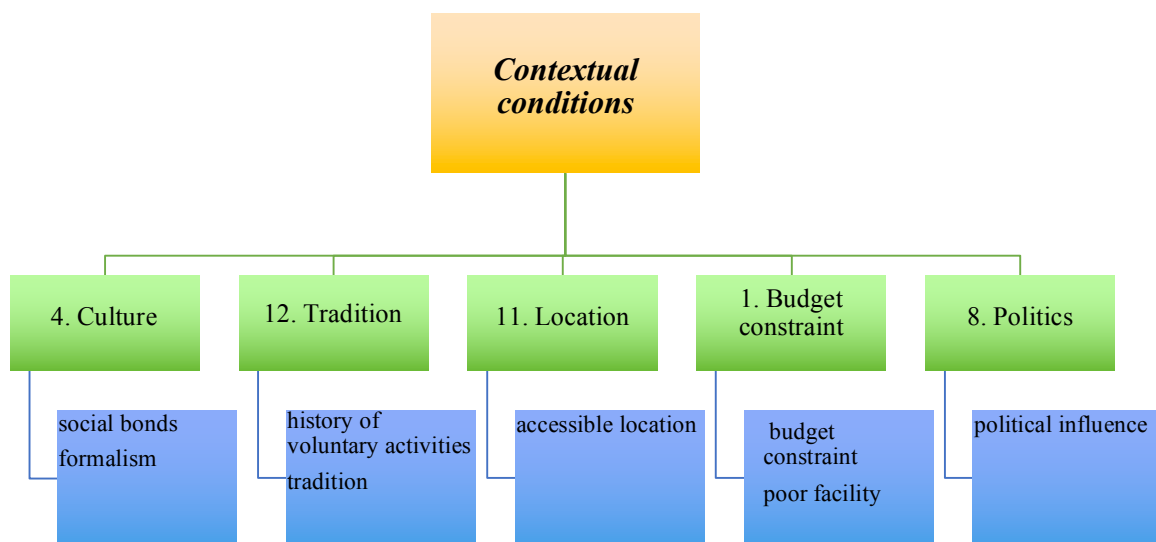
focus on certain areas, which were less dominant than those in Case 1. This is discussed further.

6.3.2 - Analysis and interpretation of themes

6.3.2.1 - Theme 1. Contextual Conditions

Similar to Case 1, five main contextual factors affect the engagement of the community in the operation of the library, namely ‘culture’, ‘budget constraints’, ‘politics’, ‘location’, and ‘tradition’. Figure 6.7 describes the hierarchy of the units of analysis, the categories and the ‘contextual conditions’ theme.

Figure 6.7 - Case 2 units of analysis and categories of Theme 1 – Contextual conditions



Regarding the category ‘culture’, it was interpreted that there were very strong social bonds within the community in Case 2. The library has a solid network of more than 100 volunteers and has a stable connection with the unions and schools in the village. The community felt that the library had become a community centre that helped them to connect to each other and enrich their social capital, and that it was a part of their culture and tradition.

“Every day from 2 pm to 4.30 pm, older people supervising the library can read books, enhancing people's connections, increasing social capital, connecting community, raising awareness and culture” (P16)

“The CL is not only a place to read but also a place to communicate and share good information with each other. This kind of model is likely to be the centre of community life for the whole community, to share with each other about books or technology” (P17)

In terms of ‘tradition’, both the library manager and the users cited the tradition of the village as a vital factor that helped to maintain the library’s operation and people’s attention. This tradition of being studious was rooted in the long history of the village and shaped people’s awareness of the importance of the library. Both the head of the village, the manager of the library and the service users showed their confidence and a strong belief in the sustainability of the model because of its long history and the village tradition. This category implies an essential factor in CE, which is shared value. Only when people have shared values, in this case the social value that they think the library delivers, do they become engaged and work together.

“The library has become an indispensable part of our tradition and custom since its establishment 20 years ago” (P21)

“People from other places also come here to learn from our models but failed to build such a group of collaborators. This is so-called ‘tradition’. Our village has a long tradition of academia and being studious, with some people having achieved their doctorates and then returning to help us in some events” (P18)

Another category that emerged from analysis of the data collected at Case 2 was ‘location’. This is an important factor that affects participants’ engagement in Case 2, but with a slightly different meaning than the ‘location’ category that emerged from the Case 1 data. Participants indicated that the location of the library should be close to the community so that it is easily accessible to the readers. The library is in fact situated in an easily accessible location close to the service users’ residences, and is therefore likely to engage more people. This explains why the CL is often able to attract more people, as it is very close to their residences. Meanwhile, public libraries such as the provincial library are often located a long distance from the readers.

“In my opinion, the CL is very effective because it is close to the residential areas, so people do not have to go far away. This kind of library is very convenient for people to access” (P17)

“One more thing I realise is that there were a lot more readers when we were located in the residential area. Since we moved here, the number of readers has fallen quickly. Some readers said that they could not go that far to the library. Therefore, libraries need to be close to the residential area and connected to the public” (P15)

‘Budget constraints’ emerged as a category in Case 2 (as in Case 1) and again is a considerable obstacle in establishing and operating community libraries. The government currently does not have a specific budget for CL, and mainly provides in-kind support such as books, bookshelves and equipment.

“It is not that the state does not care. The state would direct the public libraries to transfer the books, and if there is professional training, they could participate in this group. In some regions, the state even provides them with books and equipment. The state cares about community libraries but a budget for them is not available. Giving them money is impossible because the mechanism is not allowed and the budget is not enough” (P17)

Regarding the category ‘politics’, although it is not a very important issue in the case of the CL, it does have some influence on it. As Case 2 was originally founded by the Unions of the Elders in the village, its operation was closely connected with other socio-political groups in the village, such as the Unions of Farmers and the Youth Union. Those groups have a significant influence on spreading the reputation among the community or recruiting volunteers and readers to the library.

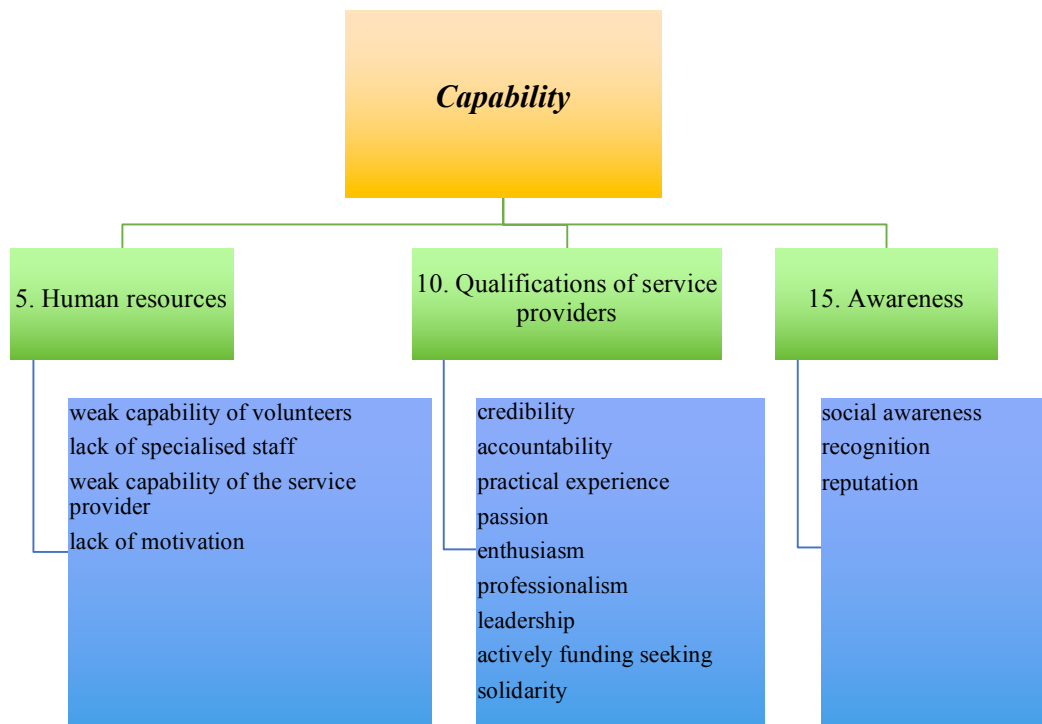
“Political institutions will continue to promote this model and stimulate the village authority to support the library. They support us financially; for example, the library's utility costs are paid by the village authority. Also, daily and weekly newspapers are provided by the unions in the village” (P23)

“Socio-political organisations should also encourage their members to join the library, especially the Youth Union” (P18)

6.3.2.2 - Theme 2. Capability

Interpretation of the theme ‘capability’ is supported by three categories: ‘human resources’, ‘qualification of service providers’, and ‘awareness’, as illustrated in Figure 6.8.

Figure 6.8 - Case 2 units of analysis and categories of Theme 2 – Capability



In the category ‘human resources’, participants reported the weak capability of the service providers and volunteers, mainly because they were not professionally trained. However, Case 2’s managers’ and volunteers’ enthusiasm and commitment to their work helped ensure the library was well-maintained and connected to the people through their networks and connections in the village. In addition, research participants felt that the public officers were not creative and displayed a ‘lack of motivation’ due to their low salary. The lower level public library often lacked staff to manage and develop the library.

“The decisive factor is human. There are 121 volunteers in the library, including nine managers. There must be enthusiastic and well-organised leaders with strong CE to maintain the library” (P16)

“As the public library is 100% funded by the state, I don't think its operating mechanism is effective and creative. Because no matter how hard they work or how many readers they get, their salary is still fixed. Therefore, the librarians are not creative; they only do what they are asked to do” (P15)

Concerning the category ‘qualifications of service providers’, despite not having professional qualifications, Case 2 service providers had many positive characteristics that made the

library successful and well-recognised by the community. While the volunteers were not professionally trained, they were responsible and demonstrated ‘solidarity’, the result of which being that the library was very well-organised. The role of the leader was emphasised as the core factor relating to this success. ‘Leadership’ was crucial to the operation of the library, not only because of the leader's enthusiasm and good management skills, but also because of his ‘credibility’ in building trust within the community. Moreover, the director of the library was always active in seeking funding, holding book reading events and organising tours for the volunteers to other successful community libraries for knowledge exchange purposes. In addition, he always cared about ‘accountability’ to community by organising quarterly and annual review meetings, to which he invited the local authority, the representatives of the unions and the community to attend so that people in the village could understand how the library was operating. In general, not only the users, but also the local authority showed their admiration and trust for the director of the library, which encouraged them to contribute and support the library more.

“More importantly, there must be a person to manage and serve the readers. Currently, we have a team of collaborators who are in charge of managing the library every day. They act not only as our collaborators, but also our most frequent customers, making the library become the vibrant heart of the village hall” (P18)

“There must be good cooperation and connection with the community and with the local authority. The money is donated by the public; therefore, everything must be accountable to the public” (P16)

In addition to the capability of the service providers and others involved, their awareness is also essential. This importance is demonstrated through the emergence of ‘awareness’ as a category informing the interpretation of the theme ‘capability’. As discussed in the Theme 1 category ‘tradition’, people in the village were well aware of the importance of the library and its impacts. This enabled them to contribute to it and engage in its activities. Regarding the awareness of the policymakers, it was not that they were not aware of the importance of the library, but that it was not their top priority. The library would only receive support and attention once it had earned its reputation. At this point, policymakers would bestow an award such as ‘recognition’ and some in-kind support. This support was necessary, but it was not systematic or strategic in a way that would help the library to grow in the long term. ‘Awareness’, to some extent, is the capability of the people (the community and the

policymakers) to urge them to engage in the library’s development, but it is not always a sufficient condition for them to make a real commitment to library maintenance.

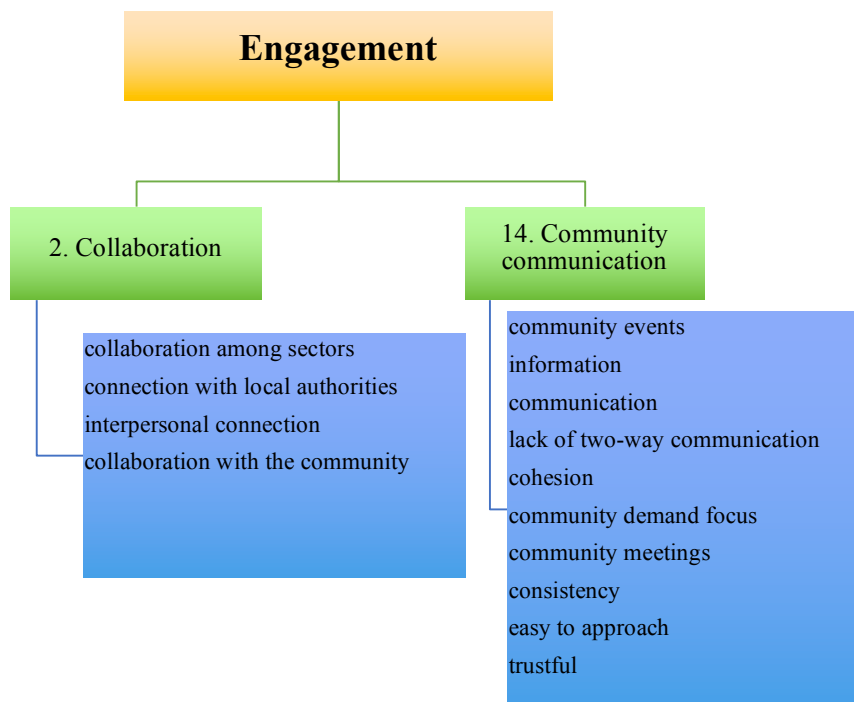
“Another factor is the willingness of organisations and groups in the village who have promoted and encouraged members to contribute to building the library and socialising there” (P20)

“For libraries that are successful, the state will reward them and give them a certificate for their distribution. Of course, the state could not give them a budget; they mainly seek support from publishing houses and charity funds” (P17)

6.3.2.3 - Theme 3. Engagement

Similar to Case 1, the main forms of ‘engagement’ in Case 2 are ‘communication’ and ‘collaboration’ with the community, the TSO, and the local authority. Figure 6.9 shows the categories and units of analysis in the ‘engagement’ theme.

Figure 6.9 - Case 2 units of analysis and categories of Theme 3 – Engagement



In the first category of ‘collaboration’, the role of local unions (units of mass organisations) was mentioned as the key to maintaining the operation of the library and connecting with the community. These organisations not only provided the main source of volunteers but were also a bridge between the library and the community, so that the library was able to

understand the community's needs and attract people to it. In particular, the leader's 'interpersonal connections' were essential. Thanks to his activeness and extensive network with the local authority and the policymakers at higher levels, and through attending conferences and meetings, the library was well-known and received more support from the policymakers and other TSOs.

“The commune committee, village chief, and social and political organisations have donated various types of newspaper. Since 2008, the village has allowed the library to use two rooms in the village hall. The local authorities and the villagers also support us with the bookshelves” (P18)

“To get more readers, beside the collaborators, we also work with the Youth Union and schools to encourage their members and students to come to the library. We have provided membership cards for more than 600 students. There are many books which are available in the library but not in their school, so we have attracted a lot of young readers” (P18)

Although the library is small, they pay attention to their communication with the community; as the leader stated, getting readers to come to the library was critical, as reflected in the category 'communication'. Case 2 was aware of the necessity of community events that helped to promote the library and understand the community's needs. With a limited budget, the library often made use of its network to invite speakers who had a connection with them to give free talks on a specific subject. Annual meetings with representatives of different unions and the community were also held to ensure accountability. In general, the library understood that they had to make the library become the 'heart of the village', where people would come not only to read books, but also to obtain information, talk, and involve themselves in other activities.

“Of course, the library often makes 6-month and annual reports. Representatives of different unions in the village are also invited to the meetings. Consequently, the number of participants has surged rapidly from hundreds of people to the whole village” (P18)

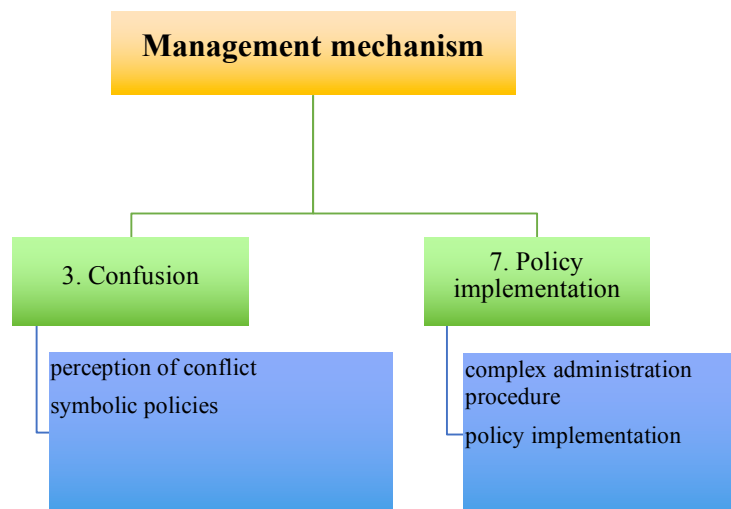
“The CL is not only a place to read but also a place to communicate and share good information with each other” (P17)

“Firstly, we are teachers, so we understand what our children want. Besides, we also communicate with schools to know what they lack” (P18)

6.3.2.4 - Theme 4. Management mechanism

There are two categories in this theme, ‘confusion’ and ‘policy implementation’, as illustrated in Figure 6.10.

Figure 6.10 - Case 2 units of analysis and categories of Theme 4 – Management Mechanism



There was a conflict in perception about the identity of the CL in the library system, which formulated the category ‘confusion’. The CL claimed that it was not recognised as a local library in the public library system and suggested that the government identify them as such so that they could be better promoted. However, the policymakers denied this and said that the CL was part of their library system and that they still gave support to it. This shows the miscommunication between two stakeholders and an unclear policy and management scheme. Besides, although there were policies for setting up libraries in the new rural areas project, they were mostly symbolic, as there was no budget for them.

“It is impossible to have orthodox support because there are even not enough resources for the commune level. The private or community libraries are still enjoying the regime with the local level libraries, such as transferring books or professional skills and training. They even receive award certification” (P17)

“Unfortunately, the Ministry of Culture and Information only recognises communal libraries as a CL, not as a public library in the system, despite the fact that the operation of the library at the commune level is far better than the district one” (P18)

The other category that emerged in the ‘management mechanism’ theme was ‘policy implementation’. The participants reported a complicated administration process with too many levels of management involved and documents required. This discouraged the service providers from working with the policymakers and to seek support from them, as it took up too many resources.

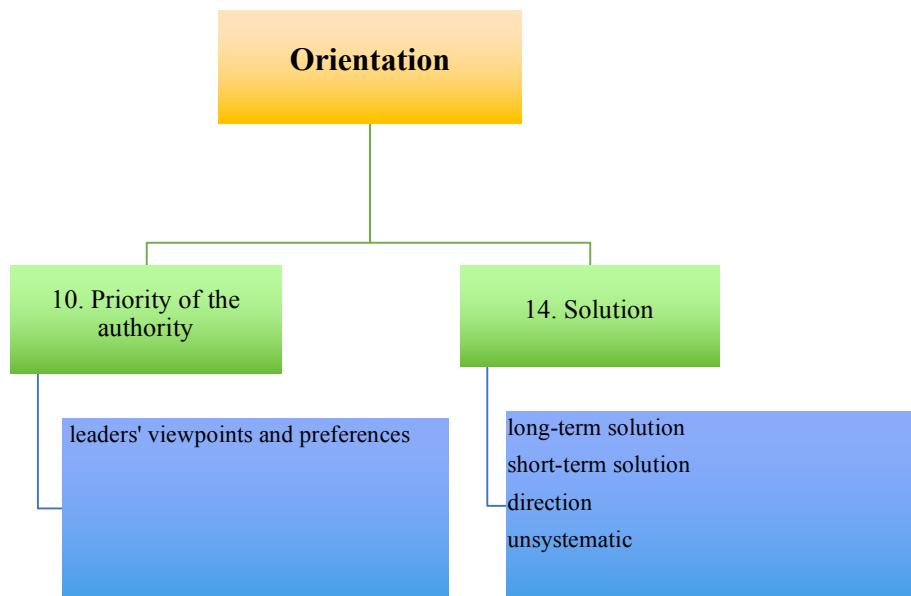
“If the Ministry of Culture has any instruction, they direct us to deploy the plan, and then we report to the Ministry of Culture at the end of the year. The mechanism of operation is very complicated, and sometimes there are things that don’t need to go through the Department of Culture - we could report directly to the Ministry” (P15)

“About the library management, we recommend making the CL part of the District People’s Committee, which is now under the District Culture centre. The CL would then be able to decide its budget and human resources. If it is under the District Culture centre like it is now, they decide how much they spend on the library, which is usually not much (P15)

6.3.2.5 - Theme 5. Orientation

The interpretation of this theme is informed by two categories: ‘priority of the authority’ and ‘solution’, as illustrated in Figure 6.11

Figure 6.11 - Case 2 units of analysis and categories of Theme 5 – Orientation



In the category ‘priority of the authority’, it is shown that the policy and support for the library depend much on the leaders’ preferences. The provincial manager of libraries claimed that investment for the library was no longer a priority as, unlike the previous president, the preference of the current president of the province was not the library. In the case of the CL, the head of the village showed his support for its development and understood the importance of its existence. The library managers and users emphasised the importance of the head of the village in supporting the growth of the library, which the other villages could not do.

“The most important thing I have to mention here is the awareness of the village’s authority. The movement will be maintained and promoted if residents are encouraged to participate in the activity. Thus, the importance of leader’s awareness is undeniable” (P20)

“Of course, there are leaders who care about it; they will donate several books, and sometimes 10 to 15 million Vietnamese Dong to the library. It is crucial to have the attention of the leaders: if they care about the libraries, they will invest” (P15)

The orientation of the government is also shown through their ‘solution’ to the development of the library, which formed another category in the ‘orientation’ theme. Most of the current actions and policies are only short-term, such as short training courses and book donations, and there is a lack of a long-term strategy for the development of the library. There was a project that required higher level libraries to transfer books to local and community libraries;

however, there were not enough books to go around, and they were often very old, as mentioned by the case study library director. Although there has been investment in, or donations to, Case 2 from some policymakers at both provincial and national levels, showing their attention and engagement to the library, it was unsystematic and could not help it develop in the longer term. There is a lack of a ‘direction’ or a strategy to develop the library.

“The higher levels of the library system just assist us with book transfer, but this is restricted as the number of books is limited, and the books are quite old”. (P18)

“The Prime Minister has just approved a project that will develop reading culture in community until 2020. The orientation is to 2030, which clearly shows the policy of transferring books to local levels. It is not only the provincial libraries, but also all the public libraries that need to transfer books to the local level regularly. This has been done since 2003” (P17)

6.3.2.6 - Theme 6. Impacts

Interpretation of the theme ‘impact’ is based upon one category, ‘impact on the community’, which emerged from four units of analysis, as shown in Figure 6.12.

Figure 6.12 - Case 2 units of analysis and categories of Theme 6 – Impacts



In general, the library receives good feedback on its services. Both the customers and policymakers appreciated Case 2 and thought it was having an excellent impact on the community, showing their satisfaction with the services delivered. The library was not only a place to find books, but it had also become the heart of the village, where people gathered and strengthened their social bonds. The volunteers and customers showed a firm belief that

the library should not be closed down, as it helped the next generation to be nourished and educated in a pleasant environment. The volunteers also had the chance to broaden their knowledge through the trips to other libraries and cultural and historic places which were organised by the library. When visiting the library and chatting with the people there, the researcher felt the passion and pride, not only of the service providers, but also of the users.

“The activities of the library have nurtured a reading culture, which has greatly impacted on the development of our hometown, and encouraged the fondness for learning of the younger generations” (P18)

“It has Improved public awareness and strengthened the bonds between neighbours” (P20)

“Furthermore, the elderly people in charge of the library are also encouraged to visit cultural and social models such as museums, libraries and so on every year to broaden their horizons. We have periodic meetings and ask specialists to come over and have talks with the members about science and technology, art, literature and healthcare”. (P19)

“Actually, hardly any small-scale villages have libraries as good as ours. We are pleased with it” (P23).

6.4 - Discussion

In this initial analysis of the first two cases in the Vietnamese context of the study, the themes that emerged from Cases 1 and 2 can be used as elements to answer RQ 1 and RQ 2. RQ 3 is answered through the analysis of all the cases in the two countries.

6.4.1 - Question 1. How does community engagement affect social value creation in public service delivery?

The findings from the analysis of the two cases in Vietnam revealed that both had some CE activities in similar forms of engagement. However, the actual level of interaction between the service providers and community, and the impact of the engagement in both cases, were different. Furthermore, it is crucial to discuss the capability of the stakeholders involved in the engagement process. Therefore, for this question, the themes of ‘engagement’, ‘capability’, and ‘impacts’ in both cases were discussed to answer the first research question. In these themes, analysis was made at all levels, from individuals (i.e., the opinions of each stakeholder in relation to their engagement and capability to engage), to the middle-range

level (i.e., interactions between stakeholders and management in organisations), and the macro-level (i.e., the influence of cultural and social norms on engagement, and the social changes as impacts created).

The theme 'engagement' was interpreted to have emerged from two categories, 'communication' and 'collaboration'. However, the ways both cases chose to communicate and collaborate with the community were slightly different. Regarding 'communication', it was found that the service providers in Case 1, especially at local levels, mainly engaged with the community through one-way forms of communication, such as events to raise awareness and by providing information to them. Meanwhile, users in Case 2 reported being very happy with the way the library communicated with them and felt very engaged with the library's activities. The users in Case 2 showed their trust in the library board of directors and felt the library was a part of their culture and tradition. In contrast, due to the wider scale of operation, Case 1 had to partner with the local authority and the local women's unions to reach the community. Therefore, their connection with them was less extensive than with Case 2, which is a small-scale library located within a small village, where people tend to know each other quite well. Therefore, this finding does not necessarily reflect the weak engagement capability of Case 1. Indeed, as for the victims who were living in the refuge house, they felt much more engaged and well communicated with the service providers in Case 1, as the staff there exhibited empathy and respect for them. Therefore, it could be implied that the 'communication' between the service provider and the users depended much more on interaction factors such as 'trust', 'cohesion', 'social bonds' and 'social awareness', which encouraged the community to engage in service provision. This was particularly true in Case 2, where the engagement of volunteers and people in the village was mostly based on their trust in the leaders of the library and their awareness of its necessity. The vision and actions of the library manager in maintaining the library was beneficial for all the members of the village, inspiring and encouraging other members to become involved in the library operations, and therefore, in social value creation (Jain, 2018; Crosby *et al.*, 2017). Meanwhile, despite having a wide network of women's unions at local levels, the community in Case 1 still did not feel engaged and well-informed because they had lost their trust in local staff and the local authority, who were often careless and not knowledgeable enough to give them appropriate advice. This suggests that CE is not just an act of collaboration and participation, but also a process of transforming behaviours, comprising four stages from 'perception', 'empathy' and 'trust', to 'behaviours'.

