

Social Alliances: how collective action networks create  
transformative capacity for social change

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*The Faculty of Management, Economics and Social Sciences at the University of Fribourg neither approves nor disapproves the opinions expressed in a doctoral thesis. They are to be considered those of the author. (Decision of the Faculty Council of 23 January 1990).*

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*Imagine and create new possibilities - our future is up to us!*

## Part 1: Motivation for this research

*Humankind has not woven the web of life.  
We are but one thread within it.  
Whatever we do to the web, we do to ourselves.  
All things are bound together.  
All things connect.*

*Chief Seattle, 1854*

### 1.1. Introduction into topic of research

The world has become the playground for complex problems. These are large-scale, intertwined and difficult to solve issues that require the joint efforts of collaborating organizations and allocating shared resources, services and skills to address them. In the entrepreneurship literature these complex problems are known as wicked problems (Dentoni, Bitzer and Schouten, 2018), and can include wicked issues such as social and economic exclusion and discrimination; income inequality, pollution, crumbling infrastructure, lack of opportunities for upward social and economic mobility, urban/rural poverty; as well as loss of biodiversity, entrepreneurial displacement and the lack of a qualified and skilled workforce, mass migration due to climate change or civil war.

These are just a few examples of complex problems that ‘humanity’ is already facing and will be exposed to with higher intensity, and resulting in major social, political, ecological and economic disruptions. These wicked problems are also becoming increasingly complex – they have no closed-form definition, emerge from complex systems in which cause and effect relationships are either unknown or highly uncertain, and have multiple stakeholders with strongly held and conflicting values related to the problem (Voltan & De Fuentes, 2016).

These problems thus feature substantial interdependencies among multiple systems and actors, and have redistributive implications, particularly for those with entrenched interests (Van Wijk et al., 2018; Alexander, 2019). These complex problems cannot simply be solved by one individual or one organization. To solve these complexities, requires new forms of organizing and collaboration, which are formalized, multi-party and cross-sectoral, and known among practitioners and researchers as ‘social alliances’ (Waddock, 1991).

Also known as cross-sector social partnerships, social alliances represent a form of organizing across actors which aim to address complex problems by combining resources and capabilities across sectors and organizations (Waddock, 1991; Austin, 2000; Selsky & Parker, 2005; Seitanidi, 2008). Irrespective of transformation being expressed in terms of creating system’s change, social change (Mair & Marti, 2006), social transformation (Roberts & Woods 2005), pattern-breaking change (Martin & Osberg, 2007), social value creation (Austin, Stevenson and Wei-Skillern, 2006; Sullivan Mort, Weerawardena and Carnegie (2006) or social impact (Bacq & Janssen, 2011), at the core is a mission to organize with other organizations to solve a complex problem.

I use the term social alliance and cross-sector social partnerships or cross-sector collaboration interchangeably in this thesis, referring to “cooperative inter-organizational relationships (Lotia & Hardy, 2008) - not governed by markets or hierarchies - (Lotia & Hardy, 2008; Page et al., 2015) between different sectors’ organizations that work together with different levels of intensity to achieve a common purpose (Austin, 2000; Himmelman, 2002).” (Trujillo, 2018, p.426)

## 1.2 Social alliances as vehicles for social innovation

Social alliances present an opportunity to create formidable and mutually reinforcing system change which combines the unique capabilities and resources of each organization from different sectors to deliver outcomes and value beyond those of any one sector acting in isolation (Klitsie et al., 2018).

The United Nations Sustainable Development Goal, number 17, is even entirely dedicated to multi-party partnerships that strengthen the means of implementing and revitalizing global partnerships for sustainable development.

Furthermore, there is scholarly agreement that social alliances are multidimensional and multilevel value creation or social innovation vehicles that emerge, because none of the actors by themselves can successfully address complex problems, not to mention create new solutions to them (Austin & Seitanidi, 2012; Rey-Garcia, Calvo and Mato-Santiso, 2019). Many social alliances have a social innovation or a social change orientation, a desire to change a deeply embedded social, economic or ecological problem. Thus, solving complex problems is socially innovative.

*Yet, that orientation alone does not necessarily guarantee that a coalition of multiple organizations actually obtains the capacity to create transformation, or deliver on its promise for social innovation or social change.* It still has to be determined under what conditions these embedded coalitions sustain their collaboration and actually achieve transformation of that deeply entrenched social, economic or ecological problem. The conditions that produce change of deeply entrenched problems are complex and multifaceted. Transformation doesn't just happen, and it is not a linear process.

*It is therefore imperative to look deeper into those social alliances that have indeed generated capacity to deliver transformation of social, ecologic and/or economic problems. If doing that, I may be able to better understand how successful social alliances over time have solved deeply entrenched, complex problems.*

I believe the question of capacity to deliver transformation through social alliances to be relevant because the question about how to produce, expand and scale successful change deeply affects one of social entrepreneurship’s fundamental challenges, which is how to replicate successful and innovative solutions in

another setting (Voltan & De Fuentes, 2016). The focus of most contemporary social entrepreneurship literature has mainly been paying attention to replicating or scaling socially innovative products or services. Social innovation viewed from this perspective sees social innovation as a product, service, or outcome that addressed unmet human needs and improve people's lives (Mulgan et al., 2007).

There are thousands of these socially innovative social products and services available across crowdfunding platforms, social good e-commerce platforms, and product websites. Just take for example, eSight, a smart glass that helps legally blind people see; or RefAid, an app connecting refugees with crucial services, or Watt-r, a solar-powered water delivery cart, and lastly Petit-pli, a clothing line that allows clothes to expand as your child grows. These are just a few enterprises to name. There are thousands of such products and services available across markets around the world.

It is however simplistic to argue that scaling socially innovative products or services and aggregating positive solutions will magically help solve the magnitude of societal complex problems. The magnitude of complex social, economic and ecological - and dare I say - cultural problems, require a different fix than simply offering new products and services to consume and to scale. I am in no way saying that socially innovative products and services are not meaningful enough. On the contrary! I believe we need more of it - more socially innovative solutions, products and services that are both good for the planet and people. However, only focusing on replicating or scaling a social innovation as a product, service or outcome, is distorting.

In this research, I make an argument that the reality of solving entrenched problems is so complex and contextual, that they cannot be solved by just adopting products or services that have been designed by social entrepreneurs. Solving wicked problems requires a more specified solution that is adapted to the locale. "Every wicked problem is essentially unique", and therefore "there is no solution which fits all, nor the possibility of synthesizing wicked problems into classes to address similar solutions ", (Dentoni et al., 2018, p. 337). Solving complex problems imply a multi-level and difficult process between various organizations and collectively working on designing solutions to solve deeply embedded, contextual and wicked problems.

Not all organizations have the in-house capacity (e.g., managerial, cognitive, networks, resources) to address deeply entrenched problems, or the capacity to deliver on the promise of social innovation or social change. I make a reasonable argument, when I state that successful organizations require in house capacity to develop socially innovative products and services. This has already been vastly proven by academic and business literature and practitioners alike. I thus assume by analogy, and also argue, that social alliances need to have or build capacity to manifest the social innovations or social changes they want to deliver.

*Instead, I argue, social innovations take specific and context dependent forms and are not easily replicable, particularly when it relates to solving complex problems.* Countless scholars however have also appealed to more scholarly research to look at *social innovation as a process of transformation and how a new reality is created*, rather than simply as a solution, product or an outcome that needs to be replicated (Defourny & Nyssens 2008; Bouchard, 2012; Cajaiba-Santana, 2014; Ibrahim, 2017).

In this respect, Baker & Mehmood (2015, p. 323)<sup>1</sup> provide “Viewing social innovation as a process turns attention to the organizational and social processes that produce innovation (-). Viewed as a product, attention is focused on the outcome of social innovation, and how this is manifested in social change (-). In this latter focus on the transformational potential, social innovation can be understood as a significant, creative and sustainable shift” in the way a given society deals with a profound and previously intractable problem – such as poverty, disease, violence or environmental degradation.”

*Thus, social innovation, in addition to being seen as a product, service or outcome, can also be seen as a transformational process. This perspective of social innovation as a process, suggests that I should be investigating the underlying mechanisms or processes, and how I assess social innovation and social change.* In this research, I am particularly interested in how social innovation processes are applied by a group of organizations that are trying to solve complex problems and achieve social innovation or social change. *For the purpose of this research, I use social innovation and social change interchangeably.*

Before discussing social alliance capacity in further detail, I would like to draw the reader’s attention to the significant increase of social alliances over the last twenty-five to thirty years, and also highlighting some key reasons for their increase.

### 1.3 The multiplication of social alliances to address complex problems

The 21st century is the age in which interdependence and collaborations between nonprofits, corporations and governments will accelerate and intensify (Austin, 2000). I would like to add that in addition to inter-dependence there is also cross-dependence between various organizations.

I am seeing a proliferation of cross-sector social partnerships shaping socially collaborative markets. These partnerships are attempting, and in many cases, also succeeding to address the pitfalls of the private sector, the gaps in the scope and delivery of public services, and the inability to create long-lasting impact through the traditional nonprofit sector.

A number of mega-trends and developments have fueled the rise, popularity and continued fascination with social alliances over the last decades and are quite likely to continue.

- **Transformation of the Global Economy**

The ongoing transformation of the global economic landscape is closely linked to the transformation of urban and rural environments, and the outcome of the economic transition towards post-Fordism, or post-industrial knowledge-based economies that particularly capitalist countries underwent in the 1990s (Morrison, 2017; Van Agtmael & Bakker, 2017). As cities grow bigger, many are morphing into influential hubs of innovation, gathering places for a changing workforce, and the driving force for socio-economic growth, consumption, as well as demographic, cultural and organizational changes. Today, some 55% of the world's population – 4.2 billion inhabitants – live in cities. This trend is expected to continue. By 2050, with the urban population more than doubling its current size, nearly seven out of ten people in the world will live in cities (The World Bank<sup>2</sup>).

*Higher rates of urbanization raise urgent questions also on how to leverage the growing socio-economic divide between rural, peri-urban and rural or remote areas where many citizens feel left out, and where social, economic and ecological problems are also being experienced.*

This ongoing transformation of the global economic landscape is also manifesting itself through major socio-economic inequalities, creating deeply polarizing divisions between the 'haves' and the 'have-nots'. The academic and business literature alike provide sufficient theoretical and empirical support that in the globalized knowledge-economy cities are the key units to produce technological innovations (Florida, Adler and Mellander, 2017), and fuel fundamental shifts in the way societies organize, collaborate and will bring about new models for growth, well-being and development.

It is within these places that entrepreneurs, and, one of its divergent forms, social entrepreneurs and their collectives are concentrated - solving social issues through effective, innovative and sustainable solutions dealing with the complexity of social problems and a means to relieve modern societies from its illnesses (Zahra et al., 2014) such as unemployment, inequalities in the access to health care and social services, squalor, poverty, crime, privation or social exclusion (Blackburn & Ram, 2006; Zahra et al., 2014).

- **Power of Entrepreneurship**

As Zahra et al. (2014) have accurately observed, there is a growing worldwide recognition of the power of entrepreneurship in addressing social issues while creating economic wealth (Austin et al., 2006; Zahra et al., 2014). "The field of social entrepreneurship represents a maturing of how we understand how to create as well as allocate social wealth and the recognition of the limitations of past approaches. Definitions and expectations regarding social wealth are changing rapidly, along with our understanding of the limitations of markets to achieve social wealth creation and distribution for all (Stiglitz, 2010). Social wealth creation requires distinct knowledge

and skills in its own right. As a result, definitions of social wealth are shifting from the classic “social welfare” doctrine espoused by economists for generations to improving the quality of human existence and global sustainable well-being. These dynamics spur entrepreneurial energy that induces transformative system change (Martin & Osberg, 2007).” (Zahra et al., 2014, p.142)

- **Technological Progress**

Technological advancements have brought about monumental shifts in the global economy with dispersed value-chains, innovation networks and entrepreneurship ecosystems (Zahra et al., 2014) which - thanks to the “creative classes” (Florida, 2014) - have become increasingly connected, urbanized and global, compelling and pressuring organizations to meet increasingly international standards (Zahra et al., 2014). These advancements allow organizations from advanced, emerging and frontier economies to build on innovations developed by others around the world, or join in the creation and discoveries of new products and technologies. This democratization allows entrepreneurs, their ideas, their discoveries and connections to routinely cross international boundaries with growing ease (Zahra et al., 2014).

- **Social, Economic and Environmental problems and public sector challenges**

Actions are called for by an increasing number of global crises (Huybrechts & Nicholls, 2012). It is particularly among socially conscious individuals and organizations who are increasingly skeptical about the ability of governments, businesses and nonprofits to meaningfully address pressing social problems such as poverty, social exclusion, unemployment and environmental degradation (Dacin, Dacin & Tracey, 2011), that alternative forms of interaction and organizing are being sought.

Decreased public funding also increases pressures on a range of public service areas. Governments around the world are unable to respond effectively to the need to deliver public services and conditions are not favorable for a private sector response (Kadir & Sarif, 2016). Alternatives to these conditions are being sought through partnerships between various stakeholders from the social, public, academic and private sector with the purpose to enhance social wealth and create community wealth (Austin, 2000; Seitanidi, 2008; Kadir & Sarif, 2016). As a result, the traditional boundaries between the social, public and private sectors are continuously blurring, and a convergence of political, economic and social pressures is fostering collaboration (Austin, 2000; Burrell & Cook, 2010).

In this regard, the creation of ‘collective goods’ has redefined the role of the state towards (Dufays & Huybrechts, 2014) supporting private and social actions for the public good. In times of major national austerity and political upheavals, competing agendas and interests polarize and divide, making national consensus building even harder.

It is essential to identify new approaches and alternatives to reconfigure and at times reinvent or transform the traditional ways to use existing, and increasingly finite, resources to create wealth and well-being. A moral argument can be made that the time is urgent for societies to reconfigure their economies into solutions-driven or impact economies focusing on well-being and value creation rather than financial wealth and value appropriation (Mongelli & Rullani, 2015).

#### 1.4 Lay out of the thesis

In the previous sections, I offered an introduction into this research and detailing the focus, which is about social alliances as vehicles for social innovation. I have also detailed why social alliances have increased and will continue to increase in importance. In the remainder of this research, and specifically in Part 2, I will perform a detailed literature review of the social entrepreneurship and collective social entrepreneurship literature, and identify the gaps in relation to my research (Sections 2.1 and 2.2.); including the individualistic bias and the need to look in more detail at how social alliances, which are key examples of collective social entrepreneurship, can help solve complex problems and deliver on the promise of social change through collective efforts.

In section 2.3 I will look into the existing literature on social alliances, the various definitions and research dimensions, and highlight the growing interest among practitioners and researchers alike to look deeper into leading perspectives on studying social alliances' effectiveness through the meso-level and as collective action networks. *These perspectives greatly lend themselves to better understand and conceptualize the connection between - on the one hand - social alliances as meso-level collective action networks, and - on the other hand - transformative capacity of social alliances.* I look at the state of literature on the concept of transformative capacity, which is considered a prerequisite for delivering social change. In particular, I ask key research questions: *which meso-level and network processes can I assess at the social alliance level that facilitate creating transformative capacity, and linked to this question how does a social alliance sustain the collaboration?*

I draw from the existing literature, to create the building blocks of a preliminary and theoretical framework on transformative capacity, and canvas the collective processes which have already been identified in the existing literature, which I intend to test empirically through case-studies.

In Part 3, I present my approach to inquiry through case-study research, and elaborate my case design, case selection and logical (abductive) approach, as well as my data collection strategy and data analysis. I present my arguments for carrying out detailed case-study research, and explain my overall data collection and data analysis, coupled with introductions into the cases and their selection criteria. My goal is to contribute to theory and develop a practical tool to assess transformative processes that emerge in successful social alliance settings. I argue and suspect that key collective processes emerge from continued and combined interactions, interventions,

inter- and cross-relationships, collective learnings between and across alliance partners. As a result of operating within and as part of a coalition made up of diverse organizations, actors imbue the social alliance with key processes that shape transformative capacity, which I argue is a prerequisite for social change.

In Part 4, I proceed by offering detailed results and findings of the three case-studies, coupled with key within case-study findings. Specifically, I have studied three successful social alliances that have indeed over time succeeded in transforming deeply embedded and entrenched social, economic and ecological problems, and study through what processes the alliances have created transformative capacity. I will particularly argue that social alliances need to build transformative capacity through transformational processes. And, that this capacity emerges at the level of the social alliance.

I have zoomed quite specifically into social alliances which involve more than three organizations from different sectors, and how through their joint enterprising efforts have actually delivered on their promise for social change. If those processes can be assessed and verified, perhaps it will be possible to help those involved in social alliances to verify, track and assess whether transformative capacity indeed exists, which I argue is a prerequisite for social change. I thus pay particular attention to the process of social innovation, and attempt to look at 'how' social innovation happens; and 'who' delivers social innovation (Borzaga & Bodini, 2014; Ibrahim, 2017). There are four fundamental assumptions underlying this research:

1. That social transformation is inherently a collective enterprising process that involves more than one organization.
2. That social alliances need to build transformation capacity. I propose that transformative capacity is the glue that holds the micro-, meso-, and macro-level together.
3. That it is precisely because social transformation is inherently contextual and not easily replicable that I need to study the underlying collective enterprising processes that produce social transformation.
4. That transformative capacity emerges at the level of the social alliance and surfaces through collective (social) enterprising efforts and processes.

In the last Part 5 of this thesis, I offer a within-case and a cross-case analysis of the case-studies, along with the cross-theme findings and synthesis. I will present a final framework and practical tool to assess transformative capacity of social alliances. This final part also describes my academic and practical contributions, the limitations of this research, as well as avenues for future research.

## Part 2: Literature Review & Theory Building

### 2.1. Social Entrepreneurship Literature and the individualistic bias

Social entrepreneurship over the last decade has emerged as an active area of practice and research (Choi & Majumdar, 2014). The popularity of social entrepreneurship has inspired a whole new generation of remarkable individuals taking personal and professional sacrifices, and organizations with bold ideas, against all odds, developing and launching successful new products with the aim to improve people's lives and well-being. Beyond these inspirational social entrepreneurs and social ventures, national governments too around the world, as well as international organizations, including the World Bank, the International Monetary Fund and the United Nations have developed policies and support national strategies to spur social entrepreneurship.

Top universities around the world are developing new curricula and educational programs teaching social entrepreneurship. Leading foundations in the field such as Ashoka, the Skoll Foundation, and the Schwab Foundation actively promote social entrepreneurship by highlighting the achievements of social entrepreneurs (Dacin, Dacin & Tracey, 2011). Also, the number of conferences and special issues in scientific journals devoted to the topic has increased significantly (Choi & Majumdar, 2014).

Equally prevalent is the single-man's journey in the field of social entrepreneurship. This is due to an individualistic research paradigm that has dominated entrepreneurship research and literature since the early 20th century, and particularly developed by influential Austrian scholar, Schumpeter. In addition, the individual protagonist (Corner & Ho, 2010) in social entrepreneurship is heavily celebrated in magazines like Fast Company, online communities such as TEDx, global media programs such as CNN Heroes, as well as fellowship provided by organizations, such as Echoing Green and Acumen Fund (Dacin, Dacin & Tracey, 2011; Cho & Majumdar, 2014) - mainly based in the Western world.

The conventional and popular model of social entrepreneurship is the individual entrepreneur creating their own enterprise and then launching a product or service that addresses unmet human needs and improves people's lives (Mulgan et al., 2007). This further amplifies the perception of the great man (Spear, 2006) who single-handedly changed the fabric of deeply entrenched social, economic, and environmental problems.

The sheer complex, wide in scope (Mongelli & Rullani, 2015) and number of social and wicked problems (Dentoni et al., 2018) that societies at large face around the world cannot be solved single-handedly by the individual or the individual organization, and therefore requires collaboration between multiple organizations across sectors (Selsky & Parker, 2005).

A number of scholars and practitioners, who will be discussed in the next chapters, have already alluded towards this bias of the 'heroic' entrepreneur who single-handedly changed a deeply embedded social problem (Mulgan et al., 2007). This bias tends to ignore the role of organizations and the resources they provide for pattern-breaking change collectively (Light, 2006) - although in the past Astley & Fombrun (1983) lay the foundation of an approach that argued and considered the role played by organizations as constituent members of an overarching inter-organizational network (collectively constructed arrangements or structures that is proactively seeking collective strategies to influence the environment).

I performed a review of the existing literature, looking for the various definitions that exist on social entrepreneurship, and particularly the social entrepreneur and the social enterprise. The following table outlines the leading definitions in the existing literature.

Authors/Year	DEFINITION
<b>SOCIAL ENTREPRENEURSHIP</b>	
Dees (1998)	It combines the passion of a social mission with an image of business-like discipline, innovation and determination.
Pomerantz (2003)	Social entrepreneurship can be defined as the development of innovative, mission-supporting, earned income, job creating or licensing, ventures undertaken by individual social entrepreneurs, nonprofit organizations, or nonprofits in association with for profits.
Mair & Marti (2006)	Social entrepreneurship is broadly viewed as a process involving the innovative use and combination of resources to pursue opportunities to catalyze social change and/or address social needs.
Alvord, Brown and Letts (2004)	Social entrepreneurship creates innovative solutions to immediate social problems and mobilizes the ideas, capacities, resources, and social arrangements required for sustainable social transformations.
Mair & Marti (2006) & Seelos et al. (2011)	Social entrepreneurship as entrepreneurial activities with the aim of building organizations that achieve social goals (Mair and Martí, 2006).
Peredo & McLean (2006)	Social entrepreneurship is exercised where some person or group: (1) aim(s) at creating social value, either exclusively or at least in some prominent way; (2) show(s) a capacity to recognize and take advantage of opportunities to create that value ("envision"); (3) employ(s) innovation, ranging from outright invention to adapting someone else's novelty, in creating and/or distributing social value; (4) is/are willing to accept an above-average degree of risk in creating and disseminating social value; and (5) is/are unusually resourceful in being relatively undaunted by scarce assets in pursuing their social venture.
Austin, Stevenson, and Wei-Skillern (2006)	Innovative, social value creating activity that can occur within or across the non-profit, business and/or public/government sectors.
Mair & Martí (2006)	First, we view social entrepreneurship as a process of creating value by combining resources in new ways. Second, these resource combinations are intended primarily to explore and exploit opportunities to create social value by stimulating social change or meeting social needs. And third, when viewed as a process, social entrepreneurship involves the offering of services and products but can also refer.
Weerawardena & Sullivan Mort (2006)	A behavioural phenomenon expressed in an NFP organization context aimed at delivering social value through the exploitation of perceived opportunities. Social entrepreneurship is a bounded multidimensional construct that is deeply rooted in an organization's social mission, its drive for sustainability and highly influenced and shaped by the environmental dynamics. Opportunity recognition is embedded in these three dimensions. Social entrepreneurship strives to achieve social value creation and this requires the display of innovativeness, proactiveness and risk management behaviour. Social entrepreneurs' behaviour in regard to risk is highly constrained by their primary objective of building a sustainable organization and hence do not support Dees' view that social entrepreneurs do not allow the lack of initial resources to limit their options Finally, social entrepreneurs can indeed remain competitive whilst fulfilling their social mission.
Martin & Osberg (2007)	Social entrepreneurship has the following three components: (1) identifying a stable but inherently unjust equilibrium that causes the exclusion, marginalization, or suffering of a segment of humanity that lacks the financial means or political clout to achieve any transformative benefit on its own; (2) identifying an opportunity in this unjust equilibrium, developing a social value proposition, and bringing to bear inspiration, creativity, direct action, courage, and fortitude, thereby challenging the stable state's hegemony; and (3) forging a new, stable equilibrium that releases trapped potential or alleviates the suffering of the targeted group, and through imitation and the creation of a stable ecosystem around the new equilibrium ensuring a better future for the targeted group and even society at large.

Nicholls (2008)	Social entrepreneurship is a set of innovative and effective activities that focus strategically on resolving social market failures and creating new opportunities to add social value systemically using a range of resources and organizational formats to maximize social impact and bring about change. Simply put, social entrepreneurship is defined by its two constituent elements: a prime strategic focus on social impact and an innovative approach to achieving its mission.
Bacq & Janssen (2011)	We define social entrepreneurship as the process of identifying, evaluating and exploiting opportunities aiming at social value creation by means of commercial, market-based activities and of the use of a wide range of resources.
<b>SOCIAL ENTREPRENEUR</b>	
Bornstein (citing Drayton) 1998	Ashoka's social entrepreneur is a pathbreaker with a powerful new idea, who combines visionary and real-world problem-solving creativity, who has a strong ethical fiber, and who is 'totally possessed' by his or her vision for change.
Boschee (1998)	Social entrepreneurs are not-for-profit executives who pay increasing attention to market forces without losing sight of their underlying missions, to somehow balance moral imperatives and the profit motives – and that balancing act is the heart and soul of the movement.
Catford (1998, a,b)	Social entrepreneurs combine street activism with professional skills, visionary insights with pragmatism, and ethical fiber with tactical trust. They see opportunities where others only see empty buildings, unemployable people and undervalued resources.
Dees (1998)	Social entrepreneurs play the role of change agents in the social sector, by: <ul style="list-style-type: none"> <li>• Adopting a mission to create and sustain social value (not just private value)</li> <li>• Recognizing and relentlessly pursuing new opportunities to serve that mission, <ul style="list-style-type: none"> <li>• Engaging in a process of continuous innovation, adaptation, and learning</li> <li>• Acting boldly without being limited by resources currently in hand, and</li> </ul> </li> <li>• Exhibiting a heightened sense of accountability to the constituencies served and for the outcomes created.</li> </ul>
Thompson, Alvy and Lees (2000)	Social entrepreneurs are people who realize where there is an opportunity to satisfy some unmet need that the state welfare system will not or cannot meet, and who gather together the necessary resources (generally people, often volunteers, money and premises) and use these "to make a difference".
Bornstein (2007)	Social entrepreneurs are people with new ideas to address major problems who are relentless in the pursuit of their visions, people who simply will not take "no" for an answer, who will not give up until they have spread their ideas as far as they possibly can.
Tracey and Phillips (2007)	Individuals who combine social and commercial objectives by developing economically sustainable solutions to social problems. It requires social entrepreneurs to identify and exploit market opportunities in order to develop products and services that achieve social ends, or to generate surpluses that can be reinvested in a social project.
<b>SOCIAL ENTERPRISE</b>	
Dees (1994)	Social enterprises are private organizations dedicated to solving social problems, serving the disadvantaged, and providing socially important goods that were not, in their judgment, adequately provided by public agencies or private markets. These organizations have pursued goals that could not be measured simply by profit generation, market penetration, or voter support.
Smallbone et al. (2001)	Social enterprises offer a range of contributions to local economic development including providing goods and services which the market or public sector is unwilling or unable to provide, developing skills, creating employment (focusing particularly on the needs of socially excluded people), creating and managing workspace, providing low-cost personal loans and enhancing civic involvement through the number of volunteers involved. The wider social contribution can also include encouraging environmentally friendly practices and offering work and educational experience to young people.
Alter (2003)	A social enterprise is any business venture created for a social purpose – mitigating/ reducing a social problem or a market failure – and to generate social value while operating with the financial discipline, innovation and determination of a private sector business.
Haug & Tracey (2004)	Social enterprise[s] [are] business[es] that trade for a social purpose. They combine innovation, entrepreneurship and social purpose and seek to be financially sustainable by generating revenue from trading. Their social mission prioritizes social benefit above financial profit, and if and when a surplus is made, this is used to further the social aims of the beneficiary group or community, and not distributed to those with a controlling interest in the enterprise.
Dart (2004)	Social enterprises enact hybrid non-profit and for-profit activities.
Austin, Stevenson, and Wei-Skillern (2006)	Examples of social entrepreneurship can be found within or can span the non-profit, business or governmental sectors.
Dees & Battle Anderson (2006)	A full range of business models available to social entrepreneurs, from purely philanthropic to purely commercial, with many variations in between.
Dorado (2006)	Non-profit, for-profit or cross-sector social entrepreneurial ventures are social because they aim to address a problem, the private sector has not adequately addressed; they are entrepreneurial because their founders have qualities identified with entrepreneurs.
Sonne (2015)	Social enterprises, defined as organizations that combine a focus on financial sustainability with an explicit commitment to social impact through their products and/or employment and sourcing strategies, offer new and innovative ways of providing goods, services and livelihood opportunities for the poor. In other words, social enterprise is a hybrid – operating with the social impact objectives of an NGO and the market-driven financial aims of a for-profit firm. Social enterprise, therefore, involves the reconfiguring of social relations between the private sector market and civil society (Allen et al., 2012; Koh et al., 2012).

Table 1 : Definitions on social entrepreneurship, social enterprise and social entrepreneur

The first step in addressing the individualistic bias, in my point of view, is to shift our mindset from the heroic one-man's journey into opening up to the fact that social change is the harvest of many committed, proactive, and at times radically different organizations or coalitions (of organizations) that have embraced, or are learning to embrace how to orient and function as a collective.

Indeed, researchers have long known that successful ideas require a mix of talents that is rarely found in one person or a single organization (Light, 2006; Yan & Yan, 2017). Throughout human history, societies have always witnessed persistent and courageous individuals who against all odds have achieved the impossible and inspired many others to follow in their footsteps. There are countless of these individuals across the world active today. These individuals are the carriers and communicators of ideas (Mulgan et al., 2007).

However, most recent research on social entrepreneurship has started to highlight that successful change and innovation, and in particular in the field of social entrepreneurship, is inherently collective - with multiple actors dynamically being engaged in collective action (Spear, 2006; Vurro et al., 2010; Dacin, Dacin and Tracey, 2011; Montgomery, Dacin and Dacin, 2012;) within a context and offering complementary skills and resources. Ground-breaking change is inherently collective and embedded.

For the purpose of this research, I employ a definition of social entrepreneurship, which is more and more accepted, and developed by Mair & Marti (2006) and Montgomery et al. (2012), which look at social entrepreneurship as a collective enterprising process. First, social entrepreneurship as a process is about creating value by combining resources in new ways (Stevenson, Roberts and Grousbeck, 1989; Schumpeter, 1934). Second, these resource combinations are intended primarily to explore and exploit opportunities to create social value by stimulating social change (Alvord, Brown and Letts, 2004) or meeting social needs. And third, social entrepreneurship, viewed as a process, involves the offering of services and products but can also refer to the creation of new organizations. Fourth, social entrepreneurship and social innovation are inherently collective (definition adapted from Montgomery et al., 2012).

What the existing social entrepreneurship literature also fails to capture is the multiplication of cross-sector collaborations that have emerged over the last twenty years, which are inherently coalitions or collectives of multiple organizations working together to solve complex problems.

Therefore, ***collective social entrepreneurship can also be a process for creating new forms of organizing or lead to new forms of organizing for social change.*** The definition of social entrepreneurship adopted by Mair & Marti (2006) and Montgomery et al. (2012) is more pragmatic to solving modern-day challenges through collective processes, and new forms of organizing, and thus better lends itself to studying social alliances.

In the following two sections, I would like to focus on how collective social entrepreneurship is an extension of the social entrepreneurship literature, and how they relate to collective action and social alliances.

## 2.2 Collective social entrepreneurship Literature: collective action and cross-sector social partnerships

Throughout the middle of the 1990s, newer forms of inter-organizational relationships have also emerged which are distinct from their inter-firm counterparts<sup>3</sup>. These new class of alliances (Kale & Singh, 2009), are multi-party alliances, and involve cooperation between private and social sector stakeholders as well as public sector actors, which were initially defined as social alliances (Waddock, 1991; Waddock, 2014). Ring & Van de Ven (1994) conceptualize them as agreements for collective action to maximize social, economic or political benefits and minimize social, economic or political costs.

*Cross-sector social partnerships serve as an umbrella-term for the rise of collective social enterprising, which is social entrepreneurship through a collective action lens; and acknowledging that much effort to solve complex problems also involves collective action (Montgomery et al., (2012)).* There is agreement that multi-party collective action are voluntary cross-collaborations between business, non-profits, and may involve the public sector, to address social causes, and they emerge as tools for tackling complex, indivisible social problems that single organizations find difficult to cope with alone (Ring & Van de Ven, 1994; Maase & Bossink, 2010). They can adopt non-economic as well as economic objectives - however the core focus is improving social welfare and well-being of society (Waddock, 1991; Austin, 2000; Sakarya et al., 2012)<sup>4</sup>.

Collective social entrepreneurship differentiates itself from the conventional popular model of the individual entrepreneur creating their own enterprise by focusing on collective initiatives involving more than one organization, and in particular looking at initiatives which involve a more formal, institutional focus of entrepreneurial activity (Spear, 2011). It accentuates the reality that business, government and nonprofit organizations maintain and belong to multiple and multiplex inter-organizational relationships and collectives because of the multiplicity of actions they engage in and the relationship they must have (Astley & Fombrun, 1983; Schumate, Fu and Cooper, 2018).

Cross-sector social partnerships are such new organizational arrangements, which involve solving large-scale problems and larger number of actors (Nohrstedt & Bodin, 2019; Jagers et al., 2020) through collective action, and facilitating the acquisition, deployment and creation of resources by multiple actors through a variety of strategies with the ultimate goal of driving social change (Rey-Garcia, Calvo and Mato-Santiso, 2019) or creating social value.

Social value can imply the pursuit of new opportunities, solving a complex problem through a new hybrid model, fulfilling an undiscovered need, serving an existing need in a new way (Selsky & Parker, 2010; Porter & Kramer, 2019), as well as producing social goods (Seitanidi & Ryan, 2007; Montgomery et al., 2012; Van Tulder et al., 2016).

Complex or wicked problems overlap across sectors, and as soon as one attempts to solve an issue, there is a link with another sector or another issue, and connecting to other sectors and issues (Alexander, 2019; Jagers et al., 2020). “These grand challenges affect large populations, meaning their impacts extend beyond the boundaries of a single organization or community. Moreover, they significantly affect human welfare and well-being. They also are seemingly intractable, resisting easy fixes” (Ferraro, Etzion and Gehman, 2015, p. 365).

Complex or ‘wicked’ problems are also particular problem domains made up of “actors, organizations, and institutions concerned with or affected by a particular complex problem, and this includes actors working at different organizational, jurisdictional and geographic scales.” (Westley et al., 2013, p. 1). It will thus not come as a surprise that wicked problems as collective action domains have growing overlap with the existing literature on ‘collective action problems’ (Ferraro, Etzion and Gehman, 2015; Bodin, 2017; Alexander, 2019; Nohrstedt & Bodin, 2019; Jagers et al., 2020) that have social dilemma and free-riding features. However, not all complex problems are also ‘collective action problems’. They do however share the similarity that traditional private, public and social sector actors fail to address them.

*I am thus specifically looking at complex issues that because of their complexity, overlap across sectors and uncertainty, require collective organizational enactment*, and “exceed any individual organization’s capacity to resolve them unilaterally” (Alexander, 2019, p. 445). I am thus looking at collective or joint actions, or collaborative efforts across sectors to solving complex problems. And thus, finding solutions to complex problems or enabling transformation of the existing conditions that connect to a problem, is often a multilevel and a multiphase process, involving a variety of actors pursuing strategies that are attuned to opportunities arising from dynamic changes occurring within the system they are seeking to transform (Westley et al., 2013).

In this respect, Van Tulder & Keen (2018, p. 315) provide that “systemic change processes are by default complex, grand (Colquitt & George, 2011) or even wicked (Waddock et al., 2015). Systemic change is usually defined as change that pervades all parts of a system, taking into account the interrelationships and interdependencies among those parts.(-) Social alliances, or cross-sector social partnerships, are considered to be viable, needed and **constructive approaches and organizational forms** to address interrelated problems that either originate in the failure of individual organizational and societal sectors (Van Tulder & Keen, 2018), and transcend the scope of influence of individual societal sectors (Selsky & Parker, 2005). Social alliances are thus rapidly becoming a

dominant approach to systemic change (Seitanidi & Crane, 2009) with almost paradigmatic status (Austin 2000; Glasbergen et al., 2010). I am thus particularly focusing on studying collective action through an organizational lens and applying social alliances as organizational arrangements to solve complex and wicked problems.”

In the following section, I would like to dig deeper into the social alliance literature and their definitions and key research dimensions.

### 2.3 Literature on social alliances, definitions and researched dimensions

Austin (2000) first developed an important classification of social alliances through a continuum; with collaborations evolving from one type or stage to another: philanthropic, transactional, and integrative. It is the intention of partners which is fundamental in making decisions to move along the continuum. Research however does suggest that collaboration gains - accrued by the respective partners and in the social value added by the alliance - are to be expected moving to higher levels of integration and engagement (Austin, 2000). Vurro et al. (2010) look at configurations of social alliances with a focus on institutional orientation: i) Instrumental CSSP; ii) Transactional CSSP; iii) Transformational CSSP; iv) Participative CSSP.

Rondinelli & London (2003) further build on this classification by looking at the degree of interaction in social alliances, which they categorize at three levels of arm's-length relationships, interactive collaborations, and intensive alliances.

Selsky & Parker (2005) conceptualize and divide the world of social alliances through arenas depending on the type and number of actors involved from the nonprofit, private, public sectors. With Arena 1 representing the dyadic nonprofit and private sector. And Arena 4 expanded into more than 3 organizational partnerships from the three sectors. “These partnerships differ greatly in size, scope, and purpose. They can range from dyads to multiparty arrangements, local to global levels; from short-term and transactional, to long-term and open-ended; from totally voluntary and self-interest oriented, to fully mandated and largely common-interest oriented (Selsky & Parker, 2005).

In a similar vein, Van Tulder & Pfisterer (2014, p.118) look at partnering spaces when conceptualizing social alliances through partner fitness and develop the “full trilateral fit (-). The conditions for such a partnership type are first, that all the parties acknowledge that their failure to address a specific issue is part of the problem. Second, parties are willing to become really interdependent in their approach to the issue. (-) This type of partnership requires important institutional and legal facilitative frameworks. It can be expected that this partnership type – when successfully established – *has the most capacity to develop a transformational*

*relationship between the partners, because the commitment to engage in a mutually dependent relationship with each other is highest.”*

Other aspects of the social alliances have been studied, including definitions of social alliances (Waddock, 1991; Grey, 1998; Light, 2006; Selsky & Parker, 2005; Saitanidi, 2008; Le Ber & Branzei, 2010; Masse & Bossink, 2010; Vurro et al., 2010; Montgomery et al., 2012; Trujillo, 2018), as well as typologies and classification of social alliances (Austin, 2000; Selsky & Parker, 2005; Vurro et al., 2010; Doh & Boddewyn, 2014; Kolk, 2014), and the factors that inhibit social alliances (Maase & Bossink, 2010). Authors (Seitanidi et al., 2011; Maase & Bossink, 2010; Van Tulder et al., 2016; Hartman & Dhanda, 2018) look at successful performance and failure factors as well as conditions for entering into alliances and creating alliances.

A review of existing terminologies since the 1990s on social alliances reveals various definitions, classifications and typologies around social alliances. **Table 2** below illustrates the prevailing social alliance or cross-sector social partnership definitions.

Some scholars have looked at the governance angles of alliances (Dentoni et al., 2018) as new types of governance (Vangen et al., 2015) with blurred structures and roles (Quarshie & Leuschner, 2018). And many other leading scholars have looked at theories of social alliances as vehicles to address complex social problems and achieving systemic change (Waddell et al., 2015; Waddock et al., 2015; Dentoni et al., 2018), including evolutionary perspectives (Klitsie, Ansari and Volbreda, 2018), and antecedents of social alliance effectiveness (Kolk, 2014).

Definition of Social Alliances	Author(s)
<p>A commitment by a corporation or a group of corporations to work with an organization from a different economic sector (public or non-profit). It involves a commitment of resources—time and effort— by individuals from all partner organizations. These individuals work cooperatively to solve problems that affect them all.</p> <p>-----</p> <p>Social partnerships are inherently cross-sectoral, and the voluntary collaborative efforts of actors from organizations in two or more economic sectors in a forum in which they cooperatively attempt to solve a problem or issue of mutual concern that is in some way identified with a public policy agenda item.</p>	<p>Waddock, 1988</p> <p>-----</p> <p>Waddock, 1991</p>
<p>A process through which parties who see different aspects of a problem can constructively explore their differences and search for solutions that go beyond their own limited vision of what is possible.</p>	<p>Grey, 1998</p>
<p>A temporary social arrangement in which two or more social actors work together toward a single common end requiring the transmutation of materials, ideas, and/or social relations to achieve that end.</p>	<p>Roberts &amp; Bradley, 1991</p>
<p>CSSPs are defined as cross-sector projects formed explicitly to address social issues and causes that actively engage the partners on an ongoing basis.</p> <p>-----</p> <p>CSSPs are cross sector projects formed explicitly to address social issues and causes that actively engage the partners on an ongoing basis. Such projects may be ‘transactional’ – short term, constrained and largely self-interest oriented – or ‘integrative’ (Austin, 2000) and ‘developmental’ (Googins &amp; Rochlin, 2000; Wymer &amp; Samu, 2003) – longer term, open-ended and largely common-interest oriented (Selsky &amp; Parker, 2005, p. 850).</p>	<p>Selsky &amp; Parker, 2005</p> <p>-----</p> <p>Selsky &amp; Parker, 2010</p>
<p>Cross-sectoral partnerships are alliances among private, public, and/or NGOs that tackle common interests where different sectors may lack capacity to achieve their interests alone.</p>	<p>Pearce &amp; Doh, 2005.</p>
<p>Cross sector social partnerships (CSSP) represent a form of interaction across which aim to address social problems (Waddock, 1988) by combining the resources and capabilities of organizations across sectors (Bryson et al., 2001; Selsky &amp; Parker, 2005; Berger et al., 2004; Austin, 2000; Googins &amp; Rochlin, 2000).</p>	<p>Saitanidi, 2008</p>

<p>Cross-sector partnerships are voluntary working arrangements between for-profit and not-for-profit organizations which involve the deliberate exchange, sharing or co-development of products, technologies or services that address an unmet need for a specific segment of society (Yaziji and Doh, 2009)—i.e. the beneficiary</p> <p>By intent and design, cross-sector social partnerships brings together for-profit and nonprofit organizations to generate social value (Alvord et al., 2004; Teegen et al., 2004) - whether by overcoming market failures ( Austin et al., 2006) or pursuing social opportunities (Crane &amp; Matten, 2007; Mair &amp; Marti, 2006; Nicholls, 2008).</p>	<p>Le Ber &amp; Branzei, 2010</p> <p>-----</p> <p>Le Ber &amp; Branzei, 2010b</p>
<p>A partnership can be defined as an agreement for collective action to maximize social, economic or political benefits and minimize social, economic or political costs (Ring &amp; Van de Ven, 1994; Di Domenico &amp; Haugh, 2007).</p>	<p>Maase &amp; Bossink, 2010</p>
<p>Widely defined as a voluntary, collaborative efforts between organizations from two or more sectors that search for more effective organizational approaches to address complex social problems, (Austin, 2000b; Waddock, 1991), cross-sector social partnerships (CSSPs) are among the most recent form of interaction to have created excitement about their potential developmental impact (Lund-Thomsen and Reed, 2009; Seitanidi &amp; Crane, 2009; Selsky &amp; Parker, 2005; Warner &amp; Sullivan, 2004).</p>	<p>Vurro, Dacin and Perrini, 2010</p>
<p>Across-sector collaboration presents the opportunity to create a formidable, mutually reinforcing system, which combines the unique capabilities and resources of each party to deliver outcomes surpassing those any other sector acting in isolation.</p>	<p>Heuer, 2011</p>
<p>A Cross-sector social partnership is itself a manifestation of collective social entrepreneurship, defined as a collaboration amongst similar as well as diverse actors for the purpose of applying business principles to solving social problems.</p>	<p>Montgomery, Dacin and Dacin, 2012</p>
<p>These cross-sector social partnership (XSPs) – involving businesses, government and civil society groups – are multilateral collectives that engage in mutual problem solving, information sharing and resource allocation, and as such represent a distinct line of inter-organizational research.</p>	<p>Koshmann, Kuhn and Pfarrer, 2012</p>
<p>Social alliances are global action networks (GANs) which are decentralized and inter-organizational networks of stakeholders that can produce pattern breaking change (from incremental change, to reform and transformation).</p>	<p>Calton et al., 2013</p>
<p>Social alliances as arrangements that express collective enterprising to solve wicked and complex problems, and being a collaborative approach where we need to focus attention to who the actors are, their interests, their motives, who they collaborate with, and how the actors' activities jointly addresses such problems (Bodin, 2017).</p>	<p>Bodin, 2017</p>
<p>Cross-sector collaboration (CSC) refers to cooperative inter-organizational relationships (Lotia &amp; Hardy, 2008)— not governed by markets or hierarchies - (Lotia &amp; Hardy, 2008; Page et al., 2015) between different sectors' organizations that work together with different levels of intensity to achieve a common purpose (Austin, 2000; Himmelman, 2002).</p>	<p>Trujillo, 2018</p>
<p>A definition of cross-sector social interactions is lacking, and the concept is clearly broader than (formal) partnerships as it incorporates informal (or non-formalized) engagements and interactions between organizations or individuals representing different sectors as well (Seitanidi &amp; Lindgreen 2010; Kolk et al., 2010).</p>	<p>Quarshie &amp; Leuschner, 2018</p>

**Table 2: Definitions of social alliances**

In both strategic alliance and social alliance literature, similar topics have been researched. In both cases, respective organizations bring distinct but valuable and complementary resources to the partnership to meet mutually beneficial objectives (Kale & Singh, 2009). ***However, there is a big difference between strategic alliance and social alliance literature. Whereas the former focuses mainly on the success and tension within profit-making intra-sector or inter-firm collaborations (Rondinelli & London, 2003), the latter focuses on fundamentally different types of organizations with different missions, set of skills and organizational cultures (Kale & Singh, 2009) working together to create social value (Le Ber & Branzei, 2010).***

Viewed from this perspective, I need to examine social alliances as arrangements that express collective enterprising to solve wicked and complex problems, and being a collaborative approach where I need to focus attention to whom the actors are, their interests, their motives, who they collaborate with, and how the actors' activities jointly addresses such problems (Bodin, 2017).

In particular, as multi-party social alliances are going to increase, it is imperative to help practitioners to manage and design these important vehicles for value creation (Van Tulder et al., 2016; Rey-Garcia, Calvo and Mato-

Santiso, 2019). Social alliances have a number of under-explored dimensions, particularly when multiple actors across sectors are involved, which I would like to explore in the following sections and which are relevant for this research.

### 2.3.1 The meso-level perspectives of social alliances: what is the meso-level and why does it matter?

In the introduction of this research, I have drawn the reader's attention to the growing scholarly research into social innovation as a multi-level process. This conceptualization of social innovation as a change process has immediate overlaps with collective social enterprising. It implies that examining cross-sector social partnerships requires also to better examine the social innovation process, and the actors involved in that collective process. It also responds to countless scholars who have appealed to more scholarly research looking at social innovation as a process of change and how a new reality is created, rather than simply as a solution or an outcome that needs to be replicated (Sharra & Nyssens, 2010; Bouchard, 2012; Cajaiba-Santana, 2014; Baker & Mehmood, 2015; Ibrahim, 2017). "Moving from an outcome to a process orientation requires a new appreciation that organizational benefits not only stem from the outcomes of the interactions but from the process of interaction (Seitanidi, 2006)." (Seitanidi & Ryan, 2007, p. 256). Or in the words of Trujillo (2018, p.425) "change is in the change process itself."

Academic literature already has agreement that social alliances are multidimensional and multilevel value creation or social innovation vehicles that emerge because none of the actors by themselves can successfully address social problems, not to mention create new solutions to them (Austin & Seitanidi, 2012; Rey-Garcia, Calvo and Mato-Santiso, 2019).

Existing literature also recognizes social alliances as forms of collective social entrepreneurship and adaptive coevolving systems (Seitanidi, 2008; Heuer, 2011; Le Ber & Branzei, 2010; Yan & Yan, 2017; Trujillo, 2018; Van Tulder & Keen, 2018) that can deliver social change through social processes and interdependent collective interactions across multiple levels. Namely macro, comprising a high level of description involving social interactions across sectors and institutions; meso, comprising those interactions across formal, informal, or hybrid organizational infrastructures; and micro, comprising the interactions of individuals from their respective organizations (Seitanidi, 2008).

Specifically, I refer to Van Wijk et al. (2018) and Cajaiba-Santana (2014) who have described the social innovation process as a multi-level process across the micro (individual), meso (collective) and macro (institutional) levels of analysis (Ibrahim, 2017) where different solutions develop in different stages with different actors and very different institutional contexts<sup>5</sup>. I draw parallels with authors Seitanidi (2008), Selsky & Parker (2010), Kim,

Wennberg and Croidieu (2016) and Van Wijk et al. (2018) who have advocated to look at the social alliance from the level of the collective or developing a meso-level analysis. By definition, social alliances lie at the inter-organizational level, and embedded within the macro-micro hierarchy.

Using a social innovation process lens may also get me a step closer to better understanding how institutional change or social change occurs, as well as helping me to improve the long-term effectiveness of social alliances. It also implies that social change produced as the outcome of a social innovation process can be neither temporary nor spurious, and requires collective and concerted efforts.

Van Wijk et al., (2018, pp. 890-891) and Ibrahim (2006; 2017) provide that zooming in at the micro-level proposes that actors become more agentic through their interactions with others. *Whereas, the meso-level points to increases in interactions among diverse actors and their engagement in understanding each other's perspectives in interactive or herding spaces (Van Wijk et al., 2018). It is at this meso-level where authors see how actors' interactions and framing produces the frictions, highlights the tensions, and identifies new opportunities for social innovation. This is where actors' joint efforts can begin to jointly (re) negotiate structures, patterns, and beliefs that constitute their social worlds, to co-create alternative proto-institutions with the potential to become institutionally embedded at the macro-level.*

In a similar vein, Cohendet et al. (2011, p. 151) provide that the *"middleground is the level where the work of collectives and communities enables the necessary knowledge transmission that precedes innovation."* The middleground is a significant layer between the underground and upperground, and defined as a common platform facilitating different forms of creation and knowledge exchange in [an] ecosystem [of innovation] (Cohendet et al., 2010). *This intermediary platform influences the processes of knowledge management and knowledge creation, fueling creativity and feeding innovation at the collective level (Cohendet et al., 2020).* The middleground is constituted by four components: 'places' (the realm of near and bounded relations, physically established), 'spaces' (cognitive constructions and epistemic orientations), 'projects' (to engage local communities to work together), and 'events' (that foster the dynamics of idea formation, connect and intersect local small worlds, and make them receptive to new external influences) (Cohendet et al., 2011; Cohendet et al., 2020).

Selsky & Parker (2010) extend and take the need for a meso-level analysis (Selsky & Parker, 2010; Kim et al., 2016) a step further by explicitly stating that the effect of commitment of organizational resources to a partnership project radiates in two directions from the meso-level, one towards the micro- and one towards the macro-level.

Thus, by definition, social alliances lie at the inter-organizational level, and embedded within the macro-micro hierarchy (Seitanidi, 2008; Selsky & Parker, 2010). Two or more organizations contribute resources – personnel, money, time, space, capabilities, and social capital, etc. – to enact a project that could not or would not be done by one organization alone (Selsky & Parker, 2010). The meso-level represents a third, intermediate level of analysis between the more macro (higher) and micro (lower) levels (Kim et al., 2016; Clark & Cane, 2018; Quarshie & Leuschner, 2018). Seitanidi (2008) furthers the conceptualizations of social alliances as complex adaptive systems across the micro, meso and macro levels.

*This meso-level is particularly understudied. Most literature on social alliances, focuses on bilateral interfaces (Van Tulder & Pfisterer, 2014) or as temporary arrangements between two or more actors (Selsky & Parker, 2005). Rarely are social alliances examined and the quality of the actions and interactions of organizations at the level of a collective constituted by more than two organizations zoomed into. Authors Klitsie, Ansari and Volbreda (2018) have quite explicitly highlighted that only a few empirical studies look at how collaboration is sustained to allow a cross-sector collaboration to continue.*

Current entrepreneurship research has also rarely integrated meso-level influences - described by Kim et al. (2016, p.4) as “hidden in plain sight” - into an analysis of collective social entrepreneurship. Studies have either been focusing on micro-level perspectives or at macro-level outcomes. ***The meso-level has been neglected, and there is a need for a more integrated and comprehensive approach which better include the black box or middle ground of meso-level processes within social alliances.***

The meso-level offers a natural bridge between micro- and macro-level views of social alliances, and therefore may offer an opportunity for a more comprehensive understanding between the dynamics of cross-sector interactions, transformational processes and social change.

### 2.3.2 Social alliances as collective action networks: why do networks matter?

In addition to the previous gap in the existing collective social enterprising literature, I also have to draw the reader's attention to network level and system of innovation perspectives of social alliances, which complement the understanding of a meso-level analysis of social alliances, and also raise important questions. ***What do these perspectives say about social alliances?***

Some strategic and social alliances scholars have already established that a network consists of relationships among more than three actors (Gulati, 1998; Westerlund & Rajala, 2010), and that multi-actor networks are replacing traditional markets and vertically integrated hierarchical organizations (Westerlund & Rajala, 2010; Van

Tulder & Pfisterer, 2014). Networks are likely better suited to wicked problems' management (Weber & Khademian, 2008).

The network warrants a medium level analysis rather than a purely micro or macro level of analysis (Jack et al., 2010), and is a 'third-type' organizational arrangement (Quélin et al., 2017), or hybrid inter-organizational arrangements with characteristics and properties, qualitatively different from those of both markets and firms (Powell, Koput and Smith-Doerr, 1996). The transcendence of inter-organizational cooperative arrangements resulting in qualities and characteristics at a 'higher level', is an aspect that has been (Cullen-Lester & Yammarino, 2016) established in the social alliance literature. Austin (2000, p. 75) conceptualizes the alliance as an "organizational process framework for collaboration, but in another sense, it is also an action entity with a merged identity that is distinct from each of the partners", and characterizing the alliance as collaborations moving to a higher-level stage.

System of innovation approaches can further and are relevant explaining that over time the continuous interactions and interconnections between key actors within a social alliance create new patterns and reconfigure the existing system and transforming it into a new one, including the creation of sustainable (environmental, economic and social) value (Iñigo & Albareda, 2016). This approach equally points out that the locus of innovation has moved away from the individual organizational level to the network level, with innovation networks being distinct organizational designs and having network-level processes for innovation (Kazadi et al., 2016; Reypens et al., 2016). Calton et al. (2013) further reinforce the system of innovation approach by looking at social alliances as a global and decentralized inter-organizational networks of stakeholders that can produce pattern breaking change (from incremental change, to reform and transformation).

Others conceptualize social alliances as a higher-order and multi-stakeholder network more than the sum of its parts (Sevendsen & Laberge, 2005; Vurro & Dacin, 2014); as **a collective action network** representing cross-sector partnerships as an organization form that is conceptually distinct from individual member organizations (Flanagin, Stohl and Bimber, 2007; Koshmann, Kuhn and Pfarrer, 2012; Doerfel & Taylor, 2017); as collaborative networks (Bodin, 2017); as a higher level of system interaction and as inter-organizational networks (Calton et al., 2013; Corbett & Montgomery, 2017) and higher level of analysis (Kim et al., 2016), or higher level of complexity (Klitsie et al., 2018) serving as a conduit for knowledge and communication (Giuliani, 2013).

*Perhaps quite importantly for this research are the conceptualizations of social alliances as meso-level social actions and interactions by entities operating collectively (Quarshie & Leuschner, 2018), and meso-level structures with transformative capacity (Kim et al., 2016; Van Tulder & Keen, 2018). Social alliances are collectives being complex relational systems with meso-level properties not reducible to micro-level properties (adapted from*

*Cullen-Lester & Yamarino, 2016*), including collective leadership activities and functions through collective social behaviors and processes that are distributed and change over time (Cullen-Lester & Yamarino, 2016).

Provan & Kenis (2007) in particular define network effectiveness as the attainment of positive network-level outcomes that could not normally be achieved by individual organizational participants acting independently. Although individual organizational participants may, and probably should, benefit as well, effectiveness is viewed at the network level. Or referring to Powell et al. (2005) a network-level focus “illuminating the structure of collective action” (Powell et al., 2005, p.1133 cited in Provan & Kenis, 2007). In a similar vein Phillips et al. (2015), and Vurro & Dacin (2014) view social alliances as inter-organizational collaborative governance models, or governance through multi-actor collaboration (Bodin, 2017), and multi-organizational, cross-sector networks showing a remarkable capacity for renewal and adaptation (Quarshie & Leuschner, 2018).

Other authors (Roloff, 2008; Dentoni et al., 2018) view social alliances as collaborative arrangements, thus requiring a governance process that enables networked action, stimulates collective processes and deals with complex dynamics to achieve small wins (Termeer et al. 2015). This opens the opportunity to study social alliances as collective action networks, or as multi-organizational and collaborative arrangements (Provan & Kenis, 2007; Dentoni et al., 2018) to solve complex problems<sup>6</sup>.

***In summary, whereas meso-level perspectives of social alliances accentuate the link between micro, meso and macro levels of social change processes, the network level and system of innovation perspectives accentuate social alliances as a (collective action) network.*** This network is constituted by key actors who are part of a more formalized collaborative (network) arrangement and structure where relationships, interactions and actions (which can include decision-making processes, rules and monitoring mechanisms, staffing, organizational and financial resources) play a positive role (Kolk, 2014) in the institutionalization of social change processes.

Consequently, to better understand a social alliance as a network (and thus; constituted by more than two organizations), I need to know more about the actors and members who constitute the network and their interactions, since the network is also sui generis (Jack et al., 2010) a potential focus of empirical research and analysis. This perspective is also aligned with existing conceptualizations of social alliances as complex and socially constructed ‘entities’ - multi-stakeholder networks (Svenden & Laberge, 2005), enterprising networks (Jack et al., 2010), or organized networks (Vurro & Dacin, 2014) with transformative capacity (Doh & Boddewyn, 2014; Van Tulder & Keen, 2018).

Empirical research and analysis of social alliances as networks has been limited. This is particularly relevant because while the number of social alliances is increasing, they also present unique challenges (Rondinelli &

London, 2003) with different entities composing social alliances having with different motivations, different organizational resources, different sizes, scope and purpose (Selsky & Parker, 2005). Furthermore, the nonprofit and business literature alike has failed to look in more detail into social alliances as the agents for change (Light, 2006; Seitanidi & Ryan, 2007; Saitanidi, 2008). Instead, the focus has been mainly on one side of the partnership and how change appears to be an outcome for both partners within their organizational group (Seitanidi & Ryan, 2007; Seitanidi, 2008).

Quarshie & Leuschner (2018) refer to the lack of empirical studies focusing specifically on cross-sector social partnering or interactions aiming at transformative outcomes. They state specifically (p. 359) “[w]hile the cross-sector literature clearly expects (formal) cross-sector partnerships and collaborations to have transformational potential (Seitanidi et al., 2011), studies actually documenting such outcomes are rare. This is especially the case with empirical research. Moreover, it is considered difficult to discern whether and how such goals result from the partnering (Rein & Stott 2009)”<sup>7</sup>.

Social alliances are by design and intention bringing together dissimilar organizations with fundamentally different structures and missions that decide to work together to create value (Rondinelli & London, 2003; Le Ber & Branzei, 2010). There are inherent fragilities and incompatibilities in cross-sector interactions (Berger et al., 2004) which make social change hard to achieve. And yet it is possible. Social alliances are characterized by multiple organizations with “multiple institutional logics” (Mair, Mayer and Lutz, 2015, p. 714) or “Institutional plurality” (2015, p. 713). ***This means that multiple institutional logics can co-exist (Mair, Mayer and Lutz, 2015), and yet researchers have rarely looked into how this coexistence of different mandates can sustain a social alliance.***

In most literature, the assumption is made that social alliances have a social innovation orientation and that they can generate value for society. Yet social alliances are fraught with fragilities, difficulties and disappointments (Le Ber & Branzei, 2010) - only some partners manage to create social change in a constant, evolving and cumulative manner (Le Ber & Branzei, 2010). In other words, having a social innovation orientation alone will not guarantee social change.

The dedicated social alliance literature acknowledges that more complex (systemic) problems require more multi-stakeholder approaches (Van Tulder & Keen, 2018) and probably more complex partnering configurations. ***What this actually entails in terms of their shared processes and capacity for change remains largely unspecified. This takes me to the concept of transformative capacity of social alliances, and the third key gap in the collective social entrepreneurship literature, which I would like to further discuss.***

### 2.3.3 Social alliance networks with transformative capacity and the potential for social change in the existing literature

Transformative capacity finds its roots in the management and business literature, with Nayyar (1994) using the term to describe the exploitation of innovation and knowledge within a company to spur technological advances, create business opportunities and increase competitive advantage (Castán Broto et al., 2019). “Transformative capacity requires a long-term approach without an immediate payoff in addition to active strategies to promote change by building on previous resources (knowledge, human, technological) and experiences. As supported by sustainable transitions literature, reflective and iterative learning is integral to fostering transformative capacity (cf. Luederitz et al., 2017)” (Castán Broto et al., 2019, p.451)

Castán Broto et al. (2019) further extend the concept to transformative capacity of cities or urban areas where transformative capacity focuses on institutions and processual aspects that can bring about sustainability transformations, which greatly lends itself also to better examining change attributed to social alliances. Authors further provide that transformation is not limited to a simple linear process of achieving desired futures by facilitating incremental change or by reverse engineering. Instead, it is about fostering a cultural transformation, an ongoing process of social learning through which sustainability objectives are seen as a moving target and never truly accomplished by a collective of actors. “Transformations require the combined recognition of place-specific capacities with cross-scale relations. That is, while certain dimensions of transformative capacity are fundamentally place-based (e.g., attention to societal needs and practical experimentation in a particular locale), others are dependent on connections that extend beyond that specific geography (e.g., actor networks and infrastructure systems).” (Castán Broto et al., 2019, p. 452)

Seitanidi, et al. (2011) in particular attribute the transformative potential of social alliances in the formation stage to three factors of i) transformative capacity (due to “organizational characteristics, and in particular the organizational mission, the political ideology, the level of organizational confidence and the strategy for interaction indicate the level of the organizations’ transformative capacity” (p.154); ii) transformative intention (due to “the examination of the dimensions of motives indicates the existence of transformative intention implicitly or explicitly and the extent it is reciprocal” (p.154); and iii) transformative experience of the partners (due to “the examination of the history of interactions between the organizations and other stakeholders indicates the level of transformational experience and the stakeholder dynamics on the macro, meso and micro levels that determine the decision to develop a partnership” (p.154).

Van Tulder & Keen (2018, p.318) lend from Austin & Seitanidi (2012) and Seitanidi et al. (2011) and further extend the concept of transformative capacity “as being determined by the motivation of the partners, the issue

addressed and the level of benefit a partnership can achieve for its partners. But transformative capacity is also dependent on the dynamics of the partnering formation process and the chosen partnering configuration (Innes & Booher, 1999; Clarke & Fuller, 2010). Particularly, the “degree to which partners can build consensus on goals, shorter and longer-term effects affects transformative capacity.”

Equally studied are the effects of social alliances on beneficiaries and specifically on their capacity for collective action and system change - with collective action capacity defined as a group of individuals’ capacities to address their own problems as a group and to have a say in the decisions that affect them (Trujillo, 2018). Alliances enable and contribute to collective action capacity (Trujillo, 2018). Shumate et al. (2018) state in particular that the key to understanding why some social alliances find capacity benefits may well be linked to the need to examine the process of cross-sector social partnership collaboration (Shumate et al., 2018), which is at the meso-level.

Similarly, Rey-Garcia, Calvo and Mato-Santiso<sup>8</sup> (2019, p. 1418) attribute social alliances being socially innovative originating from “their capacity to harness heterogeneous resources coming from their partners and from the design of unique strategies (rare not only relative to other actors in the field, but also to their own partners) based on new combinations of existing resources or on the creation or reconfiguration of new resources.” And, “that capacity of a social alliance to gain a sustained competitive advantage will depend not only on traditional RBV premises (Barney, 1991) and internal capabilities, but also on their capacity to effectively manage network conditions, knowledge, complementary resources and governance both across and outside the partnership.”

Other authors focus on the concept of capacity from a capacity development point of view, with capacity, in the broad sense of being able to achieve a desired collective purpose, and capacity emerging as a function of agency of actors (Glasbergen, 2010). Glasbergen (2010, p.132) in particular illustrate that collective action between organizations is as a continuous networking process “in which interacting agents create emergent properties, qualities, and patterns of behavior. A central feature of such a process, combining actors from different backgrounds to overcome a complex challenge problem, is their capacity to combine the partners’ strengths with the identity of the network.”

The joint actions or cooperation creates a collective potential beyond any individual’s capability and may provide a vehicle for increased agency (Rauschmayer et al., 2018), and agency is pivotal in moving the process of transformation forward (Westley et al., 2013). Westley et al. (2013, p.2) further provide that “within complex problem domains (-) strategic agency is typically not associated with just one individual, rather is produced through the strategies of a number of actors, each of whom takes actions that help the system progress through different stages of innovation and transformation (Garud & Karnoe, 2005, Hahn et al., 2006).

It is therefore fair to argue that complex, interconnected and interdependent problems are such collective action problem domains where transformation is not just the product of a single organization's agentic vision and steering, rather transformation require systemic shifts in (institutional) underpinnings such as mental models, management routines and resource flows (Westley et al., 2013) among agentic collectives that shape the context in which they are working.

Over time, key agentic organizations that constitute the collective action network develop, promote and implement novel solutions to social problems in ways that are directed toward producing profound change. This collective expression connects me to the key concept of collective agency (Pelenc et al., 2015; Ibrahim, 2017; Rauschmayer et al., 2018): the capacity of a collective to define common goals and to act upon them to achieve social change (Pelenc et al., 2015; Ibrahim, 2017; Rauschmayer et al., 2018). And in the words of Koschmann, Kuhn and Pfarrer (2012, p.333) on the ability to act and to substantially influence the people and issues within their problem domain, "[This] ability, we argue, comes from the constitution of organizational forms that are distinct from their members and that displace *collective agency* – the capacity to influence a host of relevant outcomes beyond what individual organizations could do on their own."

Scholars and practitioners have already proven that social alliances are vehicles for social change. And thus, the assumption is that within a collective action or collective enterprising setting, of which social alliances are a manifestation, the sustained joint efforts of key organizations create a potential which lies beyond any individual organization's capability (Pelenc et al., 2015; Ibrahim, 2006; Ibrahim, 2017; Rauschmayer et al., 2018). This higher-level potential emerges as a function of collective agency, which is critical to successful social alliances that deliver social change.

This potential form, I also argue, at a higher level than that of the individual organizational level. The higher-level potential hovers at the level of the network. This higher-level 'network' potential expresses collective action capacity, or what I call transformative capacity of a network to deliver on the promise of transformation over time. I thus conceptualize transformative capacity as a quality emerging thanks to the collective and concerted efforts, practices and arrangements of a coalition of organizations that constitute the network. In other words, I conceptualize transformative capacity as a function of collective agency. This means that agency too can have a collective dimension (Ibrahim, 2006; Rauschmayer et al., 2018). Drawing from the existing literature, the following **Table 3** summarizes the various conceptualizations of transformative capacity. These authors implicitly assume that transformative capacity is an emergent quality of collective action or the collaborative network, and also a prerequisite for social change (Austin & Seitanidi, 2012; Seitanidi et al., 2011; Doh & Boddewyn, 2014; Van Tulder & Keen, 2018).

DIMENSIONS	DESCRIPTION	AUTHORS
Transformative potential	<p>The transformative potential of partnership is attributed to three factors: the transformative capacity, the transformative intention and transformative experience of the partners. Society would be better off if the partnership formation stage would offer early indications of transformative potential for the partner organizations and society. The four types of cross sector social partnerships are: (1) Public–Private- Partnerships or Partnerships (PPPs), i.e. partnerships between government organizations and BUS; (2) nonprofit-government partnerships; (3) nonprofit business partnerships and (4) tripartite partnerships, i.e. all three sectors working in collaboration on a social issue (Seitanidi and Crane, 2009; Selsky and Parker, 2005). The focus of this article is the interactions between NPOs and BUSs. Partnership formation remains a ‘black box’ <b>regarding the capacity, intention and experience of partners to deliver organizational and social change particularly at the early stages of the relationship. Hence, it is critical to understand which factors and how they can influence the partnership’s potential for social change as early as possible.</b> Developing social partnerships under the current economic conditions requires a pragmatic approach that has the potential to deliver the desired outcomes, both on the organizational and the societal levels. Hence, partnership formation is a critical stage, particularly for partnerships that aim to function as change mechanisms.</p>	Seitanidi et al., 2010
Transformative capacity	<p>The scope of societal change that social alliances can achieve has been referred to as the transformative capacity of the partnership (Austin &amp; Seitanidi, 2012; Seitanidi et al., 2011). Transformative capacity is determined by the motivation of the partners, the issue addressed and the level of benefit a partnership can achieve for its partners (Selsky &amp; Parker 2010). But transformative capacity is also dependent on the dynamics of the partnering formation process and the chosen partnering configuration (Clarke &amp; Fuller, 2010; Innes &amp; Booher, 1999). Particularly, the degree to which partners can build consensus on goals, shorter and longer-term effects (first, second-, and third-order effects of the intervention) affects transformative capacity.</p> <p>-----</p> <p>Transformative capacity focuses on institutions and processual aspects that can bring about sustainability transformations. Transformation is not limited to a simple linear process of achieving desired futures by facilitating incremental change or by reverse engineering (i.e. scenario or back-casting guided). Instead, it is about fostering a cultural transformation, an ongoing process of social learning through which sustainability objectives are seen as a ‘moving target’ and never truly accomplished by a collective of actors in cities or urban areas.</p>	Van Tulder & Keen, 2018  ----- Castañ Broto et al., 2019
Capacity development	<p>Capacity emerging as a function of agency of actors. Collective action between organizations is a continuous networking process in which interacting agents create emergent properties, qualities, and patterns of behavior. A central feature of such a process, combining actors from different backgrounds to overcome a collective action problem, is their capacity to combine the partners’ strengths with the identity of the network.</p> <p>-----</p> <p>[This] ability, we argue, comes from the constitution of organizational forms that are distinct from their members and that displace collective agency – the capacity to influence a host of relevant outcomes beyond what individual organizations could do on their own.</p>	Glasbergen, 2009  ----- Koschmann, Kuhn and Pfarrer, 2012
Social innovative capacity	<p>Social alliances being socially innovative originates from their capacity to harness heterogeneous resources coming from their partners and from the design of unique strategies (rare not only relative to other actors in the field, but also to their own partners) based on new combinations of existing resources or on the creation or reconfiguration of new resources.” And that the “relational view of competitive advantage suggests that effective inter-firm collaboration can generate, preserve and sustain over time competitive advantage”, and “that capacity of a social alliance to gain a sustained competitive advantage will depend not only on traditional RBV premises (Barney, 1991) and internal capabilities, but also on their capacity to effectively manage network conditions, knowledge, complementary resources and governance both across and outside the partnership.”</p>	Rey-Garcia, Calvo and Mato-Santiso, 2019

Table 3: Transformative capacity based on the literature review

*However, there hasn't been sufficient empirical research and focus on the transformative capacity of a collective action network. And in particular, which collective efforts, actions, interactions, or in general, which collective processes are conducive to creating that capacity?*

Significant gaps therefore remain in the understanding of which processes within cross-sector interactions at the meso-level may contribute to sustained collaboration, and over time help attain social change or transformation (Selsky & Parker, 2010; Austin & Seitanidi, 2012, Quarshie & Leuschner, 2018). *I reiterate what authors Klitsie et al. (2018) have quite explicitly highlighted, that only a few empirical studies look at how collaboration is sustained to allow a cross-sector alliance to obtain transformative potential to deliver social change.* My research therefore intends to offer a fresh look at this question by looking at the social alliances from a social innovation process lens where a collective of diverse organizations, as a part of a collective action network, are engaged in collective action, and through collective (agency) processes build capacity for social change.

## 2.4 The building blocks of a preliminary and theoretical framework to assess the transformative capacity of a social alliance

I suspect and argue that the social alliance's capacity for change emerges through ongoing collective interactions, interventions, inter- and cross-relationships, collective learnings of actors that continue to move the collaboration forward. These processes are not only collective, but because I am looking at network level, also relational.

For the purpose of this study, I define social alliances as a coalition of cross-sector organizations, a collective action network with transformative capacity, engaged in collaborative enterprising with the intention of creating and delivering social change. This transformative capacity emerges as a function of collective agency processes, which influence the ability of a social alliance to create social change.

This definition further implies that in order to assess the transformative capacity of a social alliance, I need to identify the collective processes of social alliances which sustain the collaboration and help shape transformative capacity within that context.

In order to carry out my research, I need to first identify which key collective and relational processes appear to emerge in successful social alliance settings. In the words of Ibrahim (2017, p. 213), "success in this model is not defined by outcomes but rather by processes. If success is perceived from this broader process-based perspective, positive incremental change can be better captured and assessed."

In order to identify which potential collective processes have already been uncovered, I looked at the existing literature on social alliances, strategic alliances and collective social entrepreneurship, and identified 50 articles from 2000 until 2020 in cited and top-tiered academic and business journals, and performed a systematic content review of collective processes that had been linked to success factors and failures of alliances. Throughout the review process, I identified and specifically looked for key collective processes that authors identified as relevant for the performance of an alliance - in other words processes, that had emerged at the network level.

*This review has allowed me to map, to loosely code, group and to categorize nine (9) themes (e.g., characteristics, qualities, patterns of behavior) into a preliminary and theoretical framework. Table 4 here below has presented themes drawn from the review of this existing literature. However, what this Table 4 below also shows is the vast, and yet fragmented and dispersed nature of the existing literature on collective processes. There is no comprehensive framework. Naturally also, I wondered whether in addition to the collective processes I had identified in the existing literature, other collective processes are out there which the existing literature has not identified?*

AUTHOR'S CATEGORIZATION OF THEMES DRAWN FROM THE LITERATURE	PRELIMINARY FRAMEWORK & THEMES OF COLLECTIVE PROCESSES DRAWN FROM THE LITERATURE	REFERENCES
Sharing and Exchanging Resources, Knowledge and Information	The main activities of social alliances include mutual problem-solving, information sharing and resource allocation.	Klitsie et al., 2018
	[Coordination] includes sharing information between stakeholders to stimulate synergies and prevent overlap of activities.	Reypens et al., 2016
	By increasing the information flow between partners and by facilitating the establishment of clear and mutually embraced goals, alliances increase success.	Sherwood & Covin, 2008; Niesten & Jolink, 2015
	Repeat partners exchange knowledge about themselves and develop a more refined understanding of the other's cultures, management systems, capabilities, weaknesses, behaviors and beliefs, while storing that information for future use. And various attributes of the alliance relationship include information and knowledge sharing between partners, shared partner understanding and a focus on collective goals.	Zollo et al. 2002; Goerzen, 2005; Niesten & Jolink, 2015
	Social alliances involve different actors with varying access to heterogeneous kind and level of resources who act in a coordinated and purposefully strategic way to enact interaction, build coalitions and exchange information targeting a wider, situated social change objective.	Vurro & Dacin, 2014
	[Working] collectively provides the opportunity for sharing knowledge and costs between actors and limiting duplication of efforts.	Montgomery, Dacin and Dacin, 2012
	Sprallset al. (2011, p. 63) argue that information sharing between partners increases alliance performance because 'communication fosters shared understanding between network partners; it helps align partners' interests and values; it allows network partners to work collaboratively toward a shared understanding of what information is important and how best to use it'	Niesten & Jolink, 2015
	Working collectively provides the opportunity for sharing knowledge. And alliances allow for the sharing and exchange of complementary resources, whereby each party offers something unique or different to the other.	Maase & Bossink, 2010
	Cross-sector partnerships are voluntary working arrangements between for-profit and not-for-profit organizations which involve the deliberate exchange, sharing or co-development.	Le Ber & Branzei, 2010
	The learning potential and the non-financial resource exchange are examples of benefits resulting from the process of interaction.	Seitanidi, 2007
	Relational coordination as an activity (-) is fundamentally about connections among interdependent actors who must transfer information and other resources to achieve outcomes	Gittell & Weiss, 2004
Continued collective learning	Studies state that firms need alliance learning capabilities to articulate, codify, share, and internalize knowledge with their partners to facilitate relational and firm-level innovation and development.	Kale & Singh, 2007; Kale & Singh, 2009; Kohtamäki et al., 2018
	A process of collective learning allows for establishing trust and shared understanding of the issues as well as a sharing of knowledge.	Montgomery, Dacin and Dacin, 2012
	Collective learning is a vital aspect of building successful stakeholder networks. Collective learning is a social process of building shared understanding (Argyris & Schon 1978). It involves trading and comparing information and then integrating individual views into a common understanding (Wijen 2002). Learning together helps increase mutual understanding about relational issues (e.g., values, perspectives and intentions) as well as substantive issues (e.g. root causes of the problem, linkages and patterns). The purpose of collective learning is to increase individual knowledge as well as the collective intelligence and capacity of the network as a whole. Collective learning serves as an essential foundation for whole-system innovation. When high stakes exist, when stakeholders have recognized their interdependence and when the system that connects the issue is commonly understood in depth, a shift occurs. The collective learning phase allows members of a network to: i) Develop new knowledge about the issue and larger system (i.e. root causes); ii) Define possible scenarios; iii) Construct shared meanings that allow people to understand each other and work together effectively; iv) Clarify common ground and differences in perspectives, interests and needs; v) Build trust and commitment.	Svendsen & Laberge, 2005
Developing a shared vision	[A] communal vision needs to be created through consensus-building while taking account of the multiplicity of communal needs; especially those of marginalized groups. The creation of a communal vision can happen via local deliberative processes that reconcile individual and communal well-being goals. This means that individual and collective interests can be reconciled (Schäpke & Rauschmayer, 2014).	Ibrahim, 2017
	A shared business vision, a shared understanding of what information is important and how this information can best be used, and shared methods for problem solving, working constructively and thinking outside the box have all been reported to be important for alliance success (De Villiers 2009; De Villiers et al., 2007; Duysters et al., 1999; Ertel, 2001; Pavlovich & Corner 2006; Spralls et al., 2011). Hunt et al. (2002, p. 24) define shared values between partners as 'beliefs in common concerning what is important/unimportant, appropriate/inappropriate, and right/wrong'. Partners who share values will identify with one another and will be more committed to the alliance (Hunt et al., 2002).	Sherwood & Covin, 2008; Niesten & Jolink, 2015

	<p>Impediments to building a common partnership culture include different views on business and social priorities (Lewis, 1998; Waddell &amp; Brown, 1997), as well as traditions of hostility, distrust, or ignorance between businesses and civil society organizations (Bendell, 2000; Gray, 1985; Westley &amp; Vredenburg, 1991; Zammit, 2004). Nonprofits often are skeptical about business motivations (Covey &amp; Brown, 2001). Difficulties in common culture development may be overcome by focusing on the metagoals, by realigning partners' expectations (Waddock &amp; Post, 1991; Westley &amp; Vredenburg, 1991), or by each partner giving credit to the other's experience and identity (Millar et al., 2004; Parker &amp; Selsky, 2004; Waddell, 2000). Trust, power, and stakeholder relations also are featured. Implementing a shared or common vision among independent actors (Gray, 1989) typically means developing a common culture held together by shared values, common interests, and clear communication. The shared meta-goal is one source of CSSP identity building (Hardy, 1994).</p>	Selsky & Parker, 2005
	<p>Shared vision and purpose are immensely powerful in motivating people to achieve extraordinary things, including remarkable leaps of creativity, innovation and adaptation.</p>	Gittell & Weiss, 2004
	<p>The ability of participating firms to develop a clear strategic vision and expected outcomes of organizational cooperation.</p>	Rondinelli & London, 2003
	<p>The overall strategy of the alliance must be mutually developed.</p>	Elmuti & Kathawala, 2001
Governing, shared structures and accountability	<p>Studies have emphasized the need to integrate or align targets, processes and relational structures among alliance partners. Structural integration refers to the development of relationship structures such as joint alliance development teams, alliance steering groups, integrated working procedures, processes, and IT systems (Lorenzoni &amp; Lipparini, 1999; Niesten &amp; Jolink, 2015.)</p>	Kohtamäki et al., 2018
	<p>To understand whether and how multi-party stakeholder partnerships harness wicked problems, we focus on three interrelated governance processes that are critical for keeping awareness and acting on the problems at hand: deliberation, decision-making and enforcement (Shouten &amp; Glasbergen, 2012)</p>	Dentoni et al., 2018
	<p>Some examples of these inter-organizational structures include joint teams of alliance partners, channels of communication and partner-specific interfaces, joint business planning sessions and joint alliance evaluation sessions (Hoang &amp; Rothaermel, 2005; Kale &amp; Singh, 2007; Khalid &amp; Larimo, 2012)</p>	Niesten & Jolink, 2015
	<p>Governance of a collaborative entity entails the design and use of a structure and processes that enable actors to direct, coordinate and allocate resources for collaboration as a whole and to account for its activities. Governance of collaborations happens through shared structures, processes and actors.</p>	Vangen et al., 2015
	<p>Inclusiveness and accountability are key components of legitimacy for effective cross sector partnerships.</p>	Kolk, 2014
	<p>The success of any single alliance depends on some key factors that are relevant at each stage of alliance evolution (Gulati, 1998). These include (a) the formation phase, wherein a firm deciding to initiate an alliance selects an appropriate partner, (b) the design phase, wherein a firm (and its partner) set up appropriate governance to oversee the alliance, and (c) the post formation phase, wherein a firm manages the alliance on an ongoing basis to realize value (Schreiner, Kale and Corsten, 2009).</p>	Kale & Singh, 2009
	<p>Relational coordination as an activity (-) is fundamentally about connections among interdependent actors who must transfer information and other resources to achieve outcomes</p>	Gittell & Weiss, 2004
	<p>People start to take responsibility for the whole. Innovative solutions arise out of this struggle to bridge competing perspectives and needs within a system.</p>	Svendsen & Laberge, 2005
	<p>Mutual expectations and accountability - Clarity of expectations about the deliverables from each partner appears to be important. In addition to providing programmatic guidance, this fosters mutual accountability and motivates execution responsibility. Mutually high expectations promote both rising performance standards and greater value creation.</p>	Austin, 2000
Convening of stakeholders and disparate participants	<p>Gatekeeping organization is a bridge between unconnected organizations to coordinate and distribute resources.</p>	Jung, 2017
	<p>Agency and leadership in complex systems requires successful ecosystem stewarding and related roles.</p>	Westley et al., 2013
	<p>Cross-sectoral convening across different industries also provides a forum for knowledge sharing and joint action between groups of otherwise disparate actors. Dorado and Vaz (2003) describe conveners as champions of projects who navigate complex obstacles and boundaries in inter- and intra-organizational domains. Convening social networks and groups of individuals or organizations in order to allow for collaboration to occur and to tap resources, knowledge, and expertise of the participants can facilitate unique solutions and whole-system innovations which draw on collective intelligence (Svendsen &amp; Laberge, 2005). Unable to succeed unilaterally, these actors, or conveners (Svendsen &amp; Laberge, 2005), focus their efforts instead on convincing others to collaborate and to jointly address problems and initiate change (Dorado, 2005).</p>	Montgomery, Dacin and Dacin, 2012
	<p>Organizational structuring is the subject of several early studies (Gray, 1989; Hardy, 1994; Waddock, 1991; Westley &amp; Vredenburg, 1991), where the presence of an "enabling structure" such as a brokering or mediating organization is seen as a key factor facilitating collective action.</p>	Selsky & Parker, 2005
Aligning and Coherence	<p>Institutional coherence refers (-) to the extent to which the dominant institutional logics are able to provide sufficient guidance to the behavior of actors in the field (Rein and Stott, 2009). When coherence is high, institutions acting on a field point in the same direction resulting in a situation in which stability prevails.</p>	Vurro, Dacin and Perrini, 2010
	<p>Alignment between partners' strategies and missions - the more congruent the partners' values the</p>	Austin, 2000

	stronger the alliance's cohesion.	
Multivocality	Through conciliation, a common vision is created to guide the acts of collective agency. Conciliation processes, reconciling individual and communal goals through a communal vision, public deliberations and inclusive decision-making, whilst taking account of the multiplicity of communal needs and nurturing communal responsibility.	Ibrahim, 2017
	The ability to combine numerous voices as well as to connect to diverse stakeholders in an accessible manner and straddle audiences. Combining multiple voices to speak to a variety of audiences allows collectives to connect with diverse communities in a manner that "appeals to numerous audiences simultaneously" (Carolan 2008, p. 69).	Montgomery, Dacin and Dacin, 2012
Mobilizing shared resources	By pooling resources within the same sector in collective social entrepreneurship ventures these organizations support one another's social and economic objectives in a variety of ways.	Montgomery, Dacin and Dacin, 2012
	Social alliances leverage resource complementarities or recombination to develop novel, innovative approaches to technological and institutional challenges (Rangan, Samii and Van Wassenhove, 2006). In general, social alliances give actors from different sectors vehicles for resolving common challenges by recombining resources as well as leveraging differential cost advantages between public and private sectors (Rangan et al., 2006). Such hybrid organizational forms can also become a platform to pursue multiple shared goals across sectors (Markman et al., 2016), particularly for intractable social and environmental issues that are affecting each sector in unique ways (Powell et al., 2018).	Doh et al., 2019
	Establishing alliances may emerge as a possible solution when resources and competencies are not readily or sufficiently available to organizations. From a resource dependence perspective, organizations are engaged in inter-organizational relations in order to exert power, influence or control over other organizations (Pfeffer & Salancik, 1978). However, resource scarcity may also encourage cooperation and lead to emergence of mutually supporting relationships between organizations, as in the case of strategic alliances. An alliance can provide important benefits for an organization lacking certain resources since it links the organization to another with complementary resources (Child & Faulkner, 1998). These resources may be capital and non-capital resources (Yan & Gray, 2001) and range from financial resources to knowledge and reputation.	Sakarya et al., 2012
Trusting relationships and Commitment	Social integration refers to open interaction, trust, and shared understanding. Studies show that "trust is a component of a 'cooperative competency'" (Ireland et al., 2002: 439; Sivadas & Dwyer, 2000). In addition to the development of trust, (Kale & Singh, 2009; Sivadas & Dwyer, 2000), studies see customer linking (Theoharakis, Sajtos and Hooley, 2009), relational capital (Kohtamäki et al., 2013; Lorenzoni & Lipparini, 1999; Sivadas & Dwyer, 2000), bonding (Schreiner et al., 2009), and open interaction and communication (Morgan, Slotegraaf and Vorhies, 2009; Orr, Bush and Vorhies, 2011; Paulraj et al., 2008; Sivadas & Dwyer, 2000; Smirnova et al., 2011) as important components of alliance integration.	Kohtamäki, 2018
	Collaboration in multi-actor settings is based on a mutual commitment of more than two actors to work together towards a common end that can only be reached through the transformation of materials, ideas and/or social relations (Roberts & Bradley, 1991).	Sørensen & Torfing, 2015
	Trust requires being able to choose the right partner, to define the right governance structure, and to develop relational standards with this partner (flexibility, adaptability, information sharing, durability, and joint actions) in a climate of mutual trust	Wang & Rajagopalan, 2014
	It can be expected that this partnership (full trilateral partnership) when successfully established has the most capacity to develop a transformational relationship between the partners, because the commitment to engage in a mutually dependent relationship with each other is highest.	Doh & Boddewyn, 2014
	Waddock (1988, p. 19) suggests that one reason for the demise of collaborations is the failure to understand that these relationships are cooperative, interactive entities that require a good deal of commitment on all sides.	Heuer, 2011
	Many cross-sector social alliances crumble because of "mis-es"—misunderstandings, misallocations of costs and benefits, mismatches of power, mismatched partners, misfortunes of time and mistrust.	Le Ber & Branzei, 2010
	A commitment by a corporation or a group of corporations to work with an organization from a different economic sector (public or non-profit). It involves a commitment of resources—time and effort— by individuals from all partner organizations. These individuals work cooperatively to solve problems that affect them all.	Seitanidi, 2007
	The personal relationships are particularly central to the creation of inter-organizational trust. Our interviewees all pointed to the importance of trust to the strength of the collaboration. Trust appears to be one of the critical elements common to most forms of collaboration (Burke, 1999; Dickson & Weaver, 1997; Kanter, 1994; Larson, 1992; Rackham et al., 1996; Ring & Van de Ven, 1994; Waddock, 1988a; Wasserman & Galaskiewicz, 1994). Although good relationships will not guarantee alliance success, bad interpersonal relations can destroy a partnership.	Austin, 2000; Kolk, 2014
The commitment of the senior management of all companies involved in a strategic alliance is a key factor in the alliance's ultimate success.	Elmuti & Kathawala, 2001	

Table 4: Preliminary and theoretical framework on collective processes

Miles, Matthew and Huberman (1994) provides that the goal of a framework is to categorize and describe concepts relevant to the study and map relationships among them. To achieve this goal, qualitative researchers

incorporate both relevant theory and empirical research that help to organize the conceptual framework and “to see where the overlaps, contradictions, refinements, or qualifications are” (Miles, Matthew and Huberman, 1994, p. 22).