First, the users in both cases expressed their ‘perception’ of the service and the necessity of their engagement. While users in Case 1 seemed to lack appropriate ‘perception’ of their rights and their need to engage with the service, users in Case 2 expressed their passion to keep the service maintained by involving themselves in the service delivery. The differences between the two cases were partially as a result of the culture and social norms, as previously discussed (Sections 6.2.2.1 and 6.3.2.1, Chapter Six). The cultural norms with regard to gender inequality resulted in the wrong perception of both the authority and the service users in relation to DV and women’s rights in Case 1. In contrast, the ‘tradition’ of the village in Case 2 shaped people’s awareness of the necessity of library service involvement. Second, ‘perception’ can be affected by the way the service providers interact with the users, through which they can show their ‘empathy’ with them. In Case 1, one-way communication such as publicity and awareness-raising events were not attractive and were unable to change their old-school mindset. The service users in Case 1 only felt more engaged with the service once they felt the empathy from the refuge house staff. Meanwhile, in Case 2, the service users felt that the library directors understood their demands and they shared the same vision and values in delivering the service. Once the interpersonal interaction between service providers and community is enhanced, they experience the ‘empathy’ and the shared values and feelings with each other. Indeed, empathy is defined as the ability to understand others’ situation and feelings and can build trust in communication (Pfeil and Zaphiris, 2007). Third, after experiencing ‘empathy’ with service providers, users can enhance their ‘trust’ in them. In Case 2, the library demonstrated its high accountability and communication through annual review meetings with the public, through its community events, and through its extensive network of volunteers. Such a two-way communication method, with more collaboration and interaction, can develop a sense of mutual responsibility and understanding between professionals and customers (Miller and Wallis, 2011). Shared norms, values and links can help people build trust and teamwork in an organisation, a community or society, thereby impacting upon the development process (Putnam, 1993; Fukuyama, 1995; Gradstein and Justman, 2002). In Case 1, the service users showed their trust in the staff after their stay at the refuge house and after being consulted by Case 1. Finally, trust and mutual understanding led to changes in users’ ‘behaviours’ in both cases. In Case 1, the service users changed from being hesitant to raising their voices confidently. They even participated in the volunteer group to help the organisation connect with and protect other victims at the local level. Therefore, the engagement process revealed in both cases was not just an act of

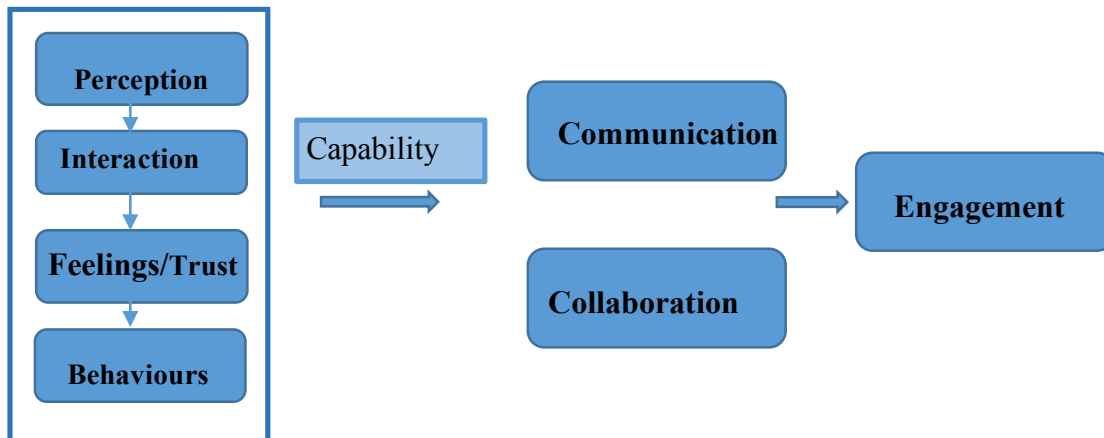
partnering with the authority or service provider, but a process of transforming the perception and behaviours of service users.

The theme of ‘capability’ is important in the discussion of engagement, as it is considered the means that transforms a community's intention into an act of engagement. In both case studies, there were comments on ‘the weak capability of the volunteers’ and the ‘social awareness’ of the community, service providers, and government staff, which is a constraint for them on being able to engage with and collaborate in the public service provision. This suggests that the engagement process is not just a mere transformation from perception to behaviours, as discussed earlier, but rather a vector of ‘capability’ to enable the engagement to happen. This is supported by Sen’s theory of capability approach (Sen, 1988), which emphasises the importance of capability as a primary source of development. Sen (1988) argues that ‘functions’ (i.e., being educated) are the conversion of capability (the ability to approach education). In this case, someone might be given the chance to engage in public service provision, but might not be ready or capable enough to do so (e.g. the community is not well-educated and the government or the service providers are not well-trained). This idea that people with better education and awareness of their human rights are often engaged more with the community is also supported by Di Domenico *et al.* (2009a). Bovaird *et al.* (2016) also found a strong correlation between CE and political self-efficacy, which refers to the belief that people can make a difference, shaping their willingness to participate in service delivery. This finding may help to explain why some policies of CE do not work because of the lack of attention to people's ability to collaborate with each other. In Case 1, communication and engagement with the service providers at the local level was limited, as both stakeholders lacked the knowledge and skills to be aware of and to actually work with each other. Once the victims came to the refuge house, they felt much more engaged and open to the service providers there, as they felt the empathy of the service provider and were equipped with the knowledge and skills to enable them to understand their rights. The victims even wanted to work with the service providers to help other victims. On the other hand, people in Case 2 displayed ‘solidarity’ and ‘tradition’ that helped them to join together and maintain the library, although they still had limitations in their skills. The leader in Case 2, who used to be a teacher, has well-developed knowledge and skills which help him actively approach the policymakers for support and convince the community to run the library with him. More importantly, in both cases, engagement only occurred once the service providers

and service users shared a mutual vision and values, which assisted them in building trust in each other and working together.

The theme of “impacts” discusses the impacts and changes that engagement in the services has brought about. Social value is discussed in Chapter One as the socially-oriented needs and desires of individuals, as well as the shared norms and interpretation of people through social interactions. Social value refers to the non-financial positive value created through human activities and aims to deliver positive impacts and social change to a broader community (see Section 2.3, Chapter Two for more details). Therefore, it is crucial to assess the impact of social values created through social changes, which implies a shift in society’s structure, practices and beliefs (Thekaekara, 2005). The change in social perception may lead to shifts in behaviour (Ferguson and Bargh, 2004; Young, 2006) in these cases, which in turn promote actions such as volunteering, voice raising or the ability to debate. Even professionals and the authorities take action once they have changed their mindset and act through engagement. In both cases, the beneficial social impact of the service provision and engagement recorded is the enhancement of ‘social cohesion’, ‘social bonds’, ‘social trust’, and the development of skills and self-perception such as ‘building confidence’, ‘improving knowledge’, and ‘changing mindset’. These impacts imply a social change that might shape the community’s behaviours in the future. Users in Case 1 reported a change in their awareness of human rights, and especially an increase in their confidence and concern for social matters. Some reported their interest in participating in the service provision as volunteers and revealed their opinions on social issues, such as corruption or inequality. This reflected a change in their personal efficacy and preference for post-materialist values, such as justice, freedom and social integration, which can motivate people to engage in community and civic activities (McLeod *et al.*, 1999). The impact that the process of engagement brings about might eventually lead to social change, and therefore social value creation. However, whether the impact can lead to sustainable changes in the long term remains to be seen. Further research might be needed to examine and evaluate the sustainability of impacts in each case. From what has been analysed and discussed in Cases 1 and 2, the process of engagement is demonstrated in Figure 6.13.

Figure 6.13 - Community engagement process



6.4.2 - Question 2. How do contextual factors affect CE and social value creation in the two countries?

Community engagement, as discussed in the previous section, is the process of transforming behaviours, which needs a vector of capability to facilitate engagement. However, the process of engagement is affected by many factors, which can be demonstrated by discussing the themes which relate to the three levels of analysis: 'contextual conditions' (macro level), 'management mechanism' (middle range level), and 'orientation' (individual and middle range level).

The theme of 'contextual conditions' describes the contextual factors that affect the process of CE, in which 'culture', 'politics' and 'third sector development' are major factors that affect engagement. In terms of 'culture', both cases showed some elements of culture and tradition that affect CE. In Case 1, Vietnamese culture and family structures are established on Confucian principles, in which collective obligations in the traditional family are encouraged, and women are subordinated to men (Gold, 1992). Therefore, people are less open to engaging with gender issues such as DV. Even the policymakers interviewed showed an old-school mindset towards the issue. Moreover, the Vietnamese family is characterised as "residentially nuclear but functionally extended" (Jones, 1995, p.189), which means that welfare is often provided by members of the family rather than the authorities. This shaped the idea, which was also reflected in some interviews, that the victims of DV tended to hide their issues, which discouraged them from engaging with others involved in their case. In contrast, Case 2 showed a strong bond amongst the people in the village and their trust in the

leader and the development of the library. They donated and contributed their time to maintain the library over many years. Confucian traditions often encourage trust in a narrow social group of close friends or family members. Besides, social trust is often low among those who do not belong to any social group but increases with membership of one or two groups (Dalton and Ong, 2005). This might explain why the users in Case 1, who were often rural women and did not belong to any social group, demonstrated a low level of trust in the women's union and local authority. In contrast, the volunteers and users of Case 2, who were mostly members of unions in the villages, showed their trust and enthusiasm for the library. Additionally, in such social groups as the mass organisations in Vietnam, which are generally controlled by the government, it is unclear whether social engagement can stimulate trust in others (Dalton and Ong, 2005). In Case 1, the organisation itself and its local women's unions are tightly controlled by the government, as it is their primary funding source. Meanwhile, although supported by members of unions in the village, the library in Case 2 is autonomous, as it receives little funding and therefore is not directed by the government. This finding suggests that given the political and cultural influence, social trust plays a vital role in CE.

Regarding 'third sector development' and 'politics', the lack of a strong and well-developed third sector means the government plays a dominant role in providing public services, causing a burden on the budget and human resources due to the weak capability of the professionals and local authority. In Vietnam, democracy is mostly under-representative (UNDP, 2006) and there is a preference for a more instrumentalist version of community participation instead of an empowerment-oriented model (McElwee and Ha, 2006). The mastery of the people, therefore, does not mean that they can exist and manage themselves independently of the state, but rather that they are led by the state. In Vietnam, the government established mass organisations such as the Veteran's Union, the Women's Union, the Youth Union and the Farmer's Union to connect their members at local levels with the government, and to help the government to consult the community. However, the top-down democratic centralist structure means that participation in such mass organisations results in the mobilisation of the peasants in support of the state (McElwee and Ha, 2006). The Vietnamese political system, rooted in Confucian political philosophy, which emphasises the role of the patriarchal family without giving political rights to citizens, is coupled with Buddhist cultural roots that are paternalistic and dependent on the family in terms of welfare provision (Reis, 2013). The ignorance of individuals and greater focus on collective benefit

as a whole result in a lack of social organisation formed by equal individual mutual benefits and participation in the political sphere. Therefore, civil society in Vietnam is different, in that it is not a sphere that is independent from politics. In contrast, the existence of civil society in Vietnam under the forms of mass organisations and professional organisations is aligned with the government's policies which aim to consult, inform and direct the community (Dalton and Ong, 2005). Some authors contend that Vietnamese social groups are less autonomous than those in Eastern Europe (Womack, 1993). This explains why it is hard for people to engage in the reduction in DV at local levels. Having a formal political position and a wide network located inside the community is an advantage for Case 1, as the manager of the organisation stated, but in fact it is not always an advantage for the customers in this case. Referring to Case 1 as a government-sponsored organisation might affect the community's motivation to engage with it. At the same time, having strong support from the unions in the village, without being controlled by them, was an advantage for the library in Case 2, enabling them to maintain the library and gain support from people in the village. Therefore, it is not political influence, but people's perception and trust that influence their engagement. While the 'trust' that emerged in Case 1 implies trust in the institution, in this case the local authority and the women's unions, the 'trust' that emerged in Case 2 seems to reflect a social trust within the community, rather than trust in the unions that support the library. There is a less formal relationship between the users and the service providers in Case 2, in that they feel that the library is a part of their culture and tradition that they need to protect. The trust and interaction between them, therefore, is social trust within the community, which can facilitate civic engagement (Brehm and Rahn, 1997). Shah (1998), states that social trust is different from trust in an institution (for example, the government). The lack of trust in an institution, as in Case 1, weakens confidence and reduces community participation in a democratic institution (Shah *et al.*, 2002). This might explain why users in Case 1 were less engaged with the local authority and local unions than those in Case 2. The users in Case 1 only gain confidence when they enter the refuge house and are consulted by the staff. Many service users stated that they were surprised by what Case 1 could do for them, since they did not think that an organisation under the VWU could be that supportive. Therefore, this suggests that it is not the political influence, but the actual capability of the service providers and the efficiency of the organisation that shapes community trust and enables them to engage with the service provision.

The themes of ‘management mechanism’ and ‘orientation’ are two other contextual factors that influence CE. The former reveals the conflict in regulation and task distribution among government bodies, which confuses both the public officers and the community. In both Case 1 and Case 2, users, service providers and public officers reported different understandings of current regulations. Many conflicting points in the regulations and in the distribution of tasks among government bodies have discouraged collaboration between service providers and the government, as well as the community. Besides, the development of the service has depended largely on the preferences of the leader or the local authority. The theme ‘orientation’ reflects the goals, strategy and vision of the stakeholders, especially the leaders, in providing public services. Participants in both cases mentioned that investment in the projects depended largely on the leaders' preferences. This implies a lack of value-orientation matching between the service providers, community and policymakers. Miscommunication and different value orientations can lead the policymakers to set goals that do not include what the community wants or that can have a good social impact on the community. For example, interviewees in both cases claimed that the policy was symbolic and not realistic. Furthermore, as indicated by the results of the analysis, Vietnamese culture favours achievement and prefers compliments to criticism, which might affect the goals of the authority in their decisions on scaling priorities or short-term solutions rather than long-term or in-depth ones. Solutions such as award recognition, short-term training, and book transfers are short term, and there is a lack of a long-term strategy to develop and gain community trust.

6.5 - Summary

In this chapter, analysis was made of the interview transcripts from both cases in Vietnam, a CL and an organisation providing a DV support service. In each case, the current research applied ‘coding’, with three main steps of open coding, axial coding and selective coding, to identify the main themes. Although the categories and units of analysis were slightly different in each case, the main themes which emerged were the same in both cases. This also reflects the saturation of the data collected. The cases were compared and contrasted to discuss the similarities and differences between them and other factors affecting CE in each case. Based on the continual comparison of themes with subordinated categories and units of analysis in both cases, the two first research questions were answered within the Vietnamese context.

In both cases, the six main themes which emerged were ‘contextual conditions’, ‘management mechanism’, ‘CE’, ‘capability’, ‘orientation’ and ‘impacts’. The analysis

suggested that there were ‘contextual factors’ affecting CE, namely culture, tradition, politics, economic development, third sector development and location. Factors such as ‘culture’, ‘tradition’ and ‘politics’ had an influence on people’s perception and awareness of their rights to engage, their ability to engage, and their trust in service providers and local authorities, which was reported to be weak in the Vietnamese context. The low ‘economic development’ created a budget barrier for the government and the service providers to invest more in the services, thus discouraging community involvement. The weak ‘development of the TSO’ and history of the voluntary sector in Vietnam also limited the chance for collaboration between the third and public sectors. Regarding ‘engagement’, two main forms in Vietnam emerged, namely ‘communication’ and ‘collaboration’, in which the participants reported a lack of two-way communication. This was partially created by the weak capabilities of the community, the service providers and policymakers, which was reflected in the theme ‘capability’. Moreover, investment in a public service also greatly depends on the leaders’ preferences and ‘orientation’. ‘Impacts’ of CE that were recorded in both cases were the enhancement in service users’ self-esteem, strong social bonds, and changes in community awareness of social issues. However, whether these impacts are sustainable remains a question for debate and needs further investigation.

Concerning the first question of how CE creates social value in public service delivery, three main themes were discussed, namely ‘CE’, ‘capability’ and ‘impacts’. The findings suggest that engagement is not simply an act of working together, but a transformation of behaviours. The service users experienced a process from perception or awareness, to feeling empathy from the service providers, from which trust was built among stakeholders, resulting in a transformation in their behaviours towards engaging more with the service delivery. These changes in social perception, which eventually led to the shift in behaviours, implies social value creation (Thekaekara, 2005; Young, 2006). The findings also support the important message that the process of engagement needs a vector of ‘capability’ to encourage the stakeholders to work together based on mutual trust and values. This finding suggests that policymakers should pay attention to improving people’s capability to engage, not just the process of engagement itself. Therefore, CE can create social values through building trust and changing the awareness of stakeholders, building capacity in both the community and among service providers to reach mutual understanding. However, the sustainability of the impacts needs further examination.

Regarding the second question of how contextual factors can affect CE in public service delivery, the themes of ‘contextual conditions’, ‘management mechanism’, and ‘orientation’ were discussed. The culture that favours achievement rather than realistic solutions in Vietnam often causes the community to lose their trust in the authorities and service providers. The political system, which supports mass organisations to engage with the community, may not always stimulate trust in others (Dalton and Ong, 2005). It has been suggested that social trust is different from trust in an institution (Shah, 1998). Therefore, given the political and cultural influence, the findings show that social trust plays a vital role in CE. Moreover, the actual capability of the service providers and the efficiency of the organisation encourage the community to engage in service provision. The findings also show that the sustainability of the impacts of CE depends largely on long-term strategy and orientation, rather than short-term solutions.

In summary, the chapter has provided an analysis of CE in the Vietnamese context through two case studies, and has helped to answer two of the research questions. It identifies the process of CE as one of changing from perception to behaviours, which implies social impact and social value creation. Contextual factors have also been explored, in which social interaction and social trust are seen as the dominant factors in the CE process. Research question three is answered by comparing this analysis with the analysis of the cases in the UK (see Chapter Seven), in order to provide an in-depth understanding of the subject in different contexts.

Chapter 7 - Case study of the UK: analysis and results

7.1 - Introduction

This chapter presents the analysis and discussion of the data collected from the two UK case studies (Cases 3 and 4). Case 3 comprises two community-led libraries within the same county council area, both of which are entirely run by volunteers, but still supported financially by the council. As the two libraries are in the same county council, they have the same policymakers at county council level and operate within a similar policy context. Therefore, combining the two libraries into one case study better reflects the influence of the local context within the area by allowing thematic influences to emerge. Case 4 is a charitable organisation delivering domestic violence (DV) support services through the provision of a refuge house. It was previously partially funded by central government and the county council, but is currently experiencing financial challenges due to austerity-led funding cuts. The chapter continues the analysis developed in Chapter 5, in which the researcher applied ‘coding’ in three main stages: “open coding”, “axial coding” and “selective coding” (Section 5.4.5, Chapter Five). This chapter includes three main parts: analysis and results of Case 3, analysis and results of Case 4, and a discussion that synthesises these in relation to community engagement (CE).

7.2 - Case 3: analysis and results

The data gathered from Case 3 include six in-depth interviews with the directors, and parish council and county council representatives involved with both libraries, and four focus groups with nine service users of both libraries. There were therefore a total of 15 participants engaged in the current research from both libraries within Case 3. A breakdown of the participants is provided in Appendix 7.1.

7.2.1 - Coding process

During the open coding stage, the analysis of the interviews from Case 3 resulted in 89 units of analysis (see Appendix 7.2). During the axial coding phase, 14 categories were formed by grouping the units of analysis from the open coding phase, namely:

- | | |
|--------------------|------------------|
| 1. Awareness | 5. Demographic |
| 2. Capability | 6. Finance |
| 3. Human resources | 7. Location |
| 4. Culture | 8. Communication |

- | | |
|-----------------------|-------------------------------|
| 9. Collaboration | 12. Organisational management |
| 10. Impacts | 13. Value orientation |
| 11. Supporting system | 14. Vision |

During the selective coding process, six themes emerged from these 14 categories:

- | | |
|--------------------------|----------------|
| 1. Contextual conditions | 4. Engagement |
| 2. Capability | 5. Orientation |
| 3. Management | 6. Impacts |

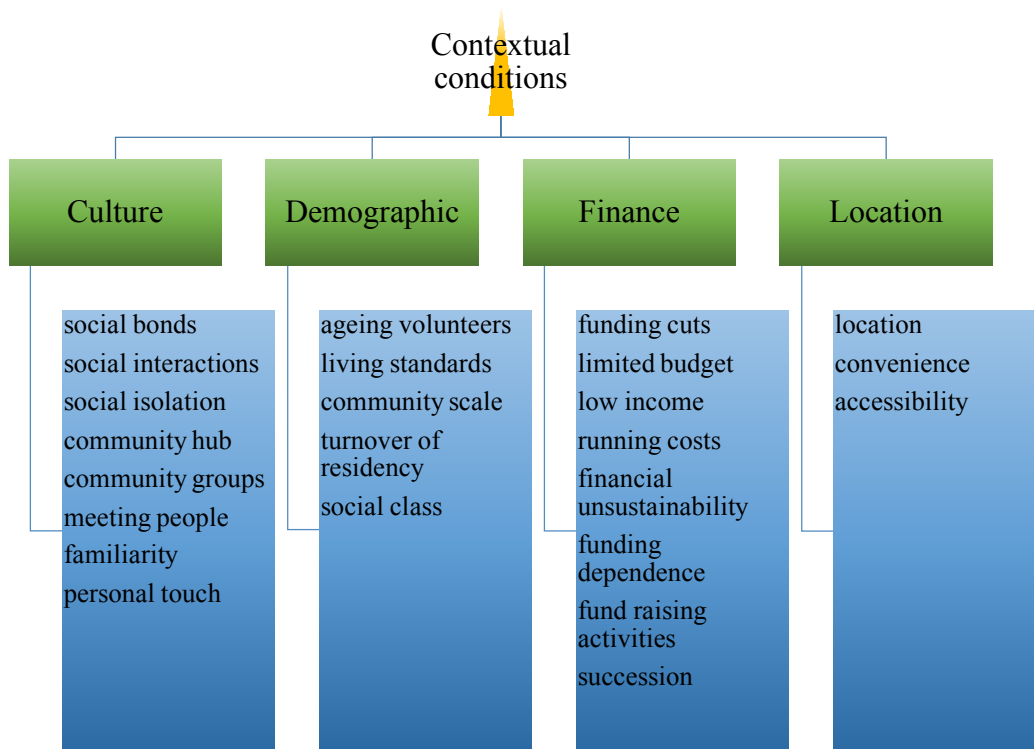
Although the categories are slightly different than those that emerged from Case 2 in Vietnam, the six themes that emerged from Case 3 in the UK are the same as those in Case 2. However, it is important to explore the themes with their subordinated categories, which can reflect both the similarities and differences in both cases.

7.2.2 - Analysis and interpretation of themes

7.2.2.1 - Theme 1. Contextual conditions

The theme ‘contextual conditions’ was constructed by four main interpreted categories, namely ‘culture’, ‘demographic’, ‘finance’ and ‘location’. The links between themes, categories and units of analysis are illustrated below in Figure 7.1.

Figure 7.1 - Case 3 units of analysis and categories of Theme 1 – Contextual conditions



In the category ‘culture’, the majority of the units of analysis that emerged reflected the desire of the participants (namely service users and service providers) for social inclusion. They explained that their motivation for participating in the services was to meet and interact with people, as most of them were retired and elderly, and many were socially excluded. Social exclusion was reported by the participants as a common social issue in the county, and that it prevented people from engaging with society in general. Therefore, the driver for engagement was that they wanted to be part of the community where they resided. These community groups are sources of contacts that bring people to the library as either volunteers or service users (or both). Most of the participants considered the library to be a kind of social group or hub, which was a part of their town and which reflected the culture of the social groups that were rooted in the community.

“I think it’s somewhere that older people like to go to every week, have a look around, meet a few friends maybe. It’s a part of the town. We all want to feel that we belong to [place name]”. (P37)

“A social issue in the UK and a lot of other developed countries is isolation. We had some volunteers who came here to gain confidence, work here and be able to apply for jobs and become much more confident” (P25)

There is also the interpretation of the ageing population, as well as high turnover in residency, which formed the category ‘demographic’. Because of the ageing population in small villages in the UK, alongside the high turnover of residency and people who commute to work, people are often ignorant of local matters and are less involved in local activities. Furthermore, social class and living standards also impact on the possibility of engagement. It seems that people often engage more in areas with higher living standards and less social exclusion, where they have increased awareness of CE. This point can be linked to the theme ‘capability’, which is discussed later to reflect people’s capability to engage in PSD.

“The middle class here, they already know how to form a committee. They’ve often got ex-teachers, ex-accountants, who they can use. So, they have people who have skills. If you practise and try to run them in an area of deprivation, they wouldn’t necessarily have those skills. So, it makes it harder for all the contacts. The places where we have community management libraries are those communities with the middle class”. (P38)

“I suspect there are an awful lot of people that have nothing to do with what happens in the community because it’s a dormitory community to a certain extent. People are going out to work early in the morning and come home late at night and are unaware of a lot of activities. So, I think this area is very dependent on some very active, mostly retired, people I would say” (P29)

In terms of ‘finance’, although the UK has a larger welfare state than Vietnam, the country is still experiencing austerity, especially in less prioritised services such as libraries. This limited budget has also resulted in the emergence of community-led libraries. The service providers in both libraries reported that aside from the initial funding they received from the county council, no further funding was provided, so they had to seek income from other sources. Therefore, the sources of finance for libraries now are varied, including funds from other TSOs, funds from parish councils (depending on each council’s priorities), and some projects that were commissioned by the national or local government. Therefore, there are opportunities for a community library to access certain sources of funding to maintain their operation. However, this funding dependence limits the sustainability of the organisation.

“It was just running costs and staffing, but we had to make big reductions in both. As you know, local government has been slashed, they are no longer being supported by

the main government and they keep taking money away, so gradually we lost libraries. Last time it was the youth centre; this time it is the children's centre. The funding wasn't just there so...." (P38)

"The regular income comes from things like fines and reservations, but that's not a lot, just a few pounds. But it's a mixture of the regular income from behind the desk (but it's not a lot) and things like sales, quizzes or regular events when we charge people a small fee, so we try to make a little bit of profit from those sorts of things" (P24)

The last category emerging in this theme is 'location'. Aside from the demographic factors that resulted in the different levels of engagement across regions, the category of 'location' also identified convenience and accessibility as important characteristics affecting people's engagement. The participants wished the library could be located more centrally, where it would be easier for people to be aware of its existence and access it. One of the libraries was located in a village, which was not easy for people to access. The other library was located in a town centre, but slightly hidden behind a church in an alley. These are not necessarily the best locations to gain people's engagement. However, it is often hard for a community library to afford the rental rates found on high streets.

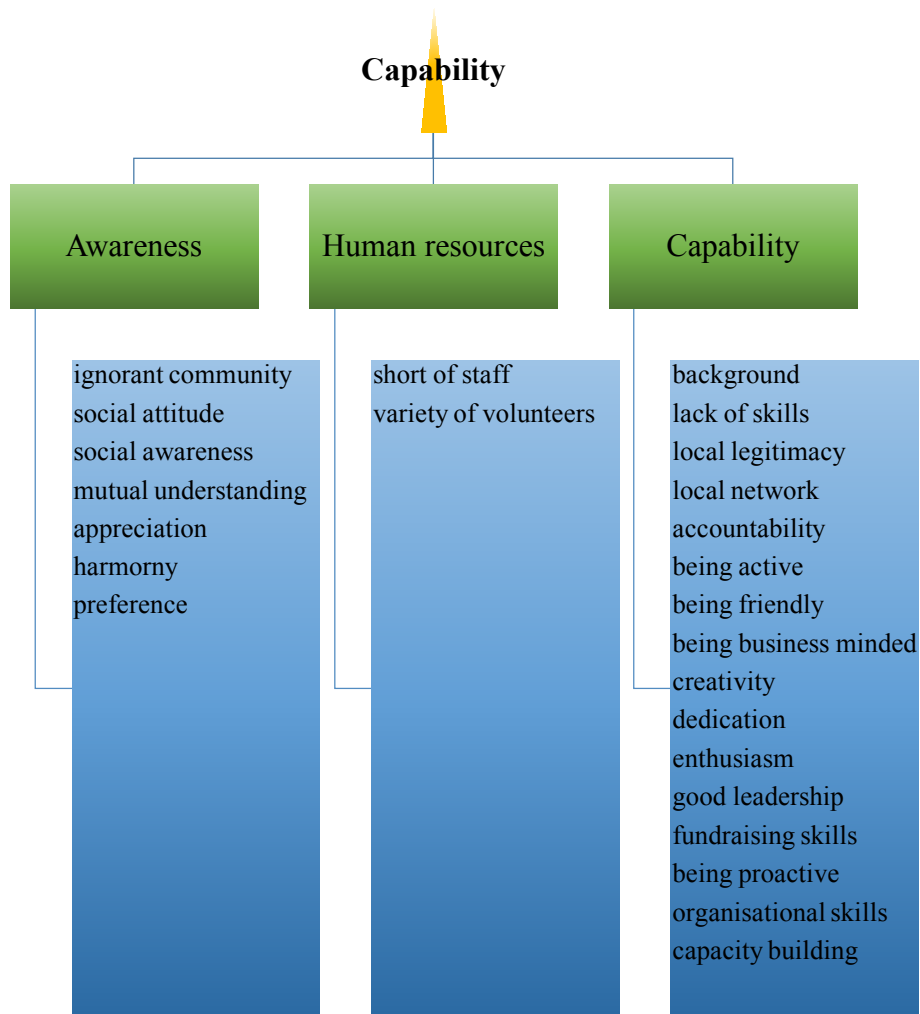
"We moved from a location which is perhaps 300 yards away, down the street on the other side of the high street. We were warned that it might take people three years to learn that you are here. In fact, it is taking longer. Well, we thought of things like printing footprints going from there to here, well I thought of it, but it will upset people's notion of what a high street should look like" (P31)

"Also, I think the lack of parking is instrumental; we need more space for parking. It is all school parking, which is mostly taken by the staff from 9 am. Especially for people who can't walk, if there were somewhere that they could just park and then go into the library" (P27)

7.2.2.2 - Theme 2. Capability

The interpretation of three categories of 'awareness', 'human resources' and 'capability' formed the theme 'capability', as illustrated in Figure 7.2

Figure 7.2 - Case 3 units of analysis and categories of Theme 2 – Capability



The first category of ‘awareness’ describes the attitude and perception of the community with regard to the existence of the services and their need to engage in them. The participants reported that it was hard to attract people’s attention to the services because the majority of the community was unaware of what was happening around them. Furthermore, other factors, such as government policy on closing down libraries, the media and prevailing social attitudes, can shape people’s attitude toward libraries as a service that is no longer necessary. The community also possesses an impression of an old-fashioned library, where people come just to borrow books, rather than a community hub where there are many activities. This lack of awareness often discouraged people from engaging with the services.