Drawing from Bordage (2009) who compared frameworks with lighthouses and lenses, I apply the same analogy. Whereas the lighthouse illuminates certain parts of the ocean at any given time, other parts are left in the dark. Each framework highlights or emphasizes different aspects of a problem or research question. Any one framework presents only a partial view of reality. By contrast, frameworks are also like magnifying glasses; each individual framework magnifies certain elements of the research question (Bordage, 2009). ***My preliminary and theoretical framework in Table 4 is an initial attempt to create a review-based structure of the dispersed and fragmented literature, and allow better identifying, illuminating and magnifying a number of collective processes at the social alliances level:***

- **Sharing and exchanging resources, knowledge and information**

The main activities of social alliances include mutual problem-solving, information sharing and resource allocation (Klitsie et al., 2018). Other authors have also highlighted this important aspect with Le Ber & Branzei (2010) depicting social alliances as working arrangements which involve the deliberate exchange, sharing and co-development of solutions; or that various attributes of the social alliance relationships include information and knowledge sharing between partners, shared partner understanding and focus on collective goals (Zollo et al., 2002; Goerzen, 2005; Niesten & Jolink, 2015). Voluntary collaborations between diverse actors has become a way to foster cross-sector social entrepreneurship to exchange resources, which is a benefit resulting from the process of interaction (Seitanidi, 2007), and information sharing (Austin, 2000). Working collectively provides the opportunity for sharing knowledge. And alliances allow for the sharing and exchange of complementary resources, whereby each party offers something unique or different to the other (Maase & Bossink, 2010).

- **Continued collective learning**

Collective learning within social alliances is important for a number of reasons. The process of collective learning allows establishing trust and shared understanding, as well as sharing knowledge (Montgomery et al., 2012). It specifically involves a process of framing, a shared process of reciprocal theorization, negotiation and translation of concepts and issues between partners, so that shared understanding and consensus occur around a situation in need of change (Montgomery et al., 2012)

Other authors also provide that collective learning is a vital aspect for building successful stakeholder networks (Svendsen & Laberge, 2005), and specifically it involves a process of building shared understanding, as well as trading and comparing information into a common understanding.

Authors Svendsen & Laberge (2005, p. 101) further provide “learning together helps increase mutual understanding about relational issues (e.g., values, perspectives and intentions) as well as substantive issues (e.g., root causes of the problem, linkages and patterns).” And, also, that “the purpose of collective learning is to increase individual knowledge as well as the collective intelligence and capacity of the network as a whole. When members of (-) a network learn how to learn together, the group develops the capacity to tap its collective intelligence. As the enquiry deepens, groups can discover underlying assumptions and get at the root causes of systemic problems. “

- **Developing a shared vision**

A communal vision needs to be created through consensus-building while taking account of the multiplicity of communal needs; especially those of marginalized groups (Ibrahim, 2017). The creation of a communal vision can happen via local deliberative processes that reconcile individual and communal well-being goals. This means that individual and collective interests can be reconciled collectively (Ibrahim, 2017). Selsky & Parker (2005) provide that difficulties in common culture development may be overcome by focusing on meta-goals by realigning partners’ expectations (Selsky & Parker, 2005), or by each partner giving credit to the other’s experience and identity (Parker and Selsky, 2005).

Implementing a shared or common vision among independent actors (Selsky & Parker, 2005) typically means developing a common culture held together by shared values, common interests, and clear communication. The shared metagoal is one source of CSSP identity building (Selsky & Parker, 2005); and shared vision and purpose are immensely powerful in motivating people to achieve extraordinary things, including remarkable leaps of creativity, innovation and adaptation (Selsky & Parker, 2005).

- **Governing, shared structures and accountability**

Vangen, Hayes and Cornforth (2015, p.1244) provide that “Governance of a collaborative entity entails the design and use of a structure and processes that enable actors to direct, coordinate and allocate resources for collaboration as a whole and to account for its activities.” Governance of collaborations happens through shared structures (by identifying the partners involved and how they are inter-connected for the purpose of collaboration), processes (designed and enacted by ways of communicating, sharing responsibility and taking decisions), and actors (with the expectations that specific actors will direct, coordinate and allocate resources for the collaboration and be accountable) (Vangen et al., 2015).

Kale & Singh (2009) further provides that the success of alliances depends on key factors including among others the design phase, wherein the partners set up appropriate governance to oversee the alliance. This governance, which authors depict as “relational governance” (p. 49), “[e]nhances the likelihood of alliance success by reducing transaction costs in several ways: (a) Contracting costs are minimized because firms trust their partners to behave fairly, (b) monitoring costs are lower because external, third-party monitoring is not required, and (c) costs of complex adaptation are lowered because partners are willing to be flexible in response to unforeseen circumstances. In addition, relational governance enables partners to work together in implementing value-creation initiatives that need sharing of tacit knowledge between partners, exchanging resources that are difficult to price, and offering responses that are not explicitly called for in the contract (Zajac & Olsen, 1993). Finally, if relational governance is based on some resource dependence between partners, it acts as an effective means to monitor and control partner behavior (Filatotchev, Stephan and Jindra, 2008).”

Some of the structures which have been alluded to in the literature, include social alliances, particularly repeat partners over time, building inter-organizational structures such as joint teams of alliance partners, channels of communication and partner-specific interfaces, joint business planning sessions and joint alliance evaluation sessions (Kale & Singh 2009; Niesten & Jolink, 2015). Other studies and authors emphasize clear and mutual expectations and mutual accountability (Austin, 2000; Kolk, 2014); the need to integrate or align targets, processes and relational structures among alliance partners, which Niesten & Jolink (2015) and Lorenzoni & Lipparini (1999) have defined as structural integration and social integration (Kohtamäki et al., 2013).

Kohtamäki et al. (2013, p.193) further provide that “structural integration refers to the development of relationship structures such as joint alliance development teams, alliance steering groups, integrated working procedures, processes, and IT systems (Lorenzoni & Lipparini, 1999; Niesten & Jolink, 2015). Studies note that alliance structures often change after the establishment of an alliance (Reuer, Zollo and Singh, 2002). Integration processes play a prominent role in the alliance literature, and companies vary in terms of possessing the capacity to advance alliance integration.”

- **Convening of stakeholders and disparate participants**

Cross-sectoral convening across different industries also provides a forum for knowledge sharing and joint action between groups of otherwise disparate actors (Montgomery et al., (2012). Svendsen & Laberge (2005) further communicate that convening a stakeholder network involves three main phases of activity: outreach, collective learning and joint action/innovation. Within these phases, gatekeeping organizations (Jung, 2017), or cross-sector social partnership promoter (Vurro et al., 2010), connect organizations to coordinate and distribute resources (Jung, 2017), and require successful ecosystem stewarding (Westley et al., 2013).

Unable to succeed unilaterally, these actors, or conveners (Svendsen & Laberge, 2005), focus their efforts instead on convincing others to collaborate and to jointly address problems and initiate change (Dorado, 2005). Legitimacy, social capital and interpersonal trust are important resources for conveners (Dorado, 2005; Svendsen & Laberge 2005).

- **Aligning and building coherence of the network**

Alignment and coherence are important factors for social alliance success. And this for a number of reasons. Alignment between partners' strategies and missions is an important factor for CSSP success, because the more congruent the partners' values, the stronger the alliance's cohesion (Austin, 2000). In this respect, Niesten & Jolink (2015) provide that information sharing between partners increases alliance performance because it strengthens and fosters shared understanding which helps align network partners' interests and values, and allows partners to work together collaboratively.

Vurro et al. (2010, p.44) provide further in relation to coherence that "[w]hen coherence is high, institutions acting on a field point in the same direction, resulting in a situation in which stability prevails. In these contexts, even though multiple logics exist, conflict among them is low, thus positing both a stronger need for appropriateness and conformity and a higher resistance to potential changes. At the opposite extreme, at low levels of coherence, fragmentation prevails with no logic having the degree of consensus necessary to guide behavior to conformity."

- **Multivocality**

Montgomery et al. (2012) mention explicitly that collective social entrepreneurship requires active convening of disparate participants, and that within a collective social entrepreneurship setting managing and leveraging multivocality is essential ability to accommodate a broad diversity of views and cultural and social lenses. It is a process through which multiple voices are combined and reconciled into a communal one. In a similar vein, Ibrahim (2017) specifically allude to the importance of multivocality as conciliation processes between disparate organizations with different perspectives. Very specifically, conciliation processes are relevant to reconcile

individual and communal goals through a communal vision, public deliberations and inclusive decision-making, whilst taking account of the multiplicity of communal needs and nurturing communal responsibility.

- **Mobilizing and pooling of shared resources**

Social alliances leverage resource complementarities or recombination to develop novel, innovative approaches to technological and institutional challenges (Doh et al., 2019). In general, social alliances give actors from different sectors vehicles for resolving common challenges by recombining resources as well as leveraging differential cost advantages between public and private sectors (Doh et al., 2019). In a similar vein, establishing alliances may emerge as a possible solution when resources and competencies are not readily or sufficiently available to organizations (Sakarya et al., 2012).

Successful alliances combine complementary core competencies and can create new resource constellations that enable innovative solutions to long-standing social and economic problems. This leveraging of distinct organizational capabilities and resources produces powerful co-generation of social and economic value (Austin, 2000).

- **Building trusting relationships and commitment**

Trust requires being able to choose the right partner, to define the right governance structure, and to develop relational standards with this partner (flexibility, adaptability, information sharing, durability, and joint actions) in a climate of mutual trust (Wang & Rajagopalan, 2014). Trust is a testament to the quality of the collaboration. Doh & Boddewyn (2014) go a step further and specifically provide that cross-sector partnerships - when successfully established - has the most capacity to develop a transformational relationship between the partners, because the commitment to engage in a mutually dependent relationship with each other is highest.

Further to Kohtamäki et al. (2013, p.193) “social integration processes also play a prominent role in the success of alliances, with social integration refers to open interaction, trust, and shared understanding. Studies show that “trust is a component of a cooperative competency” (Ireland et al., 2002: 439; Sivadas/Dwyer, 2000). In addition to the development of trust, (Kale & Singh, 2009), studies see customer linking (Theoharakis et al., 2009), relational capital (Kohtamäki et al., 2013; Lorenzoni & Lipparini, 1999; Sivadas & Dwyer, 2000), bonding (Schreiner et al., 2009), and open interaction and communication (Morgan et al., 2009; Orr, Bush and Vorhies, 2011; Paulraj et al., 2008; Sivadas & Dwyer, 2000; Smirnova et al., 2011) as important components of alliance integration.”

*What this literature review particularly shows, is the lack of a comprehensive framework around collective processes, and the dispersed and fragmented nature of the academic literature on collective processes for social*

*alliance performance. In a nutshell, I don't have a full picture. So, it may well be that other processes are 'out there' to be discovered and at play, which I don't know about.*

Furthermore, the fragmented and dispersed nature of the existing literature does not help me better understand which collective processes at the social alliance (meso-) level shape transformative capacity. I simply know that the existing literature has referred to a number of collective processes. But, it does not help me to better understand how these important collective processes help sustain a collective action network. In the following chapter, I will outline how I intend to test this preliminary and theoretical framework in a case-study setting, and to explore if other processes may be out there.

## Part 3 – General Methodology

### 3.1 Introduction into research context and methodology: Defining the questions

As stated in the previous chapter, I am investigating the transformative capacity of social alliances. My aim is to contribute and advance existing theoretical explanations (Ridder, 2017) in relation to transformative capacity of social alliances; and to develop a comprehensive framework canvassing the collective processes (collective agency processes) which can contribute to the work of social alliance practitioners. Particularly, I aim to translate this research into practical, strategic and policy advice (Ferraro, Etzion and Gehman, 2015).

As I have also outlined in the previous chapter, the fragmented and dispersed nature of the existing literature on collective agency processes and transformative capacity, raises the question if other collective processes are out there; current existing theory has not offered plausible propositions in this regard. I therefore need a deeper, critical and empirically based understanding of the social alliance.

***The principal question for this research is:***

***Which collective processes can I assess at the social alliance level that facilitate creating transformative capacity to achieve social change, and linked to this question, how does a social alliance sustain the collaboration?***

My study is exploratory, and qualitative research is most commonly applied when attempting to develop a deeper understanding of social concepts and constructs, such as transformative capacity or social alliance networks, and help to expand existing or inform new theories.

Qualitative research analyzes data from direct fieldwork observations, in-depth, open-ended interviews, and written documents (Aspers & Corte, 2019). Qualitative researchers engage in naturalistic inquiry, studying real-world settings to generate rich insights, narrative descriptions and construct case studies, trying to look for a broad range of interconnected processes or causes. Rather than testing hypotheses, qualitative researchers are engaged in a more dialectic process between processes and observed data, and analyzing across cases looking for patterns and themes (Aspers & Corte, 2019).

### 3.2 Case Design, Case Selection and Logical approach

#### 3.2.1 Case Study Design

In view of this principal research question and as provided by Yin (2014, p. 34) case-study research is also “relevant the more that your questions require an extensive and “in-depth” description of some social phenomenon.” I argue that my questions warrant such a detailed and deep case-study research. What are case-studies?

“The classic case study consists of an in-depth inquiry into a specific and complex phenomenon (the ‘case’), set within its real-world context. To arrive at a sound understanding of the case, a case study should not be limited to the case in isolation but should examine the likely interaction between the case and its context.” (Yin, 2013, p. 321; Yin, 2003). The case study method is a good way to define cases and to explore a setting in order to understand it (Gustafsson, 2017).

*In the following sections I discuss in more detail i) the case design, the ii) case-selection criteria, and iii) overall logical approach in constructing the cases and the methods for data collection and analysis (Creswell, 2003; Yin, 2013; Yin, 2003).*

My research and approach to inquiry is through multiple case-studies. In other words, I am applying a multiple case-study design to help me identify and develop a comprehensive framework to assess transformative capacity.

I have adopted an explorative case-study and research design, and used empirical findings to build a comprehensive framework. In particular, I have used multiple case-studies, which offer rich descriptions and deep understanding of the phenomenon under investigation (Weick, 2007). Multiple case-studies can offer better grounded, more accurate, and more generalizable theory when based on multiple case experiments (Stake, 2006; Eisenhardt & Graebner, 2007; Patton, 2015), as opposed to a single case-study.

Case-studies are rich, empirical descriptions of particular instances of a phenomenon that are typically based on a variety of data sources (Yin, 1994; Eisenhardt & Graebner, 2007), and a research strategy that can help create theoretical constructs, propositions and/or mid-range theory from case-based, empirical evidence (Eisenhardt, 1989; Eisenhardt & Graebner, 2007).

***Multiple case studies may not provide generalizability in the statistical sense, rather it is analytical (Yin, 2013):*** “[the] extraction of a more abstract level of ideas from a set of case study findings – ideas that nevertheless can pertain to newer situations other than the case(s) in the original case study.” (Yin, 2013, p. 325)

***Central to building theory from case-studies is replication logic.*** “Typical for case study research is non-random sampling; there is no sample that represents a larger population. Contrary to quantitative logic, the case is chosen, because the case is of interest (Stake, 2005), or it is chosen for theoretical reasons (Eisenhardt & Graebner, 2007)” (Ridder, 2017, p. 282).

The rationale for multiple case-study approach has thus been to apply an analytical logic, rather than a sampling one (Yin, 2003; 2013). ***Logical or analytical generalizations can often be made from the weight of evidence produced in studying critical and pertinent cases (Patton, 2015; Yin, 2003). In contrast, statistical generalizations***

*inferences are made about a population on the basis of empirical data that is collected about a sample (Yin, 2003). Case-studies are however not sampling units (Yin, 2003)<sup>9</sup>.*

In this sense, the cases are distinct experiments that stand on their own as an analytical unit by recognizing patterns of relationship among constructs within and across cases and their underlying logical arguments (Eisenhardt, 1989; Eisenhardt & Graebner, 2007). Multiple cases greatly yield more robust and testable theory than single-case research and can contribute to theory development (Eisenhardt & Graebner, 2007; Gehman et al., 2017).

### 3.2.2 Selection: case-study selection criteria & presentation of the cases

I have developed case-selection criteria. These selection criteria have helped me to look for social alliances i) with more than 5 organizations from different sectors working together on various projects to solve complex problems, ii) availability of significant secondary data sources, iii) availability of data evaluating the success or impact of projects executed by the social alliance, iv) considerations of accessibility, logistics, v) willingness to cooperate for an academic study.

The case-selection occurred through a screening or pre-selection process. I spoke to practitioners active in the social innovation space to refer me to potential cases they knew about. I also did my own research, identifying as many as possible social alliances around the world potentially meeting the selection criteria. As part of this pre-selection I carried out an initial orientation interview with one of the key organizations involved in a social alliance, to better assess if I could indeed use that social alliances as a case-study. From the list of potential social alliances to study, I narrowed the list to a final eight potential cases<sup>10</sup>.

From those eight potential cases, I opted for 3 cases in the end, which I will present further below, and which I suspect can help me answer my key research questions.

Each case presents a different context and is comparable. All cases are characterized by a single unit of analysis, which in this research is defined as a social alliance network. In each case, I have attempted to isolate the key actors who together constitute a multi-party or collective action network. I have examined their interfaces, their actions and interactions across key projects that constitute the social alliance<sup>11</sup>.

Very specifically, these alliances are constituted by a minimum of five organizations across different sectors, and have a social innovation orientation. I was able to find extensive secondary data about these social alliances, as well as data evaluating their impact and success over the course of their projects. And quite importantly, a willingness among organizations to be part of an academic study.

I also have to highlight that the cases that I have selected are considered as successful high impact cases. The reason I have selected 'successful' as opposed to 'failed' social alliances for this study is due to availability of time and resources, and willingness to collaborate. Also, because "common cases allow conclusions for a broader class of cases" (Ridder, 2017, p. 287). I spent a substantial amount of time during the pre-selection to look for different cases, including looking for a failed case, and a case setting where the actors had only recently started collaboration ('new' case).

In the failed case, only one person was forthcoming to at least speak with me, but not motivated enough to actually be part of an academic research. During the pre-selection process, I also tried to contact other organizations of this failed alliance, but none were forthcoming and willing to discuss the scope of their collaboration.

In addition, I noticed during pre-selection that it would potentially have pushed me to steer away from my interview protocol into asking questions during the interviews about what processes may or may not have worked in a failed social alliance context, which would have particularly biased the research. I also noticed a similar bias with the new case, where one of the leading organizations was asking me to advise them on helping them to build transformative capacity. This would have steered me away from exploratory research into realms of action research. Therefore, there was a risk that I would have to phrase the questions in such a way that may have pointed toward specific responses as well.

Equally important, contrary to the final selected cases, the failed and new case did not have secondary material. I was therefore not going to be able to use additional data sources, including (annual) reports, documents, media clippings, and various other online materials (including YouTube videos) to further my data collection process and for triangulation purposes.

And lastly, opting for successful cases, is because there is no genuine understanding about the collective processes underlying transformative capacity of social alliance networks. I need to expand existing theories and build on the vast and yet fragmented literature to enable me to better understand and capture the collective processes related to transformative capacity. I believe that attempting to explore and identify collective processes in successful settings will better enable me to uncover and canvas novel and unknown processes to create a comprehensive framework; before further testing deductively, or testing the concepts in a failed setting(s) or other settings that I also have come across (e.g., the Green Growth Knowledge Platform, which is a virtual social alliance).

I would also like to highlight and accentuate that throughout my pre-selection process, I was not deliberately looking for a geographical component when selecting the cases. It did, however, influence our final selection of

the cases, because contrary to the other potential cases, these three cases have a very explicit connection to ‘place’ which became clear throughout the pre-selection interviews. It increased my curiosity. This has further helped my research because it has allowed homogenous sampling with an analytical focus (Patton, 2015), where I am selecting and studying cases with common potential characteristics, configurations, patterns and themes, to support a deepened analysis and interpretation of my research questions (Patton, 2015). Each case thus has a geographic component. The first case is urban, whereas the second case is in a rural area, and the third case is in a remote and isolated area.

These three selected cases, I argue, can illustrate, are exemplary and representative of a multi-stakeholder organized network (Vurro & Dacin, 2014) with transformative capacity. I therefore argue that these cases have the highest likelihood of offering theoretical insights (Eisenhardt & Graebner, 2007) and being revelatory for my research question. Each case will serve as a focal lens and empirical window (Mair, Mayer and Lutz, 2015) to map and assess the collective processes at the social alliance level that facilitate creating transformative capacity, and to examine how collaboration is sustained to allow a social alliance to continue.

#### + **Case-Study 1: The Brooklyn Navy Yard (case-study 1/BNY)**

The first case is within an urban and hyper-local setting. Located within the inner-city neighborhood of Brooklyn, NY, the ‘Brooklyn Navy Yard’ (BNY, or ‘the Yard’, as it is referred to) is next to the Hudson river waterfront and between three of Brooklyn’s most hip, affluent neighborhoods, Williamsburg, Dumbo and Fort Greene. The BNY is a former industrial and military cluster that was once an industrialized 19th century harbor, progressively abandoned in the 20th century when the advent of globalization and outsourcing swept through—only to reappear as a new, 21st century hub for green tech, food and other advanced manufacturing in the city of New York.

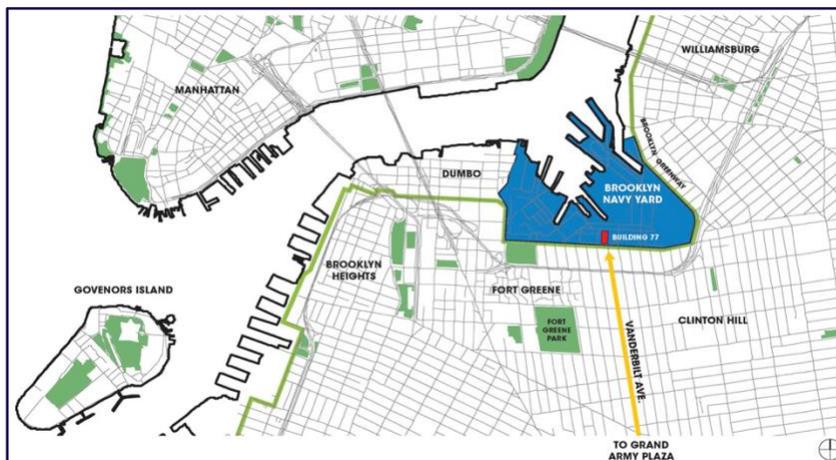


Image 1: The location of the Brooklyn Navy Yard in NY<sup>12</sup>

In particular, the Yard offers insight into how a collective of organizations from the public, private, social and academic sectors through collaborative activities and interactions are solving deeply embedded social and economic problems (Sacchetti & Tomlison, 2009; Curran, 2010). Together key organizations are producing pattern-breaking change in solving local unemployment and the displacement of enterprises, and jointly transforming a decaying and former manufacturing hub for military ships into one of the most thriving urban hubs for small-scale manufacturing, food, tech, fashion, media and green startup enterprises in the United States.

#### + **Case-Study 2: Commonland & Alvelal (case-study 2/Alvelal)**

For my second case study, I have looked at the collaboration between multiple organizations from the social, public, private and academic sectors in the rural Southeastern province of Andalucía, in Spain. Very specifically, I am zooming into a collaborative network that has emerged between a Netherlands-based landscape restoration organization, Commonland, and their local Spain based landscape partner, Alvelal, and its local partner organizations. Through this network, key actors share the same concern and vision for the future of almost 100,000 acres of land in the southeast of Andalucía: they are focusing on addressing desertification, restoring soil and biodiversity, depopulation and socio-economic development of the region within the next twenty years.



Image 2: Alvelal operation site in Spain, sources from Commonland<sup>13</sup>

#### + **Case-Study 3: Sustainable Southeast Partnership (case-study 3/SSP)**

The third case is located in the remote and isolated region of Southeast Alaska in the United States. The Sustainable Southeast Partnership (SSP) is a network of local and regional indigenous (native Alaskan), non-indigenous, public and private sector organizations based in South East Alaska, considered as one of the most isolated and remotest regions to reach in the United States. This network focuses on reaching cultural, ecological and economic prosperity for the communities and regions of Southeast Alaska.



Image 3: Southeast Alaska, source from the United States Coast Guard<sup>14</sup>

### 3.2.3 Analytical approach - Abduction

The research logic is abductive (Timmermans & Tavory, 2012), and research strategy (Creswell, 2003) occurs through multiple case-studies. Abduction is a means of inferencing (Reichert, 2010). “Abduction is intended to help social research, or rather social researchers, to be able to make new discoveries in a logically and methodologically ordered way.” (Reichert, 2010, p. 4). Abductive analysis approaches also constitute a qualitative data analysis approach aimed at theory construction (Reichert, 2010; Timmermans & Tavory, 2012).

Abduction has a logical form distinct from induction and deduction. Deductive reasoning begins with a rule and proceeds through a case to arrive at an observed result, which either demonstrates the rule or falsifies it (Timmermans & Tavory, 2012). Induction, in contrast, starts with a collection of given cases and proceeds by examining their implied results to develop an inference that some universal rule is operative (Timmermans & Tavory, 2012)<sup>15</sup>.

Locke, Golden-Biddle and Feldman (2008) contrasted abduction with other forms of reasoning by pointing out that “deduction proves that something must be; induction shows that something actually is operative; abduction merely suggests that something may be” (p. 907). The table here below, which is referenced by Mitchell (2018) and Dudovskiy (2016) illustrates the major difference between deductive, inductive and abductive research.

	<b>Deduction</b>	<b>Induction</b>	<b>Abduction</b>
<b>Logic</b>	In a deductive inference, when the premises are true, the conclusion must also be true.	In an inductive inference, known premises are used to generate untested conclusions.	In an abductive inference, known premises are used to generate testable conclusions.
<b>From/To</b>	Generalise from the general to the specific.	Generalise from the specific to the general.	Generalise from the interactions between the specific and the general.
<b>Use of data</b>	Data collection is used to evaluate propositions or hypotheses related to an existing theory.	Data collection is used to explore a phenomenon, identify themes and patterns and create a conceptual framework	Data collection is used to explore a phenomenon, identify themes and patterns, locate these in a conceptual framework and test this through subsequent data collection and so forth.
<b>Theory</b>	Theory falsification or verification.	Theory generation and building.	.Theory generation or modification; incorporating existing theory where appropriate, to build new theory or modify existing theory.

Table 5: Deduction, Induction, Abduction according to Mitchel (2018) and Dudovskiy (2016)

“Abductive refers to an inferential creative process aimed at producing new hypotheses and theories based on surprising research evidence” (Timmermand & Tavory, 2012, p. 170). It was Charles S. Peirce (1839-1914) who first claimed that abduction to be categorically distinct from the normal types of logical conclusion, namely deduction and induction (Haig, 2005; Riechertz, 2010) and thus its innovative potential for theory-construction.

With the abductive approach, the focus is not certainty but comprehensiveness when trying to explain ‘surprising facts’ or ‘puzzles’ (Kovács & Spens, 2005). A researcher may also encounter an empirical phenomenon that cannot be explained by the existing range of theories (Mitchell, 2018). *This is exactly what has been the foundation of my research. I was surprised - and the literature review reveals - that the existing collective social enterprising theories have a critical gap: theories are stating that multi-party social alliances can be networks and vehicles for social change, but I just don’t know how.* Abduction formulates the plausible explanation<sup>16</sup> (Timmermans & Tavory, 2012) which has to be tested and checked. Instead of making certain or probable statements about the ‘how’, I believe it is better to be pragmatic and make plausible and grounded statements in relation to the research, the data that I intend to collect, as well as the back and forth between theory and data, try to reveal and explain over the course of this research the surprising facts.

In this research specifically, following the literature review, I developed a preliminary framework drawn from the existing literature and theories about collective processes that emerge at social alliance level, which I am going to test within three cases. The goal is to test if the same and or other processes might be at play which sustain the collective. Depending on my findings, I may further revise the framework for the meso-level.

### 3.3 Data Collection and Analysis

I am applying mixed methods, or the combination of qualitative and quantitative techniques (e.g., use of qualitative and quantitative viewpoints, data collection, analysis, inference techniques) for the purpose of breadth and depth of understanding and corroboration (Hollstein, 2014; Mitchell, 2018). This method is considered to be complementary to traditional research approaches and can lead to superior research (Mitchell, 2018). In accordance with case-study research, the data collection emphasis is on interviews, archives, documents and observation (Ridder, 2017). In particular, mixed data design and data generation in social research can help the research to become more comprehensive. And, help validate or invalidate observations made during the qualitative phase.

When I speak of combining approaches, this refers to more than a simple process of mere addition, and involves the integration of the data in one or more of the stages of the research process (e.g., formulation of the research question, data collection, data analysis, data interpretation or inference) (Hollstein, 2014; Creswell, 2003).

In this research, the quantitative data collection technique has been sequential and nested in the qualitative one during the data collection process - a technique called embedded mixed method design (Creswell, 2003; Hollstein, 2014; Almalki, 2016). I therefore first started with a qualitative method for exploratory purposes and followed up with a quantitative method (Creswell, 2003; Hollstein, 2014) during the data collection process. The quantitative method has been complementary to the primary qualitative approach to data collection. This technique will be elaborated further below.

#### 3.3.1 Data collection - primary data set & secondary data-set

For each case I have applied the same research methods, using the same interview protocol, and using a combination of qualitative and quantitative data collection techniques. Systematic rigor is the objective.

I have collected two concurrent datasets. My aim has been to ensure that the primary and secondary data sets will help with careful and plausible interpretations and inferences from the data collected to construct critical and plausible explanatory propositions on transformative capacity of social alliances.

The first data-set will contain all the qualitatively coded data along with quantitative data that I intend to collect. The secondary data-set will contain all additional collected data for corroboration and triangulation purposes. For each case, I have allocated time to collect both data-sets, and will integrate the information in the presentation of the overall results (Creswell, 2003).

### i) Primary data set and coding

In order to collect the first data-set, I have developed an interview guideline and protocol (Kvale & Brinkmann, 2009) which I have drawn from the preliminary and theoretical framework on collective processes that I identified from the existing literature (*see Table 4 in chapter 2.4*). This has helped to develop the interview protocols and qualitative interviews questions (*please see Annex 10*).

In the words of Miles, Huberman and Saldaña (1994, p. 37) “Conceptual frameworks are simply the current version of the researcher’s map of the territory being investigated. As the explorer’s knowledge of the terrain improves, the map becomes correspondingly more differentiated and integrated. Thus, conceptual frameworks are developed at the beginning of a study and evolve as the study progresses.” The initial and theoretical framework is such a conceptual framework.

The interview questions have been semi-structured and open-ended. The semi-structured interview guide approach allows some flexibility to adapt the interview questions to participants with different roles or responsibilities (Brinkmann & Kvale, 2014; Bass, Beecham and Noll, 2018). The open-ended approach employed allows probing questions to focus in more detail on issues raised by participants (and not included in the interview guide) during interviews (Bass, Beecham and Noll, 2018).

In order to help limit and reduce retrospective bias, I have interviewed highly knowledgeable informants (Eisenhardt & Graebner, 2007) from different organizations with different hierarchical and functional areas that constitute the network. These have been senior managers and executives with different functions and from different organizations, who have the knowledge, motivation, and authority to discuss their organization’s role specific to the social alliance. Multiple perspectives also yield better results (Mitchell, 2018).

This approach has ensured that I research and investigate the phenomenon from different perspectives. For each case-study the list of interviewees has been developed in consultation with the senior managers who have been involved within the network of partners (*Please see Annex 9*). Throughout the interviews, and based on the responses received to the questions, I cross-checked and sought feedback around key insights with other interviewees, using formats such as ‘In another interview, a respondent said x or y - what is your response to that?’.

I believe this tactic helps me to seek different perspectives, as well as corroborating insights, and increases a more sophisticated understanding and interpretation of the data. Furthermore, this technique goes beyond the single relationships, and particularly for researching social alliances with more than five organizations, ensures that I also investigate the relations between the various relationships of the social alliance (Hollstein, 2014).

As part of the primary data collection process and in order to complement the interviews at the end of each interview I have asked two quantitative questions to rate the level of agreement from 1-5 with two statements, i) do you think it is thanks to collective efforts that [your social alliance] has been successful at addressing social and economic issues?; and ii) do you think there is a relationship between key partners over time building collective capacity for change and achieving the [social alliance's] mission?

I have suspected, as I have outlined in the beginning of this chapter, that this complementary quantitative data collection approach may offer an opportunity to improve data quality and thereby increase the significance of the results (Hollstein, 2014)<sup>17</sup>.

In preparation for all interviews, I presented ourselves, and ensured that interviewees have a minimal understanding of what I intend to research and investigate, and shared the questions in advance.

All data has been handled strictly respecting the anonymity of the interviewees. All interviewees had to offer their explicit consent prior to being interviewed. I also informed them that transcripts would be shared with them for review and validation; and that in the event that parts of the transcripts would be used for citing purposes, interviewees would be informed in advance, and that their consent would be asked explicitly.

At the end of each interview, I used snowballing techniques to identify if others needed to be interviewed as well. This technique has also ensured that I speak to diverse stakeholders and have captured relevant and different perspectives in relation to the phenomenon under investigation. Interviews have been carried out as much as possible in person, as well as using software to make virtual video calls, such as Zoom, where in person interviews would be difficult. All interviews have been recorded, transcribed and coded.

### ii) Secondary data set

The qualitative semi-structured interviews and quantitative questions have been the primary data-set. The secondary data-set has been collected concurrently. Additional archival data, including reports, publications, media releases, newspaper articles (Corbin & Strauss, 2008), YouTube videos, as well as site visits where possible also carrying out a quantitative survey.

Each dataset has been organized chronologically in a database (using Google for organizing the interviews; and Airtable for the secondary data). Collecting data from multiple sources has helped to corroborate the events and facts of each case study, and therefore supported by more than a single source of evidence (Yin, 2003).

I have been cognizant that for the primary data I have relied on retrospective accounts interested in understanding how partners diagnose, manage, build and interpret their joint and collective efforts. I was not

interested in ‘opinions’ of expert individuals, rather I wanted interviewees to account for ‘what had actually happened’ across the partnerships. Therefore, the aim with the secondary data from multiple sources has also been to help limit retrospective biases that might emerge with the primary data. The secondary data has been used for corroborating and verifying statements made during the interviews (Creswell, 2003). The secondary data has been particularly helpful in triangulating the primary data-set, and help increase the plausibility of sense-making and analysis in the final chapter. *(Table 6 here below is a summary of the data sets).*

Data Collection	
Data set 1	Data set 2
Semi-structured interviews, quantitative data collection, organizing and coding data	Archival data: observations and field notes; YouTube videos; reports, emails, and where possible quantitative data for the purpose of triangulation.

**Table 6: Summary of our primary and secondary data sets**

*In summary, for the case-studies, I have used diverse data sources, including interviews (primary data) and documents, archives, as well as observations (secondary data) (Creswell, 2003; Patton, 2015). In addition, I have used mixed data collection methods throughout data collection. Primary and secondary data collection and mixed methods help increase the verifiability and credibility of the findings, and reinforce data and methodological triangulation (Stravros & Westberg, 2009; Denzin, 2017; Fusch et al., 2018)<sup>18</sup>. This approach, I argue, will help increase the potential of transferability of and confidence in the findings (Miles, Matthew and Huberman, 1994) and allow me to develop a comprehensive and relevant framework with the components that matter for assessing transformative capacity.*

### iii) Data Coding into 1st and 2nd order labels

The use of coding and sorting and the identification of themes are important to capture the commonalities of experience across cases (Ayres, Kavanaugh and Knafl, 2003). *Coding in its most basic form is the simple operation of identifying segments of meaning in data and labelling them with a code, which can be defined as a work or short phrase that symbolically assigns a summative, salient, essence-capturing, and/or evocative attribute to a portion of language-based or visual data (Saldaña, 2016; Linneberg & Korsgaard, 2019).* All interview transcripts have been digitally recorded and transcribed using otter.ai. I have conducted two manual coding cycles. For the first cycle, I have applied open coding techniques to produce 1st order labels (themes). This technique has allowed me to assess which initial themes might emerge iteratively (Gibbs, 2007; Miles, Huberman and Saldaña, 2014; Goia, Corley and Hamilton, 2012) without looking at the existing literature or processes from the preliminary framework.

Open coding, in this research, has meant where the text is read reflectively to identify relevant themes or categories (Gibbs, 2007), and looking at the data with an open mind without looking at the initial framework or theory. This allows potentially other themes to emerge.

For the second cycle of coding I have applied axial and process coding, where codes are refined, developed and related or interconnected (Gibbs, 2007) to produce 2nd order labels. In this second cycle I have applied process coding techniques to group, describe and assign actions using gerunds (“-ing” words) (Saldaña, 2016). According to Saldaña (2016), process coding is appropriate for virtually all qualitative studies, but particularly for those that search for “ongoing action/interaction/emotion taken in response to situations, or problems, often with the purpose of reaching a goal or handling a problem” (Corbin & Strauss, 2008, pp. 96–7, quoted in Saldaña (2016). Grouping similarly coded data reduces the number of open and process codes, while sorting and relabeling them into conceptual categories (Saldaña, 2016).

After finalizing the first and second cycles, I have tested the preliminary/theoretical framework (version 1), cycling between emergent data, 1<sup>st</sup> order and 2<sup>nd</sup> order themes and concepts, as well as the relevant literature, not only to see whether my findings have precedents, but also whether I have discovered new concepts (Goia, Corley and Hamilton, 2012, p.21). This back and forth, and confronting version 1 of the framework with the data and uncovering of new processes, has helped reflect on how and where case-study 1 confirms or may potentially amend version 1 of the framework. ***Evidence of this process will be transparent within the table and display of codes. Where a new concept appears to be at play, I have highlighted those in green within the codes.***

Finally, I have clustered various codes together, creating a coding hierarchy with first order and second order labels (Eisenhardt, 1989; Gibbs, 2007) according to similarity and regularity (a pattern); and further distilled 2nd order labels into collective processes, and finalized the process aggregating the collective processes into overarching theoretical dimensions and creating a new data structure (Goia, Corley and Hamilton, 2012) on transformative capacity.

***As the reader will notice, at the beginning of each case-study when presenting the findings, I have prepared a table that presents the data structure for that particular case-study, and indicating where the codes have been derived (partially) from the semi-structured interviews or supplemented by documentation (e.g., theory, literature, data) (Grimes, 2018).***

In practice, what this coding process has required, is to immerse ourselves into the interviews, and identify significant statements that demonstrate collective processes. I then compared significant statements from each individual interview who participates in a collective with every other participant’s account, paying particular attention to the commonalities across respondents. The purpose of this within case analytic strategy has been to

allow comparison of the responses of all participants and identifying categories of significant statements, themes and sub-themes that are common in each case (Ayres, Kavanaugh and Knafel, 2003).

In parallel to my own coding process, I also sought a second person to code, and to allow comparison of coding results. This person, who has been a postdoctoral student of the Chair of Strategic Entrepreneurship at the University of Fribourg, with a psychology background, was foreign to the subject of the research. I randomly selected from each case-study one (1) interview for this post-grad student to code. *The objective of having a second coder has been to verify in what ways and to what extent someone neutral and completely new to the topic of the research would code in the same or completely different way. There has been some overlap between the primary and secondary coder, but also important and significant differences in the interpretations, which I will illustrate further.*

For example, a clear difference was noticed in one of the key collective processes that relates to geographical proximity between actors operating in and around the Brooklyn Navy Yard (case-study 1/BNY). In the interview the second coder has highlighted - what I interpreted as "proximity of partner-actors operating within a closed campus in the City of New York" - as "creative adaptation to the needs of the City in order to gain mutual benefit between the partner-actors." This was a very clear difference in my interpretation of the data as opposed to the second coder.

In one specific code, the interpretation was nearly identical. This was specific to the collective process of being committed and invested in the network. The second coder has coded the motivation, dedication and commitment to work together as "collective work as a source of motivation and fuel to work in an exciting environment". I highlighted and coded that same passage as "collective efforts as a source of motivation and fuel to work in a stimulating space."

There was also a significant difference in themes which the first coder has highlighted as a potential code, which I had not. For example, in case-study 3/SSP, I have highlighted the importance of the social alliance network working repeatedly with the same partners. A theme which the second coder has not highlighted as a potential theme. Also, in the second interview from case-study 2/Alvelal, I highlighted and coded a section of text as partners "Constantly evaluating whether what partners did before or the decisions taken before, are still valid today and if they need adjustments". The second coder highlighted the same section and has coded it as "decision-making through collective learning".

*Thus, overall, interrater agreement was high when it came to coding data related to collective processes, although obviously terms used to summarize that data has often been quite different, yet close in meaning.*

### 3.3.2 Interim reports

For each case I have prepared an interim report, where I have sought validation with the aim to corroborate my interpretations and framework with collective processes, and to ensure I am not imposing an interpretation of the statements which had not occurred within the original accounts (Ayres, Kavanaugh and Knafel, 2003).

Throughout the research process and in order to enhance the quality and depth of this research, the interim reports have been drafted for each case-study at the end of the data collection process and circulated back to the interviewees, as well as collaborative circles and like-minded scholars and practitioners via virtual portals, such as Researchgate.

The qualitative researcher needs to develop an interpretation of the data that reflects the individual's experience and applies equally well across all the accounts that constitute the data set (Ayres, Kavanaugh and Knafel, 2003). The interim reports, I argue, has allowed exchanging around the findings and results, and encouraged criticism as well as revisiting my thinking, so that I did not fall in the trap of 'telling the narrative I want to tell'.

The interim reports have been an additional layer that I believe complements the research process and enabled us to corroborate and triangulate my findings and insights with the interviewees, and gauge their input and feedback about my findings on collective processes and the framework. These interim papers are an effective way - a checkpoint of sorts - to corroborate and further test my interpretations and revise the frameworks.

After receiving the feedback on the interim reports, I have prepared a revised and empirical framework for each case-study. After finishing the interim report, I have also prepared a case-study report with the results of the findings. Therefore, in order to finalize case-study 1/BNY, I have prepared a field report with the results of the findings, as well as a presentation of the initial theoretical framework (version 1) and the empirical framework (version 2). There is also a brief comparison of similar and different collective processes - which I have color coded in green - and that have emerged from case-study 1/BNY.

For the 2nd case-study/Alvelal and 3rd case-study/SSP, I have gone through the same two cycles of coding to ensure rigor. And, also with the aim to immerse ourselves in the data, and be as open-minded as possible to allow potentially other processes or other elements to emerge. I have also tested version 1 and version 2 of the framework with the coding results of case-study 2/Alvelal and case-study 3/SSP, and prepared interim reports. The goal has been to identify from case-study 2/Alvelal and 3/SSP which processes are the same or similar, as well as identifying those that are new in each case (which I have color coded). In this manner, I have been able to keep adding to the empirical framework.

*I would like to emphasize that my aim is to build on the different cases to 'make emerge' a more comprehensive framework to analyze transformative capacity - which can potentially be replicable for other cases, whilst keeping in mind the differences (features that are unique to each case and not) that make each case singular.*

**In summary:**

**Case-study 1/BNY**

1. Develop initial and preliminary framework (version 1) - based on the literature review. Use version 1 to develop interview protocol and questions.

1a. Collect data for case-study 1 - primary and secondary data.

1b. Code the primary data:

i) Open coding: to see what categories, themes might emerge for 1st order themes.

ii) Axial and process coding to produce 2nd order themes.

iii) Test 1st order and 2nd order with version 1 of the framework. Circling back and forth with the data, theory, literature, and see if other processes 'out there', existing precedents or new concepts.

iv) Then draw from activity iii), and reduce 1st order (themes), 2nd order (concepts) into categories of collective processes - circling back and forth with the data, theory, literature, before aggregating into overarching theoretical/strategic dimensions.

v) Use secondary data, and present interim report to interviewees. Get feedback, suggestions.

2. At the end of case-study 1 - present a revised empirical framework (version 2), and compare with initial theoretical framework (version 1), to show the same and different collective processes.

**2. Case study 2/Alvelal**

1a. Collect data for case-study 2 - primary and secondary data.

1b. Code the primary data:

i) Open coding: to see what categories, themes might emerge for 1st order themes (potentially)

ii) Axial and process coding to produce 2nd order themes (potentially)

iii) Test potential 1st order and 2nd order with version 1 and version 2 of the framework. Circling back and forth with the data, theory, literature, and see if other processes 'out there'.

iv) Then draw from activity iii) to revise version 2 of the framework (if needed based on previous steps).

v) Use secondary data, and present interim report to interviewees. Get feedback, suggestions.

2. At the end of case-study 2 - present a revised and empirical framework (version 2) with additions from case-study 2, and compare with initial theoretical framework (version 1), to show the same and different collective processes.

**3. Case study 3/SSP**

1a. Collect data for case-study 3 - primary and secondary data.

1b. Code the primary data:

i) Open coding: to see what categories, themes might emerge for 1st order themes (potentially)

ii) Axial and process coding to produce 2nd order themes (potentially)

iii) Test potential 1st order and 2nd order with version 1 and version 2 of the frameworks. Circling back and forth with the data, theory, literature, and see if other processes 'out there'.

iv) Then draw from activity iii) to revise version 2 of the framework (if needed based on previous steps).

v) Use secondary data, and present interim report to interviewees. Get feedback, suggestions.

2. At the end of case-study 3 - present a revised and empirical framework (version 2) with additions from case-study 3, and compare with initial theoretical framework (version 1), to show the same and different collective processes.

Table 7: Summary table of data collection and coding process

According to Eisenhardt (1989) detailed case-to-case write-ups are central to the generation of insight and allow the unique patterns of each case to emerge before pushing to analyze common patterns across cases.

*As I have highlighted, I have suspected that additional codes may emerge from the case-studies, thus warranting a revising of the initial theoretical framework (version 1) into a new one. My intention has been to further test, check and immerse the revised framework (version 2) into the other case-studies. Therefore, the frameworks will*

*be revised consecutively and iteratively into a final and what I believe will be a comprehensive meta-framework<sup>19</sup> (this meta-framework is presented in Table 22 of this research).*

### 3.3.3 Within-case & Cross-analysis of the cases and addressing potential concerns

In chapter 5, I have presented a cross-analysis and synthesis of the cases. “Until these themes are reintegrated in a manner that shows how they work together in an actual (or constructed) case, the analysis is incomplete. A list of themes has no explanatory force, either in one case or across a set of cases” (Ayres, Kavanaugh and Knafel, 2003, p. 881). Case analysis involves organizing the data by specific cases for in-depth study and comparison. Well-constructed case studies are holistic and context-sensitive (Patton, 2015)<sup>20</sup>.

As I have also stated in the beginning of this chapter, the research methodology has been an abductive one. I have used various data sets with the aim to cycle back and forth between the data collected and the literature to compare and organize the data, and try to form as many links, and to relate the data to construct plausible propositions and a final framework. In this constant process of finding, comparing and checking, I have attempted to generate novel theoretical insights that reframe empirical findings (Reichert, 2010; Timmermans & Tavory, 2012). The aim has been explanatory breadth, inference to the best plausible explanation, and not predictive success (Haig, 2005)<sup>21</sup>.

I have wanted to construct critical, grounded and plausibly testable propositions and theoretical arguments about the transformative capacity of successful social alliances. Throughout the research process, and as I have gone forward, I have revisited the propositions and interpretations of the collected data and results on a continuous basis.

This multi-stage process of finding, comparing and checking (Reichert, 2010), the going back and forth between various data sources and testing against primary and secondary data, getting different perspectives throughout interviews, testing propositions against existing rich and a broad theoretical base has been designed to maximize triangulation throughout the abductive logic. Abductive analysis is also recursive and iterative (Timmermans & Tavory, 2012).

*In summary, for this research three types of triangulation, namely data, methodological and theory triangulation have been most important (Denzin, 2017; Fusch et al., 2018)<sup>22</sup>. Triangulation has also ensured that I do not fall in the trap of preconceptions or pre-judgements (i.e., due to the researcher’s background) and thus reducing potential bias.*

*In this research I have collected and used primary data (expert interviews) and secondary data (observation, field notes, Youtube videos, reports, emails) for data triangulation purposes. Methodological triangulation involves the use of multiple methods of data collection about the same phenomenon (Denzin, 2017; Fusch et al., 2018): I have used qualitative and quantitative data collection techniques, and in addition also prepared an interim report for each case study, which has been an important stepping stone because it offered interviewees an opportunity to corroborate my findings and insights, and thus has helped refute or confirm my findings and final interpretations. Theory triangulation uses different theories to analyze and interpret data. With this type of triangulation, different theories or hypotheses can assist the researcher in supporting or refuting findings (Fusch et al., 2018). Theoretical triangulation will be applied in the final analysis of the research, which involves using more than one theory in the analysis and interpretations of the phenomenon and data presented.*

Further below, in *Figure 1 - Research Protocol* and *Table 8 - Summary of the research process*, I have attempted to visualize the research protocol along key phases, and also summarized the key strategy and steps that I have taken throughout this research.

The final cross-analysis and synthesis of the cases has gone over unique differences and shared patterns, with the aim to produce a more comprehensive framework. Ridder (2017, p. 282) provides that “Potential advantages of multiple case study research are seen in cross-case analysis. A systematic comparison in cross-case analysis reveals similarities and differences and how they affect findings. Each case is analyzed as a single case on its own to compare the mechanisms identified, leading to theoretical conclusions (Vaughan 1992: 178). As a result, case study research has different objectives in terms of contributing to theory. On the one hand, case study research has its strength in creating theory by expanding constructs and relationships within distinct settings (e.g., in single case studies). On the other hand, case study research is a means of advancing theories by comparing similarities and differences among cases (i.e., in multiple case studies).”

As part of the cross-analysis I have also therefore presented a meta-framework, and have elicited and described those aspects of the units of analysis that are common to all (Aynes, Cavanaugh and Knafel, 2003).

As I have outlined previously the sampling strategy has been one of comparable case selection (Miles, Huberman and Seldañá, 1994), although uniquely different the unit of analysis are comparable for replication and transferability logic purposes and to further increase confidence in the analytical findings on the grounds of representativeness (Miles, Huberman and Seldañá, 1994).

One fundamental reason to have conducted a cross-case analysis is to enhance generalizability or transferability to other contexts. A second, more fundamental reason for cross-case analysis has been to deepen understanding and explanation (Miles, Huberman and Seldañá, 1994; Yin, 2013) of the final framework.

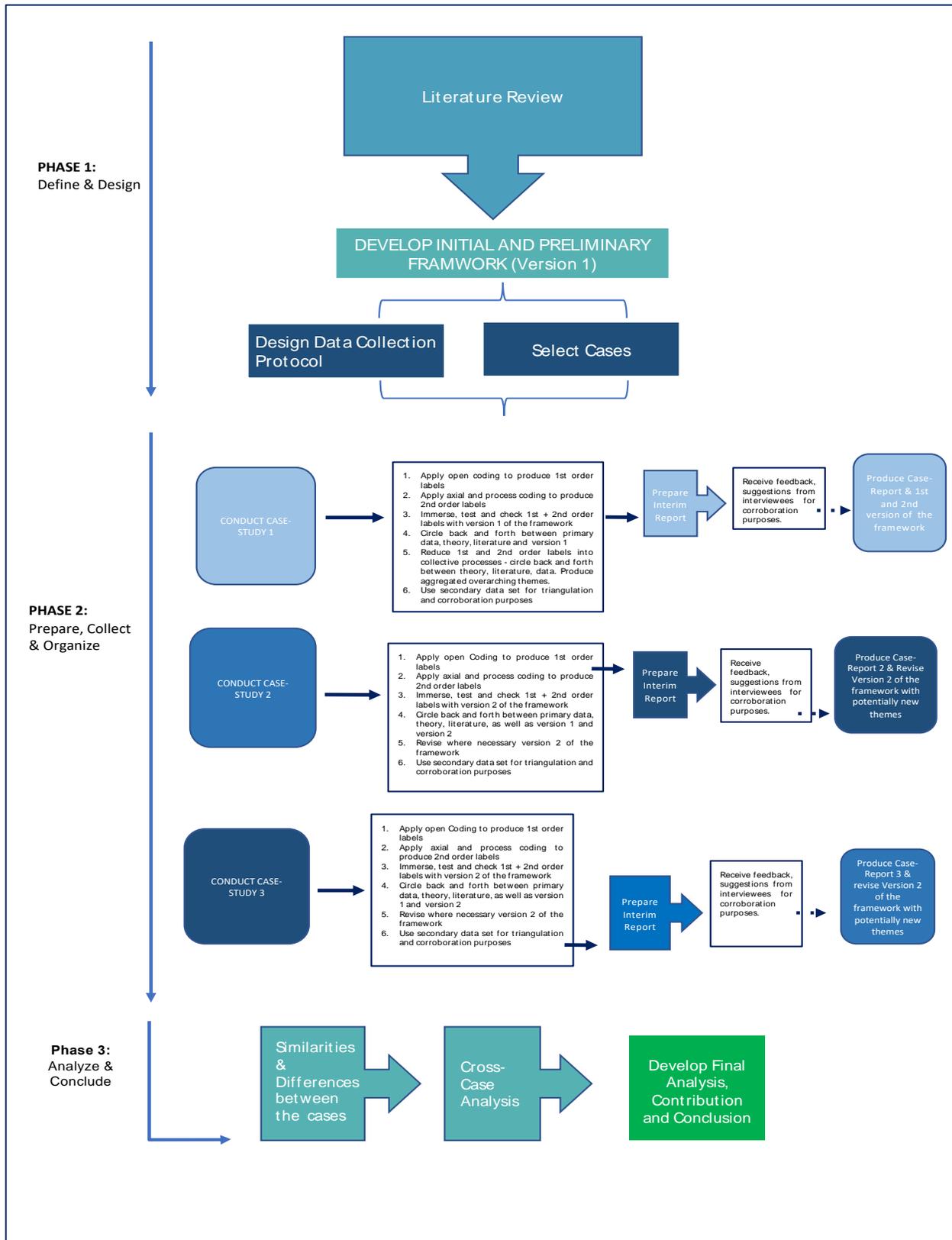


Figure 1: Research protocol

The following **Table 8** is a summary of the research philosophy, logic, strategy, as well as the data collection, followed by the interim reports, case-reports and final analysis.

CRITERIA	SELECTION		
1. Philosophy	Pragmatism, Phenomenological, Exploratory		
2. Research logic	Abductive		
3. Strategy	Multiple case studies of three cross-sector social alliances paired with geographic components, of rural, urban and remote.		
3. Data Collection Techniques & Procedure	Data set 1	Data set 2	Triangulation
	Semi-structured interviews, qualitative data collection, organizing and coding data; quantitative evaluations questions at the end of interviews	Archival data: observations and field notes; Youtube videos; reports, emails, and where possible quantitative data for the purpose of (methodological) triangulation	Data/ Methodological triangulation
	Approach to collecting data: using a mixture of quantitative and (mostly) qualitative techniques, supplemented with additional secondary data collection to triangulate the findings.		
4. Write up of findings of each case + interim working paper	Write up each case, as well as presenting an interim working paper and a revised framework (methodological triangulation), that will be shared with the interviewees for field feedback, and discussion.		Methodological triangulation
5. Final Analysis and Discussion	Analysis of within-case findings: similarities and differences, cross-analysis, and synthesis, theoretical triangulation - abductive analysis		Theory Triangulation

**Table 8: Summary of the research process**

### 3.3.4 Potential concerns with case studies

There are additionally two concerns with case-study research that I would like to highlight, address and attend to appropriately in relation to cross-analysis of case-studies. The first is in relation to preserving the essence or uniqueness of case-studies, or stripping the case of context, and selecting appropriate cases to compare (Khan & VanWynsberghe, 2008; Yin, 2013; Ridder, 2017).

Khan & VanWynsberghe (2008) have stated that cross-case analysis must reconcile the preservation of the uniqueness of the case while attempting to analyze the case across other cases. By providing ample contextualized details of the cases and findings of cross-case analysis, I can conceivably preserve the uniqueness of a case and convey the value of their engagement with a cross-case analysis.

Ayres, Kavanaugh and Knafel (2003) and Khan & VanWynsberghe (2008) have further stated that in cross-case analysis, the contextualized origins of each case are in danger of being lost as cases are compared. However, losing some contextual detail may be consistent with the goals of cross-case comparison, which is to identify themes across cases. And lastly, as I have already outlined in previous sections, I have been quite meticulous and systematic about the selection of the cases and their corresponding units of analysis. This has been an important

methodological consideration in the case study comparisons (Khan & VanWynsberghe, 2008) right from the beginning, including the data collection and data analysis stages.

The second concern is in relation to a potential bias. A key limitation in this research is that the data collecting and coding for case-study 2 and case-study 3 is biased by the preliminary framework and insights from case-study 1. I do believe however that this bias is limited because this research has applied three distinct forms of triangulation (i.e., data, methodological and theory) to not fall in the trap of preconceptions or pre-judgements and thus reducing potential bias.

## 4. CASE-STUDIES, RESULTS & FINDINGS

### 4.1 1st Case-Study - Case-Report for the Brooklyn Navy Yard

In the following sections, I will present first a timeline of important events at the BNY (**section 4.1.1**) – for more details about the history and transformation of the Yard, please see Annex 1 – History of the Brooklyn Navy Yard. Second, I will offer a detailed description of the methodology for the data that I have collected for this case (**section 4.1.2**), as well as the results of the findings of the case-study (**section 4.1.3**). I finalize this case report in **section 4.1.4** where I present key in case-findings that have warranted a revision of the preliminary framework (version 1) into a revised framework (**Table 12**).

#### 4.1.1 Important timelines of the Brooklyn Navy Yard

The Yard was commissioned by John Adams in 1801, the second President of the United States, as one of five original navy yards across the US, with the Yard in Brooklyn being one of them<sup>23</sup>. Over time, the Yard would become home to some of the most ground-breaking innovations, including the use of the first side-wheel steamers on warships assigned to sea duty, and the manufacturing of anesthetic ether<sup>24</sup>.

By the late 19<sup>th</sup> century and during the two World Wars, the Yard in Brooklyn was once the most storied US ship and defense building facility in the US, a reputation that it sustained until the mid-20th century. Ships forged in Brooklyn Yard would go on to lay the first transatlantic cable, hunt down slave-trade pirate ships off of the coast of West-Africa, and fight some of the most famous and infamous US naval battles. Among the most famous includes the USS Maine, which sparked the Spanish-American war off the coast of Cuba; the USS Arizona, which was sunk at Pearl Harbor; and the USS Missouri, which hosted the peace treaty signing the end of World War II. By 1945, it had become the world's busiest shipyard, employing 70,000 ship manufacturing workers<sup>25</sup>.

Years of industrial and manufacturing decline and neglect however would characterize the Yard in the post-war years, with manufacturing jobs being outsourced and changes in cost-savings for shipbuilding and national military priorities, resulting in the closing of the Yard in the 1960s<sup>26</sup>. In the 70s the Yard would reopen as an industrial park with the goal to create a modern industrial district. Despite major plans, over the course of the next two decades, the Yard's buildings, roads, and power grid deteriorated, and employment dropped significantly to just 30 tenants and employing 1000 people<sup>27</sup>. By the 1980s, and under the management of the then newly formed Brooklyn Navy Yard Development Corporation (BNYDC) a new leasing strategy was put in place, focusing on attracting small, light industrial firms and niche manufacturers rather than chasing the large manufacturers. The BNYDC would manage the Yard, the 300-acre (121.40 hectares) public land, under a new lease (expiring in 2111) on behalf of its public sector owner, the City of New York<sup>28</sup>.

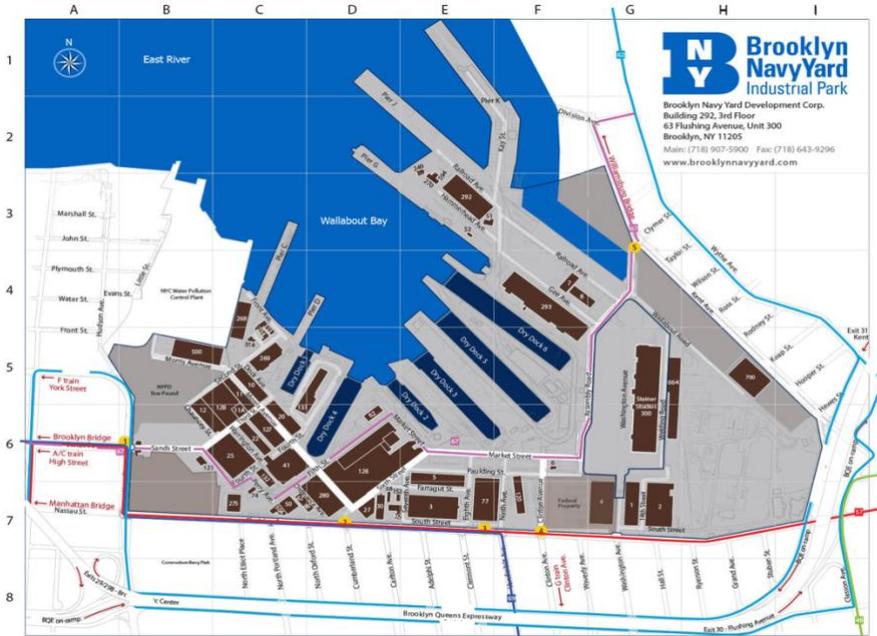


Image 4: Geography of the BNY<sup>29</sup>



Image 5: Timeline of the BNY's evolution<sup>30</sup>

The strategy started to pay off, when in 2004, the largest movie making studio outside of Hollywood, Steiner Studios became the Yard's largest tenant and moved into the space. Shortly after Brooklyn College founded a film school—the first film school embedded in a working studio. Carnegie Mellon, the prestigious Pittsburgh-based research university, created a graduate school for interactive technological arts<sup>31</sup>. In the early 2000s as new tenants move into the Yard, and in order to find the competitive advantage of New York City, the Yard starts executing a new strategy as a sustainable industrial park using cutting-edge green technology, which would make the Yard a magnet for forward-looking industrial businesses.

Important new tenants, such as Brooklyn Grange, the world's largest rooftop organic farm, and the New Lab, the green manufacturing space, move into the Yard after major infrastructure upgrades and renovations with the objective to attract new tenants and create new permanent jobs. By 2017, 99 percent of the Yard's space had been filled with 400 companies registered, 7000 jobs created, and the Yard about to embark on its largest expansion since World War II with a \$2.5 billion building plan projected to quadruple the current workforce of 7,000 to 20,000 by 2020; and to 30,000 shortly thereafter, by 2025. With an economic output of nearly two billion dollars annually, the Yard has become an engine for economic development and a catalyst of social mobility for the local workforce by 2019<sup>32</sup>.

As the Yard is preparing for its largest expansion across the existing 300-acre waterfront, old physical (e.g., infrastructure, building) assets are being renovated and new physical assets are being built on premises from the ground up. A number of recent and new tenants deserve mentioning (*which I have localized in Image 6*):

**+ The Brooklyn STEAM Center**, an innovative training hub and a joint partnership between eight high schools preparing students to thrive in the rapidly evolving manufacturing, technology and creative fields.<sup>33</sup>

**+ The RLab**, the first City-funded, virtual- and augmented reality center, administered by the New York University (NYU) Tandon School of Engineering with a participating consortium of New York City universities, including Columbia University, City University of New York (CUNY) and The New School. RLab's goal is to cement New York City's status as a global leader in virtual- and augmented reality and other future interfaces, creating over 750 jobs.<sup>34</sup>

**+ Wegmans Supermarket**, one of the largest infrastructure upgrades in the Yard, and opened in 2020 with the aim to create nearly 1200 direct and indirect jobs.

**+ WeWork**, the largest co-working space in the world and designing the largest vertical manufacturing space, and to include an additional 44,036 square meters of space – which is being built on the Yard premises. A little more than half of it will be in a single, vast complex with roughly the same total square footage as the Empire State Building.<sup>35</sup>



Image 6: Map of the BNY's key buildings currently renovated or newly built<sup>36</sup>

The BNY serves and is heralded as a successful socio-economic inclusive model for non-profit industrial transformation in a (hyper-local) urban setting. It is a mutated urban industrial space which has been relevant for the upward socio-economic mobility of hundreds of people living in disenfranchised public housing units surrounding the Yard. The 300-acre public land is home to over 400 largely advanced, high-tech, green or neo-artisanal manufacturing, fashion, media, and design ventures.

The Yard is as much the story of the transformation of a former military industrial district as it is a story about social innovation and collective social enterprising. It is the story of urban revival and regeneration involving the collaboration of key actors from the public, private, academic and nonprofit sectors that, together, are addressing deeply entrenched and complex problems of economic and social exclusion as well as urban displacement of enterprises in one of the wealthiest and economically disparate cities in the world. The BNY therefore serves as a rich context for studying my research questions.

I am studying the BNY, as a multi-stakeholder social alliance or collective action network. In particular, I am zooming into the numerous partnership-projects, and examining the key collective processes that are characteristic of this network.

#### 4.1.2 Methodology for Case-Study 1, presentation of codes and coding hierarchy

A first round of orientation interviews was carried out in April 2018, with 3 individuals (1 executive from BNYDC, and 2 executives of Yard-tenant companies) to test if the Yard could be a potential case-study. In the preliminary interviews, I had an open-ended conversation where I inquired about the BNY-model, the supportive environment that has been created in the Yard for entrepreneurs, and also key players in the Yard. Following the preliminary interviews and the willingness of senior leadership to work with me on this research, I decided to organize follow-up interviews.

And thus, a second round of qualitative and quantitative interviews, as well as a field visit was carried out in March 2019, with a total of 12 interviewees; including 9 semi-structured interviews with key executives from Yard partner organizations, 3 semi-structured interviews with Yard tenants, and 1 email exchange with an academic partner based outside the Yard who responded to my questions in writing. The interviews lasted on average 30-45 minutes.

As I pointed out in chapter 3 when discussing the overall methodology for the research, I developed an initial, preliminary and theoretical framework (version 1) of collective processes which I canvassed from the existing literature and theories. From version 1, I drew the interview protocol, open-ended semi-structured qualitative questions as well as the quantitative questions that I wanted to ask all interviewees (Please see Annex 9 – Timeline and number of interviews performed for the research and interview protocol, and Annex 10 – Interview protocol and interview questions).

As part of the primary data collection process and in order to complement the inquiry process through qualitative interviews, at the end of the 9 qualitative interviews, I asked two quantitative questions to rate the level of agreement from 1-5 with two statements, i) do you think it is thanks to collective efforts that the Yard has been successful at addressing social and economic issues?; and ii) do you think there is a relationship between key partners over time building collective capacity for change and achieving the Yard's mission? The results of these quantitative evaluative questions have been displayed in **Table 10**.

Although I had initially designed this question as part of the overall methodology, I did become hesitant to ask these two questions throughout the actual case-study collection process. I became concerned to ask these two quantitative questions, as they might have created the perception that I was forcing interviewees to answer in a particular way. In the end, however, I did decide to ask the questions because of two particular reasons.

First, throughout the survey, none of the questions have alluded to collective processes in any way. I have stayed neutral with my questions in order to let the data speak for itself. Second, after asking the two quantitative questions, most interviewees elaborated on their answers, which in the end did offer interesting details, rich

insights and findings relevant for the case-study and my contributions in general. Perhaps, most importantly, the quantitative questions and the follow-up elaborations revealed the degree to which partners constituting a network, have developed a shared and collective understanding about the impact of their work together, and also the degree to which they perceive collective capacity as important for social change.

The BNYDC staff have been instrumental in allowing me to gain more intimate access to the Yard, and were very helpful in connecting me to those organizations and partners that they deemed most important to respond to the key questions.

I also spoke to 3 individuals who live in the surrounding public housing units, and who work in the Yard. These 3 individuals were approached informally and randomly during the researcher's visit to New York.

The interview questions were shared with key executives in preparation for each interview. All interviews (except the 3 individuals who were approached randomly from the housing units) were digitally recorded and transcribed – observations and field notes of those 3 interviews were stored under 'Observations' in my Google database (Please see Annex 3 - Field Notes and Observations). Recorded interviews were digitally stored under 'Interviews' in my Google database. In preparation for the interviews, questions were printed in a format that would allow taking notes and writing observations along each question asked and answered.

Interview transcripts (except 3 from the housing units) have been digitally recorded and transcribed using otter.ai. All interview transcripts have also been shared with interviewees for review and approval, and where it was necessary, I have followed up with follow-up questions for more clarification. All transcribed interviews have gone through two cycles of manual coding.

For the first cycle I have applied open coding techniques, to allow potential other themes emerge iteratively (Gibbs, 2007; Miles, Huberman and Saldaña, 2014) without looking at the existing literature or preliminary framework. Very specifically, these first order themes are codes derived from the semi-structured interviews. They serve as indicators or evidence for recurring concepts, patterns of behavior, strategies, activities, understanding, events or approaches that were mentioned or referenced repeatedly throughout the semi-structured interviews. I clustered these codes under first order labels.

I then proceeded with the second cycle of coding where I applied axial and process coding, where 1st order codes/labels are refined and related, or interconnected (Gibbs, 2007) to produce second order labels. Once I finalized clustering of first order and second order labels, I created a coding hierarchy with first order and second order labels (Eisenhardt, 1989; Gibbs, 2007). I have ordered the first order labels into a total of forty-four (44) second order labels.

After the two coding cycles, I also drew from the collective processes identified in the initial and preliminary framework and existing theory, further increasing comparisons, back and forth between and across the data, codes, and theory. In other words, and specifically after finalizing the first and second cycles, I have tested the preliminary/theoretical framework (version 1), cycling between emergent data, 1<sup>st</sup> order and 2<sup>nd</sup> order themes and concepts, as well as the relevant literature, not only to see whether my findings have precedents, but also whether I have discovered new concepts (Goia, Corley and Hamilton, 2012, p.21).

This back and forth, and confronting version 1 of the framework with the data and uncovering of new processes, has helped reflect on how and where case-study 1/BNY confirms or may potentially amend version 1 of the framework.

I then proceeded to further distill the second order labels into categories of collective processes, before aggregating them into overarching theoretical and strategic dimensions (Goia, Corley and Hamilton, 2012) of transformative capacity. In this process too, there were back and forth between the preliminary framework, as well as relevant and existing theory, literature and data to see if my interpretations of categories of collective processes have precedents.

I have distilled second order labels into producing a total of twenty-two (22) categories of collective processes, and have aggregated the collective processes into a total of 7 overarching theoretical and strategic dimensions that I argue represent the dimensions of transformative capacity. Throughout this process I have created a new data structure (Goia, Corley and Hamilton, 2012).

The BNY has received significant media and analyst coverage since their early stages of formation. Therefore, for the secondary data set, I have also collected and used archival data to reconstruct the history of the Yard, including reports, publications, YouTube videos, media releases, newspaper articles, which were organized chronologically in a database (using Airtable).

Concurrent to the visit, the BNYDC staff were kind to offer and help me to collect key quantitative data about the Yard as part of their annual tenant survey (please see Annex 2 - 2018 Tenant Survey Results). I was allowed to ask the tenants (188 respondents) a number of questions about their relationship with the BNYDC and their collaboration among themselves. I have used the secondary data set for triangulation and verification purposes.

I presented my findings and insights as well as revised framework in the interim report to the interviewees from the Yard for critical feedback, and also distributed the framework across Researchgate and other institutes interested in the case-study (e.g., Cities of Making and Global Institute on Innovation Districts). The feedback about the interim report and my findings have been positive, and also helped me to revise a number of my

interpretations around collective processes that I had identified, and therefore helped further revising the preliminary and theoretical framework<sup>37</sup>.

Two interviewees specifically offering feedback and suggestions about my interpretations around the collective processes which I shared with them. In particular, I received feedback about one of the collective categories specific to mainstreaming inclusiveness. In the interim report, I had provided “Creating and connecting to jobs, as well as increasing job exposure opportunities”, and the feedback I received was that a more appropriate interpretation would be to frame that collective process as “Increasing the capacity of the workforce through localized economy strategies”. In addition, I received an input from an interviewee, who suggested that “disparate participants work together with shared aspirations, needs and challenges”, and that “working with various stakeholders and building connections and synergy between sectors and actors” would be a more appropriate interpretation under the collective process of building a multi-stakeholder coalition with broad organizations. (Please Annex 7 - Compilation of feedback received about interim reports)

Lastly, I also received a suggestion from a Yard interviewee to place “Partners' respective commitments towards each other to achieve shared outcomes for projects (i.e., recognizing their roles and how they help the collective or coalition to thrive)” under “Being accountable (shared accountability, individual responsibility for the social mission)”. I also received general comments about the use of the framework for practitioners, with an interviewee in particular referring to the “framework as a way to disconnect from the day-to-day and be able to look at the network with a fresh perspective and see the bigger picture.” (Please see Annex 7 - Email exchanges).

This final exercise has helped me to develop the revised and empirical framework for case-study 1 (which I have called version 2 of the framework). Codes that have been revised following the feedback of interviews, are highlighted in red in the framework (Table 9 Data structure case-study 1).

One key limitation needs to be mentioned in the data collection, I made multiple attempts to organize interviews to speak to Wegmans supermarket, government officials and private sector investors in the Yard, but they were either not-responsive or not available for interviews. Therefore, the findings of this study are limited to the organizations and individuals that were interviewed. For their time, help and support I am very grateful.

#### 4.1.3 Key Findings of the Brooklyn Navy Yard & the transformative capacity of the network

In the following page, in **Table 9** I have presented and visualized all different codes that I have identified throughout the coding exercise. The aim is to visualize and further explain and narrate to readers the relationship between the codes and the data structure in presenting my findings for case-study 1/BNY. As the reader will notice, I have used the seven (7) overarching theoretical and strategic dimensions (the fourth column) as an

approach to present and structure my findings for this first case-study. In the following sections, I will present the findings from this case-study. The blue tables serve as illustrative quotes from the interviews. ***At the end of this case-study in Table 12, I will juxtapose the preliminary and theoretical framework next to each other, and show where my empirical framework has revised and is different from the theoretical framework. Where new codes have emerged, I have color coding those in green.***

#### **A) Having a leading and driving force organization: The Brooklyn Navy Yard Development Corporation and programmatic pathways**

A whole spectrum of organizations operates within and without the boundaries of the Yard. Many organizations based inside or outside the Yard were mentioned throughout the interviews. At the center of all the relations is the Brooklyn Navy Yard Development Corporation (BNYDC), a non-profit, mission-driven landlord that has managed 300 acres of public land on behalf of its owner and financial backer, the City of New York. Established and mandated in 1981 by the City of New York, BNYDC's mission is to promote local economic development and job creation, develop underutilized areas and oversee the modernization of the Yard's infrastructure and assets while maintaining its historical integrity<sup>38</sup>. BNYDC is responsible for the leasing, management, and development of the Brooklyn Navy Yard for industrial, maritime, and commercial uses, and has rule-making authority for the maintenance of the Navy Yard's buildings, roadways, utility distribution systems, fire hydrants, water and sewage, sanitation, snow removal, and street security<sup>39</sup>.

Organizations based outside the Yard which were mentioned as being important for the Yard's transformation are: the Brooklyn Borough President's office, the Department of Education (NY SED), the Department of Economic and Social Affairs (UN DESA), New York City Economic Development Corporation (NYCEDC), the New York City Housing Authority (NYCHA), as well as community organizations (e.g., Brooklyn Historical Society, Bedford Restoration), academic partners (e.g., NY University, City University of NY, Pratt Institute), architectural and engineering companies (e.g., Empire State Development Group, WXY Architecture); public housing tenant associations (e.g., from housing units of Ingersoll, Faragut and Whitman), and a whole spectrum of business support organizations (e.g., New York City iTAC, Local Initiatives Support Corporation, Brooklyn Chamber of Commerce), capital investors and related service providers.