“Yes, I think people tend to become less aware of something from the district council or county council. The district council puts out a leaflet twice a year, saying how much money they have spent and what they are doing, but perhaps myself I’m yet to

meet anybody who's read it. So, nobody gets to know the library on page 6, they never get there" (P26)

"I think it is the general social attitudes toward libraries; that a library isn't an essential place. You might go to a leisure centre, which is more cool, trendy and modern" (P25)

The participants from both libraries (external and internal stakeholders) showed their mutual appreciation. The community showed their appreciation for the county and parish council support, whilst the councils also appreciated the critical role played by community in delivering the services. This mutual appreciation implies mutual understanding between the two stakeholders, which can foster their engagement. The libraries also understood the importance of harmony within their community. Indeed, every activity was considered in relation to community cohesion and benefit. These perceptions implied that developing mutual understanding is very important in order for all stakeholders to work well together.

"We have to be careful because we have a village shop. We don't want to take away business from other community groups. That's another balance. If you start doing things like taking away from other community services; that's not good" (P30)

"We are very lucky because we have all the support from the county council. I don't think that's necessarily the case in all authorities" (P25)

A common difficulty for both community libraries is their limited staff numbers, which formed the category 'human resources'. Because the libraries are run by volunteers, they often experience a shortage of long-term staff for delivering critical functions. The volunteers are mainly retired and elderly people who are not technically skilled. This limits the libraries' ability to develop good content for their events or keep their daily operations well organised. Furthermore, it is also important to assign volunteers to tasks that are suitable for their skill sets as they are often from diverse backgrounds.

"I mean, you can tell people when to come in; children come and will be given a token, they will sit down and talk about what they just read. But that's too long, and you have to pay two employees all day, and they cannot cope with too many. That's too much to do, but if you have a volunteer who comes because they are interested in working with children and listening to children talk, then you can do more" (P31)

“They’re in the right place, and as long as they pick people with the right skills, it’s always about picking people with the right skills” (P38)

In the category ‘capability’, many characteristics of service providers were identified, such as ‘accountability’, ‘being active’, ‘being friendly’, ‘being business minded’, ‘creativity’, and ‘dedication’. The service providers in both libraries were reported to be very friendly compared to when the council ran the library. The service providers of the current community libraries were much more dedicated and proactive in their activities and events. The background of the service providers is also important, as they need relevant experience as well as networks to run the library. In contrast to Case 2 in Vietnam, both the libraries in Case 3 showed that they were business-minded with many income-generating activities embedded in the libraries’ operations, even if this income was not significant. This also implies that engagement does not only depend on the capability of the service providers but also on that of the community. Both libraries have quite strong communities with mostly middle-class people and are considered to be the more affluent areas in their councils.

“Well, we exercise our brains, and we talk to people. In 2015, we had a series called ‘World Apart’ and they were all locally sourced speakers. Basically, it is based on the social network that we with have with people here; we tried to draw the resources from people who live here” (P31)

“That is the dedication of the volunteers and the directors. Lots of people have been volunteering here for five years. People do stick around. Only a few people disappeared” (P24)

Furthermore, the service providers in community libraries often have local knowledge and networks, which is interpreted here as ‘local legitimacy’. Because they are also a part of the community that they reside in it is easier for community libraries to form closer networks with different groups in the local areas, understand local issues and demand better support from the county council. Therefore, local legitimacy is an important capability of service providers in engaging more with their users.

“A lot of them have better CE because they live locally. Although we run lots of local libraries, we haven’t got the hardcore things, like when are the bins collected, what

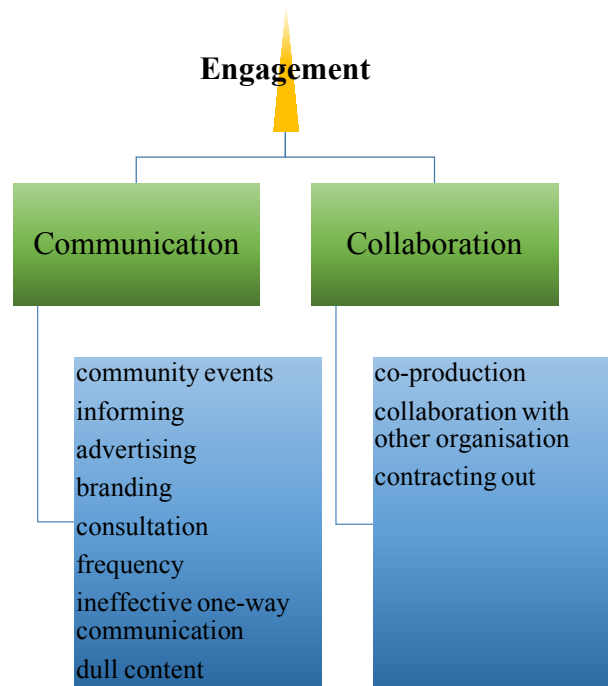
time the buses go by, can you tell me where I can get this and that? You know, local knowledge. They also have closer contacts with schools or organisations” (P38)

“I feel that they are already engaged with the community as most of them are from it and if somebody’s on one committee then you know enough because they have got links to a lot of people” (P38)

7.2.2.3 - Theme 3. Engagement

The data interpretation revealed two main forms of engagement through ‘communication’ and ‘collaboration’, similar to that found in both cases in Vietnam. However, the types and levels of these in this case are different to those of the Vietnamese cases. Figure 7.3 shows the hierarchy of themes, categories and units of analysis of the theme ‘engagement’.

Figure 7.3 - Case 3 units of analysis and categories of Theme 3 –Engagement



Regarding the category ‘communication’, there were both positive and negative opinions on the communication of the libraries with their users. The main type of communication that was reported was ‘informing’, via some means of advertising such as websites, noticeboards, or parish council leaflets. Although this was the best way the service providers could use given their capability, it was reported that such advertisements were not effective in attracting people. This might be explained by the fact that the majority of users of the library were elderly, who were often not easily engaged through online advertising. Some service users felt that the library had not advertised enough, and that it needed other creative ways to

approach users; for example, partnering with real estate agents or the parish council to put leaflets or a welcome package through the doors of every house.

“There are one or two local free magazines and they tend to put things like local events in free of charge but sometimes people look at the interesting events in the magazine and it goes in the bin, so it’s a tricky angle” (P27)

“Well, it would be better to have more events here, because if you have an event about something that people like, they will be yelling like “oh I’ve never been there, it is quite nice, isn’t it?”, so they come here because of a lecture or a performance or a meeting for a particular group. I think that’s one way through, but the other way is leaflets, for example, giving leaflets to real estate agents so they can put them into everybody’s hands. Yeah, as a lot of houses are changing, so it could be a parish council’s welcome package to tell them what is going on” (P26)

The parish and county councils have also paid attention to engaging the community in the library services. ‘Consultation’ with the community was practised by both the local authority and the service provider. Before the government decided to close the public libraries, a consultation was held with the public to decide if they wanted to maintain it and what would be the best way to do so. Furthermore, there were community meetings and survey consultations, where they discussed current affairs in the council. Although this showed a clear effort to engage the community, led by the local authority, some participants contended that these consultations were not effective, as they did not attract people’s attention and the survey did not capture relevant data. Meanwhile, the service providers also sought customers’ opinions by giving them feedback forms or holding volunteer meetings to discuss issues in the library.

“So, it’s open when we have the parish council meeting, and this is where we are spending the money when we have the budget., When you look at our website, you can see that all our budget, costs and accounts are published there. So, by engaging with people and what they said in the meeting, you get what’s important and whether we’re prepared to pay the money for it” (P30)

“We conduct surveys from time to time, every couple of years. But we find that people are very pleased with the service they received” (P31)

“The other thing is we have our volunteer meeting every three weeks, so they actually know what’s happening” (P24)

‘Communication’ between the service providers and the local authority was also crucial. The two libraries received significant support from the parish council and county council on advice and training. The county council library staff kept in regular communication with the library directors to support them with their needs, and there was a helpline so that the libraries and their volunteers could seek help related to issues they were concerned about. The council also kept track of what was going on in the libraries through annual reports, in which they confirmed whether the library was doing well. Such regular communication is essential for these community-led libraries as it provides support for problems that they feel they cannot solve. It also demonstrates a good relationship between the service providers and policymakers.

“Every month they can look at the roll, when they get the requests. We get them every month. They can see their figures. There is a budget, so you can compare. And we have to make sure we understand their financial issue. If they have anything like problems and they have to close for days and something like that, they send their schedule to us” (P38)

“Yes, and building a very good relationship. I like what we have. I always hug them when I see them. They like to tell me everything they are doing, and they also pull in people that have got skills sometimes. They are independent, and we think the main problem would be the managers making sure we have enough people to staff them, also handling difficult volunteers” (P38)

Another form of engagement was ‘collaboration’, which is the second category of the theme of ‘engagement’. Although the libraries were run by the community, the county council still included them in the public library system and provided them with training, book rotation, and held community events through the councils, such as summer reading challenges. The county council tried to work with the community to deliver the services given their limited budget. Furthermore, there was also collaboration between the councils and community development agencies. The county council contracted out their support services to community development agencies so that the community libraries could seek help regarding volunteers, funds and training from these organisations. There was also collaboration

between the libraries and other organisations in their local areas; for example, the school, supermarket, and other charitable organisations. These forms of collaboration were essential to library operation, as by partnering with various stakeholders, the library could take advantage of different resources, get closer to the community and enrich their service quality.

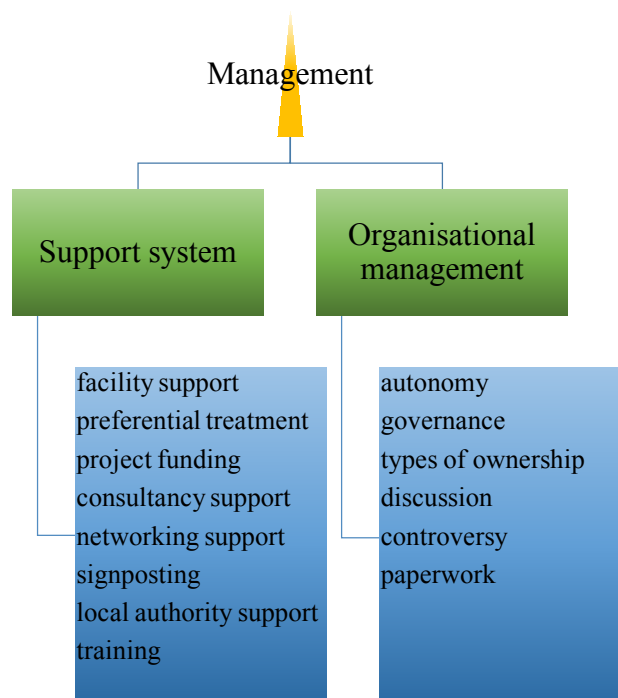
“We do have regular activities with the local supermarket [by donated token]. That gives us a little extra, but we are looking at the other ways of making money, that’s why we have “the knit and natter” group, which brings in income. We also have the events, you know, a little bit of income. But primarily, we’re not there to make money, we are here to be sustainable and continue to offer the services” (P30)

“I think there is some linking going on with the primary school. We’ve got the little ones coming in to use the library more, so the children can understand what’s available” (P34)

7.2.2.4 - Theme 4. Management

The theme ‘management’ was formed by the interpretation of two categories: ‘support system’ and ‘organisational management’, as illustrated in Figure 7.4.

Figure 7.4 - Case 3 units of analysis and categories of Theme 4 – Management



In this theme, management implies that within the organisation and the overall support system for the services, which form the two categories of the theme. Regarding the category 'support system', there was comprehensive support from the councils to the two community libraries. In Case 2 in Vietnam, the idea was reported that the government seemed to take advantage of the community in delivering the services. The councils in Case 3 in the UK seemed to see the community as a partner and constantly worked with them. However, besides the initial funding, there were no continuous funds for the libraries' operation, although the service providers in both libraries still emphasised the important role of the councils in maintaining the libraries thanks to their support systems. Concerning human resources, there was a community library department in the county council, which was responsible for managing the community libraries in the county. County council staff were responsible for helping the community library to set up, training the directors and the volunteers and guaranteeing that advice and support was always available through training programmes, hotlines and regular visits and reports. The staff of the county council had a good relationship with the service providers, as they often paid the libraries visits and kept up regular communication with the library directors. They managed the network of community libraries in the county and signposted them to appropriate partners or funders, or signposted the volunteers and the community to the libraries. Furthermore, the councils continued to give financial support through project funding (which is more often from central government projects), or preferential treatment such as "peppercorn" rent¹⁰. The overall feedback from service providers and the volunteers with regard to the councils was positive, with appreciation of the robust and well-managed support systems and a perception that the council continued to see the libraries as high priority services.

"It's because of course I have all of that setup and I've known them all for a long time, and I've worked there for a month with them, so we could just check how this thing worked and make sure there wasn't any problem, things like that" (P38)

"I signpost people who are looking for work experience to go there. Because they do all of it. They also do the things that all the volunteers want to do: stamp the books, self-services. People do enjoy that part" (P38)

"Initially, a small number of people were trained on the computer and online system, and then it was down to other people. We have a manual as well to work with the

¹⁰ Referring to a very low or nominal rent.

library system. They do a number of webinars and face to face trainings as well”
(P24)

Regarding ‘organisational management’, the participants reported both advantages and disadvantages of being a community-managed library. In terms of advantages, they thought that they had more autonomy in decision-making and management of the library. In addition, both libraries chose to register as not-for-profit companies limited by guarantee, rather than as charities, with the directors in both libraries contending that this type of ownership gave them more flexibility in their financial management, so they could run some free-of-charge events or other income-generating activities. Furthermore, being a non-profit company, they were still eligible to apply for funds and grants. After the changes in 2012, both libraries introduced a ‘friend’ scheme, which offered people in the community the opportunity to become a friend of the library for an annual subscription fee. The idea at the time was that this would encourage the community to develop a feeling of social ownership of the library; however, the scheme did not work effectively in practice. Indeed, one of the library’s directors reported that the scheme clashed with the library’s governance structures, which only allowed company members to vote. Being a friend of the library did not secure an individual a vote within the governance structure, diminishing the attractiveness of becoming a ‘friend’. However, both libraries had a board of directors and held regular meetings with their volunteers to open up discussion on every issue taking place in the library, which reflects the democratic management within the organisation. Nevertheless, such challenges demonstrate the difficulties in achieving social ownership within the community with regard to public services, even when they have private company structures in place.

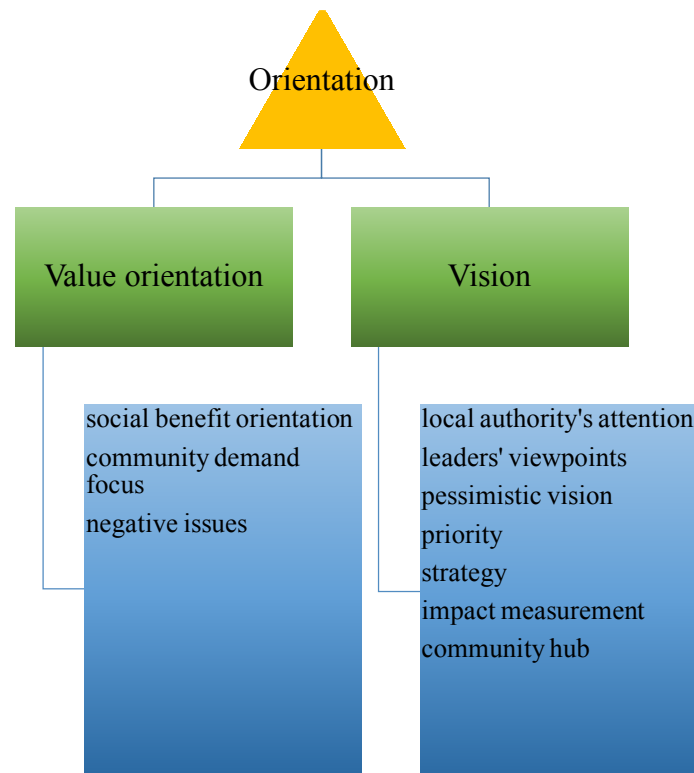
“But now, when I spoke to the volunteers the other day, they really enjoy it, and they take ownership and they can do things as they want, they can have all the events or different events, do reading and they raise money that way. They can do something that we can’t do because they’re not controlled by any county councils” (P38)

“As I spoke to people saying that when you do it as a charity, you are going to very be restricted in what you can do. We couldn’t charge money, for example, do events or charge money even to raise a fund. With a charity, it’s more constrained than with a social enterprise” (P30)

7.2.2.5 - Theme 5. Orientation

The data in this theme revealed that participants' perceptions and opinions regarding the necessity of the service and their desire for social connection could affect their engagement. Therefore, it is important to discuss the theme 'orientation', which was formed by the two categories of 'value orientation' and 'vision', as shown in Figure 7.5.

Figure 7.5 - Case 3 units of analysis and categories of Theme 5 – Orientation



The category 'value orientation' revealed the participants' opinions of and attitudes to their engagement with the library services. For most of the volunteers and service providers who decided to engage in the service after it had been closed by the council, their motivation was to bring social benefits to the community and the desire to give something back to society. Their 'pro-social' value orientation encouraged them to engage in the services; however, many participants also reported that people seemed to be more responsive in relation to negative issues. For instance, if the libraries were closed down, they would see it as a negative issue and engage but if they were operating as normal, then people would not pay attention. This implies that the value orientation of one person does affect their engagement. Furthermore, it was also reported that the current service providers engaged much more with the service users as they tried to focus on community demand. For example, they created

different events and activities to attract more people to the library, especially books and events for children (as the library was located next to the school) as well as providing free tea and coffee for users. This commitment to focus on the community's needs (a demand-led orientation) helped the service providers to reach out to the community better and transformed the library from a place to borrow books to one that was a community hub.

“Why did I decide to volunteer? To give something back to society” (P27)

“Why did I start it? To help the community” (P35)

“It’s a terrible thing that people tend to engage more when it’s a negative. If you want people to come to a parish council meeting, you have to have something controversial. If you don’t have something controversial, people don’t tend to come. It’s negative; I have raised that before with people - why do people tend to be more indifferent when it is something good, but more alert when something’s bad?” (P30)

The category ‘vision’ reflects the viewpoints, priorities and strategies of the local authority in delivering the services. As the participants reported, the local authority was crucial in helping the libraries to become successful. Together with the council, it showed attention and vision regarding the important role of the community in delivering the services. The parish councils in both cases were aware of the libraries as an important part of the town, which could connect people, especially the elderly. Although they had to close the libraries due to the limited budget, the county council understood their social impacts and had a strategy to transform the libraries into community hubs. This provided important vision and direction that the local authority could use to help to promote CE in the library services.

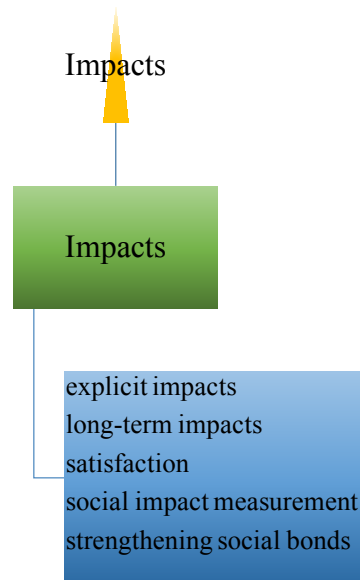
“People don’t come to the library to do things like they used to because you have so much of it online. But it is still respected and people still like the library; they want the library because it’s a good communications hub and from that point of view, the county council are working with us to make it into a hub, so they want a point of information, a point of advice and it’s all in the library” (P30)

“Yes, they have all got separate pages on our own website. We don’t differentiate between them, we don’t treat them like second-class citizens” (P38)

7.2.2.6 - Theme 6. Impacts

The theme ‘impacts’ was formed by the category ‘impacts’, which contained five units of analysis, as illustrated in Figure 7.6.

Figure 7.6 - Case 3 units of analysis and categories of Theme 6 – Impacts



The participants reported that they were satisfied with the services delivered by the two community libraries. They felt that they were part of the town and brought people together, which strengthened social bonds. People changed their view of the library as a place just to lend books once they had come and used the services there. The events and meetings at the libraries enhanced social interaction, and thus social cohesion. Furthermore, the participants believed that the libraries would provide an important long-term impact by educating the next generation. However, some participants also claimed that the impacts delivered by the library were implicit and therefore not easy to see, also that this was why the library services were closing down. The parish council said that some other services with explicit impacts, for example grass cutting, often attracted more attention from people than library services. This suggests the need for social impact measurement so that all stakeholders can acknowledge community library impacts.

“You mean fundamentally what are the social changes? Well with the library, yes. I think there are still a lot of people who like to read books in spite of using things like that [iPad or Kindle] to read during their stay, particularly elderly people. It’s a meeting place that brings people together. I think it’s something that older people like

to go to every week, have a look around, meet a few friends maybe. It's a part of the town" (P37)

"I think it is bringing people together, isn't it? Some people go to the library, some people don't. It is different groups in the community that can make a community, isn't it?" (P26)

"Well, I think very useful things like the small children when they leave school they first come here, so they grow up knowing we are here. But it is long term, isn't it?" (P27)

7.3 - Case 4: analysis and results

Three in-depth interviews were conducted with Case 4 managers, policymakers from the Police and Crime Commissioner (PCC), and one service user; together with two focus groups with seven service users. Therefore, ten participants engaged in the data collection in Case 4. A breakdown of the participants is provided in Appendix 7.3

7.3.1 - Coding process

The researcher identified 85 units of analysis. The full list of these can be found in Appendix 7.4. Connections between units of analysis and categories in relation to each interpreted theme were shown when each theme was interpreted. During the axial coding process, the 85 units of analysis were grouped into the following 18 categories:

- | | |
|-----------------------|-------------------------------------|
| 1. Solution | 10. Collaboration |
| 2. Orientation | 11. Accessibility |
| 3. Support system | 12. Finance |
| 4. Support process | 13. Demographic |
| 5. Social capital | 14. Culture |
| 6. Self-changing | 15. Service provider qualifications |
| 7. Impact measurement | 16. Control power |
| 8. Involvement | 17. Community capability |
| 9. Communication | 18. Personal circumstances |

At the final stage of coding, the selective coding, out of these 18 categories six were considered to be key themes which were important to discuss, namely:

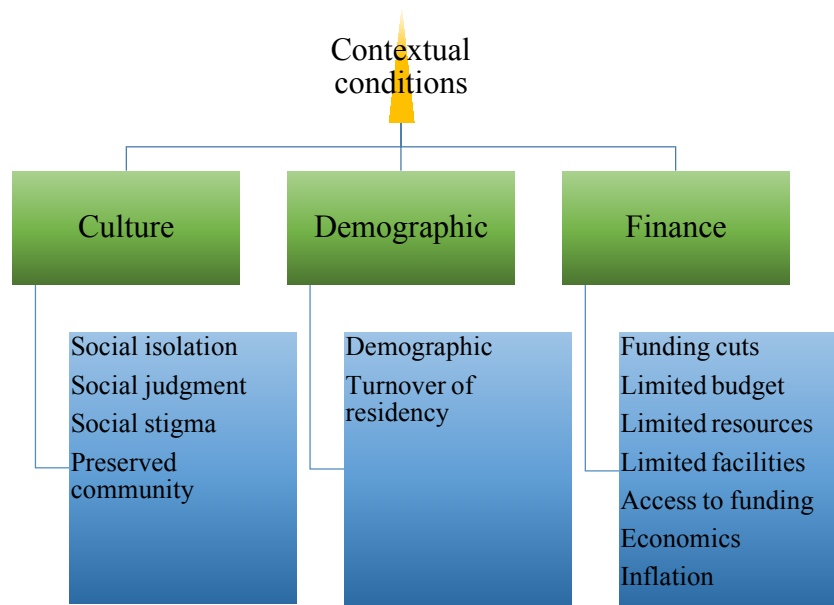
1. Contextual Conditions
2. Capability
3. Engagement
4. Management Mechanism
5. Goals
6. Impact

7.3.2 - Analysis and interpretation of themes

7.3.2.1 - Theme 1. Contextual conditions

The theme ‘contextual conditions’ in this case emerged from the interpretation of three main categories, namely ‘culture’, ‘demographic’ and ‘finance’. Figure 7.7 shows the relations between theme 1 and its categories and units of analysis.

Figure 7.7 - Case 4 units of analysis and categories of Theme 1 – Contextual conditions



In this theme, the first category, ‘culture’, identified some features of British society that might affect the engagement of the community. Similar to Case 3, social isolation was reported as a barrier for people to engage with services. Victims of domestic violence (DV) were often isolated because they did not have a stable job or belong to certain social groups. In particular, people in the refuge house were from different geographical locations from across the country, which meant that they felt no sense of community. Furthermore, there was perceived social judgment against the victims of DV, which discouraged them from integrating in daily life. Staying in the refuge house also caused them trouble in relation to

paperwork and/or being with their children in public places, as they did not want to reveal their identity. There was a perceived social stigma that people still seemed to look at the victims of DV with ‘judgmental sympathy’. These prejudices discouraged the service users from engaging with the community and the services they were using.

“I just, I don’t even tell people (P45); Yes, I don’t say that either. I just say I live in a room in a shared house with my kids (P47); Yes, because people tend to look at you like...(P46); Yes, they treat you and your kids differently as well. They are a bit cautious with how you and your kids are interacting with each other (P45); They question everything you do (P47); It’s very judging” (P45)

“When I had to send my daughter to the nursery, you know. Other people, when they hear the word “refuge”, they were like, people think that you are beating your child or something like that, you are homeless, you know. It comes with something. Most of the time, you don’t even want to say: “We’re in the refuge” or let people know that you are living in the refuge” (P46)

Furthermore, the element of personal demographics was reflected in the category ‘demographic’, although this is not a major issue. In this category, people contended that engagement was dependent upon the age range of the community and their personal circumstances. They also added that engagement might be limited because the turnover of residency meant that people did not know each other and had no sense of community, as mentioned in the category ‘culture’. These factors may also relate to personal circumstances, especially in relation to whether a person engaged with social activities or remained isolated, which is discussed further in the theme ‘capability’.

“When people come from [place name], they arrive here at [town name] and find their home. Their problems came with them effectively; possibly even got worse because there was no sense of community, nobody that they could talk to, that sort of thing” (P40)

“I think that the reason for domestic abuse varies. Your demographic and reasons will be changing, your age group will be changing, you know” (P48)

In the category ‘finance’, most of the participants mentioned funding cuts and limited budgets as obstacles they were coping with. This situation caused service providers to look for other sources of finance. They were unable to improve their facilities, which led to complaints about service quality and availability. Furthermore, there were also economic factors such as inflation that caused reductions in funding (in real terms). In addition, these limited resources also created competition between service providers, which prevented them from partnering and sharing information with each other, as they began to compete for scarce resources.

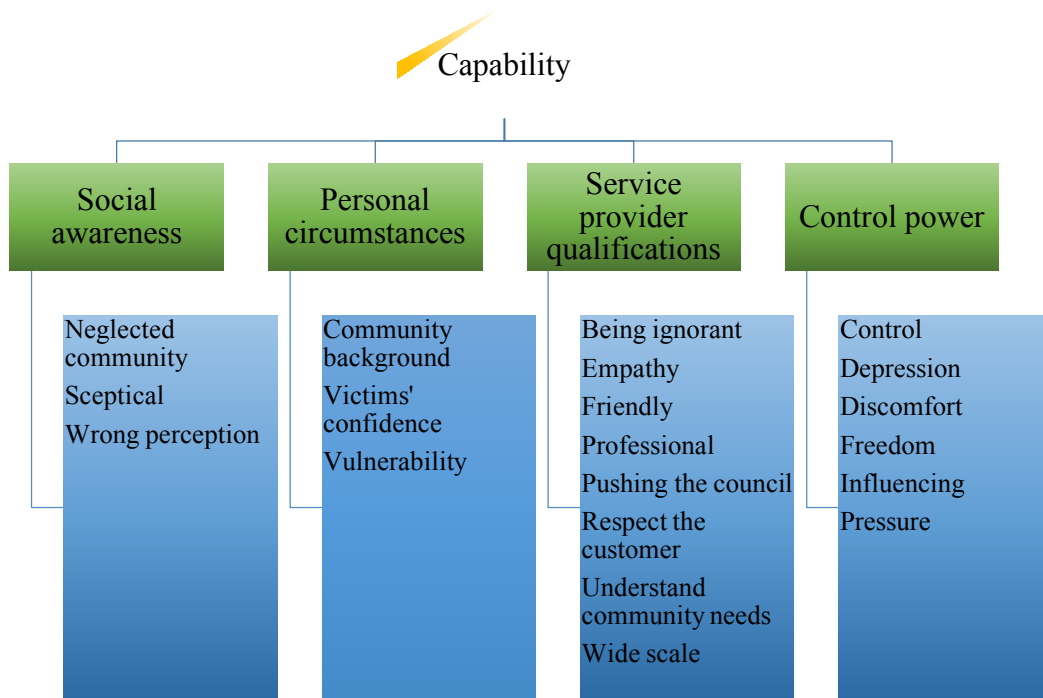
“So, at the moment, until the end of March, we have a small grant from the government, the Department of Community and local government. That was applied for by the local authorities, and we received a portion of that funding. That runs out at the end of March, there is no replacement for it at this moment”. (P40)

“Starting with the service provider, I think that service providers are very conscious that there’s limited funds, you know, for the money that is out there, they all do similar things but you find that they are now in competition with each other. I think that’s quite difficult; if they join up they’ll lose their own identity, so it’s very important to them to stay where they are [...] I thought on my own opinion but because of budget reduction, you know, it puts people at harm, at risk”. (P48)

7.3.2.2 - Theme 2. Capability

The theme of ‘capability’ was interpreted by four categories: ‘social awareness’, ‘personal circumstances’, ‘control power’ and ‘service provider qualifications’, as illustrated in Figure 7.8.

Figure 7.8 - Case 4 units of analysis and categories of Theme 2 – Capability



In this theme, the data revealed the capabilities of both the community and the service providers. The category ‘social awareness’ reflected the awareness and attention of the community regarding DV issues and the support services for these. Although there were points of contact from the county council or the engagement team of the PCC, where members of the community could raise questions or give feedback, the policymakers reported that it seemed to be neglected by the community. Conversely, the community was not aware of their need to engage and/or how to engage. Furthermore, there were incorrect perceptions of what the services did in the community, which discouraged engagement. For example, before entering the refuge house, the victims had a vague perception of what the place looked like and what they did, which discouraged them from signing up for the services. The wrong perception of the concept ‘refuge house’ resulted from a lack of information and knowledge about the service. Therefore, raising awareness is a crucial capability of organisations that enhances CE.

*“The Police and Crime Commissioner is a neglected person from the community”
(P48)*

“I think there is a community or people, women. I need to understand what the word refuge means because when you are out there, the perception of a refuge is different. For me, it used to put me off” (P46)

“If you think of a refuge, you would think like refugees” (P44)

‘Personal circumstance’ also affected beneficiaries’ ability to engage in the services provided. Community demographics are vital, as the environment in which people live can affect their capability to engage. It was found that it was easier for people who were used to working to engage in the social activities provided by Case 4 than for those who had not worked, as work provided enhanced social confidence. In some cases, the victims were treated as vulnerable people, which pushed them into a harder situation where they felt as if they were voiceless (disempowered). In addition, most of the victims felt that confidence was an important factor in helping them to reach out to the services. This reflects that strong self-esteem is vital in CE, as it can engender both awareness and social action in the community.

“I was used to working so I found it very easy to engage in everything in a quick way, which I think is good” (P43)

“We’re just saying that because people don’t know about us, it’s about the confidence and ability, having somebody to support you, being referred some life-changing events, and actually leaving a property [Victims’ houses]. It takes a woman on average 35 incidents before they reach out” (P39)

“With child services, you are completely powerless. Because you are considered a vulnerable person, once you’re in this situation. You fight even harder against the ground. Even though you are allegedly a victim, you’re voiceless” (P41)

Numerous examples were found in the data in relation to the capability of the service provider. Case 4 was reported to be a friendly and professional service that always tried to understand customer needs and show their empathy and respect for them. It had conducted research to investigate the demands of the community and created suitable programmes to meet the community’s needs. Case 4 also has different teams comprising different professionals who specialised in children, healthcare or therapy, which are crucial to delivering comprehensive support. The community also felt much more engaged with the services once they had listened to other service users who had successfully overcome their problems and had been invited to give a talk by Case 4. The organisation also helped the

users to work with the council, giving the victims advice and pressurising the council to deal with the cases. Case 4 therefore gave the victims confidence in handling their situation and encouraged them to engage with the services.

“And we recognise people who were coming back once they have moved out of the refuge, we look for the reason behind that. We can see that people move into new accommodation, which should be safe, but either return to their apartment or find a new partner who’s abusive and so return. We see the stress, the difficulties of moving into a new property is one of the most stressful things which anybody does in their lives. And people do it still suffering from the impact of being abused. So, we started an aftercare service to support the community. We did a lot of training, and it went amazingly well” (P39)

“They give a lot of help. If you need an appointment with the council, they will go with you to assist you. They are actually like your back bone” (P45)

However, the support from Case 4 sometimes became a barrier for the customers, as the service provider could become overly controlling and place the beneficiaries under pressure. In addition, the programmes and social activities provided for them were not always in the beneficiaries’ interest, but they still had to do them to ensure that they were engaged in the services. The victims felt as if they went to the refuge house to get their freedom back but were still not really living freely. The intention of the service provider in Case 4 was good but sometimes control over the victims could cause stress and depression (unintended negative social impact).

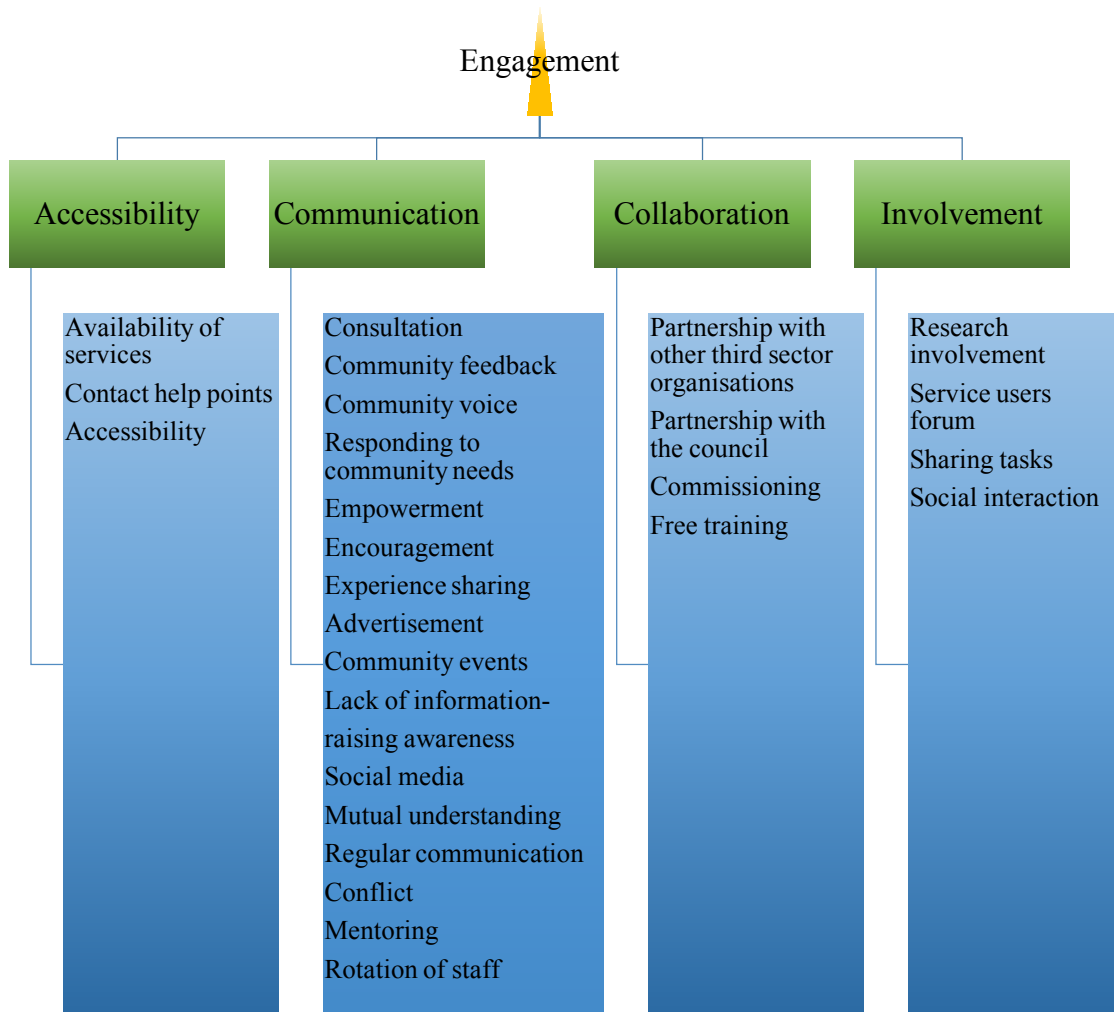
“A refuge life here encourages you to get up and go out. If you go out to, say, meet a friend. Who is this friend? What is this friend like? His contact number, his car registration number? It’s like I have just come from the depression; I’m living in another depression”. (P41)

“You have to do four or five activities per week. So even if you think you do not want to do an activity, you have to make it up. Sometimes you feel like you are emotionally ok, you have to be there because you need to make up that number of activities for the week”. (P47)

7.3.2.3 - Theme 3. Engagement

In the theme ‘engagement’, four main forms of engagement were interpreted: ‘accessibility’, ‘communication’, ‘collaboration’ and ‘involvement’ (see Figure 7.9).

Figure 7.9 - Case 4 units of analysis and categories of Theme 3 – Engagement



In terms of ‘accessibility’, the participants reported that one of the barriers to engagement in the services was the lack of availability and space for the community to hold activities and events. In addition, it is very important that accessibility to information is easy, such as leaflets in General Practices (GPs) or on the back of women’s toilet doors. Furthermore, the online information and social media services provided, helped the services become more accessible thereby promoting CE. Therefore, engagement depends upon the accessibility of the community to the information and services where available.

“I think there’s always room for more. There’s a wonderful campaign putting our numbers on the back of women’s toilet doors, which is fantastic. Because that’s the place you go on your own and you’re allowed to go on your own. If you are being controlled and you can see the numbers, and you could choose what you would do with them because you know whether it’s safe to write them down or put them on your phone” (P39)

“We communicate with them in all of those ways. Since I came to the post in 2014, we have made it sound much more accessible I think in terms of the website, Facebook, Twitter, all those sorts of things as well. We even have Instagram posts. I know, I don’t manage that. So, we made ourselves more accessible in that way to people who might want to self-refer” (P40)

The category ‘communication’ describes forms of communication between service providers, policymakers and the community. Different ways of ‘informing’ the community emerged, such as publicity, community events, social media, and awareness-raising campaigns. Publicity was disseminated through leaflets, websites and telephone hotlines (promoted by the councils, the police and other organisations). Case 4 also participated in wider community events or partnered with other organisations to raise awareness. Although Case 4 made significant efforts to approach the community, the victims reported that they did not know about the organisation until they were referred by other organisations or their social workers. The service providers in Case 4 also admit that although they did the best they could, they felt that these ways of informing the community were not effective and that publicity needed to be done in a more accessible way (as discussed above in the category ‘accessibility’).

“We advertise the helpline everywhere that we can. There’s an umbrella organisation, so they have a website with our contact details on there as well. Just as many places as we possibly can, leaflets going to churches and other places, you know, the one-stop shop, places where people might go in. I think that helps” (P40)

“We’ve been to the volunteer fair at universities, so a lot of students hear that way. Wherever we go and talk to raise awareness of the issue of domestic abuse and our service, we then often have a trail of volunteers who come in and say “can I help?” (P39)

“I didn’t know about [Case 4]; I knew nothing about [Case 4]. I didn’t really like to hear the word refuge because it used to put me off. And I was in my situation for five

years, I was always calling up the domestic abuse helpline, they gave me guidelines to do this and that. Just to calm the situation, you know, but then I didn't ever think that there was a place I could go to for shelter.” (P46)

Furthermore, CE to inform service design and delivery was also conducted through ‘consultation’. The service providers and policymakers paid attention to the ‘community feedback’ and the ‘community voice’. Indeed, surveys and consultations were conducted by both Case 4 and the policymakers to identify the needs of the community so that they could improve their services. This showed two-way communication between the service providers and service users. In addition, Case 4 showed that they were trying to empower their users by letting them decide what kinds of services and activities they wanted, giving them a chance to speak at conferences to share their experiences and linking them with other organisations so that they could enhance their self-esteem and confidence. These were effective ways of empowering the service users.

“In terms of CE, we’ve got our own communication team within the police and also our office, the PCC. We’ve got an organisation that we created called [Organisation name]” (P48)

“Yeah, I think it does, I think it’s important, but then we have the feedback form that we have to fill in every after a session” (P43)

“Building a link when they’re ready with another organisation, being able to come out and volunteer, really helps their confidence and self-esteem, also to build a network for themselves” (P39)

Engagement was also shown through the ‘collaboration’ between Case 4 and other organisations and the government. The county council and the PCC had contracted out the services to certain service providers to provide domestic violence support services. They were aware that they could not do it alone and that these external organisations could do better in terms of CE. Although funding had been cut and the council was in a financial crisis, the PCC was still receiving funding from the government for domestic violence services. Case 4 also worked with other organisations in the field to provide more comprehensive support, although the competition between organisations had been increasing due to the funding cuts. There were also supporting agencies that linked organisations together and to

the government. These agencies also connected the community with the service providers, such as referring volunteers to the organisation.

“Absolutely, it needs to be a partnership between all stakeholders, and again, it’s what we are trying to have here. We know who our stakeholders are, we work really hard to communicate with them. And I have personally written to the government and have had questions asked in Parliament when we haven’t had funding in the past, but we need that partnership to extend to include both local government and national government” (P40)

Case 4 also engaged their community through the ‘involvement’ of their users in different activities, such as participating in research, creating a service users’ forum, involving them in housing tasks, and trying to create more activities to enhance their social interactions. By being involved in groups such as the service users’ forum, the community not only had the chance to co-design services, but it was also presented with opportunities to socialise with other people, which is important for social inclusion. Case 4 also tried to engage the service users by involving them in research on projects. These activities were good chances for them to communicate with different stakeholders, giving them a sense of social life and enhancing their self-esteem. They were in effect co-researchers and Case 4 was engaging in co-production.

“You’ve got like a meeting once a month here, and you are like “what’s going on, is there any improvement that can be made, how is everything; there’s always opportunity within this, you know?” (P41)

“In the refuge, they have to keep their own room clean and tidy, but they also have to contribute to the hygiene of the whole house. They have to clean parts of the floor that they are on, the kitchen and stuff” (P40)

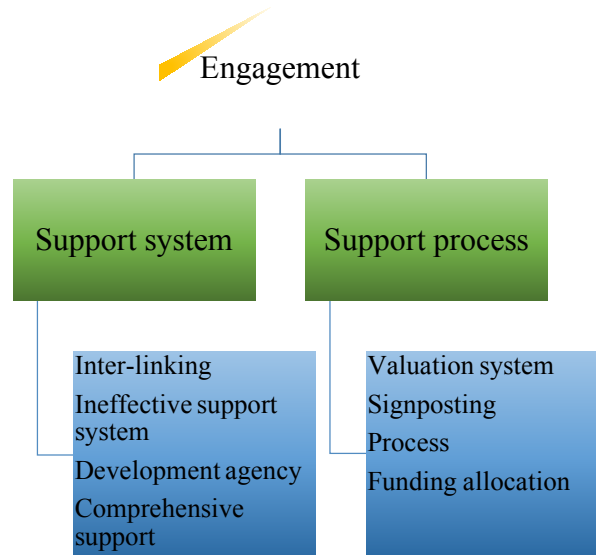
“They’re also heavily involved in any research if you know one of our programmes is being evaluated by [University name], and they will be involved in a focus group or something like that” (P40)

“There are opportunities they are trying to provide to you that stop you from sitting in your room with your kids all day. They’re social elements when you have coffee and chat every Friday” (P41)

7.3.2.4 - Theme 4. Management

In the theme ‘management’, there are two categories of ‘supporting system’ and ‘supporting process’ that describe the supporting system management of DV support services within local government. Figure 7.10 demonstrates the theme, its categories and units of analysis

Figure 7.10 - Case 4 units of analysis and categories of Theme 4 – Engagement



The first category, ‘support system’, was interpreted to reflect the management inter-links between local government and the service providers. The police are often the first point of contact for a DV victim. The other support services operated by the county council are then followed up as needed, such as social workers, the early intervention team, and the housing team. Furthermore, there are also development agencies, which support Case 4 through victim/volunteer referrals. Such a support system, if well-managed, benefits the engagement process of identifying the appropriate needs of the victims. For example, the PCC in Case 4 commissioned a centre to deliver emergency support and consultations with DV victims, before signposting them to the higher level of support provided by Case 4. Such a system helps to direct victims more efficiently towards appropriate forms of support. However, the service providers in Case 4 reported that they thought the public officers and the police did not work well together in supporting the victims, mainly due to funding cuts, so the system was not well maintained.

“Because of the situation, we have a lot of support from the council, and the social services. They were the ones who referred me to a domestic abuse support worker,

and it was through her that I was accepted, which I've got through. So, I found it helpful" (P43)

"It is a partnership event because the police might be the first point of contact when families are in crisis, but it is your social service that might have to pick up some support for the children. The county council's got an early help team if you have spoken to them. The county council also does commission on domestic abuse as well" (P48)

"How do we find them? They do find us. We have a presence at the volunteer centre, so if you're looking for the volunteer, you will be able to find us on the listing" (P39)

With all the stakeholders involved in the support system, there was a need for a suitable 'support process'. Although funding cuts are occurring nationwide, the county council in Case 4 is not a good example of the financial management of austerity, as it is currently going through a serious financial crisis. Therefore, funding for Case 4 is no longer available and the organisation is facing severe financial challenges. Furthermore, the PCC also receives funding and allocates it based on the performance and needs of each sector and organisation. The PCC assesses the bids for providing services with consideration of both social and economic elements. Once the police receive a case, they ensure all relevant departments are involved, and further reference will be made to send the victims to different support services, of which Case 4 is a service provider. The perpetrators will also be processed through the criminal justice system. However, the PCC policymakers contended that they thought the valuation system was not very well managed, as the criteria set for the victims might be too high. Therefore, sometimes new victims of DV are not able to access the support system when they should have been supported by the early intervention services. In general, management of the support process was revealed to involve many sectors, but that austerity and funding cuts prevented the support system from being well maintained.

"I think that the problem of reduced funding is nationwide; other local authorities deal with that in a different way. A couple of years ago, when the local community government department started to offer funds, this county council and the bureau decided that they would stop funding because the national government weren't funding" (P40)

"If they set their criteria [criteria to select victims to support] too high, where do those people go? Who did they go to for support? It might not actually be domestic

support services; they can be picked up by other services. If a person doesn't know they are there, doesn't understand the system, then they don't get help. This is what I mean by they set their criteria too high" (P48)

7.3.2.5 - Theme 5. Orientation

The data revealed the interpretation of two categories, 'orientation' and 'solution', which constructed the theme 'orientation', as detailed in Figure 7.11

Figure 7.11 - Case 4 units of analysis and categories of Theme 5 – Orientation



The first category, 'orientation', reveals the orientation and direction that all stakeholders take, and which affect their engagement. The engagement of the community not only depends on their background and capability, as previously discussed, but also on their 'preference'. The preference of the victims for certain aspects encourages or discourages their engagement in activities. However, the service provider in Case 4 also focused on the community's need to design their own programme. They expressed their opinions with a strong focus on service user demand. Therefore, their programmes tended to empower the service users and attempted to engage them in a variety of activities and social interactions. Regarding the policymakers, they aimed for a joint strategy that involved all the service providers and stakeholders in identifying what would be the best for DV victims.

“It will suit me because I’m a carer, but it might not suit someone else. The people might have ideas for activities and things that could be done, and they will try their best to get somebody to come and do that with us” (P43)

“I didn’t like those activities, but that’s just personal preferences” (P47)

“If the service users think this is really meeting their needs, we need more of this. That’s why we ask our partners to help us write the strategy, tell us what’s working, what we want more of. There might be some services that actually say, you know, we’ve run this particular support for a year, it could be work programme” (P48)

In terms of ‘solution’, the sustainability of the services and the impacts delivered are crucial. Case 4 designed a unique programme that followed up the victims after recovery to ensure they had enough capability to move on with their future lives. The programme was designed to provide training on skills and career orientation, and to build up confidence and equip the victims with skills and knowledge. Such a programme improves the sustainability of the impacts delivered by the services, as it helps the victims to transform themselves and change their lives in a more positive way.

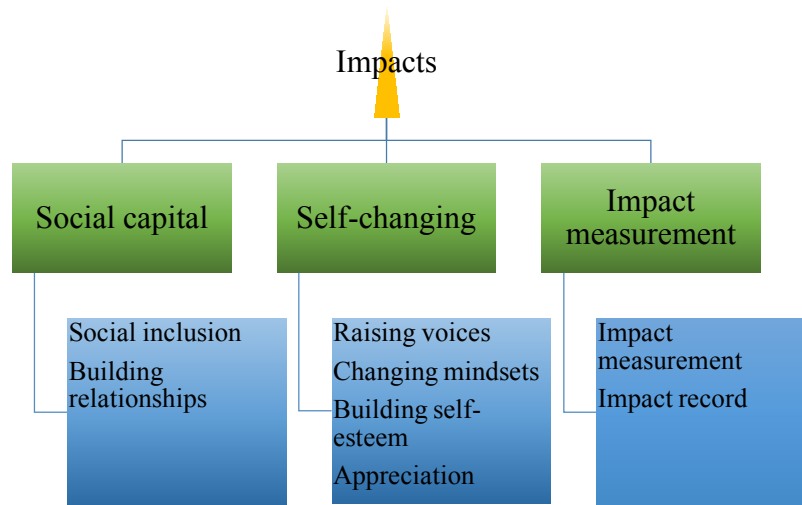
“Each person who comes to the services has a key worker, whom they can go to for support, have regular meeting with them to discuss their individual development plan, what’s on it, what they are doing, how they are meeting the needs that they’ve already identified together: how they are moving forward in their journey. They could also reflect on their journey as well to see how far that they’ve come” (P40)

“You can go there and do bakery courses, with the work programme, probably volunteer courses. Yes, and you actually work one day a week or how many days you want. In the cafe, you learn things about the cafe. And house cleaning, washing up, cooking, doing the delivery, I was all over the place”. (P42)

7.3.2.6 - Theme 6. Impacts

The theme ‘impacts’ was constructed by three categories: ‘social capital’, ‘self-changing’ and ‘impact measurement’, as demonstrated in Figure 7.12.

Figure 7.12 - Case 4 units of analysis and categories of Theme 6 – Impacts



Analysis of the data revealed that the services delivered by Case 4 could enhance ‘social capital’ by promoting social inclusion and building relationships for the victims of domestic violence. Aside from the formal programmes for the victims, Case 4 aimed to run informal activities such as coffee chats and the user forum, which gave people the opportunity to interact with each other and promoted social inclusion. The service users in Case 4 reported that they felt much more connected to the community when participating in the activities and programmes provided by the organisation. They also had the chance to build more relationships with other people, which helped them to build their confidence and restore their lives. Therefore, social bonds and social capital among the victims were enhanced.

“There are opportunities they are trying to provide to you that stop you from sitting in your room with your kids all day. They’re like social elements, when you have coffee and chat every Friday” (P41)

“Every week, it’s for people who are in the community, people from the houses. It’s a nice social thing; it’s good for those who are new to the house. Because it shows them, there’s light at the end of the tunnel” (P43)

“Building a link when they’re ready with another organisation, being able to come out and volunteer, really helps their confidence and self-esteem, also to build a network for themselves” (P39)

More importantly, the service users reported positive changes in themselves after using the services provided by Case 4. Because of the social interaction and empowerment

programmes that they had experienced, they felt much more confident and that they had their self-esteem back. They were given the opportunity to open up about their experience and share it with the community through conferences or involvement in research. The victims also enhanced their awareness and knowledge of DV, as they were equipped with knowledge and skills that helped them to understand the acts of violence against them and their rights. Changing awareness made the victims much more involved in community activities, such as volunteering or sharing experiences with other victims. They also developed friendships and became more confident in building new relationships.

“We also give them the opportunity to speak at conferences, often within a sector where we have a conference, we would want input from services users, and it’s generally us that provide that” (P40)

“A lot of people aren’t even in the house or community. After, like, they have received help from Case 4, they tend to come back and work for them as volunteers. I think it’s kind of like giving back; there’ll be one group of people in the house, they’ll leave but then they will come back to volunteer, and the next group will come in” (P44)

“I’ve done freedom, now doing stay free. I find it really useful; it is very helpful; actually, it helps me. Now I’m in a new relationship, and I couldn’t be happier. But it does help you build up your self-esteem; it’s all about you, looking after yourself” (P43)

The final category of the theme ‘impacts’ is ‘impact measurement’, which reflects the fact that social impact measurement has not been well implemented by either Case 4 or the policymakers. Although Case 4 did always record any impacts through feedback from their users in order to prove to sponsors that they were delivering good services, they only employed simple frameworks to measure such impacts. The policymakers in the PCC also admitted they did not undertake much social impact measurement and thought that this would be good to engage with in the future.

“Going forward, I think it (Social impact measurement) would be a very, very good thing to be able to do. Yes, it has been difficult; we would like to be able to do that. In the past, it hasn’t been difficult, going forward we would like to” (P48)

“And we keep a record of any letters that we receive from them, cards and those sorts of things. As we can put these in our funding bids as well, they are very important to us” (P40)

7.4 - Discussion

In this analysis of the cases in the UK context of the study, the themes that have emerged from Cases 3 and 4 can be used as elements to answer research questions 1 and 2. Question 3 was answered through analysis of all the cases in both countries.

7.4.1 - Question 1. How does community engagement affect social value creation in public service delivery?

As previously discussed in Chapter Six, capability provides the means to enable engagement, and the impacts are the results of this engagement. Therefore, similar to Cases 1 and 2 in Vietnam, to answer research question 1 in the UK context, analysis was also made at all three levels, with the focus on the themes of ‘engagement’, ‘capability’ and ‘impacts’.

In the theme ‘engagement’, both Case 3 and Case 4 shared similarities and differences in their CE aspects; in both cases, the common CE forms were ‘communication’ and ‘collaboration’. Case 4 showed different aspects of engagement through their ‘involvement’ of the service users, and revealed the importance of ‘accessibility’ to information before engagement. The forms of engagement in both cases share the typology of engagement proposed by Hunt (2002), which includes ‘community information’, ‘community consultation’ and ‘community participation’.

Regarding ‘communication’, both cases show the main forms of communication to be ‘informing’ and ‘consultation’. The common methods the two cases used to inform service users were publicity through social media, websites and/or leaflets. Although these were considered by the organisations as the best means available to them given their resource constraints, both service providers and service users contended that they were not always effective. The information was not easy to access as most of the people were either disinterested and/or limited in their ability to access the materials. In contrast to the cases in Vietnam, where people tended to know the information through their local networks, built up through strong social bonds, the service users in both cases in the UK did not have strong bonds with their community. This difference suggests that the attention to information comes

not only from personal interest, but also from social networks through which people share their mutual interests. Indeed, a person's valuation is influenced by that of others (Schumpeter, 1909), and not solely in the economic sphere. Therefore, social interactions and bonds are very important in shaping people's values and perceptions. Without a strong sense of community and local networks, the community in both cases in the UK were potentially unaware of the social problems in the community in which they live. The volunteers in Case 3 were people who stood up during public consultations and had more local connections, so therefore a better sense of community, which was built up through social interaction (Emerson, 2003). Therefore, these people tended to respond better to the information, even though it was given to everybody.

However, the communication in both cases in the UK was not only one-way, but was also two-way through 'consultation'. This 'consultation' was conducted between service providers and their users through feedback forms or surveys, and between the local government and their community through public consultations and meetings. The consultation with the service users and the community showed a higher level of engagement, which empowered the community better, as it was given the chance to engage in instrumental-rational social action, which aims to do things in the most efficient way (Weber, 1978). The service users in both cases indicated that they were happy with the engagement meetings, where they could discuss ongoing issues with the service providers. However, when the consultation was taken to the wider (public) level by the local authority, the participants reported that the community was often more neglected and only attracted attention as a result of negative issues. Community consultation was undertaken to capture the range of opinions of the community, not just individual thoughts, and so this is perhaps to some degree inevitable (Spicker, 2006).

Although the community's opinions had influence, the organisation or local authority still retained the decision-making power (Bishop and Davis, 2002). This may explain why at a wider public level, the consultation did not always guarantee engagement, as the community was not a homogenous whole, but rather a collection of smaller communities, all from different backgrounds and with different opinions, needs and cultures. In contrast, on a smaller scale, at which they had a closer relationship with and better understanding of the organisation, community consultation was often more effective, as it engaged with a more homogenous group, specifically focused on the aims of the organisation in question. This

suggests that it is not the act of consultation that leads to engagement, but that this is mediated by the strength and quality of relationships between service providers and users.