1st order labels - open coding - examples of codes derived from semi-structured interviews (i.e. shared concepts, patterns of behavior, strategies, activities, understandings or approaches)	2nd order labels - axial and process coding	Categories of collective processes - partially derived from preliminary framework and supplementary documentation (i.e. theory, literature, data)	Overarching theoretical and strategic dimension - Components of transformative capacity
Mission driven landlord and a model with three stools; offering amenities: space, business support and employment services; anchor organization creates the conditions for the shared vision to manifest itself; anchor is as a steward of relationships, a convener, mediator, gate-keeper, advocate and vision-setter; anchor plays a key role in crafting and pushing a shared vision across the ecosystem of partners; role in building strategy; anchor offering cohort, concierge, collaboration and community services; anchor curating Yard tenants to talk to each other, to support each other, to do business with each other and to connect with larger community;	Having an anchor organization that has distinct roles/functions, and playing key roles and working with partners whose missions are aligned with those of the anchor organization(s).	Acting as a leading and driving force organization	A. Having a leading and driving force organizations
A nonprofit that generates financial revenues in addition to fundraising through public means; nonprofit with fundraising capabilities and revenue generation capabilities; operate very much like a corporation, but with a nonprofit lens; a social enterprise;	A hybrid organization that is mission-driven through social achievements and generating revenues.		
Becoming the leading convener in the arena and learning organization for place-based economic development in green-tech, added-value, high tech and advanced manufacturing; leader in nonprofit real estate development; leader in nonprofit industrial development;	Becoming a leader in a community of practice creating a thriving environment and space for non-profit industrial transformation for green-tech, added-value, high-tech and advanced manufacturing enterprises at city levels.		
Leveling the playing field for businesses to creating a different sort of reward than what otherwise happens; certain partners are increasingly becoming relevant in the development of the place; certain partners play a starring role in addition to the anchor organization; certain partners becoming a neutral sandbox or place for different interests and partners to come together; being a conduit;	Certain actors acting as a neutral platform and leveling the playing field to convene and to reconcile diverse and at times competing interest to create shared rewards	Being an intermediary positioned between the stakeholders of a project	
Working with partners on key projects that align with Yard mission; working closely together with various stakeholders and building connections between sectors and actors; creating overlap and merging across fields (i.e. STEAM Center as an example of a joint project where disparate organizations with different funding cycles and needs worked together); each partner brings expertise and comes together as a pool and find synergy; <b>disparate participants with shared aspirations, needs and challenges (Q)</b> ;	<b>Working together with various stakeholders and building connections and synergy between sectors and actors (Q)</b>	Building a (multi-actor) coalition with broad organizations	
Identifying the low-hanging fruits for joint collaboration without conceding on mission (i.e. The STEAM center which is a joint collaboration between key partners; the master plan for the Yard); collective design of a program or a solution, which draws on everyone's respective skills and collective problems; mutual benefit projects; designing new projects that are mission-aligned and/or mission-critical; getting partnerships of the ground and testing them project-by-project;	Championing win-win opportunities and low hanging fruit collaborations depending on need/demand.	Continuously Identifying/Exploring and implementing joint projects with (ecosystem) partners that add value	
Learning a lot together and doing it collectively; working with community partners to build capabilities; need to learn from partners, and engage partners in areas that are not core capabilities;	Engaging and learning from partners and through deliberate partnerships to build new skills, new expertise and competencies.		
Willingness for quick iterating but with a shared goal in mind (i.e. iteration in the education space to test the STEAM Center; or commitment of partners to Yard partners to experiment getting new hires from the Employment Center); having a culture around responsible learning and experimentation; thinking differently about how to engage partners and stakeholders and trial new approaches (i.e. digital signage across the yard, education and innovation and workforce development);	Active trialing or iterative learning of new solutions, new ideas, new projects (i.e. both social practices, new technologies).	Iterating and experimenting continuously with partners/providers on joint projects to add value	B. Iterating, Experimenting, learning by doing through joint projects
Rapidly prototype and see where it goes from there; things can be done differently than has been done elsewhere so far; using the place as a test bed for testing new products/services;	Using the place as a test bed for prototyping new ideas and solutions on a small scale.		
Willing to try things and see how they go, and then decide where to grow it from there, rather than trying to form the perfect partnership; partnership tailored to needs and problems to solve together as quick as possible (i.e. educational partnership happened through small iterations being able to work with, and able to change programming based on partner iteration and based on business demand); allowing the partnership to evolve to allow new iterations and learning;	Flexibility to try new things and seeing how things will go instead of having a perfectly planned partnership or project.	Evolving continuously through new and joint projects	
Allowing ideas for potential new projects to emerge organically from the bottom up or more carefully curated from the top down; reconceiving the fundamental of the partnership as a partnership evolves organically;	Openness to top-down and bottom up projects that emerge whilst being responsive and committed to the needs on the ground.		
Working closely with partners to ensure that job placement goals and metrics are being met (i.e. BNYDC worked deeply with community-based organizations, with the leaders of the public housing developments that are right by the Yard to recruit 700 people to apply for Wegman jobs); creating employment opportunities and ensuring new hires; looking for customized training programs that can lead to training people on the job;	Creating and tracking how many jobs have been created through projects and funding.	<b>Increasing the capacity of the workforce through localized economy strategies (Q)</b>	C. Mainstreaming Inclusiveness

<p>Identifying the right type of partnerships (i.e. partnership with Wegmans) that can add value for the community and can benefit from the existing resources (i.e. affordable manufacturing or startup space, recruitment services, networks); tapping into every opportunity to work with organizations that can create jobs; proactively looking for events, training and other ways to connect and meet actors working in this public space looking for or hiring for jobs (i.e. Offering hiring services to Yard tenants; working deeply with community based organizations, with the leaders of the public housing developments to recruit (i.e. 700 people to apply for jobs in the Yard); offering customized job training: so as there are needs within the Yard for certain skills, being able to build those skills within the local community; integrating into the design of the project job placement metrics;</p>	<p>Offering resources and targeting specific types of enterprises that create jobs.</p>		<p style="text-align: center;">Including/engaging surrounding and/or disenfranchised populations and/or addressing socio-economic needs of the community</p>
<p>Through workforce development, internships, mentorships, trainings offering career advancement within Yard tenant companies (i.e. from the welder to the MIT graduate); work closely with education partners to offer educational programs at elementary and high school levels to fill skills gaps; focus is on candidates and talent rather than just getting a job (i.e. not just about job seeker connecting to a job, it's also about candidates and talent and opportunities);</p>	<p>Offering and creating access to jobs and opening up economic opportunity at each part of the spectrum from really low skilled work to high skilled workers.</p>		
<p>Joint project between partners (i.e. the high schools, the Department of Education, and BNYDC to launch the STEAM center) to support high school juniors and seniors, to learn the types of skills that are needed in the Yard, and employment more generally; thinking about what sectors, what businesses can offer and create opportunities for career advancements; engage with partners and make sure providing information about opportunities to underserved stakeholders, but also then helping to bridge any skills gap that may exist for those stakeholders; create exposure to viable career technical and education pathways;</p>	<p>Project design provides citizens/communities with new skills, training and abilities for better job access for those who need it the most or most qualified.</p>		
<p>Partners having a pulse on what's happening in a particular neighborhood and wanting to increase vitality; partners make sure that they're on the front lines advocating for the things that that a neighborhood needs, for example a new supermarket, or a STEM High school; engaging the disenfranchised for long-term economic development; designing and implementing solutions (i.e. setting up a supermarket) in underserved communities and areas; being inclusive with the surrounding community about distributing benefit; creating economic inclusivity by creating economic activity;</p>	<p>Strategies paying particular attention to questions of social justice, equity, economic vitality of a place</p>		
<p>The development and upgrading infrastructure (i.e. upgrading existing infrastructure for better community access, Building 77 and Building 92) to allow better community access; continuously think about ways to better engage (i.e. finding touch points with) the public and allow participation; opening up the space to the outside community; tapping into every opportunity with partners to get to the people most benefit from the projects; reduce barriers for the existing workforce to access jobs;</p>	<p>Integrating into the design of a project different aspects of community empowerment</p>		
<p>Sharing a collective vision about the place and what it means to be at the Yard; crafted a direction and then working with partners to move toward that vision; clarity about what this network/ecosystem is about and what it means to the partners that are part of the network/ecosystem;</p>	<p>Crafting/Articulating a shared vision among partners based on needs, shared understandings and expectations (as a means to motivate and foster commitment among partners)</p>	<p>Building and/or sharing a collective vision and acting on it</p>	<p style="text-align: center;"><b>D. Building Coherence Processes</b></p>
<p>Increasing understanding of the mission and providing guidance around it; rally around and mobilize together around particular issues that matter to partners; rally around a shared vision and understanding about the opportunities associated with this place; collective efforts are derived from a shared vision;</p>	<p>Rallying around a shared vision among partners and act on it</p>		
<p>Launch of joint partnership-projects implemented with joint inputs from partners (i.e. launch of the Brooklyn STEAM Center and Wegmans supermarket; City Tech refocus of summer internship program on STEAM related activities and engineering degrees); working into each other's' infrastructure to launch joint projects; partners are aligned across divisions that have come together into symbiotic relationships and interests; close connection and baked into each other;</p>	<p>Launching mission-aligned and joint projects that overlap or have touchpoints between different areas or organizations or sharing the same ethos and values</p>	<p>Aligning of (different) organizational mandates/interests into a symbiotic relationship</p>	
<p>Working closely together; requiring partners to do the legwork together; mechanisms in place that if something's going south to course correct, and make sure to get to good outcomes; close coordination of partnerships between partners across multiple levels; engaging stakeholders and donors by communicating in a way that shows the alignment across the various organizations;</p>	<p>Close coordination and engagement between partnering organizations to ensure being on the same page.</p>		
<p>Development of places (i.e. the New Lab, Building 77 or Building 92) to convene and to allow walk in from outside of the Yard to access companies and restaurants and to meet up; spaces to convene, interact and exchange and connect with stakeholders; being on the look-out for add value opportunities for stakeholders through events, gatherings, exhibits (i.e. community programming, exhibits, holiday markets, lunch and learns);</p>	<p>Creating shared places and spaces to convene, interact and exchange through events, gatherings, meetings</p>	<p>Reaching out/communicating/interacting with outside and inside of the network stakeholders</p>	
<p>Being deliberate and intentional getting the message out about the work done through fundraising, community outreach, advocacy, grassroots campaigns; open book and transparent in terms of project updates, and private project data (i.e. being good stewards); clearly articulating and explaining what this place is about and what one can expect from its little ecosystem that helps to support businesses and their goals;</p>	<p>Looking for opportunities to raise awareness and communicate formally about what is being done inside with partners and outside to the public place with partners, and being open and transparent with data and project updates (being good stewards)</p>		

Outreach through email, events, in person visits, regular meetings, lunch and learns, happy hours, training inside the Yard, and also outside of the Yard through public meetings with public housing developments, connecting and meeting with community-based organizations; Regular (formal and informal) meetings, meet-ups organizing regular check-ins and ad hoc meetings based on need; informal and formal meetings with partners; public briefings; monthly meetings;	Doing outreach through regular (formal and informal) meetings, meet-ups, check-ins and phone calls, info sessions for exchanging and learning	Constant cultivating/Steering of ongoing and effective relationships	
Being in constant or very frequent communication and being accessible to partners; discipline of actually maintaining points of contact across the right levels of communication;	Being disciplined about maintaining points of contact.		
Ongoing and regular engagement with partners working on ideas and projects together (i.e. different formal and informal forums like in the workforce community where different partners convene at different times); organizing weekly calls to keep partners on schedule; regularly discussing what works and what does not work;	Organizing regular meetings and submitting reports with partners to stay abreast	Making sense together	
Partners reflect on what has worked and what has not, (i.e. organizing state of unions to discuss problems); Partners having meetings to co-design new solutions together based on needs and engaging in meaningful dialogue; flushing out the problem together, and/or then designing solutions together;	More than just updating on progress, and keeping stakeholders abreast, but actually ongoing engagement, seeking input and working with them on new ideas		
Set-up of tenant advisory groups; set up of committees or steering groups; roles to manage the partnership; set up of committees; getting a (i.e. NYCHA hiring) a zone coordinator to help with a partnership; outreach associates; board;	Establishing shared structures and procedures.		
Deep sense of accountability through annual or quarterly board meetings and constantly asking whether mission is being fulfilled; tracking projects and collect data to help achieve goals (i.e. design metrics and evaluate whether metrics are on track); projects help achieve key numbers and have (rigorous) reporting mechanisms; mutual expectations about delivery;	Tracking progress and evaluating progress - procedures or metrics for evaluating progress, as well as success stories - being disciplined in terms of collecting that data	Being accountable (shared accountability, individual responsibility for the social mission)	
Recognizing organizational roles and how they help the collective or coalition to thrive; collective responsibility; shared responsibility and interdependence because projects overlap between areas and partners; building mutually beneficial relationships to continue creating new opportunities or build on existing ones requires joint efforts; acknowledging the other organizations as key for mutual success; reciprocity;	Partners' respective commitments towards each other to achieve shared outcomes for projects (Ω)		
Getting feedback, ensuring active participation, including others' opinions, diversity of thought when designing projects; making decisions through consulting partners (i.e. community groups, the housing development leader, elected officials and getting input from all of them); having amorphous conversations, talking about general pain points, and then doing brainstorming together; open transmission of ideas and different views;	Getting feedback, getting buy-in, active participation and gauging insights, different opinions from different backgrounds, and involving diverse groups, individuals and organizations.	Generating/Fostering/Integrating different kind of thinking, ideas and solutions	
A new way of doing things and showing step by step results to help convince stakeholders; encouraging to have many conversations about new ideas and new projects but always on mission; support new areas that have not traditionally been thought of as synergistic (i.e. setting up a supermarket inside an industrial complex, supporting the merging between the fields of workforce development and education);	Facilitating the introduction of novel ideas, solutions, procedures, options.		
Capture input and knowledge - for example labor market information - in a way that would make it helpful for partners to do their jobs and sharing it widely with partners; put in place mechanisms that can measure and evaluate progress and measure failure and to then feed the outputs of that into the hands of people who can make decisions differently;	Sharing or dissemination of lessons learnt and/or offering direct advice and support to groups that could benefit from the knowledge/expertise	Capturing/Codifying Knowledge	
Conducting research, collecting and documenting insights, learning and data through focus groups, multiple design days or planning days, (public) consultations, surveys; data analytics (i.e. data, charts, trends analysis);	Conducting research, collecting data and/or building a repository of knowledge		
Creating community assets (i.e. Building 77) as part of an infrastructure upgrade to create ties and bonds between community members; access to extraordinary physical asset (i.e. 300 acres of land on the Brooklyn waterfront); infrastructure upgrades that are capital intensive; upgrading public land, existing real estate upgrading; creating new public spaces;	Deployment, reuse and revival of physical infrastructure as a shared resource.	Leveraging and sharing resources which they otherwise would not be able to access and/or acquire independently	
Co-designing and co-creating solutions together; reimagining, re-shaping, cultivating and enriching their environment with new, useful and innovative ideas and solutions, and reaping shared rewards together( i.e. known as 'gift-gets'); sharing learning experiences (knowledge) to improve each other's' enterprises or operations; increasing shared understanding of needs to draw in partners and deliver on the idea that together partners can create new knowledge and have something (new) to offer; collecting and sharing new collective and interdisciplinary knowledge (i.e. surveying tenants to bring contract manufacturing as a new amenity for Yard tenants in an adjacent building, or shared learning in workforce development)	Partners using and combining resources to pursue opportunities together and/or addressing needs together that can help improve the partnership or improve each other's' enterprises or operations.	E. Building Network Resources	
Accessing the ecosystem - for partners to be close to each other in terms of the social network; using the space to connect organizations inside and outside of the space; building relationships between underserved community and network of professionals; weaving into each other like a web of connections;	Establishing and developing a web of relationships between internal and external stakeholders which can be leveraged for growth and development.		

Looking for opportunities, including conversations, dialogue and actual programming to increase the impact of a project; reflecting on how to increase the performance of stakeholders; scaling outside of the bounds of the initial projects; Looking for ways to expand the footprint and be more meaningful;	Replicating, expanding the footprint or applying the project itself or various processes, methods, components or solutions in different settings and locations	Generalizing the project operation or results beyond the initial context of application	<b>F. Thinking Forward</b>
Partners envision and engage about the future potential of their partnership and project (i.e. thinking about the future of this manufacturing, technology-making, oriented set of industries and how to build long term pipeline of people into those pathways in an equitable way); partners envision future scenarios of more equitable social and economic outcomes of their projects; continuously reframing with partners what the needs are; thinking about how to revamp the space in the future;	Envisioning and/or developing alternative visions and/or engaging stakeholders about current and future needs, expectations.		
Regular and proactive communication of progress with and between stakeholders and partners; fundraising is tied to specific achievements; constantly evaluating whether what partners did before or the decisions taken before, are still valid today and if they need adjustments, or references to open discussions and critical dialogue on project development, or formal methods for reporting, monitoring, metrics;	Reflecting on how a project unfolded and shared learning	Being reflective and aware of what it takes for a project or initiative to succeed	
Recognizing what does and what does not work in the partnership and how to overcome it; partners understand their respective roles and recognizing they can't act to things on their own and need to collaborate (i.e. we are only as strong as our partners); recognizing where the problems are and how to overcome them (i.e. securing more fundraising and capital investment challenges to go from 20k to 30k jobs);	Stakeholders rethinking and recognizing what it takes to overcome barriers for a project or initiative to succeed, to scale and growing impact		
Building effective relationships to share information; it takes a village to build effective and performing relationships; launching successful partnership and projects requires good will, good intentions, and building trust over time; longevity of partners' support and built trust to get projects off the ground; building trust between individuals working on partnerships; building a sense of camaraderie;	Building trusting relationships between stakeholders that facilitates future collaboration and information sharing	Bonding/Linking between partners and building trust	<b>G. Enabling Mechanisms</b>
Partners (i.e. community based organizations and individuals who live around the Yard) are very invested in what the Yard can be and have expectations around what the asset can unlock; desire to collaborate to make partnerships work, or waking up every day because partner is passionate about wanting to solve something, or being committed to manufacture locally, or wanting to hire locally; (long-standing) commitment of partners towards certain partnership-projects that are mission-aligned and/or mission/critical; collective efforts as a source of motivation and fueling to work in stimulating space;	Proactively working with other stakeholders and mutually committed to making this space thrive	Being invested in the network	
Being near the campus; being walking distance from key partners; being in or around the same campus; becoming a close-knit community being are in physical (geographic) proximity and helping each other out; being a member of the community and being accessible (i.e. easy to reach and meet); sharing offices;	Being physically inside or near the same public place facilitates or reinforces collaboration	Proximity	

**Table 9: Data structure case-study 1**

Ω: code was developed with specific feedback received from interviewees.

The Yard currently has 400 tenants. Organizations and tenants that are based inside the Yard and have been considered as instrumental for the Yard's transformation are: the New Lab, the R Lab, the Steam Center, and Steiner Studios, which together account for the majority of entrepreneurs located in the Yard.

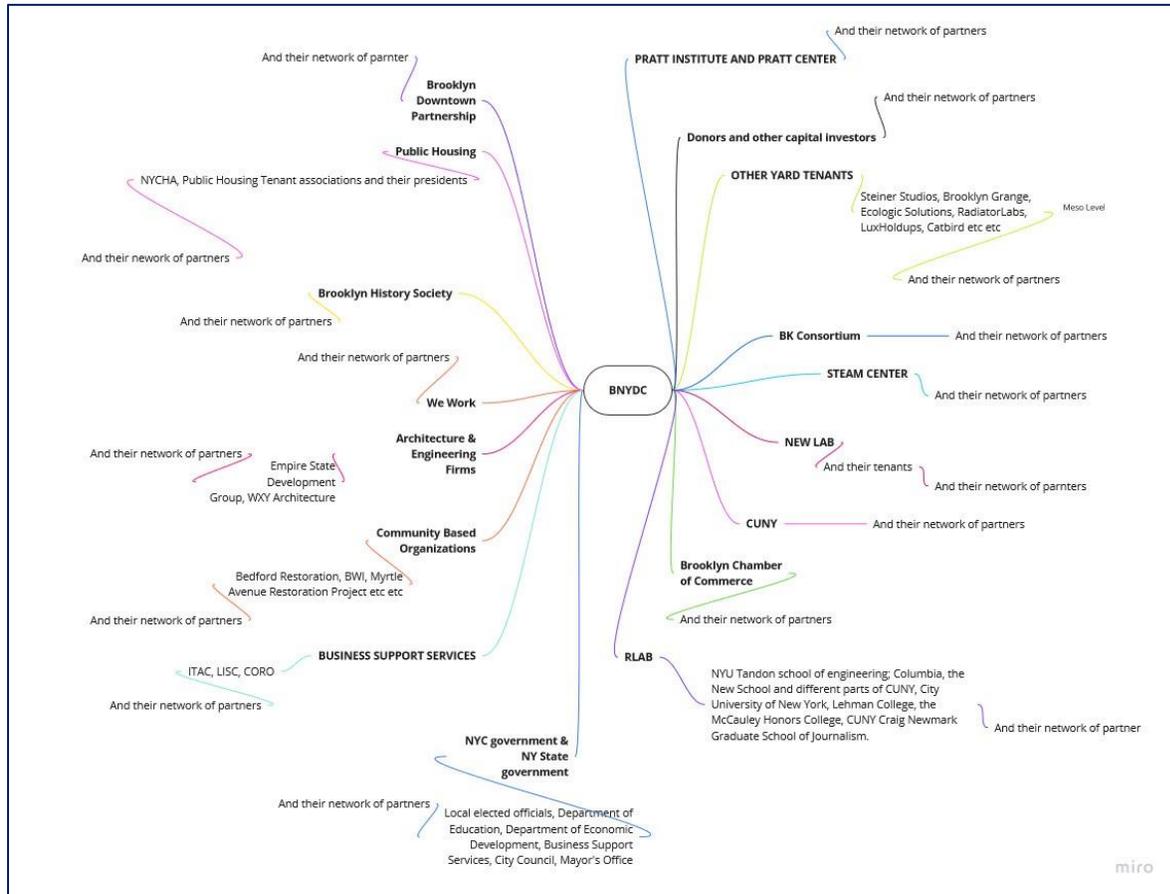


Figure 2: Author's own visualization of the BNY's network<sup>40</sup>

Also, BNYDC has a dual responsibility of generating revenues to cover all of its operating expenses while simultaneously implementing strategies to retain and increase employment<sup>41</sup>. It is this dual responsibility which makes the BNYDC a hybrid non-profit venture, one which pursues social achievements as well as generating revenues to be financially sustainable. With an economic output of nearly two billion dollars annually, the Yard has become an engine for economic development and a catalyst of social mobility for the local workforce. It is also reflective of BNYDC going beyond its role as a landlord collecting rents and simultaneously reflecting on the distribution of benefits from real estate development into various other return on investment metrics in the area, including the number of jobs created and the number of tenants hired locally. The nonprofit status is very important because it has allowed BNYDC over time to secure funding and implement long-term initiatives on “what to do with this space with enough independence to operate consistently over time in pursuit of the mission without being subject to cycles driven by economics and politics.” (BNYDC)

The program avenues through which the Yard manifests its mission have changed over time. These program avenues, or in the words of BNYDC staff “the three buckets or stools of the Yard model”, and pathways, which I am discussing further below, have emerged over the last 15-20 years. These pathways are tied to the wider growth and development of New York City. It illustrates that the Yard cannot be separated from the changing economic, demographic, and social conditions tied to the City of New York. As the City has done better socially and economically, so has the Yard, with shifting priorities about what to do with 300 acres of public land.

Whereas the challenge that Yard leadership faced in the 70s and 80s was “what to do with this space?” (BNYDC) - when simply maintaining the asset was a priority, and those were more strained economic times. Under the 90s leadership, it was connected to the reuse of public assets and real estate development, and attracting a mix of (manufacturing) enterprises, particularly women or minority-owned ones. The current leadership is leading the Yard in a time when New York is doing relatively well, economically and financially, and therefore the priorities have shifted around the sharing of economic prosperity, helping small businesses thrive, grow and be sustainable, and how to prepare and educate the growing workforce for the future. What started in the 1980s as an opportunity to address the growing displacement of small- and medium-sized manufacturing companies in New York, has now evolved into becoming a prominent space for green tech, food and other advanced manufacturing—with 400 companies calling the Yard their home, nearing almost 20,000 jobs.

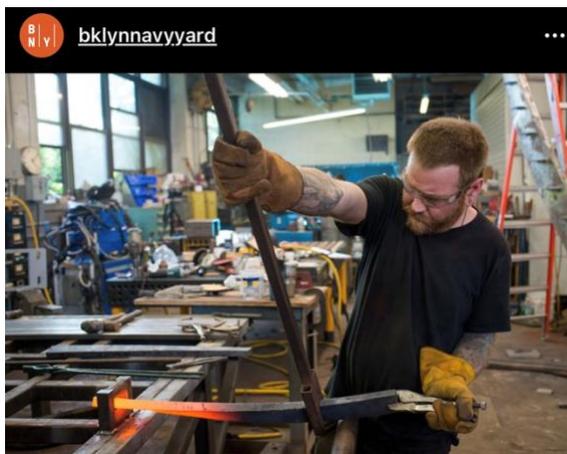


Image 7: Image courtesy of Ferra Design Inc<sup>42</sup>

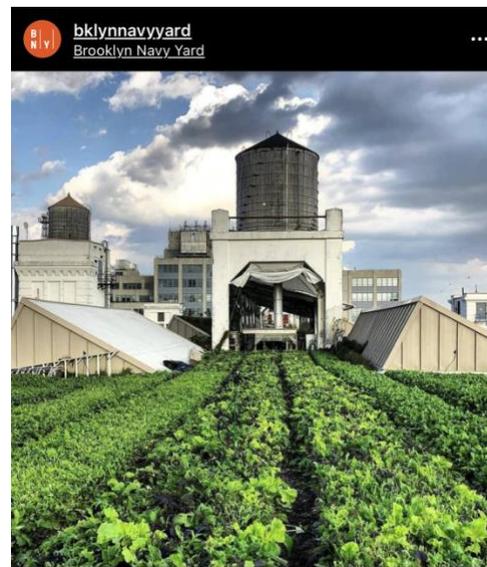


Image 8: Image courtesy of the BNY, the Brooklyn Grange the world's largest rooftop farm<sup>43</sup>

In the interviews, the Brooklyn Navy Yard Development Corporation (BNYDC) has been mentioned as instrumental and anchor across the many relationships and interactions throughout the partnerships. In its capacity as a hybrid mission-driven landlord, BNYDC works closely with a number of key organizations inside

and outside the Yard, to access information and knowledge, and to prospect new ideas, new solutions, leveraging resources, and explore new and innovative ways to develop, test and launch projects that are carefully curated and mission aligned. In this process, BNYDC proactively seeks feedback, receives insight and gauges participation of its partners.

i) **The primary function and first pathway**

The first pathway, through which BNYDC fulfills its mission as a mission-driven nonprofit landlord is within its capacity executing landlord property management and leasing functions. These functions include preserving and building relevant physical infrastructure along with the delivery of concierge services to attract key tenants by offering below market and competitive rents.

Offering manufacturing enterprises, a place to manufacture is particularly important in the many publicly owned lands across the US and beyond that have an industrial past. Many municipalities are looking for socially innovative ways to unlock the potential of such places, and to allow manufacturing enterprises to thrive in urban areas, create jobs, upgrade existing infrastructure. In doing so, municipalities often also aim at helping those left behind with access to training and quality jobs in a hyper-globalized world which increasingly seeks technologically savvy and higher skilled expertise.

BNYDC makes sure that the businesses in the Yard are able to lease below market rents, so that successful businesses can focus on their growth and on becoming employers—instead of being worried about real estate or displacement. When tenants become employers, access to workforce development services ensure that hiring, recruitment and placement are undertaken inclusively; and inclusive economic development creates opportunities for inclusive growth. Throughout the execution of this first pathway, BNYDC makes a deliberate effort to curate and select the type of businesses the Yard seeks to attract to the place over time, which is also part of the gate-keeping functions of the anchor, to ensure the Yard keeps attracting promising entrepreneurs and ventures:

*"We are very deliberate to not focus on, or bet on, one single industry at the Yard. We are not just furniture, we are not just fashion, we are not just Internet of Things. This is a large place, and the diversity in this space is really important. Having said that, we have gotten a clear sense over the years about what types of manufacturing companies are likely going to be successful in NY, which really says a lot more about their product position and their scale, rather than any particular sector. We also find that most of the businesses of the Yard are homegrown talent. They began here as startups or sole proprietorships—and this too is becoming more and more part of our model. The New Lab is a good example of that, where they are running an accelerator or post-accelerator shared workspace. That is a space for very small companies, where there is a supportive environment to help their business grow. And then, we at BNYDC, are here ready for when they step out, and start manufacturing at scale; then they know they can do it at the next building over." - (BNYDC).*

Throughout the Yard tenant selection process, BNYDC focuses on job metrics, career ladders, the type of industry, as well as alignment with the other types of businesses in the Yard, including if they are manufacturing, and have general alignment with the Yard’s mission. The focus is to enable businesses to grow, because it matters for the Yard’s mission to support manufacturing companies that create jobs. It is also important to keep these enterprises to retain talent and ensure job creation in NY in the long term after these startups have reached maturity. The type of tenants located in the Yard is also a testimony to the evolution of the Yard over time, and how BNYDC in particular has been intentional about what type of businesses they want to attract and keep in NY, as part of their competitive advantage. Why is this relevant? Because industrial and manufacturing employment is critical for middle-income residents of NY.

*“New York is great at creating jobs for people with advanced degrees and people who work in offices in TAMI sector [Technology, Advertising, Media and Information] or FIRE sector [Finance, Insurance and Real Estate] in Manhattan. And it's great at creating jobs in the service economy, often for people with no more than high school degrees. But all the quality jobs ‘in the middle’ are becoming fewer and farther between. We spend a lot of time thinking about what sectors, what businesses, what lines of work can help fill that gap. And, where do we see opportunities for folks who maybe have a high school degree or an associate's degree, or some training, or not even a high school degree, to get a job that has real opportunities for career advancement. And the reality is, without being nostalgic for a manufacturing era, those jobs still exist in the manufacturing sector. And we see that in our data, and we see that in the real-life stories that happen here at the Yard. And that's the kind of stuff that's really inspiring, and I think we need to be more intentional about creating those opportunities that are not happening without some kind of intervention from the government or from nonprofits. And the reason for that is that despite the fact that those businesses are successful, and can be successful in New York, they can't be successful if they are competing against a hedge fund for rent (-)” (BNYDC)*

Thirty years ago, there was no need for WeWork, a STEAM Center, a New Lab or an RLab – which are all recent Yard tenants. Thirty years ago, a number of small businesses started to inhabit the Yard because they needed cheap space to work out of and manufacture. The newer and more recent tenants that have moved in the space - including 3D printing or a vertical farming enterprise or RLab - reflect a change in the economy and competitive advantage of NYC and Brooklyn. This is not a division of the ‘old’ versus the ‘new’ economy; in other words, a long-term tenant can embrace innovative manufacturing and newer tenants can be successful craft or traditional manufacturers.

There are tenants in the Yard that have been active members of the Yard business community for over thirty years, “whose operations fall at the intersection of design, manufacturing and technology” (BNYDC), and newer tenants are also mission-aligned and syncing with the type of businesses that BNYDC wants to attract and keep inside the Yard for the long-term.



Image 9: The machine shop building, which would later be transformed into the New Lab<sup>45</sup>



Image 10: The machine shop, courtesy of Wally Gobetz<sup>44</sup>



Image 11: Transforming the machine shop into the New Lab, courtesy of Metrofocus<sup>47</sup>



Image 12: The New Lab, Courtesy of Rich Gilligan<sup>46</sup>

## ii) The secondary function and second pathway

In order to promote the growth and development of a thriving and modern industrial and manufacturing sector, BNYDC also provides - the second function and pathway - business services to support tenant business' growth and development<sup>48</sup>. The BNYDC's Business Support Services (BSS) department organizes fundraising, community programming and has a business support role. BSS organizes key events and exhibits and gatherings, including, among others, AfroPunk<sup>49</sup>, Brooklyn Designs,<sup>50</sup> holiday markets and rotating exhibitions for its tenants. These community programs and events enable BNYDC to reach out and better include and connect with communities outside the Yard, particularly the disenfranchised and underserved local population that live in the surrounding public housing units of Ingersoll, Faragut and Whitman. These types of events and gatherings also play an additional role in making the surrounding and wider public aware of opportunities in the Yard.

**“Business support also has four specific touchpoints with tenants: i) Cohort—a selection-based 12-week business incubation program that helps businesses at the Yard thrive and grow; ii) Concierge—offering tenants relevant amenities and services which enhance and augment the tenants’ experience at the Yard. The focus here is really services that help the businesses scale and grow more quickly. For example, a referral to a lender to help get access to capital for new equipment. Or use of the Employment Center to hire new staff; iii) Collaboration—which is all about fostering the conditions for Yard tenants to work with each other, help each other and share lessons learnt, building and sharing resources and assets for joint projects. And lastly iv) Community—which is about connecting and proactively including the surrounding local community for jobs opportunities, traineeships and internships, as well as offering access to potential jobs to those who most need them.” (BNYDC)**

### iii) The third function and third pathway

The third function - and third pathway - of BNYDC is about workforce development and supports economic activity within the Yard in order to provide inclusive and economic opportunities and access to jobs to the surrounding local community, particularly the disenfranchised and underserved local population that lives in the surrounding public housing units (*please see Image 13 for the location of these public housing units in Brooklyn, NY*). Connecting local residents to economic opportunities of the Yard occurs through two primary workforce development strategies.

First, on-site, through the Albert C. Wiltshire Employment Center (the EC), which provides hiring and staffing support services at no cost for BNY tenants, resulting in over 300 hires annually. The EC focuses on serving Brooklyn residents, particularly (historically) underserved individuals (i.e., under- or unemployed, dislocated and economically disadvantaged, or low-income people) who may need additional support to secure employment<sup>51</sup>.

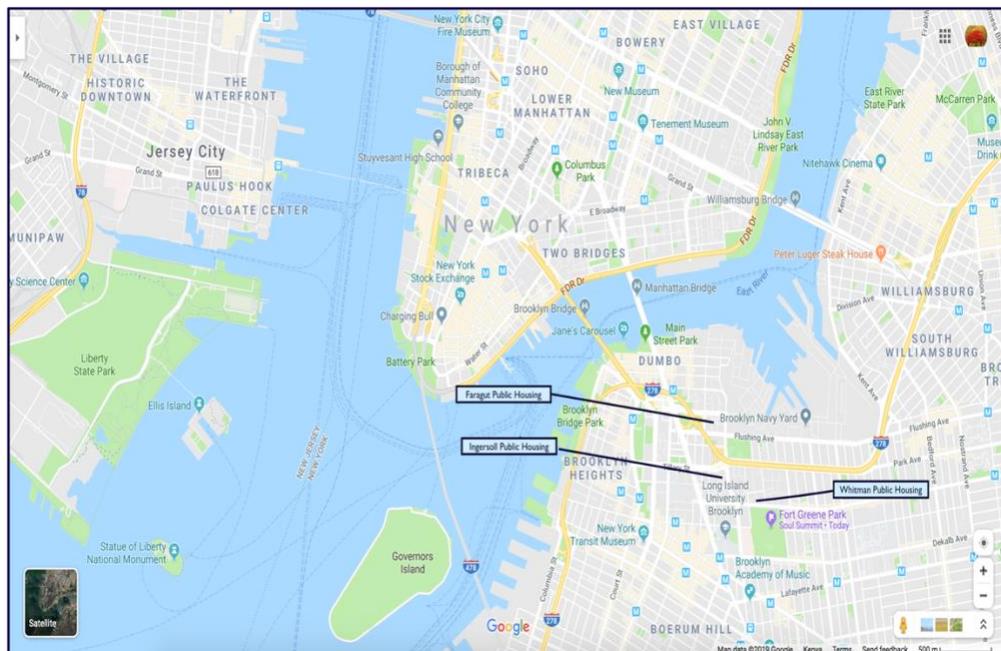


Image 13: location of the public housing units around the BNY, using Google Map<sup>52</sup>

Second, they also catalyze programs and partnerships that provide entry points for community members to pursue middle-income career pathways within the Yard. This includes internship programs for over 150 young people each year in partnership with the City University of New York (CUNY); as well as the Brooklyn STEAM Center, a training hub and high school that will offer training for career pathways into high-demand jobs within the Yard and a larger labor market for 300 high school students each year.<sup>53</sup>

Lastly, BNYDC offers yearly educational programs, including Yard tours, educational local school and afterschool programs, which position the Yard as a social and cultural hub for the community, while also bringing both tenants and neighbors together to celebrate the positive impact of the Yard today<sup>54</sup>.

In executing its functions, BNYDC acts as an intermediary organization positioned between various collaborative organizations, and championing a project, or acting as a neutral platform to convene diverse and at times competing interests to create shared rewards. BNYDC ensures that a broad coalition of organizations whose missions are aligned with the Yard's throughout the key collaborations build connections and synergy between sectors and actors. In particular, also ensuring that together they create a common vision for a thriving environment and space for - in the case of the Yard - new startups, minority or women owned businesses, as well as virtual/augmented reality, green-tech or advanced manufacturing enterprises, to grow, create jobs and stay in NY.

In this capacity BNYDC acts as a leading and driving force organization. In order to be considered such an organization, throughout the interviews references were made to the BNYDC as having distinct roles and functions, offering amenities to tenants, or that it has distinct roles as a nonprofit pursuing a mission and generating revenues (hybrid); and perhaps quite interestingly a leading organization with the intention to become a leader in a community of practice by stewarding, convening different actors and advocating for non-profit industrial transformation across the US and the world with a growing confidence in partner relationship, and setting the vision. Reference was made in particular:

*"[Working] really hard to become more a part of and a leader within the kind of community of practice of other kind of manufacturing nonprofits, whether that be locally or nationally. And that's something we've really given a lot of thought to. Because the reality is when we look around the country, there isn't that much and certainly not at the scale of the Yard, that we can imitate or take a page out of their book. And I think that's because cities all across the United States and around the world are really thinking hard about issues of equity and access to quality job opportunities. But we believe certainly that the kind of place based economic development focused on manufacturing businesses is one really key component of a potential answer. And we're seeing more and more of that in individual buildings or on parcels in cities across the country. People want to do a Brooklyn Navy Yard, or Cincinnati Navy Yard. The extent to which we can be a convener in that arena, we think that could really help to increase the impact of the kind of work we're doing. So, it's an area of growth for us." (BNYDC)*

Equally important were references that were made to advocating for overlap and merging of the fields of education and workforce development, where BNYDC, Yard tenants and partners have been instrumental and leading the synergy and vision in these two fields.

### (B) Iterating, Experimenting and Learning by doing through joint projects

Throughout the Yard’s evolution, a number of key collaborative initiatives have been launched that are mission-aligned as well as critical to BNYDC’s mission. Examples of these are key collaborations that have given rise to key tenants, such as the STEAM Center or Wegmans Supermarket. These two major infrastructure initiatives have required long-term capital investments, careful planning, design and iteration, and collaboration between multiple organizations.

Both projects are also vital in the sense of achieving the Yard’s overall mission of attracting key tenant enterprises and creating jobs; both initiatives also demonstrate how Yard partners identify, iterate and experiment continuously, evolving together through joint projects that add value.

The STEAM Center is a high school physically located inside the Yard at Building 77, with a specific focus on career technical and education pathways. Students split days between academic high school and one of the five pathways (computer science, culinary, construction technology, film and media, design and engineering<sup>55</sup>) that the STEAM center provides. Three hundred students from eight high schools from the surrounding community have access to this program “purposeful about investment in job readiness training and preparation opportunities for folks in the advanced manufacturing space.” (STEAM Center)

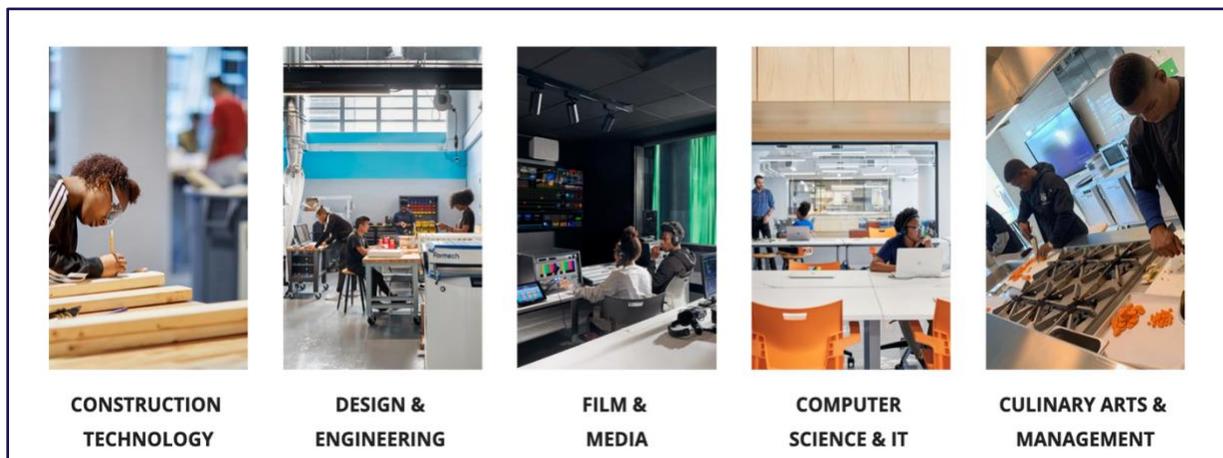


Image 14: Courses offered by the Brooklyn STEAM Center, courtesy of the Brooklyn STEAM Center<sup>56</sup>

The program itself emerged out of an informal conversation between the Executive Director and the Chief Administrative Officer of the Yard with one of their board members, on how to take workforce development and CTE education in New York to the next level just for 11th and 12th graders. Thanks to BNYDC’s knowledge of job trends and deep understanding of the types of skills required by enterprises within the Yard, BNYDC was able to push and articulate an industry ecosystem-wide vision about actually locating a high school within

the Yard’s premises, securing the appropriate funding as well as key partnerships inside and outside the Yard, including NY’s Department of Education, to making this project a reality.

BNYDC helped design the infrastructure for the building and the equipment needed for the space, as well as providing input on the curriculum, and training of STEAM Center staff. BNYDC has also been helpful in connecting STEAM Center teachers to externships to go and gain exposure to Yard enterprises and their work. They also host interns through their collaboration with CUNY. The STEAM program has been co-designed with BNYDC with the help, input and insight of Yard tenants, and, therefore, with a “clear intention to design a program that helps address and match the needs of employers and students learning skills.” (STEAM Center)

The STEAM Center is an illustration also of the commitment of BNYDC as a non-profit mission landlord to be invested and nested in this place with partners, using upgrading of infrastructure (physical assets) mixed with key socio-economic and educational programming to open this place to the wider surrounding community; as well as the flexibility to try new things and evolve through new projects that make sense for the Yard’s growth and development. This extends beyond upgrading infrastructure, it is also deliberately identifying and exploring meaningful projects that feed into the overall mission of the Yard.

*“[T]he ability to evolve as we go [forward] is really important for us. And I think the same thing has happened with our educational partnership in terms of who we were able to work with and how we were able to change our programming based on partner iteration and based on business demand, so that we can meet the needs to change.” (BNYDC)*

Wegmans Supermarket is another example, and the illustration of a bottom-up initiative where inside the Yard and outside the Yard partners (e.g., Wegmans, the Employment Center, Brooklyn Workforce Initiative, STEAM Center, New York Department of Economic Development, public housing tenant associations and others) were consulted and gauged for input. There has been a demand for a premium supermarket for some time within the Yard. Not only because the tenants have wanted access to a quality grocery, but also because the area around the Yard is what is considered a ‘food desert’: public housing residents don’t have access to a quality grocery store. The launch of Wegmans will, in addition to upgrading infrastructure, offer close to 1200 jobs (including indirect jobs) to potential public housing residents, making it an initiative that is socially and economically inclusive.

*“My team [from Brooklyn Workforce Innovations] was part of the effort, led by the Brooklyn Navy Yard, to give priority access to local residents to apply for those jobs. That was a very big project, where everyone was working towards a single objective.” – (BWI)*

Furthermore, both projects are more outward and public facing initiatives of the Yard, which will give the surrounding public housing tenants and the wider public access into the Yard premises. Most importantly, both initiatives illustrate how partners pay particular attention to social justice, equity and economic vitality

considerations. Partners are investing in infrastructure and planting a high school or supermarket in a particular neighborhood of Brooklyn with major social and economic disparity and a disenfranchised population. Both initiatives reflect a deeper understanding and having a pulse on what is happening in a particular neighborhood and wanting to increase vitality and development, and making sure that partners are on the frontline of advocating for things that the neighborhood needs and demands.

At the opposite end, are smaller and episodic initiatives or projects that bubble up bottom-up, which are mission-aligned but not necessarily mission-critical. For example, the New Lab's pilot mentorship program with the STEAM Center, or developing a dedicated contract manufacturing space within the Yard; or events such as Brooklyn Designs, organized by BSS. These types of projects add incremental value for tenants, which ultimately impact the experience of tenants and add to conditions for tenants to thrive. These smaller, episodic collaborations do however align with key BNYDC pathways, which ultimately feeds into the overall mission of the Yard.

In most cases, BNYDC launches a survey to assess the need or demand for a potential project or service offering, for example whether to upgrade and reuse one of the buildings within the Yard as a dedicated space for contract manufacturing. Depending on what the findings are, potential partners are identified. Throughout the exploration process, the Yard tends to work with existing stakeholders and look for key areas of overlap, which also helps with building trust and goal alignment when designing and piloting a joint project.

Partners continuously iterate and learn from each other, and explore leveraging touchpoints to create value. Throughout the interviews, a number of key themes were highlighted and mentioned by interviewees. First, partners throughout their continuous interactions proactively explore 'low-hanging fruits' for 'win-win' opportunities to collaborate, allocate their resources and tap into their strengths and add expertise to respond to a real need and demand for a project or service offering; iterating projects at a small scale before expanding them.

*"[We] try things, and see how they go, and decide where to grow it from there, rather than trying to form the perfect partnership or perfect project, and then implement it" (BNYDC).*

The Pratt Institute among others mentioned how over time the Institute has created a niche and core competencies around storytelling, graphic and digital communication, branding and logo development - expertise which can help current and future Yard tenants. As the prospect of the Pratt Institute becoming a Yard tenant is expected, their expertise aligns and there is synergy between other complementary expertise which other Yard partners are offering or providing to tenants. In providing amenities to Yard tenants, partners

experiment and learn together and engage each other in areas that are not core capabilities, as the partnerships evolve.

Partners also engage through constant cultivation and steering of relationships, “[A]lways willing to have conversations, even if it is something we can’t identify right away about a fruitful partnership or relationship” (BNYDC); and being disciplined about maintaining these points of contacts inside and outside the Yard (i.e., informal and formal meetings, regular advisory meetings, ad hoc encounters, random encounters or phone calls) to channel information and knowledge back and forth. This allows partners to navigate the space, to prospect ideas, solutions and perspectives, as well as to stay abreast of new developments.

***“We have these quarterly Advisory Council meetings. And that’s how we can reconvene all our key partners to provide updates and to hold ourselves and each other accountable to our commitments, and to show the progress that we’re making towards the goals that we’ve set for both ourselves and our work.” (STEAM Center).***

Such joint collaborations also make the Yard a test bed for prototyping new ideas and solutions (i.e., new events for tenants, new job training solutions, new technologies) and offers the flexibility to try to and evolve through these joint initiatives. It reflects an openness and commitment to top-down or bottom-up initiatives that add value, feed into the critical functions of BNYDC, and ultimately achieve the Yard’s mission.

***“An example of that is that we are working closely with BNYDC and to figure out with the Brooklyn Borough president, who would like to see a specific program around urban agriculture thrive here at New Lab. There are some funds for that for it to work, and it’s got to travel through the Navy Yard and then manifest at New Lab.” (The New Lab).***

### (C) Mainstreaming Inclusiveness

The Albert C. Wiltshire Employment Center (EC) which was launched in 1999 makes sure that BNYDC stays relevant and responds to the talent and needs of businesses. The EC focuses on helping Yard employers build a local workforce and strongly encourages jobseekers from within the surrounding community to apply for jobs within the Yard. They also work closely with veterans, individuals who have previously been incarcerated, and those who have been long-term unemployed to find employment. The EC also partners closely with New York City Housing Authority (NYCHA) to make job opportunities available to residents<sup>57</sup>.

Partnering closely with employers, the EC's support varies from filling single job openings to working with employers to develop larger pipelines when they are undergoing major growth<sup>58</sup>. In some cases, the EC also works with employers to craft pre- and on-the-job training programs for incoming applicants and employees<sup>59</sup>. After identifying open job opportunities, the EC team identifies, screens, and places qualified jobseekers in these open roles.

Since 1999, the EC has worked to fill more than 300 open jobs annually, with over 85 percent of those placements occurring in the Yard and over 35 percent from residents living in the public housing units of its immediate surroundings. Additionally, the EC offers internship programs for college-bound and college-attending students in close partnership with the City University of New York (CUNY). This provides students with the first step in launching their career at the Yard, and offers additional capacity to employer partners.<sup>60</sup>

In 2011, the EC expanded its operations and moved to Building 92. Built in 1858, Building 92 was originally the Marine Commandant's residence. This fully-restored, LEED Platinum-certified building is the Yard's exhibition, employment and visitor center. By providing access to exhibits, public tours, educational programs, archival resources, and workforce development services, this outward-facing building also reinforces the Yard's unique bonds with the community<sup>61</sup> and encourages the surrounding community to visit the Yard.



Image 15: Outside picture of a Yard Building, courtesy of Anne Seymour<sup>63</sup>



Image 16: The Yard museum, courtesy of L Magazine<sup>62</sup>

Parallel to offering vetting, recruitment and placement services, the EC has built a growing database and repository of knowledge which has informed their thinking about trends, expectations and needs for future skills or training required in the development of the Yard's workforce. The adoption of this private-sector aligned vetting, recruitment and placement services for Yard tenants...

*"...[h]as required us to strengthen our partnerships with both training and educational partners to make sure we meet those demands, and to make sure that this 300-acre 'gorilla' in Brooklyn does not escalate or accelerate gentrification, but would also allow the folks that have been part of this neighborhood for generations to be part of the development." (BNYDC).*

Whereas twenty odd years ago the priority of the Employment Center was to offer jobs to those most in need and in particular to residents from the surrounding public housing units, the type of enterprises in the Yard are increasingly demanding a more qualified and skilled workforce. The EC has therefore shifted its strategy and is becoming more agnostic towards opening up economic opportunity at each part of the spectrum, from low-skilled to highly-skilled work, and therefore focusing on candidates and talent pools. The EC is quite cognizant of this transition, and in order to stay abreast has cast a wider net, expanding beyond the immediate surrounding community to keep attracting the right talent into the Yard.

This transition does not come without its set of challenges. In order to keep building middle-income jobs in NY, the EC works closely with key partners to ensure that inclusivity keeps running all throughout the service and employment pathways offered. This means priority is given first to residents of the surrounding housing project, and/or to those who are qualified and most in need of these connections. To illustrate this deeper understanding and commitment, the EC has launched a partnership with an organization that works with qualified migrant engineers<sup>64</sup>.

*"[W]e are partnering with an immigrant engineering program that helps immigrant engineers learn the skills that are really employable here. So maybe they're not all hyper local or but it is still our mission to make sure this opportunity becomes accessible to someone who may not otherwise have known about it. So that has been really helpful because they're extremely talented and brilliant people and I would much rather have you live in Queens and get this opportunity than drive an Uber. In their native country, this person is a Mechatronics Engineer. And [Yard businesses] needs those skills. And oftentimes our partners don't even know that these opportunities exist, so we make those connections. And it does require a lot of time scouting and figuring out who is out there doing it." (BNYDC)*

Partners on an ongoing basis keep reflecting, rethinking and recognizing what it takes to overcome barriers for an initiative to succeed and to stay abreast of developments. They organize regular meetings (i.e., 'state of the unions'), they keep each other abreast of changes and trends, and progress of the project, as well as examining the problems together and designing solutions together. In the words of the STEAM Center:

*"[W]e have untethered access to employers and we're convening them on such a regular basis that we are able to respond to their needs as quickly and easily as possible. So, when you have an employer pushing to ensure that the students have the right skills, to me, that's game changing." And a bit further in the interview, "So here, we were able to get those key insights we're hearing from the business owners themselves, 'This is what I want in an entry level employee. These are the technical skills that I need, or this is the type of equipment I need them trained on; this is the way in which I look at and screen resumes'. And they're committing, and they're volunteering to come in and provide that type of hands on support, one-on-one individualized support, with our students. This is something we've never gotten anywhere else." (STEAM Center)*

And particularly throughout these collaborations, the EC stewards these important conversations. For example, they use their knowledge database where they are tracking job trends, which has enabled them to inform partners of gaps between supply and demand, and how to find better solutions matching supply and demand.

The surrounding community is continuously engaged and informed of the type of jobs that are being created. They do not want to be left out. The EC plays a good stewardship role, proactively and regularly engaging and communicating about progress, and being open and transparent with updates on job openings, sharing data with the outside community, and being empathetic to their needs.

Inclusiveness has two key dimensions in the Yard: 1) increasing the capacity of the workforce through localized economy strategies; and 2) including/engaging surrounding and/or disenfranchised populations and/or considering socio-economic needs of the community in the design of projects. The two key angles of

inclusiveness were demonstrated, in particular, throughout the conversations with key Yard partners, including Brooklyn Workforce Innovations (BWI), CUNY, the STEAM Center, and RLab, as well as other Yard tenants, who among others all expressed a deep commitment to hiring locally and working closely with the EC.

Key workforce development partners have specific job placement metrics that need to be achieved, and they keep identifying new experiments and potential projects that pool resources and can add value for the local Yard tenants and surrounding population. Among others, partners mentioned, offering affordable manufacturing or startup space, recruitment and placement services, as well as proactively looking for companies that want to hire locally. And also, offering customized job training: as there are needs within the Yard for certain skills, being able to build those skills within the local community.

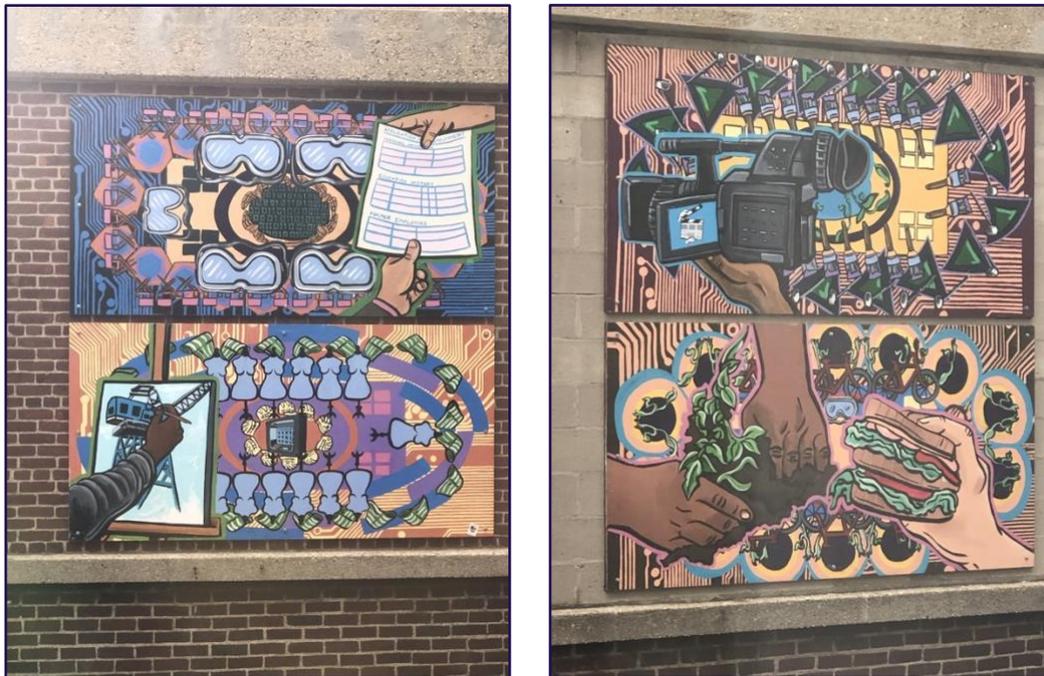


Image 17: Pictures taken by author - the Yard's main industries, manufacturing, tech, media, fashion/design and food enterprises<sup>65</sup>

BWI is one of the most important local training partner-organizations working with the EC, and complements the EC job placement efforts for mainly low-skilled/low-income workers. They are also physically located within Building 92, which houses the EC. BWI provides the required training to those who most need it, and helps those employers inside and outside the Yard to hire locally, particularly NYCHA residents and those from low-income communities.

*"[O]ne of the most successful examples of [working together with partners] was a couple of years ago; there was a modular construction company which was working and building on a rather big project in Downtown Brooklyn. And they were getting some bad press and pushback from the community, and so they committed themselves to local hiring and hiring NYCHA residents and folks from low income communities. So, they worked closely with us, and down to working really closely with the Yard. So, [the EC] did a lot of the direct placement for folks who were already job ready. And we filled in the training component. And we ran a six-week training for folks on all aspects of modular construction, such as electrical, carpentry, plumbing, a lot of soft skills and job readiness." (BWI)*



Image 18: Job Training, courtesy of BWI, Job Training<sup>66</sup>

Offering (customized) training is BWI's niche, and they are cognizant and reflective of the growing need and requirements for higher skilled professionals. "However, as the Yard grows then the number of blue-collar jobs is growing, those are the opportunities we would look for" (BWI), and areas where they can continue to add value through their resources and expertise.

Another clear example of how inclusiveness is ensured by Yard tenants collaborating with the EC and outside partners, is the Mechatronics competition that is held each year in the New Lab with CUNY engineering students. This competition allows CUNY students to showcase their talent and receive industry feedback from New Lab based enterprises. The CUNY internship program, which is one of the EC's most successful initiatives, offers CUNY students 150 internships with Yard-based enterprises. Such internships, mentorship and other training offer career advancement within Yard tenant companies and create exposure to career pathways, connecting candidates and talent to future job opportunities. This internship program also serves as a clear example also of Yard tenants, CUNY and the EC aligning their mandates and needs for each other. In the words of a CUNY staff member:

*"CUNY Students need the opportunity to intern and gain entrance into the Yard industry. The businesses at the Yard need their creativity and talent." (CUNY)*

In a similar vein, the RLab mentioned how they have set up a workforce development program, “essentially an intern fellow program with McCauley Honors College” that has a touchpoint with the workforce development objectives in the Yard. This demonstrated particularly how partners look for ways to relate their programs that are mission-aligned with each other, overlap, and also mainstream inclusiveness through project design that provides opportunities to develop skills and training for a more qualified workforce. And a little further in the interview.

*“We will over time build a variety of educational programs that will also create workforce training opportunities. We've got our first masterclass focused on the motion capture coming up in April. And then we've got various other programs that will operate that will kick off in the summer and fall.” (RLab)*

Other illustrations of inclusiveness were also mentioned. The first was offered around the process of engaging and grassroots mobilizing the leaders of the public housing tenant association around the job openings linked to Wegmans’ arrival in the Yard. The EC has partnered with local community organizations, including the tenant associations, to sensitize and spread as much awareness as possible around the job openings in the public housing units and their underserved population. One of the leaders of the tenant association campaigned extensively, literally knocking on 300 doors in her public housing unit to raise awareness about the prospect of potential job opportunities. Partners pay particular attention to the economic vitality of the place, and have a pulse on what the needs are in particularly underserved neighborhoods, and want to make sure that they are on the front lines advocating for the things that the neighborhood needs.

Second, I particularly noticed the positive impressions throughout formal conversations with Yard tenants and informal conversations with public housing residents about the EC. I spoke under an informal basis with public housing residents from Farragut and Ingersoll, and the feedback about the EC, getting and referring jobs has been overall quite positive (please see Annex 3). In fact, among key strategies of Yard partners has been an actual upgrade of Building 92 and Building 77 to better allow the wider community from the outside to access the Yard and enable their participation in Yard events, gatherings, training to get to the people to most benefit from the increased access.<sup>67</sup>

#### **(D) Building Coherence**

The illustrations in the previous section show that the Yard works through and with a number of key repeating stakeholder organizations. The Yard also has a vast pool of initiatives running at the same time across sectors, partners and different levels.

Throughout the interviews, a number of key collective processes were identified, which demonstrates that building a broad coalition of organizations and building together requires alignment, making sense together,

having a collective vision, as well as constant and disciplined outreach and engagement with partners inside and outside the Yard; gauging their input and their active participation for different kind of thinking, ideas and solutions, sharing learnings and knowledge, and ultimately - equally important - staying and being accountable.

An anchor organization such as the BNYDC plays an instrumental role as a mission driven landlord. They steward key relationships, they are gate-keepers, the conveners, as well as playing a key role in crafting and shaping a shared vision across the ecosystem of partners. They have been critical in shaping and rallying partners around a shared vision based on needs, shared understanding and expectations; and ensuring close coordination and engagement between partnering organizations to ensure being on the same page.

In order to illustrate the depth and range of organizations that need to be engaged and involved in a coherent manner, the current efforts of the New Lab with the BNYDC to identify what type of urban agriculture project could be established within the Yard, can serve as an example. The New Lab and related tenants have been working closely with BNYDC, with the Brooklyn Borough President's office, the Mayor's office, City Hall, the NY Department of Economic Development Corporation (NYEDC), as well as other quasi-governmental groups like the Downtown Brooklyn Partnerships (essentially business improvement districts advocating for those types of services or amenities that a neighborhood needs), investors and the local neighborhood. This project also reiterates the openness and willingness to identify, explore, and experiment with pilot projects that can create shared rewards and value, as well as achieving the Yard's mission.

This requires coordination between different entities, and in particular close coordination between the key stake-holding entities. It is necessary to monitor the needs, expectations and priorities of each group on an ongoing basis, to ensure all relevant stakeholders are aligned and can create a set of "symbiotic relationships between interests" (the New Lab). The most effective way to do this is by being a neutral platform, a "sandbox or place to bring these different entities together." (New Lab)

As the BNY evolves a key tenant, such as the New Lab, and a BNYDC partner, increasingly have played the role of the intermediary and taken on certain roles associated with being a leading and anchor organization. Different organizations lean on the New Lab to balance and reconcile short-term and long-term strategies. The New Lab acts as a mediator balancing the startup world in need of speed, flexibility, experimentation and quick proofs, with the other world that favors stable growth, stability and being risk-averse.

*"If startups can test and succeed at the BNY-scale, they can get traction, which is what they need to scale and reach a more city-wide impact, and in order to attract more funding and explore exit strategies. So New Lab provides support for this kind of flexible experimentation while providing a stable home-base for companies over time." (New Lab).*

The role played by the New Lab offering a neutral sandbox for different interests and partners to come together, or to convene different stakeholders to launch overlapping projects, is particularly relevant as many partners have big bureaucracies, different funding cycles and financial or donor funding constraints, and also different appetites for taking risk. A starring tenant like the New Lab becomes a conduit for different relationships, and helps with the development of the Yard and the place.

A tenant like the New Lab (and potentially in the future also the RLab and the STEAM Center) has been vital in the collective enterprising process. They are at the forefront of reaching out, seeking input, communicating, exchanging and interacting with outside and inside stakeholders in close coordination with BNYDC; and acting as conveners through events and gatherings. This role was particularly also mentioned by the STEAM Center and the role they see for themselves:

*"It's definitely convening with the purpose of articulation, vision, and values and shared expectations and insights. And yes, now that we have a physical space, we want to be the source, we want to be the place that people come to." (STEAM Center)*

Both tenants have piloted and stewarded projects with other partners and are closely aligning with the Yard's mission. Equally important, they have captured important knowledge, by conducting research, collecting data, or building a repository of knowledge and then sharing or disseminating lessons learned.

In this respect also, the 2018 Circular City initiative can serve as another example. This is a New Lab program launched with NYEDC, bringing together entrepreneurs, city leaders, corporate partners, and university innovators to tackle urban challenges. The program has accelerated the development, deployment and partnerships necessary to transform the way emerging technology positively impacts life in cities.<sup>68</sup> The Circular City facilitated pilots from a curated cohort of New Lab startups, including Numina, CARMERA and Citiesense. They also developed a repository of knowledge and collected insight on the fast-growing neighborhood of Downtown Brooklyn, becoming the focal point, offering advice and support for new applied research from Columbia University, Cornell Tech, NYU's GovLab and ARCx<sup>69</sup>. Through this initiative, partners have also codified, internalized and/or shared knowledge among each other, in the form of databases, guidelines and virtual platforms. Most noteworthy are the Zero Waste Design Guidelines and their interactive Waste calculator<sup>70</sup>, which are tools for those responsible for planning, constructing and managing buildings, streets and neighborhoods. And, educating stakeholders about the role of design in managing waste materials and recognizing waste as a design flaw<sup>71</sup>.

The STEAM Center, which is a Yard-tenant and one of the most important projects launched in the Yard, and also serves as an illustration of the importance of aligning (different) organizational mandates/interests into a symbiotic relationship by launching a project that overlaps or has clear touch points between different areas,

“requiring reimagining and merging of two distinct fields - in this case, education and workforce - which traditionally have not been connected in New York or in the US in general.” (Pratt Center)

The launch of the STEAM Center has required a major mobilization of partners within and outside the Yard, proactively engaging them in the design of programs, gauging feedback and ideas to improve the offering. With respect to the STEAM Center, even the curriculum has been co-designed by the tenants, by establishing a structure through a tenant advisory council where executives or (co-)founders of Yard enterprises, through regular formal and informal meetings, are updated on the progress of the STEAM Center. They have also been involved in the design of solutions together - and direct feedback and input is (currently) being offered by STEAM Center students to improve the curriculum. This is how partners have made sense together of their needs, challenges and aspirations, and increased collective learning.



Image 19: Instructor Mitchell Almonte working with students during a Construction Tech class<sup>72</sup>

Another illustration of how partners have made sense together and increased collective learning is the development of the Yard’s new master plan, which was a broadly inclusive process wherein diverse parties were consulted internally, including key tenant stakeholders, the broader tenant community, the tenant design community and elected local officials; even running a design charrette with the surrounding public housing community outside the Yard. In the interviews, partners mentioned the importance of getting feedback, buy-in and active participation of diverse organizations to gauge insights and opinions. This demonstrates that diverse partners engage in meaningful dialogues and meet to co-design new solutions together based on needs and opportunities.

This broad, inclusive process has also facilitated brainstorming around areas of alignment, and introducing new ideas for new projects or service offerings to accomplish shared goals. Brooklyn Design, for example, has been a community outreach event launched by BNYDC for the first time in 2019. This exhibit has included everything from design to manufacturing and technology. BNYDC, Yard tenants showcasing, the Chamber of Commerce and a PR firm all worked together for this event for the first time, to give the surrounding community and wider NY public access to the Yard, as well as offering an opportunity to tenants to participate and showcase their quality works.

Throughout this process, BNYDC had regular weekly and check-in calls with partner organizations to keep them on schedule, ensuring that all “are doing the heavy lifting of getting this off the ground” (BNYDC); as well as regularly tracking and updating key officials about the progress of events and upcoming projects. Throughout the interviews, interviewees repeatedly spoke about ensuring their respective commitments towards each other, recognizing their organizational roles for the partnerships to succeed; and the importance of staying accountable throughout the formal and informal engagements and collaborations with various partners.

*“[Partners have] shared accountability but individual responsibility. We all share the accountability of making this thing great. And figuring it out. (-) We're only as strong as our partners. Without a doubt, there's no question that this has to be a collective effort, and that we get increasingly better at, and do better than most.” (BNYDC)*

Partners set internal organizational goals and develop metrics to achieve and to evaluate progress. A big part of any social and economic development program has been about tracking job metrics, which is on the key partner’s mind constantly. In the words of RLab:

*“[W]e intend to build a sizable operation here over the years, spawn multiple startup companies, and then generally kind of train the workforce and create lots of opportunities. So, we have some specific goals around job creation. The mayor would like to see us create as many as 500 jobs out of this project. And I think that's very doable. They won't ever be 500 people working in these 16,000 square feet [space]. That's not the idea, but the number of companies that will help to create jobs and the number of companies that will set-up for various purposes, ultimately will definitely reach that goal.” (RLab)*

In addition, partners proactively update each other on an ad hoc and more informal basis, and engage in constant communication with each other, which has been a key part of being good stewards creating excellence and maintaining engagement between partners.

*“For government and community affairs, it's formal; we do quarterly briefings for elected officials, and we really do push the elected officials themselves to attend wherever possible. We actually had one just last week where we gave them a tour of the high school. And then we talked about some other upcoming projects that we're working on. So, from the government, community affairs side, it's very formal and intentional, we keep it on a schedule. (-) We have pretty rigorous reporting mechanisms [with our donor, Robin Hood], here's how we use the money; everything from the curriculum, to hiring staff. (-) From our team's perspective [this is] how we are kept on the hook; and even just our community briefings that we're doing with elected officials [where we ask ourselves] are we continuing to work toward the mission of broader economic development, workforce development, getting the*

*local community jobs wherever possible. And, I think that that's how they keep us on the hook. And, in particular, I think we keep our partners on the hook mostly in the sense of continually having an offer (-), and in the sense that we are proactive and transparent in terms of the information that we offer when there's a point of engagement through a program or through some other initiative." (BNYDC)*

The more informal and ad hoc regular updating and communication has created an opportunity for partners to make sense together, including, for example, the establishing of new roles to manage partnerships, such setting up committees, steering groups to help manage the partnership projects and staying abreast.

BWI, for example, mentioned the importance of NYCHA hiring a zone coordinator for that part of Brooklyn, who has made the collaboration across partners easier. The zone coordinator has worked with resident leaders and key stakeholders such as BWI and the EC, local service providers and local NYCHA offices to connect public housing residents to high quality services, including connecting to jobs and job training, adult education, financial empowerment, and business development services close to home. Equally important in the process to make sense together, is when the EC, for example, have used jobs data and job trend analysis to convene formal or informal meetings with training partners; on the employability of certain skills in the Yard, and trying to better match demand and supply of certain skills and job referrals.

Perhaps most noteworthy and serving as a shared understanding in relation to building and/or sharing a collective vision and acting on it, was a shared sense of collective among the interviewees, including the organizations and Yard tenants. The interviewees clearly identified themselves as a member of the Yard community. It was a given, and they continuously mentioned "being a member of the local community" (New Lab, STEAM Center); or when referring to the BNYDC investing in how the members of the Yard community connect with each other, as "being members of the Yard community" (Yard tenant). This sense of community or belonging to the space appears to be both in terms of the landlord-tenant relationships, and also across tenant-tenant relationships.

When I asked one of the most important Yard tenants and a key Yard partner, the New Lab, what this sense of community or being a member of the Yard meant, the response was:

*"By becoming a member in this larger community, you can certainly tap into connections, such as to City agencies, to venture capitalists, to leading corporations, to universities. It is really on our team to coalesce a series of people and organizations that are going to help [these entrepreneurs] to scale, and to explore opportunities of being here at the Yard. There are a couple of advantages [being here] - once again there is the test-best quality of the campus here; and then also in NY the real estate deals can be quite difficult for a startup, and you might emerge from an incubator and accelerator program, ready to strike out on your own; and you go to lease a building and then you get "great, can I get access to your last 10 years of past leases?", and "can you sign this 5-year lease?" And all these things are not really tenable for a growth-stage startup. The access to below-market rate space and the sense of community is tremendously valuable. As [New Lab] companies scale out of this building, and really need to expand beyond the footprint here, the fact that they can go into other buildings in the Yard, keeps that sense of community quite lively." And a little further in the interview: "Community is hard to define. But again, when I talk to members here a lot of them express the fact that being an entrepreneur is pretty daunting, and that it can be a pretty lonely path. You are trying things that*

*are untested, unproven. You are building out your product, you are figuring out your services and at the same time trying to fundraise; trying to expand your team; trying to define your place in the world, and the competitive landscape and all the rest of it! So, doing that alongside a community of like-minded people who are up against some of the same challenges, breathes a sense of camaraderie.” (NewLab)*

### (E) Building network resources

One of the most striking features which has emerged throughout the interviews in the Yard is the mentioning of collective resources, or shared resources that have emerged throughout the many top-down and bottom-up collaborative initiatives. I will discuss the key resources, that were mentioned throughout the interviews.

#### i) Physical Resources

The most important use of resources has been the deployment, reuse and revival of the 300 acres of public land - the physical infrastructure and the public facilities located in this place - by partners within and outside the Yard. Leveraging the infrastructure and facilities as a shared resource has included deploying public facing facilities, like the ground floor of Building 77, where food manufacturers have their retail space; or Building 92, where the EC and the Yard community programs have been hosted for the wider public, to improve connectivity and accessibility between the surrounding community and those inside the Yard. Upgrading existing or even building new infrastructure and the delivery of key services for better community access, or opening up the space to the outside community (e.g., through community events, Wegmans or WeWork), have served as examples of key strategies to integrate community empowerment into the design of a project. It furthers being inclusive of the surrounding community, “lowering the walls of the Yard” (BNYDC), and reinforcing the ties with and the commitment to the surrounding community and wider NY City.



Image 20: Courtesy BNYDC, New Building Location, from Brooklyn Navy Yard Development Corporation<sup>73</sup>



Image 21: Courtesy of Optimus, the newly built WeWork map building<sup>74</sup>

Leveraging infrastructure has facilitated actions and interactions between organizations and firms inside the Yard. The number of community building events and gatherings that have been organized and launched by BNYDC business support services use the Yard as a platform to increase connectivity and collaboration between Yard tenants. Equally relevant has been the access given by the New Lab to Yard tenants to use its

facilities, in particular its maker space, as a shared space where novel ideas and solutions are tested, formed and get rooted.

## ii) Social Resources

The second shared resource is the vast web of relationships, ties and social networks (social capital) that have emerged with and through multiple and diverse group of organizations and actors engaging, interacting and collaborating. Throughout this web of ties and relationships, partners have cultivated and steered relations into being effective and productive, seeking opportunities to tap into these ties for expertise to launch, test and iterate joint projects.

*"I think the network, [an example of a newly acquired new asset, which it could not have acquired independently]. Definitely, I think the network is one. I think it has also been mutual that we've helped the Yard build a network as well. I think that we have gained a lot of experience together in doing the work. We have run lots of experiments together and learned from those." (BWI)*

The STEAM Center can serve as an example of how, throughout the process of launching this space, working within and outside the Yard partners' and tapping into respective skills has required, sharing resources to co-design and co-create the STEAM Center together. In this process, partners have shared experiences, learnt from and helped each other. The actions and interactions lead to new collectively generated knowledge.

*"The entire facility. This facility [STEAM Center] was literally co-developed and co-designed by these industry partners. They came to the table with their ideas and what they think would really meet the needs of an emergent employee. And so, the physical design, the equipment that we have in this space, the curriculum - it's all a joint effort." (STEAM Center)*

The STEAM Center has been working with Transcend Education, a sub-entity of the New School, to codify the knowledge and processes that were part of this collective learning, and document the work being done at the STEAM Center to develop an open source 'playbook' which will be shared across the US and world, to help other organizations who want to learn from this work and improve their operations as well.

Another way that networks and relationships have been leveraged has been the ongoing mentorship pilot project between the New Lab's in-house education program and the STEAM Center, where the New Lab has made its vibrant network of professionals available to STEAM Center students to receive mentoring, leveraging their resources together to roll out this project as a shared resource.

*"[O]ne would be in the form of, again, relationships or a network effect. So (-) one of the things that we're building is mentorship. Because we looked at our community and started saying, we want to do STEAM education. In the wonderful city of New York, there are a ton of nonprofits and a ton of organizations that are building amazing STEAM programs. So, it was important to us that we weren't just adding to the noise. We weren't making a duplicative effort, and that is where we are really using what is unique about this place to serve a population in need. And one of the things that's most unique about this particular place is that we have this vibrant network of professionals. So, a lot of what's missing in education is how do you connect what kids are learning in the classroom with where they see themselves going in their life. How do you really inspire them to believe that they could be a designer, an engineer, an entrepreneur. And that's where our mentorship and exposure to professionals comes in. So, for us, we*

*recognized this opportunity, and that we should build a mentorship program where people here [in the New Lab] can dedicate a small portion of their time to working with [disenfranchised] students who are interested in these topics. And that's what we're doing. That's something that we're piloting with the STEAM Center. So again, it is first and foremost what we see that is happening elsewhere on the Yard, and then how can we create the right bridges or level of engagement between them. And that is also where knowledge and need sharing happens.” (New Lab)*

Another key example that was referred to as a new area of collective learning and as an example of newly emerged inter-disciplinary knowledge is in the area of nonprofit industrial manufacturing and transformation - showing that partners can create new shared knowledge and have something new to deliver. The other collective learning that was referred to throughout the interviews and has emerged, is around collective efforts in developing and streamlining workforce development and recruitment services for the BNY, by launching joint projects that improve the career pathways for lower skilled/higher skilled workers, as well as creating avenues for Yard tenants to hire locally.

### iii) Economic Resources

The last shared resource are the actual Yard enterprises, large and small, from the public, private, academic and social sectors, that, through collective enterprising have jointly reimagined, re-shaped, cultivated and enriched their environment with new, useful and innovative ideas and solutions, and reaped shared rewards (known as ‘gift-gets’). A recent New Lab startup, Carmera, specialized in 3D mapping systems for autonomous vehicles to operate safely, illustrates this argument.

Carmera, has been at crossroads, and has faced challenges in a market like New York which is still quite a long way from having autonomous vehicles at scale. Thus, proving the efficacy of their product in a city like New York has been important, because they have wanted to build relationships with other cities to see if the type of data or information that they have been generating could be useful in addressing other challenges that a city is facing. The founders, who were based in Brooklyn, wanted to build the company in Brooklyn, whilst having another part of their team in Seattle. In New York, they weren’t getting the traction that was necessary. The New Lab and BNYDC stepped in, and reflected on how to use BNY as a test bed in the absence of having a city-wide support system for the company.

Carmera went ahead and 3D-mapped the whole of the BNY campus, and turned the results into a great use case for BNYDC. This project also helped the startup raise funding, and allowed BNYDC in the short term to have a better resource to actually keep track of its own facilities and campus. All the information that was generated through that pilot was given to BNYDC. As BNYDC reflected on its own long-term planning and what happens across the campus and how to keep track of different physical assets, this pilot offered a no-cost way for BNYDC to gain access to quality data, while at the same time ensuring that this company would grow and stay in the City.

Intermediary anchor organizations, such as BNYDC and the New Lab, champion and steward such serendipitous opportunities for organizations to interact, collaborate and create value together.

#### (F) Thinking forward

Another striking attribute of collaborating and evolving through collective projects is the thinking forward of partners about the future of the place and their projects; how to stay meaningful in view of the Yard’s largest expansion, and the type of enterprises coming into the Yard and wanting to get invited into the Yard.

Whether as a reflection of replication or expanding the footprint of a project, or a dialogue about how to increase the impact of existing projects, or developing alternative visions for projects—partners have constantly been envisioning how to improve or how to replicate success to other locations.

This constant forward looking-approach on how to improve or scale has also been linked to the efforts to iterate, experiment, and learn on a project-by-project basis. Launching iterative projects reduces risks of failure, as well as opening up opportunities to keep learning as partners reflect on how to improve and scale the impact of a project beyond its initial scope. It has created a space for partners to be reflective and aware of what it takes for a project to succeed or to improve over time. *It also creates a perception that the Yard’s work is never really finished, and that it is ongoing and open-ended, evolving forward through multi-party and multi-layered collaborations.*

*“[This is] a former military facility that is being reclaimed, essentially now more intentionally. And I think there’s a kind of a very Brooklyn sense that we can take this place and turn it into something that represents the future. And there are a lot of people in this space, who are doing various experiments towards that; whatever that might be. Some of them are in high tech, things that we are doing; and some of them are also in farming and winery. There’s a little bit of a mix, but all people are thinking about ‘how do we make the City work for us?’” (RLab)*

With the growing US and international interest in the BNY model, BNYDC have been contemplating scaling the BNY model to other cities in the US and internationally. In this process, BNYDC have envisioned and developed new ideas and engaging stakeholders about current and future needs and expectations. At BNYDC:

*“There are two other big things we’re thinking about outside of the bounds of the master plan, which was really focusing on real estate development. One, how do we help municipalities to scale the [BNY] model in other cities, whether that be across the US or internationally, and that’s something we want to start doing as soon as possible. Because at the end of the day, we have our 300 acres, and that forms the bounds of our potential impact. But it’s something that we see working in other cities, and it doesn’t need to be at this scale, it could be in a single building for smaller cities. And second is thinking about the potential to create an equity investment fund that would help our businesses here at the Yard [focusing on manufacturing businesses]. Because what has happened in the US, is that the investment community is so focused on tech and software, that there are few investment vehicles for products.” (BNYDC)*

Another clear example is in the shift in the workforce development approach that the EC and their partners in particular have adopted over time. Whereas in the past, the focus was about getting people into jobs, for

example, with a distinct focus on veterans, the focus now is about getting and connecting the right talent to employees in the Yard. Throughout this evolution, the EC partners jointly have reflected on how workforce development has unfolded over time and how to stay meaningful and continue to touch the surrounding community. Having regular, open and critical dialogue on project development using job data and trends has been part of that process, as well as concerted efforts among stakeholders recognizing what it takes to overcome barriers for the future of workforce and inclusive skills development to succeed, to scale and grow in impact.

This joint reflection about the future of the workforce was also illustrated in the currently ongoing conversations between the STEAM Center, the EC and other Yard partner tenants to make the STEAM Center a 24-hours school for adult education, giving adults access to summer and evening programs. Equally interesting, perhaps, are the ongoing efforts of the STEAM Center and their partners to disrupt the way they source their furniture and other materials.

*“We want to ensure that the [existing] model is disrupted and that we pay particular attention to how we source our materials towards social good.” (STEAM Center)*

In this process, the STEAM Center and their partners are in concerted discussions with the world’s first industrial co-operative, Spain-based Mondragon, to bring that co-operative model to manufacturing jobs in NYC, with the intention of being purposeful about investments, job readiness trainings and preparation for those in advanced manufacturing in NY. It demonstrates that partners are willing to proactively go beyond the boundaries of their mandates, including exploring or actual efforts to adapt or to increase the impact of their projects for wider social good purposes by changing the underlying norms and values.

The New Lab mentioned particularly key ongoing and future reflections around connectivity. At the moment, the easiest way to reach the Yard is through the NY subway, a shuttle bus, public busses, taxis, and most recently also a ferry ride that stops at the BNY.

*“[Something that you explore] is thinking about infrastructure connectivity (-). So. one of the things that has certainly been a challenge, although, frankly, once people are based here, they overcome it; is figuring out if we have transportation challenges around getting to the Yard. In continuing to scale the level of businesses that are here and the number of people, and also as we are starting to have more public facing businesses being based here, how do you make sure that it's not just 'if you build it, they will come' but really creating the right transportation opportunities?” (New Lab)*

## (G) Enabling processes

Iterative enterprising which characterizes Yard partnerships also illustrates key stakeholders cultivating effective and productive relationships with each other throughout the evolution of joint projects. This is important, because improving or scaling projects beyond their initial footprints requires generating goodwill and trusting relationships among existing partners to enable future collaborations. The projects are never truly finished, and the next iteration is an evolution of the previous one.

### i) Proximity

In the case of the Yard, proximity is relevant in a number of ways. Being geographically near other tenants was mentioned by Yard tenants as one of the key factors involved in moving to the Yard. The launch of key projects, including the CUNY internship program, is partially due to the fact that CUNY is only walking distance from the Yard, as well as the Pratt Institute.

The NYU Tandon School of Engineering, which led the response to a City-issued request for a proposal to have RLab as a Yard tenant, is walking distance from the Yard as well. The RLab<sup>75</sup> was convinced about moving to the Yard for a number of reasons. First, because of the proximity to transportation and the Brooklyn Tech Triangle<sup>76</sup> which is a collaborative partnership between the BNY, the Downtown Brooklyn Partnership and the Dumbo Improvement District, growing the innovation economy in Brooklyn together. Second, because of the Yard's biggest tenant, Steiner Studios, which is the largest movie production company outside of Hollywood. And lastly, because of the presence of other tenants such as the STEAM Center and the NewLab, which are creating a stimulating environment for the type of startups that the RLab intends to work with.

Getting RLab to move into the Yard in particular demonstrates how BNYDC have been deliberate and intentional about getting the message out about the work being done inside the Yard, and the type of ventures they want to bring into the place. The at the time executive vice-president of the BNYDC at an RFP meeting "clearly articulated and explained what this space is about, the type of amenities offered, and what one can expect from its little ecosystem that helps to support businesses and their goals" (RLab), and aligning with the RLab mission.

It particularly demonstrates how the Yard continuously tries to identify those partnerships that can add value for the community and can benefit from the existing resources (i.e., affordable manufacturing or startup space, recruitment services, networks) and tapping into every opportunity to work with tenants that can create jobs.

*"[So as to why we came here?] So, for us there are a couple of things. One is that, obviously, I am an NYU Tandon School of Engineering employee and NYU was leading the response for this proposal. So Tandon is about a 12-minute walk up the hill from here. And for us, this location was seen as very appropriate for the connection to the school and in general for the kind of things that are going on here, and in the nearby neighborhood. And I think also for us, the general proximity to Dumbo and some other activities we have there, as well as access to transportation are the main piece of it. There are many things going on in the Navy Yard that are relevant. So, it seemed like the right place to go." (RLab)*

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RLab offers corporate members and sponsors access to startups and R&D projects, technical and commercial expertise, and corporate innovation programs designed to prototype new solutions and launch ventures.

Image 22: Rlab offered courses, courtesy of the RLab<sup>77</sup>

Throughout the conversations with tenants and also with Yard partners, a “micro-economy” was mentioned; one where tenants supply to or purchase from other Yard tenants, as well as helping each other with their products and learning from each other by seeking help or advice. *This micro-economy can be best interpreted as an emerging localized ecosystem for social and economic ties. Proximity favors quickly exploring and creating opportunities for quick-win projects.*

One tenant in particular referred to the Yard, as this “big incubation space. [Here] we are able to interact with many different industries that are located here. And really learn from each other. It is about the way of thinking; it's about the sharing, and about the collaborations”. In addition to having access to affordable real estate, and places to test products relatively cheaply before committing and scaling up, another tenant provided “there are a lot of issues that I deal with in terms of manufacturing, in terms of sourcing, that I can learn from my partners. In terms of technology and finding different ways to communicate and work together with new business solutions. Just learning from your peers, even if we are working in different industries [in the Yard]; to really understand what makes a business work. Because you look at the essentials, or the core of what is a startup, or what is a small business is; it's a multitude of things, [including] management.”

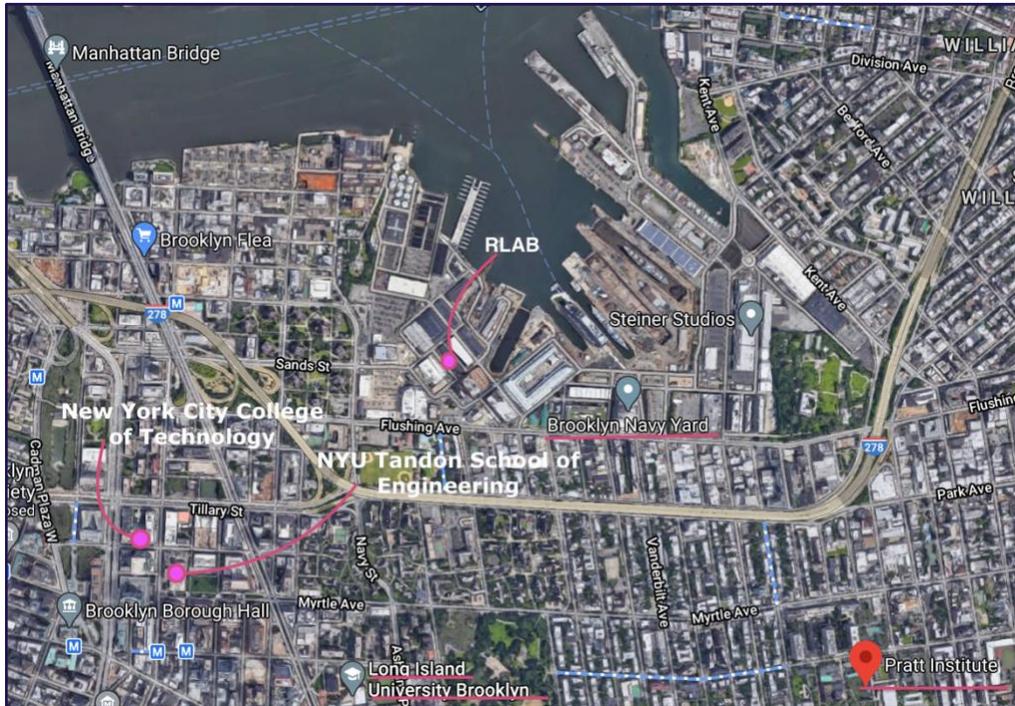


Image 23: Proximity of RLab, CUNY, Pratt Institute, Long Island University, NYU Tandon School of Engineering using Google map. As a reference, walking from CUNY to the Yard takes approximately 20 minutes.

An example of a supplier-purchaser relationship is that of BWI and BNYDC's HR department, where BWI (as a tenant) was asked as a contractor to help train the Yard's security guards. Another clear one is among food manufacturers located on the ground floor of Building 77, which are a close-knit community, and who share learnings, including for example that selling a food manufacturing business line to Walmart<sup>78</sup> requires having two separate kitchens.

The desire to collaborate has also been reflected in some of the key collaboration data that was provided by the BNYDC as part of a survey carried out in April-May 2019 assessing collaboration among Yard tenants. It involved 188 tenants, who responded to a number of specific questions about collaboration. The organizations that tenants within the Yard most collaborate with are with other Yard businesses (66.67%) and BNYDC (43.79%). *(Please see Annex 2 - 2018 Tenant Survey Results).*

Perhaps equally important is the data about what they collaborate on, which clearly favors i) obtaining advice or technical support to or from other Yard organizations (47.33%); ii) business-2-business sales to or purchases from other Yard organizations (42.67%), as well as iii) business partnership to co-create new products together (28%). In the words of a Yard-tenant:

*"[B]eing able to talk to other people, beyond just small talk, and really having the opportunity for meaningful discussions about your business. The Yard often hosts lunch and learns, and people will disclose some information there, and then you can talk about it afterwards. There are so many great companies here that are doing fantastic work; be that within building 77, or with the New Lab. It's everywhere, and there are just so many opportunities to be inspired. And perhaps we might have two separate ideas that we end up collaborating on, and create something really wonderful. I think there's a lot of energy and the Yard is definitely helping to facilitate that, and harnessing that energy and driving it towards innovation." (Yard tenant)*

The experience of partnership and collaboration was rated as extremely valuable by 40.65% or as very valuable by 40% of respondents. As one tenant put it, "This is the Disney World for fabrication. I have so many friends [at the Yard]. Just when I am feeling overwhelmed or need help with business decisions, I go to my friends at the Yard. And also, the mixers, and the Brooklyn Navy Yard cohort—that to me, was life changing."

### ii) Being invested in the community

Proximity also appears to have a link with being invested in or committed to the Yard's mission. BNYDC is deeply involved and invested with its key partners, and has crafted a direction - and is working with partners to move toward that. The partners that I spoke to - including the more recent tenants that have moved in the Yard, and the community-based organizations that have been working with the Yard for some time - expressed a high degree of commitment towards each other and making the Yard thrive. One of the key indicators for this commitment, has been the commitment to manufacture locally and work proactively with the EC to hire locally in alignment with the Yard's mission. This high degree of commitment to the local community was also expressed in an interview with the New Lab.

*"It is in line with our ethos and our values, and being connected to the local community. The goal of bringing [students who are at under-resourced schools] on site, is to make frontier technologies immersive, accessible and exciting to them. So, whether or not they choose to pursue a STEM career we hope that—and this goes back to the equity aspect—the initial exposure gives them a level of tech literacy that we really feel is necessary for anybody existing in today's world." (New Lab)*

Being committed and invested are clear manifestations of the intention and motivation to work together. Or in the words of the STEAM Center:

*"[W]e see the investment that the tenants have provided to the STEAM Center, and we understand that they want to source the right talent; and they're heavily invested in ensuring that they can give us the right insight to be able to do that [through the curriculum offered to STEAM Center students]". (STEAM Center)*

### iii) Bonding and/or Linking between partners and building trust

The third mechanism is about creating and building relations of trust between stakeholders that facilitate future collaboration and information sharing. Throughout this work, I have mentioned a number of clear joint projects that have required major capital investments, and alignment of various organizations sharing a joint vision; as well as how throughout these projects BNYDC has been instrumental in stewarding and carefully

executing a shared vision with repeat partners whose mission are also aligned with those of BNYDC, rendering these projects successful.

Building a broad coalition of organizations and building connections and synergy between sectors and actors requires creating relations of trust and goodwill among stakeholders. It is also a realization among collaborative organizations that they are doing what they are doing because no one can do it on their own.

Cultivating effective and productive relationships, particularly with those located in the same campus, as well as proactively gauging different kinds of thinking, ideas and solutions; and involving diverse groups in formal and informal conversations, brainstorming and designing solutions together create a deeper bond between iteratively collaborating organizations. It also creates the prospect of future collaborations. The evolution of the EC and evolving conversations and projects around workforce development with partners is a testament to these effective and productive relationships. The launch of the STEAM Center, an actual high school, has required a lot of goodwill and the building of trust over time.

*“There was definitely a period of trust building and development of the vision. And I think that trust building was built up around the Employment Center and the ongoing relationships they developed with public housing residents and local organizations. And that allowed them to take it to the next step, like bringing a school on to campus.” (Pratt Center)*

In this process, the EC staff have curated personal and trusting relationships with the three largest public housing units, their tenant associations and their leaders, and a whole host of local community organizations (including BWI) at the grassroots level, establishing the EC as an ally. This included, among others, attending tenant association meetings, giving their direct phone numbers, allowing tenants to text and call them to inquire about potential job opportunities, going to family days and block parties, being in frequent communication— “just being an accessible member of their community” (BNYDC).

The RLab, throughout the conversations, also referred to a series of key stakeholder meetings organized across a wide spectrum of organizations and people to gauge insights and ideas from university partners, corporations, non-profits, arts organizations and the like. Those discussions build rapport between different organizations and individuals, as well as helping with how to relate existing programs with those of the RLab. In this process of thinking together, stakeholders’ understanding of areas of mutual interest increases, opening up avenues for sharing knowledge, and building trusting relationships which can result in exploring future projects together, and an increased capacity to collaborate with others.

*“I think that [bond and trusting relationships] will emerge. But I think there needs to be more conversations between the various entities that are leading these various projects to share information; and align on what we are all trying to do. I think there are probably some areas where we will compete, and some areas where we'll be able to collaborate so that to me represents an opportunity.” (RLAB)*

Throughout the interviews, I could not help but sense a high sense of social responsibility and passion shared by all those interviewed for their respective works. I observed the mutual respect when speaking about colleagues from other organizations with whom they were collaborating, and expressions of an amicable rapport, including having Whatsapp groups for sharing information and updating each other.

What has been equally important to mention is that the results of the quantitative findings have clearly pointed in the direction that interviewees experience the Yard’s success as a collective effort between the partner organizations, and that they also are aware that building collective capacity is important for the Yard’s success over time. The results of the quantitative survey clearly support this observation (*please see below Table 10*).

Case 1: Interviewee	i) Do you think that it is thanks to the collective efforts that the Yard has been successful at addressing social and economic issues?	ii) Do you think there is a relationship between key partners over time building collective capacity for change and achieving the Yard’s mission?
Interviewee 1	4	3
Interviewee 2	5	4
Interviewee 3	4	5
Interviewee 4	5	5
Interviewee 5	5	5
Interviewee 6	4	3
Interviewee 7	4	4
Interviewee 8	5	3
Interviewee 9	4	5
MEAN	4.44	4.11

**Table 10: Results of the quantitative evaluation of the questions, based on Likert-scale of 1-5, with 1 being totally disagree, and 5 being totally agree.**

The interviewee with BWI articulated collective capacity quite concisely by stating “Collective capacity is the whole being greater than the sum of its parts, and that whatever is being achieved together is very clearly something I wouldn't be able to achieve alone.” The Yard's success cannot be through siloed approaches but through collective efforts (STEAM Center), and through a shared sense of vision for the overall space (RLab). In the words of the New Lab “It is the ability [of the partners] to collaborate and the ability to be iterative and responsive to what is happening [at the Yard] that is allowing for the Yard to scale the way it has.”

Those who gave a lower valuation to the second question in particular disagreed in relation to the extent that collective capacity had been built. In relation to some key partnerships, like with CUNY or the STEAM Center there was agreement that collective capacity had been built. However, in other areas, for example the extent to which all tenants had fully embraced the collective vision of the Yard and where acting upon that ethos, there was more disagreement with not all tenants seeing themselves “as part of a collective vision for [collective] action.” (BNYDC). This was also further reiterated by the Pratt Center when defining collective capacity as “the recognition that for some projects to be successful requires collaboration of different parties,

(-) and it's going to require just every tenant in that building." The RLab referred to collective capacity as a "shared sense of vision for the overall space. I suspect that BNYDC manages that with their own stakeholders, probably at the city level a little closer and with their board. But I suspect they'll probably have to kind of figure out a way to share that amongst the tenants as well. A little more."

#### 4.1.4 Implication of case-study 1 for the initial theoretical framework and creating a revised empirical framework on transformative capacity

When comparing the initial theoretical framework (version 1) with the findings of case-study 1/BNY, it may not have come as a surprise that version 1 has warranted a revision with new empirical findings<sup>79</sup> (**see further below under Table 11**). In particular:

1. What the preliminary framework has not stated, and thus warranting further investigation, is what appears to be a distinguishing between types of collective processes. Case-study 1/BNY has amplified the role of the anchor organization(s). The anchor(s) appear to have played a key role in the formative stages of the network, stewarding and driving the various partnership-projects forward. However, other types of collective processes have also appeared, and particularly performing the function of arranging or 'ordering' the network. Whereas, yet again, other collective processes have appeared to be enabling the network to sustain a forward momentum. I intend to research and corroborate these findings further in case-study 2/Alvelal.
2. Perhaps, quite interestingly, a feature that I was not looking at, and has emerged are collective processes that are place-based. In other words, key strategies or approaches that help partners build more prosperous, more diverse, and resilient places to succeed in today's economy. In the case of the Yard, I have actually noticed how some projects have had an impact on the physical transformation of the place over time, which were deliberately designed and executed, to better include the local tenant community and wider neighborhood. 'Place' is inherently tied into the partnerships, and appears as an additional stakeholder in the relationships. This connection to place, is something that I also further intend to research and corroborate in case-study 2/Alvelal.
3. I have also noticed similar collective processes that are at play in version 1 and version 2 of the frameworks. In particular, I have seen recurring themes (collective strategies, understandings, activities, approaches) from version 1, including: collective vision and goals; sharing information and knowledge; problem-solving, collective learning, allocating resources and coordination; convening/aligning disparate organizations and conciliation; shared structures, mutuality, trust and accountability; as well as evaluation and communication. Although these are recurring and similar characteristics, case-study 1/BNY has also clearly revealed a number of additional indicators which serve as new collective processes which I have not seen in the preliminary framework (**please see Table 11 further below**). In particular, these collective processes are in relation to the role of the anchor organization(s) and the roles they play in curating and pushing the

partnerships forward; physical or geographic proximity of partners, iterating and experimenting through ongoing partnership-projects; reflecting on removing obstacles in projects and scaling them; as well as leveraging and sharing resources to produce network-based resources, in particular place-based and shared infrastructure and building upgrades.

Themes, concepts, characteristics of collective processes	
Recurring themes, concepts and characteristics that version 1 and case study 1/BNY have in common:	New themes, concepts and characteristics that have emerged from case study 1/BNY and requiring a revision of version 1 into version 2 of the framework:
<ul style="list-style-type: none"> <li>- Sharing and exchanging resources, knowledge and information</li> <li>- Continued collective learning</li> <li>- Developing a shared vision</li> <li>- Governing, shared structures and accountability</li> <li>- Convening of stakeholders and disparate participants</li> <li>- Aligning and building coherence of the network</li> <li>- Multivocality</li> <li>- Mobilizing and pooling of shared resources</li> <li>- Building trusting relationships and commitment</li> </ul>	<ul style="list-style-type: none"> <li>- The role of anchor(s)</li> <li>- Iterating and experimenting through ongoing partnership-projects</li> <li>- Building network-based resources, and in particular place-based (physical) upgrades and/or building infrastructure</li> <li>- Reflecting on removing obstacles in projects and scaling them</li> <li>- Geographic proximity between partners</li> </ul>

Table 11: summary of recurring themes, concepts, and characteristics that version 1 and case-study 1 have in common, next to new themes, concepts and characteristics from case-study 1.

*Here below in Table 12, I have juxtaposed the preliminary and theoretical framework (version1) next to the revised and empirical framework (version 2). As the reader will notice, the coding hierarchy between Version 1 and Version 2 is not identical. Within Version 2, I have highlighted in green within Table 12, those codes that are 'new' and emerging from case-study 1, and not identified in Version 1 of the framework.*

VERSION 1		VERSION 2				
AUTHOR'S CATEGORIZATION OF THEMES DRAWN FROM THE LITERATURE	PRELIMINARY FRAMEWORK & THEMES OF COLLECTIVE PROCESSES DRAWN FROM THE LITERATURE	1st order labels - open coding - examples of codes derived from semi-structured interviews (i.e. shared concepts, patterns of behavior, strategies, activities, understandings or approaches)	2nd order labels - axial and process coding	Categories of collective processes - partially derived from preliminary framework and supplementary documentation (i.e. theory, literature, data)	Overarching theoretical and strategic dimension - Components of transformative capacity	
Sharing and Exchanging Resources, Knowledge and Information	The main activities of social alliances include mutual problem-solving, information sharing and resource allocation.	Mission driven landlord and a model with three stools; offering amenities; space, business support and employment services; anchor organization creates the conditions for the shared vision to manifest itself; anchor is as a steward of relationships, a convener, mediator, gate-keeper, advocate and vision-setter; anchor plays a key role in crafting and pushing a shared vision across the ecosystem of partners; role in building strategy; anchor offering cohort, concierge, collaboration and community services; anchor curating Yard tenants to talk to each other, to support each other, to do business with each other and to connect with larger community;	Having an anchor organization that has distinct roles/functions, and playing key roles and working with partners whose missions are aligned with those of the anchor organization(s).	Acting as a leading and driving force organization	A. Having a leading and driving force organizations	
	[Coordination] includes sharing information between stakeholders to stimulate synergies and prevent overlap of activities.	A nonprofit that generates financial revenues in addition to fundraising through public means; nonprofit with fundraising capabilities and revenue generation capabilities; operate very much like a corporation, but with a nonprofit lens; a social enterprise;	A hybrid organization that is mission-driven through social achievements and generating revenues.			
	By increasing the information flow between partners and by facilitating the establishment of clear and mutually embraced goals, alliances increase success.	Becoming the leading convener in the arena and learning organization for place-based economic development in green-tech, added-value, high tech and advanced manufacturing; leader in nonprofit real estate development; leader in nonprofit industrial development;	Becoming a leader in a community of practice creating a thriving environment and space for non-profit industrial transformation for green-tech, added-value, high-tech and advanced manufacturing enterprise at city levels.			
	Repeat partners exchange knowledge about themselves and develop a more refined understanding of the other's cultures, management systems, capabilities, weaknesses, behaviors and beliefs, while storing that information for future use. And various attributes of the alliance relationship include information and knowledge sharing between partners, shared partner understanding and a focus on collective goals.	Leveling the playing field for businesses to creating a different sort of reward than what otherwise happens; certain partners are increasingly becoming relevant in the development of the place; certain partners play a starring role in addition to the anchor organization; certain partners becoming a neutral sandbox or place for different interests and partners to come together; being a conduit;	Certain actors acting as a neutral platform and leveling the playing field to convene and to reconcile diverse and at times competing interest to create shared rewards	Being an intermediary positioned between the stakeholders of a project		
	Social alliances involve different actors with varying access to heterogeneous kind and level of resources who act in a coordinated and purposefully strategic way to enact interaction, build coalitions and exchange information targeting a wider, situated social change objective.	Working with partners on key projects that align with Yard mission; working closely together with various stakeholders and building connections between sectors and actors; creating overlap and merging across fields (i.e. STEAM Center as an example of a joint project where disparate organizations with different funding cycles and needs worked together); each partner brings expertise and comes together as a pool and find synergy; disparate participants with shared aspirations, needs and challenges (Ω);	Working together with various stakeholders and building connections and synergy between sectors and actors (Ω)	Building a (multi-actor) coalition with broad organizations		
	[Working] collectively provides the opportunity for sharing knowledge and costs between actors and limiting duplication of efforts.	Identifying the low-hanging fruits for joint collaboration without conceding on mission (i.e. The STEAM center which is a joint collaboration between key partners; the master plan for the Yard); collective design of a program or a solution, which draws on everyone's respective skills and collective problems; mutual benefit projects; designing new projects that are mission-aligned and/or mission-critical; getting partnerships of the ground and testing them project-by-project;	Championing win-win opportunities and low hanging fruit collaborations depending on need/demand.	Continuously identifying/Exploring and implementing joint projects with (ecosystem) partners that add value		B. Iterating, Experimenting, Learning by doing through joint projects
	Sprallset al. (2011, p. 63) argue that information sharing between partners increases alliance performance because 'communication fosters shared understanding between network partners; it helps align partners' interests and values; it allows network partners to work collaboratively toward a shared understanding of what information is important and how best to use it'	Learning a lot together and doing it collectively; working with community partners to build capabilities; need to learn from partners, and engage partners in areas that are not core capabilities;	Engaging and learning from partners and through deliberate partnerships to build new skills, new expertise and competencies.			

	<p>Working collectively provides the opportunity for sharing knowledge. And alliances allow for the sharing and exchange of complementary resources, whereby each party offers something unique or different to the other.</p>	<p>Willingness for quick iterating but with a shared goal in mind (i.e. iteration in the education space to test the STEAM Center; or commitment of partners to Yard partners to experiment getting new hires from the Employment Center); having a culture around responsible learning and experimentation; thinking differently about how to engage partners and stakeholders and trial new approaches (i.e. digital signage across the yard, education and innovation and workforce development);</p>	<p>Active trialing or iterative learning of new solutions, new ideas, new projects (i.e. both social practices, new technologies).</p>	<p>Iterating and experimenting continuously with partners/providers on joint projects to add value</p>	
	<p>Cross-sector partnerships are voluntary working arrangements between for-profit and not-for-profit organizations which involve the deliberate exchange, sharing or co-development.</p>	<p>Rapidly prototype and see where it goes from there; things can be done differently than has been done elsewhere so far; using the place as a test bed for testing new products/services;</p>	<p>Using the place as a test bed for prototyping new ideas and solutions on a small scale.</p>		
	<p>The learning potential and the non-financial resource exchange are examples of benefits resulting from the process of interaction.</p>	<p>Willing to try things and see how they go, and then decide where to grow it from there, rather than trying to form the perfect partnership; partnership tailored to needs and problems to solve together as quick as possible (i.e. educational partnership happened through small iterations being able to work with, and able to change programming based on partner iteration and based on business demand); allowing the partnership to evolve to allow new iterations and learning;</p>	<p>Flexibility to try new things and seeing how things will go instead of having a perfectly planned partnership or project.</p>	<p>Evolving continuously through new and joint projects</p>	
	<p>Relational coordination as an activity (-) is fundamentally about connections among interdependent actors who must transfer information and other resources to achieve outcomes</p>	<p>Allowing ideas for potential new projects to emerge organically from the bottom up or more carefully curated from the top down; reconceiving the fundamental of the partnership as a partnership evolves organically;</p>	<p>Openness to top-down and bottom up projects that emerge whilst being responsive and committed to the needs on the ground.</p>		
<p>Continued collective learning</p>	<p>Studies state that firms need alliance learning capabilities to articulate, codify, share, and internalize knowledge with their partners to facilitate relational and firm-level innovation and development.</p>	<p>Working closely with partners to ensure that job placement goals and metrics are being met (i.e. BNYDC worked deeply with community-based organizations, with the leaders of the public housing developments that are right by the Yard to recruit 700 people to apply for Wegman jobs); creating employment opportunities and ensuring new hires; looking for customized training programs that can lead to training people on the job;</p>	<p>Creating and tracking how many jobs have been created through projects and funding.</p>	<p>Increasing the capacity of the workforce through localized economy strategies (Q)</p>	<p>C. Mainstreaming Inclusiveness</p>
	<p>A process of collective learning allows for establishing trust and shared understanding of the issues as well as a sharing of knowledge.</p>	<p>Identifying the right type of partnerships (i.e. partnership with Wegmans) that can add value for the community and can benefit from the existing resources (i.e. affordable manufacturing or startup space, recruitment services, networks); tapping into every opportunity to work with organizations that can create jobs; proactively looking for events, training and other ways to connect and meet actors working in this public space looking for or hiring for jobs (i.e. Offering hiring services to Yard tenants; working deeply with community based organizations, with the leaders of the public housing developments to recruit (i.e. 700 people to apply for jobs in the Yard); offering customized job training: so as there are needs within the Yard for certain skills, being able to build those skills within the local community; integrating into the design of the project job placement metrics;</p>	<p>Offering resources and targeting specific types of enterprises that create jobs.</p>		
	<p>Collective learning is a vital aspect of building successful stakeholder networks. Collective learning is a social process of building shared understanding (Argyris and Schon 1978). It involves trading and comparing information and then integrating individual views into a common understanding (Wijen 2002). Learning together helps increase mutual understanding about relational issues (e.g. values, perspectives and intentions) as well as substantive issues (e.g. root causes of the problem, linkages and patterns). The purpose of collective learning is to increase individual knowledge as well as the collective intelligence and capacity of the network as a whole. Collective learning serves as an essential foundation for whole-system innovation. When high stakes exist, when stakeholders have recognized their interdependence and when the system that connects the issue is commonly understood in depth, a shift occurs. The collective learning phase allows members of a network to: i) Develop new knowledge about the issue and larger system (i.e. root causes); ii) Define possible scenarios; iii) Construct shared meanings that allow people to understand each other and work</p>	<p>Through workforce development, internships, mentorships, trainings offering career advancement within Yard tenant companies (i.e. from the welder to the MIT graduate); work closely with education partners to offer educational programs at elementary and high school levels to fill skills gaps; Focus is on candidates and talent rather than just getting a job (i.e. not just about job seeker connecting to a job, it's also about candidates and talent and opportunities);</p>	<p>Offering and creating access to jobs and opening up economic opportunity at each part of the spectrum from really low skilled work to high skilled workers.</p>		

	together effectively; iv) Clarify common ground and differences in perspectives, interests and needs; v) Build trust and commitment.				
Developing a shared vision	[A] communal vision needs to be created through consensus-building while taking account of the multiplicity of communal needs; especially those of marginalized groups. The creation of a communal vision can happen via local deliberative processes that reconcile individual and communal well-being goals. This means that individual and collective interests can be reconciled (Schäpke & Rauschmayer, 2014).				
	A shared business vision, a shared understanding of what information is important and how this information can best be used, and shared methods for problem solving, working constructively and thinking outside the box have all been reported to be important for alliance success (De Villiers 2009; De Villiers et al., 2007; Duysters et al., 1999; Ertel, 2001; Pavlovich & Corner, 2006; Spralls et al., 2011). Hunt et al. (2002, p. 24) define shared values between partners as 'beliefs in common concerning what is important/unimportant, appropriate/inappropriate, and right/wrong'. Partners who share values will identify with one another and will be more committed to the alliance (Hunt et al., 2002).	Joint project between partners (i.e. the high schools, the Department of Education, and BNYDC to launch the STEAM center) to support high school juniors and seniors, to learn the types of skills that are needed in the Yard, and employment more generally; Thinking about what sectors, what businesses can offer and create opportunities for career advancements; engage with partners and make sure providing information about opportunities to underserved stakeholders, but also then helping to bridge any skills gap that may exist for those stakeholders; create exposure to viable career technical and education pathways;	Project design provides citizens/communities with new skills, training and abilities for better job access for those who need it the most or most qualified.	Including/engaging surrounding and/or disenfranchised populations and/or addressing socio-economic needs of the community	
	Impediments to building a common partnership culture include different views on business and social priorities (Lewis, 1998; Waddell & Brown, 1997), as well as traditions of hostility, distrust, or ignorance between businesses and civil society organizations (Bendell, 2000; Gray, 1985; Westley & Vredenburg, 1991; Zammit, 2004). Nonprofits often are skeptical about business motivations (Covey & Brown, 2001). Difficulties in common culture development may be overcome by focusing on the metagoals, by realigning partners' expectations (Waddock & Post, 1991; Westley & Vredenburg, 1991), or by each partner giving credit to the other's experience and identity (Millar et al., 2004; Parker & Selsky, 2004; Waddell, 2000). Trust, power, and stakeholder relations also are featured. Implementing a shared or common vision among independent actors (Gray, 1989) typically means developing a common culture held together by shared values, common interests, and clear communication. The shared metagoal is one source of CSSP identity building (Hardy, 1994).	Partners having a pulse on what's happening in a particular neighborhood and wanting to increase vitality; partners make sure that they're on the front lines advocating for the things that that a neighborhood needs, for example a new supermarket, or a STEM High school; engaging the disenfranchised for long-term economic development; designing and implementing solutions (i.e. setting up a supermarket) in underserved communities and areas; being inclusive with the surrounding community about distributing benefit; creating economic inclusivity by creating economic activity;	Strategies paying particular attention to questions of social justice, equity, economic vitality of a place		
	Shared vision and purpose are immensely powerful in motivating people to achieve extraordinary things, including remarkable leaps of creativity, innovation and adaptation.	The development and upgrading infrastructure (i.e. upgrading existing infrastructure for better community access, Building 77 and Building 92) to allow better community access; continuously think about ways to better engage (i.e. finding touch points with) the public and allow participation; opening up the space to the outside community; tapping into every opportunity with partners to get to the people most benefit from the projects; reduce barriers for the existing workforce to access jobs;	Integrating into the design of a project different aspects of community empowerment		
	The ability of participating firms to develop a clear strategic vision and expected outcomes of organizational cooperation.	Sharing a collective vision about the place and what it means to be at the Yard; crafted a direction and then working with partners to move toward that vision; clarity about what this network/ecosystem is about and what it means to the partners that are part of the network/ecosystem;	Crafting/Articulating a shared vision among partners based on needs, shared understandings and expectations (as a means to motivate and foster commitment among partners)	Building and/or sharing a collective vision and acting on it	
Governing, shared structures and accountability	Studies have emphasized the need to integrate or align targets, processes and relational structures among alliance partners. Structural integration refers to the development of relationship structures such as joint alliance development teams, alliance steering groups, integrated working procedures, processes, and IT systems (Lorenzoni & Lipparini, 1999; Niesten & Jolink, 2015). Integration processes play a prominent role in the alliance literature, and companies vary in terms of possessing the capacity to advance alliance integration. Social integration refers to open interaction, trust, and shared understanding.	Increasing understanding of the mission and providing guidance around it; rally around and mobilize together around particular issues that matter to partners; rally around a shared vision and understanding about the opportunities associated with this place; collective efforts are derived from a shared vision;	Rallying around a shared vision among partners and act on it		D. Building Coherence Processes

<p>To understand whether and how multi-party stakeholder partnerships harness wicked problems, we focus on three interrelated governance processes that are critical for keeping awareness and acting on the problems at hand: deliberation, decision-making and enforcement (Shouten &amp; Glasbergen, 2012)</p>	<p>Launch of joint partnership-projects implemented with joint inputs from partners (i.e. launch of the Brooklyn STEAM Center and Wegmans supermarket; City Tech refocus of summer internship program on STEAM related activities and engineering degrees); working into each other's' infrastructure to launch joint projects; partners are aligned across divisions that have come together into symbiotic relationships and interests; close connection and baked into each other;</p>	<p>Launching mission-aligned and joint projects that overlap or have touch points between different areas or organizations or sharing the same ethos and values</p>	<p>Aligning of (different) organizational mandates/interests into a symbiotic relationship</p>
<p>Some examples of these inter-organizational structures include joint teams of alliance partners, channels of communication and partner-specific interfaces, joint business planning sessions and joint alliance evaluation sessions (Hoang &amp; Rothaermel 2005; Kale &amp; Singh 2007; Khalid &amp; Larimo, 2012)</p>	<p>Working closely together; requiring partners to do the legwork together; mechanisms in place that if something's going south to course correct, and make sure to get to good outcomes; close coordination of partnerships between partners across multiple levels; engaging stakeholders and donors by communicating in a way that shows the alignment across the various organizations;</p>	<p>Close coordination and engagement between partnering organizations to ensure being on the same page.</p>	
<p>Governance of a collaborative entity entails the design and use of a structure and processes that enable actors to direct, coordinate and allocate resources for collaboration as a whole and to account for its activities. Governance of collaborations happens through shared structures, processes and actors.</p>	<p>Development of places (i.e. the New Lab, Building 77 or Building 92) to convene and to allow walk in from outside of the Yard to access companies and restaurants and to meet up; spaces to convene, interact and exchange and connect with stakeholders; being on the look-out for add value opportunities for stakeholders through events, gatherings, exhibits (i.e. community programming, exhibits, holiday markets, lunch and learns);</p>	<p>Creating <b>shared places and spaces</b> to convene, interact and exchange through events, gatherings, meetings</p>	<p>Reaching out/communicating/Interacting with outside and inside of the network stakeholders</p>
<p>Inclusiveness and accountability are key components of legitimacy for effective cross sector partnerships.</p>	<p>Being deliberate and intentional getting the message out about the work done through fundraising, community outreach, advocacy, grassroots campaigns; open book and transparent in terms of project updates, and private project data (i.e. being good stewards); clearly articulating and explaining what this place is about and what one can expect from its little ecosystem that helps to support businesses and their goals;</p>	<p>Looking for opportunities to raise awareness and communicate formally about what is being done inside with partners and outside <b>of the place</b> with partners, and being open and transparent with data and project updates (being good stewards)</p>	
<p>The success of any single alliance depends on some key factors that are relevant at each stage of alliance evolution (Gulati, 1998). These include (a) the formation phase, wherein a firm deciding to initiate an alliance selects an appropriate partner, (b) the design phase, wherein a firm (and its partner) set up appropriate governance to oversee the alliance, and (c) the post formation phase, wherein a firm manages the alliance on an ongoing basis to realize value (Schreiner, Kale and Corsten, 2009).</p> <p>Relational governance enhances the likelihood of alliance success by reducing transaction costs in several ways: (a) Contracting costs are minimized because firms trust their partners to behave fairly, (b) monitoring costs are lower because external, third-party monitoring is not required, and (c) costs of complex adaptation are lowered because partners are willing to be flexible in response to unforeseen circumstances. In addition, relational governance enables partners to work together in implementing value-creation initiatives that need sharing of tacit knowledge between partners, exchanging resources that are difficult to price, and offering responses that are not explicitly called for in the contract (Zajac &amp; Olsen, 1993). Finally, if relational governance is based on some resource dependence between partners, it acts as an effective means to monitor and control partner behavior (Filatotchev, Stephan and Jindra, 2008).</p>	<p>Outreach through email, events, in person visits, regular meetings, lunch and learns, happy hours, training inside the Yard, and also outside of the Yard through public meetings with public housing developments, connecting and meeting with community-based organizations; Regular (formal and informal) meetings, meet-ups organizing regular check-ins and ad hoc meetings based on need; informal and formal meetings with partners; public briefings; monthly meetings;</p>	<p>Doing outreach through regular (formal and informal) meetings, meet-ups, check-ins and phone calls, info sessions for exchanging and learning</p>	<p>Constant cultivating/Steering of ongoing and effective relationships</p>
<p>Relational coordination as an activity (-) is fundamentally about connections among interdependent actors who must transfer information and other resources to achieve outcomes</p>	<p>Being in constant or very frequent communication and being accessible to partners; discipline of actually maintaining points of contact across the right levels of communication;</p>	<p>Being disciplined about maintaining points of contact.</p>	
<p>People start to take responsibility for the whole. Innovative solutions arise out of this struggle to bridge competing perspectives and needs within a system.</p>	<p>Ongoing and regular engagement with partners working on ideas and projects together (i.e. different formal and informal forums like in the workforce community where different partners convene at different times); organizing weekly calls to keep partners on schedule; regularly discussing what works and what doesn't work;</p>	<p>Organizing regular meetings and submitting reports with partners to stay abreast</p>	<p>Making sense together</p>

	<p>Mutual expectations and accountability - Clarity of expectations about the deliverables from each partner appears to be important. In addition to providing programmatic guidance, this fosters mutual accountability and motivates execution responsibility. Mutually high expectations promote both rising performance standards and greater value creation.</p>	<p>Partners reflect on what has worked and what has not, (i.e. organizing state of unions to discuss problems); Partners having meetings to co-design new solutions together based on needs and engaging in meaningful dialogue; flushing out the problem together, and/or then designing solutions together;</p>	<p>More than just updating on progress, and keeping stakeholders abreast, but actually ongoing engagement, seeking input and working with them on new ideas</p>			
<p><b>Convening of stakeholders and disparate participants</b></p>	<p>Gatekeeping organization is a bridge between unconnected organizations to coordinate and distribute resources.</p>	<p>Set-up of tenant advisory groups; set up of committees or steering groups; roles to manage the partnership; set up of committees; getting a (i.e. NYCHA hiring) a zone coordinator to help with a partnership; outreach associates; board;</p>	<p>Establishing shared structures and procedures.</p>			
	<p>Agency and leadership in complex systems requires successful ecosystem stewarding and related roles.</p>	<p>Deep sense of accountability through annual or quarterly board meetings and constantly asking whether mission is being fulfilled; tracking projects and collect data to help achieve goals (i.e. design metrics and evaluate whether metrics are on track); projects help achieve key numbers and have (rigorous) reporting mechanisms; mutual expectations about delivery;</p>	<p>Tracking progress and evaluating progress - procedures or metrics for evaluating progress, as well as success stories - being disciplined in terms of collecting that data</p>	<p>Being accountable (shared accountability, individual responsibility for the social mission)</p>		
	<p>Cross-sectoral convening across different industries also provides a forum for knowledge sharing and joint action between groups of otherwise disparate actors. Dorado and Vaz (2003) describe conveners as champions of projects who navigate complex obstacles and boundaries in inter- and intra-organizational domains. Convening social networks and groups of individuals or organizations in order to allow for collaboration to occur and to tap resources, knowledge, and expertise of the participants can facilitate unique solutions and whole-system innovations which draw on collective intelligence (Svendsen &amp; Laberge 2005). Unable to succeed unilaterally, these actors, or conveners (Svendsen &amp; Laberge 2005), focus their efforts instead on convincing others to collaborate and to jointly address problems and initiate change (Dorado, 2005).</p>	<p>Recognizing organizational roles and how they help the collective or coalition to thrive; collective responsibility; shared responsibility and interdependence because projects overlap between areas and partners; building mutually beneficial relationships to continue creating new opportunities or build on existing ones requires joint efforts; acknowledging the other organizations as key for mutual success; reciprocity;</p>	<p>Partners' respective commitments towards each other to achieve shared outcomes for projects (Ω)</p>			
	<p>Organizational structuring is the subject of several early studies (Gray, 1989; Hardy, 1994; Waddock, 1991; Westley &amp; Vredenburg, 1991), where the presence of an "enabling structure" such as a brokering or mediating organization is seen as a key factor facilitating collective action.</p>	<p>Getting feedback, ensuring active participation, including others' opinions, diversity of thought when designing projects; making decisions through consulting partners (i.e. community groups, the housing development leader, elected officials and getting input from all of them); having amorphous conversations, talking about general pain points, and then doing brainstorming together; open transmission of ideas and different views;</p>	<p>Getting feedback, getting buy-in, active participation and gauging insights, different opinions from different backgrounds, and involving diverse groups, individuals and organizations.</p>	<p>Generating/Fostering/Integrating different kind of thinking, ideas and solutions</p>		
<p><b>Aligning and Coherence</b></p>	<p>Institutional coherence refers (-) to the extent to which the dominant institutional logics are able to provide sufficient guidance to the behavior of actors in the field (Rein and Stott,2009). When coherence is high, institutions acting on a field point in the same direction resulting in a situation in which stability prevails. In these contexts, even though multiple logics exist, conflict among them is low, thus positing both a stronger need for appropriateness and conformity and a higher resistance to potential changes. At the opposite extreme, at low levels of coherence, fragmentation prevails with no logic having the degree of consensus necessary to guide behavior to conformity. When this is the case, contradictions in the field open the way to institutional entrepreneurs and change, so that actors possessing certain characteristics, such as, for example, an appropriate governance structure, and a consistent leadership style, can take advantage of the situation, setting the rules of the game.</p>	<p>A new way of doing things and showing step by step results to help convince stakeholders; encouraging to have many conversations about new ideas and new projects but always on mission; support new areas that have not traditionally been thought of as synergistic (i.e. setting up a supermarket inside an industrial complex, supporting the merging between the fields of workforce development and education);</p>	<p>Facilitating the introduction of novel ideas, solutions, procedures, options.</p>			
	<p>Alignment between partners' strategies and missions - the more congruent the partners' values the stronger the alliance's cohesion.</p>	<p>Capture input and knowledge - for example labor market information - in a way that would make it helpful for partners to do their jobs and sharing it widely with partners; put in place mechanisms that can measure and evaluate progress and measure failure and to then feed the outputs of that into the hands of people who can make decisions differently;</p>	<p>Sharing or dissemination of lessons learnt and/or offering direct advice and support to groups that could benefit from the knowledge/expertise</p>	<p>Capturing/Codifying Knowledge</p>		

Multivocality	Through conciliation, a common vision is created to guide the acts of collective agency. Conciliation processes, reconciling individual and communal goals through a communal vision, public deliberations and inclusive decision-making, whilst taking account of the multiplicity of communal needs and nurturing communal responsibility.	Conducting research, collecting and documenting insights, learning and data through focus groups, multiple design days or planning days, (public) consultations, surveys; data analytics (i.e. data, charts, trends analysis)	Conducting research, collecting data and/or building a repository of knowledge		
	The ability to combine numerous voices as well as to connect to diverse stakeholders in an accessible manner and straddle audiences. Combining multiple voices to speak to a variety of audiences allows collectives to connect with diverse communities in a manner that “appeals to numerous audiences simultaneously” (Carolan 2008, p. 69).	Creating community assets (i.e. Building 77) as part of an infrastructure upgrade to create ties and bonds between community members; access to extraordinary physical asset (i.e. 300 acres of land on the Brooklyn waterfront); infrastructure upgrades that are capital intensive; upgrading public land, existing real estate upgrading; creating new public spaces;	Deployment, reuse and revival of physical infrastructure as a shared resource	Leveraging and sharing resources which they otherwise would not be able to access and/or acquire independently	E. Building Network Resources
Mobilizing shared resources	By pooling resources within the same sector in collective social entrepreneurship ventures these organizations support one another’s social and economic objectives in a variety of ways.	Co-designing and co-creating solutions together; reimagining, re-shaping, cultivating and enriching their environment with new, useful and innovative ideas and solutions, and reaping shared rewards together (i.e. known as ‘gift-gets’); sharing learning experiences (knowledge) to improve each other’s’ enterprises or operations; increasing shared understanding of needs to draw in partners and deliver on the idea that together partners can create new knowledge and have something (new) to offer; collecting and sharing new collective and inter-disciplinary knowledge (i.e. surveying tenants to bring contract manufacturing as a new amenity for Yard tenants in an adjacent building, or shared learning in workforce development)	Partners using and combining resources to pursue opportunities together and/or addressing needs together that can help improve the partnership or improve each other’s’ enterprises or operations.	Establishing and developing a web of relationships between internal and external stakeholders which can be leveraged for growth and development.	
	Social alliances leverage resource complementarities or recombination to develop novel, innovative approaches to technological and institutional challenges (Rangan, Samii and Van Wassenhove, 2006). In general, social alliances give actors from different sectors vehicles for resolving common challenges by recombining resources as well as leveraging differential cost advantages between public and private sectors (Rangan et al., 2006). Such hybrid organizational forms can also become a platform to pursue multiple shared goals across sectors (Markman et al., 2016), particularly for intractable social and environmental issues that are affecting each sector in unique ways (Powell et al., 2018).	Accessing the ecosystem - for partners to be close to each other in terms of the social network; using the physical space to connect organizations inside and outside of the space; building relationships between underserved community and network of professionals; weaving into each other like a web of connections;			
	Establishing alliances may emerge as a possible solution when resources and competencies are not readily or sufficiently available to organizations. From a resource dependence perspective, organizations are engaged in inter-organizational relations in order to exert power, influence or control over other organizations (Pfeffer & Salancik, 1978). However, resource scarcity may also encourage cooperation and lead to emergence of mutually supporting relationships between organizations, as in the case of strategic alliances. An alliance can provide important benefits for an organization lacking certain resources since it links the organization to another with complementary resources (Child & Faulkner, 1998). These resources may be capital and non-capital resources (Yan & Gray, 2001) and range from financial resources to knowledge and reputation.	Looking for opportunities, including conversations, dialogue and actual programming to increase the impact of a project; reflecting on how to increase the performance of stakeholders; scaling outside of the bounds of the initial projects; Looking for ways to expand the footprint and be more meaningful;	Replicating, expanding the footprint or applying the project itself or various processes, methods, components or solutions in different settings and locations	Generalizing the project operation or results beyond the initial context of application	F. Thinking Forward
Social alliances can serve as a vehicle for innovative leveraging of resources outside firms’ control and extending their domain of competence and the corresponding opportunity set (Austin, 2000; Austin & Reficco, 2009; Kanter, 1999). Collective mobilization of action and resources oriented toward the achievement of ends shared by the members of inter-organizational networks.	Partners envision and engage about the future potential of their partnership and project (i.e. thinking about the future of this manufacturing, technology-making, oriented set of industries and how to build long term pipeline of people into those pathways in an equitable way); partners envision future scenarios of more equitable social and economic outcomes of their projects; continuously reframing with partners what the needs are; thinking about how to revamp the space in the future;	Envisioning and/or developing alternative visions and/or engaging stakeholders about current and future needs, expectations.			

Trusting relationships and Commitment	Social integration refers to open interaction, trust, and shared understanding. Studies show that “trust is a component of a ‘cooperative competency’” (Ireland et al., 2002: 439; Sivadas & Dwyer, 2000). In addition to the development of trust, (Kale & Singh, 2009; Sivadas & Dwyer, 2000), studies see customer linking (Theoharakis, Sajtos and Hooley, 2009), relational capital (Kohtamäki et al., 2013; Lorenzoni & Lipparini, 1999; Sivadas & Dwyer, 2000), bonding (Schreiner et al., 2009), and open interaction and communication (Morgan, Slotegraaf and Vorhies, 2009; Orr, Bush and Vorhies, 2011; Paulraj et al., 2008; Sivadas & Dwyer, 2000; Smirnova et al., 2011) as important components of alliance integration.	Regular and proactive communication of progress with and between stakeholders and partners; fundraising is tied to specific achievements; constantly evaluating whether what partners did before or the decisions taken before, are still valid today and if they need adjustments, or references to open discussions and critical dialogue on project development, or formal methods for reporting, monitoring, metrics;	Reflecting on how a project unfolded and shared learning	Being reflective and aware of what it takes for a project or initiative to succeed	
	Collaboration in multi-actor settings is based on a mutual commitment of more than two actors to work together towards a common end that can only be reached through the transformation of materials, ideas and/or social relations (Roberts /Bradley, 1991).	Recognizing what does and what does not work in the partnership and how to overcome it; partners understand their respective roles and recognizing they can't act to things on their own and need to collaborate (i.e. we are only as strong as our partners); recognizing where the problems are and how to overcome them (i.e. securing more fundraising and capital investment challenges to go from 20k to 30k jobs);	Stakeholders rethinking and recognizing what it takes to overcome barriers for a project or initiative to succeed, to scale and growing impact		
	Trust requires being able to choose the right partner, to define the right governance structure, and to develop relational standards with this partner (flexibility, adaptability, information sharing, durability, and joint actions) in a climate of mutual trust	Building effective relationships to share information; it takes a village to build effective and performing relationships; launching successful partnership and projects requires good will, good intentions, and building trust over time; longevity of partners' support and built trust to get projects off the ground; building trust between individuals working on partnerships; building a sense of camaraderie;	Building trusting relationships between stakeholders that facilitates future collaboration and information sharing	Bonding/Linking between partners and building trust**	G. Enabling Mechanisms
	It can be expected that this partnership (full trilateral partnership) when successfully established has the most capacity to develop a transformational relationship between the partners, because the commitment to engage in a mutually dependent relationship with each other is highest.	Partners (i.e. community based organizations and individuals who live around the Yard) are very invested in what the Yard can be and have expectations around what the asset can unlock; desire to collaborate to make partnerships work, or waking up every day because partner is passionate about wanting to solve something, or being committed to manufacture locally, or wanting to hire locally; (long-standing) commitment of partners towards certain partnership-projects that are mission-aligned and/or mission/critical; collective efforts as a source of motivation and fueling to work in stimulating space;	Proactively working with other stakeholders and mutually committed to making this place thrive	Being invested in the network	
	Waddock (1988, p. 19) suggests that one reason for the demise of collaborations is the failure to understand that these relationships are cooperative, interactive entities that require a good deal of commitment on all sides.	Being near the campus; being walking distance from key partners; being in or around the same campus; becoming a close-knit community being are in physical/geographic proximity and helping each other out; being a member of the community and being accessible (i.e. easy to reach and meet); sharing offices;	Being physically inside or near the same public space facilitates or reinforces collaboration	Proximity	
	Many cross-sector social alliances crumble because of “mis-es”—misunderstandings, misallocations of costs and benefits, mismatches of power, mismatched partners, misfortunes of time and mistrust.				
	A commitment by a corporation or a group of corporations to work with an organization from a different economic sector (public or non-profit). It involves a commitment of resources—time and effort— by individuals from all partner organizations. These individuals work cooperatively to solve problems that affect them all.				
The personal relationships are particularly central to the creation of inter-organizational trust. Our interviewees all pointed to the importance of trust to the strength of the collaboration. Trust appears to be one of the critical elements common to most forms of collaboration (Burke, 1999; Dickson & Weaver, 1997; Kanter, 1994; Larson, 1992; Rackham et al., 1996; Ring & Van de Ven, 1994; Waddock, 1988a; Wasserman & Galaskiewicz, 1994). Although good relationships will not guarantee alliance success, bad interpersonal relations can destroy a partnership.					

**Table 12: The preliminary and theoretical framework (version 1) next to the revised and empirical framework (version 2)**

Ω: code was developed with specific feedback received from interviewees.

## 4.2 2nd Case-Study - Case-Report COMMONLAND & ALVELAL

### 4.2.1 Introduction into Commonland and Alvelal

In no other place in Europe than in the southeastern regions of Spain are the challenges of climate change, desertification and loss of biodiversity most prevalent.

Biodiversity is the term given to the variety of life found in a place on earth and provide through its expressions as natural ecosystems, goods and services that sustain lives on the planet<sup>80</sup>. A variety of ecosystems exist such as deserts, forests, wetlands, mountains, lakes, rivers, and agricultural landscapes. These natural ecosystems and living creatures, including humans, form a complex community, interacting with one another and with the air, water, and soil around them, to provide a large number of goods and services<sup>81</sup>. Climate change along with extensive and intensive human interventions have added unprecedented pressures on natural ecosystems and bio-diversity<sup>82</sup>. Climate change experts estimate that two-thirds of Spain is already vulnerable to encroaching desertification and accelerated soil erosion<sup>83</sup>.

Soil erosion<sup>84</sup> represents one of the most important and widespread environmental risks in this region of Spain, which serves as Europe's food basket<sup>85</sup>, the largest exporter of fruits and vegetables<sup>86</sup>. Often land erosion acts in a diffuse but constant manner, and if not corrected, limits the capacity to produce biomass, either for productive purposes or simply as a support for the natural environment and sustaining the food chain<sup>87</sup>.

Most of the soil losses in Southern-East of Spain occur due to torrential rain (water erosion) and heavy wind. However, the problem of land erosion is further exacerbated, when certain especially unfavorable environmental variables converge on the ground (i.e., high slopes, high torrential rain, high soil erosion) in conjunction with inadequate management by man (competing land uses, extensive ploughing, intensive use of chemical fertilizers), and it is inappropriate use of the soil resources accelerating degradation, desertification, as well as rapidly depleting the amounts of soils and water available for food production<sup>88</sup>.

Andalucía is also Spain's most populous region, and assessments of the risk of desertification range from high to very high. In some parts of southeastern Spain, 80 tons of soil per hectare are lost annually due to soil erosion. To date, an estimated 5-10% of all Spanish agricultural land has undergone a degree of erosion characterized as irreversible. Average temperatures have risen faster in Spain than in other parts of Europe, and in some parts of southern Spain, temperatures could rise by 6 degrees Celsius by 2050 rather than the projected average of 2 degrees<sup>89</sup>. People and the natural environment have therefore become particularly vulnerable to the impacts of climate change.



Since 2015, Alvelal has grown to 300 members (data provided as of end of 2020) being predominantly farmers, ranchers, landowners, entrepreneurs, merchants, researchers from universities and other research institutes with the same concern and vision for the future of this territory. The aim is to build a more prosperous future for the land by reviving local communities as much as the landscape, improving socio-economic opportunities and environmental conditions; revitalizing the cultural and historic values, reappraising agriculture as a worthy profession; and addressing threats such as depopulation and desertification<sup>93</sup>.

Alvelal promote trainings and propose techniques, practices and solutions that preserve water and increase the collection of water resources (i.e. rafts and ditches) that reduce soil erosion (i.e., vegetable covers, planting aromatic flowers and trees, hedging), as well as promote restoration of soil and landscape in a sustainable way (i.e., using indigenous and natural, green fertilizers, using cover crops, avoiding deep ploughing to restore soil quality). All with an eye on supporting local and regional businesses (i.e., agritourism) by lending financial and technical support to generate add-value (i.e., sourcing locally) and economic growth in the performance of the area<sup>94</sup>. So far, based on data published in December 2020 (*please see Image 25 here below*), the Alvelal network's impact has included:

- 300 Alvelal members
- More than 80 farmers participating in landscape restoration
- 45 farmers applying hydric corrections capturing water in the landscape
- 12 new farmers rolling out regenerative practices on entire farm
- 85,000 trees planted since 2017
- 10,000 ha under improved regenerative management

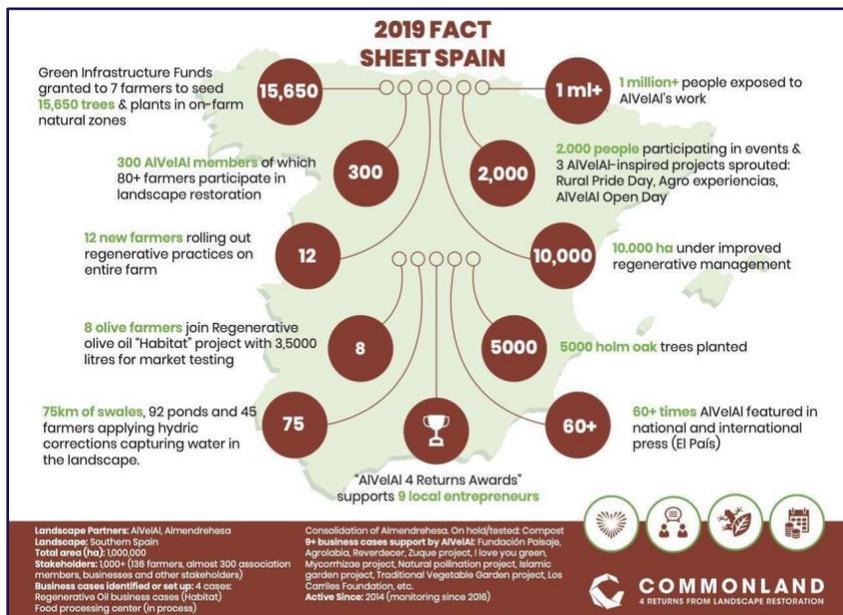


Image 25: Courtesy of Commonland, the 2019 Spain Factsheet<sup>95</sup>

#### 4.2.2 Methodology for Case-Study 2, presentation of the codes and coding hierarchy

In this second case-study, which is in rural Andalucía in Spain, I have built on the collective processes that I have identified in case-study 1/BNY. In other words, I have used the initial theoretical framework (version 1) and the revised empirical framework (version 2), and have further investigated and tested if the same or other collective processes have been at play within a social alliance setting in a rural area.

Similar to case-study 1/BNY, I have collected two data-sets. For the first-data set, I carried out an orientation interview in October 2019 with the head of Science and Education from Commonland. This initial interview was instrumental in helping me to connect with Avelal, the landscape partner in Spain. Similar to case-study 1/BNY, during this orientation interview I have inquired about the Commonland model, the supportive environment for the local partners to thrive, and key partner organizations. Following the orientation interview, the Commonland representative introduced me to Avelal.

The Avelal staff have also been instrumental in allowing us to gain more intimate access to the Avelal network, and were very helpful in connecting me to those organizations and partners that they deemed most important to help me with the research.

Similar to case-study 1/BNY, in order to create a list of interviewees, I specifically asked senior Avelal staff to kindly connect to a diverse group of potential interviewees involved within the network. This approach has ensured that I research and investigate the phenomenon from different perspectives. Furthermore, to help limit and reduce retrospective bias I have interviewed highly knowledgeable informants (Eisenhardt & Graebner, 2007) from different organizations with different hierarchical and functional areas that constitute the network. These are senior managers and executives with different functions and from different organizations, who have the knowledge, motivation, and authority to discuss their organization's role specific to the social alliance. Multiple perspectives yield better results (Mitchell, 2018).

The second round of qualitative interviews was carried out from November until December 2019 with key executives from Avelal as well as partner organizations. For the qualitative interviews, I conducted a total of 9 individual interviews, excluding the written responses that I received to the questions from 1 respondent. The total 10 respondents are all from Avelal and partner organizations. The interviews on average have lasted about an hour. I also spoke to 2 Avelal members of the association who are also farmer-entrepreneurs, who were introduced by the head of Avelal for an interview. All interviews have also been transcribed.

The interview questions have been open-ended semi-structured. The semi-structured interview guide approach has allowed some flexibility to adapt the interview questions to participants with different roles or responsibilities (Brinkmann & Kvale, 2014; Bass, Beecham and Noll, 2018). The open-ended approach

employed has also allowed probing questions to focus in more detail on issues raised by participants (and not included in the interview guide) during interviews (Bass et al., 2018).

Interview questions were shared with interviewees in advance (please see Annex 9 and 10). All interviews have been digitally recorded and transcribed using otter.ai. All interviewees have also received the transcripts of their interviews for approval, and where necessary I followed up with additional follow-up questions for more clarification. Four of the interviews were carried out in Spanish, and had to be translated into English. Recorded interviews were digitally stored under 'Interviews' in my Google database. All interview transcripts have been coded manually.

Similar to case-study 1/BNY, at the end of each interview I have asked two standard quantitative questions, which also in this 2nd case-study turned out to produce quite rich and insightful data. Also, similar to case-study 1/BNY, and as part of the primary data collection process, I applied a first cycle of open coding to explore if potentially new themes may be at play in case-study 2/Alvelal, which I did not notice in case-study 1/BNY. The aim of this first cycle of coding has been to potentially derive and produce new first order labels from the semi-structured interviews (Gibbs, 2007).

I then proceeded with the second cycle of coding where I applied axial and process coding – 1<sup>st</sup> order codes have been refined, developed and related or interconnected (Gibbs, 2007) to produce second order labels. I have ordered the first order labels into a total of forty-six (46) second order labels.

Specifically, after finalizing the first and second coding cycles, I have tested the preliminary/theoretical framework (version 1) and the revised/empirical framework (version 2) with codes from case-study 2/Alvelal. Thus, circling between potentially new 1<sup>st</sup> order and 2<sup>nd</sup> order themes and concepts, as well as the relevant literature, to see whether the findings have precedents, and whether I have discovered new concepts (Goia, Corley and Hamilton, 2012, p.21) in case-study 2/Alvelal.

This back and forth, and confronting version 1 and version 2 of the framework with the data and uncovering of new processes, has helped reflect on how and where case-study 2/Alvelal confirms or may potentially amend version 1 and version 2 of the frameworks.

I then proceeded to further distill the second order labels into categories of collective processes, before aggregating them into overarching theoretical and strategic dimensions (Goia, Corley and Hamilton, 2012). In this process too, there were back and forth between the preliminary framework, as well as relevant and existing theory, literature and data to see if my interpretations of categories of collective processes have precedents, or whether they have warranted amending.

Alvelal has also received significant media and analyst coverage since their early stages of formation. For the secondary data set, I have therefore also collected and used archival data, including reports, publications, YouTube videos, media releases, newspaper articles, which were organized chronologically in a database (using Airtable), and to help with corroboration and triangulation purposes.

I also prepared a quantitative survey which was sent to Alvelal to distribute to its members from 01 March until 31 March 2020, further zooming into the quality of the collaboration between Alvelal association members, Alvelal and its partners. The survey was distributed through Alvelal's monthly newsletter, and sent to its members. I received only 25 valid responses - although a small sample, it has yielded interesting data, which I have also used for the research (please see Annex 4 - Alvelal Survey Results).

Unfortunately, due to the outbreak of the global pandemic and the Covid-19 virus, I have had to prepare alternative routes for additional data collection and corroboration purposes. A scheduled field visit to Alvelal territory to inspect some of the Alvelal farms and speaking with Alvelal members was cancelled.

Instead, in order to fill the gap and to probe deeper and collect data in as much depth as possible, I was invited to three Zoom calls in April 2020 offering an opportunity to attend and observe the stakeholders - so to speak - 'in action'. The Zoom calls were attended between network organizations and members of the Alvelal association, sharing farming data and regenerative farming practices. I attended these calls as an observer and took notes (please see Annex 5 - Observations and Notes from Alvelal Zoom calls). On average the Zoom calls have lasted about an hour (please also see Annex 9 - Timeline and number of interviews performed for the research).

I was only allowed to record the last Zoom call, which lasted an hour and a half. The audio-file of the recorded call has been transcribed, and used for additional corroboration and triangulation purposes.

I presented my findings and insights as well as a revised framework in the interim report to the interviewees for critical feedback, and also distributed the framework across Researchgate interested in the case-study<sup>96</sup>. I have received quite positive feedback about the Interim Report and the revised framework, with Commonland particularly sharing the results of the case-study across with their landscape partners. Furthermore, in September 2020, I was invited by Commonland to host a webinar on the findings of the second case-study and the framework. The webinar was attended by Commonland's landscape partners, including Alvelal, and wider partner organizations (40+ participants). I did not receive any specific feedback about the framework processes, other than positive general comments about its usefulness throughout the work for landscape partners. One of the landscape partner organizations in India specifically mentioned that the insights and

observations about social change were quite similar to his own observations and experience, and that it felt reassuring. (Please See Annex 7 - Compilation of feedback received about interim reports)

#### 4.2.3 Key findings of Alvelal and transformative capacity of the network

Similar to case-study 1/BNY, I have presented and visualized all different codes that I have identified throughout the coding exercise in the next page (**Table 13**). The aim is to visualize and further explain and narrate to readers the relationship between the codes and the data structure in presenting my findings for case-study 2/Alvelal. As the reader will notice, I have used the seven (7) overarching theoretical and strategic dimensions (from the fourth column) as an approach to present and structure my findings also for this second case-study.

At the end of this case-study in **Table 16**, I will show a revised framework by color-coding those codes that I did not identify in version 1 and version 2 of the framework, and thus warranting a revision of version 2. Where a new concept appears to be at play, I have highlighted those in **green** in Table 16. In the following sections I will present the findings from the case-study. The blue tables serve as illustrative quotes from the interviews.

#### A) Having leading and driving force organizations: Commonland & Alvelal and their programmatic pathways

Before the formal set-up of Alvelal, Commonland's journey started with scouting trips across Spain visiting different locations to identify potential areas where they could launch a landscape restoration and regenerative agriculture project in this Mediterranean basin. In 2014, the scouting visits lead to organizing three co-initiation and co-creation workshops between Commonland and a group of fore-runners (i.e., farmers, ranchers, entrepreneurs) from the South-East of Spain focusing on creating a shared 20-year vision about the three southeastern administrative districts of the 'Altiplano de Granada', the 'Los Vélez', and the 'Alto Almanzora' - a region which Commonland calls "Alvelal territory".

These workshops were executed by Commonland and based on the theory of U-methodology (an innovative change management method developed by MIT professor Otto Scharmer at the intersection of science, consciousness and profound social and organizational change) with key individuals from the region. The aim was to apply the theory of U-methodology (based on co-creating, co-sensing, co-strategizing, co-creation and co-evolving strategies; *please see Image 26 further below*) to create a sense of collective, alignment, belonging and synergy across this core group of fore-runners who were inspired and motivated to take on the vision of landscape restoration and regenerative farming, and set up the Alvelal association.

1st order labels - open coding - examples of codes derived from semi-structured interviews (i.e. shared concepts, patterns of behavior, strategies, activities, understandings or approaches)	2nd order labels - axial and process coding	Categories of collective processes - partially derived from preliminary framework and supplementary documentation (i.e. theory, literature, data)	Overarching theoretical and strategic dimension - Components of transformative capacity
Anchor is as a facilitator; patron of the in situ implementing partner, or lighthouse for the entire Mediterranean basin; anchor offers financial, programmatic and measuring impact support; anchor organizations implement projects across three zones or pathways (natural, economic and mixed zones); anchor articulates an overarching vision and philosophy; anchor offers hands on management support and transitions into offering overall support;	Having an anchor organization that has distinct roles/functions, and playing key roles and working with partners whose missions are aligned with those of the anchor organization(s).	Acting as a leading and driving force organization	A. Having a leading and driving force organizations
Nonprofit with fundraising capabilities and revenue generation capabilities - circling back 1% of the revenues generated by 4-Return companies; nonprofit with impact investing potential: generating revenues through profit sharing from community enterprises supported by the anchor organization;	A hybrid organization that is mission-driven through social achievements and generating revenues		
Becoming the leading convener in the arena of regenerative agriculture and landscape restoration; learning organization for regenerative agriculture and community enterprises; organize communities of practice for landscape partners;	Becoming a leader in a community of practice creating a thriving environment and space for regenerative agriculture and community enterprises.		
Being the bridge builders; being a translator for various stakeholders; bringing different partners around the table; ensure that stakeholders are invited to be part of the process; being the communication dot; being the connecting point; being a convener across disparate organizations;	Certain actors acting as a neutral platform and leveling the playing field to convene and to reconcile diverse and at times competing interest to create shared rewards	Being an intermediary positioned between the stakeholders of a joint project	
Working with partners on key projects that align with Alvelal and Commonland mission; working closely together with various stakeholders and building connections between sectors and actors; creating overlap and merging across fields (i.e. restoring biodiversity or landscape restoration through entrepreneurship, or eco-tourism); each partner brings expertise (i.e. scientific, business advice) and comes together as a pool and find synergy; form a representative core group of diverse fore-runners; a network of entities; working through a heterogenous group of actors with different interests;	Mobilizing and working together with various stakeholders to come together and to form a representative core group of fore-runners and building connections and synergy between sectors and actors	Building a (multi-actor) coalition with broad organizations	
Identifying (i.e. scouting for) add value opportunities for joint collaboration without conceding on mission (i.e. setting up 4-Return enterprises in regenerative agriculture; sustainable food and cultural tourism project); each partner brings expertise and knowledge and need to ensure it can be translated into concrete projects; launching small scale mutual benefit projects; co-designing new projects that are mission-aligned and/or mission-critical; using landscape restoration project as a way to create new and sustainable supply chains in tourism and food; getting flagship landscape restoration projects off the ground;	Championing win-win opportunities and low hanging fruit collaborative projects with stakeholders depending on need/demand	Continuously Identifying/Exploring and implementing joint projects with (ecosystem) partners that add value	B. Iterating, experimenting, learning by doing through joint projects
Learning a lot together and doing it collectively (i.e. setting up a network of almond producing and processing companies across Alvelal territory, or learning to commercialize community enterprises); need to learn from partners, and engage partners in areas that are not core capabilities (i.e. building the capabilities to export almonds across Europe); learning fest organized with partners to foster exchange and learning between landscape partners; facilitating learning across landscape partners, and actively making the connections between partners;	Engaging and learning from partners and through deliberate partnerships to build new skills, new expertise and competencies		
Willingness for quick iterating but with a shared goal in mind; develop new and different business related to landscape restoration; trying for the first time to buy machinery which can be co-shared; roll out the 4-Return framework with landscape partners; working on a project by project basis, experimenting, and learning by doing;	Active trialing or iterative learning of new solutions, new ideas, new projects (i.e. both social practices, new technologies).	Iterating and experimenting continuously with partners/providers on joint projects to add value	
Using the place as a test bed for testing new products/services (i.e. this new workshop, this new activity or that new colloquium); using the Alvelal territory as a place to test landscape initiatives (i.e. referral station, shared kitchen) and new 4-Return enterprises; put theoretical 4-return framework into practice and test it; not forgetting the strength that comes from testing the 4-Return approach;	Using the place as a test bed for prototyping new ideas and solutions on a small scale		

Using the first iterations of community enterprises as a stepping stone to evolve and learn by doing; constant process to evolve and deepen the overall strategy; partnerships are not necessarily structured relationships but evolving, fluid and in order to help each other out; being pragmatic and agile to allow the partnership to evolve;	Flexibility to try new things and seeing how things will go instead of having a perfectly planned partnership or project.	Evolving continuously through new and joint projects	
Relations with other stakeholders form the bottom up towards a higher goal; relationships evolving from informal into a formal agreement and relationships;	Openness to top-down and bottom up projects and/or relationships that emerge whilst being responsive and committed to the needs/demands on the ground		
Looking to create new farming jobs; launching initiatives that have social and economic job creation angles (i.e. tree planting for part-time workers)	Creating and tracking how many jobs have been created through projects and funding	Increasing the capacity of the workforce through localized economy strategies	<b>C. Mainstreaming Inclusiveness</b>
Creating jobs and income generation in the rural landscape through joint projects; supporting 4-Return and community enterprises to create income incentives; help rural population to reduce dependence on agricultural subsidies and become more entrepreneurial and increase economic activities (i.e. set up new restaurant, and new business); offering technical assistance and entrepreneurial support for the creation of new ventures integrating the 4>Returns framework (i.e. using the Lean Canvas to setup eco- and agritourism enterprises);	Offering resources and targeting specific types of enterprises that could potentially create jobs or other rewards.		
Focusing on the role of women (i.e. gender mainstreaming) in rural areas to better integrate them in the rural economy through programs and training; focusing on the role of people with disabilities to better integrate them in the rural economy through programs and training;	Offering and creating access to on the job training and opening up economic opportunity to low skilled work and high skilled workers.		
Successful business cases are used to help inspire and train those qualified and interested to become 4-Return entrepreneurs; organizing training, courses and workshops in agroecology and eco-tourism to professionalize especially young farmers;	Project design provides citizens/communities with new skills, training and abilities for better job access for those who need it the most or most qualified.	Including/engaging surrounding and/or disenfranchised populations and/or addressing socio-economic needs of the community	
Partners having a pulse on what's happening in Alvelal territory and wanting to increase vitality and then making sure that they're on the front lines advocating for the things that Alvelal territory needs; focusing and including young people with the risk of being excluded from society; engaging the disenfranchised for long-term economic development; creating economic inclusivity by creating economic and ecological activity among underserved population living in rural areas; repopulating Alvelal territory and offering young people an interesting future in the territory;	Strategies that pay particular attention to social justice, equity, economic vitality of a place		
The development and upgrading of landscape infrastructure (i.e. regenerative farming or land restoration to attract eco-tourists) to allow better external tourism access; continuously think about ways to better engage (i.e. finding touch points with) the public and allow participation (i.e. bringing tourists with a special sensibility for culture, food and local people in Alvelal territory); organizing organized hikes that connect neighboring comarcas and wider public to Alvelal territory; tapping into every opportunity with partners to get to the people who will most benefit from the projects (i.e. children from public schools located in Alvelal territory, women working in rural areas, or helping people with disabilities with jobs); reduce barriers for the existing workforce to access jobs by helping to set up 4-Return and community enterprises;	Integrating into the design of a project different aspects of community empowerment		
Pursuing the same interests (i.e. to retain population to increase welfare, to increase prosperity); co-creating a collective vision about the place and what it means to be in Alvelal territory (i.e. collective vision about the territory for the next, 5, 10, and 20 years); having clarity on what is to be achieved;	Crafting/Articulating a shared vision among partners based on needs, shared understandings and expectations (as a means to motivate and foster commitment among partners)	Building and/or sharing a collective vision and acting on it	<b>D. Building Coherence Processes</b>
Re-imagining together the place; shared intentions to achieve goals; collective efforts, including communicating or advocating key stakeholders, moving in the same direction; rally around and converge together around particular issues that matter to partners; collective efforts are derived from a shared vision; rally around a shared vision and understanding about the opportunities associated with this place;	Rallying around a shared vision among partners		
Launch of joint partnership-projects implemented with joint inputs from partners (i.e. TUI group project on regenerative agriculture); disagreeing on details, but aligning with the vision; 4-Return and community enterprises align with the mission of the anchor organizations (i.e. Commonland and Alvelal); close alignment between different partners because they need each other;	Launching mission-aligned and joint projects that overlap or have touch points between different areas or organizations, or sharing the same ethos and values	Aligning of (different) organizational mandates/interests into a symbiotic relationship	

Working closely together; engaging stakeholders and donors by communicating in a way that shows the alignment across the various organizations in the event of a doubt or insecurity; sharing information to ensure good coordination; getting stakeholders on board and aligning them strategically with what is needed;	Close coordination and engagement between partnering organizations to ensure being on the same page.		
Development of places (i.e. agro cafés, rutas, general assemblies, or workshops) to convene and to meet up; organizing open days, training and technical workshops; spaces to convene, interact and exchange and connect with stakeholders;	Creating shared places and spaces to interact and exchange through events, gatherings, meetings	Reaching out/communicating/Interacting with outside and inside of the network stakeholders	
Using media as a way to communicate and raise awareness about what is being done across Alvelal territory; launch of a grassroots education campaign in public schools; open and transparent in terms of project updates, and private project data (i.e. being good stewards, being truthful); regular outreach through social media posts, newsletter and blog; organizing hikes (i.e. rutas) across the territory; clearly articulating and explaining what this place is about and what one can expect from its little ecosystem that helps to support businesses and their goals;	Looking for opportunities to raise awareness and communicate formally about what is being done inside with partners and outside to the space with partners, and being open and transparent with data and project updates.		
Weekly team meetings; regular meetings with investors and donors; regular meetings with partners; regular field visits to the landscapes; formal and informal meetings and dinners with stakeholders; attending events, in person visits, public meetings with partners; connecting and meeting with partner organizations; organize a catch up and circle back what is happening;	Doing outreach through regular (formal and informal) meetings, meet-ups, check-ins and phone calls, info sessions for exchanging and learning	Constant cultivating/Steering of ongoing and effective relationships	
Being in constant or very frequent communication and being accessible to partners; discipline of actually maintaining points of contact across the right levels of communication;	Being disciplined about maintaining points of contact		
Organize strategic planning meetings with stakeholders; organize regular meetings with partners and invite them to workshops and training; organize formal planning meetings;	Organizing regular and ad hoc meetings and reports with partners to stay abreast	Making sense together	
Hiring a person who will be a bridge-builder between the key partners; hiring a person who will be interlocking directly between partners and the farmers; the board and chairman; an operational group across multiple organizations to help manage the partnerships<	Establishing shared structures and procedures		
Partners reflect on what has worked and what has not, (i.e. organizing monthly skype calls with partners); learning to share and to exchange; partners having meetings based on needs and engage in meaningful dialogue to recognize mistakes and learn from them; flushing out issues in relation to the partnerships;	More than just updating on progress, and keeping stakeholders abreast, but actually ongoing engagement, seeking input and working with them on new ideas (or working through the problem together, and/or then designing solutions together)		
Managing a partnership requires good project management; tracking projects and collect data to help achieve goals (i.e. design metrics and evaluate whether metrics are on track); projects help achieve key numbers and have (rigorous) reporting mechanisms; share results/outputs;	Tracking progress and evaluating progress - procedures or metrics for evaluating progress, as well as success stories - being disciplined in terms of collecting that data	Being accountable (shared accountability, individual responsibility for the social mission)	
Recognizing organizational roles and how they help the collective or coalition to thrive; shared responsibility and interdependence because projects overlap between areas and partners; acknowledging the other organizations as key for mutual success; reciprocity; signing of mutual agreements to formalize roles; mutual expectations between individuals;	Partners' respective commitments towards each other to achieve shared outcomes for projects		
Design solutions with partners to ensure a broader base and more acceptance of local base and local stakeholders; to get more acceptance and buy-in; getting feedback, ensuring active participation, including others' opinions, diversity of thought when designing projects with stakeholders; talking about general pain points, and then doing brainstorming together; open transmission of ideas and different views without judgment; include comarcas and ensure their participation and representation around the issues faced in the territory;	Getting feedback, getting buy-in, active participation and gauging insights, different opinions from different backgrounds, and involving diverse groups, individuals and organizations (i.e. having amorphous conversations about pain points and also brainstorming together, open transmission of ideas and different views).	Generating/Fostering/Integrating different kind of thinking, ideas and solutions	
Support new areas that have not traditionally been thought of as synergistic (i.e. landscape restoration and community enterprises); help traditional farmers use knowledge (i.e. through workshops and training) to convert traditional farms into ecological ones; using Theory of U-method to facilitate interactions and meetings between stakeholders; introducing and implementing the Commonland methodology; using demonstration farms as success stories to change the mindset and integrate new solutions;	Facilitating the introduction of novel ideas, solutions, procedures, options and getting traction around them		

Share knowledge through external knowledge platform (i.e. MOOCs available on Coursera) - in a way that would make it helpful for partners to do their jobs and sharing it widely with partners and beyond; organize events to share the lessons learnt to help farmers with their operations; organize knowledge transfer days; capture and adapt learning and translate into an updated or a new strategy including all the previous key learning;	Sharing or dissemination of lessons learnt and/or offering direct advice and support to groups that could benefit from the knowledge/expertise	Capturing/Codifying Knowledge	
All learnings are documented and shared through Dropbox; sharing the results of the farm trials; collect the deeper learnings from other landscapes and integrate them in a lived framework, rather than a theoretical one; conducting research with research and academic institutes; capturing the results of the trials performed on the farms;	Conducting research, collecting data and/or building a repository of knowledge		
Physical upgrade of Alvelal territory through regenerative agriculture, restoring biodiversity and landscape restoration; regenerating Alvelal territory; access and upgrading physical asset (i.e. Alvelal territory); infrastructure upgrades that are capital intensive (i.e. a shared kitchen, a shared processing center);	Deployment, reuse and revival of physical infrastructure as a shared resource.	Leveraging and sharing resources which they otherwise would not be able to access and/or acquire independently	
Reimagining, re-shaping, cultivating and enriching their environment with new, useful and innovative ideas and solutions, and reaping shared rewards through community enterprises (i.e. La Almedrehesa) that can help improve the partnership or improve the individual enterprise's operations (i.e. sustainable farming and sustainable business cases; acquiring capability to access international markets); designing and co-creating solutions together to get more acceptance and buy-in (i.e. landscape restoration masterplan); through landscape initiatives reaping shared rewards (i.e. new sustainable supply chains); establishing new and collective knowledge on regenerative techniques; co-designing and co-creating annual or 5-, 10-, 20-year landscape strategies;	Partners using and combining resources to pursue opportunities together and/or addressing needs together that can help improve the partnership or improve each other's' enterprises or operations		<b>E. Building Network Resources</b>
Building a strong network of local contacts; a network of friends, and bringing together friends of friends; learning to be part of a network and managing network projects; learning how to manage a network of partners; being part of a social network that shares knowledge and learning about landscape restoration;	Establishing and developing a web of relationships between internal and external stakeholders which can be leveraged for growth and development.		
Looking for opportunities, including conversations, dialogue and actual programming to increase the impact of a project (i.e. scaling 4-Return enterprises in other sectors; RISE, a sustainable farm and farm assessment system); reflecting on how to increase the performance of stakeholders; scaling outside of the bounds of the initial projects; looking for ways to expand the footprint and be more meaningful; increasing the impact of and scaling community enterprises across other parts of Spain and Europe;	Replicating, expanding the footprint or applying the project itself or various processes, methods, components or solutions in different settings and locations	Generalizing the project operation or results beyond the initial context of application *	<b>F. Thinking Forward</b>
Partners envision and engage about the future potential of their partnership and project (i.e. thinking about the future of Alvelal and the territory); partners envision future scenarios for more mutual benefit and mutual learning (i.e. setting up a new EU certification system for regenerative farms); partners reflect on influencing policy at regional, national and EU or UN level;	Envisioning and/or developing alternative visions and/or engaging stakeholders about current and future needs, expectations.		
Constantly evaluating whether what partners did before or the decisions taken before, are still valid today and if they need adjustments; references to open discussions and critical dialogue on project development, or formal methods for reporting, monitoring, metrics; regular and proactive communication of progress with and between stakeholders and partners; formalizing landscape processes;	Reflecting on how a project unfolded and shared learning	Being reflective and aware of what it takes for a project or initiative to succeed	
Recognizing what does and what does not work in the partnership and how to overcome it (i.e. transitioning from an LTD into a cooperative enterprise model; wanting more transparency in how decision are made); recognizing the importance to overcome a challenge in order to succeed in the future (i.e. the association growing to 3000 members); recognizing where the problems are and how to overcome them (i.e. addressing issues around the chairman and the board; having a heterogeneous group with different political, cultural and economic loyalties);	Stakeholders rethinking and recognizing what it takes to overcome barriers for a project or initiative to succeed, to scale and growing impact		
Convening a core-group of people with reputation and credibility; working with partners who know the territory, the context and the problems; local stakeholder network grew strong b/c key to building effective relationships with local stakeholders is that landscape initiative is locally led; working so close with partners that it offers trust; building trust between individuals working on partnerships to share information;	Building trusting relationships between stakeholders that facilitates future collaboration and information sharing	Bonding/Linking between partners and building trust	<b>G. Enabling Mechanisms</b>

<p>(Long-standing) commitment of partners towards certain partnership-projects that are mission-aligned and/or mission/critical; pride, energy and inspiration that can be found locally among stakeholders that there is mutual benefit; motivation to use expertise help the rural populous to thrive; strong dedication; committed to this new way of working together; energy and inspiration among local stakeholders;</p>	<p>Proactively working with other stakeholders and committed to making this place thrive</p>	<p>Being invested in the 'network'</p>	
<p>Regularly making sure that everyone who is a member of the initiative(s) knows why they are working together; at annual retreats, group retreats or at learning fests connect, facilitate learning and exchange between landscape partners what it means to be in this space (i.e. using theory of U methods); as a collective rethink what it means to be in this space;</p>	<p>Leading and driving force organizations and other core organizations on a regular basis as a collective rethink and revisit what it means/entails to being a 'member' in this space</p>		
<p>Collaborating with organizations that are not physically in this place that share the same vision; shifting the mindset of stakeholders to share learning and experiences with each other; creating deep and lasting relationships and connections; using new connections, new learning and knowledge as a base for new economic ties; ensuring a coming together of different stakeholders from all over the territory who did not know each other; change happens when stakeholders start sharing the same knowledge and experience; creating closeness and facilitating collaboration between actors who are in the same territory but did not know each other;</p>	<p>Creating closeness to ensure that geographic proximity reinforce the bonds, trust and collaboration among partners</p>	<p>Proximity</p>	
<p>Neighboring farms inside Alvelal territory implementing landscape restoration and regenerative agriculture; farmers who are inside Alvelal territory; being physically/geographically inside or near Alvelal territory; working with partner organizations outside of Alvelal territory; working with your neighbor in the pursuit of a common good;</p>	<p>Being physically inside or near the same place (i.e. geographic proximity, and being within Alvelal territory) facilitates or reinforces collaboration</p>		

Table 13: Data structure of case-study 2

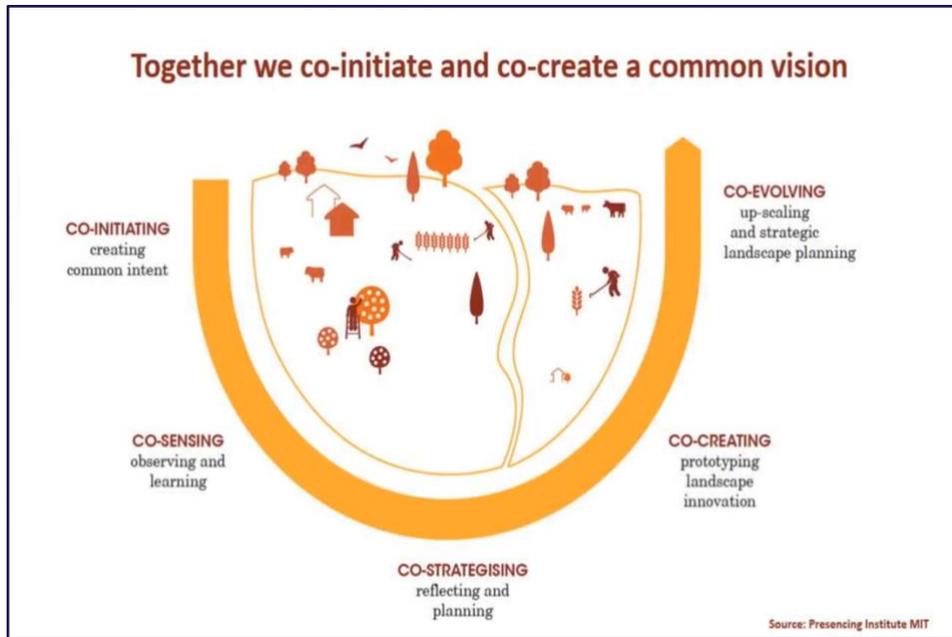


Image 26: Commonland theory of U processes<sup>97</sup>

From those workshops thus emerged the establishing of the Alvelal association. Alvelal has been Commonland’s first landscape restoration partner, flagship project or “lighthouse example” (Commonland) in the Mediterranean basin.

It is important to mention that the Commonland approach across the different landscapes around the world is the same - in each landscape, Commonland collaborates with a local organization to drive and lead the implementation of their 4>Returns framework. *What is this framework about?*

#### i) The 4>Returns Framework and four pathways

The 4>Returns was originally inspired by the comprehensive landscape restoration of the Loess Plateau in China, and is a “science-based framework that is proven in practice. Developed in close collaboration with leading scientific institutes, business schools, farmers and experts, 4>Returns transforms degraded ecosystems by focusing on 4 key returns over the course of a single generation, at least 20 years.<sup>98</sup>”

Commonland’s goal is to extend the 4>Returns framework into a global movement, contributing to the UN Decade on Ecosystem Restoration. Their approach to landscape restoration starts by understanding local leadership, ecological restoration potential, land tenure and economics of an area. They explore the potential of regenerative business cases, able to drive 4>Returns to landscape restoration at scale.