Chapter Three identified that an individual's preferences are inextricable from wider social or community preferences. Therefore, the interaction of individuals with their community impacts on their trust and orientation. Indeed, true engagement often only resulted after a long and regular communication process intended to build good relationships and trust among stakeholders. The county council in Case 3 visited and communicated regularly with all the community libraries to keep them updated and to support them. Their deep engagement with the community was built upon a good relationship and mutual understanding of what they were trying to protect and maintain, which was a culture of reading and learning. Meanwhile, the PCC in Case 4 conducted their consultation through a commissioned organisation, whose role was to encourage the community's voice. However, the consultation conducted through this organisation was not held on a wider scale, as reaching out to the community in an area such as DV is not easy given the vulnerability of the victims.

In both cases, especially Case 4, engagement was also implemented through the 'involvement' of service users in a range of activities and 'collaboration' between the service providers, the local authority and the community. Regarding 'involvement', the service provider in Case 3 created many groups and social events to engage the community in their activities. Such an approach to involvement towards the homophily of recreational and leisure activities implies the generation of social capital (Warde *et al.*, 2005). Engagement in such activities can create informal social networks, which are not necessarily based on the neighbourhood, and can promote individualised forms of engagement (Fischer, 1982; Warde *et al.*, 2005). Although community involvement in Case 3 was able to enhance social interactions, it did not empower the service users to be a part of the decision-making process. One of the directors of Case 3 also contended that the 'friends' scheme' that they used before to encourage people to be a part of the library did not work, as people did not earn the right to vote as they thought they would. This suggests that involvement can only be effective if it can provoke people's voices and power in the decision-making process, which makes it different from mere 'consultation' (Bishop and Davis, 2002). Meanwhile, Case 4 involved their users in social activities embedded in their programmes, and empowered them to make decisions and raise their voices through the service users' forum. Community involvement in

both cases showed that two-way communication can increase trust among stakeholders and empower the community (Grunig and Huang, 2000).

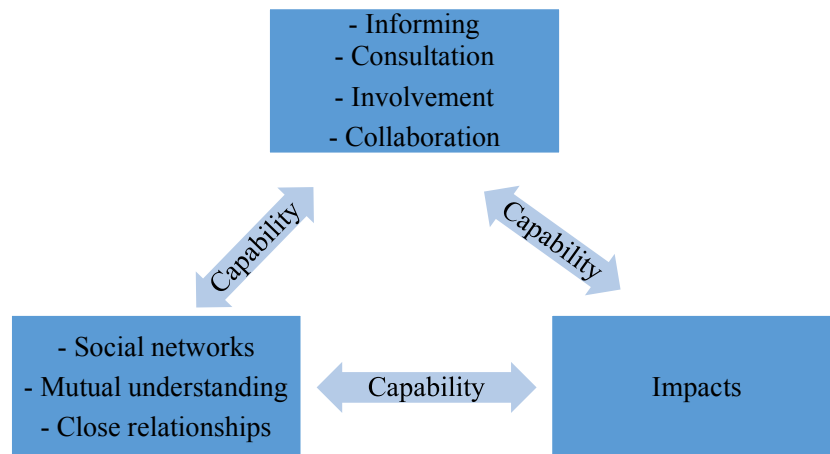
The ‘collaboration’ between the service providers and the local authority in Case 3 was also a result of community ‘involvement’. The county council in Case 3 did not stop at public consultations to transfer the library to the community; they also empowered the community to start the services, involving them in the county council library systems with a range of activities and collaborating with them to deliver the services. The collaboration, in this case, was achieved through a shared vision to maintain a social asset (reading culture) to adapt to the new changed conditions (funding cuts) (Sullivan and Skelcher, 2002). Moreover, the service users reported that they felt much more socially included by taking part in the activities provided by both cases. This suggests that participation was not just the result of the interaction between the community and service providers but also of the motivation of the community to engage. Indeed, the engagement of a community depends on individual interest, trust, knowledge and a sense of community belonging (Barkan, 1998). While community bonds provided the condition to foster engagement in the Vietnamese cases, the wish for community belonging was the motivation for the community to engage in both the UK cases. The users started to engage based upon a desire to improve their own sociability and felt the benefits of the social interactions and social bonds they were developing. Therefore, this suggests that it is important to understand community needs and enrich social interactions and self-esteem to enable engagement. This finding is also linked to the theme of ‘capability’, which is discussed below.

The ‘capability’ theme, as discussed in the Vietnamese cases, is an important means of enabling engagement, as it is a primary source of development (Sen, 1988). CE can be achieved through a strategy that develops community knowledge, skills, values and motivations (Littlejohn, 1999). In the two UK cases, the capability of all the stakeholders was expressed through their ‘awareness’ and ‘qualifications’. First, regarding the capability of the community, in both cases it lacked the knowledge and information that was required to have an appropriate understanding of the services. While the community in Case 3 still possessed an idealised vision of an old-fashioned library, the users in Case 4 had little knowledge of how the refuge house operated. The capability of the community was also reported to depend on the background and personal circumstances of the individuals themselves.

People who were more active in social activities tended to engage more easily with the services than those who were experiencing social exclusion. Case 3 also revealed that social class also affects people's ability/willingness to engage. People from the middle class and living in a wealthy area (such as the volunteers in Case 3) tended to be more involved in public issues than those who were vulnerable and less educated (such as the victims in Case 4). This suggests that the contextual conditions of the community can have an impact on their capability to engage. Regarding the capability of the service providers, both cases demonstrated their capability to sustainably run the services, even in times of austerity. This is the difference compared to both cases in Vietnam. Both Case 3 and Case 4 are very active in fundraising. In an environment where the voluntary sector has a long history and is well-developed, funding sources in the UK are more diverse. Both the organisation and community were familiar with the culture of voluntary and fund-raising activities, which enabled them to join together and collaborate in community events to raise funds. Therefore, capability should be accompanied by the availability of opportunities. This implies that the influence of contextual factors is important.

Regarding the theme 'impacts', the enhancement of social bonds and social capital in both cases was critical in driving impact. The service users reported that they experienced a sense of community belonging when engaging in the services and social activities that Case 3 and Case 4 had designed for them. Before that, they were socially isolated because of their age or family situation. The service users in Case 4 also identified changes in their self-esteem, and that they had become more confident and sociable. They enjoyed being involved in social activities, as it enhanced their self-esteem and empowered them. Therefore, the resulting impacts are more like a virtuous circle of social capital creation, as the continued social interactions and social bonds resulting from the impact then create additional activity and impacts. Figure 7.13 outlines this process. Social capital, together with social interaction, social bonds, social networks and mutual understanding, have a great influence on the forms of engagement and their impacts. Capability, as discussed, is important in transforming social capital into an ability and desire to engage. The social capital created through engagement results in impacts, which eventually create more social bonds and social interactions, and subsequently yet more impact.

Figure 7.13 – The process of community engagement in the UK cases



7.4.2 - Question 2. How do contextual factors affect CE and social value creation in the two countries?

Based on the themes that emerged from the two UK cases, the contextual factors that affect CE were discussed around three themes and three levels of analysis: ‘contextual conditions’ (macro-level), ‘management’ (middle-range), and ‘orientation’ (individual and middle-range level). In terms of ‘contextual conditions’, both cases had similar contextual conditions relating to ‘culture’, ‘finance’ and ‘demographic’. Case 3 revealed one additional factor, ‘location’, implying that the location of the organisation affected people's awareness of and engagement with the services. Concerning the factor ‘culture’, the culture of voluntary and civic engagement emerged in both cases with the existence of many forms of community groups and voluntary activities. As discussed in research question 1, both cases created different community groups and social events to involve their service users and collaborate with different stakeholders. The norms of voluntary social groups and the culture of philanthropy have become a vital part of British civic engagement. Britain has one of the densest networks of civic engagement in the world, with 53% of the population being members of organisations, whether political, professional, voluntary or recreational (Office for National Statistics, 2017), although this proportion has dropped from two-thirds of the nation during the 1980s (Parry *et al.*, 1992). Indeed, this long history of civic engagement implies a general capability within communities to take part in voluntary work and to form social organisations/movements. For example, the community in Case 3 was strong enough to take over the library services, and with the support of the county council they developed

the skills to manage the library, conduct fundraising events and hold numerous social events. Those capabilities, however, would not be sufficient without a robust ecosystem of voluntary sector support being available. Furthermore, the formal engagement within these organisations, and the informal sociability surrounding them, are also important dimensions of social capital in the UK (Hall, 1999). Indeed, the personal contacts and social interactions through groups, such as coffee mornings, as well as the reading groups that Case 3 and Case 4 arranged to involve their service users, are forms of this informal sociability. Although these types of engagement are hard to measure, Hall (1999) identified that there was an increase in leisure time due to reduced working hours and labour-saving devices in the home in Britain, which led people to spend more time in informal sociability. However, other authors argue that Hall's figures did not include people who were not working or women who usually spent more time doing housework (Grenier and Wright, 2006), who represent the two main groups of service users in Case 3 and Case 4. Furthermore, these are groups who experience 'social exclusion', as they stated in their interviews, and so the third sector in the UK cases also acts to reduce social isolation and exclusion (Seddon *et al.*, 2014b).

As discussed in relation to research question 1, the desire for a sense of community belonging became the motivation for services users to engage in both Case 3 and Case 4. The service users were retired people and vulnerable women who were often not working, which made them more likely to be socially isolated. This again implies the critical role of public services (especially those delivered by third sector contractors/partners) in addressing social problems through CE. This context in Britain also implies that the development of civic engagement and the voluntary sector is an advantage for CE in PSD, but not necessarily an advantage in engaging people in informal sociability, which is also a vital part of forming social capital. Service providers need to understand the difficulties and capabilities of the community in order to help them to engage with the services better. In the UK, Cases 3 and 4 both understood the difficulties of being socially isolated, especially amongst the elderly and/or vulnerable women, who are less able to be involved in formal sociability.

In the theme 'contextual conditions', the category 'demography' also emerged as an important factor in CE. The libraries in Case 3 were based in affluent areas, where most of community were middle class. Meanwhile, the service users in Case 4 reported the differences in their backgrounds and circumstances, and how these affected their interest and ability to engage. People who used to work (or were employed) could socialise more easily and enjoyed being

in groups more than people who were not working. This implies the importance of background and social class in shaping people's consciousness and their collective life (Heath, 2016). Previous research centred on social capital in Britain has shown that middle class people are more likely to engage in civic engagement, especially charitable endeavours, than the working class (Hall, 1999; Li *et al.*, 2003; Grenier and Wright, 2006). In British society, the middle class has expanded dramatically after the 1950s as a result of the reduction in the manufacturing base, the increase in the private sector, and the expansion of employment in the public sector, which led to an increase in white-collar employment (Hall, 1999). Even in informal sociability, the social networks of the middle class are said to be more extensive, while those of the working class are more likely to be based around close contacts (Hall, 1999). This might explain how the two communities in Case 3 could take over their libraries successfully, while others could not, as most of the library directors are middle class and have been (or are) from professional work backgrounds.

Meanwhile, service users in Case 4 found it hard to engage with the service at first, as they lacked social interaction skills and did not feel a sense of community belonging. Another aspect of the demographic reported was the high 'turnover of residency'. Case 3 revealed that one of the difficulties in engaging people was due to high residency turnover, and the fact that the majority of residents commuted to work, which meant that they had few social bonds with local events. Meanwhile, service users in Case 4 were from different geographical areas across the county, and indeed nationwide, which made it difficult for the service providers to reach out to them. Indeed, in neighbourhoods where the length of residency is short or fluctuates, the residents may not be aware of existing networks or social groups and their responsibility for their maintenance (Grootaert and Van Bastelar, 2002). Lower community engagement is found in areas where there is a higher level of residential mobility (Magre *et al.*, 2016). Therefore, the lack of engagement in the UK cases can be seen in part as emerging from the instability of residency in communities. This might also explain why in both Vietnamese cases, the social bonds and interactions among stakeholders were stronger. In the Vietnamese cases, the stability of residency meant people tended to know each other very well, so it was more natural for the community to work together and be informed.

Another aspect of the theme 'contextual conditions' was 'finance'. Although the participants did not really talk about the economic development of the country (aside from general comments related to austerity), there were repeated complaints about the financial situation of

the organisation in both Case 3 and Case 4. Since the 1980s, it has been argued that the public services, which are provided by the state are under high fiscal pressures and facing high costs, as an ageing population results in an increasing welfare burden and responsibility for the state to find a more effective solution (Di Domenico *et al.*, 2009a). This is why a range of public libraries in Case 3 could not be maintained and had to be transferred to the community. The funding cuts also affected Case 4 and put the organisation into competition with other related organisations for contracts and income generation. This discouraged collaboration between sectors, as discussed in the analysis of Case 4. The funding cuts have affected the organisations' facilities, and the number of staff who should be employed, which eventually affects the quality of CE. The limited resources, however, could also become a driver for the organisation to take advantage of all available resources (for example, the community and social capital) to improve their services, which has been identified previously as "social bricolage" (Di Domenico *et al.*, 2010). Cases 3 and 4 have a comparative advantage in their ability to mobilise non-financial inputs, such as volunteers, that private organisations cannot access (Mulgan, 2006) (see more Section 1.3.4.2, Chapter One). Therefore, the financial difficulties might be an obstacle for the organisation in its operation and implementation of engagement activities but could also be a driver for it to think outside the box and seek other non-financial inputs. Therefore, whilst austerity has had many negative consequences, it may also act in these areas to enhance/increase CE.

In the discussion of the factors affecting engagement, the themes 'management' and 'orientation' should be linked to reflect the general picture of the policy and strategy of the UK with regard to PSD. Although no political factors emerged from either case, the policy and the strategy of the government does have a great impact on the sustainability of voluntary community involvement in social services in the UK (Hall, 1999). This supportive system, with the collaboration of the public and the third sectors, resulted from the orientation and strategy of the country in embedding social value in public policy (i.e. the Social Value Act). In the UK, the long history of welfare provision illustrates the important role of community organisations. From the Thatcher government's focus on marketisation, through to the 'Third Way' policy of the New Labour government, successive governments have focused on reshaping public services so as to achieve cost efficiency, while still being responsive to community needs (Hall *et al.*, 2012). These policies have provided a driver for the third sector to be involved and play an important role in empowering the community in public service provision.

The Voluntary Sector Compact (VSC) launched in 1998 opened up and aimed to boost the involvement of the social economy in delivering public services (Osborne and McLaughlin, 2002, 2004). There were also changes in the government's stated goals, from cost-saving to marketisation, and social value-oriented and community empowerment through collaboration and partnership. Community ownership and local government power have also been strengthened by the Localism Act 2011 (UK Parliament, 2011). More specifically, community ownership is enhanced through the "community right to challenge" clause, in which social enterprises, community groups, parish councils and employees have the right to express their interest in delivering public services. The community has the "right to bid" for community assets that they think to be a vital part of community life when they come onto the open market, and the "community right to build" to enable local communities to build new homes, community halls, or other infrastructure that helps to enhance their living environment; these are both important policy developments. Furthermore, according to the Open Public Service White Paper 2011 (HM Government, 2011) (OPS), neighbourhood councils and local government are free to pursue any policy as long as public procurement/service rules are not broken. This is intended to enable local authorities to innovate and be more creative in addressing local demands. The Public Services (Social Value) Act 2012 (UK Parliament, 2012) was later passed to encourage local government to consider social value as a criterion with which to assess public service tender responses. TSOs have been put into the mainstream of public service provision, as they can provide social legitimacy and innovative capacity building on the ground, thus creating social regeneration and social cohesion for the community, which is more effective than local authority-led schemes (Amin *et al.*, 1999; Di Domenico *et al.*, 2009a). The policy pathway pursued in the UK over the last 30 years has therefore supported the growth of the third sector and encouraged the use of volunteers and the community alongside professionals in PSD (Hall, 1999). Therefore, the collaboration between service providers and the public sector in both Case 3 and Case 4 are in part due to the strategy and orientation of the government, which has helped to foster a comprehensive support system for the services and organisations. Although the service users and providers reported issues in support system management, as well as in collaboration mechanisms, it is clear that the government considers working with the community as a mainstream part of their strategy.

7.5 - Summary

In this chapter, analysis of the interview transcripts from both cases in the UK has been presented. In each case, the current research applied ‘coding’, with three main steps of open coding, axial coding and selective coding, to identify the main themes. Although the categories and units of analysis were slightly different in each case, the main themes which emerged were the same. This also reflects the saturation of the data collected. Although the themes are the same as the cases in Vietnam, the subordinated categories of both cases revealed many different aspects between the two contexts.

The six themes to emerge were ‘contextual conditions’, ‘management’, ‘engagement’, ‘capability’, ‘orientation’ and ‘impacts’. The analysis suggests that the culture, long history of civic engagement, and the voluntary sector in the country have a significant influence on CE, shaping the capability of the community to engage in a variety of voluntary endeavours. This fosters the community to become involved in PSD, as both users and service providers. The long history of third sector development and community empowerment through collaboration and partnership in the UK also promotes the collaboration and engagement of the third sector and community in PSD. The analysis also revealed the forms of engagement to be ‘communication’, ‘collaboration’ and ‘involvement’. The other factors of ‘management’ and ‘orientation’ were also shown to be important in shaping the direction of the development of CE. In addition, the impacts of engagement were revealed to be improvement in social capital and changes to people’s self-esteem, subsequently driving CE itself.

Concerning RQ1, which explores how CE creates social value in PSD, three main themes were discussed, namely ‘CE’, ‘capability’ and ‘impacts’. The findings suggest that regardless of the forms and levels of engagement, it should be built on good relationships, mutual understanding and mutual interest. Without both strong social bonds and social cohesion, ‘consultation’ or ‘involvement’ cannot become effective and remains purely symbolic. The current research has therefore identified the importance of building social capital in order to improve people’s capability to engage. Social bonds and interaction are not only conditions for engagement, but also motivations for the engagement of participants in the UK.

Regarding the second question of how contextual factors can affect CE in PSD, the themes ‘contextual conditions’, ‘management mechanism’ and ‘orientation’ were discussed. Concerning the ‘culture’ factor, that of voluntary and civic engagement emerged in both cases, with the existence of many forms of community groups and voluntary activities. This

context explains the capability of the community and service users to take over public services. The discussion also revealed the influence of social class on engagement, with the middle class seeming to engage in formal community organisations more than their working class counterparts. However, it is also important to pay attention to informal sociability, which is a major part of social capital. Therefore, it is suggested that the role of public services is critical in addressing the target groups for CE, who are often vulnerable groups with little social capital. The analysis also found that the instability of residency in the UK caused a lack of social cohesion and social bonds, which discouraged engagement. The limited budget and finances driven by austerity are also pushing service providers towards competition, discouraging collaboration and damaging CE.

In summary, this chapter has provided an analysis of CE in the UK context through two case studies and has helped to answer RQs 1 and 2. Further analysis and discussion with comparison with the Vietnamese cases is made in Chapter 8 in order to address the differences and similarities between the two contexts.

Chapter 8 - A framework for community engagement in public service delivery

8.1 - Introduction

The chapter compares Vietnam and the UK in relation to understanding the effects of contextual differences on the process of community engagement (CE) in both countries. It does not discuss all the aspects of the contextual factors and the process of engagement in each country, as these were discussed in Chapters Six and Seven, but instead focuses on the main features of the context and engagement in the two countries in order to understand the differences and similarities and more importantly, the causal forces behind the aspects. This comparison helped the current research to answer the third research question of whether a transferable and cross-cultural framework for CE can be created. The chapter includes three main sections. First, a comparison of the Vietnamese and UK contexts is made. In this section, the main points that emerged most significantly in both countries are compared and contrasted, including the policy context, third sector development and culture. The second section explores the differences and similarities in the process of engagement in order to understand how and why such engagement can be implemented in both countries. The final section combines the discussion of the two first sections and what has been discussed in Chapters Six and Seven to form a transferable framework for CE. Some policy implications are discussed in relation to both countries.

8.2 - Comparison of the of the UK and Vietnamese contexts

The discussion of the contextual factors in the UK and Vietnam presented in Chapter Six and Chapter Seven provided a general policy context and an analysis of the cultural and demographic factors in both countries. This section compares and contrasts the most prominent contextual features that can explain the similarities and differences involved in CE in the two countries.

8.2.1 - Policy context

Regarding the context of public service reforms, both countries have conducted programmes to outsource PSD to different stakeholders. Although both reform agendas introduced competition as a means of improving public services, there are differences in the capability of service providers (both private and public) between the two countries, as Vietnam has just transformed from a system based upon centralised economics to one focused on so-called

“socialist”-oriented market economics (see more Section 3.2.2, Chapter Three). This unique form of economics resulted from the requirement to balance political (single communist party) and economic development. The priority for welfare state (WS) reform in the transition economy in Vietnam, therefore, is the pursuit of economic growth, while not neglecting redistribution. However, the limited capacity and resources of the government mean public services for vulnerable groups, or less profitable services (e.g., library services), are poorly developed. However, in developed countries such as the UK, both the coverage and degree of support in welfare are high (Burgess and Stem, 1991), while in developing countries such as Vietnam, coverage is neither comprehensive nor wide-ranging (Goodman and Peng, 1996). Therefore, the welfare system is extensively funded by the government budget, but in an inefficient and untargeted way (Nguyen, 2001). Indeed, while there are many NGOs in Vietnam working in the DV field, the main provider of the services nationwide is still assigned by the VWU, which is subordinated by Case 1. The poor capacity of the state also leads to reliance on the community to provide services such as the library services in Case 2. Although austerity in public spending is occurring worldwide, including in developed countries such as the UK, the differences in political and economic orientation lead to differences in the capability of stakeholders (state, private, third sector and community). Furthermore, the social and political environments also impact upon the formation of the partnerships of the organisations (Hazenberg and Hall, 2016). Indeed, although both library cases in the two countries are community-managed and do not receive frequent grants from the government, better collaboration, as well as better stakeholder (the third sector and the government) capability, benefit the community libraries (CLs) in the UK in Case 3, which operate better than that in the Vietnamese case. This implies that the orientation and strategy of development is crucial, as it determines the willingness to collaborate with the government and other sectors and to value the focus of the government on welfare provision (cost-efficiency and/or social impact focus).

PSD reform in the UK shows a focus on community empowerment and social value through a range of policies such as the Localism Act 2011 (UK Parliament, 2011), Public Services (Social Value) Act 2012 (UK Parliament, 2012) and the Public Contracts Regulations 2015 (UK Parliament, 2015). These policies aim to give local entities more flexibility to achieve what they want to deliver to their communities and require social value to be embedded in public procurement. PSD reform in the UK is focused more on the idea of creating a more customer-oriented service (Deakin and Wright, 1990) through enabling local authorities to

design services that are more accessible to the public. Along with the increasing power of local government, the community is given more opportunity to investigate and assess how services are delivered by the government. The Localism Act 2011 (UK Parliament, 2011) requires consultation with the community to consider their comments before any neighbourhood plans are made. However, civic participation in Vietnam is low. The Vietnam Provincial Governance and Public Administration Performance Index (PAPI) 2015¹¹ (CECODES, VFF-CRT and UNDP, 2016) survey showed that more than 86% of respondents believed that the government was required to publicise laws before voting on them, but only 13% of respondents reported that their local government had asked them to consult and take part in a meeting to discuss draft regulations. This shows a huge gap between the *de jure* policies on paper and their *de facto* implementation and implies that the lack of focus on the actual role of the community in public activities can lead to weak CE. Indeed, the policymakers in Case 1 in Vietnam showed their appreciation of the contribution of the community in the implementation of the ‘trusted address’ model; however, they claimed that it was the community’s responsibility to protect themselves and help each other. This view is partly affected by the culture and lack of knowledge of human rights (see Section 6.2.2.1, Chapter Six). However, these beliefs amongst policymakers also reflect the lack of attention paid to involving the community in a fair partnership with the government, rather than in a community-reliance model, as in both cases in Vietnam.

Furthermore, there is a lack of value-focused strategy in PSD reform in Vietnam. Competition introduced to reduce the state financial burden and to improve the quality of public services was given more emphasis in Vietnam. However, services for vulnerable groups are still mainly provided by the state. The fragmented financial support to the CL in Case 2 was largely a result of the attention paid by some leaders, not of an official government budget. On the other hand, the county council in Case 3 in the UK showed that it appreciated the community values of the community library and actively worked with the community to protect CLs all over the county. The PCC in Case 4 also considered SV and CE to be key in their service provision, which led them to set up an organisation to be a point of contact and feedback for DV victims and to partner with many other TSOs in the field. The UK cases show that although government strategy and orientation is important, the

¹¹ PAPI is the largest time-series policy monitoring tool that captures provincial performance in governance and public administration in Vietnam. Since 2009, it has captured and reflected the experiences of 103,059 citizens, and aims to generate information that can improve the performance of local authorities in meeting their citizens’ expectations. <http://papi.org.vn/eng/>

implementation and strategy of the local authority is even more crucial to the success of the service provision. This implication also holds true in Vietnam, as although the ‘trusted address’ model was assigned by the government, it is the attention of local authorities that ensures its efficiency. Therefore, besides appropriate orientation (social-value focus), the flexibility given to the local authority is crucial in empowering them to achieve what they want to deliver to their community.

8.2.2 - Third sector development

The differences in the development of the third sector in both countries are largely governed by the capacity of service providers and CE. Regarding the development and involvement of the third sector in PSD, the UK has demonstrated a higher rate of development of the third sector and better collaboration between the third and public sectors. The voluntary sector has a long history in the UK and has been involved in PSD since the 19th century (Savage and Pratt, 2013). Along with the introduction of the “New Labour” and “Third Way” policies under the New Labour Government, the focus on users’ needs and commitment to providing public services for all drove the government to collaborate more with the third sector in PSD (Parker and Hartley, 1997; Hazenberg and Hall, 2016). The shift from ‘competition’ to ‘collaboration’ in procurement was emphasised (Parker and Hartley, 1997). This is shown clearly in both UK cases, which were either a commissioning partnership with the government (Case 4) or co-production with it (Case 3). Clear partnerships have been established between the government and the community in both cases. In contrast, there is no clear and official partnership between the government and the CL in Case 2, which leads to fragmented support. While the DV service in Case 1 was assigned by the government to women’s unions at all levels, they showed weak capability in taking on the task (the theme of ‘capability’ is discussed in the following section). Indeed, mass organisations (MOs) in Vietnam, such as the VWU, are established with the aim to increase citizens’ voices, connect their members at local levels with the government and help the government to consult the community. However, the participants in Case 1 report losing their trust in the local MO staff and local authority, which calls into question the efficiency of those organisations regarding community consultation. Although the strength of MOs is that they are wide networks and connect with the community (because of the country’s political system, in which MOs have been established at many levels), their capability in providing services and running voluntary organisations is not yet professional, as most of the staff at local levels are part time and not fully trained. The service providers in the UK clearly showed better skills in running the

organisations through funding skills, organising events or writing reports. Although the skills and knowledge of the service providers are not the most important factors in enabling CE, their capability to show trust and build relationships with community (as discussed in Section 6.4, Chapter Six, and Section 7.4, Chapter Seven), are key in ensuring the sustainable development of the organisation and the service provision. Therefore, although social bonds and interaction in both Vietnamese cases seem to be stronger than in the UK cases, it is not certain that the impact is sustainable if there is no a strategic support from the government. Therefore, it is suggested that the capability of the third sector is very important in enabling CE in PSD.

8.2.3 - Culture

The category of ‘culture’ in the theme ‘contextual conditions’ emerged in all cases as an important factor that affects the engagement of the community in public services. The analysis of each case also showed different cultural elements in each country that foster or constrain such engagement. This section compared the cultural factors in the two countries in relation to impacts on CE in PSD. First, the analysis revealed the differences in social bonds and social interaction between Vietnam and the UK. In the two cases in Vietnam, it was revealed that the social bonds and traditions among people in the village fostered their solidarity in being involved in community services. This feature was highlighted in both case studies in Vietnam as an important source of social networks and social trust. Trust and engagement were built not because of any clear policy or strategy imposed by the local authority or service providers but was instead nourished by the social bonds that formed close relationships between stakeholders in the villages. Indeed, the police, the head of the village and the Women’s Union staff all acted as service users and neighbours, before their role as service providers. The service users, therefore, engaged in the services because they had a strong sense of community with the service providers and local authority.