The first step in that direction, according to Commonland, starts by co-creating and co-designing through stakeholder engagement and mapping sessions with the aim to create a common vision for the landscape with

farmers, landowners, local NGO's, governments, and entrepreneurs. These sessions allow stakeholders to become aware of the shared challenges, and ways to identify and prioritize activities together and realize long-lasting landscape restoration partnerships focusing for examples on planting trees, regenerative agriculture, water catchment restoration and conservation.

Commonland fosters the exchange of knowledge through training and workshops, and with landscape partners helps to develop business cases built on regenerative agriculture, agroforestry and rotational grazing. All of these activities are supported through the mobilizing of blended funds towards landscapes, including grants, carbon subsidies, loans and investments<sup>99</sup>.

Landscape restoration for Commonland is more than just the recovery of land, because a landscape is also a collective good. People can revitalize an area, an economy that restores and uses the landscape with and through sustainable business cases<sup>100</sup>.

The 4>Returns framework on landscape restoration is grounded on four (4) pathways for receiving returns. The first pathway to receive returns is on 'inspiration' - with a new future perspective and new purpose for all those involved who are reinvigorated around a common plan for restoration of the landscape. This leads to social bonding and a sense of belonging - the second pathway, and what Commonland calls the return on 'social capital'. Restoration also leads to the return of 'natural capital' - the third pathway - such as restoring biodiversity, fertile land, water and a stable climate. That attracts 'financial capital' - the fourth pathway - first as an investment, and then later as a return in financial capital. **To achieve these 4 returns, Commonland operates through and focuses on restoration across three (3) landscape zones (see further below Images 27 and 28):**

- i) A natural zone in which biodiversity is restored and maintained;
- ii) A combined zone, which is rehabilitation with farmers working the land, and
- iii) An economic zone for sustainable business activity, or business cases, which are 4-Return grounded social enterprises<sup>101</sup>. In the words of Commonland<sup>102</sup>:

*"The issues [that we face, from migration, flooding, deforestation] you need to look at them from a holistic perspective, if you want to understand the ecosystem - it's connected to our economy, to our security, to drought, to social security, to all those things. And this is why ecosystem restoration is very much needed. And I thought, basically degradation is about four losses. Biodiversity, jobs, economic activity. But the most important issue was 'understanding' or 'meaningfulness' - people lost their purpose in those areas in those abandoned, dry, eroded areas. And I thought I needed to turn that around and talk about 4 returns. So, each hectare should deliver inspirational, social, natural and financial returns. And in that way, if you connect it with a zoning approach in the landscape, you'd have a natural zone, a combined zone, and an economic zone, with a timeline of minimum 20 years of investment. Otherwise, ecology will not work for you, but against you. And I connected the 4 returns, three zones, 20 years back to the farmers and I built a whole monitoring and evaluation study about it to show you that it's possible to monitor and evaluate." (Commonland)*



Image 27: Commonland Four Return Framework<sup>103</sup>

Commonland has been vital in the early stages of mobilizing and working together with and through an important core group of individuals in Spain, and building connections and synergy between them. Convening them, advocating for a shared vision for the territory, and to form a coalition.

*"If those 20-25 farmers in the beginning did not have the energy or the vision to tag along, to join our journey, so to say, then it wouldn't have been possible". (Commonland)*

Reinforced and reiterated throughout the interview also with Alvelal:

*"Commonland was the main partner in the beginning. They gave us economic support, and also technical support. But this was at the beginning. Now, five years later, they are less involved directly, and more in a supervisory role." (Alvelal)*

In addition to being the inspiration behind the 4-Return methodology, Commonland has continued to play a leading role, and even managing role in Alvelal after their formal set-up, including providing critical nonprofit tasks, such as technical support and fundraising (i.e., being a direct donor of Alvelal and brokering funds towards Alvelal and Alvelal projects), as well as spearheading and leading landscape restoration and regenerative farming.

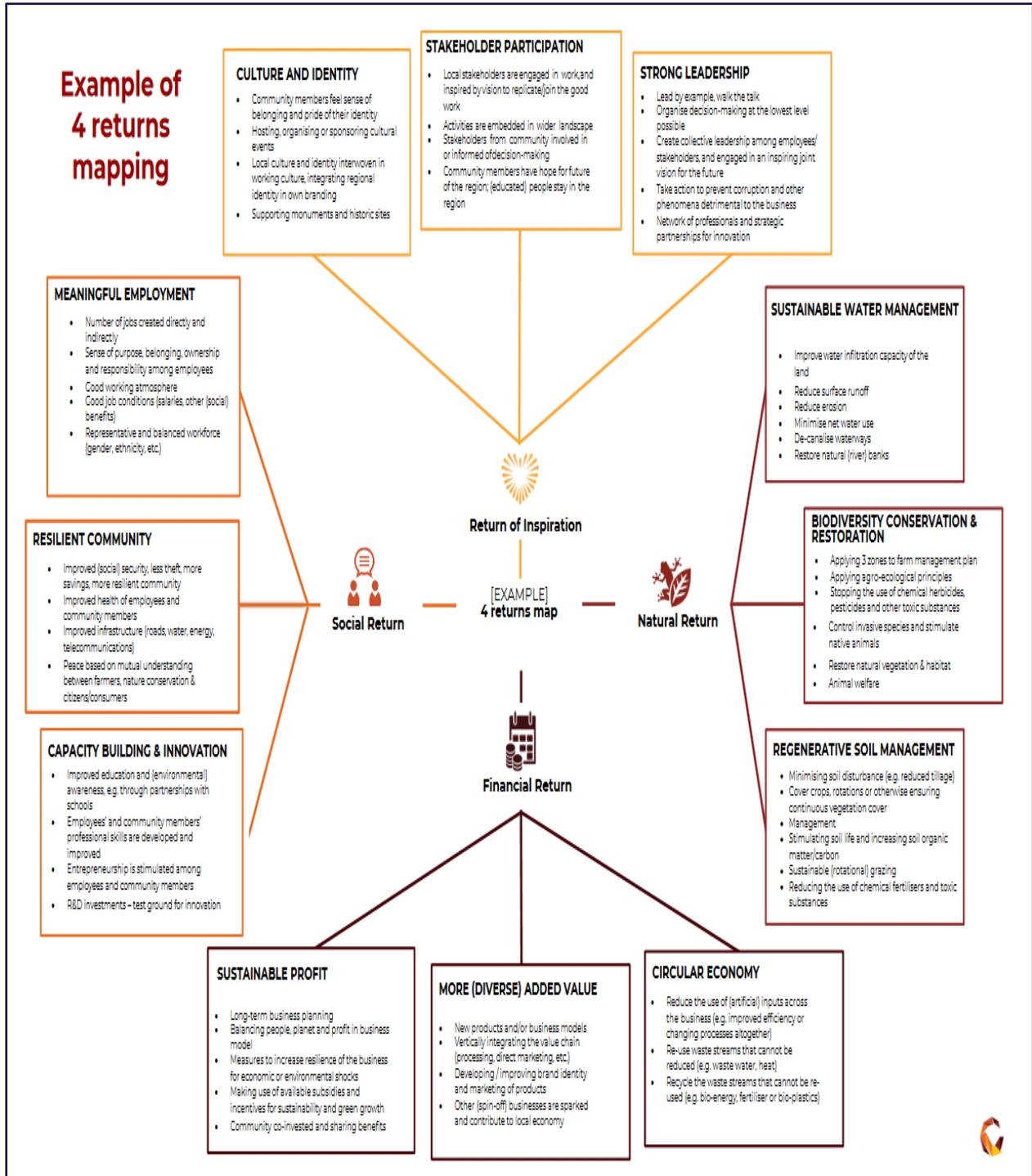


Image 28: Commonland Four Return Framework with details<sup>104</sup>

***“And like I said in the beginning when we started in Spain, we were much more involved on the ground in the actual management. So, I also did things in the team. But today, that’s no longer happening. We’re separate entities, and Alvelal is operating on its own, and we try to amplify their voice, and their incredible work into the world. “And, a little further in the interview “In the beginning, Alvelal was only an association on paper and staff was employed by Commonland for example. Since 2017 Alvelal is fully responsible, completely in the lead and Commonland has taken a step back.” (Commonland)***

This early stage scouting and mobilizing has also been fundamental in crafting and articulating a shared and interdependent vision across Alvelal and Commonland, and creating a sense of shared needs around reducing erosion, increasing soil quality and fertility and biodiversity.

***“When Commonland came to Spain with the ‘4 Returns Principles’ across 3 zones in 20 years, we listened to them; and when they started to talk about ‘4 Returns’, we also noticed that this was what we wanted to do, but with a framework. So, we quickly connected with them and (-) we have the same objectives, and they have a methodology. So, now we have implemented the Commonland methodology and we have developed projects around that methodology of ‘4 Returns’. “ (Alvelal)***

Over time, though, the role of Commonland has transitioned from a hands-on steward, convener, manager, and vision-setter into a more supervisory one, and giving Alvelal the space to become a fully independent organization. Alvelal has taken ownership leading as a fully-fledged landscape partner with its own set of projects and local partners in and across Alvelal territory, however fully integrating and executing the 4-Return Framework.

Since its official registration and inception, the Alvelal membership has grown from the original 30 members in 2016, to 300 members by the end of 2020 (most recent data received from the Alvelal Executive Director). Alvelal has set up structures, including a board of directors, as well as hiring a team. By the end of 2019, a total of 110 farms have received recommendations, support and revitalization support reaching 11,847 hectares of land.

A more current role that Commonland has played with its landscape partners is one of ensuring shared learning across the landscapes with landscape partners through key learning sessions, called ‘Learning Fests’ to deepen and broaden the learning across the partners as well as within Commonland. They have seen a role in connecting and facilitating exchange between landscape teams, and in that process, they have applied methods, such as theory of U, to rethink as a collective and revisiting what it means to be a ‘member’ in this territory. Specifically, for Alvelal, Commonland stated:

***“So, I’ve challenged [Alvelal] a little bit to actually make [the learning] more explicit and draft an updated strategy for the longer term this year. So, I hope we can have several sessions throughout the year to deepen and to make the learning explicit. As Commonland we also try to facilitate that; we see a role in connecting and facilitating exchange between the landscape teams. So, we have what we call a ‘Learning Fest’ in May, where three representatives of each of the landscape partners join the learning fest. It’s a week-long gathering focusing on shared learning and exchanging. So that representatives know what is happening in the other landscapes, and they can also call each other and say ‘hey, you are doing this, how are you doing that, what can I take from it’. It’s also a lot about personal connection because the whole week is built around Theory U - I’m sure someone mentioned it to you already. We are also bringing Theory U to Spain with the aim to bring people together and to ensure everyone is going to be on track. For Commonland there is an important role in facilitating this learning across landscapes but also within the landscapes, and try to actively make the connections. This year as Commonland, we organize communities of practice for our colleagues and for our landscape partners; and we will also start with communities of practice for the global community. There will always be this***

***inner circle, and we will try to link to the Learning Fest in May, so that we have a red thread throughout the year across the partners.” (Commonland)***

Commonland has convened this global community through their online knowledge and innovation platform, 4-Returns Earth<sup>105</sup>. In addition to offering a means to connect with and cater to a like-minded global community of landscape restoration practitioners, the platform also shares tools, publications, as well as offering two Massive Open Online Courses (MOOCs) via Coursera.

#### ii) Alvelal as Commonland’s Landscape partner in Spain

The close bond and synergy between Alvelal and Commonland have been particularly important to mention for a number of reasons, which was further accentuated through the various interviews.

First, the two organizations share similarities in the roles they play. Both organizations have been bridge-builders - they have convened various organizations, stewarded for a shared vision, and tried to accomplish landscape restoration and regenerative farming:

***“[We] are bridge builders, bringing people together, sitting around the table, or going to the landscape, or the farms and inviting people to share this process. If you read a little bit about Commonland and their ‘4 Returns’ and 20-years approach, we want to try to achieve a shift in the mindset. It’s not easy, and especially in one of the least developed areas in the whole of Spain, with a massive abandonment of rural areas. To give you an example, I live in a village which lost more than 80% of the population over the last 40 years, so from 8,000 to 1,200 people. So, we have to create added value, you have to live to create extra income, and ensure better life quality. And our challenge can no longer be solved by praying and saying “okay, we will give you some advice, or, we’ll leave you alone with our intelligent advisers”. No, for this challenge we have to search for solutions, and particularly search for solutions with the people, and to ask them about what they feel; and ask them what is their vision for this landscape. Normally the average vision is linked to election cycles or other European programs, so across 4 or 6 years. So, the 20-years approach is really something exceptional, and not dependent on electoral cycles.” (Alvelal)***

The second aspect, is that Commonland’s approach to work across and with different network of partners in landscape restoration and regenerative agriculture has also transcended into the Alvelal approach to collaborate across and with key organizations to achieve key performances.

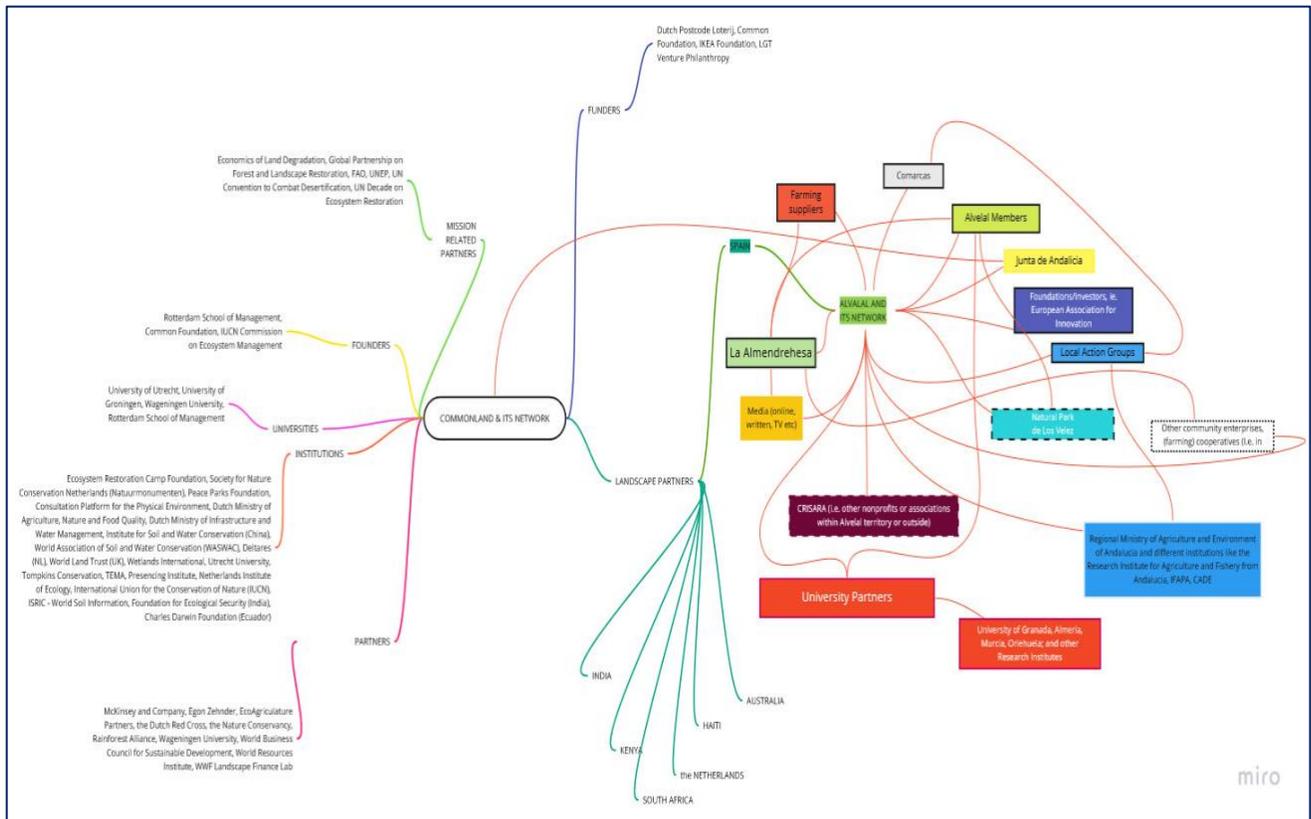


Figure 3: Commonland network based on interviews, data collected and drawn from the Commonland website

Within each landscape, Commonland has collaborated with a local organization, which also has worked with on the ground partners to drive and lead the implementation of the 4>Returns framework through their own set of projects.

***“We have developed an approach in which different partners work together to achieve these different returns. There is social capital, natural capital, financial capital and return of inspiration, which is key to these areas where there’s a lot of degradation, desertification, and people left alone in the countryside who are also at times quite desperate. So, this is all about the return on a new vision, and particularly a return on giving new ideas and return on hope for a better future. That has been the basic concept. So, we are deliberate about having a long-term vision, about being economically sustainable, and then in such a way that we involve business, public and private parties in these partnerships.” (Commonland)***

In its capacity as Commonland’s landscape partner, Alvelal has been working closely with a number of key formal organizations inside and outside of Alvelal territory, as well as a number of more loosely configured networks and constituencies. The purpose has been to access information and knowledge, and to prospect for new ideas, new solutions, leveraging resources, and exploring new and innovative ways to develop, test and launch flagship projects that are carefully curated and mission aligned (more on those projects in the following section under B) Project-to-project iteration). In this process, Alvelal has proactively sought feedback, received insight and gauged participation of what was commonly referred to as “a network of entities who work with us” (Alvelal).

Quite importantly, the first network of entities that Alvelal has worked through are loosely organized as semiformal networks of Local Action Groups (LAGs). A LAG is a non-profit-making coalition made up of public and private organizations from rural villages. These groups have a broad representation from different socio-economic sectors and are funded through the European Agricultural Fund for Rural Development (EAFRD). LAGs develop local rural development strategies, support stakeholder networking and can appraise and approve small-scale projects which better target the particular needs and priorities of their territory in addition to applying for grants and financial assistance<sup>106</sup>.

***“Especially the local action groups. In our first boat of Avalal, we included the managers of at the time three local action groups, nowadays they are five. But we included them, especially to have them, because select local action groups in each county are representations of all the society; they are associations, local administrations as other regional administrations, the banks, the worker unions. The employers, nearly 30 to 40 institutions are represented in each local action group. That was very important for the diffusion of our aim to change society in a positive way. Through agroecology and business development. So local action groups were important, but also the regional administration. And also, the farmers and entrepreneurs, the business people.”***  
(Alvelal)

By explicitly approaching the LAGs, Alvelal has worked through these loose networks, in order to ensure mobilization of key local farming communities, participation and representation from the local action groups, and also other organizations in order to start building a wide support for their work in the territory.

Throughout the interviews, when I inquired which different organizations have been working with Alvelal as key partners, cross-references were made quite definitively to Commonland, Alvelal’s association members, as well as the importance of CADE, the foundations, University of Almería, and research institutes (such as CSIC Granada), CRISARA (company specializing in organic farming, almond production and technical advice), IFAPA (The Andalusian Institute for Agricultural, Fisheries, Food and Ecological Production Research and Training), the Natural Park of Sierra Maria de Los Veléz, and the municipalities.

From these key organizations however, Alvelal, Commonland, Alvelal members, CADE, IFAPA, the University of Almeria and CSIS (Granada’s research institute) were mentioned as important stakeholders in articulating together and developing a shared vision about the territory over the last five years.

The following depiction in **Figure 4** is drawn from Commonland’s website of key partners, as well as the interviews with Alvelal and its partner network.

Although Alvelal has worked with numerous local organizations, loose constituencies, enterprises, research institutes and also territorial administrations across its territory, the relationship with Commonland has been the most instrumental in enabling Alvelal to mobilize and organize its key members around the 4>Returns framework to restore degraded land.

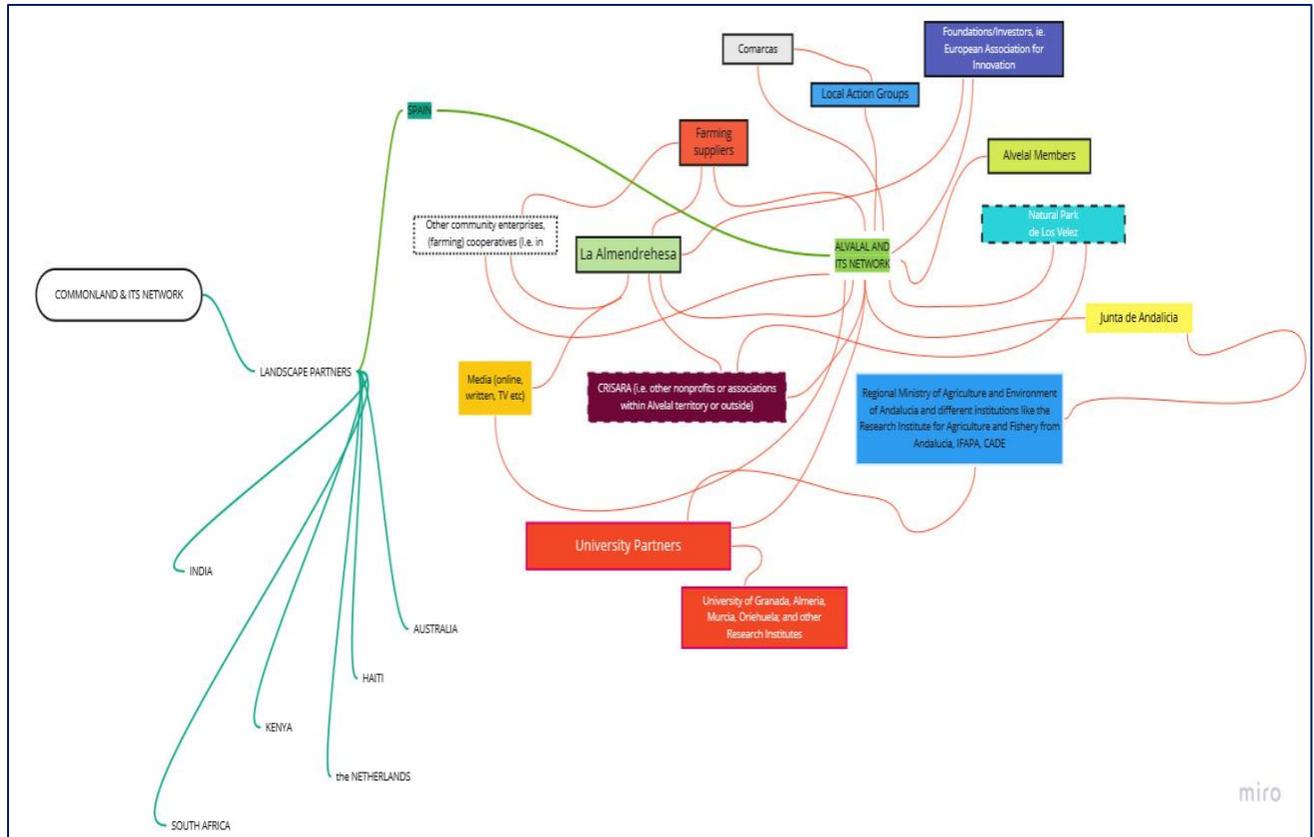


Figure 4: Alvelal network based on interviews, data collected and drawn from the Commonland website

The relationship has also been enabling Alvelal to organize its key members around the 4>Returns framework, offering technical and advisory support and services, and building a network of key organizations to work with in order to achieve its mission. It was particularly striking that throughout the interviews all interviewees were quite well-versed and knowledgeable about the 4>Returns framework and explicitly mentioned and referenced the Alvelal-model to Commonland.

***“The mission of Alvelal is to implement the mission of Commonland, that is, the mission of Alvelal is very similar to the mission of Commonland; and Alvelal was born with this objective, to launch the mission of Commonland. Alvelal's role is not that it has changed, but that it has had to try to be a demonstrative effect and change the way of thinking of the farmers and inhabitants of the territory. It is not easy to change the current way of cultivating, the “savoir faire” of current farmers, since, until the results are seen, it is difficult to change for other techniques that Alvelal starts up. Commonland role is to override the support it provides, technical and above all economic; Without this support, it would be impossible to change and therefore achieve the objective or mission of Alvelal.” (CADE)***

Since 2015, Alvelal has rolled out initiatives that are designed to facilitate and transition farmers to regenerative farming in over 10,000 acres of land. These initiatives have led to a substantial increase in the number of farmers engaged in regenerative practices, which include making swales, restoring terraces, planting green cover and creating wind-breaks in order to retain soil and water and enhance biodiversity.

***“We have different projects - we divide them across natural zones, productive zones at the farms, and economic zones. We normally have projects in those three areas, and we try to find the people who need our support in the natural, economic or productive zones.” (Alvelal)***

Beyond embodying the 4-Return Framework in Spain, Alvelal has also taken on specific leading roles, including offering amenities and additional services to members and other stakeholders. This is quite an important evolution and stepping stone for Alvelal as an organization since its official launch in 2015.

***“We [now] provide technical support for the farmers, we advise them on practical things like reducing erosion, increasing diversity, and restoring biodiversity. We also have funds for them, so there is economic support also. And we also develop [and offer] other services, like exchanging with other farmers from the Netherlands, or Australia or South Africa. Because, for example, Commonland supports other projects in South Africa, a very similar project like Alvelal. So, this year, we had five of the farmers of Alvelal travel to South Africa to see how they work.” (Alvelal)***

Alvelal has become more confident in its role leading as a driving force organization, whilst offering key amenities also to its members, including offering technical support, advice and coaching of farmers to adopt landscape restorative and regenerative farming practices. Its role has also included offering grant making up to Euro 9,600 to implement regenerative actions on their farms. In addition, Alvelal has provided loans of up to Euro 10,000 for various high impact business projects; organizing practical events, training, courses and workshops in agroecology and eco-tourism to professionalize especially young farmers; as well as offering technical assistance for the creation of new ventures integrating the 4>Returns framework. An interviewee, when asked how he would describe Alvelal’s work throughout the territory, he responded as an “incubator” for landscape restoration and regenerative farming.

Alvelal is enhancing biodiversity which is threatened by climate change, and is introducing proper landscape management solutions to reduce the impact of climate change, loss of biodiversity and soil erosion, and coupling the initiative with key projects to attract youth to the region to stay and rebuild, whilst addressing land abandonment and de-population. An example in this respect has been Alvelal together with a number of organizations planting 50,000 trees on La Muela Mountain in the Natural Park of Sierra María de Los Veléz (Natural Park). Seventy-eight percent (78%) of the trees are still alive after the first monitoring.

By addressing the issue of landscape and soil management in particular, the initiative has attempted to reduce future threats to the potential food and crop production potential of the region, which is one of Europe’s main producers of almonds and olive oil.

Very specifically also their initiative has aligned with SDG 15 - to protect, restore and promote sustainable use of terrestrial ecosystems, sustainably manage forests, combat desertification and halt and reverse land degradation and halt biodiversity loss. The conservation, restoration and sustainable use of terrestrial ecosystems has been essential for sustainable development. Targets under this goal have included a call to integrate ecosystem and biodiversity values into national and local development planning, poverty reduction strategies and accounts<sup>107</sup>. Initiatives that fit

into a broader global effort to restore 350 million hectares of the world's deforested and degraded land by 2030, which are critical for decarbonization efforts around the world.

Third, and lastly, the synergy between Alvelal and Commonland has been quite important, because the projects that Alvelal is implementing have been tightly aligned with and critical to achieving the goals of the 4>Returns framework.

This alignment has been important because it influences Alvelal's works with other organizations whose objectives - at a minimum – also have coincided and overlapped with conservation and preservation work in the region, including for example work with the Natural Park and CADE.

***“My relationship [with Alvelal] is one of collaboration and support from the administration trying to ensure that Alvelal's objectives are aligned with the objectives of managing this natural space, where I am working. The environmental and landscape improvement that Alvelal advocates in the immediate environment of the natural park is equivalent to those advocated by the natural park. “(Natural Park)***

***And further in the interview, where the representative refers to his role and how committed the Park is to help the collective thrive:***

***“[What] I have done is to actively collaborate for example on the improvement of farms in the park. In the park we have a regulation that any activity that is done inside the protected park must be assessed/reported/approved previously (has to go through a process). In these reports I have intervened expediting, or facilitating the administrative management and even proposing and clarifying some of the activities that were proposed. For example, “why don't you think about planting something else or on site instead of this one”; going down to the level of detail of what is done on the farm itself. We are talking about three farms inside the park where improvement activities have been made so far.” (Natural Park)***

And, in the words of the CADE interviewee:

***“[W]here I am a salaried worker, is the Comarca of Alto-Almanzora, which is also Alvelal territory. And my work directly affects Alvelal, because I help support entrepreneurship initiatives, promoting entrepreneurship culture, and everything related from raising resources to commercialization in the territory of Los Veles (including María, Velez-Blanco and Velez-Rubio).”***

***And a bit further in the interview CADE:***

***“ (-) because of the fact that I work in this territory, and that a majority or a high percentage of the entrepreneurs that reach out to me, are from the territory, and are going to allocate activities that have a lot to do with Alvelal; and they are primarily from the agricultural, cattle breeding, forestry and, tourism sectors “ And, “Well, we get a lot of projects with people who are from Alvelal. And we offer them all the training, basic administrative management, and provide support with the procedures required by the public administration. We support and advise them on the development of their business plans, and the canvas methodology. And all these things. We organize events [for entrepreneurs] inside CADE, that is quite related to the work we do in our territory [region], and they have a lot of relationship [overlap] with Alvelal, and in most of them Alvelal participates. And I also participate.” (CADE)***

This shows commitment and recognition of working together with partners whose missions have been aligned with those of the anchor organization, as well as rallying around a shared vision about what they could potentially achieve together whilst being anchored in the territory.

### **(B) Iterating, Experimenting and Learning by doing through joint projects**

Across all interviews a number of partnership-projects (e.g., discussed further below Alvelal 8000 or Destination Alvelal) were shared as successful pilot or flagship projects executed over the last 5 years by Alvelal and its network of partner organizations. These joint projects reveal an appetite for iterative learning, active experimenting and

exploring add value opportunities in the territory, as well as using the territory as a test bed for prototyping the 4-Return Framework through joint landscape restoration and regenerative agricultural projects. In the words of Commonland:

***"We always also say "you have to think big, but start small and act fast." So that's also in the landscapes. [Our partners] are very agile and very pragmatic, and also always moving ahead with the bigger picture in mind, but sometimes it's small steps forward and even going backwards. And that too is part of the game." (Commonland)***

These have been small and incremental progressive steps in creating a positive impact on a project by project basis. The projects are building blocks, and closely align with Alvelal's vision, for improving the resilience of the territory and the people against droughts, climate change, soil erosion and decreased fertility, and restoring biodiversity.

Among other key projects, Alvelal has actively been restoring natural zones by planting 50,000 native, drought-resistant trees (e.g., holm oaks) in the Natural Park in 2017 (Landscape restoration project in the iconic La Solana de la Muela hills) to restore the natural vegetation and biodiversity of the hills, characterized by years of soil and land degradation.



Image 29: Sourced from Noticias de Almeria visualizing tree planting days<sup>108</sup>

The project which has been supported thanks to numerous organizations, rallies the Wates Foundation, Ecosia Foundation, the Department of the Environment and Regional Planning of the Regional Government of Andalusia, the city hall of the town of Velez Blanco, the Natural Park, and volunteers from the Ecosystem Restoration Camp, around a shared vision for landscape restoration. The project has also served as a critical pilot project to create touchpoints and connections with the local workforce.

The project has integrated, for example into the actual design of the project, job opportunities for seven people from within the Los Velez community who worked nearly 400 days on the hills, and offered forestry and natural environment management students hands-on training in planting of indigenous flora from the region.



Image 30: Pictures from Alvelal’s Youtube channel, la Solana de La Muela landscape restoration project<sup>109</sup>

In the words of the Natural Park interviewee:

***“The idea is not to think that everything is done, to have an open mind to new initiatives that may be beneficial for the community. The improvement of public forests can be beneficial for society in the sense that the workforce - although they are not very large projects (they are almost always small or medium projects) - in the end there are always some hands behind which are the ones that materialize it. Even if it was for that reason alone, it was already worth it. Resources have been mobilized and contracts have been obtained - although part-time – which would otherwise not have existed. And, if the general state of the environment is going to improve, then we welcome it.” (Natural Park)***

The network has also been involved in a number of inspirational projects designed to draw attention to the area, such as ‘AlVelAl 8000’. Located at the base of La Muela Mountain, this living art sculpture is a reproduction of an 8000-year old local cave art in two sites declared as World Heritage Sites by Unesco (El Indalo and La Línea). Aromatic plants in the shape of giant prehistoric figures have been planted, and the colors change with the season.

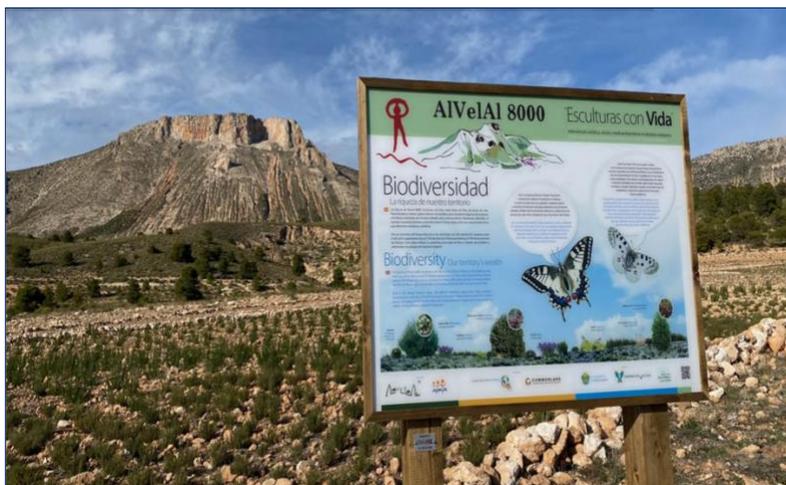


Image 31: Picture of AlVelAl 8000 landscape project, courtesy of Inspiration 4 Action<sup>111</sup>

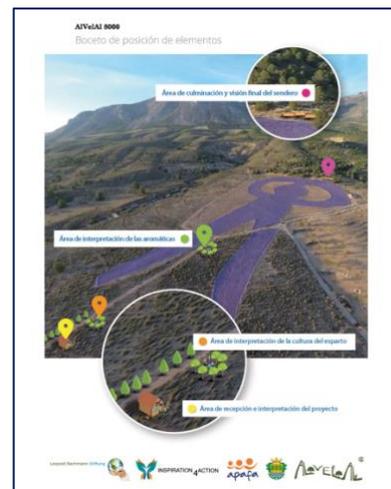


Image 32: Alvelal 8000, courtesy of AlVelAl<sup>110</sup>

Another key project, which has been mission-critical as well as mission-aligned is Alvelal's agritourism project funded by the TUI Care Foundation, 'Destination Alvelal'. The project has combined ecological and regenerative agriculture and livestock restoration with rural tourism, and has focused on better valuing and publicizing regenerative products from the region and linking them with local gastronomy; and offered tourists who come to the eastern coast of Spain experiential organized excursions (farm trips) to the territories where the products originate from. Destination Alvelal which aims to benefit 2150 people over the course of 3 years will increase the income of local farmers through sustainable agriculture and the development of ecological supply chains.<sup>112</sup>

***"Our most interesting project now is with TUI group, the largest tour operator in the world. And we are working with them to connect on regenerative agriculture with big tourist centers on the coast side. [There is also a focus on] sustainable food production, [and] also bringing tourists with a special sensibility for our culture and local people in our area." (Alvelal member and farmer)***

The project has also served as a demonstration of how Alvelal and partners have integrated into the design of a project different aspects of community empowerment and particularly an opening up the space to the outside community, for example through touristic initiatives, to raise awareness about their work and their innovative practices around farming and agriculture; and using such partnership to build new supply-chain resources that add value within the territory. According to TUI Foundation press release on this project<sup>113</sup>:

***"Between 2018 and 2021, an estimated 2,150 people will be reached by an in-depth awareness campaign about regenerative agriculture, with an expected minimum of 130 farmers turning to regenerative farming by the end of 2019. On top of that, more than 60 chefs of local restaurants will be encouraged to use local organic products for their dishes, advising them on how to innovate and market this new gastronomy, which sustains local livelihoods and surrounding ecosystems. Moreover, touristic excursions will allow guests to visit the project and learn about the environmental impact of food production. Particularly holiday makers can make a difference when consuming food in travel destinations. Thus, TUI Care Foundation boosts a decisive approach for the sustainable development of people, planet, and profits." (TUI Foundation)***

Another fundamental win-win project from the Alvelal network has been the launch of the first profitable 4-Return business case and community enterprise, La Almendrehesa. Founded in 2016 as a limited liability company with 21 farmer shareholders, the enterprise has been the first 4>Returns business case which in addition to generating revenues and financial returns, is creating social and ecological rewards. La Almendrehesa, which produces high quality almonds, has developed an integrated ecological system which combines woody crops with aromatic herbs, beekeeping and sustainable grazing to also achieve better carbon dioxide sequestration by the soil.

The enterprise specializes in regenerative farming techniques and expertise that are adapted to preserve the territories' attributes for rain-fed organic almond production, which also happens to be the world's largest acreage of rain-fed organic almond groves.



Image 33: Courtesy of iFund, and investor of La Almendrehesa<sup>114</sup>



Image 34: Courtesy of la Almendrehesa<sup>115</sup>

La Almendrehesa is producing, processing and marketing indigenous almonds from the region, as well as paying its farmers higher margins for their crops. In turn this has allowed farmers to re-invest in their farms and to transition from monoculture and industrial farming into fully regenerative agriculture.

***“There are over 100,000 hectares of almonds. The idea is to transform this almond monoculture into an integrated productive ecosystem. We restore the soil and add a vegetation cover to protect it, that also absorbs carbon from the atmosphere. On top of that cover we let Segureño lambs, indigenous to the region graze. The lambs aerate the soil, it fertilizes etc. They eat the vegetation, so it doesn't grow and becomes a risk for summer fires in the summer. That way we feed the lambs, while we help the environment, by decreasing the grazing pressure in the natural zones. The restoration is also based on growing aromatic plants to prevent erosion. Aromatic plants are another business case, in terms of essential oils. Aromatic plants prevent erosion and are a perfect habitat for pollinators, which in turn increase tree productivity through pollination. So, aromatics have an ecological function as well as market value. Bees also play a fundamental role. So, we aim at recovering endemic bee species. That way we build a productive ecosystem that generates biodiversity, protects the soil, and improves the water quality and availability. We have called it La Almendrehesa, since it is a diversified pastureland within almond groves. But it can also be applied to olive groves etc etc. It's a change of mentality switching from a monoculture to an integrated and productive ecosystem.” (Commonland-Alvelal Coordinator)<sup>116</sup>***

In the pipeline are also other 4-Return enterprises that target composting, olive oil, aromatic herbs, wine, cereals and honey producers. All pipeline enterprises are social enterprises that have a restorative landscape and regenerative potential, with the aim to create add value and job creation opportunities within the territory – to create and accumulate wealth in the region.

***“Initially, the business case focuses on regenerative almonds, building on the Altiplano's expertise in rain-fed organic almond production. Later, La Almendrehesa will expand its focus to other products such as wine, cereals, honey, aromatic herbs and olives (-). La Almendrehesa pays its farmers higher margins for their crops, which allows them to invest in their farms and to transition fully to regenerative agriculture. AlVelAl aims to increase the source of income for farmers by connecting local producers to the touristic centers on the coast, and promoting the territory as a touristic destination.” (La Almendrehesa)***

In 2018, more than 80 farms signed 5-year agreements with Alvelal and have committed to extend the application of ecological and regenerative agriculture<sup>117</sup> in the territory. These enterprises too have closely aligned with the 4-Return approach, and in addition demonstrate how Commonland, Alvelal, its members, and other partners such as CADE and IFAPA and private sectors investors have offered their resources at network level with the aim to launch a specific type of enterprise that create jobs or other type of rewards in this region of Spain.

Enabling La Almendrehesa see the light of day has not been an easy endeavor in a region of Spain, where farmers are quite accustomed to 'doing things as usual', and outside or novel solutions have faced doubt and suspicion.

Throughout the interviews and also Zoom calls, many mentioned and confirmed the challenge to convert old conventional farms and related industrial farming practices to ones that are restorative and regenerative. Creating new add value opportunities for the farmers to process and sell their regenerative products in Spain and beyond, has not happened overnight. It has required a long-term commitment and investment in the territory, as well as a shift in the mindset of those involved to collaborate together and rally around the 4-Return Framework. The La Almendrehesa-case particularly has revealed the shift in mindset which has been necessary to make regenerative practices a reality.

***"And it's not easy, but it's also positive to see how a small family company as my main almond processor has benefited, because when we started to work together, there was no international market; it was selling to other traders here, which took the big margin. And now seeing after three and a half years, inspired by Almendrehesa, how now that same company has access to an international market, is wonderful. And he has also learned a lot. This is also part of progressing, to see the change in the mindset, not of all farmers clearly. But we have! I have some very good examples – when we started, the farmers we work with had a little bit of the mindset of 'okay let's see, let's see how this goes'. And now, they defend organic regenerative agriculture! My almond processor, for example, he was very critical in the beginning, and now he has changed his mindset. "***

***And further in the interview:***

***"But when you understand the principles [of 4 Returns], it's easier to work on it, and to understand it, and be motivated; and also, to know that it is a medium to a long-term process to convert a farm from normal organic with more or less dead soil, to a really fertile soil, a living fertile soil. It's a process, and it's complex, and it is not only 'you change, and you will have success'. It's not so easy. You have to test, you have to experiment – it takes time." (La Almendrehesa)***

One particular incentive that a number of stakeholders (CADE, IFAPA, University of Almeria) referenced in promoting the change in mindsets of farmers, has been through demonstration farms showing the natural impact of regenerative farming practices, and the profitable returns of La Almendrehesa. Unless these types of community enterprises become profitable there is no genuine incentive to shift practices among 'old school' farmers and ranchers. This shift in mindset can further be reinforced when farmers can charge higher prices over the conventional market prices.

Perhaps most importantly, initiating La Almendrehesa has served as a launchpad for already the next iteration in the community's enterprise and work in the region. La Almendrehesa, Alvelal, its members, and CADE have explored the idea of leveraging shared resources to acquire and share machines and equipment through a "referral station" (Alvelal) for farmers who might only be using quite expensive farming machinery and equipment once a year.

Around this same topic, CADE mentioned how they were using business incubation tools such as the Business Model Canvas to go over the first iterations of what a referral station for expensive machinery and equipment could look like.

***"For example, a small-scale farmer who needs a particular type of machinery to incorporate organic materials so that green manure can be better absorbed. And he needs this equipment maybe 3 hours in a year, so he is not going to purchase expensive***

***equipment just for that. Maybe it would be better to work with a company that specializes in offering this type of service. Maybe this equipment does exist in Castilla de la Mancha, [but it's far], so, the farmer cannot sub-contract that machinery. So, this could be an area for collaboration [between CADE, Alvelal, its members and La Almendrehesa]. And all of this is represented by the business model canvas, the production, in the commercialization, the technical license.” (CADE)***

The success of these flagship projects shows awareness among Alvelal and key stakeholders on how to further explore win-win opportunities together, and further reinforce the projects as launching pads to continuously try new ideas, new solutions to create add-value opportunities in the territory.

### (C) Mainstreaming Inclusiveness

Mainstreaming inclusiveness in Alvelal territory has a distinct interpretation, in particular one that is involving the economic participation of women, youth and disenfranchised groups in joint projects that have been launched by Alvelal and partners; so that, they too can reap the social and economic benefits. Or, in the words of the Natural Park representative the projects are “an opening up to other groups to collaborate” with Alvelal jointly. Alvelal further elaborated:

***“We are especially aware about the role of women in the rural areas. Women are normally the most dynamic and most innovative persons in the area, if you go here to a normal training course or workshop or [other gatherings], you will find 80% women. So, they're a very important driving factor, and in our team half of the team are women. Women like Santiago Sanchez, she is a double national Prize winner of innovation in the rural areas in Spain, and people like her, well they are key persons. “ (Alvelal)***

The large-scale restoration project ‘Alvelal 8000’ particularly was mentioned throughout most interviews, as a key project where Alvelal and partners have worked together particularly with disenfranchised groups.



Image 35: Picture of man-made landart courtesy of La Verdad<sup>118</sup> and Alvelal Annual report<sup>119</sup>

Alvelal 8000 has involved the participation of students from the Velez Sucios forestry and environmental conservation management program, APAFA (Association of Parents, Family and Friends of people with intellectual disabilities), the Natural Park, the municipality of Vélez Blanco, as well as funding from the Swiss foundation Leopold Bachmann Stiftung, Commonland Foundation, and of course Alvelal.

***“We work with a local association APAFA that represents people with disabilities on Project “Alvelal 8000” supported by the Leopold Bachmann Foundation, Commonland Foundation, Municipality of Vélez Blanco and others; to reproduce the “Indalo”, nowadays a symbol of the province of Almería, which originally is a cave painting from the Cueva de los Letreros, near the village of Vélez Blanco and part of UNESCO World Heritage. We have reproduced the cave art in 1,7 hectares of degraded land and restored the landscape with productive crops of aromatic herbs.”***

***And a bit further:***

***“Our aim is to promote inspirational projects such as this to restore degraded landscapes with land art (an esthetic) approach in a project with social impact that fosters local self-esteem and pride, including working with different civil society stakeholders; and paying special attention to women, young people and people with disabilities, developing business cases that guarantee the survival of the projects and give an extra income. So we are not only working with people with disabilities, but we are also aware of [having] solidarity projects.” (Alvelal)***

The aim has been to set up a new 4-Return enterprise with APAFA to manage the commercialization and acquire the economic benefits derived from aromatic plants as essential oils and natural cosmetic products, among others. “That same association represents individuals with disabilities and does the packaging of almonds for La Almendrehesa.” (University of Almeria).

Ensuring economic activity and creating economic opportunities so that young people stay and rebuild the area, has increasingly become a vital component of mainstreaming inclusiveness. The economic zone has been the pathway through which this has been made possible in the 4>Returns framework. This has been about creating economic prospect and opportunity so that others too can have a stake in creating natural, social and financial wealth in this region of Spain, and having a choice about staying in this region instead of moving to neighboring cities for work.

The tourism related projects of Alvelal and partners have more and more been focusing on localized economies and increasing employment - two components which are more explicitly being integrated into the actual design and implementation of a project. ‘Destination Alvelal’ (Destino Alvelal in Spanish) has particularly intended to support and help the set-up of eco-tourism businesses in the region with the support of the TUI Foundation, the Natural Park, CADE, the municipalities, and other stakeholders. During the interview with CADE:

***“[Destination Alvelal] is quite important and linked to the touristic work of Alvelal. I know this because there was a training at CADE in November, and [Alvelal] explained the project, at the level of the CADE in Andalusia where I work. We organized the training called the ‘Natural habitat, Environment and Employment’ which involved the natural park of Los Velez, which involves the four municipalities; schools and workers of the natural environment, and landscaping. So, we developed this training focusing on the conceptual framework of the Sustainable Development plan for the natural park; then we reviewed the business plans, and then Mr. Roth explained Destino Alvelal initiative. “***

Farmers have been trained to use their farms for ecotourism purposes (i.e., wine, beekeeping, gastronomy) and have implemented the 4>Returns framework to produce high quality add value products, whilst at the same time offering wider ecotourism activities for tourists to visit the region.

***“[T]he economic area is also important. Because, otherwise the farmers cannot live here. It is important to give them opportunities, and to offer them business cases. We work very hard to develop business cases in order to help the farmers to***

***commercialize their products. And the social part is also very important, because in our territory we have the big problem of depopulation. “***

***And a little further in the interview, “It’s important to develop employers and business cases, because we want young people to stay. My dream is that my daughters - I have two daughters - in the future have opportunity and a choice; that they have the choice to keep living in this territory, or if they want to move to a big city. But they must have a choice.” (Alvelal)***

Alvelal and partners have a pulse on what is happening in this region and have been committed to include and ensure participation and empowerment of a specific group of people, women, youth and disenfranchised populations in the actual design and implementation of their projects. They have wanted to ensure reaping of economic advantages and creating economic prospects, while at the same time paying particular attention to questions of economic vitality and social justice in the region, and attempting to address socio-economic needs of the community.

The partnership with TUI Care foundation, for example, has increased job exposure opportunities, and addressed socio-economic needs of the community, by proactively looking for avenues to create agritourism businesses and enable community empowerment by supporting tours and touristic initiatives<sup>120</sup>. The IFAPA representative in particular in question to its relationship and role with Alvelal and partners mentioned a focus on workforce development for youth.

***“From IFAPA [side] we try to support, above all, the training of young people who join agricultural activities, but also with the transfer of scientific knowledge.” (IFAPA)***

This increasing and more explicit focus on localized economies and job creation has been an emergent feature of the Alvelal network. These types of projects were not designed and implemented five years ago, and are demonstrating an increasing confidence, growing maturity and also buy-in from key stakeholders to work together through new add value and win-win projects.

#### **(D) Building Coherence**

Earlier, I presented results about how Alvelal has tapped into an already existing network and deepening relationship with LAGs. This key existing network was particularly important to ensure gauging buy-in and input from diverse organizations and stakeholders right from the beginning. Nearly 30 to 40 institutions are represented in each local action group - and engaging the LAGs has been important to build a coalition around a shared vision and positive ambition for the Alvelal territory.

Equally important have been the various ways that Alvelal and partners explore to reach out, communicate, and interact with outside and inside the territory stakeholders. Social media releases, newsletters, events, gatherings and training are used as an avenue to share and diffuse knowledge and raise awareness and communicate formally about what is being done inside Alvelal territory. These specific activities were cross-mentioned and demonstrating reaching

out, communicating and interacting with stakeholders, as well as nurturing and cultivating effective relationships over the last five years across this vast territory. A few of these activities deserve special mention.

An ambitious five-year, grassroots education campaign called the “The Children and Landscape” initiative was launched in 2018 with the aim to cover rural public schools and reach 33,000 students and 3,000 teachers, located in Alvelal territory to sensitize at a young age appreciation for landscape, eating habits and healthy living<sup>121</sup>.

In addition, Alvelal has organized Agro Cafés which are key gatherings and opportunities for people from within and outside Alvelal territory to informally meet, come together and discuss landscape restoration and regenerative agriculture. These cafés, which are organized monthly, are open to the public and announced widely through social media networks.



Image 36: Agro Café announcement Alvelal Instagram account<sup>122</sup>

They have also been convening spaces that Alvelal and partners use to gauge insights, collect opinions involving diverse groups of participants; and as avenues to cultivate relations between those participants, to create opportunities for exchange and learning, brainstorming and creating ties and bonds between participants.

***“From the beginning, the entire project is being opened to the entire community that encompasses the Alvelal territory, not just the partners. A multitude of open-door activities have been done to learn about the model, and many training and demonstration activities (practical knowledge transfer) are being done from IFAPA. “(IFAPA)***

Equally, cross-mentioned were ‘knowledge transfer days.’ These are key events organized with partners, including with academic and other research institutes, to share and diffuse knowledge about landscape restoration and

regenerative agriculture. For example, Alvelal mentioned a workshop where research results and data were widely diffused.

***“It was decided that different people would be in control of [research and sharing of it], and coordinating that. It is just letting people do research, and not only receiving information but also sharing the information. For example, last week an event was organized (-). People were doing their presentations about their conclusions from the research. All of them are equally important and transmitting the feeling that all are working for the territory, and Alvelal is like the meeting point.”***  
***And a little further in the interview, “And that helps and makes it attractive - people then want to collaborate with Alvelal, or to help the Alvelal vision become a reality.” (Alvelal Member)***

These workshops that have also included visiting demonstrating farms, workshops around soil quality and regenerative practices, have been instrumental in sensitizing key stakeholders, particularly agriculturalists and ranchers about the collective learnings that have been obtained; as well as sharing key results from the farming practices, and discussing add value opportunities linked to these practices and techniques.

Collaborating with research institutes and universities, conducting research, collecting data and sharing knowledge about the impact of regenerative farming, has particularly been important for a relatively young organization that intends to disrupt existing farming beliefs and habits.

It is particularly important because a key challenge that was mentioned throughout the interviews, which partners are trying to overcome, is a shift in the mindset and farming practices of old-school farmers who have a limited interpretation of returns, and only focus on the bottom line of maximizing profit. Alvelal and partners have thus invested quite a lot of time and resources raising awareness, doing outreach, informing and offering training and advice to benefit farmers and stakeholders who are suspicious and doubtful of these practices to become less so, and thus to benefit from the expertise.

This investing in the shifting of the mindset of Alvelal members and others who are part of the network, and investing in the individual capacity of individuals using Theory U methods was prevalent and mentioned throughout the many conversations. It is also a testimony to the importance of shifting behaviors and attitudes, and particularly creating the capacity among individuals about the expectation of collaborating through a collective to reach new and positive outcomes.



Image 37: Knowledge Transfer day announcement Alvelal Instagram account<sup>123</sup>

One rancher and one agriculturalist in particular referred to their participation in studies on soil generation, vegetation and cover crops applying techniques suggested by Alvelal and research institute experts. Reference was made to how important it has been to translate the shared knowledge about these new cover crops and fertilization practices, and using events and demonstration farms to help convince more farmers, and achieving Commonland and Alvelal objectives.

***“Researching is good, but translating the results of the investigations, and things that emerge from this research, need to be transferable to the farmers in an easy, functional and understandable way so that they can handle (the information, the knowledge). Because there is a lot of research, but the implementation of the conclusions to reach the farmers is difficult in order to create changes.” (Rancher and Alvelal member)***

And in the word of one of an Alvelal rancher:

***“I recently attended a meeting where results of studies were shared with us, including one where I participated in regenerating soils. (-) This study shows a number of regenerative best practices that farmers need to apply. So we have been monitoring for example the soil quality, soil temperature, how we improve our cover crops, and we shared our result every 3 months. To establish common norms and knowledge with regenerative techniques and we draw our conclusions. And we did analytical tests of the soil and its evolution, and we compared our practices. So, for example one farmer uses compost, I did manure from sheep dropping that they bought from a neighbor. We collected and compared the data, in addition to us actually seeing the physical results, we now also have the analytical data to support it. So, you see the PH of the land being turned around. I don't have an agronomic formation, what I know, is because of practice. And it helps us to know how to interpret the soil analysis or soil analysis data – for example to understand the contribution of magnesium, or what magnesium does to a crop or land, correct the PH, and all these things, micro-nutrients etc. In the end, what is key is not just to have access to training but also to be able to have access to a person that can translate technical data for you. And to be surrounded in a forum where there are other farmers, that are slightly ahead of you doing regenerative agriculture, the exchange of information, is very enriching.” (Rancher and Alvelal member)***

All these grassroots-led, bottom-up events have been important to raise awareness and communicate formally and informally about what is being done inside Alvelal territory with partners, and to cultivate relationships in a constant manner. Alvelal has played a key role in organizing and stewarding these opportunities to cultivate and steer effective relationships. These events have also been instrumental in aligning and creating closer relationships between people and organizations that essentially have different interests. It has been Alvelal's way to be open and be transparent about sharing data and project updates with the wider community, and a proactive effort to be good stewards toward the doubtful and suspicious farmers.

***"[Alvelal] does many different things and people ask 'so what is this about, is it about regenerative agriculture?'; 'Is it about reforestation?', 'Is it about teaching and giving workshops?', or 'is it about doing cultural and touristic things?'. It's about everything because we try to tackle all these things at the same time. We do events such as 'rutas'. These are organized hikes from one point to another, so that people go through the landscapes, and at the same time we bring a couple of different comarcas, different villages that maybe are from different political sides, together. We try to group them to do something together and try to get that mindset [of being inclusive and working together] into the territory - a mindset that is a bit black or white here, or like one thing or the other thing. We are trying to do more of [these type of event]. [Alvelal] is involved with a lot of these cultural and social things. So there are the events, and then we do research with [the University of Almeria] mainly, and other partners that do the research in collaboration with Alvelal on regenerative agriculture." (Alvelal member)***

Furthermore, this cultivating and steering of relationships has not only been limited to Alvelal territory and the network partners. It has also occurred in relation to Commonland and keeping other landscape partners abreast of projects.

***"Each month we have a Skype conference with our partner projects in Australia and South Africa. We visited South Africa in 2019, and last year we went to the Netherlands, so we have to learn and to exchange experiences; and also, with local and national initiatives in Spain, there are quite a lot. Absolutely. The last few years in Spain people are also thinking about how to do things in another way. Especially in agro-ecology and common goods economy and similar topics." (Alvelal)***

The Commonland counterpart who has been working on maintaining day to day and strategic exchanges with Alvelal, referred to the consistent, disciplined and regular visits that Commonland has been carrying out throughout the territory to stay abreast, connected and involved with Alvelal's work.

***"On average, I'm visiting Spain five to six times a year, and sometimes a little bit longer; sometimes it's only very [short]. I'm on a mission for just a few days. Because there is an event or something [else that is happening that requires me being there]." And a little bit further in the interview, "When I am in Alvelal - there are a couple of things I try to include in my program. I'm meeting with the full team in person; I have a meeting or a dinner with the board. And then I complete the program with individual meetings, more personal connections with the team; so, although it could be a Saturday afternoon, I think it's really important that there is this personal connection. It's often with the team, it's often on the weekends, during the evenings. I do the same with the farmers, or the members of Alvelal. Like I said, we have now 275 so I'm reaching my limits there as well." And again, a little further in the interview, "And it's very much about the personal connection. I've tried to do the same with local organizations in Spain within the territory where Alvelal is working, or where Alvelal has either a collaboration agreement - or are just circling around it, and you need each other. So, also there I try to organize a catchup or a visit when possible. Local authorities, I don't. I'm really focusing more on the partners and the local organizations." (Commonland)***

Constant cultivating and steering of ongoing and effective relationships particularly have helped with making sense together throughout the various ongoing projects. It has helped for example with realizing that new roles need to be

developed dedicated purposefully to better manage and coordinate the relationships with Commonland, the farmers, Alvelal and La Almendrehesa.

***“With Commonland for example the contact is very intensive; we have one person who is a little bit of a bridge between Commonland and Alvelal, and Commonland and La Almendrehesa. And it’s a very intensive contact.”***  
***And a little bit further in the interview, “With the farmers, for example, clearly, through regular workshops that we organize, or at La Almendrehesa we have at least two or three meetings. Also, sometimes they are calls. The contact with the farmers could be a little bit more intensive. But, yes, there is always contact. Alvelal has just employed a person, dedicated to working with the farmers. Not as a typical advisor, but to be there when there are problems, to resolve issues, and being hands on with the farmers.”(La Almendrehesa)***

Alvelal specifically referred also to its role as a translator “Everyone from his point of view and his capacity is bringing something to our common project. So, we have specialists on one issue, and another from another issue. And that’s our most important mission - to bring them together and to share this knowledge, and to translate it into concrete projects and into a language people understand in the area. You have to be a translator.” And when describing their role in the wider network that they have built over the last five years in Alvelal territory, whilst being Commonland’s landscape partner “we are the communication dot” in Spain.

Generating, fostering and integrating different kinds of thinking, ideas and solutions has been quite inherent to the way Alvelal works. An aspect that one the farmers with a demonstration farm also referred to:

***“[Alvelal] welcomes all types of people with all types of political ideas, which I think in Spain is difficult to do. It’s normally you are from one background or the other, or one party or the other, and we are having an organization of people that are from different [backgrounds]. In the board and in the team for example and also among members, we have people from every political ideology. I think that’s really good. And we make sure that it is like that, and that we keep welcoming people with all those ideas and we never criticize, that we stay sensitive to that. This is quite an innovative way [of doing things in the region], I think.” (Alvelal member)***

Quite an important example was given about how Alvelal has ensured the participation and convening of diverse groups, getting feedback, buy-in and ensuring their active participation. Reference was made by almost all interviewees to a “big meeting with people with different opinions” (Alvelal) to co-create and co-design the strategic vision for the next 20 years for the territory, where partners were actively engaged to participate with the help of a facilitator, and where the outcome was a shared decision involving various partners, including around the budget, and even after a moment of crisis replacing the president of the board.

***“We always design our projects, always with other partners. Because, in this way you have a broader base. And you’re going to get more acceptance from the local base and local stakeholders.”***  
***And a little further: “We have developed a masterplan for twenty years together. To develop our territory. So, we work with a group of professionals specialized in the participation processes. And they are designing animating processes for participation, to help us develop a plan for the next 20 years, and ensuring that all our partners [and also specific Alvelal members] are involved/engaged in that process.” (Alvelal)***

What was quite striking throughout the interviews, was the willingness of interviewees to discuss openly and recognize their challenges working across such a diverse community of stakeholders, and how important it has been

to showing commitment to hear various interests. Also, how ensuring the participation of others has been important to overcoming the differences. Deeper level engagement, participation and consultation of Alvelal members, and other stakeholders in the design of the vision for the next 20 years, has been an important turning point in the maturity of the relatively young organization. In the words of La Almendrehesa:

***“We are going very slowly forward [to ensure buy-in]. Seeing or assessing the points where there is convergence, and on that basis, we work together. So, we go very slowly, but put an emphasis on our strengths, until we reach agreement. In addition, we work with professionals who are experts in participatory processes.” (La Almendrehesa)***

According to the representative from the Natural Park, it has been about creating a network of people pursuing a common good:

***“[The organizations working with Alvelal] are like a collective, with the idea of working together with neighbors, and in pursuit of the common good. This is a turning point with respect to other times when I felt that there was much more individualism. In principle, it seeks the idea of creating a network of people with the same concerns.” (Natural Park of de Los Velez)***

The CADE representative shared in a similar vein:

***“One of Alvelal's most positive issues is the wealth and heterogeneity of partners and collaborators that it has, people from different disciplines of life transmit their knowledge to the rest of the partners and the result is fantastic.” (CADE)***

Throughout these processes, Alvelal and partners have been tracking progress of their work and sharing results, have regular meetings to keep each other informed, and complied with regular reporting lines and metrics for donors. Alvelal has also signed respective agreements with partner organizations. However, it was interesting to note that the individual representatives of organizations that were interviewed expressed high levels of individual responsibility and commitment towards the work they are doing with Alvelal. All expressed a genuine commitment of an individual or personal nature towards the common goals.

***“We're lucky that people are very motivated and very responsible because they're working on - most of them - on rural development. So, they're very motivated, the universities, the High Council of research of Spain, the municipalities, local action groups and of course most of them are very proactive. So, we don't have to motivate them, they're very motivated. Some of them are maybe too motivated at times. So, we have to do something and sometimes say ‘stop a little’.” (Alvelal)***

In a similar vein, one of the farmers mentioned:

***“[The collective outcomes] are shared, definitely. I think that is the way to express it, and the way to define it. I think Commonland was the one giving us the [concepts and the model] of ‘how you can do things’ and the ‘importance of doing things in a particular way.’ At Alvelal we have taken this onboard. For a lot of partners, as soon as they hear about the [model], they are like ‘okay, let's indeed go forward with this, and we are going to do our part.’ And further in the interview, ‘I think a lot of the organizations are more specialized in something and I think Alvelal is the more generalist one. (-) I think each organization puts a weight on its shoulders, ‘okay it depends on me that this ecosystem gets better’, or improving the livelihoods ‘(-) I think each one does one part, or knows about one part, and Alvelal is the one trying to influence all of those things at the same time.’ (Alvelal Member)***

Although there has been a commitment toward Alvelal and the shared outcomes, and the respective partners recognizing their roles, the individual commitment has not necessarily - at this point in time - translated into interpersonal trust or shared accountability across and between the various organizations that constitute the collective. In other words, partners have been rallying around a shared vision and shared outcomes, but that has not yet translated into a shared sense of social responsibility between and across the organizations that constitute the collective.

***“I believe that each of the different associations and organizations, evaluates the results obtained on their own and according to their criteria and then in the meetings (forums, assemblies, etc.) of Alvelal certain conclusions and/ or proposals are made manifest, but in a collective way outside Alvelal I don't believe, or at least not in CADEs.” (Natural Park of de Los Velez)***

This can be due to various reasons, one, being that Alvelal is a relatively young organization, and therefore the ties and bonds still need time to deepen and widen. The projects that I have mentioned are flagship projects, and therefore the first iterations of key partnership-projects. In addition, changing the mindset of agriculturalists and ranchers takes time, as does transitioning and obtaining the desired impact of regenerative farming practices, and setting up successful business cases over time.

### **(E) Building network Resources**

A number of key examples were mentioned throughout the interviews of how the Alvelal partners thanks to the network have accessed new resources, or assets, they could not have acquired independently.

#### **i) Physical Resources**

The Alvelal network has focused on two specific material angles. The first one is in relation to a shared place within which, and across which, partners have been executing their projects together. Partners together have restored and enriched their shared natural environment, a shared place, which is commonly known as Alvelal territory. The second dimension has been the deployment of new infrastructure, such as a shared kitchen for food manufacturing, or a place for sharing expensive farming equipment with farmers. Partners together have been leveraging these places as a shared resource and as shared physical assets throughout their joint projects. I have detailed these shared material assets further here below.

For example, it is within this territory that Alvelal has organized community building events and training; organized farm demonstrations to test and showcase new ideas and solutions to neighboring farmers and tourists. The privately-owned demonstration farms located within the territory have been used as a shared resource and place across the Alvelal network as key examples of how through collaboration with Alvelal partners and an existing farm has transitioned to regenerative farming practices. These demonstration farms showcase how through placement of cover crops and planting aromatic herbs and native trees, vegetation and quality of the soil can be restored in an area

which is characterized by hot summers and cold winters. In particular, these demonstration farms have shown how partners together have rallied around a shared vision about what Alvelal territory can become thanks to landscape restoration and rooting of regenerative farming practices.



**Image 38: Alvelal demonstration farm showcasing cover crops at the Martínez Raya farm in Granada, from Alvelal Annual report<sup>124</sup>**

In a similar vein, Alvelal has established a shared kitchen and process center where farmers can test and develop new almond-based commercial products (i.e., almonds with chocolate, or almonds with honey). This is a place that is shared with farmers (cooperatively owned), and a key example of deploying a shared facility, and how Alvelal and partners have been using shared infrastructure for empowerment and access for farming enterprises.

The flagship living art project and the restoration of La Muela landscape by planting trees in the National Park are examples of projects where collective efforts have resulted in physical upgrades of degraded land into one that improve connectivity and accessibility between the territory and the people living in around these places. The aim has been to sensitize those outside to collaborative work, and to reinforce the ties to landscape restoration and regenerative farming.

## **ii) Economic Resources**

The best example of a shared economic resource within Alvelal territory, is the La Almendrehesa enterprise. La Alemendrehesa is the result of collective entrepreneurial efforts, and the first and successful attempt at jointly reimagining, re-shaping, cultivating and enriching the existing environment with a new, holistic and innovative business model. It is a bottom-up approach to revitalizing distressed rural communities, focusing on developing farming capacity, supporting entrepreneurs, increasing incomes, and building shared assets.



Image 39: La Almendrehesa packaged almonds ready for export, courtesy of La Almendrehesa<sup>126</sup>



Image 40: La Almendrehesa olive oil, courtesy of Alvelal<sup>125</sup>

The company has been the first 4-Return business case and example of an Alvelal-territory community enterprise which has been founded thanks to the joint efforts of key partners (CADE, Commonland, IFAPA, University of Almeria, Alvelal and Alvelal members, and particularly 21 Alvelal farmers). Partners have leveraged existing assets and resources to address social, ecological and economic needs, as well as mobilizing the skills of a community of farmers and ranchers through social enterprise development. As such, the company is the outcome of the efforts of multiple organizations across multiple levels, which could not have been developed independently.

La Almendrehesa has also demonstrated that - throughout the process of regenerative practices, working within and outside the territory with partners, and tapping into the respective resources and strengths - has required co-designing and co-creating this community enterprise with all relevant stakeholders.

Perhaps most importantly, the enterprise is proving that also in Spain and in Europe, it is possible to startup enterprises that integrate social, ecological and economic prosperity and the well-being of people without (necessarily) compromising on financial interests.

### iii) Social Resources

The last shared resource which has emerged over the course of the last 6 years, and mentioned throughout the interviews, has been the relationship between Alvelal, its members and the partners. A network of relationships has emerged thanks to Alvelal's work which did not exist before the intervention. In the words of the Natural Park:

*"People who did not know each other and had no relationship even if they are in the same territory, even if they do not coincide in any forum or on any event, they did not have the opportunity to interact, in this way [through Alvelal]; it is a way of creating closeness and facilitating collaboration." (Natural Park of Los Velez)*

One of Alvelal's farmers also reconfirmed this aspect of building a network of relationships, particularly among farmers, who again, although living in the same territory, did not know of each other. Creating the opportunity to

engage, interact and collaborate, has been important because thanks to this network of relationships, farmers have been seeking opportunities to tap into the ties of expertise, to share ideas and trade insights:

*"But from the very beginning what helped a lot was, or has been the network that we have created among ourselves; we didn't know each other, and very fast we were sharing information about all our farms, about our practices and about our crops or markets. For example, how to buy fertilizer from this company that is cheaper, how to sell to these clients who pay a better price for these things. So, that has been, I think, for the members of Alvelal the main benefit of the network. (Alvelal Member)*

La Almendrehesa explicitly mentioned learning "how to manage as a network" as a collective learning, as opposed to simply managing an individual organization.

*"I have generally learnt from different partners, how to focus on [implementing] a network-project, because in the end, we are a network, we are different partners but we are connected as part of a network. And we need to therefore learn how to manage as a network; we also have to manage this network remotely, because there is Commonland [who is in the Netherlands]. And we don't have a central office at Alvelal. So, there are different parts which need managing. This way of [managing] has also been a learning process, with new insights. And it has helped me make revisions of other previous ideas I had. " (La Almendrehesa)*

In addition to the network offering opportunities to connect with others, there has been an additional pool of common knowledge that has been produced collectively, which stakeholders can tap into. Quite importantly, reference was made to unique knowledge around landscape restoration and regenerative farming which has emerged in this territory, and which partners have acquired thanks to their relationships, interactions and exchanges. This unique knowledge could not have been acquired independently. In the words of the representative of the University of Almeria:

*"All of the new knowledge that we have acquired in relation to how to manage the farms [is collective knowledge]." (University of Almeria)*

In a similar vein, the IFAPA representative mentioned:

*"New knowledge and approaches are always acquired when working in a participatory manner. I try to incorporate, for example, guidelines that are being designed from Alvelal in the use of compost from plant debris, to incorporate into our methodology of design of research projects in circular economy." (IFAPA)*

Establishing and developing the network of relationships around a topic such as getting to know auxiliary fauna management, or learning how to set up a 4 Return business (i.e. La Almendrehesa) enterprise, has generated collective knowledge and local relationships which has been leveraged for creating prosperity and economic resources.

## (F) Thinking Forward

Alvelal has been a relatively young organization with a six-year track-record to date. Throughout the conversations, interviewees mentioned a number of key moments demonstrating rethinking and recognizing what it takes to overcome barriers for a project or initiative to succeed, to scale or to grow in impact.

Interviewees throughout the interview, showed awareness about the challenges that exist, and reflecting on improving and scaling impact. This forward-thinking was most prevalent among Alvelal, Commonland and La Almendrehesa, but not necessarily across other partners that I spoke to. Commonland best captured their spirit of reflection:

***“We constantly try to evaluate whether what we did before or the choices we made before, the decisions we took before, are still valid today and see if they need adjustments.” (Commonland)***

A particularly important example which Commonland mentioned, was in relation to Alvelal's growth and expected expansion; and already leading to important conversation across the network revisiting what it means to be a member of Alvelal. And therefore, having conversations and reflecting, being aware and envisioning what the future of Alvelal could mean when the membership would grow to 3000 members. A limitation that also Alvelal has been quite mindful of, and explicitly mentioned that the current non-profit association set up according to Spanish laws, might not be the best set-up for the long-term.

***“But as that group grows, you also have to make sure that everybody knows again, exactly why we're doing this. And as that group grows bigger - this is one of the challenges that we also face in the Dutch project - you may want to consider other models. Maybe, it's not for us, and then I mean Alvelal and Commonland to have 3000 members, because it's unmanageable, and it's too big. Maybe it's for us to enable other farmer associations, or other cooperatives [to emerge] so that we can collaborate with those others structures to move forward. Then we only have to tap into those local partners to provide them with the knowledge of how we do things, while at the same time not needing to manage a whole wide network of farmer members. This is also a scalability question, and one of the challenges we face.” (Commonland)***

Conversations around the evolution of Alvelal as an association providing expertise and amenities to its members, has also flowed into conversations related to its fundraising model, which has been entirely dependent on grants. In order to diversify the funding pool, Alvelal and partners have been exploring hybrid funding models, where 1% of the profit of the 4 Return enterprises will flow back into Alvelal as a compensation for their knowledge transfer and for using the Alvelal network to support and found such companies.

In addition to revisiting what it means to be an active landscape partner, Commonland also mentioned important reflections on what scaling or replicating the impact of their work could mean as being inherent conversations throughout their work.

Naturally, working with more landscape partners implementing the 4 Return Framework in other settings has been critical for Commonland, as have been other dimensions of scaling impact. In particular, strategically influencing and transforming higher levels of policymaking at national levels, as well as at EU level decision-making on EU agricultural policies, demonstrated an envisioning of spreading impact across different layers with different stakeholders beyond the original footprint of the project.

Perhaps the best way to demonstrate the ongoing reflection on how a project has unfolded, were the open discussions and thinking about ways to expand the footprint of La Almendrehesa, and reflecting on the next stage of iteration. The success of La Almendrehesa, as a community enterprise, has been a big leap forward for the Alvelal and Commonland collaboration. It has validated the model as a credible method, whilst at the same time also increasing conversations about the prospect of the long-term sustainability of the initiative.

An ongoing discussion in this respect has been about changing the future legal set-up structure of La Almendrehesa from an LTD into a cooperative, and what it could take for the community enterprise to succeed over the long-term.

***"[We] want to change the structure of Almendresa. We started with a limited liability company, because it's the fastest and easiest way to set up something. But now it's time to change, and potentially setting it up as a cooperative, which in a sense is also about creating and thinking in another way about collaboration. And this is all a learning process, and all of this is a mutual learning process." (La Almendrehesa)***

Furthermore, in order to deepen the impact of La Almendrehesa, the network of farmers, CADE and Alvelal, have gone through the next iteration of the project and set up a shared facility for expensive farming machinery and equipment, that farmers will likely only use once a year. So instead of each farmer buying the machinery and equipment individually, setting up a shared facility could help reduce costs and expenses.

A similar conversation has been ongoing around setting up a shared compost facility, or developing Europe's first ecological certification for ecological and regenerative products. Demonstrating how the network has been open to new ideas and new solutions, as well as new types of capital to increase the footprint, and continuously iterating and exploring add value projects building on the successes of the previous.

This was particularly important, because La Almendrehesa, has been a vital stepping stone to launch a pipeline of other 4-Return community enterprises, including to produce olive oils, honey and aromatic herbs and wine. In this respect, the representative of the University of Almeria referred to workshops and training planned in 2020 to start building momentum specifically around another 4-Return community enterprise producing ecological olive oil, and expected to be founded in 2021.

Alvelal representatives too demonstrated the desire to replicate, and expand the footprint of their projects across Spain and even across the Mediterranean, scouting new projects in the Mediterranean peninsula to increase the

impact of their work. In particular, reference was made to a partner project with Crete (in Greece) based Local Food Experts, who are sharing the same objectives to create a gastronomic tourism destination and promote the certification of ecologically and regenerative agricultural products.

### (G) Enabling Processes

So far, I have illustrated the actions and interactions of a geographically-bound collective of organizations. What the flagship projects have particularly revealed, is that the collective has been enterprising iteratively and collaboratively for shared benefit.

In addition to the previous collective processes, I have identified three additional reinforcing mechanisms or processes that have enabled the relatively young network to deepen the ties and bonds between the partners.

#### i) Bonding/Linking between partners and building trust

Alvelal territory is a vast landscape with different social, economic and political disparities and leanings. Alvelal association members themselves have diverse backgrounds. An aspect that was also highlighted during the interviews.

***“There are a lot of differences between them because of age, education, economic or social backgrounds. And therefore, it is hard to reach a shared vision. And this is why we are going very slowly forward. Seeing or assessing the points where there is convergence, and on the basis of this we work together.” (Alvelal)***

Thus, getting agreement and alignment across such a diverse team has not been a given. This was particularly noticeable between members of Alvelal. Although partners have mentioned throughout the interviews that there is a strong sense of commitment toward Alvelal and the shared mission, this has not necessarily yet translated into a strong bond and high levels of trust among partners and Alvelal members. This has been a challenge that the Alvelal network is quite cognizant of. This is also an aspect that they are confident can be overcome as membership of the association is projected to grow, more successful enterprises are founded, and more projects are successfully executed across the territory.

From the beginning, Commonland and the initial fore-runners emphasized the importance of working with key local stakeholders and working through local (landscape) mobilizers. The importance of attracting and working through these key fore-runners with high standing and reputation has also been important in order to increase the credibility of and confidence in the landscape initiatives in Spain.

***“The support provided [by Alvelal] serves to give credibility to the initiative. The basic idea is that if it works in other parts of the world, why not do it here.” (Natural Park)***

This has been a deliberate strategy of Commonland and later on also of Alvelal and partners to ensure the participation and working with people from within the community with high regard and esteem; who were leading by example, motivated, committed and willing to test and implement landscape restoration and regenerative farming practices.

***"(-) bring together a core group, people with quite a lot of social reputation. People who are very well known [in this territory]."***  
(Alvelal)

This has particularly been important as improving and scaling the flagship projects beyond the initial footprint, has required generating goodwill and trusting relationships among existing partners to further reinforce, and deepen collaboration among Alvelal members.

## ii) Proximity

Physical or geographic proximity or being in the same territory up until the arrival of Commonland was not a sufficient condition for partners and the farmers to work together. A leading and convening actor such as Commonland and later on also Alvelal, was needed to step in, to rally and convene this heterogeneous group of actors around a common vision, and introducing new ways to connect with each other and collaborate together.

***"I do have the feeling that the short-term financial/commercial bonds between the partners themselves reinforce the ties. People who did not know each other and had no relationship even though being in the same territory, even though not being convened in any forum or on any event, they did not have the opportunity to interact in this way [through Alvelal]. It is a way of creating closeness and facilitating collaboration."*** (Natural Park)

The closeness to which reference was made, implies that other dimensions of proximity (i.e., social and/or cognitive) other than physical/geographic proximity may have been at play that have reinforced closeness. It can be argued that the levels of interaction and connectivity among Alvelal, its members and other partners, as well as the levels of information sharing and shared experiences and knowledge, have enabled building ties, facilitating and reinforcing collaboration advantages across actors who happen to be within physical/geographic proximity.

In the same vein, a number of partners referred to what can best be described as a new rural ecosystem which has emerged over the last five years across Alvelal territory, where new supply and add value channels for ecological product commercialization are being explored across partners. This illustrated the importance of new connections, new learning and new knowledge as a base for new economic ties. Alvelal specifically mentioned how thanks to the 'Destination Alvelal'-project they have created new add value and commercial opportunities for their farmers to connect with restaurants, hotels and the wider tourism industry, and getting better prices and gaining more income for regenerative products. This was also further corroborated in the TUI foundation report<sup>127</sup>, which is a donor of the project.

The desire to collaborate has also been reflected in some collaboration data that was provided by Alvelal as part of a survey carried out in March 2020 assessing collaboration among Alvelal, Alvelal members and partners. Out of 275 members, only 25 members responded to a number of specific questions about collaboration. The organizations that Alvelal members have most collaborated with are with other Alvelal members (100%, or 25 respondents) and Alvelal (94%, or 24 respondents); and quite interestingly, 80% of the respondents (20 respondents) have worked with external partners organizations that Alvelal has worked with to achieve its mission, and an additional 44% (11 respondents) also mentioned working with outside organizations not collaborating with Alvelal.

Although this has been a small sample, it is important to mention the data about what they collaborate on as well, which has clearly favored i) obtaining advice or technical support to or from other Alvelal (100%, or 25 respondents); ii) partnerships to co-create new products together (36%, 9 respondents), and iii) workshops, demonstration farms, and trainings (28%, or 7 respondents).

Equally important has been the data about what Alvelal members among themselves collaborate on, and with external organizations, corroborating the importance of exchanging ideas, and helping each other with developing new products, and also some additional insights about their current needs.

Alvelal members among themselves, 72% (18 respondents), mentioned obtaining advice or technical support to or from Alvelal members. An additional, 44% (11 respondents) mentioned the exchange of ideas and offering commercial support (i.e., getting information of market prices) to each other. Also, a few mentioned the need for more commercial support – with one respondent, who specifically referred to the need for a startup incubator.

***“I would like to see an incubation program that helps with the launch of startups in Alvelal territory. At the moment it's limited to CADE, but it's not sufficiently innovative for young people.” (Farmer and Alvelal member)***

Alvelal members specifically mentioned working on marketing and branding with external organizations (44%, or 11 respondents) and 72% (18 respondents) mentioned commercial support and working with investors, and investments funds.

The experience of collaborating with Alvelal has been rated quite high with 52% and 48% of the respondents evaluating the collaboration as highly valuable or valuable (**please see Image 42, and also Annex 4 – Alvelal survey results**). Interestingly, 45% of the respondents value the collaboration among themselves as somewhat valuable. The evaluation of collaboration has been regarded slightly higher in relation to external organizations, with 48% of the respondents valuing collaboration with outside Alvelal territory partner organizations as valuable, and 44% evaluating collaboration with outside of Alvelal territory non-partner organizations as valuable.

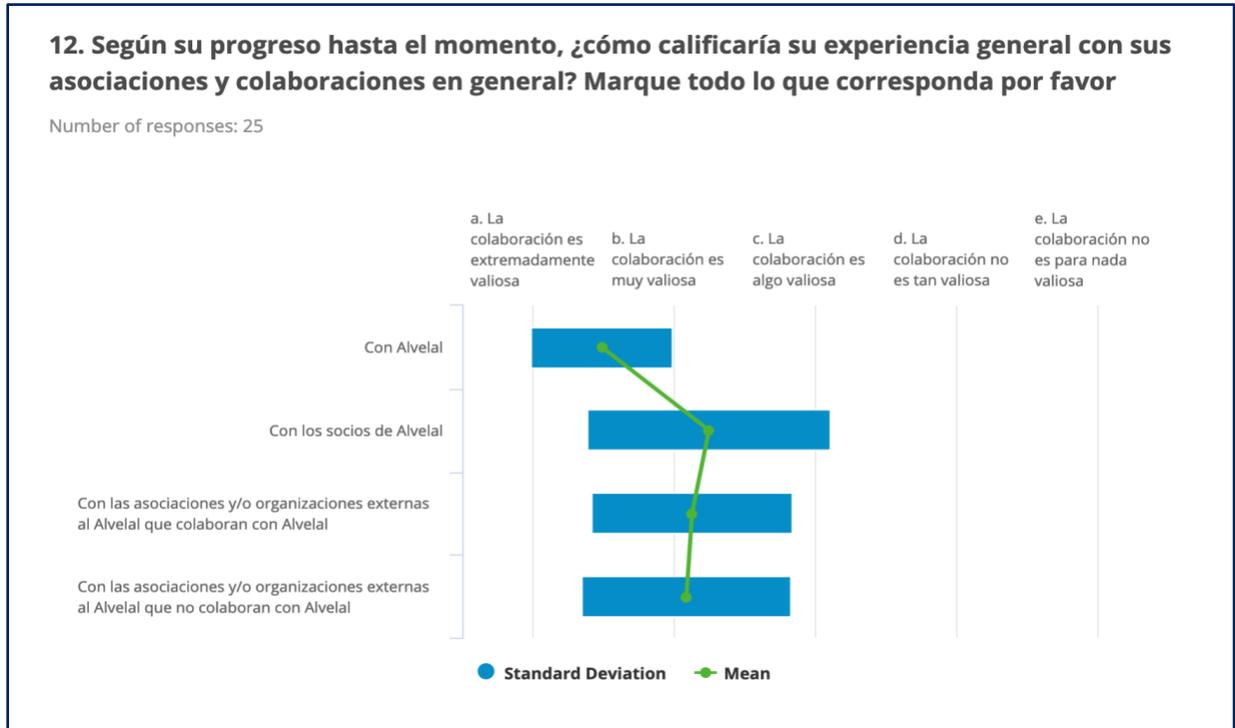


Image 41: Results of the quantitative survey<sup>128</sup>

Further expanding on the localized ecosystem, La Almendrehesa referred to how it has explored commercial collaboration with a social enterprise cosmetics company specialized in natural cosmetic products in Spain, creating win-win opportunities across key stakeholders, and with the aim to create new supply chains for high quality, ecological and regeneratively produced products, such as almond and aromatic oils, within Alvelal territory.