Similarly, social bonds and social interactions were found in the UK cases to be an essential source of CE, but not as significantly as seen in Vietnam. The participants in both the UK cases reported their social isolation and their desire to obtain social bonds and interactions in order to feel a sense of community. These differences relate to the theory of ‘weak ties’ and ‘strong ties’ proposed by Granovetter (1983) in his work on embeddedness. ‘Strong ties’ are the homogenous set of ties consisting of close friends and family, people you know well and interact with very often, while ‘weak ties’ are the heterogeneous networks connecting

acquaintances (Granovetter, 1983; Rademacher and Wang, 2014). Both strong and weak ties are important in social networks because they connect people to valuable resources. Strong ties are said to strengthen interpersonal relationships, which can help to increase the feeling of reciprocity and trust, and thus social cohesion. Meanwhile, weak ties act in a similar manner to “bridging social capital” (Putnam, 1995) by connecting different groups, resulting in the efficient exchange of information and opportunities from distant parts of the social system (Rademacher and Wang, 2014). A society that lacks weak ties is fragmented and incoherent. This is relevant to the case studies in the current research, since understanding the nature and features of ties is crucial in explaining the differences in the social networks between the service providers, the service users, and even the local authorities in each country.

In the context of a small community like a village or a town, where people tend to know each other well, these ties play a very important role in connecting people and fostering their engagement. The engagement of users in both Vietnamese cases is based on their strong ties with their neighbours, who are also the service providers, such as the local Women’s Union staff, the police and the local authority. All stakeholders were in a network where they interacted often and had known each other very well for a long time. Therefore, their strong social bonds fostered their relationships and trust, which encouraged them to work together better. Weak ties also existed in both Vietnamese cases between the local service providers and higher levels of providers (as in Case 1), and higher levels of policymakers (as in Case 2), which helped the service providers to secure more support, as well as signposting their customers to the right place. However, these weak ties were not the key feature that fostered the engagement of the community. It was the strong bonds that pulled people together to form a community self-help model, such as in the CL (Case 2) and the ‘trusted addresses’ in Case 1 (see Section 6.4.1, Chapter Six).

In contrast, it seemed that weak ties were more prominent in both the UK cases. The relationships between service users and providers in the UK cases were less close than they were in the Vietnamese cases. This was explained in the analysis of Chapter Seven as a result of the high turnover of residency and high social isolation seen in the UK (Hawton *et al.*, 2011) (see Section 7.4.2, Chapter Seven). It also explains why the service users in both Case 3 and Case 4 expressed their desire for a better sense of community when they decided to engage with the service. People desired stronger ties that fostered their social trust and sense

of community cohesion. However, there were better connections between service providers across different social groups for collaboration in social events in the UK cases. This use of weak ties to aid collaboration implies that network and social interaction is extremely important for the service providers and local authority in terms of building relationships with the community and thereby fostering CE.

Although weak and strong ties existed in both countries within the CE process, it is not only the number of ties, but also their strength and utility that matters (Pool, 1980). Therefore, the level of engagement and the motivation for people to engage with public services depends as much on their degree of interdependence with their community as it does on the strength of their weak ties with external social groups and networks. This relates the features of ties in the community to the question of individualism versus collectivism (IVC), which is one dimension of culture developed by Hofstede (1991). According to Hofstede, a collective society is one where collective value is preferred, and social relationships, loyalty, as well as a sense of duty toward community are also represented. In contrast, an individualist society is one where individuals are expected to look after themselves and their immediate families. This dimension of culture enables an understanding of the characteristics and strength of social networks and interactions, which may differ in the cases in the UK and Vietnam. It is important to investigate to what degree these ties are significant to people in each case and each country, in order to understand their cultural base (individualist or collectivist).

Vietnam, with its cultural base of Confucian principles, places the individual in the service of the collective (Reis, 2013) and is considered a collective society (Hofstede, 2018)¹². Collectivist culture is said to emphasise loyalty and community responsibility, with people taking responsibility for their fellow members. This might explain the voluntary contribution of people to the library in the village in Case 2 and the involvement of the local Women's Union and community in the "trusted address" model at local levels seen in Case 1. The contribution of the community in collective work is common in Vietnam, as the notion of active citizenship in which one devotes oneself to the well-being of the societal whole is more common (Reis, 2013). This collectivist culture is also rooted in Buddhist practices, which place morality and self-sacrifice higher than individual benefits (Pye, 1985). A strong bonding community with strong ties is also said to have a strong sense of togetherness and

¹² Based on the available data on the official Hofstede website at <https://www.hofstede-insights.com/country-comparison/vietnam/>, accessed on August 2018.

moral obligation, which generates the motivation for people to assist others in their close network (Tonnies, 1957). CE in Vietnam, therefore, is seen as a way of becoming a good citizen (Reis, 2013). For example, the directors of the library in Case 2 received many awards and recognition from the government and the media, but insignificant material support, even though they requested this many times. In Case 1, the government also tended to rely on the community to establish the model of 'trusted addresses' with the use of local Women's Unions and local people. The salary of these local staff is often very low in comparison to the amount of work and responsibility that they have to assume. The service providers in both Vietnamese cases expressed their motivation for serving people, in spite of their limited resources and capability. This aspect of collectivist culture also has some drawbacks, including the issues of 'formalism' discussed in Chapter 5. The collectivist culture that considers reputation as extremely important can make people try to protect their community's reputation rather than paying attention to individuals' benefits. For example, participants in Case 1 reported that the local staff ignored them because they wanted to protect the title of 'good village/hamlet' awarded by the government. Therefore, the culture of collectivism in Vietnam, whilst enabling people's sense of community and fostering close engagement, sometimes also limits individual benefits and leads to social problems being ignored.

In contrast to Vietnam, the UK is considered one of the most individualist societies in the world (Hofstede, 1980; Triandis, 1993)¹³. People in individualist societies are expected to take care of themselves and have personal goals and preferences (Triandis, 1995). In such cultures, people are especially concerned with pleasure and their preferences, especially those that reflect high self-esteem or social standing (Triandis, 1995). This was indeed reflected in the interviews with service users and volunteers in both the UK cases. They expressed the opinion that their engagement depended on their personal preference and circumstances, which was not reported by users in the Vietnamese cases. Their thoughts on their engagement with the services would often start from their own calculations of the advantages to be gained personally, such as meeting more people, or learning something new (as in Case 2), protecting the community's safety and reputation (as in Case 1), or being a good citizen (as in both Vietnamese cases). This aspect of culture differentiates the act and the process of engagement in both countries, which is an area that is discussed further in the following section. Individualism is a consequence of a cultural complexity in which there are a large

¹³ Based on the available data on the official Hofstede website at <https://www.hofstede-insights.com/country-comparison/the-uk/>, accessed on August 2018

number of groups that people can decide for themselves whether to join or not; cultural heterogeneity, in which people can follow different kinds of norms; affluence, which allows people to pursue their personal goals, often without joining a group; high social mobility; and high geographic mobility (Triandis, 1993). The long history of civil society in the UK has created a cultural complexity which enables people to choose groups that suit their interests and circumstances best. Indeed, it was reported by both the UK cases that it was hard to attract people to join their services as there were already a large number of groups, and people often neglected issues that they did not care about or in which they did not see any personal benefit to be gained (such as library services and DV services). However, this does not necessarily imply that engagement in the UK was not as good as it was in Vietnam; it was merely different and reflective of the cultural differences present in both countries. Nevertheless, this comparison is very important for policymakers to understand, as the different contexts and factors require different approaches to CE in each country, and can often count against the transference of policy from one context to another (even when the desired end-goals in each cultural context are the same).

8.3 - Comparison of community engagement in both countries.

The analysis of the four cases in the two countries revealed both similarities and differences in the forms and the processes involved in CE in PSD. Both cases in Vietnam revealed two main forms of engagement through 'communication' and 'collaboration' (see Section 6.4.1, Chapter Six). The UK cases revealed one further form of engagement, namely 'involvement' (see Section 7.4.1, Chapter Seven). Although communication in both countries was conducted through the forms of informing and consultation, its content was different. In the Vietnamese cases, one-way communication still outweighed the two-way. The service providers and local authority still mainly provided information to the community, whilst discussion with it was rare. The consultation was conducted within a narrow network of service providers, service users and volunteers through the organisation's meetings. Meanwhile, communication in the UK showed a deeper two-way approach, with more forms of consultation taking place (i.e. public meetings and/or customer and beneficiary surveys).

The analysis in both countries also revealed that 'consultation' was not always effective if there were low-levels of social trust and closed social networks amongst the key stakeholders. This explains the different levels of communication seen in each case study in the two countries. In both library cases, where the service providers had a close relationship

with their community, the communication tended to be more interactive and cohesive. In both DV cases, it was only possible to improve communication with service users after a certain time, once the victims had built sufficient trust with the service providers. It is important to note the role of social networks and social bonds in shaping people's communication, and therefore their engagement with the services. Indeed, the social bonds in both Vietnamese cases were stronger than they were in the UK cases. Although the social groups and TSO had a long history in the UK, the formal sociability in these organisations did not always bring about strong CE, especially for vulnerable groups who were less able to join formal social groups.

Informal sociability (see Section 7.4.2, Chapter Seven) is also crucial in shaping social trust and people's perceptions of engagement. Service users in the Vietnamese cases engaged in the services with a strong sense of community. Whether they belong to specific social groups (such as most of the volunteers in Case 2) or not (as in the case of the service users in Case 1), their engagement was built up based on bonding social capital within their community. It was this strong sense of community that motivated those in Case 2 to become involved in the library's operations, which also motivated the community in Case 1 to form the 'trusted addresses' scheme for the victims of DV in the villages. In contrast, although there were more consultations and formal social groups, there seemed to be a weaker presence of bonding social capital in both cases in the UK. This was explained in Chapter 6 as the result of the high turnover of residency, and the barriers based upon social class, which prevented people from building more informal sociability, which in turn could enhance social trust and hence CE. This does not necessarily imply that engagement in the UK was weaker than it was in Vietnam. The finding simply reveals an interesting aspect of the forms of engagement across both countries. These forms, according to the ladder developed by Arnstein (1969) (see Section 4.3.1, Chapter Four), only explore the levels of power that the community is given to generate impact, whilst the findings of this study suggest that the level of interactions and social structures behind the key stakeholder groups is also key to driving CE. CE seemed to be much stronger in the UK when viewed utilising Arnstein's ladder of participation, especially in relation to the level of democracy and power given to community. However, when considering the social bonds and social interactions among stakeholders across all four cases, the participants in the Vietnamese cases had closer relationships, a better understanding of issues, and a better sense of community. This suggests that the theoretical

framework for CE in PSD cannot ignore the importance of informal sociability as a source of social capital and a driver of engagement.

The findings on the role of informal sociability in forming social bonds and driving CE provide the defining differentiator in the CE processes in the UK and Vietnam. Although there were few community events in either case in Vietnam and in spite of the limited capability of the service providers, engagement mainly took place based upon the social trust and social bonds among the various stakeholders. Because of the close networks among the unions in the village and the traditions of the village, the community in Case 2 was well aware of the necessity of the library and believed they needed to protect it together. They valued the importance of social networks and social bonds within the community and had a strong sense of togetherness, which drove them to engage with the services. Because of this strong sense of community, the people in Case 1, such as the local Women's Unions, were able to implement the 'trusted address' model in each village, so that they could refer victims to Case 1. Although the model was not always effective, as it was dependent on the capability of each local authority and service provider, it proved to be an effective means of engaging beneficiaries and managing referrals. Indeed, the wide network of subordinated units of Case 1 could not be implemented in a country where the collective culture and social bonds are not as tight and as strong as they are in Vietnam. This analysis suggests that in the Vietnamese cases, the social bonds and social trust provided the precondition for the start of the process of CE. Indeed, established social networks can foster a community's social trust and hence lower transaction costs (Pink-Harper and Duong, 2017).

Meanwhile, the data in the UK cases revealed a contrary CE process. Many beneficiaries in both cases experienced social exclusion due to their demography, their social class, and their circumstances as part of a vulnerable social group. Their engagement with the services in question did not come naturally from their strong bonds with their community. Instead, their desire and motivation to become involved in the services were based on social bonding and a sense of community. Indeed, users of Case 3 tended to be the elderly, who wished to have more social connection and interaction, which encouraged them to go to the library, while users of Case 4 demonstrated a desire to experience a new life, and to meet more people in order to help them overcome their lack of confidence and isolation. Therefore, CE in the UK did not come from the aforementioned strong social bonds, but was instead driven by the wish for stronger social connections. This suggests that in the UK cases, CE precipitated the

creation of social bonds and community cohesion, as opposed to being the result of them (as was seen in Vietnam). The process of engagement in the two countries is illustrated in Figures 8.1 and 8.2.

Figure 8.1 – The process of engagement in the Vietnamese cases

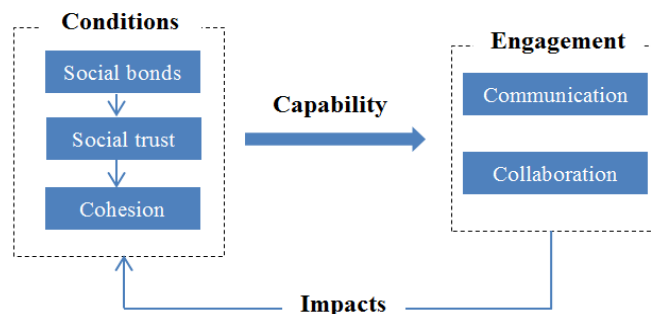
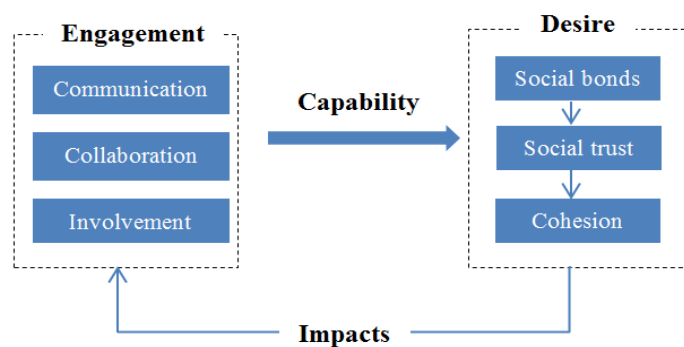


Figure 8.2 – The process of engagement in the UK cases



Figures 8.1 and 8.2 illustrate the contrasting processes of CE in the two countries, but only describe its most prevalent features, and so do not fully reflect the overall process in reality. Indeed, the users in the Vietnamese cases were also driven by the desire for more social bonds, and some users in the UK cases were also involved in the services because they had a strong sense of community. However, as a simplified theoretical overview of the process of CE, what can be seen is that both countries experience opposite processes to each other, which is reflective of the socio-economic and cultural make-up of the countries.

Furthermore, what can be inferred is that the process of CE is in fact a circular one, in which social bonds and networks can foster the engagement process, and this engagement can also enhance social connections and cohesion within the community. The difference in the highlighted process of CE in the two countries also reflects their cultural differences in terms of being collective and individualist societies (see Section 8.2.3). The community-reliance CL model and that of ‘trusted addresses’ for DV in Vietnam were feasible because of the

collective culture, in which people take responsibility for their neighbours. In contrast, British society is highly individualist, which may be the cause of the social exclusion that was reported by the participants in Cases 3 and 4. The engagement in the UK cases depended more on individual interests rather than community ones. Therefore, the model of collaboration in the Vietnamese cases revealed a greater reliance on the community's capacity than on cooperation between it and the local authority.

The theme of 'capability' emerged in both countries as a vector to enable CE. In both the Vietnamese and the UK cases, it was revealed that the success of engagement depended largely on the capability of the community, the service providers and the local authority. In both countries, it was shown that lack of awareness and knowledge was part of the reason why the community did not engage with services. In the UK, social class also affected people's engagement, with the middle classes tending to engage better with services than those from working class backgrounds. In both countries, engagement also depended on the geographic region itself, particularly in relation to its economic wealth (in the UK cases), and its tradition and history (in the Vietnamese cases). This implies that capability for CE depends on the availability of opportunities in both countries, irrespective of the levels of development. Moreover, the differences in community capabilities in both countries relate to the differences in the concepts of Sense of Community (SOC) and Sense of Community Responsibility (SOCR). Previous research has identified SOC as a resource for meeting psychological and physiological needs, such as social inclusion, membership, identity and normative values, and beliefs about responsibility, which are evoked by the interaction within a given community context (Boyd *et al.*, 2018). However, the process of need fulfilment does not take place if members fail to realise the impact of engagement and do not take action. Meanwhile, some with a strong SOCR are motivated to engage in social action (Boyd *et al.*, 2018). This implies the need to encourage SOC and SOCR in the community and service providers. It is especially important to realise the limited capability of vulnerable groups in transforming their SOC into action so that it can foster engagement.

Although the service providers and local authorities in the UK were more capable of running the services than those in Vietnam (who often had no appropriate skills or qualifications), the community in both countries faced difficulties in accessing information, acquiring the appropriate skills and knowledge, and building their confidence and self-esteem. This might imply that although the level of development in both countries could result in different

capabilities to deliver services and engage communities, both countries also display a gap in the community's capability to drive SVC from the ground-up. This point is particularly salient in relation to creating policy frameworks to encourage CE. Indeed, although the policy in the UK seems to be more comprehensive and strategic than it is in Vietnam (the Localism Act 2011 and Public Services (Social Value) Act 2012 being prime examples), the capability of communities in the UK to utilise this legislation is often limited. Therefore, the strength of the weak and strong ties within the community, as outlined earlier, could act as a barrier to efficient CE. Therefore, if a multi-stakeholder approach to CE is not effectively implemented, this ultimately leads to weak and ineffective CE, which limits the creation of social value and social impact.

However, it is important to assess the capability of service providers in terms of involving recipients in both the process and outcomes of CE (Section 2.3.2.2, Chapter Two). As social impacts refer to all changes resulting from social activities, service providers are expected to deliver positive transformation by involving recipients in their activities (such as training volunteers in all cases; holding coffee mornings and service user forums to enhance self-confidence in Case 4; and organising study trips for volunteers to equip them with new knowledge (as in Case 2), which eventually leads to transformative social change, rather than a mere transfer of one resource to another (Young, 2006; Jain, 2018). While there are differences in the capability of service providers in all cases, community engagement processes enable them to deliver positive changes through their service users and volunteers, which eventually implies SVC (as discussed in Section 2.3.4, Chapter Two). Although the legal forms of all the cases are different (Case 1 is an MO; Case 2 is a community organisation, which is not legally registered; Case 3 is a community-led library under the form of a company limited by guarantee; and Case 4 is a charitable organisation), their organisational governance and social missions show an explicit aim to benefit the community, and a participatory nature which empowers members/volunteers/service users to engage in the decision-making process (Borzaga and Defourny, 2001; Defourny and Nyssens, 2008). Whether or not service providers are aware of their role as a social enterprises or social entrepreneurs (which Case 3 is), it is the social dimension in their organisational management and their mission which makes them close to the nature of social entrepreneurs/TSOs who foster CE through community empowerment (as discussed in Section 2.3.4.1, Chapter Two).

8.4 - Framework for community engagement in public service delivery

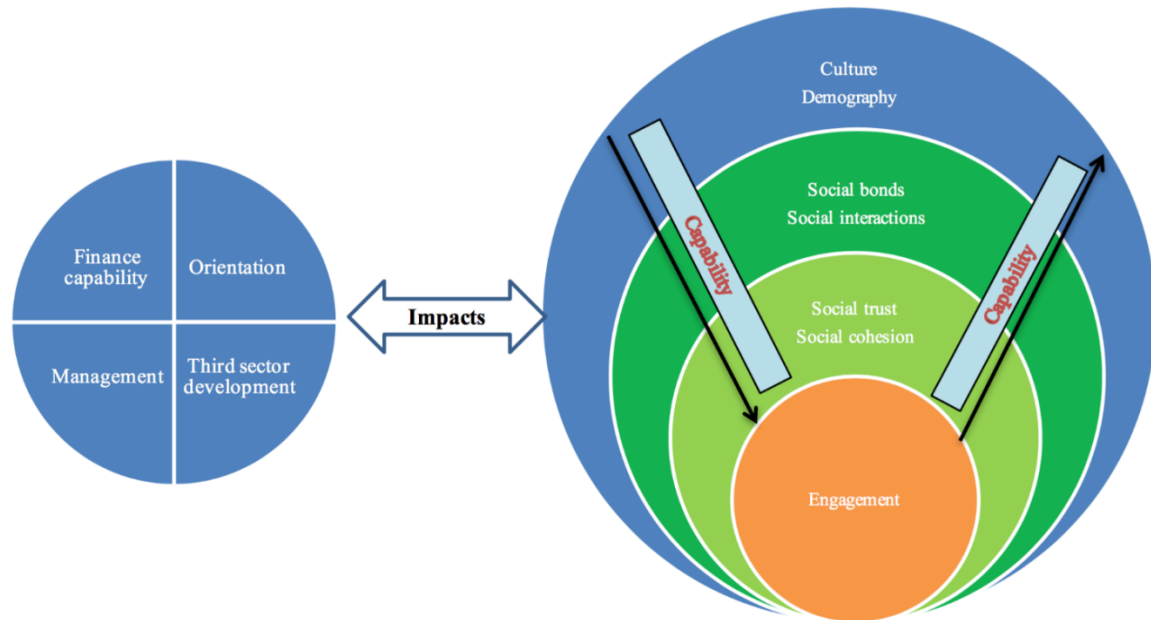
8.4.1 - The framework

The comparison of the two countries has shown that CE in the UK and Vietnam is contextually different. Understanding the contextual conditions and factors within an ecosystem is crucial for creating a transferable framework for CE in PSD. The differences in culture, the level of socio-economic development and the political structures/systems all lead to the different processes of engagement that occur in the UK and Vietnam, which have been outlined in this thesis. Although the resulting themes from both countries are similar, this does not mean that their CE is the same. However, this result does suggest that there is a possible transferable framework for CE in PSD, which requires amendment given the different contextual conditions. It is also important to be aware that a country (either Vietnam or the UK) is not homogenous in relation to culture, politics or economics, which is reflected through the differences in socio-economic development and demographic factors in the two cases. Therefore, this framework could also be applied within a country where different cultures comprising different ethnicities (e.g., the North and South of Vietnam), different socio-economic development (i.e. London and areas outside the capital), or different demographic conditions are present. Although this is not the focus of this study, it is an area for future research to explore CE and SVC within a particular country. The framework for CE in PSD is illustrated in Figure 8.3 below.

Figure 8.3 provides a dichotomous overview of the process of, and factors involved in, CE. The left-hand side of the diagram shows the indirect contextual factors that affect the development of CE (finance capability; orientation; management; and third sector development). Although political structure was a significant difference between the two countries, it does not have particular influence on people's engagement. Other than that, it affects the other indirect factors such as management, third sector development and financial capability. The right-hand side represents the ecosystem for the process of CE, nested within the direct contextual factors of culture and demography. The figure illustrates how these indirect and direct factors create a two-way process of social impact. A community's capability for engagement and bottom-up SVC is represented as an enabling vector, which is reinforced by efficient CE. This framework has been developed based upon the analysis and comparison of the data gathered from the UK and Vietnam, but it is not specific to each country. However, it does provide a means for each country, and indeed even each region

within the country, to analyse its approaches to CE in PSD, especially in relation to contextual factors and community capability. The processes described in the model is explored below.

Figure 8.3 - A framework for community engagement in public service delivery



Source: Author

The analysis of CE in the UK and Vietnam reveals the considerable impact of social bonds and social interaction on the engagement of citizens. The central orange ring relates to the act of engagement with some of the main forms of engagement (communication, collaboration, involvement and consultation) as explained in Chapters Six and Seven. The process of engagement in both countries was revealed in the previous section to be a circular process of social bonds, social trust, social cohesion and the desire for social interaction. The outer light green ring of engagement demonstrates social trust and community cohesion, which is achieved through the larger dark green ring of social bonds and interactions. Although the highlighted process of CE revealed in both countries was contrasting, the impacts of each stage on each other in the process of engagement are inextricable (hence the ‘layers of an onion’ modelling of these factors in Figure 8.3). The strong ties in Vietnam pull people together in a community self-reliance model of service delivery, which eventually creates more social bonds and cohesion. The desire for more social interaction and cohesion in the UK urges people to engage in the services, which also enhances their social bonds and reduces social isolation. This process of engagement is directly affected by the outer ring of culture (i.e. collectivist or individualist) and demographic factors (i.e. age, turnover of

residency, background and employment). Analysis of the features of weak and strong ties, as well as the cultural dimension of collectivism and individualism in Vietnam and the UK, revealed the nature of CE in both countries. Capability was illustrated as a vector showing that the capability of communities and other stakeholders to drive CE is the means to enable people to use their cultural and demographic background to create social networks (social bonds and social interaction) and transform their perception (social trust and cohesion) of their engagement behaviour. This engagement in turn enhances people's capabilities, such as their self-efficacy, confidence and the knowledge to improve their social network and social cohesion.

The indirect factors that affect engagement include orientation, management, development of the third sector, financial capacity and orientation. These factors are indirect, as they do not have a significant impact on decisions related to CE made by communities. However, these factors are important in enabling or preventing CE in PSD. The orientation to the development or strategy of the country or leaders regarding public service transformation is important. The focus on community empowerment and social value in the UK results in a range of policies that aim to partner public services with the community in order to deliver increased social value. The lack of attention to SVC and a clear strategy in working with the community in Vietnam resulted in a community reliance model, instead of one based upon collaboration. Furthermore, management mechanisms are crucial in fostering partnerships within communities. For example, the complexity of administrative and funding processes in Vietnam discourages service providers from working with the government as they take up considerable resources. The development of the third sector is also crucial in creating a social democracy environment, as well as a set of capable service providers that can work well with community and delivery better social value. The development of the third sector is closely tied to the political system and the history of civil society in each country, whilst financial capacity is another factor that affects the capacity of all stakeholders. Regardless of the significant differences in economic development between the UK and Vietnam, both countries are experiencing public expenditure reductions. Therefore, financial capacity in this sense does not only mean public funds but rather the wider ecosystem including social and private investment markets (e.g. Lotus Impact, Thrive in Vietnam; Community Shares and the Big Lottery in the UK).

The bi-directional ‘impacts’ are a bridge between the indirect factors and the CE ecosystem in order to demonstrate the periodic relationship between the indirect and direct factors with CE. Indirect factors such as third sector development can have an impact on the engagement of the community in PSD. Conversely, CE can enhance social bonds and social cohesion, and improve areas such as the self-efficacy of the community. These impacts can have a significant influence on the indirect factors, such as the development of the third sector, orientation or management, and so again reshape CE in a given setting.

8.4.2 - Implications for the UK and Vietnam

The current research does not aim to provide specific policy implications, but rather to explore a transferable framework (Figure 8.3) that can make some recommendations for fostering CE in different contexts. Although the UK has implemented more policies and has a longer history of PSD and reform than Vietnam (particularly focused on better social value for the community), this does not mean that there are no lessons to be learned by the UK from the Vietnamese context. Recommendations were therefore made to highlight the areas that are important for enabling CE in both countries. These are provided in order to give a strong platform for further discussions on how policy frameworks can enable CE.

- *Understand your community*

Better cooperation with communities when designing and delivering public services is required so as to understand their needs better (Needham, 2008). This means that the strengths and weaknesses of the community, the key features of its demography, and its cultural background need to be embedded into policy frameworks. In the context of Vietnam, the government understands the strengths of communities and uses this knowledge to promote a strategy of self-help, as in the model of Case 1 and Case 2, which is only appropriate for communities in which social bonds are strong and which are close-knit, which helps them to solve their problems (Dunning, 1985). Indeed, self-help strategies did not only emerge in Vietnam, but also in the UK with regards to rural development during the 1980s and 1990s (McLaughlin, 1987; Edwards and Woods, 2004). Furthermore, the intrinsic value of this strategy is determined by the participants (Akpomuvie, 2010). Participation is only beneficial if the community plays an actual meaningful role in controlling the development projects themselves, and is differentiated from mere financial/labour contributions. In the UK, it seems that the government has started to understand the importance of social bonds and interactions in the community, which is relatively weak in both cases. This can be seen

through the strategy of transforming the library into a community hub, which can host many social activities and act as a point of information. In summary, understanding of the strengths and weaknesses of the community is crucial for both policymakers and service providers to address the target groups and design suitable programmes that suit their community.

- *Promote social capital building*

The policy and strategy for CE in PSD is inextricably linked to the development of social capital. The building of social capital needs to be conducted at many levels and with all stakeholders, not only within the community, and should include the building of relationships between service providers and service users and between the local authority and the community. In Case 3, the local authority also built very good relationships and had frequent communication with all of the community libraries in the county. This is an area where Vietnam can learn from the UK, and also other counties in the UK can learn from the example provided through Case 3. Therefore, any strategy in CE needs to be embedded into the building of social capital. This could be done through building good relationships with the service providers and the community. Ensuring reciprocity is key in service-delivery organisations to increase social capital and hence CE.