***“I had a visit from a cosmetics company Lush. And after their visit and seeing our operation, we have created new ideas for new products, (-) and they are interested in our herbs. And, this is a benefit not only for La Almedrehesa but also for Alvelal. So, it's very mutual, the benefits and learnings.” (La Almendrehesa)***

Since their launch in 2016, La Almendrehesa has increased sales to existing clients, such as the German leader Rapunzel Naturkost and a sales contract has been signed with the German supermarket chain REAL which has around 280 subsidiaries to place La Almendrehesa processed and compostable packed almonds, and thus offering a great perspective for the development of what Alvelal calls permaculture related food products<sup>129</sup>.

Another example that was mentioned around the effects of geographic proximity which have emerged after Commonland and Alvelal being in this space, was by one of Alvelal's farmers on how farmers have started to exchange, share information and learn with and from each other.

***“After this person or that person visiting the farms and telling where they bought a better and cheaper fertilizer than the ones they were using before; or how to change this variety of wheat, and rye, that this other person who tried to make bread and pay more for the grains. And some things have not worked, whereas other advice has worked very well. And we are constantly doing experiments, based on advice of other members.” (Alvelal Member and farmer)***

Perhaps the best way that demonstrated how geographic proximity has helped to achieve the Alvelal mission, was the response given by partners when asked what has been a shared challenge, nearly all interviewees openly recognized the importance of the need to shift the mindset of old-school farmers, and ways to overcome them. For example, by ensuring the profitability of companies like Almendrehesa, and:

***“[Showcasing the demonstration farms with regenerative farming practices.” A little further in the interview, “How to change this [the mindset], is when the neighbor sees that the other neighbor does the same activity differently and is obtaining higher profitability.” (CADE)***

This accentuates the importance of stakeholders sharing the same knowledge and experiences which potentially increases learning, and accruing ecological and economic advantages that are reinforced whilst being in the same Alvelal territory or neighboring farm.

### iii) Being invested in the network

The relatively young Alvelal network has developed by investing in a core group of organizations with a good network of contacts, and together inspired to use the respective strengths and resources to solve the issues associated with the people and land. Throughout the interviews, reference was made to the high level of commitment among key partners toward the Alvelal and Commonland mission, as well as the cordiality and friendliness across, in addition to expressing deep bonds and connections to the territory.

This naturally has derived from the territorial dimensions of landscape restoration and regenerative farming, as well as from partners who are quite knowledgeable about the territory, the situation of people living on the land, and the problems they are facing, and implementing a holistic approach to land, people and prosperity.

It is also quite important to mention the high level of motivation expressed throughout the interviews by each interviewee for the work they have been doing. Commonland and Alvelal have been instrumental in the formative years, in channeling the passion and drive, nurturing the shared sense of agency; and convening a heterogeneous group of organizations around a common good, and collectively defining what it means to create a thriving place.

Partners were however mindful that the work is not over yet, and that despite the current levels of alignment, commitment and connection, more was needed for the collective to deepen and broaden impact over the coming years, and the bonds and ties between Alvelal members.

At the end of the interviews, I asked interviewees two quantitative questions. The results of the quantitative survey have further highlighted that interviewees appreciate Alvelal’s success as a collective effort (*please see Table 14 here below*). However, at this stage of the network’s evolution, most partners when elaborating their responses have related collective capacity to relationships *among individuals* (interpersonal relationships); and only a few related it to the capacity of the network to create change.

Case 1: Interviewee	i) Do you think that it is thanks to the collective efforts that the Alvelal network has been successful at addressing social and economic issues?	ii) Do you think there is a relationship between key partners over time building collective capacity for change and achieving the network's mission?
Interviewee 1	5	5
Interviewee 2	4	4
Interviewee 3	5	4
Interviewee 4	4	4
Interviewee 5	4	2
Interviewee 6	4	4
Interviewee 7	4	3
Interviewee 8	4	4
MEAN	4.25	3.75

**Table 14: Results of the quantitative evaluation of the questions, based on Likert-scale of 1-5, with 1 being totally disagree, and 5 being totally agree.**

The interviewee from the Natural Park articulated collective capacity quite concisely by stating “strength through unity.” La Almendrehesa representative explicitly referred to collective capacity as:

***“I define collective capacity as a qualitative and quantitative capacity of a community of individuals which creates a force to act together towards an aim. This aim could be very basic, for example simply to survive; or it could be more advanced to move towards a concrete goal as part of community development, which is the case in our project. I think that this capacity is not only the sum of the mental (intellectual) or physical capacities of each person but a potentiation of them which creates a higher quality and force within this community to achieve such aim or aims. (La Almendrehesa)***

Two interviewees in particular rated the relationship between building collective capacity and achieving Alvelal’s mission at the lower ends (with a 2 and 3). These partner organizations, who are representatives of the University of Almeria and CADE respectively, referred to the individual relationships and the importance of overcoming barriers to keep the commitment of those involved in the projects over time.

The University of Almeria representative expressed confidence that collective capacity will emerge more and more as time is going by, and that more understanding and compromise between individuals would be needed. The CADE representative, on the other hand, rated the collective capacity of Alvelal members working together to achieve the organization’ mission at a high four (4), but did not perceive collective capacity being built beyond the joint participation of the individuals in different programs or actions.

In a similar vein, interviewees referred to building good and evolving interpersonal relationships over time in reference to their collective efforts - tackling existing problems, and creating more solutions and more collective activities. Building collective capacity was referred to as “teaming together, building on each other’s’ strengths, respecting each other’s’ differences, towards a collective, toward rolling out a collective vision.” (Commonland) Perhaps, most importantly, the quantitative questions and the follow-up elaborations have revealed the degree to which partners constituting a network are slowly developing a shared and collective understanding about the impact of their collective efforts - and a growing perception around collective capacity. ***What these interpretations have***

*demonstrated is that at the interpersonal level between the individuals that represent the network organizations, there is a growing appreciation and understanding around what constitutes the network or Alvelal approach. However, this appreciation has (not yet fully) transcended back or cascaded back into respective organizational levels. And, thus the interpretations that were offered about collective capacity were linked to interpersonal relationships, and (not yet) in relation to inter-organizational levels.*

#### 4.2.4 Implications of case-study 2 for the initial theoretical and revised empirical frameworks on transformative capacity

I have juxtaposed version 1 and version 2 of the framework with the findings that have emerged from case-study 2, and the following needs mentioning:

1. I can confirm that collective processes which I had only noticed in case-study 1/BNY have indeed also been at play in case-study 2/Alvelal. This has been in particular in relation to the roles of the anchor(s), iterating and experimenting through ongoing partnership-projects, building network-based and physical resources, reflecting on removing obstacles in projects and scaling them.
2. Case-study 2/Alvelal has also corroborated my assumption that the role of the anchor(s) has been quite important in the formative stages of the social alliance. Indeed, certain collective processes are more relevant in the formative stages, for example those related to the role of the anchor organization(s) offering amenities, convening and aligning disparate organizations, and crafting a shared vision around key partnership-project. Other collective processes over time arrange and order the social alliance into a more cohesive entity, whereas again other collective processes are relevant to sustain the collaboration forward.
3. Furthermore, this 2nd case-study has confirmed my assumptions about place-based social alliance networks, that intentionally integrate within the design of key partnership-projects components that geographically impact the transformation of the place over time. In this case too there were examples of how partners have wanted to build a more prosperous, more diverse, and resilient *places and communities*. In the case of Alvelal, projects have impacted regional biodiversity and the regeneration of land, along with actually having built new infrastructure or upgraded existing one (physical assets).
4. Contrary to case-study 1/BNY which appears to be open-ended and ever-evolving, the second case-study is more mandated: the transformation of degraded ecosystems, biodiversity and landscapes has to happen within at least a timeframe of twenty years. Although a long-term project, the duration of the work to be done is mandated. In other words, the social change that is being pursued through the social alliance networks are different, with case-study 1/BNY implementing diverse and more spontaneously emerging projects, and case 2/ Alvelal implementing more targeted and specific projects.
5. I have also noticed the same recurring collective processes which I derived from version 1 to be at play in case-study 2/Alvelal (**please see Table 15 further below**). These have been among others in relation to collective vision

and goals; sharing information and knowledge; problem-solving, collective learning, allocating resources and coordination; convening/aligning disparate organizations and conciliation; shared structures, mutuality, trust and accountability; as well as multivocality.

6. Although these are recurring and similar characteristics, case-study 2/Alvelal has also clearly revealed a number of collective strategies, understandings, activities and approaches which I have neither seen in version 1, nor in version 2 of the framework - and thus warranting a revision of version 2. I have highlighted these new collective processes in **Table 15** further below. Case-study 2/Alvelal has particularly revealed core organizations on a regular basis and as a collective rethinking and revisiting what it means to be a member of the network and territory. Equally important, is that case-study 2/Alvelal has revealed that other types of closeness (proximity), such as social and/or cognitive, have been at play before geographic closeness reinforces collaboration among partners. This is particularly important as with case 1-study/BNY stakeholders appear to geographically close to the Yard, or have moved close to or inside the Yard. Enterprises and organizations that are Yard tenants also are at time proactively ‘recruited’ as has been the case of the R Lab, or the STEAM Center; and with other Yard tenants, there is a selection process to ensure that the enterprises and organizations fit with the overall social change objectives of the Yard. In case-study 2/Alvelal the stakeholders are actors that are dispersed across Alvelal territory, and there is no physical mobility or moving close to the anchor organizations who are physically distant from each other.

Themes, concepts, characteristics of collective processes	
Recurring themes, concepts and characteristics that version 1 and case-study 2/Alvelal have in common:	New themes, concepts and characteristics that have emerged from case study 1/BNY and case-study 2/Alvelal, and requiring a revision of version 2 of the framework:
<ul style="list-style-type: none"> <li>- Sharing and exchanging resources, knowledge and information</li> <li>- Continued collective learning</li> <li>- Developing a shared vision</li> <li>- Governing, shared structures and accountability</li> <li>- Convening of stakeholders and disparate participants</li> <li>- Aligning and building coherence of the network</li> <li>- Multivocality</li> <li>- Mobilizing and pooling of shared resources</li> <li>- Building trusting relationships and commitment</li> </ul>	<ul style="list-style-type: none"> <li>- The role of anchor(s)</li> <li>- Iterating and experimenting through ongoing partnership-projects</li> <li>- Building network-based resources, and in particular place-based (physical) upgrades and/or building infrastructure</li> <li>- Reflecting on removing obstacles in projects and scaling them</li> <li>- Geographic proximity between partners</li> </ul> <p><b>Additional collective strategies, understandings, activities, approaches derived from case-study 2:</b></p> <ul style="list-style-type: none"> <li>- As a collective rethinking and revisiting what it means to be a member in this space (i.e. learning fests and using methods such as Theory U)</li> <li>- Creating closeness (i.e. cognitive, social<sup>130</sup>) to ensure that geographic proximity reinforce the bonds, trust and collaboration among partners</li> </ul>

**Table 15: Recurring themes, concepts and characteristics that version 1, and case-study 2 have in common, next to new themes, concepts and characteristics that have emerged from case study 1 and case-study 2, and requiring a revision of version 2 of the framework.**

7. In case-study 1 the Yard’s network approach was perceived as a collective effort for place-based nonprofit industrial transformation created by Yard partners and across inter-organizational levels. In case study 2, however, interpretations that have been offered around the impact of collective efforts and the joint perception of the Alvelal approach, at this point in time, appear to be more connected to interpersonal ties and relations of individuals that represent the organizations. It would thus be important to check if in a next case-study I may find the same or similar dynamics across inter-personal or inter-organizational levels.

Here below in **Table 16**, I have presented the preliminary theoretical framework (version 1) and the revised empirical framework (version 2) based on my findings of case-study 2. As the reader will notice, the coding hierarchy between Version 1 and Version 2 is not identical. Within Version 2, I have highlighted **in green**, those codes that are 'new' and emerging from case-study 2, and not identified in Version 1 of the framework.

AUTHOR'S CATEGORIZATION OF THEMES DRAWN FROM THE LITERATURE	PRELIMINARY FRAMEWORK & THEMES OF COLLECTIVE PROCESSES DRAWN FROM THE LITERATURE	1st order labels - open coding - examples of codes derived from semi-structured interviews (i.e. shared concepts, patterns of behavior, strategies, activities, understandings or approaches)	2nd order labels - axial and process coding	Categories of collective processes - partially derived from preliminary framework and supplementary documentation (i.e. theory, literature, data)	Overarching theoretical and strategic dimension - Components of transformative capacity	
Sharing and Exchanging Resources, Knowledge and Information	The main activities of social alliances include mutual problem-solving, information sharing and resource allocation.	Anchor is as a facilitator; patron of the in situ implementing partner, or lighthouse for the entire Mediterranean basin; anchor offers financial, programmatic and measuring impact support; anchor organizations implement projects across three zones or pathways (natural, economic and mixed zones); anchor articulates an overarching vision and philosophy; anchor offers hands on management support and transitions into offering overall support;	Having an anchor organization that has distinct roles/functions, and playing key roles and working with partners whose missions are aligned with those of the anchor organization(s).	Acting as a leading and driving force organization	A. Having a leading and driving force organizations	
	[Coordination] includes sharing information between stakeholders to stimulate synergies and prevent overlap of activities.	Nonprofit with fundraising capabilities and revenue generation capabilities - circling back 1% of the revenues generated by 4-Return companies; nonprofit with impact investing potential: generating revenues through profit sharing from community enterprises supported by the anchor organization;	A hybrid organization that is mission-driven through social achievements and generating revenues			
	By increasing the information flow between partners and by facilitating the establishment of clear and mutually embraced goals, alliances increase success.	Becoming the leading convener in the arena of regenerative agriculture and landscape restoration; learning organization for regenerative agriculture and community enterprises; organize communities of practice for landscape partners;	Becoming a leader in a community of practice creating a thriving environment and space for regenerative agriculture and community enterprises.			
	Repeat partners exchange knowledge about themselves and develop a more refined understanding of the other's cultures, management systems, capabilities, weaknesses, behaviors and beliefs, while storing that information for future use. And various attributes of the alliance relationship include information and knowledge sharing between partners, shared partner understanding and a focus on collective goals.	Being the bridge builder; being a translator for various stakeholders; bringing different partners around the table; ensure that stakeholders are invited to be part of the process; being the communication dot; being the connecting point; being a convener across disparate organizations;	Certain actors acting as a neutral platform and leveling the playing field to convene and to reconcile diverse and at times competing interest to create shared rewards	Being an intermediary positioned between the stakeholders of a joint project		
	Social alliances involve different actors with varying access to heterogeneous kind and level of resources who act in a coordinated and purposefully strategic way to enact interaction, build coalitions and exchange information targeting a wider, situated social change objective.	Working with partners on key projects that align with Alvelal and Commonland mission; working closely together with various stakeholders and building connections between sectors and actors; creating overlap and merging across fields (i.e. restoring biodiversity or landscape restoration through entrepreneurship, or eco-tourism); each partner brings expertise (i.e. scientific, business advice) and comes together as a pool and find synergy; form a representative core group of diverse fore-runners; a network of entities; working through a heterogenous group of actors with different interests;	Mobilizing and working together with various stakeholders to come together and to form a representative core group of fore-runners and building connections and synergy between sectors and actors	Building a (multi-actor) coalition with broad organizations		
	[Working] collectively provides the opportunity for sharing knowledge and costs between actors and limiting duplication of efforts.					
	Sprallset al. (2011, p. 63) argue that information sharing between partners increases alliance performance because 'communication fosters shared understanding between network partners; it helps align partners' interests and values; it allows network partners to work collaboratively toward a shared understanding of what information is important and how best to use it'	Identifying (i.e. scouting for) add value opportunities for joint collaboration without conceding on mission (i.e. setting up 4-Return enterprises in regenerative agriculture; sustainable food and cultural tourism project); each partner brings expertise and knowledge and need to ensure it can be translated into concrete projects; launching small scale mutual benefit projects; co-designing new projects that are mission-aligned and/or mission-critical; using landscape restoration project as a way to create new and sustainable supply chains in tourism and food; getting flagship landscape restoration projects off the ground;	Championing win-win opportunities and low hanging fruit collaborative projects with stakeholders depending on need/demand	Continuously Identifying/Exploring and implementing joint projects with (ecosystem) partners that add value		B. Iterating, Experimenting, Learning by doing through joint projects
	Working collectively provides the opportunity for sharing knowledge. And alliances allow for the sharing and exchange of complementary resources, whereby each party offers something unique or different to the other.	Learning a lot together and doing it collectively (i.e. setting up a network of almond producing and processing companies across Alvelal territory, or learning to commercialize community enterprises); need to learn from partners, and engage partners in areas that are not core capabilities (i.e. building the capabilities to export almonds across Europe); learning fest organized with partners to foster exchange and learning between landscape partners; facilitating learning across landscape partners, and actively making the connections between partners;	Engaging and learning from partners and through deliberate partnerships to build new skills, new expertise and competencies			

	<p>Cross-sector partnerships are voluntary working arrangements between for-profit and not-for-profit organizations which involve the deliberate exchange, sharing or co-development.</p>	<p>Willingness for quick iterating but with a shared goal in mind; develop new and different business related to landscape restoration; trying for the first time to buy machinery which can be co-shared; roll out the 4-Return framework with landscape partners; working on a project by project basis, experimenting, and learning by doing;</p>	<p>Active trialing or iterative learning of new solutions, new ideas, new projects (i.e. both social practices, new technologies).</p>	<p>Iterating and experimenting continuously with partners/providers on joint projects to add value</p>	
	<p>The learning potential and the non-financial resource exchange are examples of benefits resulting from the process of interaction.</p>	<p>Using the space as a test bed for testing new products/services (i.e. this new workshop, this new activity or that new colloquium); using the Alvelal territory as a place to test landscape initiatives (i.e. referral station, shared kitchen) and new 4-Return enterprises; put theoretical 4-return framework into practice and test it; not forgetting the strength that comes from testing the 4-Return approach;</p>	<p>Using the place as a test bed for prototyping new ideas and solutions on a small scale</p>		
	<p>Relational coordination as an activity (-) is fundamentally about connections among interdependent actors who must transfer information and other resources to achieve outcomes</p>	<p>Using the first iterations of community enterprises as a stepping stone to evolve and learn by doing; constant process to evolve and deepen the overall strategy; partnerships are not necessarily structured relationships but evolving, fluid and in order to help each other out; being pragmatic and agile to allow the partnership to evolve;</p>	<p>Flexibility to try new things and seeing how things will go instead of having a perfectly planned partnership or project.</p>	<p>Evolving continuously through new and joint projects</p>	
Continued collective learning	<p>Studies state that firms need alliance learning capabilities to articulate, codify, share, and internalize knowledge with their partners to facilitate relational and firm-level innovation and development.</p>	<p>Relations with other stakeholders form from the bottom up towards a higher goal; relationships evolving from informal into a formal agreement and relationships;</p>	<p>Openness to top-down and bottom up projects and/or relationships that emerge whilst being responsive and committed to the needs/demands on the ground</p>		
	<p>A process of collective learning allows for establishing trust and shared understanding of the issues as well as a sharing of knowledge.</p>	<p>Looking to create new farming jobs; launching initiatives that have social and economic job creation angles (i.e. tree planting for part-time workers)</p>	<p>Creating and tracking how many jobs have been created through projects and funding</p>	<p>Increasing the capacity of the workforce through localized economy strategies</p>	
	<p>Collective learning is a vital aspect of building successful stakeholder networks. Collective learning is a social process of building shared understanding (Argyris and Schon 1978). It involves trading and comparing information and then integrating individual views into a common understanding (Wijen 2002). Learning together helps increase mutual understanding about relational issues (e.g. values, perspectives and intentions) as well as substantive issues (e.g. root causes of the problem, linkages and patterns). The purpose of collective learning is to increase individual knowledge as well as the collective intelligence and capacity of the network as a whole. Collective learning serves as an essential foundation for whole-system innovation. When high stakes exist, when stakeholders have recognized their interdependence and when the system that connects the issue is commonly understood in depth, a shift occurs. The collective learning phase allows members of a network to: i) Develop new knowledge about the issue and larger system (i.e. root causes); ii) Define possible scenarios; iii) Construct shared meanings that allow people to understand each other and work together effectively; iv) Clarify common ground and differences in perspectives, interests and needs; v) Build trust and commitment.</p>	<p>Creating jobs and income generation in the rural landscape through joint projects; supporting 4-Return and community enterprises to create income incentives; help rural population to reduce dependence on agricultural subsidies and become more entrepreneurial and increase economic activities (i.e. set up new restaurant, and new business); offering technical assistance and entrepreneurial support for the creation of new ventures integrating the 4&gt;Returns framework (i.e. using the Lean Canvas to setup eco-agritourism enterprises)</p>	<p>Offering resources and targeting specific types of enterprises that could potentially create jobs or other rewards.</p>		C. Mainstreaming Inclusiveness
Developing a shared vision	<p>[A] communal vision needs to be created through consensus-building while taking account of the multiplicity of communal needs; especially those of marginalized groups. The creation of a communal vision can happen via local deliberative processes that reconcile individual and communal well-being goals. This means that individual and collective interests can be reconciled (Schäpke &amp; Rauschmayer, 2014).</p>				

	<p>A shared business vision, a shared understanding of what information is important and how this information can best be used, and shared methods for problem solving, working constructively and thinking outside the box have all been reported to be important for alliance success (De Villiers 2009; De Villiers et al., 2007; Duysters et al., 1999; Ertel, 2001; Pavlovich &amp; Corner 2006; Spralls et al., 2011). Hunt et al. (2002, p. 24) define shared values between partners as 'beliefs in common concerning what is important/unimportant, appropriate/inappropriate, and right/wrong'. Partners who share values will identify with one another and will be more committed to the alliance (Hunt et al., 2002).</p>	<p>Focusing on the role of women (i.e. gender mainstreaming) in rural areas to better integrate them in the rural economy through programs and training; focusing on the role of people with disabilities to better integrate them in the rural economy through programs and training;</p>	<p>Offering and creating access to on the job training and opening up economic opportunity to low skilled work and high skilled workers.</p>		
	<p>Impediments to building a common partnership culture include different views on business and social priorities (Lewis, 1998; Waddell &amp; Brown, 1997), as well as traditions of hostility, distrust, or ignorance between businesses and civil society organizations (Bendell, 2000; Gray, 1985; Westley &amp; Vredenburg, 1991; Zammit, 2004). Nonprofits often are skeptical about business motivations (Covey &amp; Brown, 2001). Difficulties in common culture development may be overcome by focusing on the metagoals, by realigning partners' expectations (Waddock &amp; Post, 1991; Westley &amp; Vredenburg, 1991), or by each partner giving credit to the other's experience and identity (Millar et al., 2004; Parker &amp; Selsky, 2004; Waddell, 2000). Trust, power, and stakeholder relations also are featured. Implementing a shared or common vision among independent actors (Gray, 1989) typically means developing a common culture held together by shared values, common interests, and clear communication. The shared metagoal is one source of CSSP identity building (Hardy, 1994).</p>	<p>Successful business cases are used to help inspire and train those qualified and interested to become 4-Return entrepreneurs; organizing training, courses and workshops in agroecology and ecotourism to professionalize especially young farmers;</p>	<p>Project design provides citizens/communities with new skills, training and abilities for better job access for those who need it the most or most qualified.</p>	<p>Including/engaging surrounding and/or disenfranchised populations and/or addressing socio-economic needs of the community</p>	
	<p>Shared vision and purpose are immensely powerful in motivating people to achieve extraordinary things, including remarkable leaps of creativity, innovation and adaptation.</p>	<p>Partners having a pulse on what's happening in Alvelal territory and wanting to increase vitality and then making sure that they're on the front lines advocating for the things that Alvelal territory needs; focusing and including young people with the risk of being excluded from society; engaging the disenfranchised for long-term economic development; creating economic inclusivity by creating economic and ecological activity among underserved population living in rural areas; repopulating Alvelal territory and offering young people an interesting future in the territory;</p>	<p>Strategies that pay particular attention to social justice, equity, economic vitality of a place</p>		
	<p>The ability of participating firms to develop a clear strategic vision and expected outcomes of organizational cooperation.</p>	<p>The development and upgrading of landscape infrastructure (i.e. regenerative farming or land restoration to attract eco-tourists) to allow better external tourism access; continuously think about ways to better engage (i.e. finding touch points with) the public and allow participation (i.e. bringing tourists with a special sensibility for culture, food and local people in Alvelal territory); organizing organized hikes that connect neighboring comarcas and wider public to Alvelal territory; tapping into every opportunity with partners to get to the people who will most benefit from the projects (i.e. children from public schools located in Alvelal territory, women working in rural areas, or helping people with disabilities with jobs); reduce barriers for the existing workforce to access jobs by helping to set up 4-Return and community enterprises;</p>	<p>Integrating into the design of a project different aspects of community empowerment</p>		
<p>Governing, shared structures and accountability</p>	<p>Studies have emphasized the need to integrate or align targets, processes and relational structures among alliance partners. Structural integration refers to the development of relationship structures such as joint alliance development teams, alliance steering groups, integrated working procedures, processes, and IT systems (Lorenzoni &amp; Lipparini, 1999; Niesten &amp; Jolink, 2015). Integration processes play a prominent role in the alliance literature, and companies vary in terms of possessing</p>	<p>Pursuing the same interests (i.e. to retain population to increase welfare, to increase prosperity); co-creating a collective vision about the place and what it means to be in Alvelal territory (i.e. collective vision about the territory for the next, 5, 10, and 20 years); having clarity on what is to be achieved;</p>	<p>Crafting/Articulating a shared vision among partners based on needs, shared understandings and expectations (as a means to motivate and foster commitment among partners)</p>	<p>Building and/or sharing a collective vision and acting on it</p>	<p>D. Building Coherence Processes</p>

<p>the capacity to advance alliance integration. Social integration refers to open interaction, trust, and shared understanding.</p>					
<p>To understand whether and how multi-party stakeholder partnerships harness wicked problems, we focus on three interrelated governance processes that are critical for keeping awareness and acting on the problems at hand: deliberation, decision-making and enforcement (Shouten &amp; Glasbergen, 2012)</p>		<p>Re-imagining together the place; shared intentions to achieve goals; collective efforts, including communicating or advocating key stakeholders, moving in the same direction; rally around and converge together around particular issues that matter to partners; collective efforts are derived from a shared vision; rally around a shared vision and understanding about the opportunities associated with this place;</p>	<p>Rallying around a shared vision among partners</p>		
<p>Some examples of these inter-organizational structures include joint teams of alliance partners, channels of communication and partner-specific interfaces, joint business planning sessions and joint alliance evaluation sessions (Hoang &amp; Rothaermel, 2005; Kale &amp; Singh, 2007; Khalid &amp; Larimo, 2012)</p>		<p>Launch of joint partnership-projects implemented with joint inputs from partners (i.e. TUI group project on regenerative agriculture); disagreeing on details, but aligning with the vision; 4-Return and community enterprises align with the mission of the anchor organizations (i.e. Commonland and Alvelal); close alignment between different partners because they need each other;</p>	<p>Launching mission-aligned and joint projects that overlap or have touch points between different areas or organizations, or sharing the same ethos and values</p>	<p>Aligning of (different) organizational mandates/interests into a symbiotic relationship</p>	
<p>Governance of a collaborative entity entails the design and use of a structure and processes that enable actors to direct, coordinate and allocate resources for collaboration as a whole and to account for its activities. Governance of collaborations happens through shared structures, processes and actors.</p>					
<p>Inclusiveness and accountability are key components of legitimacy for effective cross sector partnerships.</p>		<p>Working closely together; engaging stakeholders and donors by communicating in a way that shows the alignment across the various organizations in the event of a doubt or insecurity; sharing information to ensure good coordination; getting stakeholders on board and aligning them strategically with what is needed;</p>	<p>Close coordination and engagement between partnering organizations to ensure being on the same page.</p>		
<p>The success of any single alliance depends on some key factors that are relevant at each stage of alliance evolution (Gulati, 1998). These include (a) the formation phase, wherein a firm deciding to initiate an alliance selects an appropriate partner, (b) the design phase, wherein a firm (and its partner) set up appropriate governance to oversee the alliance, and (c) the post formation phase, wherein a firm manages the alliance on an ongoing basis to realize value (Schreiner, Kale and Corsten, 2009).</p> <p>Relational governance enhances the likelihood of alliance success by reducing transaction costs in several ways: (a) Contracting costs are minimized because firms trust their partners to behave fairly, (b) monitoring costs are lower because external, third-party monitoring is not required, and (c) costs of complex adaptation are lowered because partners are willing to be flexible in response to unforeseen circumstances. In addition, relational governance enables partners to work together in implementing value-creation initiatives that need sharing of tacit knowledge between partners, exchanging resources that are difficult to price, and offering responses that are not explicitly called for in the contract (Zajac &amp; Olsen, 1993). Finally, if relational governance is based on some resource dependence between partners, it acts as an effective means to monitor and control partner behavior (Filatotchev, Stephan and Jindra, 2008).</p>		<p>Development of places (i.e. agro cafés, rutas, general assemblies, or workshops) to convene and to meet up; organizing open days, training and technical workshops; spaces to convene, interact and exchange and connect with stakeholders;</p>	<p>Creating shared places and spaces to interact and exchange through events, gatherings, meetings</p>	<p>Reaching out/communicating/interacting with outside and inside of the network stakeholders</p>	

	Relational coordination as an activity (-) is fundamentally about connections among interdependent actors who must transfer information and other resources to achieve outcomes	Using media as a way to communicate and raise awareness about what is being done across Alvelal territory; launch of a grassroots education campaign in public schools; open and transparent in terms of project updates, and private project data (i.e. being good stewards, being truthful); regular outreach through social media posts, newsletter and blog; organizing hikes (i.e. rutas) across the territory; clearly articulating and explaining what this place is about and what one can expect from its little ecosystem that helps to support businesses and their goals;	Looking for opportunities to raise awareness and communicate formally about what is being done inside with partners and outside <b>of the place</b> with partners, and being open and transparent with data and project updates.	
	People start to take responsibility for the whole. Innovative solutions arise out of this struggle to bridge competing perspectives and needs within a system.	Weekly team meetings; regular meetings with investors and donors; regular meetings with partners; regular field visits to the landscapes; formal and informal meetings and dinners with stakeholders; attending events, in person visits, public meetings with partners; connecting and meeting with partner organizations; organize a catch up and circle back what is happening;	Doing outreach through regular (formal and informal) meetings, meet-ups, check-ins and phone calls, info sessions for exchanging and learning	Constant cultivating/Steering of ongoing and effective relationships
	Mutual expectations and accountability - Clarity of expectations about the deliverables from each partner appears to be important. In addition to providing programmatic guidance, this fosters mutual accountability and motivates execution responsibility. Mutually high expectations promote both rising performance standards and greater value creation.	Being in constant or very frequent communication and being accessible to partners; discipline of actually maintaining points of contact across the right levels of communication;	Being disciplined about maintaining points of contact	
Convening of stakeholders and disparate participants	Gatekeeping organization is a bridge between unconnected organizations to coordinate and distribute resources.	Organize strategic planning meetings with stakeholders; organize regular meetings with partners and invite them to workshops and training; organize formal planning meetings;	Organizing regular and ad hoc meetings and reports with partners to stay abreast	Making sense together
	Agency and leadership in complex systems requires successful ecosystem stewarding and related roles.	Hiring a person who will be a bridge-builder between the key partners; hiring a person who will be interlocking directly between partners and the farmers; the board and chairman; an operational group across multiple organizations to help manage the partnerships	Establishing shared structures and procedures	
	Cross-sectoral convening across different industries also provides a forum for knowledge sharing and joint action between groups of otherwise disparate actors. Dorado and Vaz (2003) describe conveners as champions of projects who navigate complex obstacles and boundaries in inter- and intra-organizational domains. Convening social networks and groups of individuals or organizations in order to allow for collaboration to occur and to tap resources, knowledge, and expertise of the participants can facilitate unique solutions and whole-system innovations which draw on collective intelligence (Svendsen & Laberge 2005). Unable to succeed unilaterally, these actors, or conveners (Svendsen & Laberge 2005), focus their efforts instead on convincing others to collaborate and to jointly address problems and initiate change (Dorado, 2005).	Partners reflect on what has worked and what has not, (i.e. organizing monthly skype calls with partners); learning to share and to exchange; partners having meetings based on needs and engage in meaningful dialogue to recognize mistakes and learn from them; flushing out issues in relation to the partnerships;	More than just updating on progress, and keeping stakeholders abreast, but actually ongoing engagement, seeking input and working with them on new ideas (or working through the problem together, and/or then designing solutions together)	
	Organizational structuring is the subject of several early studies (Gray, 1989; Hardy, 1994; Waddock, 1991; Westley & Vredenburg, 1991), where the presence of an "enabling structure" such as a brokering or mediating organization is seen as a key factor facilitating collective action.	Managing a partnership requires good project management; tracking projects and collect data to help achieve goals (i.e. design metrics and evaluate whether metrics are on track); projects help achieve key numbers and have (rigorous) reporting mechanisms; share results/outputs;	Tracking progress and evaluating progress - procedures or metrics for evaluating progress, as well as success stories - being disciplined in terms of collecting that data	Being accountable (shared accountability, individual responsibility for the social mission)

Aligning and Coherence	<p>Institutional coherence refers (-) to the extent to which the dominant institutional logics are able to provide sufficient guidance to the behavior of actors in the field (Rein and Stott, 2009). When coherence is high, institutions acting on a field point in the same direction resulting in a situation in which stability prevails. In these contexts, even though multiple logics exist, conflict among them is low, thus positing both a stronger need for appropriateness and conformity and a higher resistance to potential changes. At the opposite extreme, at low levels of coherence, fragmentation prevails with no logic having the degree of consensus necessary to guide behavior to conformity. When this is the case, contradictions in the field open the way to institutional entrepreneurs and change, so that actors possessing certain characteristics, such as, for example, an appropriate governance structure, and a consistent leadership style, can take advantage of the situation, setting the rules of the game.</p>	<p>Recognizing organizational roles and how they help the collective or coalition to thrive; shared responsibility and interdependence because projects overlap between areas and partners; acknowledging the other organizations as key for mutual success; reciprocity; signing of mutual agreements to formalize roles; mutual expectations between individuals;</p>	<p>Partners' respective commitments towards each other to achieve shared outcomes for projects</p>	
	<p>Alignment between partners' strategies and missions - the more congruent the partners' values the stronger the alliance's cohesion.</p>			
Multivocality	<p>Through conciliation, a common vision is created to guide the acts of collective agency. Conciliation processes, reconciling individual and communal goals through a communal vision, public deliberations and inclusive decision-making, whilst taking account of the multiplicity of communal needs and nurturing communal responsibility.</p>	<p>Design solutions with partners to ensure a broader base and more acceptance of local base and local stakeholders; to get more acceptance and buy-in; getting feedback, ensuring active participation, including others' opinions, diversity of thought when designing projects with stakeholders; talking about general pain points, and then doing brainstorming together; open transmission of ideas and different views without judgment; include comarcas and ensure their participation and representation around the issues faced in the territory;</p>	<p>Getting feedback, getting buy-in, active participation and gauging insights, different opinions from different backgrounds, and involving diverse groups, individuals and organizations</p>	<p>Generating/Fostering/Integrating different kind of thinking, ideas and solutions</p>
	<p>The ability to combine numerous voices as well as to connect to diverse stakeholders in an accessible manner and straddle audiences. Combining multiple voices to speak to a variety of audiences allows collectives to connect with diverse communities in a manner that "appeals to numerous audiences simultaneously" (Carolan, 2008, p. 69).</p>	<p>Support new areas that have not traditionally been thought of as synergistic (i.e. landscape restoration and community enterprises); help traditional farmers use knowledge (i.e. through workshops and training) to convert traditional farms into ecological ones; using Theory of U-method to facilitate interactions and meetings between stakeholders; introducing and implementing the Commonland methodology; using demonstration farms as success stories to change the mindset and integrate new solutions;</p>	<p>Facilitating the introduction of novel ideas, solutions, procedures, options and getting traction around them</p>	
Mobilizing shared resources	<p>By pooling resources within the same sector in collective social entrepreneurship ventures these organizations support one another's social and economic objectives in a variety of ways.</p>	<p>Share knowledge through external knowledge platform (i.e. MOOCs available on Coursera) - in a way that would make it helpful for partners to do their jobs and sharing it widely with partners and beyond; organize events to share the lessons learnt to help farmers with their operations; organize knowledge transfer days; capture and adapt learning and translate into an updated or a new strategy including all the previous key learning;</p>	<p>Sharing or dissemination of lessons learnt and/or offering direct advice and support to groups that could benefit from the knowledge/expertise</p>	<p>Capturing/Codifying Knowledge</p>
	<p>Social alliances leverage resource complementarities or recombination to develop novel, innovative approaches to technological and institutional challenges (Rangan, Samii and Van Wassenhove, 2006). In general, social alliances give actors from different sectors vehicles for resolving common challenges by recombining resources as well as leveraging differential cost advantages between public and private sectors (Rangan et al., 2006). Such hybrid organizational forms can also become a platform to pursue multiple shared goals across sectors (Markman et al., 2016), particularly for intractable social and environmental issues that are affecting each sector in unique ways (Powell, Hamann, Bitzer and Baker, 2018).</p>	<p>All learnings are documented and shared through Dropbox; sharing the results of the farm trials; collect the deeper learnings from other landscapes and integrate them in a lived framework, rather than a theoretical one; conducting research with research and academic institutes; capturing the results of the trials performed on the farms;</p>	<p>Conducting research, collecting data and/or building a repository of knowledge</p>	

	<p>Establishing alliances may emerge as a possible solution when resources and competencies are not readily or sufficiently available to organizations. From a resource dependence perspective, organizations are engaged in inter-organizational relations in order to exert power, influence or control over other organizations (Pfeffer &amp; Salancik, 1978). However, resource scarcity may also encourage cooperation and lead to emergence of mutually supporting relationships between organizations, as in the case of strategic alliances. An alliance can provide important benefits for an organization lacking certain resources since it links the organization to another with complementary resources (Child &amp; Faulkner, 1998). These resources may be capital and non-capital resources (Yan &amp; Gray, 2001) and range from financial resources to knowledge and reputation.</p>	<p>Physical upgrade of Alvelal territory through regenerative agriculture, restoring biodiversity and landscape restoration; regenerating Alvelal territory; access and upgrading physical asset (i.e. Alvelal territory); infrastructure upgrades that are capital intensive (i.e. a shared kitchen, a shared processing center)</p>	<p>Deployment, reuse and revival of physical infrastructure as a shared resource.</p>	<p>Leveraging and sharing resources which they otherwise would not be able to access and/or acquire independently</p>	
	<p>Social alliances can serve as a vehicle for innovative leveraging of resources outside firms' control and extending their domain of competence and the corresponding opportunity set (Austin, 2000; Austin &amp; Reficco, 2009; Kanter, 1999). Collective mobilization of action and resources oriented toward the achievement of ends shared by the members of inter-organizational networks.</p>	<p>Reimagining, re-shaping, cultivating and enriching their environment with new, useful and innovative ideas and solutions, and reaping shared rewards through community enterprises (i.e. La Almedrehesa) that can help improve the partnership or improve the individual enterprise's operations (i.e. sustainable farming and sustainable business cases; acquiring capability to access international markets); designing and co-creating solutions together to get more acceptance and buy-in (i.e. landscape restoration masterplan); through landscape initiatives reaping shared rewards (i.e. new sustainable supply chains); establishing new and collective knowledge on regenerative techniques; co-designing and co-creating annual or 5-, 10-, 20-year landscape strategies;</p>	<p>Partners using and combining resources to pursue opportunities together and/or addressing needs together that can help can help improve the partnership or improve each other's' enterprises or operations</p>		<p>E. Building Network Resources</p>
	<p>Social integration refers to open interaction, trust, and shared understanding. Studies show that "trust is a component of a 'cooperative competency'" (Ireland et al., 2002: 439; Sivasdas &amp; Dwyer, 2000). In addition to the development of trust, (Kale &amp; Singh, 2009; Sivasdas &amp; Dwyer, 2000), studies see customer linking (Theoharakis, Sajtos and Hooley, 2009), relational capital (Kohtamäki et al., 2013; Lorenzoni &amp; Lipparini, 1999; Sivasdas &amp; Dwyer, 2000), bonding (Schreiner et al., 2009), and open interaction and communication (Morgan, Slotegraaf and Vorhies, 2009; Orr, Bush and Vorhies, 2011; Paulraj et al., 2008; Sivasdas &amp; Dwyer, 2000; Smirnova et al., 2011) as important components of alliance integration.</p>	<p>Building a strong network of local contacts; a network of friends, and bringing together friends of friends; learning to be part of a network and managing network projects; learning how to manage a network of partners; being part of a social network that shares knowledge and learning about landscape restoration;</p>	<p>Establishing and developing a web of relationships between internal and external stakeholders which can be leveraged for growth and development.</p>		
<p>Trusting relationships and Commitment</p>	<p>Collaboration in multi-actor settings is based on a mutual commitment of more than two actors to work together towards a common end that can only be reached through the transformation of materials, ideas and/or social relations (Roberts &amp; Bradley, 1991).</p>	<p>Looking for opportunities, including conversations, dialogue and actual programming to increase the impact of a project (i.e. scaling 4-Return enterprises in other sectors; RISE, a sustainable farm and farm assessment system); reflecting on how to increase the performance of stakeholders; scaling outside of the bounds of the initial projects; looking for ways to expand the footprint and be more meaningful; increasing the impact of and scaling community enterprises across other parts of Spain and Europe;</p>	<p>Replicating, expanding the footprint or applying the project itself or various processes, methods, components or solutions in different settings and locations</p>	<p>Generalizing the project operation or results beyond the initial context of application</p>	
	<p>Trust requires being able to choose the right partner, to define the right governance structure, and to develop relational standards with this partner (flexibility, adaptability, information sharing, durability, and joint actions) in a climate of mutual trust</p>	<p>Partners envision and engage about the future potential of their partnership and project (i.e. thinking about the future of Alvelal and the territory); partners envision future scenarios for more mutual benefit and mutual learning (i.e. setting up a new EU certification system for regenerative farms); partners reflect on influencing policy at regional, national and EU or UN level;</p>	<p>Envisioning and/or developing alternative visions and/or engaging stakeholders about current and future needs, expectations.</p>		<p>F. Thinking Forward</p>
	<p>It can be expected that this partnership (full trilateral partnership) when successfully established has the most capacity to develop a transformational relationship between the partners, because the commitment to engage in a mutually dependent relationship with each other is highest.</p>	<p>Constantly evaluating whether what partners did before or the decisions taken before, are still valid today and if they need adjustments; references to open discussions and critical dialogue on project development, or formal methods for reporting, monitoring, metrics; regular and proactive communication of progress with and</p>	<p>Reflecting on how a project unfolded and shared learning</p>	<p>Being reflective and aware of what it takes for a project or initiative to succeed</p>	

		<p>between stakeholders and partners; formalizing landscape processes;</p>			
	<p>Waddock (1988, p. 19) suggests that one reason for the demise of collaborations is the failure to understand that these relationships are cooperative, interactive entities that require a good deal of commitment on all sides.</p>	<p>Recognizing what does and what does not work in the partnership and how to overcome it (i.e. transitioning from an LTD into a cooperative enterprise model; wanting more transparency in how decision are made); recognizing the importance to overcome a challenge in order to succeed in the future (i.e. the association growing to 3000 members); recognizing where the problems are and how to overcome them (i.e. addressing issues around the chairman and the board; having a heterogeneous group with different political, cultural and economic loyalties);</p>	<p>Stakeholders rethinking and recognizing what it takes to overcome barriers for a project or initiative to succeed, to scale and growing impact.</p>		
	<p>Many cross-sector social alliances crumble because of “mises”—misunderstandings, misallocations of costs and benefits, mismatches of power, mismatched partners, misfortunes of time and mistrust.</p>	<p>Convening a core-group of people with reputation and credibility; working with partners who know the territory, the context and the problems; local stakeholder network grew strong b/c key to building effective relationships with local stakeholders is that landscape initiative is locally led; working so close with partners that it offers trust; building trust between individuals working on partnerships to share information;</p>	<p>Building trusting relationships between stakeholders that facilitates future collaboration and information sharing</p>	<p><b>Bonding/Linking between partners and building trust</b></p>	
	<p>A commitment by a corporation or a group of corporations to work with an organization from a different economic sector (public or non-profit). It involves a commitment of resources—time and effort— by individuals from all partner organizations. These individuals work cooperatively to solve problems that affect them all.</p>	<p>(Long-standing) commitment of partners towards certain partnership-projects that are mission-aligned and/or mission/critical; pride, energy and inspiration that can be found locally among stakeholders that there is mutual benefit; motivation to use expertise help the rural populous to thrive; strong dedication; committed to this new way of working together; energy and inspiration among local stakeholders;</p>	<p>Proactively working with other stakeholders and committed to making this place thrive</p>	<p><b>Being invested in the 'network'</b></p>	
	<p>The personal relationships are particularly central to the creation of inter-organizational trust. Our interviewees all pointed to the importance of trust to the strength of the collaboration. Trust appears to be one of the critical elements common to most forms of collaboration (Burke, 1999; Dickson &amp; Weaver, 1997; Kanter, 1994; Larson, 1992; Rackham et al., 1996; Ring &amp; Van de Ven, 1994; Waddock, 1988a; Wasserman &amp; Galaskiewicz, 1994). Although good relationships will not guarantee alliance success, bad interpersonal relations can destroy a partnership.</p>	<p>Regularly making sure that everyone who is a member of the initiative(s) knows why they are working together; at annual retreats, group retreats or at learning fests connect, facilitate learning and exchange between landscape partners what it means to be in this space (i.e. using theory of U methods); as a collective rethink what it means to be in this space;</p>	<p>Leading and driving force organizations and other core organizations on a regular basis as a collective rethink and revisit what it means/entails to being a 'member' in this space</p>		<p><b>G. Enabling Mechanisms</b></p>
		<p>Collaborating with organizations that are not physically in this place that share the same vision; shifting the mindset of stakeholders to share learning and experiences with each other; creating deep and lasting relationships and connections; using new connections, new learning and knowledge as a base for new economic ties; ensuring a coming together of different stakeholders from all over the territory who did not know each other; change happens when stakeholders start sharing the same knowledge and experience; creating closeness and facilitating collaboration between actors who are in the same territory but did not know each other.</p>	<p>Creating closeness to ensure that geographic proximity reinforce the bonds, trust and collaboration among partners</p>	<p><b>Proximity</b></p>	
		<p>Neighboring farms inside Alvelal territory implementing landscape restoration and regenerative agriculture; farmers who are inside Alvelal territory; being physically inside or near Alvelal territory; working with partner organizations outside of Alvelal territory; working with your neighbor in the pursuit of a common good;</p>	<p>Being physically inside or near the same place facilitates or reinforces collaboration</p>		

Table 16: The preliminary and theoretical framework (version 1) next to the revised and empirical framework (version 2) with revisions from case-study 2

### 4.3 3rd Case Study - Case Report for the Sustainable Southeast Partnership

#### 4.3.1 Introduction into key challenges of Southeast Alaska

Southeast Alaska is sometimes called the panhandle because it stretches away from the rest of Alaska just as a handle does from a pot or pan. This region is also home to the US' largest national forest, the Tongass National Forest. Southeast Alaska's geographic isolation and its internal geography distinguish it from other Alaska regions. The mountainous terrain limits settlements to the coastline. Overland travel within the area is very difficult because of the dense forests; and overland travel out of the area is limited by a limited number of routes through the mountains<sup>131</sup>.

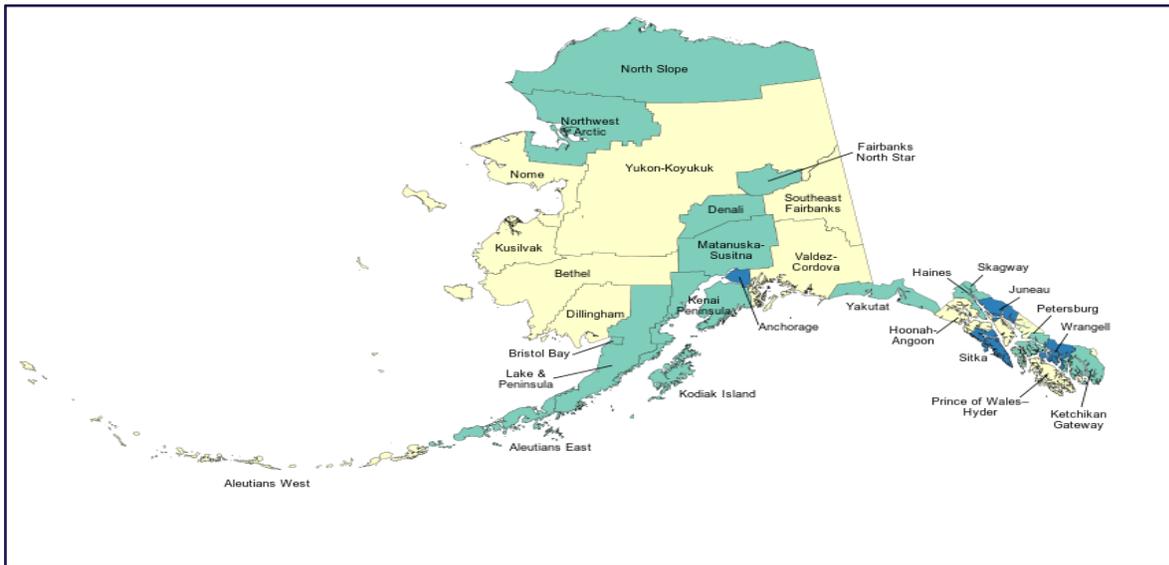


Image 42: Alaska Boroughs and census areas<sup>132</sup>

With a population of a little over 72,000 people in the Southeastern region across ten (10) boroughs (Haines, Hoonah-Angoon, Juneau, Ketchikan, Petersburg, Prince of Wales, Sitka, Skagway, Wrangell, Yakutat)<sup>133</sup>. This part of the United States is considered as isolated and remote.

In addition to the rough geographic living conditions, Southeast Alaska is also being impacted by climate change manifested through receding ice, altering marine ecosystem, as well as increased community vulnerability due to coastal erosion, rising permafrost temperatures and drying landscapes<sup>134</sup>.

The cumulative effects of climate change threaten indigenous people's access to traditional foods such as fish, game, and wild and cultivated crops, which have provided sustenance as well as cultural, economic, medicinal, and community health for generations<sup>135</sup>.

The consequences of observed and projected climate change have and will undermine indigenous ways of life that have persisted for thousands of years. Other key vulnerabilities include the loss of traditional knowledge in the face

of rapidly changing ecological conditions, increased food insecurity due to reduced availability of traditional foods, changing water availability, Arctic sea ice loss, permafrost thaw, and relocation from historic homelands<sup>136</sup>. ***(Please see Annex 6 - Tribal nations of Southeast Alaska)***

These negative impacts are particularly compounded by a number of persistent social and economic stresses, including high costs of living and high fuel costs, high levels of poverty, sub-standard and inadequate housing; poor telecommunication and internet infrastructure; a lack of health and community services, food, road and transportation infrastructure; low access levels to education and small number of jobs<sup>137</sup>.

Indigenous populations are also vulnerable because their physical, mental, intellectual, social, and cultural well-being is traditionally tied to a close relationship with the natural world, and because of their dependence on the land and resources for basic needs such as medicine, shelter, and food. Climate changes will exacerbate many existing barriers to providing for these human needs, and in many cases will make adaptive responses more difficult<sup>138</sup>.

Against a complex backdrop of centuries-old cultures stressed by climate change, coupled with historical events of colonialism and exclusion, and contemporary conditions of socio-economic, ecological and cultural challenges, the Sustainable Southeast Partnership (SSP) came into being nearly eleven years ago.

The SSP arose out of the struggles of four decades of natural resource conflicts in Southeast Alaska, in which the two main adversaries were the logging industry and conservationists. Since the beginning of the logging boom and the timber wars of the 1970s, the two opposing forces had played tit-for-tat: acres of wilderness preserved in one place, timber clear-cuts in another. Communities, particularly Alaska Native communities, had been left out of the decision-making process, even as a portion of the logging was conducted on lands belonging to Alaska Native corporations<sup>139</sup>.

Both the logging companies and the conservation groups presented the issue to the public in all-or-nothing terms: either us or them. The tribes, local fishermen, local business owners, mayors, and other community leaders sought a more reasonable solution that involved greater community representation, a central role for indigenous cultures and worldviews, and a focus on local economic development<sup>140</sup>.

Toward the end of 2009, a group of innovative conservationists and a new generation of indigenous leaders converged on a new approach, evolving into the SSP. From the conservationists' end, the approach was born from the acknowledgment that the conventional approaches were failing, and a new understanding of ecological resilience was needed, which implied a more nuanced approach to logging and other resource-based industries. From the indigenous leaders' end, the approach was born from the imperative of cultural revitalization in the wake of the traumas of the past two centuries<sup>141</sup>.

Over the last decade, the SSP has evolved into a vibrant network constituted by 16 independent organizations representing the private, social and indigenous communities; a convening of unlikely allies, who have forged and continue to forge a new and inclusive narrative for the cultural, social, economic and ecological development of the Southeast.

#### 4.3.2. Methodology Section, presentation of codes and coding hierarchy

In this third and last case-study, which is in remote Southeast Alaska, I am further testing and building on the collective processes that I have identified in the preliminary and theoretical framework (version1), and the revised, empirical framework (version 2) which emerged from case-study 1. I will thus re-embed the original and revised conceptual model, and further investigate and test if the same or other collective processes have been at play within the third case study. Similar to case-study 1 and case-study 2, I am collecting two data-sets.

What has appeared from case-study 2/Alvelal, is that other enabling processes have been at play to ensure that geographic proximity reinforces collaboration among partners. In other words, being geographically inside or near the same space is not always sufficient reason to facilitate collaboration. I have been looking more closely to see if other forms of closeness have also been present in the social alliance network that is based in this vast geography which is Southeast Alaska.

For the first-data set, I carried out an orientation interview in October 2019 with the Executive Director of the SSP. This initial interview was instrumental in helping me to connect with other organizations that constitute the SSP network, and in particular those organizations and partners that were deemed most important to further the research.

Similar to case-study 1/BNY and case-study 2/Alvelal, in order to create a list of interviewees, I specifically asked Spruce Root to kindly connect me to a diverse group of potential interviewees involved within the network. This approach has ensured that I research and investigate the network from different perspectives. Furthermore, to help limit and reduce retrospective bias I have interviewed highly knowledgeable informants (Eisenhardt & Graebner, 2007) from different organizations with different hierarchical and functional areas that constitute the network. These have been senior managers and executives with different functions and from different organizations, who have the knowledge, motivation, and authority to discuss their organization's role specific to the social alliance. Multiple perspectives yield better results (Mitchell, 2018).

The second round of qualitative interviews was carried out from January - March 2020 through virtual calls with key executives of SSP partner organizations. For the qualitative interviews, I conducted a total of 13 individual interviews. The total 13 respondents have all been from SSP partner organizations. The interviews on average lasted one hour.

Similar to case-study 1/BNY and case-study 2/Alvelal, at the end of each interview I have asked two standard quantitative questions, which also in this 3rd case-study turned out to produce quite rich and insightful data.

I also spoke to five (5) entrepreneurs based and working in the Southeast region, including two entrepreneurs who also represent SSP network organizations; the other three entrepreneurs represented community enterprises not working for the SSP network. I did want to carry out a detailed quantitative survey to assess the extent and quality of collaboration among entrepreneurs from Southeast Alaska and with the SSP. However, due to the global pandemic, which also impacted this region I was unable to carry out that quantitative assessment. I did however manage to carry out qualitative interviews with these entrepreneurs.

The interview questions have been open-ended and semi-structured. The semi-structured interview guide approach allows some flexibility to adapt the interview questions to participants with different roles or responsibilities (Brinkmann & Kvale, 2014; Bass, Beecham and Noll, 2018). The open-ended approach employed allows probing questions to focus in more detail on issues raised by participants (and not included in the interview guide) during interviews (Bass, Beecham and Noll, 2018).

Questions were shared with interviewees in advance. All interviews have been digitally recorded and transcribed, and sent to interviewees for approval. There where it was necessary I followed up with follow-up questions to seek additional clarification. Recorded interviews were digitally stored under 'Interviews' in my Google database. In preparation for the interviews, questions were printed in a format that would allow taking notes and writing observations along each question asked and answered.

Also, similar to case-study 1/BNY and case-study 2/Alvelal, and as part of the primary data collection process, I applied a first cycle of open coding to explore if potentially new themes might be at play in case-study 3/SSP, which I did not notice in case-study 1/BNY, and case-study 2/Alvelal. The aim of this first cycle of coding has been to potentially derive and produce new first order labels from the semi-structured interviews (Gibbs, 2007).

I then proceeded with my second cycle of coding where I applied axial and process coding - codes have been refined, developed and related or interconnected (Gibbs, 2007) to produce second order labels. I have ordered the first order labels into a total of forty-seven (47) second order labels.

Specifically, after finalizing the first and second coding cycles, I have tested the preliminary/theoretical framework (version 1) and the revised/empirical framework (version 2) with codes from case-study 3/SSP. Thus, circling between potentially new 1<sup>st</sup> order and 2<sup>nd</sup> order themes and concepts, as well as the relevant literature, to see whether my findings have precedents, and whether I have discovered new concepts (Goia, Corley and Hamilton, 2012, p.21) in case-study 3/SSP. This back and forth, and confronting version 1 and version 2 of the framework with the data and

uncovering of new processes, has helped reflect on how and where case-study 3/SSP confirms or may potentially amend version 1 and version 2 of the frameworks.

I then proceeded to further distill the second order labels into categories of collective processes, before aggregating them into overarching theoretical dimensions (Goia, Corley and Hamilton, 2012). In this process too, there were back and forth between the preliminary framework, as well as relevant and existing theory, literature and data to see if my interpretations of categories of collective processes have precedents, or whether they have warranted amending.

SSP has also received significant media and analyst coverage since their early stages of formation. For the secondary data set, I have therefore also collected and used archival data, including reports, publications, YouTube videos, media releases, newspaper articles, which were organized chronologically in a database (using Airtable), and to help with corroboration and triangulation purposes.

Unfortunately, with the arrival of Covid-19, I have had to prepare alternative routes for additional data collection and corroboration purposes. A scheduled field visit to Southeast Alaska to attend an annual retreat with the partners was cancelled. I was also unable to carry out a scheduled quantitative survey of the entrepreneurs that are operating in the Southeast.

In order to fill the gap, I was invited to attend three Zoom calls in June and July 2020 between network organizations, and have attended these calls as an observer, and took notes (Please see Annex 8 - Observations and Notes from SSP Zoom calls). I have recorded and transcribed the monthly calls, which on average have lasted an hour and a half. These Zoom calls have allowed me to probe deeper and collect data in as much as depth as possible, and actually observe the network partners 'in action' so to speak, which has helped me with additional corroboration and triangulation purposes. Two Zoom calls were regular monthly calls, and one Zoom call in particular was dedicated to an ongoing conversation around refining how SSP communicates around its focus areas and values. *(Please see Annex 8)*

I then drew a revised framework for case-study 3/SSP, which I presented in an Interim Report to the SSP for feedback and the wider research community through Researchgate for suggestions and critical feedback. I did not receive any specific feedback about the framework, other than positive comments about its usefulness throughout the work of SSP partners. *(Please see Annex 7 - Compilation of feedback received about interim reports).*

One partner in specific referred to the work as "thorough and insightful", and that is it has been interesting to codify the SSP model *(please see Annex 7)*. Another partner also referred to the general usefulness of the report as being especially helpful as this partner is scoping the future direction of the regional catalyst position *(please see Annex 7)*.

### 4.3.3 Key findings of the Sustainable Southeast Partnerships and transformative capacity of the network

Here below in **Table 17** I have presented and visualized all different codes that I have identified throughout the coding exercise. The aim is to visualize and further explain and narrate to readers the relationship between the codes and the data structure in presenting my findings for case-study 3/SSP. As the reader will notice, I have used the seven (7) overarching theoretical and strategic dimensions of transformative capacity as an approach to present and structure my findings also for this third case-study.

At the end of this case-study in **Table 20**, I will show a revised framework by color coding those codes that I did not identify in version 1 and version 2 of the framework, and thus warranting a revision of version 2. Where a new concept appears to be at play, I have highlighted those in **green** in **Table 20**. In the following sections, I will present the findings from the case-study. The blue tables serve as illustrative quotes from the interviews.

#### (A) Having a leading and driving force organization: Spruce Root and programmatic pathways

The SSP network represents a very diverse mix of community-based tribal organizations, state, private and social sector organizations. With so many at times competing interests the SSP has over the last eleven years managed to create a rather compelling and impactful network of organizations whose missions are aligned to create socially, economically and environmentally thriving and sustainable places and resilient people. This vision to create socially, economically, and environmentally thriving and sustainable places and resilient people has been the common denominator aligning the different interests and missions together.

Deeply rooted and grounded in the shared cultural and environmental heritage of each (tribal) community, as well as these cultures' deeply ingrained relationships with the natural world, the SSP response has been embedded in what the network calls a *regional collective impact model across four distinct programmatic pathways*. As the network has matured, many of the conversations have consistently also been about reflecting how to improve and how to do projects differently to make them work across key pathways. These pathways are thematically themed and focus on distinct and yet clearly interdependent and specific areas of:

- **Community Forestry and Fisheries:**

SSP's vision of productive forestry and fisheries has been inspired directly by the thousands of years of stewardship experience of the native Tlingit, Haida, and Tsimshian peoples of the region, who have relied upon coastal and

1st order labels - open coding - examples of codes derived from semi-structured interviews (i.e. shared concepts, patterns of behavior, strategies, activities, understandings or approaches)	2nd order labels - axial and process coding	Categories of collective processes - partially derived from preliminary framework and supplementary documentation (i.e. theory, literature, data)	Overarching theoretical and strategic dimension - Components of transformative capacity
Anchor organization is responsible for network coordination; anchor organization is the main convener of network partners; anchor articulates an overarching vision and philosophy about how the partnership convenes and how it does projects; anchor organizations articulate a common vision across focus areas or pathways; anchor organization is the backbone organization, who convenes (virtual and in person), executes the approach to collaboration, stewards partner participation, applying for funding and designing a program or projects in conjunction with the support of other network partners; the anchor offers backbone support and to ensure network stewarding deeper levels of engagement and participation of stakeholders in the network, offering coordination and oversight, strategic direction, fundraising support and budget approval; communication and outreach (so that it creates value for all the members of the network).	Having an anchor organization that has distinct roles/functions, and playing key roles and working with partners whose missions are aligned with those of the anchor organization(s).	Acting as a leading and driving force organization	A. Having a leading and driving force organizations
A nonprofit Community Development Financial Institution (CDFI) providing credit and financial services to underserved markets and populations and generates financial revenues (i.e. being a nonprofit lender); raising capital through public and private means to lend; nonprofit with fundraising capabilities and revenue generation capabilities; operate very much like a corporation, but with a nonprofit lens; a social enterprise;	A hybrid organization that is mission-driven through social achievements and generating revenues.		
Becoming a learning organization or think tank for regional collective impact models and place-based collective action network focusing on local community wealth creation; a network that is learning how to address complex social, economic and environmental challenges through cross-sector coordination;	Becoming a leader in a community of practice creating a thriving environment and space for a place-based and regional collective impact model working toward achieving local community wealth priorities in Southeast Alaska		
Key organizations offer core support for the network to thrive (i.e. being the fiscal sponsor, or offer network coordination functions); community organizations being the bring builders between people and resources; ensuring that more good work gets done by offering leadership support; certain partners play a key role in committing to community goals and bringing different interests to come together; key partners are liaisons for community priorities;	Certain actors acting as a neutral platform and leveling the playing field to convene and to reconcile diverse and at times competing interest to create shared rewards	Being an intermediary positioned between the stakeholders of a project	
Group of individuals and organizations (i.e. local and regional catalysts) who come together to collaborate and share resources and build capacity among themselves and their communities; community, regional and tribal organizations who together form the partnership; working with partners on key projects that align with SSP mission; working closely together with various stakeholders with different interest, loyalties, structures, and building connections between sectors and actors; mobilizing like-minded organizations; overlap across and between network and organizational levels;	Mobilizing and working together with various stakeholders to come together and to form a representative core group of fore-runners and building connections and synergy between sectors and actors	Building a (multi-actor) coalition with broad organizations	
Host organizations identify projects across focus areas or pathways (i.e. flagship projects such as Moby the greenhouse truck, biomass energy project); identifying joint opportunities and jump and go with it; collective design of a program or a solution, which draws on everyone's respective skills and collective problems; mutual benefit projects; designing new projects that are mission-aligned and/or mission-critical; getting partnerships of the ground and testing them project-by-project; creating overlap and merging across fields through joint projects (i.e. food security and energy independence)	Championing win-win opportunities and low hanging fruit collaborations depending on need/demand	Continuously identifying/Exploring and implementing joint projects with (ecosystem) partners that add value	B. Iterating, experimenting, learning by doing joint through joint projects
Learning a lot together and doing it collectively; working with community partners to build capabilities; engage partners in areas that are not core capabilities (i.e. every organization has a different set of strengths and weaknesses and barriers and obstacles to overcome); accessing resources from other partners, a partner would otherwise not have access so;	Engaging and learning from partners and through deliberate partnerships to build new skills, new expertise and competencies		
Launching joint projects, and learning by doing; rolling and running with the projects; piggyback off of previous ideas and projects that come along; exploring a new project (i.e. cultural and regenerative tourism) which may become a new SSP pathway;	Active and (rapid) trialing or iterative learning of new solutions, new ideas, new projects	Iterating and experimenting continuously with partners/providers on joint projects to add value	
Using the place as a test bed for testing new products/services (i.e. new land management strategy, Moby the mobile greenhouse); using Southeast Alaska as a place to test new initiatives (i.e. in composting, community kitchen, Triple Bottom Line-enterprises);	Using the space as a test bed for prototyping new ideas and solutions on a small scale		
Allowing the partnership to evolve to allow new iterations and learning; new add value projects build on the success of the previous (i.e. reforestation of land and preserving natural habitats) so that the surrounding community can benefit from the natural resources; willing to try things and see how they go, and then decide where to grow it from there, rather than trying to form the perfect partnership (i.e. Moby the mobile greenhouse); being flexible with how projects are put together, initiated or implemented; small scale and successful projects create a safety net and reduce risks for other communities to test and try the project;	Flexibility to try new things and seeing how things will go instead of having a perfectly planned partnership or project	Evolving continuously through new and joint projects	
Start with locally led small scale projects that then can evolve to having a life of their own; the network focuses on local community needs first, and waits and listens to what the community brings and asks for instead of pushing projects from the top down; allowing ideas for potential new projects to emerge organically from the bottom up (i.e. cultural tourism);	Openness to top-down and bottom up projects and/or relationships that emerge whilst being responsive and committed		
Job creation is not a sole focus or metric that it reported; tracking the number of jobs that have been created through joint projects (i.e. constructing affordable houses); joint projects have employment creation goals (i.e. number of construction jobs created); finding the jobs that fit within and respond to local community needs for jobs;	Creating and tracking how many jobs have been created through projects and funding	Increasing the capacity of the workforce through localized economy strategies	C. Mainstreaming Inclusiveness
Making small loans to local entrepreneurs and offering financial literacy and personal financial programming; giving direct funding to natural resource academies to build some technical training for workforce needs; network focuses on economic and social well-being of South Alaskans by supporting the set-up of triple bottom line businesses that invest, create jobs and hire in South East Alaska; investing in small scale businesses	Offering resources and targeting specific types of enterprises that create jobs or other rewards.		

and small scale industry (i.e. eco-tourism, small scale mills) that can create jobs and staff locally; offering intensive boot camp training and business support services (i.e. Path to Prosperity program offered by anchor organization Spruce Root) to triple-bottom line and community enterprises (i.e. composting food waste, food harvesting, local mills, fisheries); offering local businesses contracts to turn waste wood into biomass and add to local energy;			
Through workforce and education development, internships, mentorships, trainings offering career advancement to Southeast Alaskans; proactively looking for training and apprenticeships (i.e. in blacksmithing, energy leadership program, hazmat certification) to train the current workforce; partners work across focus areas and across communities using the projects as vehicles to advance youth and workforce development initiatives and build new skills; provide workforce development opportunity (i.e. training) for local youths to build and gain advanced construction skills by building a tiny home using as much regionally sourced forest products as possible; compensate indigenous food harvesters with ancient knowledge and expertise to transmit their skills, knowledge and expertise to new generation of food harvesters so that they too can have a livelihood;	Offering and creating access to jobs and opening up economic opportunity at each part of the spectrum from really low skilled work to high skilled workers.		
Building new technical skills in local community for improved job access is an integral part of project design and project activities; building the ecosystem and creating programming and opportunities for workforce development and technical capacity building to grow; targeting youth from schools to learn how to operate a GPS, flying a drone for forestry managements or teaching financial and business literacy skills; prepare youth and students for future careers in natural resources and science based job exploration; investing in soft skills; workforce development projects focus on organizational successions and for new generation of leaders to occupy different levels of leadership or responsibility;	Project design providing citizens/communities with new skills, training and abilities for better job access for those who need it the most or most qualified	Including/engaging surrounding and/or disenfranchised populations and/or addressing socio-economic needs of the community	
Partner organizations wanting to increase participation, engagement and representation of tribal organizations in areas that matter to tribal communities; local partners having a pulse on what's happening in their local communities and wanting to increase vitality; partners make sure that they're on the front lines advocating for the things that the local communities' needs; engaging the disenfranchised for long-term economic development; designing and implementing solutions in underserved communities and areas; being inclusive with the surrounding community about distributing benefits derived from joint projects; creating economic inclusivity by creating (renewed) economic and ecological activity in underserved indigenous communities with high rates of unemployment; the network itself can be used as a tool to create more equity (i.e. to pass through resources, to redirect funders and policy-makers);	Re-enfranchising strategies that pay particular attention to questions of social justice, equity, economic vitality		
Continuously think about ways to better engage (i.e. finding touch points with) the public and allow participation (i.e. cultural tourism or regenerative tourism across the local communities); tapping into every opportunity with partners to get to the people most benefit from the projects; enabling community partners who may not be as well-resourced or have the capacity to seek additional resources to access resources in the same way; enabling partners feel they belong in the network, and they have a seat at the table, and that the table belongs to them; joint projects have touch points with wider community members including local schools and local businesses;	Integrating into the design of a project different aspects of <i>indigenous community capacity</i> or community empowerment		
Funding acts as an incentive to motivate and foster shared commitment, shared understanding and expectations about partner or host organizations; anchors articulate and frame an overarching vision and philosophy about how the partnership convene and how it does projects; sharing a collective vision about the place and what it means to be in Southeast Alaska; anchor organizations articulate a common vision across focus areas or pathways; the network comes together, partners worked on collective vision as a group creating a sense of collective need across partners; collective vision act as a binding agent;	Crafting/Articulating a shared vision among partners based on needs, shared understandings and expectations (as a means to motivate and foster commitment among partners)	Building and/or sharing a collective vision and acting on it	
Partner organizations participate in network activities; shared understanding of the network being a process driven network as opposed to a project or product oriented network; partners crafting a direction and then working together to move toward that vision; collective action network that is open to any organization that is willing to commit to the SSP approach; network participants express themselves through a common vocabulary (i.e. program pathways, Wooch.Een (meaning getting down to what needs to get done), and triple-bottom line enterprises); mission/vision is front and center to gatherings, communications and storytelling;	Rallying around a shared vision and understanding among partners		
Identifying as a member of the network thanks to dedicated grant support, shared funding pool, or shared salary support for catalyst positions and community and regional organizations; identifying as a catalyst partner in the network; newcomers are embedded and immersed in a shared language or common vocabulary (i.e. pathways, Wooch.Een (meaning getting down to what needs to get done), Kuxhadahaan Adaayoo.analgein (meaning stop, observe, examine, act in Tlingit));	Over time partner organizations start identifying themselves as a member or partner of the network		
Launch of joint partnership-projects implemented with joint inputs from partners; disagreeing on details, but aligning with the vision of strengthening communities claimed to be working towards; integrating and building into each other's' projects; partner organizations' goals and mission align with that of the SSP and its pathways/programming; collaboratively building the ability of a project to succeed;	Launching mission-aligned and joint projects that overlap or have touch points between different areas or organizations, or sharing the same ethos and values	Aligning of (different) organizational mandates/interests into a symbiotic relationship	<b>D. Building Coherence Processes</b>
Engaging with key partners in network level decision-making; steering committee helps to coordinate multiple funding streams and allocating resources; coordinating project activities and incorporating a significant amount of community input; partner organizations devoting time and energy to coordinate workforce development initiatives across the network to directly deliver services and programming; proactively sharing information among partners; having an entity that coordinates joint efforts;	Close coordination and engagement between partnering organizations to ensure being on the same page		
Creating holding or safe spaces to convene, interact and exchange and connect with stakeholders (i.e. network and non-network partners); organize annual in-person retreats to foster participation and promote a sense of belonging across disparate stakeholders; create spaces for partners to work through their issues; making a space that works for everyone who is part of the network; virtual monthly gatherings become hubs for sharing stories, opportunities and participate; creating safe or holding space for previously hostile organizations to work through issues;	Creating shared places and spaces to interact and exchange through events, gatherings, meetings	Reaching out/communicating/interacting with outside and inside of the network stakeholders	
Being deliberate and intentional getting the message out about the work done in this place (i.e. Southeast Alaska) with SSP partners; open book and transparent in terms of project updates, report, and private project data (i.e. being good stewards); using the website, blog posts and media content in order to communicate publicly what is being done in this network and across the territory; promote the SSP and its work by setting up information booths during fairs and community events.	Looking for opportunities to raise awareness and communicate formally about what is being done inside with partners and outside to the public space with partners		

Outreach through emails, newsletter, in person visits; regular meet-ups and organizing regular virtual check-ins and ad hoc meetings based on partner need; informal and formal meetings with partners; monthly network meetings to discuss projects and offer updates;	Doing outreach through regular (formal and informal) meetings, meet-ups, check-ins and phone calls, <i>newsletters</i> , info sessions for exchanging and learning	Constant cultivating/Steering of ongoing and effective relationships	
Being in constant or very frequent communication and being accessible to partners; discipline of actually maintaining points of contact across the right levels of communication; proactively communicating across partners about what is going on and extending opportunities;	Being disciplined about maintaining points of contact		
Organizing and designing work plans together; preparing impact reports about the network (i.e. Impact Evaluation-report, or Value of Collaboration-report); organizing ad hoc thematic meeting and/or monthly calls (i.e. monthly network Zoom calls) to keep track of progress on projects, address project problems through workshops;	Organizing regular and ad hoc meetings and reports with partners to stay abreast	Making sense together	
Program director for the Sustainable Southeast Partnership; regional and local catalysts; local and regional catalysts who perform programmatic functions across the SSP; set-up of steering committee across and with partner organizations to give strategic direction and take key decisions; set-up technical committee for natural habitat restoration projects; strategic planning committee; thematic committees;	Establishing shared structures and procedures to manage the partnerships		
Regular practice of revisiting whether partners still agree on the same things and working through potential disagreements and solving together; partners reflect on what has worked and what has not, (i.e. organizing meetings to discuss problems); partners having meetings to solve problems together based on needs and engaging in meaningful dialogue (i.e. offering creative and constructive criticism); organizing thematic virtual meetups to co-create with partners key concepts, values and meaning (i.e. regenerative tourism for Southeast Alaska and the SSP);	More than just updating on progress, and keeping stakeholders abreast, but actually ongoing engagement, seeking input and working with them on new ideas (or working through the problems together and/or then designing solutions together)		
Inculcating a sense of responsibility across the partners; measuring the progress of the projects, (i.e. design metrics and evaluate whether metrics are on track); articulating sustainability outcomes; compiling a yearly report with various metrics (project dependent); reporting focuses on environmental issues, social and economic well-being of local community; tracking projects help achieve key numbers and have (semi-formalized) reporting mechanisms; having key performance indicators; having annual work plans;	Tracking progress and evaluating progress - procedures or metrics for evaluating progress, as well as success stories - being disciplined in terms of collecting that data	Being accountable (shared accountability, individual responsibility for the social mission)	
Guiding and operating principles about what is expected to be participants in this network; recognizing organizational roles and how they help the collective or coalition to thrive; collective responsibility; shared responsibility and interdependence because projects overlap between areas and partners; building mutually beneficial relationships to continue creating new opportunities or build on existing ones requires joint efforts; acknowledging the other organizations as key for mutual success; reciprocity; accountability to individual hosts organization, and then to the network as a whole; catalysts roles are repeated across multiple organizations and in multiple communities because of the relationship with SSP;	Partners' respective commitments towards each other to achieve shared outcomes for projects		
Getting feedback, ensuring active participation, including others' opinions, diversity of thought when designing projects; making decisions through consulting partners (i.e. conservation groups, tribal corporations, state government, local tribal community organizations); having amorphous conversations, talking about general pain points, and charting together a path forward; making sure that key stakeholders aren't left out and ensuring that community priorities are heard, respected and supported.	Getting feedback, getting buy-in, active participation and gauging insights, different opinions from different backgrounds, and involving diverse groups, individuals and organizations	Generating/Fostering/Integrating different kind of thinking, ideas and solutions	
A new way of doing things and showing step by step results to help convince stakeholders (i.e. shared values, shared vision, shared way of doing things); support new areas that have not traditionally been thought of as synergistic (i.e. localized economies and conservation of land); introducing triple bottom line thinking and model to change the mindset and integrate new solutions for land and resource management; using indigenous processes and rituals to inculcate a recognition that if partners don't pull together, progress won't happen (i.e. Woch.Een (meaning getting down to what needs to get done) or Kuxhadahaan.Adayoo.Analgeint (meaning stop, observe, examine, act in Tlingit)); using demonstration projects as a tool to reduce fear in another local community to try the project;	Facilitating the introduction of novel ideas, solutions, procedures, options		
Capture input and knowledge in reports and briefings (i.e. about blueberry and deer habitats, or measurable best practices on timber, salmon and deer production, local economic development and improved watershed health) in a way that would make it helpful for partners to do their jobs and sharing it widely with partners; monthly meetings and minutes/notes taken are opportunities to share knowledge and transfer lessons learnt;	Sharing or dissemination of lessons learnt and/or offering direct advice and support to groups that could benefit from the knowledge/expertise	Capturing/Codifying Knowledge	
Conducting research, collecting and documenting insights; doing data analytics (i.e. data, charts, trends analysis); availability of internal database to access all project reports (i.e. Google Drive, or Slack channel);	Conducting research, collecting data and/or building a repository of knowledge		
Joint projects that upgrade and restore the natural habitats and forests; conservation activities across the Tongass national park; using new knowledge about forest and watershed management to develop new strategies around natural habitats for mutual benefit; the network provides a framework to think about people and place and integrates the environment as part of value driven work; physically upgrading buildings for community use (i.e. community kitchen, community center); collaborative management model that focuses on the community use of Southeast Alaska land base;	Deployment, reuse and revival of physical infrastructure as a shared resource.	Leveraging and sharing resources which they otherwise would not be able to access and/or acquire independently	
Leveraging the wisdom and knowledge of the broader network (i.e. iceberg challenge, when someone from a partner organization gets to pick a different problem to work on with others from the network on a monthly basis); co-designing and co-creating solutions together; joint projects are collaborative efforts in form and informed by SSP collaborative approach (i.e. Hoonah Native Forestry Partnership, Moby the mobile greenhouse etc.); joint projects have the DNA of the SSP; building the act and practices of collaboration and the frameworks that are developed for working through together; sharing learning and experiences to improve and help each other's organizations or operations; reimagining, re-shaping, cultivating and enriching their environment with new, useful and innovative ideas and solutions, and reaping shared rewards through community enterprises (i.e. triple-bottom line enterprises); the network acting as an incubator for entrepreneurs; working through the partnership helps facilitate new community enterprises to be set up and help enterprises' operations; partners fundraising for and getting access to a network fund; tap into shared resources and shared tools and frameworks for doing the work at the local level;	Partners using and combining resources to pursue opportunities together and/or addressing needs together creating new and shared resources which they would otherwise not be able to access or acquire	<b>E. Building (place-based) Network Resources</b>	

<p>A pure network without formal legal structure or dues paying mechanisms; increasingly seeing the value of collaboration and increasingly participating the SSP-way; it is a network that allows to access and connect with meaningful and functional relationships, and resources and to leverage those relationships and resources for meaningful work; collectively getting better at working together;</p>	<p>Establishing and developing a web of relationships between internal and external stakeholders which can be leveraged for growth and development</p>		
<p>Realizing how far a partnership or project has come, and thinking what needs to happen next to scale it; setting up a new financial endowment mechanism to support the network for the long-term; looking for opportunities, including conversations, dialogue and actual programming to increase the impact of a project by looking at other regional initiatives (i.e. conservation and economic development in Canada) with philanthropic partners; expand the network to other non-catalyzed communities of the Southeast (i.e. mini-SSPs); SSP approach inspires other networks (i.e. artist network of Southeast Alaska) to operate in the same way; influencing policy makers and resource managers (i.e. on environmental impact of the SSP projects to help sockeye salmon);</p>	<p>Replicating, expanding the footprint or applying the project itself or various processes, methods, components or solutions in different settings and locations</p>	<p>Generalizing the project operation or results beyond the initial context of application *</p>	
<p>Envisioning with partners system's change; redefining how catalysts commit to network activities as the funding landscape is shifting; partners envision and engage about the future potential of their partnership and project (i.e. re-imagining how to make this territory thrive, re-imagine the future of the network without having gatekeepers who need to channel funds); envisioning how to get triple-bottom line enterprises to become formal partners of the network; growing recognitions across partners that there is an emerging overlap and merging across fields (i.e. climate change, youth and workforce development) that needs addressing;</p>	<p>Envisioning and/or developing alternative visions and/or engaging stakeholders about current and future needs, expectations</p>		<p><b>F. Thinking Forward</b></p>
<p>Regular and proactive communication of progress with and between stakeholders and partners; references to open discussions and critical dialogue on network's evolution; formal methods for reporting, monitoring, metrics; iterating forward continually and constantly; constantly reflecting whether a project align with SSP priority areas and whether it is moving in the right direction;</p>	<p>Reflecting on how a project unfolded and shared learning</p>	<p>Being reflective and aware of what it takes for a project or initiative to succeed</p>	
<p>Working on challenges to redefine the partner membership in the network; recognizing the challenge to redefine the role of partners in the network as the funding landscape is shifting; partners are engaging tribal organizations more and doing a better job at including locally based organizations which are tribal organizations in the network; partners recognize the complexity and governing across tribal, state and federal structures that are incentivized for competing interests between tribal corporations, conservationists and local tribal communities; non-network organizations getting involved because of seeing the benefit of the information transfer, even without funding and support; partners understand their respective roles, recognizing they can't act to things on their own and need to collaborate;</p>	<p>Stakeholders rethinking and recognizing what it takes to overcome barriers for a project or initiative to succeed, to scale and growing impact</p>		
<p>Working with partners who know South East Alaska (i.e. this territory) and the context and the problems; building effective and deepening relationships to share information and break the siloing across structures, organizations and local communities; building trusting relationships between stakeholders that facilitates future and deep collaboration and information sharing between partners who did not use to work together; first it is about building trust among the individual catalysts, and then over time building trust between host organizations and their projects; putting focus on putting relationships first; partners are coming together from places of good intentions; getting the right people onboard; using this way of doing things together as a way to address trust barriers and build-bridges;</p>	<p>Building trusting relationships between stakeholders that facilitates future and deep collaboration and information sharing</p>	<p>Bonding/Linking between partners and building trust</p>	<p><b>G. Enabling Mechanisms</b></p>
<p>Wanting to work on issues through partners; strong dedication; committed to this new way of working together; strong commitment of partners towards how they come together and how they collaborate; the network inspires and is seen as a beacon for a better future; calling this place (i.e. Southeast Alaska) our home; enjoying working through the network;</p>	<p>Proactively working with other stakeholders and committed to making this place thrive</p>	<p>Being invested in the network</p>	
<p>Redefining how a nonprofit, a corporation, a tribal government or individual formally or informally defines themselves in the network; host organizations of the network regularly revisit how they come together and work together (and formalize the guiding principles in an agreements) through annual meetings/retreats;</p>	<p>Leading and driving force organizations and other core organizations on a regular basis as a collective rethinking and revisiting what it means/entails to being a 'member' in this space</p>		
<p>Collaborating with organizations that are not physically in this place that share the same vision; shifting the mindset of stakeholders to share learning and experiences with each other; creating deep and lasting relationships and connections; using new connections, new learning and knowledge as a base for new economic and environmental ties; creating closeness and facilitating collaboration between actors who are in the same territory but did not want to work with each other; working repeatedly with partners building shared understanding and shared experiences; communities are spread out and difficult to get to, so it is important to foster exchanges and connect different people and connect to resources;</p>	<p>Creating closeness to ensure that geographic proximity reinforce the bonds, trust and collaboration among partners</p>	<p>Proximity</p>	
<p>Being near or inside this place where you can get project to align and work together; having a chance to build real relationships with a community that is a stone's throw away; working with local communities based in South East Alaska; becoming a close-knit community in physical proximity and helping each other out; neighboring communities piggyback off of each other's' projects;</p>	<p>Being physically inside or near the same place facilitates or reinforces collaboration</p>		

Table 17: Data Structure of case-study 3

terrestrial natural resources for food, art, trade, and tradition. SSP work has over time evolved towards a vision of forestry and fisheries management that has included both subsistence and commercial activities, and one that has placed the local communities at the center of stewardship. SSP has been working with and through its community partners to ensure that local community priorities and local employment are central to the management of forestry and fisheries in Southeast Alaska<sup>142</sup>.

- **Energy Independence**

SSP has supported clean, reliable, and sustainable energy solutions for households, businesses, organizations, and communities. Among others, the network has supported projects around local, renewable energy generation, reduced reliance on fossil fuels, and increased home and commercial energy efficiency through audits and upgrades<sup>143</sup>.

- **Food Security**

The network has launched initiatives creating local and regionally based, resilient food systems that reduce dependence on outside sources. SSP's has particularly sparked local food business startups and agricultural enterprises, improving household and community access to healthy foods, and supported increasing access to a reliable supply of wild foods for household provisioning and tribal cultural revitalization<sup>144</sup>.

- **Localized Economy**

The last pathway has focused on establishing a robust and diversified regional economy composed of locally-owned and locally-operated businesses that use natural resources sustainably and reflect the region's unique cultural resources. SSP's work in local business development has ensured that remote and isolated villages receive a greater share of the money, expertise, and leadership in the region's economy<sup>145</sup>.

#### i) What is the collective impact model?

The term collective impact refers to “the commitment of a group of important actors from different sectors to a common agenda for solving a specific social problem”<sup>146</sup>. A collective impact initiative requires commitment across organizations to a common agenda, a shared infrastructure, dedicated staff, continuous communication, mutually reinforcing activities, and a shared measurement framework<sup>147</sup>. Collective impact initiatives are suited to complex social problems that require careful coordination across multiple organizational types. In the words of a seminal article on the topic by Kania & Kramer (2011, p.38), “large-scale social change comes from better cross-sector coordination rather than from the isolated intervention of individual organizations”<sup>148</sup>.

In developing shared infrastructure for mutual benefit, collective impact initiatives designate one of their participating organizations to be *the backbone organization*, which supports the initiative through logistical and administrative support, meeting facilitation, technology and communication support, and data collection and reporting<sup>149</sup>. This is

commonly referred to within the SSP as “network stewarding” (Spruce Root). In the case of SSP, this role has been fulfilled by Spruce Root, an Alaska Native-led Community Development Financial Institution (CDFI). Such Institutes are federally administered in the United States, and private sector financial institutions that focus primarily on personal lending and business development efforts in poorer local communities requiring revitalization in the US<sup>150</sup>. In addition, to being a social enterprise, Spruce Root, acts as a leading and driving force organization, and is devoted to the mission of promoting economic, social, cultural, and ecological resilience in Southeast Alaska through support for local businesses<sup>151</sup>.

Collective impact initiatives thrive under conditions of complexity that require coordination, adaptation, and continuous learning. These conditions are clearly at play in Southeast Alaska’s food, energy, natural resource management, and local business sectors. Geographically dispersed and isolated communities, high costs of transportation and energy, and a history of conflict over natural resources have left Southeast Alaskans seeking improvements in ways of doing business, ensuring public health and food security, and providing the necessities for a good life in the region.

In the formative years, the SSP was dominated by conservation organizations aiming to preserve the natural wildlife and forests. Over time, the network has started working with other indigenous organizations, tribes, state and non-state actors and corporations on developing adaptive responses to the multiple social, economic and ecological challenges facing indigenous and non-indigenous communities living in Southeast Alaska.

Since the initial SSP concept in 2009, the network has evolved into an impressive arrangement consisting of 16 individual and independent organizations, a network of unlikely allies, with a strong commitment toward the SSP vision. Throughout the interviews a number of key organizations were referred to that have been part of this network, with a group of fore-running organizations at the heart of the network from the beginning. References were made in particular to Spruce Root, Sea Alaska, the Nature Conservancy, Sitka Conservation Society, and Alaska Conservation Foundation (fiscal sponsor and principal funder over the last decade), which have been the founding members of the network, and over time also tribal and other local organizations have joined the network partnership.

***“The people that were involved at the time when it started knew the right people, and got the right people on board to make the change in how we look at everything. That’s the big thing that happened, it got us all to the table and in the same room. It started off in the same room, and now we’re all at the same table”. (Yakutat Tlingit Tribe)***

In the Region

Our Values

Focusing Our Efforts

## A Regional Collaboration:

Our partners share ideas and resources across rural communities in Southeast Alaska. Learn more about our collective work on the ground.

**YAKUTAT** is situated at the foot of the massive Columbia glacier and is Alaska's northernmost Tlingit community. While developing plans for a new health clinic, partners used the opportunity to simultaneously craft a strategic five-year community plan that sets priorities for addressing housing shortages and growing the local economy.

**HOONAH** is located on Chichagof Island and is Alaska's largest Tlingit community. Through a progressive collaboration between land managers, the Hoonah Native Forest Partnership employs a local workforce to study the surrounding landscape. This partnership helps managers better understand and protect important salmon and wildlife habitat while developing sustainable natural resources.

**SITKA** is a Tlingit community on the outer coast of Baranof Island. Sitka is home to many community-driven initiatives, including a commercial kitchen space and a workforce development program that guides high school students in the construction of a tiny home using sustainably sourced local timber.

**KAKE** is a Tlingit community on Kupreanof Island with a long history of living with the land and water. Kake was selected as the first home of Moby the Mobile Greenhouse. Moby travels by ferry to rural communities where students and local educators grow food, develop healthy food preferences, and catalyze long-term food projects and business opportunities.

**KILWICK** is a Tlingit community in the center of Prince of Wales Island. Kilwick is implementing an energy efficiency upgrade program based on recommendations and support from community organizations and technical assistance from the Department of Energy. The retrofits from this program will reduce the community's annual energy costs.

**KASAAN** is a rural Haida village on Prince of Wales Island. It is home to some of the oldest existing traditional Haida architecture in Alaska. Kasaan is developing a cultural tourism program based on the preservation and restoration of the original Naay "Wlaans" Whale Houses.

**HYDABURG** is located on Prince of Wales Island and is the largest Haida community in Alaska. Hydaburg's salmon stream monitoring project relies on a local workforce to document the health of important subsistence salmon stocks around their community.

**Our partners apply a triple bottom line strategy that balances social, economic, and environmental needs. We believe this holistic approach will lead to long-term prosperity across Southeast Alaska.**

- People**  
How can we best support community well-being and build projects that benefit our families and neighbors?
- Place**  
How do we use our natural resources in a way that is sustainable in the long-term? How do we protect our coastal temperate rainforest home so that future generations can continue to depend on its resources?
- Profit**  
How do we build a robust and diverse local economy that supports prosperous and self-reliant rural communities?

**Community Fisheries & Forestry**

We work with private, state, and federal land managers to ensure community priorities and local employment are central to the management of our lands and waters. We integrate local knowledge and the best available science into natural resource stewardship that results in increased local capacity, economic opportunity, and improved environmental health and conservation across the region.

**Food Security**

Our partners work to forge resilient food systems that decrease dependence on outside sources, spark food-based businesses, and improve household and community health. Our shared vision for a regional food system includes a reliable supply of wild foods, thriving agricultural enterprises, and improved access to fresh and nutritious foods for all residents across our region.

**Energy Independence**

We are committed to renewable energy options that are clean, reliable, and sustainable. Together as partners, we strive to make Southeast Alaska less reliable on outside energy. We identify opportunities for improving energy efficiency while pursuing a combination of innovative renewable energy projects across our rural communities.

**Local Business**

Establishing a robust and diversified regional economy is essential. SSP supports place-based economies where locals own and operate thriving businesses, use natural resources sustainably, and leverage our unique cultural resources. We work together to ensure that more money, more expertise, and more business leadership remains in our communities.

Image 43: The SSP brochure<sup>152</sup>

The SSP is in a nutshell, a place-based and collaborative network working toward achieving local community wealth priorities in Southeast Alaska. It's a "Collaborative engagement network based on community priorities." (Sea Alaska) The regional collective impact initiative is founded on a strong belief and shared commitment that resources working together will be more effective than if they just stayed siloed doing work.

*"So, just highlighting the value of the resources that people bring to the network again is a key effort for the network. And then under the mantra of no wasted resources, finding the collaborative ideas, the collaborative initiatives, the collaborative decision making. That then goes ahead and proves that we can get more out of the resource than as a standard standalone institute tried to do it themselves." (Sea Alaska)*



Image 44: Partner organizations that constitute the SSP<sup>153</sup>

In addition to the SSP being a regional collective impact model, the network has two additional striking attributes. First, the SSP is an informal network, and therefore *there is no formal organizational registration for the SSP*.

*“The SSP is not an organization unto itself, there’s no legal SSP entity. We are purely a network. We are a group of individuals and organizations who come together to collaborate and share resources and build capacity amongst ourselves and in our communities, with no formal legal structure or dues paying mechanism for members.” (Spruce Root)*

The SSP has functioned as an overall umbrella ‘arrangement’ across heterogeneous organizations - and the network has formed a representative group of organizations building connections and synergy across sectors and actors. Second, the network has operated through what the SSP calls the catalyst model.

#### ii) The local and regional catalysts

SSP’s implementation of the collective impact model has relied on dedicated staff at multiple organizations across nonprofit, tribal, private and public sectors. The SSP has operating agreements that are signed with organizations joining the network. This agreement sets the guiding and operating principles about what is expected to be participants in this informal network (*please also see Image 45 here below*).

*“[We] have operating agreements, the principles of the partnership that guide what we value, and how we expect to be a participant and catalyst to behave and how we come together.” (Spruce Root)*

Over-time, a number of proactive local and regional organizations have joined the network. Organizations that have joined the network become host organizations; and host organizations have allocated dedicated staff called ‘catalysts’ for the network. Host organizations, which have employed catalysts also provide a portion of the catalyst’s salary, job description, and work plan. The rest of the salaries have been allocated through a shared SSP (network) and collective fund.

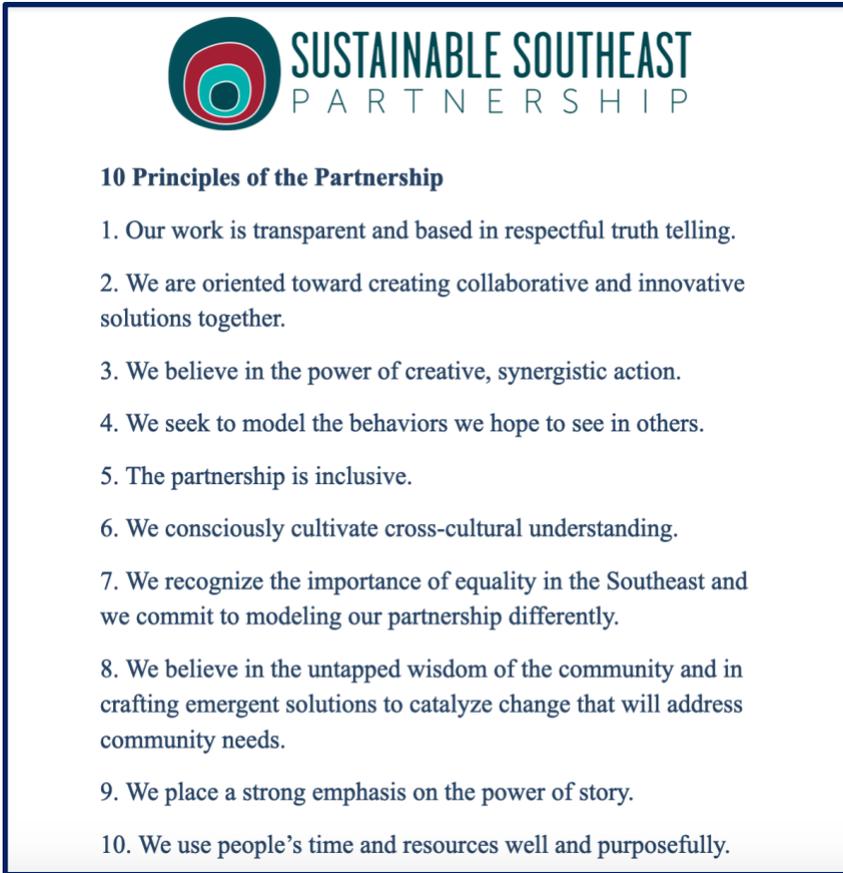


Image 45: Principles of the SSP Operating Agreements

There are *two types of catalysts: Community and Regional Catalysts*. These two types of Catalysts have played distinct but highly complementary roles in advancing SSP's mission and objectives<sup>154</sup>. Regional catalysts wear a thematic hat and are specialists in one of the four SSP pathways or program pillars: food security, energy independence, forestry and fisheries and localized economy. These catalysts have been typically housed at a regionally oriented (or sometimes state-level) organizations, and have worked closely with community catalysts to identify promising projects occurring in Southeast Alaska local communities, which have been driven by community priorities<sup>155</sup>.

*"Regional catalysts, such as myself, I live in Juneau, which is a major hub for the region. And so, I don't focus on any one community in fact I don't focus that much on Juneau either. I work closely with the community catalysts and with people in the community that are interested in working on local food systems."*

*And later in the interview "All of these communities have their traditional food systems. And part of [my work] is really making sure that these strengths are not forgotten, and that they can play a role in today's world; and so, some of it is with innovation. I was reminded that innovation is not necessarily anything new, but it's a recombination of things that currently exist in a new way. A catalyst would be fostering that recombination of things." (Southwest Alaska Watershed Coalition)*

The community catalysts, who have operated out of seven (7) target communities<sup>156</sup>, have been individuals with strong local and embedded ties and connections to the area and have been looking to contribute, nurture and foster

local place-based solutions for the local communities they represent. These catalysts are “the bridge builders between the people and resources” (Klawock Cooperative Association).

*“[If] you think about the roles that engage with SSP I'm at the community level, and my responsibility is to look for identified community priorities for my community, which is in Sitka, that align with the shared SSP vision for a prosperous Southeast Alaska. And I'm able to try and catalyze local initiatives that meet local priorities, but that can connect with and help fulfill that regional vision. In some ways, I am a local worker and I'm able to tap into the network resources and relationships. I'm also able to use that shared vision and shared tools and framework for doing the work at the local level.” (Sitka Conservation Society)*

Catalysts have represented the partner organizations, and have mobilized community developers with deep knowledge - who have a pulse on the key issues that each community faces. They have been the actors that champion a project, and because they have been knowledgeable about local priorities and needs, have been able to convene diverse and at times competing interests to create shared rewards. Sitka Conservation Society illustrated this point when discussing how the network has evolved from having purely a conservation-focus to actually convening, bringing together and aligning traditionally antagonistic organizations over community identified priorities “and making sure that if the community has a priority, then that's actually heard and respected; and that folks are saying that they support the community priorities, and aren't being run counter to that. “

Quite importantly, because local catalysts have been wearing the ‘SSP badge’ it has enabled them to connect those communities and local organizations who have not necessarily been catalyzed nor have been part of the network, to collaborate on potential SSP projects and resources. It has been the role of the regional and local catalysts to help grassroots-led solutions come to life by helping and offering support and expertise on projects that tap into the key mission pathways of the SSP network<sup>157</sup>.

*“These are all [SSP] projects where each community has their own champion, or champions, who are advancing those causes. But I tend to catalyze things in my community, I tend to ask questions at the right time to sort of make things happen, or show up at meetings and share information, or help the community that's really stuck to make their next move. These are not [necessarily] projects that I initiated, these are projects that each community initiated but they do need support.” (Klawock Cooperative Association)*

In reference to the catalyst model, the Southeast Alaska Watershed Coalition added:

*“ [The regional catalyst] has a broader look at what's going on in the region. And that way if there are really interesting or excellent things happening in one community, [we foster] exchanges or connect different people across communities because all our communities are very spread out and it's very difficult to get from one community to the next. Because you can't drive between communities, you have to either fly or take a boat, and our ferry system right now is very crippled by state budget cuts; and people aren't able to get around as easily, but there's a lot of things happening in communities. A lot of people are related to each other in communities as well. So as a regional catalyst, part of what I do is have an idea of what's happening in the region and kind of connect people; and then connect people with resources as well.” (Southeast Alaska Watershed Coalition)*

This set-up of the network across local and regional catalysts has also strongly related to the remoteness of the local areas where SSP is working. The geography of the place has nurtured a network model where organizations that have

a better understanding of their communities are considered resources of knowledge and access. The communities are remote, spread out, and hard to reach.

The innovation, impact and influence of the network has come from having mobilized and included at the time antagonistic organizations to work together; and to form a representative group of fore-runners that have rallied around a shared vision about what can be done in this region of Alaska. They have built deep and trusting relationships and connections across sectors and actors, which would have been unheard of at the time when the network was beginning to form. It is quite important to mention that a shared network mechanism for receiving funding has been instrumental in incentivizing and building a coalition of unlikely allies willing, able and needy (enough) to collaborate and align their works.

*“Before the SSP a lot of the different entities worked within their own bubbles and took on the challenges, or the goals, or the focus of each individual organization, and often would be at conflict with other organizations, or competing for funding or staffing. And even though they were dealing with the same issues at a community level for economic development and environmental stewardship, or social needs and capacities. They weren’t working together and pooling their resources and looking at things holistically, or using their different capacities, and ways of engaging in a way that was cumulatively building together to take on the challenge. That was recognized across the board, as well as being recognized that the theory of economic development that Alaska in Southeast Alaska had been working under had failed and we needed to get to a new point and new theory for economic development. So that’s I would say is the joint funding that comes in and is distributed amongst organizations that are partners within the SSP, and how that funding has been used to catalyze and cement those relationships. And that has then gone on to have those groups, looking for funding together. And also, working together on the different issues and challenges.” (Sitka Conservation Society)*

Host organizations have received dedicated grant support for the catalyst positions, which has reinforced a strong incentive to become part of the network, and has also ensured sustaining the network. In the words of Spruce Root:

*“People have identified as a catalyst within the Sustainable Southeast Partnership when their host organization has received grant support to support the salary of that position.”  
And a little further in the interview “The salary support for dedicated catalyst positions has historically been a pretty strong incentive to get partners.” And a little further, “(-) receiving the grant support, to support your position is typically how people have come to identify themselves as a catalyst partner in the network.” (Spruce Root)*

The availability of SSP funds has directly impacted the opportunity of working on community identified priorities. For example, during the conversation with one of the catalysts working for Yakutat Tlingit Tribe, his portfolio of projects has revolved around transportation and mobility (transportation, road inventory and planning), and with SSP funding, he was offered the opportunity to mobilize and to work on an important cross-cutting issue across the Southeast, which is affordable housing.

*“And that was because we had the funding dollars from SSP to give me time to work on these projects. Otherwise I’d have to work on things like travel, transportation or roads or inventory or planning which was directly with roads, and not anything to do with housing. That’s how SSP relates to us and Yakutat.” (Yakutat Tlingit Tribe)*

What has made the SSP funding model quite unique is that fundraising has not been in support of one organization, one project or program, but overarching across network partners who were strongly motivated thanks to availability of funding to collaborate and not to compete for the same resources in order to address the same or similar issues.

*"[The] other kind of intentionality I see is really the idea of organizations getting something back, and putting something in at the same time. We needed a carrot to incentivize this collaboration that was not coming naturally to us; given that many of us weren't working together or actually actively fighting against each other and thus, the idea of actually having paid positions, a central part, would provide some of that; and then your organization actually had to show up and provide some of the [matching funds] as well to show that you were putting something in, and that you were getting something significant out of it, which was basically the carrot to start the relationship building." (The Nature Conservancy)*

### iii) The role of the backbone and anchor organization - Spruce Root

According to the collective impact model, one organization must act as the backbone support. In the case of the SSP, this role has befallen Spruce Root. The backbone support or anchor organization has ensured network stewarding toward deeper levels of engagement and participation of stakeholders in the network, offering coordination and oversight, strategic direction, fundraising support and budget approval, as well as communication and outreach. The Nature Conservancy which is one of the founding partners of the networks referred to Spruce Root as "holding the network together by taking on the leadership role, and modeling the approach and handling the economic development piece of the partnership, which is also one of the key pathways." In the words of Spruce Root when inquiring about what network stewarding had entailed:

*"[Kind] of keeping it alive; a network is only as good as the activity of the participants. And in order to keep people actively participating in it, we have to have someone, somewhere, to serve and to steward that activity, and it has to be done deliberately and in a way that creates value for all of its members. I mean that's what we do. We've always looked at how this adds value to everyone; why would anyone waste their time showing up to a meeting? All we have is time, our most valuable asset. If we're going to expect people to show up, it better be worth it. And I think as the administrator or administrative arm of the SSP, that's what we did. And that's what we continue to do, to just steward the network so that it continues to be of value and stay relevant for each of the partners; and it looks different for each partner, but in general it's helping them to do their work better and get better results and get more done. That is the metric that we've been trying to track or gauge as far as participation goes. I think it's been working, and that's what and how I do consider the term network stewarding." (Spruce Root)*

In a similar vein, the Southeast Alaska Watershed Coalition provided:

*"Well Spruce Root is the coordinating organization (-). They've been with the SSP network since the beginning. And they administer the funding that was a huge part; SSP was really to provide funding for regional and community catalysts to have the flexibility to collaborate across these disciplines and across geographies. And they're the ones that really bring people together. They've been instrumental in interfacing with the funders as well as potential funders. They also coordinate these retreats, which I think are always important. They coordinate retreats twice a year; people get together in person. And that's an opportunity to build relationships, catch up, get ideas, get energized about the long-term view of sustainability and working across these different systems. The retreats have been absolutely key to that. They also coordinate the monthly online get togethers as well as it's an opportunity for people to spread the word about the different projects that they're working on and ways to get involved. So, Spruce Root is the one main ones." (Southeast Alaska Watershed Coalition)*

Last but not least, in order to execute the networking stewarding and related activities, Spruce Root has provided the program director role, and therefore the umbrella leadership for the SSP.

*"I mean a big part of the director's job is just being that node in the network, like you are the one that's connected to the most people essentially so you're always connecting the dots for everyone; or "if you're working on this, have you spoken to so and so over here, because, they're working on that too", or "they're also submitting a grant, or they have a person on their staff that's doing that". It is about keeping my ear to the ground and knowing what was going on, just enough - I don't need to know the ins and outs and details of everyone's project, I need to know just enough to be able to connect the dots for folks to know." (Spruce Root)*

Within the collective impact model, there is Spruce Root, and a number of other core organizations that have enabled a rallying around a shared vision for the network and region of Southeast Alaska. These core partners have over time articulated, framed and crafted a shared vision, creating a sense of collective which resonates across partners. Coupled with the willingness to work across and with other organizations, these stakeholders have built deep connections and synergy. In the words of The Organized Village of Kasaan:

*"I think it's because we all have an understanding from the start. I mean we know what we're all looking into and working for. And that's the greatest thing about SSP being so clear and straightforward with their vision. In the people that they reach out to it's practically part of their introduction that they are open minded to the visions and willing to work with people to find shared points of view and unification." (Organized Village of Kasaan)*

Throughout the interviews, when I inquired which different organizations had been instrumental in creating a large-based coalition of organizations, cross-references were made quite definitively to Spruce Root, Sea Alaska, the Nature Conservancy, Alaska Conservation Foundation, Sitka Conservation Society, Southwest Alaska Watershed Coalition, Central Council, and a spectrum of tribal organizations from Hoonah, Ka'saan, Klawock and Tlingit.

The relationship across partner organizations with Spruce Root however was considered as instrumental in enabling the network to mobilize and organize key projects around the four pathways for resilient people and sustainable places, and deeply rooted in traditional Alaskan native values. The following **Figure 5** depicts the SSP network and ties between partners, and has been drawn from the SSP website and interviewees' responses on key network partners:

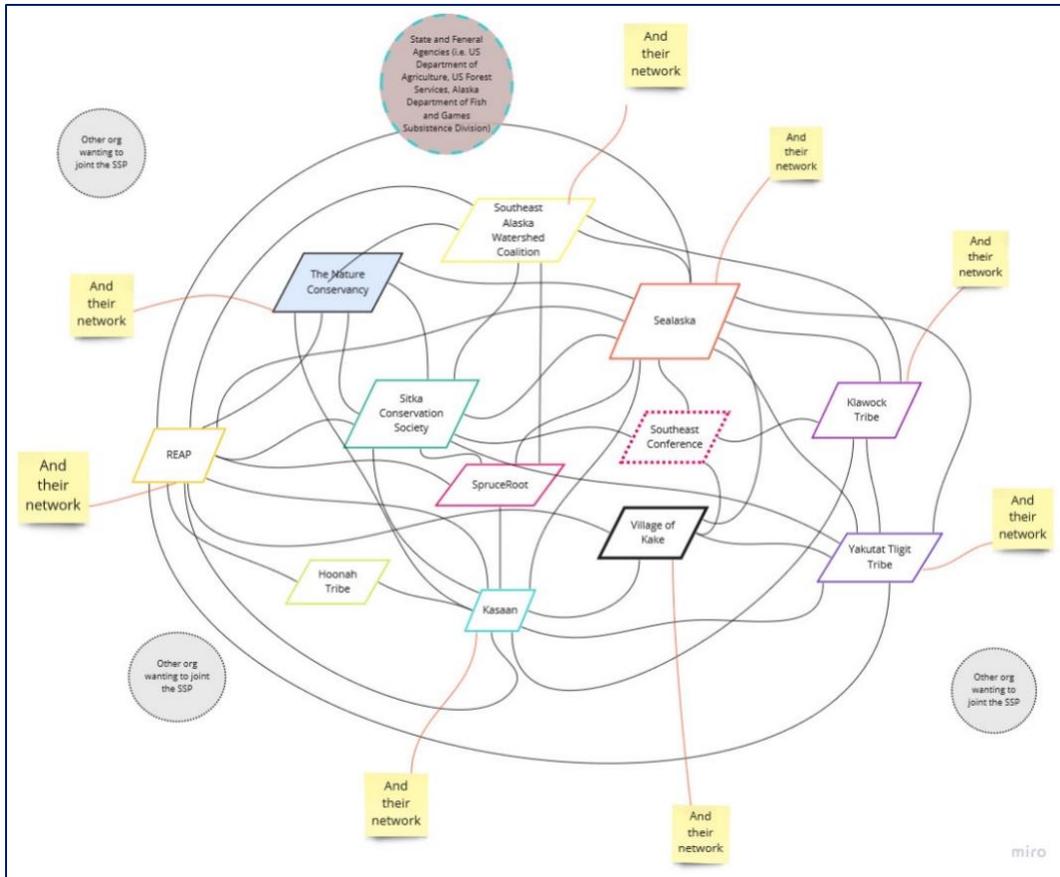


Figure 5: SSP network partners, mentioned throughout the interviews, and drawn from the SSP website

*"I think that SSP brings different communities and actors together. It provides a way to find and to invest in not just one piece of the equation, but to really think about people, place and how we survive here; and to try and approach the work with a different lens."*  
 (Sitka Conservation Society)

The difference between the old and new members was particularly clear when I compared the answers to the questions between older members and a new member of the SSP. This new member of the SSP, and community catalyst of the Organized Village of Kake - when I inquired about the SSP vision and collaborative experience across various organizations - showed through the quality of his responses that he was still learning about and still immersing in the SSP approach. The SSP approach had not yet fully cascaded into this tribal organization. This can potentially be attributed to the person still being a new member, and also attributed to the need to build organizational capacity to work as part of a social alliance network.

### (B) Iterating, Experimenting and Learning by doing through joint projects

The SSP collaborative approach has formed and informed a number of mission-critical and mission-aligned, small- and large-scale projects - referred to as "flagship projects" (The Nature Conservancy) - across the Southeast. These successful projects have been designed and executed over the last ten years in collaboration with and across various

partner organizations. They reveal an appetite for iterative learning, active experimenting and exploring add value opportunities within Southeast communities, as well as using the territory as a test bed for prototyping the SSP collective impact approach through joint projects that have tightly aligned with the SSP pathways and overall mission.

Throughout the interviews, respondents consistently referred to a number of key SSP projects, including the Hoonah Native Forest Partnership, Keex' Kwaan Community Forest Partnership, the Hoonah Home Energy Program, the Path to Prosperity Competition; Yakutat Affordable Housing, Training Rural Alaskan Youth Students and Leaders, community harvesting and community gardens in Kasaan, and Moby the Mobile Greenhouse.

These projects have represented small and incremental progressive steps in creating a positive impact on a project by project basis, and have been championed by local and regional catalysts. What has been quite powerful about the SSP network is that catalysts have designed and executed these projects together, and have actively been on the lookout for win-win opportunities to test new ideas and solutions “to be able to jump on and go with it” (Sitka Conservation Society). As a result, catalysts have also intentionally looked for projects that have touchpoints with SSP program pathways, or overlapped with other ongoing mission aligned initiatives; and drawn from each other’s knowledge and gauged support. For example, a local catalyst involved in forestry conversation, has likely also worked on food security or energy independence initiatives with other catalysts across other communities.

SSP partners have woven into each other’s projects, making it at times hard to disentangle the network’s collaborative approach from the respective core organizations. This shows the degree to which the network organizations are engaged and aligned with the collaborative ethos of the network. Catalysts from the respective organizations have not only worked together, they have been expected to connect with other catalysts, interact, bounce ideas off of each other and leverage the wisdom, knowledge and expertise of the broader network for joint projects. By launching pathway aligned and joint projects, the organizations that constitute the network have further reinforced the state-wide territorial reach of the partnership, which the REAP representative referred to as “merged with other [organizations’] projects.”

The Hoonah Native Forest Partnership (HNFP) was mentioned throughout all interviews as a clear example of a highly successful SSP project. HNFP is a science-based, landscape scale and community forest approach to watershed planning and project implementation where the overall goal is to achieve a measurable and resilient blend of timber, salmon and deer production, local economic diversification and improved watershed health<sup>158</sup>. The project particularly has protected and reinforced local opportunities for traditional cultural practices such as subsistence hunting, fishing and berry-picking; increasing the capacity of the local workforce in science-based practices for timber, fish, wildlife and infrastructure inventory, assessment, enhancement and monitoring; as well as targeting new local business opportunities in renewable energy, recreation and eco-tourism, timber and non-timber forest products<sup>159</sup>.



Image 46: Hoonah Native Forest Partnership pictures, courtesy of Sustainable Southeast Partnership<sup>160</sup>

Spearheaded by Sea Alaska, which put financial, natural and administrative resources into the partnership over the years, the project has been handed over to the community and the tribal community organization, Hoonah Indian Association, to lead.

*"[It's] a project in the community of Hoonah (-) and it's really an example of an all-lands and all-hands approach to watershed management, and land management planning. There are three major landowners, landholders around the community. The US Forest Service manages a bunch of federal land, Sea Alaska is the big regional native corporation which owns a bunch of land, and then the Hoonah Totem, the village-based corporation. And across those landowners, there's been over the last five years, a crew of local people, run out of and employed by the tribe, the Hoonah Indian Association, managed by the SSP catalysts; the work crew in this project has been managed by the Hoonah catalyst, Ian Johnson. It's very science heavy, they've been gathering data, analyzing data, conducting some stream restoration projects. It's been a lot of data work, frankly, over the last five years, with a view to creating a land management plan that we can hope coordinates land management activities across those landowners." (Spruce Root)*

In addition to Sea Alaska, core partners have been Huna Totem, The Hoonah Indian Association, The City of Hoonah, The Nature Conservancy, the Alaska Department of Fish and Game Subsistence Division and the US Forest Service. The project has been funded through the Natural Resource Conservation Service (from the US Department of Agriculture). Each party has brought to the table a unique set of assets and resources, as well as their own networks, that have been pulled together for increased collective impact. This project particularly has shown how through this project they have also been able to draw in non-SSP network organizations (from outside of the network) to collaborate together (i.e., public sector state agencies).

*"[All] made a clear attempt to kind of change the existing approach to land management, and developed a land management plan that has been reflective of community priorities as opposed to either a) fighting about these lands, or b) be just ignoring what's going on; or inflicting antagonistic organizational agendas on them. It was a change of that paradigm. And we did that kind of together through SSP stakeholders/partners." (The Nature Conservancy)*

And in a similar vein, Sea Alaska mentioned:

*"And there was an SSP local catalyst involved. There was a regional catalyst. There were steering committee partners. There was the Forest Service, there was state. There was a Village Corpse. It's a perfect example of what SSP projects should be able to achieve." (Sea Alaska)*

Another fundamental win-win project from the SSP network has been Moby, the Mobile Greenhouse, which has integrated into the design of the project different aspects of community empowerment, and using a visiting mobile truck to include remote communities to raise awareness about their work and their innovative practices around farming and agriculture.

Moby travels across Southeast Alaska kick starting local growing efforts. Over the past three years, Moby has spent growing seasons in the communities of Juneau, Kake, Hoonah, and Yakutat, and has catalyzed interest in growing food through hands-on learning at schools and in communities. Moby is a stepping stone that has inspired communities to continue growing food locally while supporting a more resilient and food-sovereign Southeast Alaska<sup>161</sup>. Moby has also demonstrated how the region is being used as a testbed or as a starting point for small-scale add value projects that over time will get a life of their own.



Image 47: Moby the Mobile Greenhouse, courtesy of SSP<sup>162</sup>

The greenhouse is delivered equipped with soil, a teacher guide, and an activity manual for grades K-12 students (1st year of kindergarten through the 12th grade prior to going to college or university)<sup>163</sup>. The recipient is responsible for providing seeds to plant and will be chosen based on their commitment and readiness<sup>164</sup>. The goal has been to spark interest for those who may want to start a fresh produce business, as well as raising awareness around eating healthy.

*"I was very fortunate this year to sit on the judging panel for applications. To determine which community Moby goes to next and you know it's one of those really neat projects. It didn't ever seem like a big project - it's a mobile greenhouse and you can grow [vegetables] in it. But now the number of applicants and the quality of the applicants has really increased from those first days and the first couple of trips. We've had repeat applicants. Applicants who are like, 'we really want this here, we're going to keep applying even if we don't get it'. We've had communities that have hosted Moby in the past, and it really sparked something, and to kind of jumpstart it, keep that interest going, they've reapplied. That's really neat to see a project like that taking on a life of its own." (Klawock Cooperative Association)*

SSP has invested in youth programs and has done intentional outreach to high schools with the aim to sensitize around key projects, and focused on getting youth doing different activities that contribute to mental well-being and healthy lifestyles. "The long-term aim is to inspire and be able to recruit potential high school graduates who might be interested in setting up startups, and then connecting them to Spruce Root's Path to Prosperity competition" (Organized Village of Kake).

To further illustrate the overlap across projects, Moby the Greenhouse has been intricately linked to other projects that have fostered a sustainable and healthy community and food system through education, business incubation and community building, including the Sitka Kitchen. This is a certified community kitchen in the town of Sitka, hosting culinary classes on food preparation, food preservation, nutrition, home economics, culinary skills and other subjects that support food security and a healthy community. Local entrepreneurs and community members may rent the space to produce commercial foods or host private and public events.

In a similar vein, the Southeast Alaska Watershed Coalition has referred to a pipeline project planned in Kake, which will integrate youth outreach and food challenges for communities to design their own food systems, whilst tapping into ancient food harvesting traditions, local food knowledge, as well as using healthy food to overcome intergenerational trauma. The aim of this pending initiative has been to grow food, whilst also respecting the rich traditions of harvesting food benefits<sup>165</sup> of Alaskan natives.

*"And [we are looking at different] elements of the food system and bringing them all together in one challenge. This year was more of a planning/set up year and next year we hope that communities will be more active in designing their own challenge. And we'd be tapping into experts in the community; so, part of it is encouraging young people, and young adults, to connect to those knowledgeable people in their community, and looking to them for expertise. Because there is that expertise and we don't want it to go away."*

*And a little further in the interview "People are growing vegetables and produce, and they're having success but it's because they have a certain vision and personality type and skill set that makes it work. People who grow vegetables and practice agriculture sometimes have a different skill set and way of contributing to the food system than people who are hunting, gathering, fishing. Both require a lot of time, energy, knowledge, and resources, equipment, tools, etc. And both ways of contributing to the food system are valuable and we want to be able to support both. And these skills are passed on from generation to generation and making sure that people have access to that; because sometimes it's not - it's not just about the food, it's also about the social and spiritual connections. The contributions that being involved in the food system has on wellness. So that's kind of my background, which is more on the public health perspective; and I am trying to bring that [perspective] into [food security]." (Southeast Alaska Watershed Coalition)*

**MOBY THE MOBILE GREENHOUSE**

A project by Grow Southeast in partnership with the Sustainable Southeast Partnership and Haa'Aani. Built with support from University of Alaska Southeast, the Juneau School District, the Wildlife Conservancy and the Sitka Conservation Society.

**Exchanging knowledge and food production skills between schools across the region. Supporting healthy students while growing more resilient, food-secure Southeast Alaskan communities!**

**GREENHOUSE POTENTIAL**

Alaskan's spend  
**\$2 BILLION**  
on food each year.

If Southeast Alaskans were able to displace  
**JUST 3%**  
of food imports with local food sources

we could keep  
**\$60 MILLION**  
circulating in the region.

**CLASSROOM ON WHEELS**  
Educators in rural Southeast Alaska use Moby to engage students and excite the greater community in food cultivation. The greenhouse remains in the community for one growing season before traveling by ferry to the next community. Moby creates an opportunity for students to experience local nutritious foods fresh from the region!

**LOCAL FOOD KICKSTARTER**  
Moby is a stepping-stone that helps communities whet their appetite for local foods. It provides a space for students and community members to engage in hands-on cultivation and education over the course of a growing season. Schools and community partners are provided resources, inspiration, and support to continue to grow food.

**SUSTAINABLE CONSTRUCTION**  
The Mobile Greenhouse integrates sustainability values at every turn. Lumber for the greenhouse was sourced locally from Icy Strait Milling & Lumber in Hoonah. Energy from the sun is used three-fold - a solar powered fan for ventilation, heat to warm the plants, and natural photosynthesis within the plants.

**HANDS-ON EDUCATION**  
The project has included strong educational components from the start. The greenhouse was designed by a University of Alaska Southeast student and built by students from Juneau Douglas High School. The completed greenhouse is now utilized in K-12 education to bring life to the interdisciplinary curricula developed specifically for the Mobile Greenhouse.

**BUILT IN PARTNERSHIP**

HAA'AANI  
SUSTAINABLE SOUTHEAST PARTNERSHIP  
GROW Southeast

Image 48: The Moby Factsheet<sup>166</sup>

For the SSP it has been more important than ever to increase food access and empower communities to understand where and how their food is produced. By embedding tools for food production within community spaces, pairing farming systems with health-based education, and fostering a culture of local production, the SSP has advanced a sustainable, replicable model for improving food access and health in these remote and isolated areas. The network has also ensured that fresh, locally produced goods are an integral part of revitalization.

Network partners actively iterate through projects, and actively explore potentially future pathways that may respond to local needs and demands and add value to the community. For example, a more recent addition to their list of network priority areas has included cultural and sustainable tourism - demonstrating the willingness and flexibility to try new things and explore new angles to the work of the partners. This has created the perception that the network has constantly iterated forward based on new opportunities, insights, needs and challenges that bubble up from within the communities.

*"Our next project that we're starting to look at is around cultural tourism, or regenerative tourism, this is an angle that we're looking at now. It's going to be this year. That's one of my projects for this year so I'm just getting rolling in those; my housing projects should wrap up by the end of the next month and then they really get rolling on pushing on tourism." (Yakutat Tlingit Tribe)*

These bottom-up projects have emerged thanks to catalysts having a good understanding of the opportunities and needs in the communities. The Organized Village of Kasaan emphasized how they have explored opportunities for community members to help better understand sustainable models of regenerative tourism for their location and community; and have made attempts to better include the local villagers in exploring employment opportunities to make a living from regenerative tourism. Simultaneously to exploring bottom-up opportunities, they have intentionally looked for ways also to integrate into the design of a project angles of community empowerment, and investing in physical upgrades and building, to better include and be more inviting towards those outside of the community:

*"We have a carving shed, it's all in one area as far as where the trail begins and it's about a 10 to 20-minute walk depending on your pace to get out to the totem park. But our main area before you get up, head out on the trail has our tribal hall, which houses our cafe, and currently a gift shop which I believe is going to be hopefully converted into a convenience store; so, we have a store in the area. And then our carving shed and our cabins are rentable lodges so what we call the discovery campus. And that whole area is kind of our cultural area and we're looking to add some other buildings that we want to develop and build it to be more of a cultural center area. So, we're going to build a Cultural Center, library, a museum right next to the carving shed, where I also have one of three offices." (Organized Village of Kasaan)*

Another clear example of a joint project that is mission aligned, as well as mission critical has been the plan to set up a biomass district heating system for Hoonah, which crosses over with energy independence, food security and localized economies:

*"In Hoonah, as well as many of the communities of Southeast, they became logging communities. And they have in places hundreds of miles of logging roads to clear cuts in various stages of regrowth. Over the decades some of these stands have become older and some of them are younger. If they are planned well there's thinning, so that the remaining trees can grow large and fast and restore the system; if they aren't maintained well they grow very thick and very dense, and quite unhealthy, and it's useless in terms of forest ecology, or for wood. There's this hyper abundance of wood that is waste wood. When the forest is thinned, they often just leave it on the ground. People, thinning the forests, under contract from the Forest Service, or people having access to free wood, they can turn it into biomass for heating up community; so those people become part of the economy, somebody with a chainsaw in a pickup truck is part of the local energy economy; or whoever is stoking the boiler at the school, that person is part of that energy economy now. Therefore, that money then stays in the community, and makes a few more laps. So, you get sort of a triple advantage of having a healthier forest, and a healthier local economy, and having created some jobs, as well as displacing old carbon." (REAP).*

The abundant waste wood has been made available for heating, as well as being a great side project with greenhouses allowing to extend the growing season, using the excess heat from the heating systems<sup>167</sup>. These small and isolated communities have faced similar challenges around energy independence, food security and economic development. Communities have thus paid attention to other communities that are setting up successful projects which may also be relevant for their respective communities. The small-scale iterations of projects are deeply intertwined with the network's philosophy, which one interviewee particularly referred to this as "piggybacking off of other projects". This philosophy of learning things by doing, and piggybacking from each other was further validated by the REAP representative:

*"I would say that in the world of innovation or change everybody says change is good but they want somebody else to go first. What provides the motivation or reducing the risk or fear of change for organizations or for communities is to see who else is doing something,*

*and how they are doing it. It creates a social safety net for folks to try new things because if it worked over here, it can work here too, and it is helpful. "*

*And a little further in the interview "It certainly has been the case with my work trying to get communities to advance their plans to create biomass energy systems. It's a new thing and it's a scary thing. Right now, I'm working with three communities who are at this nexus point where they have to make decisions about taking the next step and each step forward makes them more and more fearful. And so being able to give them examples of their neighboring communities, addressing those fears and those problems and being successful has been, it's absolutely one of the probably most important tools I have in my toolbox." (REAP)*

### (C) Mainstreaming inclusiveness

Inherently centered into the ethos of the SSP is including indigenous communities and being driven by place-based priorities. Inclusiveness has had a particular meaning, which SSP partners commonly referred to as "equitability of network participation". There have been two distinct angles associated with the SSP approach around inclusiveness. The first has related to engaging and ensuring the participation and representation of disenfranchised indigenous communities and addressing the socio-economic needs of the community - what the anchor organization Spruce Root referred to as a "re-franchising approach." The second, aspect, has revolved around increasing the capacity of the existing and future indigenous and youth workforce through localized economy strategies.

*"What a number of the individuals who are involved in the formation of this network had observed, as you know, the industry purports to speak on behalf of the communities and the conservationists claimed to be speaking on behalf of the communities. But nobody really was necessarily listening to indigenous communities and people about what they wanted to see or not see happened on the land. To a large degree, a lot of that was about authority over their traditional lands. This was an opportunity especially coming out of the timber wars once the industry had been reduced to a shell of its former self to really begin and do a better job at listening to community partners about their stated desire and what's important to the community. Instead of saying 'oh the community wants timber', but the community doesn't want timber. Let's listen, and work with them to find a path forward that's sustainable and will allow and enable people in communities to utilize the resources, and utilize the land base, in ways that contribute to their prosperity. But within their control and helping them influence, and help them chart their own path forward, wrapped up in a history of colonization." (Spruce Root)*

In a similar vein The Nature Conservancy provided:

*"You know there's just power dynamics in this place just like there are power dynamics in all of the world that really do need to be intentionally, and purposely challenged, and uprooted to see the change we want to see. That includes the indigenous people that live here, and their relationships to their white counterparts. It includes kind the marginalization of indigenous people in that relationship; the fact that both conservation groups and economic development groups, or industry groups, have for a very long time attempted to either ignore the community or speak on behalf of the community that [actually] live in the areas that we're overseeing or managing or having influence over; and an attempt to disrupt that power balance in some ways I think is pretty important for equity and for just seeing the change that we ultimately want to see." (The Nature Conservancy)*

Important to re-mention here is the financial piece in the SSP network, which has drawn key indigenous actors into the network, ensuring their engagement and participation.

*"And not every organization has the bandwidth or capacity to fund all of the positions that they would like. The fact that we have been able to support the salaries of so many people in a community, and in organizations supporting this community work. I think has gone a long way towards contributing to the equitability of network participation."*  
*And a little further in the interview, "[Enabling] community partners who may not be as well-resourced or have the capacity to seek additional resources to the same extent as others. I think it goes a long way to inclusivity and equity." (Spruce Root)*

Inclusiveness has also been tied into the catalyst model of SSP - because of their local presence or expertise across interdependent pathways that unite the Southeast, the SSP have played particular attention to key strategies that pay attention to questions of social justice, equity or economic vitality. Catalysts have had a pulse on what's happening in a particular community, and have been at the front line advocating for the things that matter in their local communities. An example of a re-enfranchising strategy has been the indigenous participation with the SSP steering committee.

*"It goes a long way toward re-enfranchising. It's slow, it's hundreds of years of trauma and disenfranchisement; and transitioning to tribal administrators, and for executive directors of local tribes being on the steering committee and determining and guiding what resources we apply, and being a part of the conversations about how we are strategic about raising particular set to funding to go here, there, wherever - it's not perfect - but we're trending in that direction, and we're increasingly seeing community and indigenous partners with the energy and interest in participating in that way and feeling that they have a seat there, and feeling it's their table." (Spruce Root)*

It clearly points to how partner organizations want to increase participation, engagement and representation of tribal organizations in areas that matter to tribal communities who have been disenfranchised and excluded in their own development. Re-enfranchising is also about offering indigenous organizations, that may not be as well-resourced as anchor organizations, to access resources, information and opportunities in the same way.

Although it is not an explicit pathway or focus area of the SSP yet, workforce development and capacity building of the workforce has permeated through and has been deliberately integrated into the actual design of projects, which also includes local schools and local businesses.

Specifically, these projects offer resources and target specific enterprises that can hire or staff locally, and potentially increase employment. For example, the network supports (i.e., Path to Prosperity program offering intensive boot camp training and business support services) the set-up of triple bottom line businesses (e.g., small-scale community businesses in composting food waste, food harvesting, local mills, fisheries) that invest, create jobs and hire in South East Alaska. Triple bottom line businesses are social enterprises focusing on people, place and prosperity<sup>168</sup>.

*"The Path to Prosperity competition that we've been having. It's a business competition, and in no means are we looking for the home run business that's going to employ 1000 people and solve all the problems with one project; it's a lot about building the capacity within the region to think about, how can people start businesses to take on challenges in their community, provide a service that builds their community and inspire people to be creative, innovative and work together in that context of entrepreneurialism, businesses and thinking about how business and economic development can solve multiple roles, while also conserving the natural resources that we all care about."*  
*And a little further "you know, the sustainable southeast partnership has started with four focus areas, natural resource management, food security, renewable energy and entrepreneurial capacity development. And so, that entrepreneurial capacity development was one of the core four pillars. That overlapping with the other areas, was always what we tried to make happen." (Sitka Conservation Society)*

Joint projects also focus on offering and creating access to jobs and opening up economic opportunities through training and skills development. For example, proactively looking for training and apprenticeships (i.e., in blacksmithing, energy leadership program, hazmat certification) to train the current workforce; or launching a

program that compensates indigenous food harvesters with ancient knowledge and expertise to transmit their skills, knowledge and expertise to new generation of food harvesters so that they too can have a livelihood. Another key example was mentioned in relation to workforce development projects that invest in soft skills, and organizational successions for new generation of leaders to occupy different levels of leadership or responsibility across South-East Alaskan organizations.

It demonstrates the deep ties and bonds of the network with issues that the communities of the Southeast have been facing. It also gives the impression that the work of the network is ever-evolving and ever expanding into new priority focus areas.

*"[A] lot of the work that we do across focus areas, and as a network we are more and more conscious and cognizant of using these projects as vehicles to advance workforce development initiatives and build skills. (-) Using the Forest Stewardship activities through those projects to build technical skills within local community members so that they can work on their lands in their community going forward, or other communities going forward. At Spruce Roots we are a CDFI, we fund community development, we are a financial institution. We're a nonprofit lender, we make small business loans to entrepreneurs, but we're also doing more financial literacy and personal financial programming. At Hoonah partnership we've been able to kind of direct some funding towards some natural resource academies to build some technical training for workforce needs as regional partners are doing work on the land. We are in a transitional period, where one of our colleagues is increasingly devoting time and energy to Workforce Development Initiative coordination; whether we are directly delivering those services and programming, or helping to directly fund, coordinate, streamline and align other efforts that are going on around the region, because it's so critical.*

*That's not to say that like job creation is a metric - that's kind of a dangerous rabbit to be chasing in all this. In terms of building the ecosystem and creating programming and opportunities for workforce development and technical capacity building to grow. Yes, definitely." (Spruce Root)*

In other words, they have not necessarily tracked how many jobs have been created explicitly, however creating and connecting to jobs, as well as increasing job exposure opportunities in the Southeast has been an important priority and has permeated throughout the projects. In a similar vein, the Organized Village of Kake representative mentioned:

*"Some of the things we're working on are pretty big projects like the biomass project, that'll create a lot of jobs once it gets going. Same with the cannery. Trying to get that set up for tourism, so I've been reaching out to vendors, seeing if they might be interested in signing up to get a slot down at the cannery when it is ready."*  
*A little further in the interview "Creating jobs in the community; getting entrepreneurs, helping setting up small businesses [those are priorities]." (Organized Village of Kake)*

Sitka Conservation Society further framed the capacity building aspect of SSP focus on workforce development:

*“The limiting factor isn't the opportunity. At this point, it's more of the capacity to step up into positions of responsibility, and solve problems and take things on (-). [It's] more about the employers, having the workers that are invested and want to take on new responsibilities and step up within the organization to occupy different levels of leadership and responsibility.”*

*And a little further in the interview “The work of the Sustainable Southeast Partnership, the outcome goal that we're looking for is a change in the culture and the core underlying theory of how we do economic development in the region. In Alaska, you're going from a period where it was colonial relationships, boom bust resource extraction cycles, and all of the failures and scars that come with that, and moving into the future. We want a new model that's more based on sustainability long term returns community health and away from the boom bust. It's really about changing that culture and how we do things differently. The workforce development component is absolutely necessary because organizations are finding that they haven't invested in good succession plans, so when they need new leaders, or when they need new hires or staffing, they're not there to plug into those positions. An example is here in Sitka, where we have a great fire chief, and he's been in the fire team for a number of years and he's just the perfect person for it, and he is really a pillar of the community. He's going to retire in a couple months, and nobody has been identified within the organization as the successor to him, because they haven't really invested in having that mentality of 'We need to invest in our internal capacity, so that when we have people coming up they can step into those positions'; and that example is widespread, it's happening on all of the entities across the region, as baby boomers or the people who were in those leadership positions are aging out and retiring, and there's nobody else that's kind of ready to come in.” (Sitka Conservation Society)*

Other interviewees also referred to joint projects that have focused on increasing the capacity of the workforce, and integrated into the design of the project workforce development angles, including trainings, youth camps, and trainings in future skills (i.e., soft skills of lower and higher skilled workforce), that matter for the local communities and might offer better employment prospects, for example in food harvesting.

One such program is the Training Rural Alaskan Youth Leaders & Students program (TRAYLS), and directly tied to the Hoonah Native Forestry Partnership Program. Supported through a comprehensive partnership of SSP and non-SSP network organizations<sup>169</sup> the TRAYLS program has blended experiential education, on the job training, career counseling and job placement for rural youth in Southeast Alaska to get on the path to higher education and employment in natural resource stewardship<sup>170</sup>. The training has targeted youth from schools to learn how to operate a GPS or flying a drone for forestry management, as well as preparing youth and students for future careers in natural resources and science-based job exploration.

Another noteworthy project has been the Tongass Tiny Home, another collaborative effort across SSP organizations, which builds low and high construction skills:

*“And [Tongass Tiny Home] was to provide a workforce development opportunity for local youths to build and gain advanced construction skills by building a tiny home using as much regionally sourced forest products as possible. The goals were trifold; it was about workforce development and locally needed skills. It was about investing in small scale mills and second growth products; and helping to try to see what products actually work. As in what the options are out there, and also just like investing in the small industry that is trying to sort of see if a million industries could really develop. That piece was really important for trying to share those lessons with policymakers: what works, what doesn't, so on and so forth. And then the third goal is linked to the affordable housing crisis that we have in Sitka. There was some interest locally, and an open question about how Tiny Homes fit into this, and using this project to have that conversation locally. Right now, the assembly is finally, years later, working on adopting codes to formally welcome Tiny Homes into the local zoning and building codes.” (Sitka Conservation Society)*

The Tongass Tiny Home has demonstrated the collaborative efforts of the SSP to design a career and technical education program and build more affordable homes that meet climate needs, reduce material use, maximize energy

efficiency, and reduce the overall carbon footprint of home construction. Buying locally produced wood means less fuel used and fewer emissions generated from shipping than importing timber from other states and countries. Also, local young-growth lumber, a more sustainable local wood option, has been incorporated as much as possible into the Tiny Homes project<sup>171</sup>.

Since the project began in spring 2014, more than 60 students have had the opportunity to work on the tiny home, about eight students a semester, and been prepared through hands-on, skills-based learning and exposure to professional performance standards and high-wage career opportunities. Students have both contributed directly to the construction of the tiny home themselves, and also observed expert contractors who have come in to do the plumbing and electric work<sup>172</sup>.



**Image 49: Constructing a Tiny Home, Courtesy of Empire of Juneau, Capital City Weekly<sup>173</sup>**

Perhaps, one of the most compelling conversations about the necessity of building the capacity of the workforce, was the conversation with Sitka Conservation Society and the importance of investing in future leaders who call Southeast Alaska their home. The representative shared a letter the organization had sent to the Sitka School District Board and Administration in relation to addressing climate change, and the strategic and long-term, cross-generational planning around education priorities for youth who will be called upon to face the incumbent climate challenges in their futures. The need to figure out what skills, abilities, knowledge, and capacity youth will need is urgent in order to be successful in guiding the communities and the State into and through the challenges<sup>174</sup>.

The representative particularly stated “(-) Alaska, will need competent leaders. Being deliberate about developing and cultivating leadership skills is an absolute necessity, and will serve individuals in the fields of government, business, healthcare, non-profits, and community cohesion. (-) Our point is that the youth we are educating today will face more extreme challenges in the coming future, and therefore our efforts on all of these topics must be done better, more intensively, with more real-life application, and in the context of what we already know is coming.”

Specifically, the representative referred to the SSP network role in relation to this reality which was quite relevant, as it manifested a wider cognizance of the importance to invest in the leadership skills and competencies of indigenous leaders.

*"[All] throughout the partnership, there's different opportunities for people to be involved as a catalyst in the community, and then learn the skills that they then use to step up into leadership. One of the young women that has been a catalyst and involved with the partnership has been hired, or is about to be hired as the tribal executive director, the tribal administrator. She's a young woman, and really passing the torch [to her] from somebody that was there before running the tribe for 40 years, to now pass it to the next generation, and her stepping up; all the work that she did within the SSP has helped her prepare for that job, build her confidence, built her exposure about her skill set to the point that she's ready to do that job. But even in her doing that job she's not quite ready, and she's going to be learning by doing it. And she's going to have the support of the other people in the partnership that she'll need when she faces the challenges that she's inevitably going to face on the job." (Sitka Conservation Society)*

The Sea Alaska representative, also, when asked about the role of their organization in workforce development, localized economies and job creation, mentioned:

*"As large a role as we can play. We have our own internal workforce development team. We work with the same communities. We want to heighten educational success. Career success for all of our shareholders. We know our communities are hurting because of lost economic opportunities. We are involved in two fronts, bringing new or renewed economic opportunity to our communities, and having community members be ready through workforce development to take those jobs. Areas that we think we can help our communities to the greatest degree." (Sea Alaska)*

#### (D) Building coherence

The illustrations in the previous section have shown that the SSP works through and with a number of key repeating partner organizations - it is a heterogenous partnership, with organizations bringing different resources to the network. Some partners have larger bureaucracies, different funding and financial cycles.

Some partners, also, as I have outlined in the previous sections, from the outset were quite antagonistic organizations toward each other with inherently different logics and objectives. It is quite important to highlight and reiterate that SSP has been able to reconcile differences over time, align organizational mandates and interests into symbiotic relationships, and create a reliable and effective coalition. The binding agent is a rallying around a shared understanding, shared expectations and envisioning of thriving, stable and economically diversified communities in the Southeast.

Every interviewee was able to articulate clearly this rallying around a shared understanding and shared vision which has permeated through the network, and manifested through the joint projects that have been designed and implemented over time.

*"I mean it's broadly about supporting community resilience so it's easy to get behind that. Not everyone always agrees about the particulars, or how certain sets of resources should be allocated and where the energy needs to go because we all do work for different and sometimes disparate organizations with divergent sets of individual missions and priorities. But broadly speaking, whether or not*

*we agree with each other today, in the big picture this is a group of organizations that can get behind this notion that building trust and collaborating is more impactful and will lead to longer term success and better resilience.” (Spruce Root)*

The rallying around a shared vision was perhaps best articulated by the Yakutat Tlingit Tribe representative, who also explicitly mentioned the different visions and interests, and that the SSP network has been able to collect or aggregate around commonly shared challenges and tightly shared focus areas (their pathways) which have connected the network.

*“In the Yakutat our vision can be different than in Kake, or in Klawock, or any of the other regions, or communities. But I think the one thing that brings us all together, is the love for the Southeast, and the love for the area. And the people that are here. I think that's the real binding agent for everything. Like a lot of the issues that everyone faces within the region are very similar. Lots of folks are talking about wildlife conservation and fish conservation and studies to help look at that. And right now, that's not on Yakutat's front list, but it's coming down the line. So, we're paying attention and we're helping along with them. Same with housing - housing might not be on everybody's big list right now but it's definitely something that is going to start being an issue for other folks - that they're talking about. I think it's just everybody understands that there's different issues and different communities; and we just work through it and that's how we get all these great ideas and great projects coming along. And we piggyback off of them. “(Yakutat Tlingit Tribe)*

*Equally important is that throughout the interviews, there was constant mentioning of shared approaches, practices, and strategies that have emerged across the network, and demonstrate how the SSP has been able to build a broad and cohesive coalition of organizations. In the following paragraphs, I will particularly go over these shared approaches, practices and strategies that have ensured alignment around a collective vision, making sense together, as well as constant and disciplined outreach and cultivating effective relationships; gauging input and active participation around different kind of thinking, ideas and solutions, generating collective knowledge, and ultimately—equally important—staying and being accountable.*

*“The network provides access and gives cohesion to how we do, and think about work, how to create projects with more potential or more output.” (Hoonah Indian Association)*

The SSP has an impressive arsenal of tools, processes and techniques that have emerged over the last decade, and have been quite innovative to bridge the antagonism and mistrust that existed prior to the partnerships between and across organizations in the region.

First of all, there has been a need for an organization such as Spruce Root offering a neutral platform to convene different stakeholders to launch overlapping projects, to reconcile their differences, and also to ensure close coordination and engagement between partnering organizations being on the same page. Throughout the interview, Spruce Root and others referred to its role as a backbone organization, and as one that offers network support activities.

*“So when I say, activities, I guess I am often referring to the things at the network level, the convenings, virtual and in person convenings, the approach to collaboration, building, applying for funding and designing a program or project in conjunction with the support of other network partners so it's really the acts and practice of collaborating with these people based on the trust and the frameworks that we're developing and working through together.” (Spruce Root)*

Despite the fact that the SSP is not a formally registered network, an important aspect of offering network support has been to build coherence across and between the network organizations through shared functional structures and processes. One of these functional structures at the network level and involved in network level decision making, has been the steering committee. This body has acted as the executive committee for SSP, offering program oversight and responsible for issues related to policy development, fundraising and budgeting, hiring and supervision of the Program Director, and partnership relations. The Steering Committee has included the network's program officer from the Alaska Conservation Foundation; executive directors from at least three partner organizations, one Regional catalyst, one Community catalyst, and the SSP Program Director as an ex officio member<sup>175</sup>.

A second and quite important process in the network's tools box, has been the organizing of two annual in-person retreats, which have also been important opportunities for the network to work on crafting and articulating a shared vision, as well as collaborative decision-making on key projects. These bi-annual retreats, which last up to seven (7) days, have been important also in terms of increasing the sense of collective across the network partners. "The shared vision of socially, ecologically and economically thriving Southeast Alaska" (Sitka Conservation Society) has become anchored in the network's mission and is being expressed through a common vocabulary:

*"What I can say is that mission is very front and center in all of our in-person gatherings, and in our storytelling and communication materials that SSP produces. It's one of the first things that generally gets communicated when you're explaining the network to someone else; so culturally the language gets embedded pretty quickly, and coming on was one of the first messages I received as a new member of the network. And very quickly started to permeate how I was thinking about my work even when it wasn't directly involved with SSP, it was more secondary. But it was still, like, 'Okay great, but how do we make this project work for all three of those areas', or 'are we thinking about this in the right direction'. So, I think the leadership team certainly keeps it central but it is also common vocabulary to engage with the network." (Sitka Conservation Society)*

The SSP has enabled collaboration and convening in the retreats among partners by "creating the space for partners" (Spruce Root) to be brought together and to reconcile their differences and interests. At the past retreats, an organization by the name of First Alaskan Institute, has been helping to facilitate the retreats, and "go through this spoken agreement that we are going to have this safe space for sharing our ideas and opinions. Of course, you have challenging opinions (-), people will have their own opinions. The definite thing that they do is find a way to work through those and have everybody come out feeling like it was resolved in an equal manner." (Organized Village of Kasaan),

These bi-annual gatherings and retreats which have been highly inclusive. They have been open to network partners and outside of network organizations, which are interested in partnering with the network or working on joint projects. The retreats have offered an opportunity, at times for 40 or 50 participants from various organizations, to work through and refine the mission and vision, and make sure that all stakeholders still agree. These "holding spaces" (Spruce Root) have allowed interaction and exchange, and have reinforced the shared principles about working together. The retreats are strategic tools of the backbone and anchor organizations to help align, create synergy and

create a shared sense of commitment. These retreats have in addition been opportunities to hold partners abreast of projects and developments, they have been spaces for working through issues together, as well as brainstorming on new ideas and solutions. They have helped partners to make sense about their projects and roles, fostering and integrating different opinions and insights, and reinforcing strong bonds and trust between the respective partner organizations. In order to reinforce the network partner alignment, partner of host organizations and their catalysts have been required to sign an agreement:

*"I was motivated to accept the position as local foods director/food systems catalyst because it was a part of this network. The network makes the work more relevant, supported, and impactful in communities across the region. Every year we sign an agreement to continue being part of the SSP. I'm thankful we have made this decision as an organization to continue to be actively part of the SSP. [The Agreement] outlines the values and our operating agreements; or just the agreements that we have with others in the network. I'm not sure if [Spruce Root] has shared that with you but those are very nice ways of summarizing how our values are aligned, and we just keep these in mind when we're working with communities or when we're proposing projects. We want to see that we are working towards those objectives." (Southeast Alaska Watershed Coalition)*

A more recent addition to the SSP tool box has been through storytelling. It has been an important approach to create bonding, connection and favored a shared understanding about the network's work to permeate and resonate across the various organizations. The network has developed an extraordinary multimedia database, including website, around visual and narrated stories of the network, accessible through blogs, social media posting, field and trip reports, project updates reports, announcements about what has been learned, as well as honing in on the language of whom the network is, what it does, and how to get involved.

*"[The network's] communications director has been extraordinary in creating a narrative for the organization. And, making that narrative accessible and useful to others. You know whether it's visual or whether it's written; she's been great and so that has been central and, I think, has helped me create a narrative and my understanding and my relationship within the organization." (REAP)*

Parallel to the extremely important annual retreats, interviewees referred to monthly virtual meetings, a Slack messaging system, and exchanging and interacting which has happened across the network between partners, which has ensured regular outreach, staying abreast of development and ultimately has helped to make sense together.

*"[There is] our monthly get-togethers. There's also a website that we use that allows us to communicate pretty directly with each other about what's going on, or opportunities (-). The website is actually a pretty useful tool for those who do access it; as well as the fact that (-) we all have an SSP partner email list, and we're always bombing each other with what we're up to prodding each other with ideas and just trying to align and coordinate opportunities and efforts." (REAP)*

These monthly get-togethers which are nearly always virtual - because of the geographic spread of the catalyst across the Southeast - have been opportunities to gauge where each partner has been at, as well as offering an opportunity and space to share and crowdsource solutions and ideas from the group. Depending on catalyst needs, the monthlies have also offered supportive case clinics to catalysts who have been working through project challenges. These clinics have helped key catalysts process through with other partners some of the work they have been doing in their communities. In one of the monthly virtual calls that I attended, a local catalyst, for example, requested ideas and

feedback about addressing misrepresentation of census - and demographic data challenges faced in the Yakutat. A good twenty minutes was dedicated to hearing about the challenge, asking thoughtful questions, and suggesting ideas and offering peer-to-peer coaching to the catalyst.

In another monthly call, which was attended by various employees of SSP partner organizations, attendees collaborated together - using Mural software – gauging collective ideas and insights, and co-created together key concepts, values and meaning of regenerative tourism for Southeast Alaska and the SSP. This monthly get-together in particular manifested how the collaborative ethos is embraced by partner organizations, as they are launching a potentially new pathway for the SSP in regenerative tourism.

The network also has thematic committees (also referred to as actions groups, or sub-groups), which have ensured a constant cultivation of relationships and staying in touch working on joint projects specific to on the ground project priorities and needs. These shared structures have helped making sense of each other’s roles, as well as increased coherence and uniformity across the network. It has facilitated keeping partners updated, as well as ongoing engagement and working on new ideas (for example working together with partner catalysts to secure an endowment fund), which further has fostered learning and collaborative decisions. One such recent decision at network level, has been to create a new position of regenerative tourism catalyst.

*“I believe it's called a strategic planning committee. I was there for like one meeting when we were discussing a new position that was created, the regenerative tourism catalyst.” (Organized Village of Kasaan)*

An important process to create more cohesion has been about ensuring the active participation and gauging of different insights, different opinions, flushing things out and designing solutions together. This was best reflected in the conversations around localized economic development of the Southeast, and overcoming the antagonism and mistrust that existed between for profit corporations and nonprofit conservationist: a dedicated entity such as Spruce Root was needed with an explicit triple bottom line approach around economic development focusing on people, place and prosperity, and offering a holding space to reach out, sensitize and raise awareness about “a better way of doing business” (Spruce Root).

*“So, there's a lot of education that would happen, we would invite all the catalysts to come to the Path to Prosperity competition, the bootcamp weekend and they would just learn so much there, that you know they wouldn't have otherwise known about when it comes to business and what it takes to run a small business and how we talk about sustainable businesses, and all of that.” (Spruce Root)*

In a similar vein, the representative from the Southeast Alaska Watershed Coalition referred to the openness of the network to novel ideas in relation to a local food challenge which has a more holistic approach to better involving people in the local communities with their local foods, and better integrating all the elements of the food system in one challenge. This new approach has included a public health and wellness perspective is designing the food challenge:

*“I think that [the holistic approach] really resonated with the network because we discussed this idea and I think a lot of the community catalysts are really interested and I think it's something that reflects the strengths of the community and that's why we want to do [the food challenge].” (Southeast Alaska Watershed Coalition)*

The representative particularly referred to the food challenge, and the coordinated reach out and a bringing together of all the key stakeholders from within and without the SSP to discuss the challenge, including organizing a field trip to Washington State and together visiting different places and food system projects. All throughout, ensuring buy-in and involving diverse groups (i.e., composters, food manufacturers, seed banks, school gardens, traditional food harvesters, buyers<sup>176</sup> etc.), gauging their participation to ensure that everyone would be on the same page.



Image 50: Announcements from the SSP Instagram account<sup>177</sup>

As network partners together have continuously iterated, further explored together and jointly implemented add-value projects across the Southeast, they have learned together iteratively, and disseminated these lessons learned. This has also demonstrated the ongoing commitment of the network to conduct research, collect data and build a repository of knowledge, as well as annual reporting across specific metrics and indicators and collecting data. There has been a commitment across the network to see how projects have unfolded over time.

One such critical report, and example of shared learning, has been their collective impact report of November 2018 which has evaluated the impact and work of the SSP - “The Value of Collaboration - An Evaluation of the Sustainable Southeast Partnership” of 2018.

*“[The] ability to foster learning and collaboration and inspiration and motivation. I think it will be some of the greatest magic of the SSP network. But it's really hard to measure. I was really excited that Eco Trust took on a big piece of expressing what the network is achieving through their network study. And it just shows what we had been hoping for that these dollars get leveraged for positive effect within our communities.” (Sea Alaska)*

The Organized Village of Kake referred to another example, the “Iceberg”, where each partner organization gets to pick a different problem to work on with others from the network on a monthly basis, allowing the organization and individuals to tap into the collective knowledge and resources of the other organizations that constitute the network. This has demonstrated an openness to bottom-up initiatives, and ultimately continuously evolving through new co-learning and potential co-designing of projects that may arise.

*“[People] just let me bounce ideas off of them and then come through at our group meetings where we get together. Just the energy, and really, a lot of bouncing ideas being shared. There’re so many ideas flying around. It was hard to actually try to track them all, but meeting with the network helps a lot.” (Yakutat Tlingit Tribe)*

Interviewees particularly referred to a specific example of how the commitment to work together and solve problems is embedded in the culture of the network. The Roadless Rule is a conservation policy limiting road construction and reducing the impact of construction off public land, which also has affected the management of the Tongass National Forest. There have been significant disagreements among SSP organizations and communities about what has been the appropriate path forward around construction of roads. Interviewees have referred to a shared commitment to work through the issue, and have allowed diverse and antagonistic opinions to be expressed and co-exist. Enough trust has been built between and across the organizations, as well as trust in the SSP approach, to resolve a path forward together.

This commitment to work through issues, to have regular and proactive communication, to track and evaluate progress, has gone a step further in the SSP network, and is resonating through shared accountability. Partners expressed numerous times the shared commitment across and toward each other, and towards the network to achieve shared outcomes for projects. There is a strong sense of social responsibility and inter-personal trust toward each other, and recognizing the roles that each organization plays in the network, and how the organizations together can help the coalition to thrive.

*“I think that the strength of the relationships that we build helps to kind of inculcate that sense of [shared] accountability.” (Spruce Root)*

The shared funding mechanism has certainly helped to raise a certain expectation about engaging with and through the network. However, beyond the funding mechanism, the individual reporting requirements and tracking key performance indicators and sharing quarterly reports, the catalysts also expressed responsibility toward their respective organizations, as well as accountability toward the SSP. In this respect the REAP representative mentioned:

*“[Maybe] it's not formal accounting but you know the work that we share with each other, informally, during our monthly hangouts, we get an idea what everybody's doing.”  
And a little further in the interview “I think everybody has an awareness of [shared accountability], I think that people may be in different stages of that relationship depending on how long you've been in the group.” (REAP)*

The representative of Klawock Cooperative Association, who has been a long-term local catalyst, further amplified:

*"Well, I would say it's both [individual responsibility, and shared accountability]. I report to my tribal council and such and so; I have internal reporting requirements, which I then turn over to the SSP network. And we all hold each other pretty accountable to that. So, if we're slacking, if say, I'm struggling with something and it shows through my reports, or in my monthly meetings with the network or something. They'll ask questions, they'll say, 'Well, how is this doing, how is that going, how can we help you improve here?'. I think it really lends itself - accountability to both, your individual hosts organization, and then to the network as a whole." (Klawock Cooperative Association)*

This strong sense of commitment towards each other and the network, also resonates back into the local communities that the catalysts have represented. Partners reflect on how to spread resources to other communities, who may or may not become SSP affiliated, but could have potentially benefitted.

For example, a number of the long-term catalysts have taken onboard the responsibility to do more outreach across other remote communities and actually travel, and raise awareness about the work of the SSP outside and beyond the SSP network, communicating about what is being done by network partners. At times for special occasions, the SSP even has its own information booth in these communities, such as for Kasaan day (in the tribal area of Prince of Wales Island), where they have used the occasion to more formally engage and communicate about what is being done by partners in this region, and being good stewards.

*"I know that's something that we're working on, kind of, with the people in our region, just to make it a little bit more frequent; such as [the representative of Klawock Cooperative Association], he's going to be working over here, kind of semi frequently with his business, but he's also kind of taking the model of our ecotourism back to where he is on the other side of the island to use that as a model to kind of entice the tribes over there to become part of something that is sustainable and environmentally friendly." (Organized Village of Kasaan)*

## (E) Building network resources

The SSP and partners clearly identify themselves as a network. Throughout the interviews a number of key references were made to collective network resources which could not have been acquired independent of the network.

### i) Physical resources

The SSP network has two specific physical resources angles. The first one has been in relation to the shared natural places within which, and across which, partners have executed their projects together. Partners together have tried to upgrade, restore and conserve the natural ecological ecosystem in relation to native forests, watersheds and wildlife (e.g., sockeye salmon) across local communities, including across tribal and indigenous, public or private land. Restoring and preserving the ecological habitat of the Southeast has been inherently tied into the SSP. The focus has been on maximizing the long-run productivity of these physical resources instead of short-term extraction.

The second angle has been in relation to the deployment and converting of existing infrastructure (such as a shared kitchen within a church in Sitka for food manufacturing), or upgrading and converting an existing building (such as a cultural center or convenience store as part of regenerative tourism initiatives in a location). Partners have leveraged

these existing infrastructure assets as a shared resource throughout their joint projects to better include and engage the local and non-local communities.

## ii) Social resources

In the previous sections I have referred to the importance that network organizations have attributed to building strong interpersonal relationships over time. The most immediate shared social resource to which nearly all interviewees immediately referred has been the network of interpersonal relationships.

It has enabled interactions and exchanging; reach-outs, putting ideas to the network, tapping into each other's manpower to initiate projects or fundraise for projects. The interpersonal relationships and ties were considered as shared resources which could not have been acquired independently, and only available if others were willing to pull together. Throughout the conversations, one could not escape having a sense of a 'family vibe', where if one person in the network has needed help, others from the network immediately have chipped in.

*"I would answer that yes [to interpersonal relationships being a shared resource], mainly because it's a network. If I'm struggling to write a grant proposal, I know I can reach out to the network and say 'hey I'm really struggling getting this grant proposal, but could somebody come and help me?'. And there will be a phone call, a telecom, friends, whatever we need to get it done. It really connected me on the organizational level, and two different resources that I probably wouldn't have had access or knowledge of." (REAP)*

In this building of interpersonal relationships over time, the role of the backbone, or leading and anchor organization has become more and more entangled with the overall network philosophy or approach around collaboration and designing solutions together.

*"We have relationships with this network and so much of what we do is done with and through partners of the SSP that it's hard to disentangle." (Spruce Root)*

This was further amplified by the representative of the Organized Village of Kasaan who mentioned "I almost forget about Spruce Root because I just think Spruce Root and SSP as kind of the same entity because they do so much of the work, and are the same people. They are the heart and soul, they're the headquarters for what's going on with SSP, and where it's going."

A particularly important implication of this convergence of organizations into the network, is that SSP organizations at times were explicitly mentioning that they are actually perceiving SSP projects and processes as shared resources which would otherwise not be possible. Network organizations have invested in the network, and have gained a lot in return.

*"[SSP organizations] value the network because it helps them to achieve their individual missions better; when people work together, and people have good relationships, when there's not so much competition, when there's more collaboration - everyone's able to do their work better and they're able to leverage resources together as well. Because our communities are very small, some of those resources might be funding; for instance, it's easier to propose a project that includes multiple communities than just one because funders want to see an impact that affects a lot of people, and if it's a community that's got 200 people in it, they probably won't fund*

*it; but if it's a project that involves numerous communities with 600 people, then they'll see a bigger impact. That goes with human responses as well. When there are a few super strong leaders, they are like superheroes in each of our communities that are doing the work. It's better if we work together as a network to help alleviate the burden on those few people and make it so that we can achieve our different goals, in a way that is more holistic, and so that one person, or those few people aren't stretched out in a million different directions. Instead they can go in a few directions that are meeting all those different goals." (Southeast Alaska Watershed Coalition)*

Furthermore, generating collective knowledge too was referred to as an output that has emerged specifically thanks to the joint projects:

*"[Our] ability to even realistically look at that has come out of the data generated through the HNFP. And there's just a lot of technical data, especially spatial based, like GIS resources that we would never have received without participating in the HNFP and the SSP." (Hoonah Indian Association)*

Other interviewees as well referred to the Hoonah Native Forest Partnership as being a key demonstration of an SSP project, and also one that has illustrated the network conducting research, collecting data and building a repository of collective knowledge based on scientifically collected and analyzed data. The objective has been to create land management and stream restoration projects that have helped coordinate land management activities across landowners, and the community surrounding the watersheds.

The data has also had wider implications on ongoing discussions between key partners about what to do with parcels of land that might not be producing that much timber, but have become natural habitats for wildlife and native blueberries to the region. Collective knowledge has led to pertinent conversations among partners about what key information around the lands they want to distribute publicly about the forests to prevent, for example, a stampede of non-community members to flock these regions for hunting deer or harvesting berries. Two natural resources, which have been vital for the subsistence of the indigenous and local communities, and could negatively impact their ability to subsist off the land.

Another important shared resource and collective knowledge referred to, has been the multimedia database, and the extraordinary number of blog posts, updates, reports and other information that has been collected and shared about the joint projects.

### iii) Economic Resources

One network resource which was mentioned throughout as a key SSP resource, has been the shared funding pool, which is transitioning into a potential life-long endowment fund for SSP. In addition, partners have combined resources to pursue opportunities together, for example also, by supporting local community enterprises that can help improve the local economic realities of the region (**more on this under (G) Enabling processes, ii) proximity**). Spruce Root in particular, which has been hosting the regional catalyst for the localized economies pathway, has been instrumental in supporting local small and medium enterprises in this region.

A host of community enterprises (startups, small and medium enterprises from the region) have been supported through loans, bootcamps, as well as the Path to Prosperity Competition which has been hosted and organized through Spruce Root. These community enterprises are re-imagining, re-shaping, cultivating and enriching the existing environment with triple bottom line business models. This has been a bottom-up approach to revitalizing local communities by supporting entrepreneurs that integrate social, ecological and economic prosperity and well-being of the people of the Southeast without (necessarily) compromising financial interests.



Image 51: Announcement about the P2P Competition, from the Sustainable Southeast Instagram account<sup>178</sup>

Many startups and small businesses have come out of Spruce Root's Path to Prosperity competition, including local breweries, coffee shops, food manufacturers, a carver making handcraft skis and snowboards locally harvested from Sitka spruce and birch wood; as well as local artist shops, and even a vertical farm using hydroculture.

*"[As] a community catalyst I'll often go and speak with people who are interested in starting up a business, but don't even know where to get started. They're wanting to turn their hobby into something that they can make money with, and they may not even know how to write a business plan so I'm able to connect them to [Spruce Root and the Path to Prosperity Competition]. And that's because I was connected to it at one point." (Klawock Cooperative Association)*

### (F) Thinking forward

Two additional SSP processes need mentioning. The first is the network generalizing projects and results beyond the initial context of application, and the second is the network being reflective and aware of what it takes for their initiatives to succeed.

References were made by interviewees about "continuous learning" or "iterating forward" in relation to the SSP projects. One of the key areas, where the SSP is trying to expand the footprint of its existing projects has been in the area of affordable housing, and actively exploring opportunities across the region to increase the impact of the

projects. In this process, they have focused on using the space in the Yakutat to construct affordable housing units, and also through the partnership build new skills in and around affordable housing solutions, which can potentially be scaled across the region.

*"[Housing] is a big issue all over the region. We're also talking about how I can try to help work with other folks this year since my projects are wrapping up. Finally! And working with SSP to try to see how we can see if we can replicate that in other places or try to show them how we made it work in Yakutat through the network." (Yakutat Tlingit Tribe).*

Another key SSP project which has been scaled across other indigenous communities relates to the Hoonah Native Forest Partnership which is being scaled across Kake through the Keex' Kwaan Community Forest Partnership (currently training five 18-25-year-old trainees and 1 already getting a job at the Forest Service).

*"We just recently started the Keex' Kwaan community forestry project, and that has created a lot of jobs within Kake. The Keex' Kwaan community forestry project, I heard about that from the catalyst over in Hoonah who started the project. The Hoonah Native Forest Partnership. And it ended up working out good for the first year, and he shared his success stories, really short and interesting." And a little further in the interview "Right now, it's just started- for now we're doing road surveys, covert surveys and stream surveys. Just getting an inventory, and turning that into GIS. It has created a lot of opportunity for the youth, its workforce development, getting experience in the work field. There's training. We work together with different organizations. Forest services is a big one. First aid training, compass, GPS training, all that kind of stuff." (Organized Village of Kake)*

Another key example of scaling the impact of projects have been the collective efforts around Moby mobile vegetable garden<sup>179</sup>, which has already gone through a fifth year. There is also the biomass project where REAP as a regional energy catalyst has tried to explore the possibility to scale the project in other communities where there has been an interest and a possibility for energy transition, such as in Hoonah, Kake, Haines and the Yakutat communities. Seeking tangible projects with longevity that can anchor within communities has been the red line throughout the projects.

Part of generalizing projects and results beyond the initial context of application has also been about envisioning or developing alternative visions about current and future needs and expectations in the Southeast. A very compelling example was offered by the representative of Southeast Alaska Watershed Coalition and also the Sitka Conservation Society with new mini-SSP like networks off shooting into communities where the SSP has not necessarily been active. Within local communities, the local food network has started to branch out into energy independence, as well as bringing in the business components. Instead of working siloed, these offshoot networks have also been thinking about sustainability and "starting to be like mini-SSPs".