- *Capability building*

Capability was discussed as a very important factor in both the UK and Vietnam cases. With strong social bonds and social cohesion, the Vietnamese government should continue to support and boost the community self-reliance model, as in Case 1 and Case 2. However, more training and support for local authorities and public service officials is needed to equip them with the knowledge and skills to engage in genuine partnership or co-production with the community. Engagement can only be sustainable if it is established on fair collaboration between the state and community. This investment in human resources would be more efficient in sustaining CE than the fragmented financial support currently seen in both Vietnamese cases. In the UK, it seems that the service providers in both cases received more frequent training and support in running their non-profit organisations than was the case in Vietnam. However, the capability of the community remains limited in the UK. Vulnerable groups are less able to interact and engage with service providers and the local authority than the middle classes. This suggests that capacity building needs to be targeted at vulnerable or socially disadvantaged groups; for instance, by enhancing policy which focuses on reducing social exclusion, and increasing social mobility (Lelkes, 2013).

- *Have a social value-focused orientation*

The focus of SVC and community empowerment in the UK is a good reference for Vietnam. There is a stronger focus on social value in procurement and commissioning, such as the Public Contracts Regulations 2015 (UK Parliament, 2015), which empowers commissioners to be innovative and flexible in designing more suitable procurement processes within different contexts, partnering with social actors and inviting social value considerations in all relevant procurement. This improvement in the approach to embedded SV policy implementation is what Vietnam can learn from the UK in order to reduce the complexity of its management. There is also a need for community empowerment so that it can have a greater voice in the delivery of public services. This needs to be combined with a good capacity building strategy to support the ability of both the community and the local authority to embed CE. Mere consultations do not always promote CE, unless the voice of the community has real *de facto* power in the decision-making process. This is not only an area for Vietnam to consider, but also for the UK to heed. Indeed, the limitations of consultations reported in the UK cases demonstrate how only real engagement and involvement built upon strong stakeholder relationships can truly empower communities. This point reiterates the importance of building social capital and requires the service providers and local authority to understand their communities better.

- *Support third sector development.*

The policy for supporting third sector development is important for improving the capability of the service providers. However, within a single-party political system, such as in Vietnam, it seems to be more feasible to continue to develop mass organisations such as the Women's Union (as seen in Case 1), but with more attention and investment from the government to improve the quality of staff and services and awareness of the importance of CE. Devolvement of power to local branches of these movements to encourage localism also helps to give local authorities more autonomy to achieve the outcomes they seek for their communities. Furthermore, there is a need for a more frequent and strategic collaboration between mass organisations and other TSOs involved in PSD, so as to maximise resources (financial and otherwise). Although the UK has a long history of third sector development, the wider networks and locally well-connected mass organisations in Vietnam have strong potential to generate strong CE. Indeed, the systematic network of Case 1 down to the lowest level helps them to connect better with service users who are often vulnerable and not easy to reach.

- *Improve public service management systems*

The Vietnamese government needs to improve the public service management system from national to local levels. This includes improving the complex administration procedures that discourage communication and advocacy with the government; setting up a funding scheme; giving clear guidance on how to collaborate with the community and other NGOs, which is currently missing from policy frameworks and support mechanisms; and providing clear guidance on collaboration between government bodies, such as the Ministry of Housing, Ministry of Communities, and/or Local Government, or the CE team in each local authority (as was seen in Case 4). The improvement of management schemes must also be accompanied by improvements in capacity building in order to ensure that implementation is efficient.

8.5 - Summary

This chapter has combined the discussions on CE in the UK and Vietnam previously presented in Chapters Six and Seven in order to build a model of CE in PSD within a cross-cultural context. Contextual factors and the process of engagement were discussed so as to understand the differences and similarities between the two countries. More importantly, a framework for CE was presented, which is transferable across different contexts (cultural, geographical, economic and political). The chapter answered the final questions of the current research to the extent that general implications for policy were given.

The main contextual factors between the two countries were discussed regarding the policy context, third sector development and socio-cultural factors. Although public service reform has been implemented in both countries for the past few decades, the orientation and strategy in each country is different. Whilst public service reform in Vietnam focuses on the introduction of the private sector into service provision, the UK has followed a strategy to focus more on social value and community participation (albeit even if the success of this strategy is debatable). Furthermore, decentralisation in Vietnam has not empowered the local authority and community to become involved and/or control service provision in their localities. Meanwhile, the development of the third sector in the UK has also benefited CE in PSD. The long history of the voluntary sector enables service providers and communities to work together and run services effectively. In contrast, the third sector in Vietnam is still under the supervision of the government and not yet capable of delivering public services on

a wider scale. However, the mass organisation movements in Vietnam have strong networks at the local level, which help them to connect better with the service users in local areas. Additionally, the culture of the collectivist and individualist systems seen in Vietnam and the UK respectively causes the differences in social bonds and interactions seen between the two countries. The Vietnamese system, which is collectivist in nature, enables better connections between neighbours and enhanced social capital, which facilitates CE. In contrast, being individualist causes UK society to pick and choose where and how it is involved. These differences in culture, therefore, explain why the community in the Vietnamese cases seemed to respond better to services than they did in the UK.

The comparison of the process of engagement in the two countries also revealed a contrasting process. Because of their collectivist culture, people in Vietnam have strong bonds and naturally connect better. Their engagement, therefore, comes from their social bonds and social interaction. In contrast, service users in the UK cases were experiencing increased social isolation. Their engagement hence came from their desire for social bonds and connections. In both processes, the capability of the community is an important feature that enables CE. The impacts of engagement create more social trust and cohesion, which eventually promote more social bonds and social interaction. Therefore, the process of engagement is a circular process of social bond generation.

By comparing both the engagement and the contextual factors in the two countries, the transferable framework for CE was developed. The direct factors were identified as culture and demography, while the indirect factors comprised financial capacity, the management mechanism, third sector development and orientation. The impacts of engagement in turn affects the direct and indirect factors of engagement. From the framework, some general policy directions were developed, including understanding the community, building social capital, capacity building, improving management mechanisms, supporting third sector development and having a clear orientation. In summary, the chapter presented a comparison of CE in PSD in both countries, which did not seek to analyse all the aspects of the contexts and engagement, but only the highlighted features in the two countries. The framework and policy directions were proposed with the aim of providing a base for further discussion on specific future policy to enhance CE.

Chapter 9 – Conclusion

9.1 – Overview

The previous chapters have discussed the analysis and results of the current research in relation to the literature review. Chapters Six, Seven and Eight discussed the findings in each country and provided a comparison between them with reference to the literature review outlined in Chapters Two, Three and Four. This chapter presents an overall summary of what has been discussed in the previous chapters and identifies how the findings of the current research address the research aims presented in Chapter Five, offering an original contribution to knowledge. The final section of this chapter outlines the contribution made and the limitations of the research, together with suggestions for further study.

The current research explored social value creation (SVC) in public service delivery (PSD) in a cross-cultural context. In the exploration of how social value (SV) is created in PSD, five main areas in PSD were identified that can foster the generation of SV (Section 4.2, Chapter Four). The current research then focused on one aspect of SVC in PSD, namely community engagement (CE), in order to further explore the subject in the Vietnamese and UK contexts. As shared norms and values can help to build trust and cohesion in a community and impact upon the development process, SVC within the context of the social economy must ensure social interaction and social engagement. Therefore, to create SV in PSD, it is more efficient if there is an increase in social interaction and engagement between the community, state and service providers. As a result, the focus was on exploring community engagement as an important element of the SVC process. Within a cross-cultural context, specifically the UK and Vietnam, the differences and similarities in CE in PSD were explored in both countries in relation to contextual factors. The understanding of these processes enabled the construction of a framework of CE in PSD, which is transferable between different contexts.

The current research employed the Grounded Theory method (GTM), using a case-study approach. The GTM used in the research design was informed by the Straussian interpretation of Grounded Theory (Strauss and Corbin, 1990), which allowed the study to begin with a general literature review. Such a review does not affect the nature of GTM, as it enables the current research to narrow down the subject to a specific area, in this case CE and to derive theoretical sampling and an appropriate source of questions to apply in the fieldwork (Strauss and Corbin, 1990). The combination of GTM and case-study research

resulted from the argument that involvement with the literature would not limit the researcher in extending her understanding of the given concept but would be able provide a good starting point in directing the focus (Halaweh *et al.*, 2008). Therefore, the current research started with a literature review to identify CE as the specific topic of focus. A theoretical sample was identified, with four cases chosen from the two countries, which had similar characteristics so that they could be comparable. Semi-structured interviews and focus groups were conducted with three main stakeholders – the policymakers, service providers and service users. The results and the conclusions drawn from the analysis and the interpretations of the interviews is now discussed in relation to the research questions outlined earlier in the thesis.

9.2 - Key findings

9.2.1 - The role of social capital in community engagement

The analysis of all the cases revealed the main forms of CE in both countries to be 'informing', 'collaboration', 'consultation' and 'involvement'. Although the form of engagement presents the levels of power distribution, this study suggests that the level of interactions and social structures within the key stakeholder groups is also key to driving CE. The attention to information not only comes from personal interest, but also from a social network within which people interact, since a person's valuation is also influenced by that of others (Schumpeter, 1909). Therefore, a strong sense of community, which is built upon strong social interactions and social bonds, is very important in shaping people's values and perceptions.

The findings also emphasise the importance of the relationship between all stakeholders in PSD. Although the forms of engagement in the UK show a better two-way approach, with more consultation and collaboration, it was revealed that true engagement depends greatly on the strength and the quality of the relationships between service providers and users. Wider public consultation was reported to be ineffective by the participants, as the community was found not to be homogeneous, as it gathered people from different backgrounds, opinions, needs and cultures. In contrast, consultation within the organisations and with their service users was often more effective, as it engaged with a more homogenous group and built upon a close relationship and better understanding between service providers and users. Therefore, it was not the form of engagement, but the social trust and social interaction mediating the strength and quality of the relationships between stakeholders in PSD that fostered better CE.

Furthermore, the involvement of the community in PSD and social action can empower the community when it is able to help raise people's voices and power in the decision-making process, which makes it different from mere consultation (Bishop and Davis, 2002). Two-way communication can increase trust between stakeholders and empower the community (Grunig and Huang, 2000). Therefore, both social interaction and social trust foster the relationship between stakeholders and empower the community to effectively engage in social action and PSD.

The current research also found that CE is often stronger among the middle class, who often belong to social groups or social organisations. However, the findings also showed that in the Vietnamese cases, where people were often not members of social groups, or even if they were, they were driven more by the strong bonds with service providers because of their collective culture (which is mentioned in the findings below). In contrast, in the UK, where social groups and the third sector have a long history, the formal sociability in the organisations was not always accessible to vulnerable groups who were less able to participate, which resulted in weak CE in these groups. Therefore, this finding suggests that informal sociability is important in shaping the social interaction, cohesion and perception of engagement.

9.2.2 - The circular process of community engagement

The current study has compared the process of engagement in PSD in Vietnam and the UK and contrasted the results in relation to the CE process in both countries. The findings from the Vietnamese cases suggest that the social bonds and social trust among stakeholders provided the precondition for the start of CE. The relationships between service users in the Vietnamese cases and with the local authority were usually closer than those of the UK cases because of the stronger informal sociability between neighbours within a small community. This suggests that a social network can foster a community's social trust and lower transaction costs (Pink-Harper and Duong, 2017). In contrast, CE in the UK cases did not naturally come from the strong bonds and ties between the community and the service provider and local authorities. Most service users reported feeling socially isolated and their desire to be more sociable and socially connected. Therefore, CE in the UK encourages the creation of social bonds and community cohesion, as opposed to being the result of them, as in the Vietnamese cases.

Therefore, what can be inferred from the different prevalent features in the CE processes in both countries is that the process of CE is, in fact, a circular one. Social bonds and social trust can foster the engagement process, which eventually enhances the social connections and cohesion within the community. The process of CE is therefore inextricably linked to social bonds and cohesion, which refers to social capital, as discussed in relation to the previous finding. Differences in the highlighted processes of CE reflect cultural differences and other contextual factors, which are identified as another finding of the current research.

9.2.3 - Social value creation through social changes

The current research found that the impact that CE delivers is social change through the change in people's perceptions and behaviours. This engagement results in the enhancement of social cohesion, social bonds, personal efficacy and a preference for post-materialist values such as justice, freedom and social integration, which can motivate people to engage in community and civic activities (McLeod *et al.*, 1999). These changes facilitate future engagement. CE also brings about changes in organisations facing austerity. Limited resources in developing countries such as Vietnam and developed ones such as the UK can become the driver for organisations to take advantage of all their resources through engagement and collaboration with the community and other sectors, which is known as "social bricolage" (Di Domenico *et al.*, 2010). Therefore, CE can foster social innovation, especially in the era of austerity in PSD.

9.2.4 - Capability as a vector of community engagement

In both countries, CE was found to depend largely on the capability of the community, the service providers and of the policymakers. The awareness and knowledge of the community is part of the reason for their active or inactive engagement in PSD. Stronger political self-efficacy, which refers to the belief that people can make a difference, can lead to better community engagement (Bovaird *et al.*, 2016). Furthermore, people with better education and awareness of their human rights are often more engaged with the community (Di Domenico *et al.*, 2009a). However, community capability is also affected by contextual conditions, such as regions (i.e., in rural areas social bonds among the community appear to be stronger, hence they have better engagement); the economic wealth of the region (in the UK cases); the tradition and history of the region (in the Vietnamese cases); or even the social structure, such as social class, with middle-class people often belonging to more social groups, leading to better involvement in social activities. The impact of contextual factors on the capability of

engagement suggests that capability depends on the availability of opportunity, irrespective of the level of development.

Although the data demonstrated that the capability of service providers and the local authority was better in the UK than in Vietnam, CE in the Vietnamese cases was not necessarily weaker. The strong social bonds and social cohesion were the strength of the community in the Vietnamese cases, fostering their engagement. While informal sociability in the Vietnamese cases was present as a dominant form of social connection, formal sociability through official social groups and voluntary organisation was present in the UK cases. These differences in the relationships between stakeholders are salient in making recommendations to policymakers. This finding explains why some policies of community engagement do not work, as they can be attributed to the lack of attention to people's capability to collaborate with each other. This lack of attention to the types of connections and relationships between stakeholders misleads the authority in their understanding of the capability of their community. When the community is more capable of being involved in informal sociability, the CE model needs to build upon strong social relationships and trust (as in the Vietnamese cases). In contrast, where formal sociability is more dominant, it is important to pay attention to whether the community is able to involve itself in social interaction (as in the UK case). Indeed, although policy in the UK seems to be more comprehensive and strategic than it is in Vietnam (the Localism Act 2011 and Public Services (Social Value) Act 2012 being prime examples), the capability of communities, who are often vulnerable groups in the UK, means they may have limited access to this legislation.

9.2.5 - Indirect and direct contextual factors of community engagement

The current research has found that there are both indirect and direct contextual factors which affect CE in PSD. The direct factors are 'culture' and 'demography'. Culture has a great impact on the community's perception, capability, social connection, and social norms, and thus the process of engagement. The fact that Vietnamese culture is collective, whilst that of the UK is highly individualist (Hofstede, 1991) differentiates the process of engagement shown in the previous key finding. Indeed, the cultural roots of Confucian traditions in Vietnam often encourage trust in a narrow social group of close friends or family members (Dalton and Ong, 2005). Vietnamese culture emphasises the role of the patriarchal family, coupled with Buddhist cultural roots that are dependent on the family in terms of welfare provision (Reis, 2013). Therefore, the engagement of users in both Vietnamese cases is based

on their strong ties with their neighbours and friends, who are also the service providers and the local authority. In contrast, the UK presents a more individualist culture (Hofstede, 1991; Triandis, 1993), with weaker ties in the relationships between stakeholders in PSD. There is more formal but less informal sociability between neighbours and friends in a locality. Therefore, in the UK the connection between service users and service providers is not as close as it is in the Vietnamese cases. However, the use of weak ties can help the UK cases to foster collaboration between sectors and with different partners. This dimension of culture implies that understanding of the characteristics and strength of social networks is important to identify the appropriate policy for each context. The other direct factor, 'demography', demonstrates that factors such as social class, the turnover of residency, background and circumstances can affect people's interest and ability to engage. People who belong to the middle class often engage better with social activities (Hall, 1999; Li *et al.*, 2003; Grenier and Wright, 2006). The higher turnover of residency in the UK also discourages people from having a feeling of high responsibility towards their community. Therefore, it is important to address all the issues relating to the demography of the community to improve their capability and build their interest in CE in PSD.

The direct contextual factors found were 'financial capacity', 'orientation', 'third sector development' and 'management'. Although there was no direct influence of politics in the engagement decisions of the participants, politics did have an influence on other factors, such as the development of the third sector and management. The long history of the third sector in the UK facilitates it to be more competent in collaboration with the government in PSD, which is not the case in Vietnam, where the third sector is not yet well developed. Instead, the mass organisation model, which is sponsored and politically controlled by the government in Vietnam, plays a major role in providing public services for vulnerable groups. In terms of management, there is less effective collaboration between sectors in Vietnam than in the UK. This is the result of the lack of clear orientation and guidance for each sector, demonstrating weak implementation. Financial capability also aids the implementation of policy and strategy to achieve better results.

9.2.6 - A transferable framework for community engagement in public service delivery

From the analysis and comparison of the data in both countries, the current research has produced a framework for CE in PSD, which is transferable to a different context (in this case between Vietnam and the UK) (Figure 8.3, Chapter Eight). The framework demonstrates that

the process of CE in PSD is nested in the indirect and direct contextual factors that are included in the previous section, and shows the process of engagement to be circular. The action of engagement results from social trust and cohesion, which, in addition to the number of cases, occurs through social interaction and social bonds. Culture and demography are two direct factors that mediate the characteristics and quality of such social interaction and bonds in each context. Capability is a vector that can transform social bonds into engagement, and can also foster social bonds and cohesion through engagement. Social impact is represented as two-way arrows between the indirect and direct factors and the process of engagement. As the social impact of community engagement is creating social changes through the changes in people's perception and behaviours, the engagement process brings changes to both direct and indirect contextual factors. Inclusion supports the importance of CE in PSD as a means of SVC and sustainable development.

9.3 – Original contribution to the knowledge

This section outlines the original contribution to the knowledge made by the current research in relation to the key findings outlined in Section 9.2. (See Table 9.1).

Table 9.1 - Original Contributions to the Knowledge

Theory	<p>The current research identified the process of CE in PSD as a circular one, with emphasis on the role of social capital (including social interaction and social bonds) as both a precondition and result of CE. This finding is salient, and fills the knowledge gap of previous research on CE in the public sphere, which only focused on the level of power distribution among stakeholders.</p>
	<p>The current research identified the influence of contextual factors, especially culture, on the characteristics and quality of relationships between stakeholders in CE. This is meaningful to theory generation of the CE process in a multi-cultural context, where different social structures and social norms are present.</p>
	<p>Capability is revealed as playing an important role in enabling CE to take place. This finding reaffirms the discussion in previous research regarding the relationship between community capability and engagement (Di Domenico <i>et al.</i>, 2009a; Bovaird <i>et al.</i>, 2016). However, this finding is also original, in that it is presented as a vector that connects all the contextual factors to engagement (Figure 8.2). This emphasises that it is important not only to improve capability, but also to provide opportunity (i.e., culture, demography and politics) for the enhancement of capability, confirming Sen’s (1988) capability approach to development.</p>
	<p>The current research has identified a transferable framework for CE in PSD (Figure 8.2). This expands the boundaries of previous research on CE, which mainly focused on forms of engagement, levels of engagement and conditions for engagement, without connecting all the aspects of CE together. Furthermore, the proposed framework is constructed with the acknowledgment of CE and SV as social constructs, which are different in each situation. This proposal makes an original contribution to the research on PSD reform and which is specific to CE and SVC on a global scale.</p>
Practice and Policy	<p>The proposed framework is meaningful for policymakers in identifying suitable strategies for CE in PSD in each region within the</p>

	<p>country, which could be transferred to the policies of other nations. The framework suggests that policymakers consider all the relevant aspects and areas in the process of CE in PSD in order to understand community capability and characteristics, and to improve their management and collaboration. However, the development of social capital and the capability building of all stakeholders is still the main task in improving CE in PSD.</p>
<p>Methodology</p>	<p>The current research has validated the use of an integrated GTM and case study approach. The research process started with a broad subject area, which was developed to a specific focus through the literature review. However, the findings and design of the research exploring the specific subject are deeply grounded in data, which validates the use of the GTM approach. Although there are limitations to the study because of the small sample (which is discussed in Section 9.4 below), the use of a theoretical case study approach has revealed representative features in both countries, which are useful for theory generation.</p>

9.4 - Research limitations and suggestions for future research

There are a number of research limitations that should be acknowledged. First, the relatively small number of cases; the current research involved 48 participants from three stakeholder groups, with 20 individual interviews and five focus groups with service users across the two countries. Although the number of participants and interviews, as well as the number of cases, met the requirement for building theory from case studies as suggested by Eisenhardt (1989), Warren (2002) and Creswell (2002) (see more Section 5.4.3, Chapter Five), they are only just above the minimum number of samples needed. It would be better for theory generation if more cases and more participants were involved in the research. Furthermore, the number of cases and relative participants in the two countries were not balanced. While the UK cases included three organisations (of which two were grouped together in Case 3 as they were representative of community library services, for the reasons explained in Chapter Five), the Vietnamese cases included only two organisations with similar services. Regarding the number of participants, although there was little difference in the total number of participants in each country (23 in Vietnam and 25 in the UK), the types of participant are

slightly different. More policymakers were involved in Vietnam (seven) than in the UK (four). Moreover, there was a lack of national policymakers in the UK cases, while these were represented in the Vietnamese ones. The small number of cases and the imbalance of participants between the two countries was the result of the limited choice of cases and participants in both countries. As discussed in the context of the countries in relation to public service reform and the development of the third sector (Section 1.1, Chapter One), there were a limited number of cases in Vietnam that could be matched with available ones in the UK to ensure comparability. Furthermore, the limited resources of PhD research did not allow the researcher to travel to as many cases as desired, due to the high travel costs within and between countries. The limited social networks and resources, as well as the limited time scale, were also barriers to the possibility of approaching more policymakers in the UK, especially national ones, given that the researcher is an international student in the UK. Therefore, the researcher tried to recruit as many participants from all three stakeholders as possible to ensure that each group had appropriate representative participants. Thus, this model can be considered to be preliminary one from an exploratory study.

By acknowledging the above limitations, the researcher suggests that future research is required. First, employing more cases in both countries would be useful in order to validate and amend the findings of the current research. A larger-scale research project could explore the relationships and engagement between stakeholders in more detail. Theory built on such future research might provide the opportunity for generalisation. Furthermore, because the focus of the current research is CE, combined with its limited scale, the study was not able to explore contextual factors such as management mechanism or policy implementation as extensively as desired. Further research that focuses on the indirect factors of CE in PSD could be a good reference to enrich the theoretical model. Third, because the current research switched the focus to CE as a result of the literature review, four other aspects (namely supporting service providers, ensuring equal access, developing social impact measurement tools, and ensuring accountability) of SVC in PSD require further exploration. This suggests that future research on other aspects of SVC in PSD, and research into the links and relations between these aspects, could be advantageous. Future research could explore the framework of SVC in PSD, which is not currently covered in existing research.

9.5 – Summary

The current research has demonstrated the applicability of the integration of a Straussian GTM and case study approach in theory generation in relation to CE in PSD. The use of the literature review as a guide to identify the specific subject focus does not affect the nature of GTM (Strauss and Corbin, 1990, Halaweh *et al.*, 2008), as the findings related to CE are still grounded in the data. The current research explored the process of CE in PSD and how CE can lead to SVC in Vietnam and the UK. Furthermore, it also identified both indirect and direct contextual factors that affect the process of CE in PSD. The combination of these two findings informed a transferable framework for CE in PSD that can be applied in different contexts.

The current research has obtained several key findings resulting from the data. The role of social capital is emphasised as a precondition for developing CE. This also implies that the process of CE is circular, in which social interaction, social cohesion and engagement action are circularly dependent. The role of capability is also proposed as a vector that enables engagement. It is important to enhance stakeholders' capability, but also to improve the conditions that can provide the opportunity for development. These conditions include all the contextual factors that are a part of the framework of CE in PSD. Politics, management, financial capability, third sector development and orientation are indirect factors of CE, as they can affect the capability of all stakeholders and the implementation of policy and service provision. However, culture and demography are identified as direct factors, which drive the relationships and perceptions among stakeholders, and therefore directly influence their motivation and decisions for engagement.

Although there are limitations regarding the research sample due to the limited scope and resources, the current research still delivers an original contribution to knowledge. The framework of CE in PSD, which is transferable to different contexts, is an original theoretical model that explores CE in a cross-cultural context. This contribution is meaningful, not only to theory, but also to practitioners and policymakers working with the community in different contexts. The proposed framework can also be used to transfer policy across nations and improve policy implementation. More importantly, the current research study can promote future research in multi-cultural contexts regarding SVC and CE in PSD, which is an area of interest that is currently under-researched.

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Appendices

Appendix 1. Ethics protocol

Ethics Considerations on Data Collection	
Access to the participants	<ul style="list-style-type: none">• Permission and consent form will be collected from participants with their signature.• The permission to access to vulnerable groups who are service users will be gained from the individual/organization who acts as the appropriate adult/guardian for the individual participant.
Audio recording	Informed consent and permission will be gained from each participant before proceeding with the recording of the interviews and focus groups.
Material collection	Aside open-accessed documents, all internal documents must get permission from the organization and document owner.
Storage	<ul style="list-style-type: none">• All hard copies of documents obtained will be stored in a locked cabinet in a locked room at the University.• All audio recording files obtained will be stored securely on a personal laptop, a University owned, password protected computer, a shared drive, and a password-secured hard drive for backup reason.• The Data Protection Act (1998) and the General Data Protection Regulation (2016) will be observed at all times.

<p>Data analysis and reporting</p>	<ul style="list-style-type: none"> • The confidentiality and security of the participants will be ensured through the anonymization of data. • The Data Protection Act (1998) the General Data Protection Regulation (2016) will be followed and ensured.
<p>Ethical Considerations for Researcher’s for engaging with participants for interviews, focus groups</p>	
<p>Authority</p>	<ul style="list-style-type: none"> • The researcher will present herself as the PhD candidate of the University of Northampton to the respondents. The university ID will be used as her identification. In the case of Vietnam, the researcher can additionally use her Vietnamese Identity card as a proof to confirm her identity. • A copy of the letter of permission from the supervisor and the University Ethics Committee to conduct the interviews will be shown to the respondents.

<p>Participation recruitment</p>	<ul style="list-style-type: none"> • A signed participant Information Sheet and Consent Form will be collected from each participant. All information has to be presented in a format that the participant can understand. A signed copy of the documents will be collected and kept on a secured storage. All documents will also be translated into Vietnamese for participants in Vietnam. • The participant will be given and notified about the information sheet and the consent form at least 48 hours ahead of the interview. This will give the participant enough time to decide whether they want to continue or withdraw their participation. • Age of participants will be considered and any necessary provisions will be made. There will be no participant under 18. All recruited participants will be recruited voluntarily.
<p>Training</p>	<ul style="list-style-type: none"> • The research has completed the University of Northampton’s online ethics training. • Furthermore, the researcher will complete training on engaging with vulnerable young people. This training has allowed the researcher to develop an understanding of safeguarding procedures for protecting vulnerable people.
<p>Involvement</p>	<ul style="list-style-type: none"> • Each participant will be given the opportunity to positively decide to be involved in the research. • No coercion will be used and the participants will be informed they can withdraw from the research at any time prior to publication. • If a participant wishes to have a friend present during the interview process, the researcher should be informed in advance to ensure the confidentiality and safety for both the researcher and the participants. Where appropriate this request will be accommodated.

<p>Rights, safety and wellbeing of participant and researcher</p>	<ul style="list-style-type: none"> • The health and safety of the participants will be of the highest priority during and after the research. In the case of vulnerable groups, the contact details for the appropriate adults involved with the participant will be obtained to ensure that the necessary assistance and support is in place. • The researcher will not encourage participants to discuss any sensitive topics which cause discomfort or negative emotional reactions. The researcher will ensure the participant understand that there is no requirement for answering questions they do not want to respond. • The privacy and dignity of the participants will be preserved at all times. Any disclosure of participants' identity will be avoided. • The values and purpose of the research will be clearly explained to the participants. • The right to erasure and the right to ask questions about the research and/or researcher will be explained to the participants
<p>Permission from immediate authorities</p>	<p>Permission to meet with public agencies, the third sector organization, or the service users will be sought and obtained before commencing the fieldwork.</p>
<p>Suitability of premises</p>	<ul style="list-style-type: none"> • Premises must be accessible • The physical interview/focus group environment will be considered at all times, etc. to ensure an appropriate relationship (i.e. minimal power imbalances) between interviewer and interviewee is maintained.
<p>Method of interview</p>	<p>Open interviews will happen with individuals and focus groups. The researcher will pay high attention to the comfort of the interviewees, avoiding sensitive questions that could negatively affect the</p>

	<p>participants.</p>
<p>Method of recording data</p>	<p>Audio recording will be used as the main method of recording data. Following the recording of information, the researcher will transcribe, code and analyse information.</p> <p>The researcher is aware of the potential disadvantage of audio recording in that it may cause discomfort to participants. Thus, if the participants are not comfortable with it due to their personal preference or cultural custom, other methods will be agreed in close collaboration with the Supervisory team and the participants (such as note taking). Participation in the study is dependent upon individual's consenting to and being comfortable with the method of data recording.</p>
<p>Interviewers</p>	<p>The researcher will undertake all interviews and will lead the focus groups. Where appropriate, the researcher may request a second researcher to observe proceedings. However, this person must obtain the permission of the participants.</p>
<p>Transcribers</p>	<p>Audio recordings of the interview and focus groups will be transcribed by the researcher; the translation of the transcript from Vietnamese to English will be checked with a translator and discussed with the supervisors. The interpretation will be presented back to the participants to eliminate cultural misunderstanding and identify any further information needed.</p>
<p>Translators</p>	<p>Although the researcher is the main translator, the use of a backup translator is necessary to confirm the accuracy of the data. The researcher will ensure that an appropriate translator is identified who has the requisite skills to undertake the translation.</p>

Attendees	Consent for any additional attendees will be sought from participants.
Consent	<ul style="list-style-type: none"> • A Participant Information Sheet and a Consent Form will be provided to and obtained from each participant. All documents will be written in a clear format that the participants can easily understand. A signed copy of the consent form will be collected and kept by the researcher. All documents will also be translated into Vietnamese for the participants in Vietnam. • The Participant Information Sheet and the Consent Form will be handed over to the participant at least 48 hours ahead of the interviews so that they will have enough time to decide to whether continue or withdraw from the research. • The participants will be clearly informed about their right to erasure. The contact details of the researcher, including email and phone number, will be provided.
Confidentiality and Anonymity	<ul style="list-style-type: none"> • The Participant Information Sheet will clearly state that all information provided will be treated in the strictest of confidence. • The researcher will fully anonymise the data collected. • All information provided will remain confidential. • Participants will be allocated codes to ensure privacy and anonymity. • Once the data is fully coded, any personal data will be confidentially destroyed. The Data Protection Act (1998) and the General Data Protection Regulation (2016) will be followed at all times.
Issues arising from the activity	Contact details of the researcher, including email and phone number, will be provided in any case of enquiries or urgent needs.

Feedback	A summary of the research along with researcher's contact details will be provided to all participants.
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Risk Assessment

An outline of risk assessment is provided below. The probability is rated on a five- point Likert scale ranging from 1 (very unlikely) to 5 (highly likely). The impact is also rated on a five-point Likert scale ranging from 1 (very minor) to 5 (very major).

Risk	Consequences	Person affected	Probability	Impact	Mitigating Actions
International travel	Injury	The researcher	1	5	<ul style="list-style-type: none"> • Insurance coverage for international travels. • Use direct flights to reduce the risk of travelling. • Insurance coverage for international travels.
Domestic travel (within the UK and within Vietnam)	Injury	The researcher	1	4	<ul style="list-style-type: none"> • Use public transport and taxi as the main method to commute as the researcher does not drive. • Always ensure that my schedule and travel plans

					<p>are known to my friends, supervisors, and family members.</p> <ul style="list-style-type: none"> • Be safety conscious at all times.
Failure to recruit the beneficiary groups	Affect the content and quality of the research	The researcher	1	4	<ul style="list-style-type: none"> • The researcher had a short visit to the prospective case-study organizations to build good relationships with them and get agreement to participate from the organizations as well as their beneficiaries. • Asking the organization to contact their beneficiaries to ensure they are informed about the research and the researcher.
Failure to approach	Affect the content and	The researcher	2	5	<ul style="list-style-type: none"> • Taking advantage of the

<p>policy makers (in both Vietnam and the UK) for interview</p>	<p>quality of the research</p>				<p>University of Northampton's networks and the researcher's networks in Vietnam, to seek and maintain relationships with public agencies.</p> <ul style="list-style-type: none"> • Giving a clear overview of the purpose of the project to the various policy agencies to build trust and create a partnership.
<p>Participants fail to engage with the research</p>	<p>Affect the content and quality of the research</p>	<p>The researcher</p>	<p>1</p>	<p>4</p>	<ul style="list-style-type: none"> • The researcher had a short visit to the case-study organizations to build good relationships with them and get agreement to participate from the organization. • Continue maintaining positive relationships and

					<p>good communication with the organisations.</p> <ul style="list-style-type: none"> • Benefits of this project will be disseminated to the organizations (including policy agencies and third sector organisations).
Dispute between participants and the researcher	Tension	The researcher and the participants	2	2	<ul style="list-style-type: none"> • Ensuring clear and regular communication is given both before and during the research. • Avoid using aggressive words in communication and arguing with the participants. The researcher will always be sensitive to other's points of view and will be sensitive in their lines of

					questioning.
Failure to complete research project in the allocated time.	Delayed submission	The researcher	1	2	<ul style="list-style-type: none"> • Timetable and work plan will be closely adhered to. • Researcher's progress will be regularly reported to the Supervisory team; any concerns will be raised.
Distress caused by research.	Tension, Headache, Emotional issues	The researcher	1	3	<ul style="list-style-type: none"> • Regular contact with the Supervisory team will be maintained to prevent and consult on any stress that occurs. The researcher's sister and brother obtained a PhD and can be good mentors for the researcher as well. • Ensure good links with the

					University's research community for additional support and training.
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Appendix 2. The consent form

Title of Project: *Social value creation through community engagement in Public service delivery: A comparison of the UK and Vietnamese contexts.*

Thank you for your interest in taking part in this research. If you have any questions regarding the aims and objectives of the research, the confidentiality of the research, why it is being undertaken, the duration of the research, etc., please find the information provided on the Participants Information Sheet or ask the researcher any questions.

You will be given a copy of this Consent Form to keep and refer to at any time.

Important Note:

- a. If you do not understand any aspect or would like further information please do ask
- b. Tick the appropriate column for each item if your answer is “yes” or “no” please

	Statement	Yes	No
1.	I have read and understood the Participant Information Sheet dated _____ and know what the research involves.	<input type="checkbox"/>	<input type="checkbox"/>
2.	I have been given the opportunity to ask questions about the project and my participation.	<input type="checkbox"/>	<input type="checkbox"/>
3.	I voluntarily agree to participate in the project.	<input type="checkbox"/>	<input type="checkbox"/>
4.	I understand that I have the right to erasure at any time, without having to explain my reasoning, and my record of participation will be destroyed.	<input type="checkbox"/>	<input type="checkbox"/>
6.	The procedures regarding confidentiality have been clearly explained to me.	<input type="checkbox"/>	<input type="checkbox"/>
6.	I understand and agree that my participation involves taking part in the interviews being audio recorded.	<input type="checkbox"/>	<input type="checkbox"/>

Prof. Richard Hazenberg

Email: Richard.Hazenberg@northampton.ac.uk

Tel: +44(0)1604892423

Mob: +44(0)7803924987

Appendix 3. Research Participants Information Sheet

Research title: *Social value creation through community engagement in public service delivery: A comparison of the UK and Vietnamese contexts.*

Introduction

I would like to invite you to take part in this research to understand how community engagement in public service delivery can facilitate more effective social value creation. I am very much interested in your perspective and your experience on the research topic.

1. Who is the researcher and why am I doing this?

My name is Oanh Cao, a PhD candidate at the University of Northampton, based in the United Kingdom. This research is part of my PhD studies at the University of Northampton. The research is expected to be finished in a period of four years. The research is now in its third year and completion is planned by December 2018.

2. What is the purpose of this research?

The current research will provide an in-depth exploration of social value creation through community engagement in public service delivery in Vietnam and the UK. The aim of this cross-cultural research is to produce appropriate policy recommendations for the enhancement of social value creation in Vietnam. The current research will make an original contribution to knowledge by exploring the mechanism of social value creation in public service delivery with the following aims:

- To identify how community engagement in public service delivery affects social value creation in the UK and Vietnam
- To identify transferable policies that target social value creation in public service delivery from developed countries (the UK) to developing countries (Vietnam).

3. Who are the participants of this research?

The research will invite the participation of public service providers, service users, and policy makers that are relevant to the chosen public services. You are chosen based on the fact that you are among the target groups of public service stakeholders.

4. Do you have to take part in the study?

Your participation is entirely voluntary. Therefore, it is entirely your decision to decide whether or not to participate in the research. If you decide to participate, you will be given one copy of this information sheet and required to sign a consent form. However, you can still withdraw your participation at any time if you do not want to keep participating in the research without having to give any reason.

5. *What do you have to do if you agree to take part in the research?*

- We will arrange a time and place to meet at your convenience.
- The interview is expected to last no longer than an hour, during which I will ask you several questions relating to the research topic.
- If you are a service user, you will be invited to take part in a focus group with other service users. The participation in this group is again entirely voluntary. I will ask you all several questions relating to the research topic and you are most welcome to give your answers and discuss with the others in the group.
- After the first round of interviews, I will start my initial analysis. If there is any need for further information, you will be asked to take part in a second interview to confirm my analysis and provide more information needed. Participation in this second stage is again entirely voluntary.
- When I have completed the study, I will produce a summary of the findings which I will be more than happy to send to you if you are interested.

6. *Is there any possible benefit to participation?*

Taking part in this research, you may find the interview questions interesting and the research outputs might provide useful information for you regarding public service provision. As to service providers and policy makers, this research will be expected to give some policy recommendations on how to improve the efficiency of public service provision and create more social value to the community. As to the service users, through the interviews, your suggestion and feedback on public service provision will be taken and be a good reference for the service providers and the policy makers. Furthermore, not only can Vietnam learn from the UK but the UK also can take lessons from Vietnam to improve the quality of public services in both countries.

7. *What are the risks of participation?*

Although there is no major risk by taking part in the interview, you may find it uncomfortable talking about your experiences with public service deliverers. Also, if you belong to vulnerable groups, you may feel uncomfortable talking about your issues. However, this will be minimised by the high awareness of the researcher about confidentiality, ethical consideration, and risk management, which were approved by the Research Ethics Committee of the University of Northampton.

8. How will the data be stored and managed?

All the data will be stored on the researcher's computer, on a shared drive, a password-protected computer at the University of Northampton, and another backup will be stored on a portable hard drive with password protected files. All data collected will be subjected to the Data Protection Act (UK Parliament, 1998) and the General Data Protection Regulation (2016). The researcher will also follow the University of Northampton's Code of Practice for Research Ethics to ensure confidentiality and anonymity of the research participants (i.e. you). The identity of yourself and/or your organisation will be kept confidentially by the researcher. Therefore, your identity will not be identifiable throughout the research and later when the research reports or other research outputs are produced any quotes attributable to you will be anonymised.

9. What will happen if you withdraw from the research?

You have the right to erasure at any time. If you withdraw from the research, all the information and data collected from you will be destroyed and removed from the study files. In a focus group, you still can withdraw your participation from the focus group at any time as well. All recorded data collected from you will be deleted if you decide to opt-out from the focus group.

10. What will happen to the results of the research?

The result of this research will appear as a Doctoral thesis and will be accessible through the Northampton Electronic Collection of Theses and Research (NECTAR)¹⁴. There might also be published articles in international academic journals, and research reports as additional research outputs. You will not be identifiable in any of these research outputs.

¹⁴ <http://nectar.northampton.ac.uk/>

Appendix 4 - Interview Schedule for Service providers

I. Introduction

My name is Oanh Cao. I am a PhD student at the University of Northampton, based in the United Kingdom. I am here today because I would like to hear from you your experiences in delivering this public service. I would like to ask you some questions about your background, your motivations and your organisation's involvement in public service provision. There is no "right" or "wrong" answers to the questions I will ask you. My aim is for this interview to feel like a friendly conversation within which you will share with me your honest feelings and experiences. Your replies will be very useful for me in understanding your organisation's activities.

This interview will be used as the main data source for my PhD research degree that I am undertaking at the University of Northampton. This research aims to understand the mechanism of social value creation through community engagement in public service delivery. The findings of this research will be presented as a part of my PhD research degree and can be published as articles in academic journals. A report of the research results will be sent to you and your organisation when completed.

To ensure that I do not miss anything while interviewing you, your interview will be audio recorded. If you do not feel comfortable at any point of the interview, please let me know and we can stop/pause the recording. But it is important for you to be aware that your identity and all information recorded from this interview will be kept with the utmost confidentiality/anonymity and I will be the only person who can access the raw data. Your identity will be anonymously coded and nobody can identify you in any way. You can find more information on how the data will be stored and manage in the Information Sheet. If you have any questions, please feel free to ask me.

You have the right to erase from the research at any time. After analysing the data, I wish to present it to you to gain more information and opinions from you if needed, as a form of 'member check'. Again, participation in this phase of the research is entirely voluntary. The interviews should last for about 1 hour. If you are still happy to participate in the interview now, we will explore the below questions. If you do not wish to answer one or more of the below questions, please let me know during the interview and we will skip the relevant question(s).

II. Interview questions

1. Can you tell me a bit about the history of your organisation?

- a. Why was your organisation established?
 - b. Who are the founders? Are the founders still running the operation of the organisation now?
2. *Who are the staff of your organisation?*
- a. How many staff do you have?
 - b. What are their backgrounds?
 - c. How do you encourage them to join?
 - d. Are there any ex-public officials, community members or volunteers?
3. *Is your organisation funded by the government or other sources?*
- a. How do you get funding from the government? (Do you actively apply for funding or does the government actively fund you?)
 - b. Who funds you most? (the government or other partners?)
 - c. How important a role does the funding play in your organisation's activities?
 - d. Are there any difficulties in getting funding from the government?
 - c. Is the funding enough?
4. *Who is involved in your service provision (the government, the third sector, community)?*
- a. Why are these groups involved? Do they actively want to be involved or does your organisation convince them to be involved?
 - b. What benefits do community receive? What benefits do you think your organisation will get?
5. *What are the aims and values of the organisation and public service you are delivering?*
- a. Who are you serving? Who do you think your beneficiaries are?
 - b. Do you think you understand your beneficiaries needs and values? How do you ensure you understand their needs?
6. *What are the forms or activities of community engagement your organisation engages in?*
- a. Who do you think community is (beneficiaries only or the society as a whole)?
 - b. How does your community participate in/contribute/get connected to your service provision?
 - c. What do you do to understand your community's needs and their thoughts?
7. *What are the enablers and barriers to community engagement in public service delivery?*
- a. Why is it difficult/easy to engage community?
 - b. Why do you think community engagement is important? / what do you think about the role of community in public service delivery?

- c. Are there any disadvantages/advantages relating to the contemporary economic, cultural, and political environment that affect the participation of community?
8. *What do you think of the contemporary policies in public service delivery, especially in relation to your service?*
- a. Do you get enough support? What kind of support?
 - b. Any difficulties in getting support from the government?
 - c. Are there any policies discouraging you from delivering better services?
 - d. Are there any policies enabling you to deliver better services?
- c. Do you think current policy encourages community engagement in public service provision?
9. *How do you assess your outcomes and impacts on community? How do you assess your community engagement activities?*
- a. Do you bring any positive changes to the beneficiaries? How?
 - b. Do you bring any positive changes to community? How?
 - c. Do you think your impact is sustainable? Why and why not?
 - d. How do you present that impact to community and the government/funders?
10. *What is your ideal model of public service provision? What is the role of community engagement' in that?*
11. *What policies do you think are needed to improve community engagement in public service delivery*
12. *Is there anything that I haven't asked you that you think is important or would like to discuss before we conclude the interview?*

Appendix 5 - Interview Schedule for Policy makers

I. Introduction

My name is Oanh Cao. I am a PhD student at the University of Northampton, based in the United Kingdom. I am here today because I would like to ask you some questions about the current policies, your perspective on the necessity of community engagement in public service delivery, and what should be done to improve public service provision. There is no “right” or “wrong” answers to the questions I will ask you. My aim is for this interview to feel like a friendly conversation within which you will share with me your honest feelings and experiences. Your replies will be very useful for me in understanding your organisation’s activities.

This interview will be used as the main data source for my PhD research degree that I am undertaking at the University of Northampton. This research aims to understand the mechanism of social value creation through community engagement in public service delivery. The findings of this research will be presented as a part of my PhD research degree and can be published as articles in academic journals. A report of the research results will be sent to you and your organisation when completed.

To ensure that I do not miss anything while interviewing you, your interview will be audio recorded. If you do not feel comfortable at any point of the interview, please let me know and we can stop/pause the recording. But it is important for you to be aware that your identity and all information recorded from this interview will be kept with the utmost confidentiality/anonymity and I will be the only person who can access the raw data. Your identity will be anonymously coded and nobody can identify you in any way. You can find more information on how the data will be stored and manage in the Information Sheet. If you have any questions, please feel free to ask me.

You have the right to erase from the project at any time. After analysing the data, I wish to present it to you to gain more information and opinions from you if needed, as a form of ‘member check’. Again, participation in this phase of the research is entirely voluntary. The interviews should last for about 1 hour. If you are still happy to participate in the interview now, we will explore the below questions. If you do not wish to answer one or more of the below questions, please let me know during the interview and we will skip the relevant question(s).

II. Interview questions

1. Can you tell me a bit about yourself?

2. *Can you tell me a bit about your department?*
 - a. How many staff do you have?
 - b. What are the missions and values of your department?
3. *How are you or your department aware of community engagement in public service delivery?*
 - a. Do you think it is easy or difficult to engage people in public service delivery?
 - b. What do you think are the most appropriate forms of community engagement?
 - c. Who are community from your perspective?
4. *What aspects do you think are important for a public service provider? (such as competence, core values, cost efficiency, etc.)*
5. *What support do your department/ the government give to service providers/service users?*
 - a. In-kind
 - b. Finance
 - c. Legal
 - d. Other
6. *What does the government do to understand the needs of community and service providers? Are there barriers to developing better understanding?*
7. *What are the motivation and barriers for the government in supporting community engagement in public service delivery?*
 - a. What are the enabler/barriers to engaging community?
 - b. Why do you think community engagement is important? / what do you think about the role of community in public service delivery?
 - c. Are there any disadvantages/advantages relating to the contemporary economic, cultural, and political environment that affect the participation of community? If yes, what are they?
8. *What do you think of the efficacy of contemporary policies in public service delivery?*
 - a. Do you think the support is enough?
 - b. Are there any particularly good examples of policy?
 - c. Do you think policy is encouraging community engagement in public service provision? Why and why not?
9. *How do you assess the outcome and impact of public services on community? How do you assess community engagement activities?*
 - a. What categories do you base these assessments on?

b. What is the aim/mission of the government when delivering a service?

c. Do you think the impact is sustainable? Why and why not?

10. What is your ideal model of public service provision? What is community engagement's role in that?

11. What policies do you think is needed to improve community engagement in public service delivery?

12. Is there anything that I haven't asked you that you think is important or would like to discuss before we conclude the interview?

Appendix 6 - Focus group schedule with Service users

I. Introduction

My name is Oanh Cao. I am a PhD student at the University of Northampton, based in the United Kingdom. I would like to ask you some questions about your experience using public services and your involvement in public service provision. There is no “right” or “wrong” answers to the questions I will ask you. My aim is for this interview to feel like a friendly conversation within which you will share with me your honest feelings and experiences. Your replies will be very useful for me in understanding your organisation’s activities.

This interview will be used as the main data source for my PhD research degree that I am undertaking at the University of Northampton. This research aims to understand the mechanism of social value creation through community engagement in public service delivery. The findings of this research will be presented as a part of my PhD research degree and can be published as articles in academic journals. A report of the research results will be sent to you and your organisation when completed.

To ensure that I do not miss anything while interviewing you, your interview will be audio recorded. If you do not feel comfortable at any point of the interview, please let me know and we can stop/pause the recording. But it is important for you to be aware that your identity and all information recorded from this interview will be kept with the utmost confidentiality/anonymity and I will be the only person who can access the raw data. Your identity will be anonymously coded and nobody can identify you in any way. You can find more information on how the data will be stored and manage in the Information Sheet. If you have any questions, please feel free to ask me.

You have the right to erase from the project at any time. After analysing the data, I wish to present it to you to gain more information and opinions from you if needed, as a form of ‘member check’. Again, participation in this phase of the research is entirely voluntary. The interviews should last for about 1 hour. If you are still happy to participate in the interview now, we will explore the below questions. If you do not wish to answer one or more of the below questions, please let me know during the interview and we will skip the relevant question(s).

II. Focus group questions

1. Could you please tell me your experience with this public service provider?

- a. How long have you been using the service?
- b. Why do you need this service?

- c. How do you know about the service?
 - d. How satisfied do you feel with the service? Any positive or negative points?
 - e. Do you think the service provider understand your needs?
2. *Do you think you need to be engaged in public service delivery?*
 - a. Do you think you should/need to participate in public service delivery?
 - b. Do you know how you can participate in public service delivery? (explain types of engagement activities)
 3. *What do you think are the enablers and barriers for participating in public service delivery?*
 - a. Are there any individuals /organisations encouraging you to participate in public service delivery activities?
 - b. Do you experience any barriers from your community, cultural prejudice, your family, or your background in participating in public service delivery?
 - c. Do you believe your voice/feedback will be listened to by the service provider? Why/ why not?
 4. *What are the benefits/disadvantages for you when you are engaged in service delivery?*
 - a. Is there any potential risk? (society, family, politics, etc.)
 5. *How is your communication with your service provider?*
 - a. Before you started using the service
 - b. During your use of the service
 - c. After you stopped using the service
 6. *What are the possible impacts and the changes that the service brings to you?*
 7. *What do you think the service provider needs to do to improve their communication to you and your community?*
 8. *What support do you need from the government to help you to engage more with the service?*
 9. *Is there anything that I haven't asked you that you think is important or would like to discuss before we conclude the interview?*

Appendix 7 - The participants of Case 1

Participants	Types of stakeholders	Roles
P1	Policymaker	Manager of Provincial Department of Culture, Sports and Tourism
P2	Policymaker	Manager of Provincial Department of Labour - Invalids and Social Affairs
P3	Policymaker	Manager of Ministry of Labour - Invalids and Social Affairs
P4	Policymaker	Officer of Family department, Ministry of Culture, Sports and Tourism
P5	Service provider	Manager of Case 1
P6	Service provider	Commune Policeman, the team leader of one "trusted address" at the local level.
P7	Service provider	Vice president of Women's union at the provincial level
P8	Service user	Current victims at Case 1's Refuge house
P9	Service user	
P10	Service user	
P11	Service user	
P12	Service user	
P13	Service user	
P14	Service user	Ex- victim of Case 1's Refuge house

Appendix 8– List of Units of analysis from Case 1

Social bonds	Leadership	Community meeting
Formalism	Actively funding seeking	Consistency
History of voluntary activities	Solidarity	Easy to approach
Tradition	Social awareness	Trustful
Accessible location	Recognition	Conflict perception
Budget constraint	Reputation	Symbolic policies
Poor facility	Collaboration among sectors	Complex administration procedure
Political influence	Connection with local authorities	Policy implementation
Weak capability of volunteers	Interpersonal connection	Leaders' viewpoints and preferences
Lack of specialised staff	Collaboration with community	Long-term solution, Short-term solution
Weak capability of the service provider	Community events	Direction
Lack of motivation	Information communication	Unsystematic
Credibility	Lack of two-way communication	Building trust
Accountability	Cohesion	Acquiring knowledge and skills
Practical experience	Community demand focus	Tightening social bonds
Passion		Satisfaction
Enthusiasm		
Professionalism		

Appendix 9 - The participants of Case 2

Participants	Types of stakeholders	Roles
P15	Policymakers	Head of Provincial Library
P16	Policymakers	Head of the village
P17	Policymakers	Manager from Ministry of Culture, Sports and Tourism
P18	Service provider	Director of Case 2
P19	Service user	Service users and volunteers at the library
P20	Service user	
P21	Service user	
P22	Service user	
P23	Service user	

Appendix 10 – List of units of analysis from Case 2

Avoiding personal offences	Weak capability of service provider	Cohesion
Culture adjustment	Weak capability of mass organisation	Community demand focus
Social bonds	Credibility	Community meeting
Social reintegration	Accountability	Consistency
Formalism	Practical experience	Easily recognised brand
Old-school mindset	Actively funding seeking	Encouragement
Preferring compliment to-criticism	Empathy	Frequency
Prejudice or social stigma	Friendly staff	In-depth communication
Reconciliation culture	Being responsive	Trustful
The third sector development	Responsibility	Raising awareness
Social impact investment-system	Policy advocacy	Conflict regulation
Remote location	Self-awareness of human rights	Conflict functional specialisation
limited funding resources	Social awareness	Conflict perception between policymakers and service providers
Lack of social protection - system	Wrong social perception toward DV	Policy confusion
Budget constraint	Collaboration among sectors	Conflict financial management
Poor facility	Collaboration with the Third sectors	Unclear task assignment
Political influence	Connection with local authorities	Unrealistic goals
Political position	Interpersonal connection	Ineffective regulation
Knowledge gap	Community events	Lack of standardisation
Weak capability of volunteers	Information	Strict regulation
Lack of specialised staff	Being ignorant	Complex administration procedure
Lack of motivation	Lack of two-way communication	Difficulty in expanding the scale
Ability to debate	Weak voice raising	Difficulty in implementation
Weak capability of local authority	Being persuasive	Law enforcement

Transparency	Inappropriate budget	
Policy communication	Distribution	
Supervision scheme	Symbolic policies	
Community-based orientation	Keeping track	Building confidence and knowledge
Encouraging attitude towards third sector organisation,	Short-term solution	Acquiring knowledge and skills
Leaders' viewpoints and preferences	Vague perception of an ideal model	Being aware of human rights
Scale priority	Social impact measurement	Gender equality
Long-term solution	Economic value measurement	Raising voices
	Building trust	

Appendix 11 - The participants of Case 3

Participants	Types of stakeholders	Roles
P24	Service provider	Director of library 1
P25	Service provider	
P26	service user	service users and volunteers at library 1
P27	service user	
P28	service user	
P29	service user	
P30	Polycymaker	
P30	Polycymaker	Parish Council of library 1
P31	Service provider	Director of library 2
P32	service user	service users and volunteers at library 2
P33	service user	
P34	service user	
P35	service user	
P36	service user	
P36	service user	
P37	Polycymaker	Parish Council of library 2
P38	Polycymaker	Community library manager at the County Council

Appendix 12 - List of units of analysis from Case 3

social bonds	short of staff	facility support
social interactions	variety of volunteers	preferential treatment
social isolation	background	project funding
community hub	lack of skills	consultancy support
community groups	local legitimacy	networking support
meeting people	local network	signpost
familiarity	accountability	local authority support
personal touch	being active	training
ageing volunteers	being friendly	autonomy
living standard	business minded	governance
community scale	creativity	types of ownership
turnover of residency	dedication	discussion
social class	enthusiasm	controversy
funding cut	good leadership	paperwork
limited budget	fundraising skills	social benefit orientation
minor income	proactive	community demand focus
running cost	organising skills	negative issues
financial unsustainability	capacity building	local authority's attention
funding dependence	community events	leaders' viewpoint
fund raising activities	informing	pessimistic vision
succession	advertisement	priority
location	branding	strategy
convenience	consultation	impact measurement
accessibility	frequency	community hub
ignorant community	ineffective	explicit impacts
social attitude	one-way communication	long term impacts
social awareness	boring content	satisfaction
mutual understanding	co-production	social impact
appreciation	collaboration with other	measurement
harmony	organisations	strengthen social bond
preference	contracting out	

Appendix 13 - The participants of Case 4

Participants	Types of stakeholders	Roles
P39	Service provider	Managers of Case 4
P40	Service provider	
P41	service user	service users of Case 4
P42	service user	
P43	service user	
P44	service user	
P45	service user	
P46	service user	
P47	service user	
P48	Policymaker	Public officer of the Police and Crime Commissioner

Appendix 14 – List of units of analysis from Case 4

social isolation	freedom	sharing tasks
social judgment	influencing	social interaction
social stigma	pressure	inter-link
preserved community	availability of services	ineffective supporting
demographic	contact help points	system
turnover of residency	accessibility	development agency
funding cut	consultation	comprehensive support
limited budget	community's feedback	valuation system
limited resources	community's voice	signpost
limited facility	responding to	process
access to funding	community's needs	funding allocation
economics	empowerment	understanding
inflation	encouragement	community's needs
neglected community	experience sharing	preference
sceptical	advertisement	joint strategy
wrong perception	community events	community demand's
community background	lack of information	focus
victim's confidence	raising awareness	sustainability
vulnerable	social media	social value valuation
being ignorant	mutual understanding	keeping track
empathy	regular communication	career orientation
friendly	conflict	social inclusion
professional	mentoring	building relationships
pushing the council	rotation of staff	raising voices
respect the customer	partnership with other	changing mindset
understand community's	third sector organisations	building self-esteem
needs	partnership with the	appreciation
wide scale	council	impact measurement
control	commissioning	impact record
depression	free training	
discomfort	research involvement	
	service user forum	