*"These networks could start to resemble SSP in that we are reaching out to a diversity of organizations, so including people from the tribe, the city, the school, the private sector, the health arena; and the idea is that everyone can be a catalyst in their organization and their community. The idea is to foster collaboration from different entities in communities and work toward a shared vision and reducing replication of efforts or competition amongst the entities. The mini-SSP idea might be a long-term goal having more folks within communities be active (be catalysts) in shaping a resilient future for their communities. Perhaps this is already happening, but the whole idea of catalyzing is to facilitate the process so that it happens more quickly than it would otherwise." (Southeast Alaska Watershed Coalition)*

In a similar vein, the Organized Village of Kasaan mentioned how they were inspired by the SSP model to set up their own business which was an online resource and platform for native Alaskan artists to connect with each other -

demonstrating how the SSP network has influenced other non-SSP constituencies to take a page out the SSP book, and shifting their way of thinking.

*"At first, I didn't even know how to explain SSP when I was trying to tell people, you know what I was doing my job and what the network does because it's so vast. There's a lot in gaining resources and sharing it with other people. Actually, it inspired our model for our network on how we gain resources for artists and art promoters, so to share it with each other, or connect the dots." (Organized Village of Kasaan)*

One of the community enterprises has been running a local sawmill, Chilkat Valley Sawmill, in Haines, and the founder illustrated how the SSP ethos runs through her way of doing things with others:

*"I think one of the big challenges in the past has been that foresters, loggers, sawmill owners, carpenters and homeowners all live in very different worlds and don't work together much. I've been putting a lot of energy into kind of all of us being able to benefit more from each other and kind of pooling the same resources, so I lead an initiative to start a Haines timber alliance with all the different individuals involved in timber in Haines, so that we can pool our resources a little better and take advantage of each other a little better." (Chilkat Valley Sawmill)*

Actors throughout the conversation mentioned being reflective and aware of the challenges it has taken for a project or initiative to succeed. Interviewees referred to the importance of open discussions and rethinking and recognizing that the work was not done yet, and that they have been constantly iterating forward.

*"Ultimately, the hope is to be more diverse and to include the various focus areas because right now, I am still working in my own 'food' silo'. In Yakutat and Kake, our groups are focused on food sovereignty and food security. I have not yet worked with REAP or Spruce Root collaboratively on projects yet, but once the relationships with our core planning groups are established, we can bring in the other catalysts." (Southeast Alaska Watershed Coalition)*

In a similar vein, Spruce Root mentioned:

*"We talk about all the good things we're doing, but we're also often talking about all the ways in which we still need to work on. For example, how we define ourselves or how we collaborate."  
And a little further in the interview "We come together twice a year and we focus on what do we do need to do to get to the next time; what do we work on in between these things and so we're iterating forward, constantly and continually with the impact and the challenges and in our communities." (Spruce Root)*

In addition to reflecting how a project has unfolded, open and critical dialogue on the future of projects, partners have also recognized openly what have been the barriers of projects and initiatives to succeed.

*"I don't think Spruce Root has made nearly the level of reach that I'd like to see in the region. I think we could be better at servicing the needs of entrepreneurs in the Southeast. We still need to answer like what do you need, what do entrepreneurs [need]. I think we know but I think we need better analysis, and better data and better analysis of that information. In general, a big part of it is identifying the individuals that need the support and providing them with quality services, that are really tailored to them as an individual (-). I think that in general just being better at knowing the needs of the entrepreneurs, we can't say we've checked that box yet."  
And a little further in the interview "We're trying to tackle energy, which is such a huge barrier for entrepreneurs, the cost of importing goods is such a huge barrier. I think creating more innovative solutions is an area where we could be better. And not just us creating but us supporting those who are creating an innovative solution. In order to create a successful business in a [local] community, it has to be something very innovative, new and different, that no one has done or tried before. That's a scary thing and that's hard to do (-). I think Spruce Root could be better at helping launch and initiate more innovative solutions. I feel some more creative financing tools like equity models, or other things that we can do to get more resources into communities, is probably the other area." (Spruce Root)*

Important to mention, is how the network has gone through the next iteration of the partnership and transitioning at the same time into - a potentially - new model of funding which will be spearheaded to ensure a large life-long endowment for the network for years to come. This has been a very exciting transition for the network and clearly shown that the long-term investments and the SSP model have paid off. The success of the SSP approach has been used as a leverage to build on for the next cycle of funding, and looking to scale the projects over the long-term beyond the initial donors.

*"Since November [2019], we've created an action team and we've been working together periodically to try and set up an endowment to fund this work going forward, which is huge. For a long time, we knew that our big anchor funder was going to pull out eventually. And the question was how we get support going forward? (-)."*

*And a little further in the interview "I'm not sure if you're familiar with in British Columbia and the Great Bear rainforest, these funds are called the coast funds. It's an interesting setup and big pot of money from conservationist and philanthropic supporters, as well as the Canadian federal government to support, kind of steward economic development initiatives in and on indigenous land, First Nations communities and coastal British Columbia. We're using that as a model to say 'Can we do it here?'. Our answer is getting closer and closer to 'yes', and that would have been unheard of a year or two years ago." (Spruce Root)*

This transition has also led to important conversations about the role of the partner organizations and what has meant to be a member of the network<sup>180</sup>. SSP membership has provided networking opportunities and benefits that have met the needs of the catalysts and their organizations. With the expansion and continuing growth of the network, with more tribal organizations, their engagement and agency around the network further increasing, ongoing conversations have been around the role of the SSP also as a learning organization. Some interviewees mentioned the SSP as a "think tank" (REAP and Yakutat Tlingit Tribe) with leading thinkers, leaders and practitioners of the Southeast region influencing and enhancing public debates and influencing policy about the future of the Southeast.

*"Our work is inherently political in the sense that we are actually doing work on the ground that will influence policy because it identifies opportunities and challenges. It's also about showing things that work, that means for example, our redistribution of funds. And we are seeing that work is going well, and the government is investing in that, so that's a shift in policy (-). I think, as we scale our influence, maybe there's an open question about whether we change our tactics, or are we just expanding on what we are already doing." (Sitka Conservation Society)*

A more stable and long-term financial endowment, which is in the pipeline for SSP, will help the network to create stable funding, and open the network to focus more on community priorities, as well as increasing the participation and engagement of indigenous organizations.

*"[The] tribal governments, for example, they're the supervisors of the catalysts out in the communities, and they have been engaged in network level decision-making. However, that engagement has not always been where it should be, if we purport to work with and support community priorities; but that is shifting and we're seeing more and more engagement, we're doing a better job of creating a sense of belonging and authority for tribal organizations; so increasingly this shift is kind of away from traditional conservationists in towards locally based organizations which is often the tribe." (Spruce Root)*

In nearly all interviews, there were genuine expressions of transparency and openness about what has worked, and what is needed to improve. A key example came through one of the monthly calls when discussions took place about an important transition connected to the network's expansion, and how to better capture, streamline and circulate

the knowledge collected in the multimedia database and communications around the website. Reference was made to the need for an improved regime that continues to capture and wordsmiths the complexity and interdependency of the community projects and their connection to core SSP values and even potentially new pathways. These previous examples, all speak volumes about the credibility, confidence and maturity of the network to explore opportunities to improve, engage and collaborate amongst stakeholders and work through difficult and complex conversations - continuously evolving forward.

### (G) Enabling processes

In the previous sections, I have illustrated the actions, processes and interactions of a geographically-bound coalition of organizations. This coalition has stricken a new balance and forged a new narrative between prosperity, place and the people who inhabit this region with deepened respect for culture, ecological and economic wealth and well-being. In addition, there have been three reinforcing mechanisms or processes that have enabled the network to deepen the ties and bonds between the partners.

#### i) Bonding and/or linking between partners and building trust

For the SSP network, the collaboration among unlikely allies is about being a process driven network.

*"It's the how we come together and the how we do these projects that sets us apart, and really strengthens the ability to be successful."  
(Spruce Root)*

And thus, a lot of time in the early stages of the partnership was spent on the practice of working together between and across individuals at the interpersonal levels, and over time more and more on how the organizations came together.

*"And so, the kind of the practice of how we come together, what we do, what we talk about when we're there, really gets to this notion of building trust; initially amongst the individuals. Over time, we've seen the catalysts who are directly participating in activities, begin to trust each other and their projects seem to move forward and they're doing it with partners they didn't used to be working with. Then their organizations begin to see increasingly the value of collaborating and participating in this way (-). I think focusing on relationships, and putting that first, is central to how we get things done and we don't always agree. I mean Sea Alaska is a big corporation historically they're a timber company (-); and a timber company and conservation organizations working together in a community to make the community stronger and the communities being on board with all of it - 10 years ago that would have been unheard of (-)."*  
*A little further in the interview "Over time partners through projects establish the trust across those people that were unlikely to work together in the first place."*  
*Again, further in the interview "[Frankly] increasingly our conversations are turning more towards healing, and addressing cultural and intergenerational trauma. How do indigenous partners and non-indigenous partners [organizations] address differences and find ways to have the difficult conversations about race and class, and culture and colonialism, and the impact that that has had on communities. And still get to a place where that helps deepen our trust and our relationship to be able to work, and go forward together." (Spruce Root)*

It is quite important to reiterate the importance of overcoming years of conflictual relationships which have characterized the Southeast. Convincing these organizations to work through a broader set of overarching objectives and through shared structures and tools, such as the bi-annual retreats and committees, has helped achieve community goals and priorities, and required commitment and hard work.

*"[That] just takes a lot of trust, especially a lot of trust that groups that haven't worked well before, are all of a sudden going to work well together. It may have taken a good five years before people felt comfortable that they had made the right decision. But there was always confidence that we needed a different model. We were going to do everything we could to put forward a different model that could deal with the conflicts that we knew we were going to face. The best thing to do is to take conflict head on and address the differences; and quickly decide if there are issues that we are going to agree to disagree on, that we don't let that take an inordinate amount of resources, and instead we work on those things that we have cooperative commitment to." (Sea Alaska)*

A particular practice and strategy that was cross-referenced by interviewees around building trust and bonding has been around creating a "holding space" (Spruce Root) to include others, ensuring participation and fostering a sense of belonging, and strengthening the diversity of thoughts and opinions.

*"It's an approach, a nuance that I have increasingly been aware of, creating a holding space and creating the space for participation. And really trying to think more of a distinction between inclusivity and belongingness." And a little further in the interview "If we can create a space and an initiative and a conversation where we are enabling you to feel that you belong, not that you have a seat at the table, but that it's your table too, that's what gets people to continue to come back and begin to drive this process and these things forward. Because there's value in it for them, and they see this belonging to them. I think to some degree it is about control to the people who are participating, and who you want to participate in that. That authority and sovereignty and expression, stewardship, that's huge. We don't want people to feel we're including them, we want people to feel it's their initiative and their partnership too, and I think we've been fairly good at doing that." (Spruce Root)*

The realization that there is strength that comes from joining up with like-minded organizations, coordinating efforts, and creating a diverse network, "is important to bridge some of the trust barriers that are needed for projects in this region of Alaska." (REAP). In this respect, the REAP representative mentioned a native concept of 'Wooch.Een'. A concept that has been intrinsic to native philosophy of doing things together in a unified way, and trying to make sense together, whilst respecting diversity.

*"[Stakeholders] are sought and brought to the table for discussions, and they're not always people nodding their heads. At the same time there are frequently diverse perspectives." And again, a little further in the interview when the importance of co-producing solutions together was mentioned "I think there's a strong recognition that, if people don't pull together, then progress can't happen. There's sort of this greater effort to find what's important and what unifies us and move in that direction. The native phrase for that is 'Wooch.Een'. I've just enjoyed learning that phrase and what it means (-) is that we have our differences, we're not all the same, we don't have the same view culturally, but as a people, in a place that is challenging to live in, we have to work together, to make it happen. And the fact that they have that phrase means that it's not quite an abstraction that it is a cultural norm (-). Wooch.Een means getting down to what needs to be done." (REAP)*

What really stood out throughout the conversations also was the deep bonds and ties between the network partners and the shared ethos around their collaboration, which the Klawock representative described as "our partners are coming from places of good intention, and that their goals and vision of what our region looks like in the future is aligned." Reference was made also to a network where relationships are put first.

## ii) Proximity

The SSP network has demonstrated how actors over time have let go of exclusionary narratives, and have opted for inclusive ones.

*"SSP has helped to take the blinders off. Not for everybody. Not everybody jumped in and engaged. But for those that have, we jumped in and we found out that we all have much more common ground than we have ground that divides us." (Sea Alaska)*

This has been particularly important, because many of the organizations working in the Southeast are old organizations. The Sitka Conservations Society for example is more than 50 years old, as is Sea Alaska. Physical proximity or being geographically in the same region has not been an enabler of collaboration in the beginning. This is particularly important also because geography in the case of the Southeast has not been not an enabler - the seven local communities that the SSP represents are remote and isolated.

A collective of fore-running organizations as well as a backbone and leading organization such as Spruce Root was needed to pave the way to include heterogeneous groups of organizations, rallying around a common vision, and using the region as a test bed for small-scale collaborative projects. These organizations have engaged over time to learn from each other building new ways of doing things together. The network approach has proved to be a highly effective way of bridging over organizations that have been initially antagonistic and even hostile, to creating spaces for 'rapprochement'. SSP partner organizations are deeply involved and invested with other key partners, and have crafted a direction - and have been working together to move towards that across a vast territorial region. In other words, other dimensions of proximity (other than physical/geographic proximity) have been at play creating a deeper sense of being invested in or committed to the SSP mission.

Therefore, the tight bonds and relationships to which reference was made, implies that other forms of closeness (i.e., social and/or cognitive proximity) may have been instrumental to foster more interaction, connectivity, information sharing facilitating and reinforcing collaboration advantages across actors who also happen to be in the same region. These other elements of proximity were needed in the early onset in order to create tight relationships across and between network organizations. Operating physically within the Southeast region - "across places where projects align" (REAP) - has at a later stage facilitated and reinforced collaboration and the territorial reach of the network.

A benchmark for success has been how the SSP has broken silos across and between sectors and organizations, as well as ensured the engagement, representation and participation across such as large geography through the network. Another benchmark has been the number of individuals within the Southeast that have set up small businesses and enterprises for their livelihoods across this vast, remote and difficult geography.

*"Whether it's our Path to Prosperity competition, or a workshop within a community, or even just one of the communities reaching out to us requesting like 'hey, we can really use more support for our fishermen'; all of that has come through the SSP and very much mutually beneficial in that way. A lot of our growth and a lot of the impact we've had with entrepreneurs is just by sort of the word of mouth power of the network that allows us to know better what entrepreneurs need, and then also create whether it's a service or a loan product that's trying to meet that need." (Spruce Root)*

Remoteness and isolation have not stopped the communities of the Southeast from enterprising, in fact it appears that the remoteness, the isolation and hardship of living in the Southeast have necessitated the desire and need to enterprise and motivation to become self-sufficient. Existing programs such as Path to Prosperity or the Local Food Competition for (food) enterprises have helped contribute in creating a more diverse economic reality.

I spoke to five (5) flourishing entrepreneurs who all alluded to new localized ecosystems in food manufacturing or composting, energy independence and creative industries emerging throughout the Southeast Region<sup>181</sup>, where cultural, ecological and economic sustainability, and local support permeates throughout their work. There is support and camaraderie between these entrepreneurs - which have been very different from the traditional boom-bust and natural resources extractive companies, which has been characterized by ongoing cycles of lay-offs and volatility in the oil industry.

However, this support also appears to be more hyper-local. As a reference, it takes approximately four and a half hours to take the ferry from Haines to Juneau. Thus, entrepreneurs I spoke to have tended to look for more support within their own locality and borough. The geography has not been conducive to further increase collaborations and partnerships across the boroughs and between entrepreneurs located in different boroughs.

These entrepreneurs I spoke to have also been quite intentional about “keeping the value chain of our resources here in Alaska” (Barnacle Foods). This aggregating of economic value locally, was also emphasized by another entrepreneur who runs a saw mill. The founder of Chilkat Valley Sawmill mentioned how cognizant the local sawmills, local foresters and loggers that she has worked with in Haines have been about keeping the “economic value of their activities locally, only sourcing locally, instead of importing resources from outside of the region.”

Specifically, entrepreneurs that I spoke to all referred to tapping into their local peer-to-peer networks for business or technical advice, in addition to the contact and relationships that have emerged thanks to Spruce Root’s Path to Prosperity. Entrepreneurs consult with the Chamber of Commerce, the Small Business Associations or the Economic Development Councils in the respective boroughs to get advice.

Two of the entrepreneurs I spoke to have also been SSP catalysts - and they too, in addition to others, mentioned that they have tried in the past to connect with SSP partners, other than Spruce Root. There is a growing interest - which was also referred to by Spruce Root - to better tap into the collaborative relationships and better engage entrepreneurs from the Southeast. One such fruitful collaboration has emerged already between Sea Alaska and Barnacle Foods, with the former becoming an equity investor in Barnacle Foods.

Equally, interesting was the mentioning how entrepreneurs in collaboration with other Southeast Alaska entrepreneurs have been exploring ways to develop new products with other local businesses, or helping other entrepreneurs with their products. These collaborations however have stayed local, and have not necessarily stretched across SSP localities.

Chilkat Valley Sawmill, for example, mentioned how her sawmill is helping a local composting business access excess sawdust to produce high quality soil which is then sold to food manufacturers and farmers. Barnacle Foods mentioned

specifically how they have been exploring creating value and developing non-timber products such as berries sourced from native corporation and state forest land, as well as working with other food and beverage manufacturers and (wild fish) canneries to source more ingredients from individual entrepreneurs and businesses in Alaska, and to create more value locally.

One additional striking feature deserves mentioning here. The entrepreneurs I spoke to all have a commitment to hiring locally, or generating jobs locally or at least within the Southeast. Clearly pointing in the direction of wanting to build the capacity of the workforce, by offering or creating access to traineeships, or training for career advancement, and opening up economic opportunity towards local workers.

Access to trained and skilled workforce and qualified labor however has been an issue for the entrepreneurs I spoke to. Some entrepreneurs are trying to address this gap. For example, Klawock Cooperative Association mentioned how with another fellow blacksmith they are “actually working to formalize a blacksmith's guild, a traditional guild, where I can have formal training and bring on apprentices. So that is a big goal on the [side of workforce development and educational opportunities].” Similarly, the founder of Barnacle Food, Chilkat Valley Sawmill and Skya’ana - which means to be awake in Haida - referred to the importance of hiring locally and a skilled local workforce. Skya’ana in particular which runs a local coffee roasting company and supplier of coffee, in Klawock, referenced how giving back to the community is the backbone in her business, and why she has been investing in building the capacity of the local workforce:

*“I know from being mentored through [the Spruce Root network], how important it is for me to mentor. I have mentored girls who started with me, first jobs right out of high school who are now buying their own businesses. My entry level jobs weighed on me, because I put so much [energy] into kids and then when it came time for them to progress they would leave and had to go to somebody else, I didn't have jobs for them. Now I'm expanding. I've got one young man that works for me who went away to college, and then came back (-). He's getting his business degree online and using my restaurant as part of his case studies all the time. I work with him on his schedule, and I meet with him and invite him into our books and into our business. He is learning to manage things now. It all comes back to my experience with Spruce Root and understanding how important it is to lift each other up and, and mentor and I'm fueled by this legacy of strong native business women. It gives me strength.” (Skya’ana Coffee Co.)*

### iii) Being invested in the network

Throughout the interviews, a constant reference was made to the bi-annual retreats, which in addition to convening diverse organizations, has been an opportunity to set the agenda for the year, the joint projects, to revisit the values shared across the network, and creating a sense of collective across partners.

What clearly stood out throughout the interviews was the passion, drive, and love for the territory and the respective work that has been done by each organization that has been part of the network.

*“Everybody [in this network] makes positive changes in the direction of the focus area of their work, and so I think it sort of draws birds of a feather. And that's part of the power of it.”*

*And a little further in the interview, “I think that there’s two parts about being an SSP partner: one is, what is your passion, and the second is, do you have [resources]. I think our passion unites all of us. And to the extent that we can scroll enough resources together to actualize that passion is that is the challenge for every group, but I believe we’re all united by that passion for the causes that we share.” (REAP)*

In an equally powerful way, the Klawock Cooperative Association stated:

*“I think [the SSP] is this beacon; it’s a hope for a better future, not just for me but for my kids, my grandkids, etc.”*

The Sitka Conservation Society in particular referred to the values permeating through the network, and the commitment across to work together for this region that all these individuals call their home.

*“To me [the] core value of the network stays exactly the same, to find ways to work together, and because we do have the shared vision and a shared set of values. And a commitment to collaboration as the way of doing work. It just comes down to when we’re doing a project, even if you could do the project alone more quickly, there’s inherent value in doing it collaboratively, even if it’s more challenging in certain ways because you’re building engagement, you’re building the ability of that project to actually succeed over time. If there’s disagreement over what the project means, actually working through that in the beginning, and figuring out a path forward together. Those relationships and trust building elements, even if they’re not sure what the ultimate outcome will be for that specific project, are in and of themselves the work. The work is actually communicating across those divides.” (Sitka Conservation Society)*

Perhaps the most interesting reference to being invested in the network was mentioned by interviewees around the depth and breadth of the network’s growth - with more of the existing partners investing more, committing more and engaging more through the network.

Throughout the interviews, I could sense the high sense of responsibility and passion shared by all those interviewed for their respective works. In this respect, the results of the quantitative findings clearly have pointed in the direction that interviewees perceive SSP success as a collective effort, and that they have been aware that building collective capacity has been important for SSP over time. The results of the quantitative survey have clearly pointed in that direction (*please see Table 18 here below*).

Case 1: Interviewee	i) Do you think that it is thanks to the collective efforts that the SSP has been successful at addressing social and economic issues?	ii) Do you think there is a relationship between key partners over time building collective capacity for change and achieving the SSP mission?
Interviewee 1	4	4
Interviewee 2	4	4
Interviewee 3	5	5
Interviewee 4	4	5
Interviewee 5	4	4
Interviewee 6	5	5
Interviewee 7	5	5
Interviewee 8	5	4
Interviewee 9	5	5
Interviewee 10	5	5
Interviewee 11	5	4
Interviewee 12	5	5
Interviewee 13	5	5

MEAN	4.69	4.61
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Table 18: Results of the quantitative evaluation of the questions, based on Likert-scale of 1-5, with 1 being totally disagree, and 5 being totally agree

Partners expressed a genuine appetite for continuing the great work that has happened throughout the last decade, and exploring ways to deepen and widen their engagement. The results of the quantitative survey further highlight that interviewees have appreciated SSP success as a collective effort. Sitka Conservation Society quite explicitly worded collective capacity as:

*"[A] combination of each individual [organizations'] capacity. And then the capacity of the entities to work together, and to do that effectively in partnership. And then, the ability of the entire network across multiple actors to accomplish larger goals together." (Sitka Conservation Society)*

The interpretation of Spruce Root around collective capacity, and the 'how' of the SSP approach extends into the respective organizations, and measuring it:

*"We have collectively been able to all become better at working together at the same time. It's not like one organization was showing everyone else how to do it or it's not as if one community had it figured out, it was 'let's all figure this out together'. We were bad at it for these reasons, and you're bad at it for those reasons, let's come together and figure this out. "*  
*And a little further in the interview "At some point [the SSP approach] has to go deeper than that one person, it has to become integral to the success of that organization, and that's where I think SSP has become to see more success. It used to be just at the individual level, and now a lot of the organizations that are part of SSP really deep within the organization feel - it's like on paper somewhere, or like maybe the board feels this way or multiple people in the staff or within the organization - that SSP is an essential part of what and how they do work now. Today, they make sure that someone shows up to the retreat, and make sure [the approach] is a priority for them. That to me is a strong indicator of collective capacity." (Spruce Root)*

#### 4.3.4 Implications of case-study 3 for the initial theoretical and revised empirical frameworks on transformative capacity

I have juxtaposed version 1 and version 2 of the framework with the findings and results that has emerged from this third case-study, and the following need mentioning:

1. I have noticed the same recurring collective processes which I derived from version 1 and version 2 to be at play in case-study 3/SSP. These are in relation to collective vision and goals; sharing information and knowledge; problem-solving, collective learning, allocating resources and coordination; convening/aligning disparate organizations and conciliation; shared structures, mutuality, trust and accountability; as well as evaluation and communication.
2. I can confirm that collective processes which I had only noticed in version 2 of the framework were indeed also at play in case-study 3/SSP. This has been in particular in relation to the roles of the anchor(s), iterating and experimenting through ongoing joint projects, building network-based resources, reflecting on removing obstacles in projects and scaling them, as well as place-based collective processes related to physical upgrades. **(Please see Table 19 further below).**

3. Case-study 3/SSP has also further corroborated the assumption that the role of the anchor(s) has been quite important in the formative stages of the social alliance. And that indeed, certain collective processes have been more relevant in the formative stages, for example those related to the role of the anchor organization(s) offering amenities, convening and aligning disparate organizations, and crafting a shared vision around key partnership projects and providing network functions. In case-study 3/SSP also, other collective processes over time have appeared to be arranging the social alliance network into a more cohesive entity, whereas again other collective processes have been relevant to enable the collaboration forward. **(Please see Table 19 further below).**

4. This case-study 3/SSP has also confirmed the assumptions about place-based social alliance networks, that intentionally integrate within the design of key joint projects components that physically impact the transformation of the place over time.

5. Case-study 3/SSP has further corroborated the assumption about closeness. Similar to case-study 2/Alvelal, physical/geographic proximity of stakeholders or being geographically near the same partners has not been sufficient reason to spur their collaboration in the beginning. Other factors connected to proximity such as social and/or cognitive closeness, have been at play in case study 3/SSP as well. Furthermore, in cases 2/Alvelal and 3/SSP there is no physical mobility or moving close to the anchor organizations who are physically 100s of kilometers apart from each other. This is particularly important because in case-study 1/BNY stakeholders appear to geographically close to the Yard, or have moved close to or inside the Yard. In addition, the Yard has been able to bring in or select certain partner organizations to move into the Yard. This option due to geographic distances is not possible in case 2/Alvelal and case 3/SSP.

6. Equally important to mention is that in case-study 3/SSP members of the social alliance organizations as a collective rethink what it means to be a member of the network and operating in the region. This has particularly been accentuated with the current scaling and expansion of the network and pending long-term endowment.

Contrary to case-study 2/Alvelal, where the social alliance network is still building a shared understanding in relation to their collective vision, and together acting on it still emerging, network organizations in case-study 1/BNY and case-study 3/SSP already appear to identify themselves clearly as partner members of the network. Quite specifically, for case-study 3/SSP, I have identified a new collective process. ***One that relates to partner organizations over time starting to identify themselves as a member of the network. In the case of the SSP, this membership has been further boosted through the SSP fund.***

In the case of the Yard, the interviewees, including the organization and Yard tenants, clearly identified themselves as a member of the Yard community. It was a given, and they continuously mentioned “being a member of the local community “(BNYDC), or BNYDC investing in how the members of the Yard community connect with each other, or referring to “being members of the Yard community” (Yard tenant). This sense of community appears to be both in

terms of the landlord-tenant relationships, and also tenant-tenant relationships. In the case of the SSP, the catalyst organizations identify themselves as members of the network and are acting on a collective vision. In case-study 1/BNY the Yard’s network approach was referred to as collective efforts for place-based nonprofit industrial transformation created by Yard partners and across inter-organizational levels. An approach about ‘doing things together’ which was clear within and across the Yard partner organizations, and beginning to get infused throughout the rest of the Yard also.

In case study 2/Alvelal, however, interpretations that have been offered around the impact of the collective efforts and the joint perception of the Alvelal approach, appeared to ***be more connected to interpersonal ties and relations of individuals that represent the organizations.*** I specifically investigated this aspect in case-study 3/SSP. My results have appeared to corroborate both case-study 1/BNY and case-study 2/Alvelal findings also in case-study 3/SSP. In case-study 3/SSP, it is a combination of interpersonal ties and the respective organizational relationships toward the collective.

7. Lastly, case-study 1/BNY and case-study 3/SSP are open-ended and ever-evolving social alliances. They don’t have an expiration date. Whereas, case-study 2/Alvelal is mandated – although long-term – across a duration of twenty years. Thus, similar to case-study 1/BNY, case-study 3/SSP is pursuing more open-ended social change objectives.

Themes, concepts, characteristics of collective processes	
Recurring themes, concepts and characteristics that version 1 and case-study 3 have in common:	New themes, concepts and characteristics that have emerged from case study 1, case-study 2, and case-study 3, requiring a revision of version 2 of the framework:
<ul style="list-style-type: none"> <li>- Sharing and exchanging resources, knowledge and information</li> <li>- Continued collective learning</li> <li>- Developing a shared vision</li> <li>- Governing, shared structures and accountability</li> <li>- Convening of stakeholders and disparate participants</li> <li>- Aligning and building coherence of the network</li> <li>- Multivocality</li> <li>- Mobilizing and pooling of shared resources</li> <li>- Building trusting relationships and commitment</li> </ul>	<ul style="list-style-type: none"> <li>- The role of anchor(s)</li> <li>- Iterating and experimenting through ongoing partnership-projects</li> <li>- Building network-based resources, and in particular place-based (physical) upgrades and/or building infrastructure</li> <li>- Reflecting on removing obstacles in projects and scaling them</li> <li>- Geographic proximity between partners</li> </ul> <p><b>Additional collective strategies, understandings, activities, approaches derived from case-study 2:</b></p> <ul style="list-style-type: none"> <li>- As a collective rethinking and revisiting what it means to be a member in this space (i.e. learning fests and using methods such as Theory U)</li> <li>- Creating closeness (i.e. cognitive, social<sup>183</sup>) to ensure that geographic proximity reinforce the bonds, trust and collaboration among partners</li> </ul> <p><b>Collective processes derived from case-study 3:</b></p> <ul style="list-style-type: none"> <li>- Over time partner organizations start identifying themselves as a member of the network (this can be incentivized/boosted through shared funding mechanisms, or a shared pool of funding)</li> </ul>

**Table 19: Recurring themes, concepts and characteristics that version 1 and case-study 3 have in common, next to new themes, concepts and characteristics that have emerged from case study 1, case-study 2, and case-study 3 and requiring a revision of version 2 of the framework.**

Here below in **Table 20**, I have presented the preliminary theoretical framework (version 1) and the revised empirical framework (version 2) based on my findings of case-study 3/SSP. As the reader will notice, the coding hierarchy between Version 1 and Version 2 is not identical. Within Version 2, I have highlighted in **green** within **Table 20**, those codes that are ‘new’ and emerging from case-study 3/SSP, and not identified in Version 1 of the framework.

AUTHOR'S CATEGORIZATION OF THEMES DRAWN FROM THE LITERATURE	PRELIMINARY FRAMEWORK & THEMES OF COLLECTIVE PROCESSES DRAWN FROM THE LITERATURE	1st order labels - open coding - examples of codes derived from semi-structured interviews (i.e. shared concepts, patterns of behavior, strategies, activities, understandings or approaches)	2nd order labels - axial and process	Categories of collective processes - partially derived from preliminary framework and supplementary documentation (i.e. theory, literature, data)	Overarching theoretical and strategic dimension - Components of transformative capacity	
Sharing and Exchanging Resources, Knowledge and Information	The main activities of social alliances include mutual problem-solving, information sharing and resource allocation.	Anchor organization is responsible for network coordination; anchor organization is the main convener of network partners; anchors articulates an overarching vision and philosophy about how the partnership conveners and how it does projects; anchor organizations articulate a common vision across focus areas or pathways; anchor organization is the backbone organization, who convenes (virtual and in person), executes the approach to collaboration, stewards partner participation, applying for funding and designing a program or projects in conjunction with the support of other network partners; the anchor offers backbone support and to ensure network stewarding deeper levels of engagement and participation of stakeholders in the network, offering coordination and oversight, strategic direction, fundraising support and budget approval; communication and outreach (so that it creates value for all the members of the network).	Having an anchor organization that has distinct roles/functions, and playing key roles and working with partners whose missions are aligned with those of the anchor organization(s).	Acting as a leading and driving force organization	A. Having a leading and driving force organizations	
	[Coordination] includes sharing information between stakeholders to stimulate synergies and prevent overlap of activities.	A nonprofit Community Development Financial Institution (CDFI) providing credit and financial services to underserved markets and populations and generates financial revenues (i.e. being a nonprofit lender); raising capital through public and private means to lend; nonprofit with fundraising capabilities and revenue generation capabilities; operate very much like a corporation, but with a nonprofit lens; a social enterprise;	A hybrid organization that is mission-driven through social achievements and generating revenues.			
	By increasing the information flow between partners and by facilitating the establishment of clear and mutually embraced goals, alliances increase success.	Becoming a learning organization or think thank for regional collective impact models and place-based collective action network focusing on local community wealth creation; a network that is learning how to address complex social, economic and environmental challenges through cross-sector coordination;	Becoming a leader in a community of practice creating a thriving environment and space for a place-based and regional collective impact model working toward achieving local community wealth priorities in Southeast Alaska			
	Repeat partners exchange knowledge about themselves and develop a more refined understanding of the other's cultures, management systems, capabilities, weaknesses, behaviors and beliefs, while storing that information for future use. And various attributes of the alliance relationship include information and knowledge sharing between partners, shared partner understanding and a focus on collective goals.	Key organizations offer core support for the network to thrive (i.e. being the fiscal sponsor, or offer network coordination functions); community organizations being the bring builders between people and resources; ensuring that more good work gets done by offering leadership support; certain partners play a key role in committing to community goals and bringing different interests to come together; key partners are liaisons for community priorities;	Certain actors acting as a neutral platform and leveling the playing field to convene and to reconcile diverse and at times competing interests to create shared rewards	Being an intermediary positioned between the stakeholders of a project		
	Social alliances involve different actors with varying access to heterogeneous kind and level of resources who act in a coordinated and purposefully strategic way to enact interaction, build coalitions and exchange information targeting a wider, situated social change objective. [Working] collectively provides the opportunity for sharing knowledge and costs between actors and limiting duplication of efforts.	Group of individuals and organizations (i.e. local and regional catalysts) who come together to collaborate and share resources and build capacity among themselves and their communities; community, regional and tribal organizations who together form the partnership; working with partners on key projects that align with SSP mission; working closely together with various stakeholders with different interest, loyalties, structures, and building connections between sectors and actors; mobilizing like-minded organizations; overlap across and between network and organizational levels;	Mobilizing and working together with various stakeholders to come together and to form a representative core group of fore-runners and building connections and synergy between sectors and actors	Building a (multi-actor) coalition with broad organizations		
	Spralset al. (2011, p. 63) argue that information sharing between partners increases alliance performance because 'communication fosters shared understanding between network partners; it helps align partners' interests and values; it allows network partners to work collaboratively toward a shared understanding of what information is important and how best to use it'	Host organizations identify projects across focus areas or pathways (i.e. flagship projects such as Moby the greenhouse truck, biomass energy project); identifying joint opportunities and jump and go with it; collective design of a program or a solution, which draws on everyone's respective skills and collective problems; mutual benefit projects; designing new projects that are mission-aligned and/or mission-critical; getting partnerships of the ground and testing them project-by-project; creating overlap and merging across fields through joint projects (i.e. food security and energy independence)	Championing win-win opportunities and low hanging fruit collaborations depending on need/demand	Continuously identifying/Exploring and implementing joint projects with (ecosystem) partners that add value		B. Iterating, Experimenting, Learning by doing through joint projects
	Working collectively provides the opportunity for sharing knowledge. And alliances allow for the sharing and exchange of complementary resources, whereby each party offers something unique or different to the other.	Learning a lot together and doing it collectively; working with community partners to build capabilities; engage partners in areas that are not core capabilities (i.e. every organization has a different set of strengths and	Engaging and learning from partners and through deliberate partnerships			

	<p>Cross-sector partnerships are voluntary working arrangements between for-profit and not-for-profit organizations which involve the deliberate exchange, sharing or co-development.</p> <p>The learning potential and the non-financial resource exchange are examples of benefits resulting from the process of interaction.</p> <p>Relational coordination as an activity (-) is fundamentally about connections among interdependent actors who must transfer information and other resources to achieve outcomes</p>	<p>weaknesses and barriers and obstacles to overcome); accessing resources from other partners, a partner would otherwise not have access so;</p> <p>Launching joint projects, and learning by doing; rolling and running with the projects; piggyback off of previous ideas and projects that come along; exploring a new project (i.e. cultural and regenerative tourism) which may become a new SSP pathway;</p> <p>Using the place as a test bed for testing new products/services (i.e. new land management strategy, Moby the mobile greenhouse); using Southeast Alaska as a place to test new initiatives (i.e. in composting, community kitchen, Triple Bottom Line-enterprises);</p> <p>Allowing the partnership to evolve to allow new iterations and learning; new add value projects build on the success of the previous (i.e. reforestation of land and preserving natural habitats) so that the surrounding community can benefit from the natural resources; willing to try things and see how they go, and then decide where to grow it from there, rather than trying to form the perfect partnership (i.e. Moby the mobile greenhouse); being flexible with how projects are put together, initiated or implemented; small scale and successful projects create a safety net and reduce risks for other communities to test and try the project;</p>	<p>to build new skills, new expertise and competencies</p> <p>Active and (rapid) trialing or iterative learning of new solutions, new ideas, new projects</p> <p>Using the place as a test bed for prototyping new ideas and solutions on a small scale</p> <p>Flexibility to try new things and seeing how things will go instead of having a perfectly planned partnership or project</p>	<p>Iterating and experimenting continuously with partners/providers on joint projects to add value</p> <p>Evolving continuously through new and joint projects</p>	
<p>Continued collective learning</p>	<p>Studies state that firms need alliance learning capabilities to articulate, codify, share, and internalize knowledge with their partners to facilitate relational and firm-level innovation and development.</p> <p>A process of collective learning allows for establishing trust and shared understanding of the issues as well as a sharing of knowledge.</p> <p>Collective learning is a vital aspect of building successful stakeholder networks. Collective learning is a social process of building shared understanding (Argyris and Schon 1978). It involves trading and comparing information and then integrating individual views into a common understanding (Wijen 2002). Learning together helps increase mutual understanding about relational issues (e.g. values, perspectives and intentions) as well as substantive issues (e.g. root causes of the problem, linkages and patterns). The purpose of collective learning is to increase individual knowledge as well as the collective intelligence and capacity of the network as a whole. Collective learning serves as an essential foundation for whole-system innovation. When high stakes exist, when stakeholders have recognized their interdependence and when the system that connects the issue is commonly understood in depth, a shift occurs. The collective learning phase allows members of a network to: i) Develop new knowledge about the issue and larger system (i.e. root causes); ii) Define possible scenarios; iii) Construct shared meanings that allow people to understand each other and work together effectively; iv) Clarify common ground and differences in perspectives, interests and needs; v) Build trust and commitment.</p>	<p>Start with locally led small scale projects that then can evolve to having a life of their own; the network focuses on local community needs first, and waits and listens to what the community brings and asks for instead of pushing projects from the top down; allowing ideas for potential new projects to emerge organically from the bottom up (i.e. cultural tourism);</p> <p>Job creation is not a sole focus or metric that it reported; tracking the number of jobs that have been created through joint projects (i.e. constructing affordable houses); joint projects have employment creation goals (i.e. number of construction jobs created); finding the jobs that fit within and respond to local community needs for jobs;</p> <p>Making small loans to local entrepreneurs and offering financial literacy and personal financial programming; giving direct funding to natural resource academies to build some technical training for workforce needs; network focuses on economic and social well-being of South Alaskans by supporting the set-up of triple bottom line businesses that invest, create jobs and hire in South East Alaska; investing in small scale businesses and small scale industry (i.e. eco-tourism, small scale mills) that can create jobs and staff locally; offering intensive boot camp training and business support services (i.e. Path to Prosperity program offered by anchor organization Spruce Root) to triple-bottom line and community enterprises (i.e. composting food waste, food harvesting, local mills, fisheries); offering local businesses contracts to turn waste wood into biomass and add to local energy;</p>	<p>Openness to top-down and bottom up projects and/or relationships that emerge whilst being responsive and committed</p> <p>Creating and tracking how many jobs have been created through projects and funding</p> <p>Offering resources and targeting specific types of enterprises that create jobs or other rewards.</p>	<p>Increasing the capacity of the workforce through localized economy strategies</p>	
<p>Developing a shared vision</p>	<p>[A] communal vision needs to be created through consensus-building while taking account of the multiplicity of communal needs; especially those of marginalized groups. The creation of a communal vision can happen via local deliberative processes that reconcile individual and communal well-being goals. This means that individual and collective interests can be reconciled (Schäpke/Rauschmayer, 2014).</p> <p>A shared business vision, a shared understanding of what information is important and how this information can best be used, and shared methods for problem solving, working constructively and thinking outside the box have all been reported to be important for alliance success (De Villiers 2009; De Villiers et al. 2007; Duysters et al. 1999; Ertel 2001; Pavlovich and Corner 2006; Spralls et al. 2011). Hunt et al. (2002, p. 24) define shared values between partners as 'beliefs in common concerning</p>	<p>Through workforce and education development, internships, mentorships, trainings offering career advancement to Southeast Alaskans; proactively looking for training and apprenticeships (i.e. in blacksmithing, energy leadership program, hazmat certification) to train the current workforce; partners work across focus areas and across communities using the projects as vehicles to advance youth and workforce development initiatives and build new skills; provide workforce development opportunity (i.e. training) for local youths to build and gain advanced construction skills by building a tiny home using as much regionally sourced forest products as possible; compensate indigenous food harvesters with ancient knowledge and expertise to transmit their skills, knowledge and expertise to new generation of food harvesters so that they too can have a livelihood;</p>	<p>Offering and creating access to jobs and opening up economic opportunity at each part of the spectrum from really low skilled work to high skilled workers.</p>		

	<p>what is important/unimportant, appropriate/inappropriate, and right/wrong'. Partners who share values will identify with one another and will be more committed to the alliance (Hunt et al. 2002).</p>				
	<p>Impediments to building a common partnership culture include different views on business and social priorities (Lewis, 1998; Waddell &amp; Brown, 1997), as well as traditions of hostility, distrust, or ignorance between businesses and civil society organizations (Bendell, 2000; Gray, 1985; Westley/Vredenburg, 1991; Zammit, 2004). Nonprofits often are skeptical about business motivations (Covey/Brown, 2001). Difficulties in common culture development may be overcome by focusing on the metagoals, by realigning partners' expectations (Waddock &amp; Post, 1991; Westley/Vredenburg, 1991), or by each partner giving credit to the other's experience and identity (Millar et al., 2004; Parker &amp; Selsky, 2004; Waddell, 2000). Trust, power, and stakeholder relations also are featured. Implementing a shared or common vision among independent actors (Gray, 1989) typically means developing a common culture held together by shared values, common interests, and clear communication. The shared metagoal is one source of CSSP identity building (Hardy, 1994).</p>	<p>Building new technical skills in local community for improved job access is an integral part of project design and project activities; building the ecosystem and creating programming and opportunities for workforce development and technical capacity building to grow; targeting youth from schools to learn how to operate a GPS, flying a drone for forestry managements or teaching financial and business literacy skills; prepare youth and students for future careers in natural resources and science based job exploration; investing in soft skills; workforce development projects focus on organizational successions and for new generation of leaders to occupy different levels of leadership or responsibility;</p>	<p>Project design providing citizens/communities with new skills, training and abilities for better job access for those who need it the most or most qualified</p>	<p>Including/engaging surrounding and/or disenfranchised populations and/or addressing socio-economic needs of the community</p>	
	<p>Shared vision and purpose are immensely powerful in motivating people to achieve extraordinary things, including remarkable leaps of creativity, innovation and adaptation.</p>	<p>Partner organizations wanting to increase participation, engagement and representation of tribal organizations in areas that matter to tribal communities; local partners having a pulse on what's happening in their local communities and wanting to increase vitality; partners make sure that they're on the front lines advocating for the things that the local communities' needs; engaging the disenfranchised for long-term economic development; designing and implementing solutions in underserved communities and areas; being inclusive with the surrounding community about distributing benefits derived from joint projects; creating economic inclusivity by creating economic and ecological activity in underserved indigenous communities with high rates of unemployment; the network itself can be used as a tool to create more equity (i.e. to pass through resources, to redirect funders and policy-makers);</p>	<p>Re-enfranchising strategies that pay particular attention to questions of social justice, equity, economic vitality of a place</p>		
	<p>The ability of participating firms to develop a clear strategic vision and expected outcomes of organizational cooperation.</p>	<p>Continuously think about ways to better engage (i.e. finding touch points with) the public and allow participation (i.e. cultural tourism or regenerative tourism across the local communities); tapping into every opportunity with partners to get to the people most benefit from the projects; enabling community partners who may not be as well-resourced or have the capacity to seek additional resources to access resources in the same way; enabling partners feel they belong in the network, and they have a seat at the table, and that the table belongs to them; joint projects have touch points with wider community members including local schools and local businesses;</p>	<p>Integrating into the design of a project different aspects of indigenous community capacity or community empowerment</p>		
<p>Governing, shared structures and accountability</p>	<p>Studies have emphasized the need to integrate or align targets, processes and relational structures among alliance partners. Structural integration refers to the development of relationship structures such as joint alliance development teams, alliance steering groups, integrated working procedures, processes, and IT systems (Lorenzoni &amp; Lipparini, 1999; Niesten &amp; Jolink, 2015.) Integration processes play a prominent role in the alliance literature, and companies vary in terms of possessing the capacity to advance alliance integration. Social integration refers to open interaction, trust, and shared understanding.</p>	<p>Funding acts as an incentive to motivate and foster shared commitment, shared understanding and expectations about partner or host organizations; anchors articulate and frame an overarching vision and philosophy about how the partnership convene and how it does projects; sharing a collective vision about the place and what it means to be in Southeast Alaska; anchor organizations articulate a common vision across focus areas or pathways; the network comes together, partners worked on collective vision as a group creating a sense of collective need across partners; collective vision act as a binding agent;</p>	<p>Crafting/Articulating a shared vision among partners based on needs, shared understandings and expectations (as a means to motivate and foster commitment among partners)</p>	<p>Building and/or sharing a collective vision and acting on it</p>	<p>D. Building Coherence Processes</p>
	<p>To understand whether and how multi-party stakeholder partnerships harness wicked problems, we focus on three interrelated governance processes that are critical for keeping awareness and acting on the problems at hand: deliberation, decision-making and enforcement (Shouten &amp; Glasbergen, 2012)</p>	<p>Partner organizations participate in network activities; shared understanding of the network being a process driven network as opposed to a project or product oriented network; partners crafting a direction and then working together to move toward that vision; collective action network that is open to any organization that is willing to commit to the SSP approach; network participants express themselves through a common vocabulary (i.e. program pathways, Woonch.Een (meaning getting down to what needs to get done), and triple-bottom line enterprises); mission/vision is front and center to gatherings, communications and storytelling;</p>	<p>Rallying around a shared vision and understanding among partners</p>		

	<p>Some examples of these inter-organizational structures include joint teams of alliance partners, channels of communication and partner-specific interfaces, joint business planning sessions and joint alliance evaluation sessions (Hoang and Rothaermel 2005; Kale and Singh 2007; Khalid and Larimo 2012)</p>	<p>Identifying as a member of the network thanks to dedicated grant support, shared funding pool, or shared salary support for catalyst positions and community and regional organizations; identifying as a catalyst partner in the network; newcomers are embedded and immersed in a shared language or common vocabulary (i.e. pathways, Wooch.Een (meaning getting down to what needs to get done), Kuxhadahaan Aadaayoo.analgein (meaning stop, observe, examine, act in Tlingit));</p>	<p>Over time partner organizations start identifying themselves as a member or partner of the network</p>		
	<p>Governance of a collaborative entity entails the design and use of a structure and processes that enable actors to direct, coordinate and allocate resources for collaboration as a whole and to account for its activities. Governance of collaborations happens through shared structures, processes and actors.</p>	<p>Launch of joint partnership-projects implemented with joint inputs from partners; disagreeing on details, but aligning with the vision of strengthening communities claimed to be working towards; integrating and building into each other's' projects; partner organizations' goals and mission align with that of the SSP and its pathways/programming; collaboratively building the ability of a project to succeed;</p>	<p>Launching mission-aligned and joint projects that overlap or have touch points between different areas or organizations, or sharing the same ethos and values</p>	<p>Aligning of (different) organizational mandates/interests into a symbiotic relationship</p>	
	<p>Inclusiveness and accountability are key components of legitimacy for effective cross sector partnerships.</p>	<p>Engaging with key partners in network level decision-making; steering committee helps to coordinate multiple funding streams and allocating resources; coordinating project activities and incorporating a significant amount of community input; partner organizations devoting time and energy to coordinate workforce development initiatives across the network to directly deliver services and programming; proactively sharing information among partners; having an entity that coordinates joint efforts;</p>	<p>Close coordination and engagement between partnering organizations to ensure being on the same page</p>		
	<p>The success of any single alliance depends on some key factors that are relevant at each stage of alliance evolution (Gulati, 1998). These include (a) the formation phase, wherein a firm deciding to initiate an alliance selects an appropriate partner, (b) the design phase, wherein a firm (and its partner) set up appropriate governance to oversee the alliance, and (c) the post formation phase, wherein a firm manages the alliance on an ongoing basis to realize value (Schreiner, Kale and Corsten, 2009). Relational governance enhances the likelihood of alliance success by reducing transaction costs in several ways: (a) Contracting costs are minimized because firms trust their partners to behave fairly, (b) monitoring costs are lower because external, third-party monitoring is not required, and (c) costs of complex adaptation are lowered because partners are willing to be flexible in response to unforeseen circumstances. In addition, relational governance enables partners to work together in implementing value-creation initiatives that need sharing of tacit knowledge between partners, exchanging resources that are difficult to price, and offering responses that are not explicitly called for in the contract (Zajac &amp; Olsen, 1993). Finally, if relational governance is based on some resource dependence between partners, it acts as an effective means to monitor and control partner behavior (Filatotchev, Stephan and Jindra, 2008).</p>	<p>Creating holding or safe spaces to convene, interact and exchange and connect with stakeholders (i.e. network and non-network partners); organize annual on-person retreats to foster participation and promote a sense of belonging across disparate stakeholders; create spaces for partners to work through their issues; making a space that works for everyone who is part of the network; virtual monthly gatherings become hubs for sharing stories, opportunities and participate; creating safe or holding space for previously hostile organizations to work through issues;</p>	<p>Creating shared places and spaces to interact and exchange through events, gatherings, meetings</p>	<p>Reaching out/communicating/Interacting with outside and inside of the network stakeholders</p>	
	<p>Relational coordination as an activity (-) is fundamentally about connections among interdependent actors who must transfer information and other resources to achieve outcomes</p>	<p>Being deliberate and intentional getting the message out about the work done in this place (i.e. Southeast Alaska) with SSP partners; open book and transparent in terms of project updates, report, and private project data (i.e. being good stewards); using the website, blog posts and media content in order to communicate publicly what is being done in this network and across the territory; promote the SSP and its work by setting up information booths during fairs and community events.</p>	<p>Looking for opportunities to raise awareness and communicate formally about what is being done inside with partners and outside to the space with partners, and being open and transparent with data and project updates.</p>		
	<p>People start to take responsibility for the whole. Innovative solutions arise out of this struggle to bridge competing perspectives and needs within a system.</p>	<p>Outreach through emails, newsletter, in person visits; regular meet-ups and organizing regular virtual check-ins and ad hoc meetings based on partner need; informal and formal meetings with partners; monthly network meetings to discuss projects and offer updates;</p>	<p>Doing outreach through regular (formal and informal) meetings, meet-ups, check-ins and phone calls, newsletters, info sessions for exchanging and learning</p>	<p>Constant cultivating/Steering of ongoing and effective relationships</p>	
	<p>Mutual expectations and accountability - Clarity of expectations about the deliverables from each partner appears to be important. In addition to providing programmatic guidance, this fosters mutual accountability and motivates execution responsibility. Mutually high expectations promote both rising performance standards and greater value creation.</p>	<p>Being in constant or very frequent communication and being accessible to partners; discipline of actually maintaining points of contact across the right levels of communication; proactively communicating across partners about what is going on and extending opportunities;</p>	<p>Being disciplined about maintaining points of contact</p>		
<p>Convening of stakeholders and disparate participants</p>	<p>Gatekeeping organization is a bridge between unconnected organizations to coordinate and distribute resources.</p>	<p>Organizing and designing work plans together; preparing impact reports about the network (i.e. Impact Evaluation-report, or Value of Collaboration-report); organizing ad hoc thematic meeting and/or monthly calls (i.e</p>	<p>Organizing regular and ad hoc meetings and reports with partners to stay abreast</p>	<p>Making sense together</p>	

		monthly network Zoom calls) to keep track of progress on projects, address project problems through workshops;			
	Agency and leadership in complex systems requires successful ecosystem stewarding and related roles.	Program director for the Sustainable Southeast Partnership; regional and local catalysts; local and regional catalysts who perform programmatic functions across the SSP; set-up of steering committee across and with partner organizations to give strategic direction and take key decisions; set-up technical committee for natural habitat restoration projects; strategic planning committee; thematic committees;	Establishing shared structures and procedures to manage the partnerships		
	Cross-sectoral convening across different industries also provides a forum for knowledge sharing and joint action between groups of otherwise disparate actors. Dorado & Vaz (2003) describe conveners as champions of projects who navigate complex obstacles and boundaries in inter- and intra-organizational domains. Convening social networks and groups of individuals or organizations in order to allow for collaboration to occur and to tap resources, knowledge, and expertise of the participants can facilitate unique solutions and whole-system innovations which draw on collective intelligence (Svendsen & Laberge 2005). Unable to succeed unilaterally, these actors, or conveners (Svendsen & Laberge 2005), focus their efforts instead on convincing others to collaborate and to jointly address problems and initiate change (Dorado, 2005 ).	Regular practice of revisiting whether partners still agree on the same things and working through potential disagreements and solving together (i.e. contentious Roadless rule to not build roads inside conservation land); partners reflect on what has worked and what has not, (i.e. organizing meetings to discuss problems); partners having meetings to solve problems together based on needs and engaging in meaningful dialogue (i.e. offering creative and constructive criticism); organizing thematic virtual meet-ups to co-create with partners key concepts, values and meaning (i.e. regenerative tourism for Southeast Alaska and the SSP);	More than just updating on progress, and keeping stakeholders abreast, but actually ongoing engagement, seeking input and working with them on new ideas (or working through the problems together and/or then designing solutions together)		
	Organizational structuring is the subject of several early studies (Gray, 1989; Hardy, 1994; Waddock, 1991; Westley/Vredenburg, 1991), where the presence of an “enabling structure” such as a brokering or mediating organization is seen as a key factor facilitating collective action.	Inculcating a sense of responsibility across the partners; measuring the progress of the projects, (i.e. design metrics and evaluate whether metrics are on track); articulating sustainability outcomes; compiling a yearly report with various metrics (project dependent); reporting focuses on environmental issues, social and economic well-being of local community; tracking projects help achieve key numbers and have (semi-formalized) reporting mechanisms; having key performance indicators; having annual work plans;	Tracking progress and evaluating progress - procedures or metrics for evaluating progress, as well as success stories - being disciplined in terms of collecting that data	Being accountable (shared accountability, individual responsibility for the social mission)	
Aligning and Coherence	Institutional coherence refers (-) to the extent to which the dominant institutional logics are able to provide sufficient guidance to the behavior of actors in the field (Rein and Stott,2009). When coherence is high, institutions acting on a field point in the same direction resulting in a situation in which stability prevails. In these contexts, even though multiple logics exist, conflict among them is low, thus posing both a stronger need for appropriateness and conformity and a higher resistance to potential changes. At the opposite extreme, at low levels of coherence, fragmentation prevails with no logic having the degree of consensus necessary to guide behavior to conformity. When this is the case, contradictions in the field open the way to institutional entrepreneurs and change, so that actors possessing certain characteristics, such as, for example, an appropriate governance structure, and a consistent leadership style, can take advantage of the situation, setting the rules of the game.	Guiding and operating principles about what is expected to be participants in this network; recognizing organizational roles and how they help the collective or coalition to thrive; collective responsibility; shared responsibility and interdependence because projects overlap between areas and partners; building mutually beneficial relationships to continue creating new opportunities or build on existing ones requires joint efforts; acknowledging the other organizations as key for mutual success; reciprocity; accountability to individual hosts organization, and then to the network as a whole; catalysts roles are repeated across multiple organizations and in multiple communities because of the relationship with SSP;	Partners' respective commitments towards each other to achieve shared outcomes for projects		
	Alignment between partners' strategies and missions - the more congruent the partners' values the stronger the alliance's cohesion.	Getting feedback, ensuring active participation, including others' opinions, diversity of thought when designing projects; making decisions through consulting partners (i.e. conservation groups, tribal corporations, state government, local tribal community organizations); having amorphous conversations, talking about general pain points, and charting together a path forward; making sure that key stakeholders aren't left out and ensuring that community priorities are heard, respected and supported.	Getting feedback, getting buy-in, active participation and gauging insights, different opinions from different backgrounds, and involving diverse groups, individuals and organizations	Generating/Fostering/Integrating different kind of thinking, ideas and solutions	
Multivocality	Through conciliation, a common vision is created to guide the acts of collective agency. Conciliation processes, reconciling individual and communal goals through a communal vision, public deliberations and inclusive decision-making, whilst taking account of the multiplicity of communal needs and nurturing communal responsibility.	A new way of doing things and showing step by step results to help convince stakeholders (i.e. shared values, shared vision, shared way of doing things); support new areas that have not traditionally been thought of as synergistic (i.e. localized economies and conservation of land); introducing triple bottom line thinking and model to change the mindset and integrate new solutions for land and resource management; using indigenous processes and rituals to inculcate a recognition that if partners don't pull together, progress won't happen (i.e. Wooch.Een (meaning getting down to what needs to get done) or Kuxhadahaan.Adayoo.Analgeint, meaning stop, observe, examine, act in Tlingit)); using demonstration projects as a tool to reduce fear in another local community to try the project;	Facilitating the introduction of novel ideas, solutions, procedures, options		

	<p>The ability to combine numerous voices as well as to connect to diverse stakeholders in an accessible manner and straddle audiences. Combining multiple voices to speak to a variety of audiences allows collectives to connect with diverse communities in a manner that “appeals to numerous audiences simultaneously” (Carolan 2008, p. 69).</p>	<p>Capture input and knowledge in reports and briefings (i.e. about blueberry and deer habitats, or measurable best practices on timber, salmon and deer production, local economic development and improved watershed health) in a way that would make it helpful for partners to do their jobs and sharing it widely with partners; monthly meetings and minutes/notes taken are opportunities to share knowledge and transfer lessons learnt;</p>	<p>Sharing or dissemination of lessons learnt and/or offering direct advice and support to groups that could benefit from the knowledge/expertise</p>	<p>Capturing/Codifying Knowledge</p>	
<p>Mobilizing shared resources</p>	<p>By pooling resources within the same sector in collective social entrepreneurship ventures these organizations support one another’s social and economic objectives in a variety of ways.</p>	<p>Conducting research, collecting and documenting insights; doing data analytics (i.e. data, charts, trends analysis); availability of internal database to access all project reports (i.e. Google Drive, or Slack channel);</p>	<p>Conducting research, collecting data and/or building a repository of knowledge</p>		
	<p>Social alliances leverage resource complementarities or recombination to develop novel, innovative approaches to technological and institutional challenges (Rangan, Samii and Van Wassenhove, 2006). In general, social alliances give actors from different sectors vehicles for resolving common challenges by recombining resources as well as leveraging differential cost advantages between public and private sectors (Rangan et al., 2006). Such hybrid organizational forms can also become a platform to pursue multiple shared goals across sectors (Markman et al., 2016), particularly for intractable social and environmental issues that are affecting each sector in unique ways (Powell, Hamann, Bitzer and Baker, 2018).</p>	<p>Joint projects that upgrade and restore the natural habitats and forests; conservation activities across the Tongass national park; using new knowledge about forest and watershed management to develop new strategies around natural habitats for mutual benefit; the network provides a framework to think about people and place and integrates the environment as part of value driven work; physically upgrading buildings for community use (i.e. community kitchen, community center); collaborative management model that focuses on the community use of Southeast Alaska land base;</p>	<p>Deployment, reuse and revival of physical infrastructure as a shared resource.</p>	<p>Leveraging and sharing resources which they otherwise would not be able to access and/or acquire independently</p>	
	<p>Establishing alliances may emerge as a possible solution when resources and competencies are not readily or sufficiently available to organizations. From a resource dependence perspective, organizations are engaged in inter-organizational relations in order to exert power, influence or control over other organizations (Pfeffer &amp; Salancik, 1978). However, resource scarcity may also encourage cooperation and lead to emergence of mutually supporting relationships between organizations, as in the case of strategic alliances. An alliance can provide important benefits for an organization lacking certain resources since it links the organization to another with complementary resources (Child &amp; Faulkner, 1998). These resources may be capital and non-capital resources (Yan &amp; Gray, 2001) and range from financial resources to knowledge and reputation.</p>	<p>Leveraging the wisdom and knowledge of the broader network (i.e. iceberg challenge, when someone from a partner organization gets to pick a different problem to work on with others from the network on a monthly basis); co-designing and co-creating solutions together; joint projects are collaborative efforts in form and informed by SSP collaborative approach (i.e. Hoonah Native Forestry Partnership, Moby the mobile greenhouse etc.); joint projects have the DNA of the SSP; building the act and practices of collaboration and the frameworks that are developed for working through together; sharing learning and experiences to improve and help each other’s organizations or operations; reimagining, re-shaping, cultivating and enriching their environment with new, useful and innovative ideas and solutions, and reaping shared rewards through community enterprises (i.e. triple-bottom line enterprises); the network acting as an incubator for entrepreneurs; working through the partnership helps facilitate new community enterprises to be set up and help enterprises’ operations; partners fundraising for and getting access to a network fund; tap into shared resources and shared tools and frameworks for doing the work at the local level;</p>	<p>Partners using and combining resources to pursue opportunities together and/or addressing needs together creating new and shared resources which they would otherwise not be able to access or acquire</p>		<p>E. Building (place-based) Network Resources</p>
<p>Social alliances can serve as a vehicle for innovative leveraging of resources outside firms’ control and extending their domain of competence and the corresponding opportunity set (Austin, 2000; Austin &amp; Reficco, 2009; Kanter, 1999). Collective mobilization of action and resources oriented toward the achievement of ends shared by the members of inter-organizational networks.</p>	<p>A pure network without formal legal structure or dues paying mechanisms; increasingly seeing the value of collaboration and increasingly participating the SSP-way; it is a network that allows to access and connect with meaningful and functional relationships, and resources and to leverage those relationships and resources for meaningful work; collectively getting better at working together;</p>	<p>Establishing and developing a web of relationships between internal and external stakeholders which can be leveraged for growth and development</p>			
<p>Trusting relationships and Commitment</p>	<p>Social integration refers to open interaction, trust, and shared understanding. Studies show that “trust is a component of a ‘cooperative competency’” (Ireland et al., 2002: 439; Sivasdas &amp; Dwyer, 2000). In addition to the development of trust, (Kale &amp; Singh, 2009; Sivasdas &amp; Dwyer, 2000), studies see customer linking (Theoharakis, Sajtos, &amp; Hooley, 2009), relational capital (Kohtamäki et al., 2013; Lorenzoni &amp; Lipparini, 1999; Sivasdas &amp; Dwyer, 2000), bonding (Schreiner et al., 2009), and open interaction and communication (Morgan, Slotegraaf, &amp; Vorhies, 2009; Orr, Bush and Vorhies, 2011; Paulraj et al., 2008; Sivasdas &amp; Dwyer, 2000; Smirnova et al., 2011) as important components of alliance integration.</p>	<p>Realizing how far a partnership or project has come, and thinking what needs to happen next to scale it; setting up a new financial endowment mechanism to support the network for the long-term; looking for opportunities, including conversations, dialogue and actual programming to increase the impact of a project by looking at other regional initiatives (i.e. conservation and economic development in Canada) with philanthropic partners; expand the network to other non-catalyzed communities of the Southeast (i.e. mini-SSPs); SSP approach inspires other networks (i.e. artist network of Southeast Alaska) to operate in the same way; influencing policy makers and resource managers (i.e. on environmental impact of the SSP projects to help sockeye salmon);</p>	<p>Replicating, expanding the footprint or applying the project itself or various processes, methods, components or solutions in different settings and locations</p>	<p>Generalizing the project operation or results beyond the initial context of application</p>	<p>F. Thinking Forward (2D)</p>
	<p>Collaboration in multi-actor settings is based on a mutual commitment of more than two actors to work together towards a common end that can only be reached through the transformation of materials, ideas and/or social relations (Roberts/Bradley, 1991).</p>	<p>Envisioning with partners system’s change; redefining how catalysts commit to network activities as the funding landscape is shifting; partners envision and engage about the future potential of their partnership and project (i.e. re-imagining how to make this territory thrive, re-imagine the future of the network without having gatekeepers who need to channel funds); envisioning how to get triple-bottom line enterprises to become formal partners of the network; growing recognitions across partners that there is an emerging overlap and merging across fields (i.e. climate change, youth and workforce development) that needs addressing;</p>	<p>Envisioning and/or developing alternative visions and/or engaging stakeholders about current and future needs, expectations</p>		

	<p>Trust requires being able to choose the right partner, to define the right governance structure, and to develop relational standards with this partner (flexibility, adaptability, information sharing, durability, and joint actions) in a climate of mutual trust</p>	<p>Regular and proactive communication of progress with and between stakeholders and partners; references to open discussions and critical dialogue on network's evolution; formal methods for reporting, monitoring, metrics; iterating forward continually and constantly; constantly reflecting whether a project align with SSP priority areas and whether it is moving in the right direction;</p>	<p>Reflecting on how a project unfolded and shared learning</p>	<p>Being reflective and aware of what it takes for a project or initiative to succeed</p>	
	<p>It can be expected that this partnership (full trilateral partnership) when successfully established has the most capacity to develop a transformational relationship between the partners, because the commitment to engage in a mutually dependent relationship with each other is highest.</p>	<p>Working on challenges to redefine the partner membership in the network; recognizing the challenge to redefine the role of partners in the network as the funding landscape is shifting; partners are engaging tribal organizations more and doing a better job at including locally based organizations which are tribal organizations in the network; partners recognize the complexity and governing across tribal, state and federal structures that are incentivized for competing interests between tribal corporations, conservationists and local tribal communities; non-network organizations getting involved because of seeing the benefit of the information transfer, even without funding and support; partners understand their respective roles, recognizing they can't act to things on their own and need to collaborate;</p>	<p>Stakeholders rethinking and recognizing what it takes to overcome barriers for a project or initiative to succeed, to scale and growing impact</p>		
	<p>Waddock (1988, p. 19) suggests that one reason for the demise of collaborations is the failure to understand that these relationships are cooperative, interactive entities that require a good deal of commitment on all sides.</p>	<p>Working with partners who know Southeast Alaska (i.e. this territory) and the context and the problems; building effective and deepening relationships to share information and break the siloing across structures, organizations and local communities; building trusting relationships between stakeholders that facilitates future and deep collaboration and information sharing between partners who did not use to work together; first it is about building trust among the individual catalysts, and then over time building trust between host organizations and their projects; putting focus on putting relationships first; partners are coming together from places of good intentions; getting the right people onboard; using this way of doing things together as a way to address trust barriers and build-bridges;</p>	<p>Building trusting relationships between stakeholders that facilitates future and deep collaboration and information sharing</p>	<p>Bonding/Linking between partners and building trust</p>	
	<p>Many cross-sector social alliances crumble because of "mis-es"—misunderstandings, misallocations of costs and benefits, mismatches of power, mismatched partners, misfortunes of time and mistrust.</p>	<p>Wanting to work on issues through partners; strong dedication; committed to this new way of working together; strong commitment of partners towards how they come together and how they collaborate; the network inspires and is seen as a beacon for a better future; calling this place (i.e. Southeast Alaska) our home; enjoying working through the network;</p>	<p>Proactively working with other stakeholders and committed to making this place thrive</p>	<p>Being invested in the network</p>	
	<p>A commitment by a corporation or a group of corporations to work with an organization from a different economic sector (public or non-profit). It involves a commitment of resources—time and effort— by individuals from all partner organizations. These individuals work cooperatively to solve problems that affect them all.</p>	<p>Redefining how a nonprofit, a corporation, a tribal government or individual formally or informally defines themselves in the network; host organizations of the network regularly revisit how they come together and work together (and formalize the guiding principles in an agreements) through annual meetings/retreats;</p>	<p>Leading and driving force organizations and other core organizations on a regular basis as a collective rethinking and revisiting what it means/entails to being a member in this space</p>		<p>G. Enabling Mechanisms</p>
	<p>The personal relationships are particularly central to the creation of inter-organizational trust. Our interviewees all pointed to the importance of trust to the strength of the collaboration. Trust appears to be one of the critical elements common to most forms of collaboration (Burke, 1999; Dickson &amp; Weaver, 1997; Kanter, 1994; Larson, 1992; Rackham et al., 1996; Ring &amp; Van de Ven, 1994; Waddock, 1988a; Wasserman &amp; Galaskiewicz, 1994). Although good relationships will not guarantee alliance success, bad interpersonal relations can destroy a partnership.</p>	<p>Collaborating with organizations that are not physically in this place that share the same vision; shifting the mindset of stakeholders to share learning and experiences with each other; creating deep and lasting relationships and connections; using new connections, new learning and knowledge as a base for new economic and environmental ties; creating closeness and facilitating collaboration between actors who are in the same territory but did not want to work with each other; working repeatedly with partners building shared understanding and shared experiences; communities are spread out and difficult to get to, so it is important to foster exchanges and connect different people and connect to resources;</p>	<p>Creating closeness to ensure that geographic proximity reinforce the bonds, trust and collaboration among partners</p>	<p>Proximity</p>	
		<p>Being near or inside this place where you can get project to align and work together; having a chance to build real relationships with a community that is a stone's throw away; working with local communities based in South East Alaska; becoming a close-knit community in physical proximity and helping each other out; neighboring communities piggyback off of each other's projects;</p>	<p>Being physically inside or near the same place facilitates or reinforces collaboration</p>		

Table 20: The preliminary and theoretical framework (version 1) next to the revised and empirical framework (version 2) with revisions from case-study 3

## PART 5 – DISCUSSION, ANALYSIS AND CONCLUSION

### 5.1 Introducing and constructing the meta-framework on transformative capacity of social alliances

This final chapter will be across four sections - with section 5.1. and subsections focusing on how I constructed the meta-framework on transformative capacity, as well as taking stock of the similarities and differences between and across the cases; followed by 5.2 where I offer an analysis and try to make sense of the final revised and empirical framework on transformative capacity of social alliances, and my key academic contributions to the existing literature and research in general which is the focus in section 5.3. And, finalizing with 5.4 covering the imitations of my research, and 5.5 discussing potential future research and direction.

*In this research, I have investigated the transformative capacity of social alliances. In particular, I have tried to find answers to the principal questions: which collective processes can I assess at the social alliance level that facilitate creating transformative capacity, and linked to this question how does a social alliance sustain the collaboration?* My aim has been to contribute and advance existing theoretical explanations (Ridder, 2017) in relation to transformative capacity of social alliances; and by developing a comprehensive framework canvassing the collective processes (collective agency processes) which can contribute to the work of social alliance practitioners. Particularly, I aim to translate this research into practical, strategic and management advice (Ferraro, Etzion and Gehman, 2015).

My discussion will be in two key sections. First, I will discuss how I departed from the preliminary and theoretical framework to arrive at the final framework (**5.1.1 Transitioning from the preliminary and theoretical framework to the revised and empirical frameworks**); and second, I will present the similarities and differences across the cases (**5.1.2 Similarities and differences across cases – presenting the final (meta) framework**). I conclude section 5.1 by presenting a final revised and empirical framework on transformative capacity of social alliances in **Table 22**.

#### 5.1.1 Transitioning from the preliminary and theoretical framework to the revised and empirical frameworks

I first developed the preliminary and theoretical framework (version 1) through literature review, which I then immersed into and tested within case-study 1/BNY. Throughout this process I coded the data (open, axial and process coding) and clustered various codes together, creating a coding hierarchy with first order and second order labels (Eisenhardt, 1989; Gibbs, 2007) according to similarity and regularity (looking for pattern); and, further distilled 2nd order labels into collective processes, and finalized aggregating the collective processes into overarching theoretical and strategic dimensions on transformative capacity. I have created a new data structure (Goia, Corley and Hamilton, 2012).

The findings and results of case-study 1/BNY, have warranted a revision of version 1 into a revised and empirical framework (version 2). I then proceeded to further immerse and test version 1 and version 2 of the frameworks with

case-studies 2/Alvelal and 3/SSP – to then construct a ***summary table of recurring themes, concepts, characteristics of collective processes across the case-studies and new ones derived from the case-studies (Table 21)***.

By immersing version 1 of the framework into case-study 1/BNY, I have found evidence of recurring collective themes, concepts, activities which have confirmed the collective processes I had already identified in version 1 of the framework. In particular, I found confirmations for collective processes in relation to collective vision and goals; sharing information and knowledge; problem-solving, collective learning, allocating resources and coordination; convening/aligning disparate organizations and conciliation; shared structures, mutuality, trust and accountability; as well as evaluation and communication.

Case-study 1/BNY has however also revealed a number of new collective concepts, characteristics, patterns of behavior, strategies, activities, understandings or approaches which have not been present in version 1 of the framework. Thus, warranting a revision of version 1 into a revised and empirically tested version 2 of the framework. Specifically, case-study 1/BNY, revealed other themes related to collective processes including: the role of the anchor organization, physical proximity of partners reinforcing collaboration, iterating and experimenting through ongoing joint projects, building network-based resources, reflecting on removing obstacles in projects and scaling them, as well as place-based upgrades and improvements in the physical infrastructures in the places where the projects are executed.

Furthermore, case-study 2/Alvelal and 3/SSP have exposed additional collective processes which have warranted a revision of version 2 of the framework as well. From case-study 2/Alvelal, I have derived that core organizations on a regular basis and as a collective rethink what it means to be a member of the network and space. And, equally important, case-study 2/Alvelal revealed that other types of closeness (proximity), such as social and/or cognitive, have been at play before geographic closeness has reinforced collaboration among partners. Case-study 3/SSP further highlighted an additional collective process, with partner organizations ***over time starting to identify themselves as a member or partner of the network***.

***Throughout this iterative process, I have validated that indeed other collective processes are ‘out there’ which the existing and fragmented literature on social alliances had not identified.*** The table here below has summarized which themes have recurred across which cases, as well as highlighted the ones which have been specific to the respective case-studies.

Summary table of themes, concepts, characteristics of collective processes	
Recurring themes, concepts and characteristics that version 1 of the framework has in common with <b>all three</b> case-studies	New themes, concepts and characteristics that have emerged from case study 1, case-study 2, and case-study 3 and requiring a revision of version 1 and version 2 of the frameworks
<ul style="list-style-type: none"> <li>- Sharing and exchanging resources, knowledge and information</li> <li>- Continued collective learning</li> <li>- Developing a shared vision</li> <li>- Governing, shared structures and accountability</li> <li>- Convening of stakeholders and disparate participants</li> <li>- Aligning and building coherence of the network</li> <li>- Multivocality</li> <li>- Mobilizing and pooling of shared resources</li> <li>- Building trusting relationships and commitment</li> </ul>	<p><b>New themes, concepts and characteristics derived from case-study 1 requiring a revision of version 1 of the framework into version 2:</b></p> <ul style="list-style-type: none"> <li>- The role of anchor(s)</li> <li>- Iterating and experimenting through ongoing partnership-projects</li> <li>- Building network-based resources, and in particular place-based (physical) upgrades and/or building infrastructure</li> <li>- Reflecting on removing obstacles in projects and scaling them</li> <li>- Geographic proximity between partners</li> </ul> <p><b>Additional new themes, concepts and characteristics derived from case-study 2 requiring a revision of version 1 and version 2 of the frameworks:</b></p> <ul style="list-style-type: none"> <li>- As a collective rethinking and revisiting what it means to be a member in this space (i.e. learning fests and using methods such as Theory U)</li> <li>- Creating closeness (i.e. cognitive, social<sup>183</sup>) to ensure that geographic proximity reinforce the bonds, trust and collaboration among partners</li> </ul> <p><b>Additional new themes, concepts and characteristics derived from case-study 3 requiring a revision of version 1 and version 2 of the frameworks:</b></p> <ul style="list-style-type: none"> <li>- Over time partner organizations start identifying themselves as a member of the network</li> </ul>

Table 21: Summary table of recurring themes, concepts, characteristics of collective processes across the case-studies and new ones derived from the case-studies.

### 5.1.2 Similarities and differences across cases – presenting the final framework

In this section, I take stock of the key similarities and differences within and across the three case-studies. I will offer more detailed explanation of the similarities and differences in section *5.2. Analysis and making sense of the final framework on transformative capacity of social alliances*.

#### i) Similarities

By juxtaposing the case-studies, I can reasonably argue that a number of key themes have been recurring throughout the three case-studies. The first recurring key theme has been in relation to the *role of anchor organizations*, who appear to have played a key role in the formative stages of the network, stewarding and driving the various partnership-projects forward.

Second, the cases also appear to have *similarities in relation to partners identifying, experimenting and also evolving together through joint projects*. There is rarely one partnership-project, there are multiple ongoing projects with and between recurring partners over time that are mission-aligned.

Third, across all three case-studies *resources have emerged at the network level*, which network partners could not have been able to access or acquire independently. *These resources - in addition to having social (i.e., relationships) and economic attributes (i.e., social and community enterprises) - also have territorial or physical attributes*. In all three social alliances partners have intentionally integrated within the design of key partnership-projects components that physically impact the transformation of the places over time (i.e., restoring forests, landscapes, biodiversity, and

also restoring/upgrading actual buildings). Building new or revamping existing infrastructure is inherently tied into these social alliances.

Fourth, throughout the cases partners have also continuously reflected on *removing obstacles in joint projects, improving their performance and also reflected on scaling or replicating them across other contexts.*

Fifth, *being geographically within the same place (i.e., the Yard, Alvelal territory, Southeast Alaska) has reinforced collaboration across these network stakeholders.*

Sixth, *in all three cases a heterogenous constituency of stakeholders from various organizations are pursuing social change or social innovation.* Equally important in this respect is that those organizations who are part of creating social change and achieving social change, are ensuring that the needs of disenfranchised communities (i.e., displaced entrepreneurs, low-income households, indigenous communities, farmers) are considered as much as possible by ensuring their participation, engagement and representation in the design and implementation of projects.

## ii) Differences

**First**, case-study 1/BNY and case-study 3/SSP are open-ended collective action networks. The work is never really finished, and this multi-party network is ever evolving with new programmatic pathways being added and continuously iterating forward through joint projects. There is no expiration date on cases 1/BNY and 3/SSP. Case-study 2/Alvelal however is mandated - restoring landscape and bio-diversity has been set to happen within twenty years. *The social change being pursued in each case are different.*

**Second**, in case-studies 1/BNY and 3/SSP, the Yard and SSP network approach were indeed *perceived by partners as collective efforts and across inter-organizational levels.* In case study 2/Alvelal, however, the Alvelal approach at this point in time, appeared to be more connected to interpersonal ties and relations of individuals that represent the organizations. In case-study 2/Alvelal, the collective is still building a shared understanding in relation to their collective vision and their acting on it together is still emerging. However, network organizations in case-study 1/BNY and case-study 3/SSP already appeared to identify themselves clearly as members of the network, and also expressed accountability towards the collective. The understanding of what it entails to be an organization and member of the network was already in place, and in both cases, partners expressed shared commitment between and across each other, and towards the network to achieve shared outcomes for projects. As the reader will see later below, I have offered a potential explanation for this difference due to the level of maturity of the social alliance (more on this in section 5.2 Analysis and making sense of the final framework on transformative capacity of social alliances).

**Third**, although partners' **being geographically in the same place has reinforced collaboration** across the cases over time, there was a particular difference between case-study 1/BNY and the other two cases in relation to geographic

closeness. In case-study 1/BNY, the geographic or physical distances between partners' location in and around the Yard is minimal, whereas in the other cases the geographical distances between partners can span 100s of kilometers. In fact, I have stated throughout case-study 1/BNY how certain tenants have physically moved into or near the Yard. I mentioned RLab and the STEAM center, as Yard tenants, that have proactively been brought into the Yard and even selected as Yard tenants. There is no such mobility or movement close to the anchors in cases 2/Alvelal and 3/SSP. Because of the geographic obstacles, it not possible to pick or 'recruit' organization to come into Alvelal territory or Southeast Alaska. Therefore, being **geographically close helped induce the collaboration** between partners in case-study 1/BNY, but it did not in the other two cases. In case-study 2/Alvelal and 3/SSP, **other types of closeness, such as social and/or cognitive proximity, have been at play before 'being in the same place' has reinforced collaboration among partners. Thus, proximity has different expressions in the three cases.**

**Fourth**, a key difference between the cases has been in relation to network partners **on a regular basis rethinking and revisiting what it means to be a member of the network and collaborating in a place** (i.e., local neighborhood, locality, region, territory). This difference was particularly emphasized throughout cases 2/Alvelal and 3/SSP where partners have regular meetings where they apply approaches, practices and methods (i.e. Theory of U, or in person bi-annual retreats) **that raise high expectations about the way collaboration happens between and across network partners. There has been a need for a tighter arrangement and coordination across projects and partners in cases 2/Alvelal and 3/SSP – this was less emphasized in case-study 1/BNY.**

**And lastly**, linked to the previous, in case-study 3/SSP, a very specific collective process was made explicit, being that ***over time partners actually start to identify themselves as a member of the network or collective***. This almost network-like identity was a given in case-study 1/BNY with partners not even second guessing what it meant to be a member of the BNY. However, in case-study 2/Alvelal, this collective process was not present (at least not yet).

Here below, I have presented **the final (meta) framework (Table 22)** which has emerged for this research. This final framework also offers an in-case summary of all the 1st order (first column) and 2nd order labels (second column), next to aggregated categories of collective processes (third column), and strategic components of transformative capacity (fourth column).

1st order labels - open coding - examples of codes derived from semi-structured interviews (i.e. shared concepts, patterns of behavior, strategies, activities, understandings or approaches)			2nd order labels - axial and process coding	Categories of collective processes - partially derived from preliminary framework and supplementary documentation (i.e. theory, literature, data)	Overarching theoretical and strategic dimensions - Components of transformative capacity
CASE STUDY 1	CASE STUDY 2	CASE STUDY 3			
Mission driven landlord and a model with three stools; offering amenities: space, business support and employment services; anchor organization creates the conditions for the shared vision to manifest itself; anchor is as a steward of relationships, a convener, mediator, gate-keeper, advocate and vision-setter; anchor plays a key role in crafting and pushing a shared vision across the ecosystem of partners; role in building strategy; anchor offering cohort, concierge, collaboration and community services; anchor curating Yard tenants to talk to each other, to support each other, to do business with each other and to connect with larger community;	Anchor is as a facilitator; patron of the in situ implementing partner, or lighthouse for the entire Mediterranean basin; anchor offers financial, programmatic and measuring impact support; anchor organizations implement projects across three zones or pathways (natural, economic and mixed zones); anchor articulates an overarching vision and philosophy; anchor offers hands on management support and transitions into offering overall support;	Anchor organization is responsible for network coordination; anchor organization is the main convener of network partners; anchors articulates an overarching vision and philosophy about how the partnership conveners and how it does projects; anchor organizations articulate a common vision across focus areas or pathways; anchor organization is the backbone organization, who convenes (virtual and in person), executes the approach to collaboration, stewards partner participation, applying for funding and designing a program or projects in conjunction with the support of other network partners; the anchor offers backbone support and to ensure network stewarding deeper levels of engagement and participation of stakeholders in the network, offering coordination and oversight, strategic direction, fundraising support and budget approval; communication and outreach (so that it creates value for all the members of the network).	Having an anchor organization that has distinct roles/functions, and playing key roles and working with partners whose missions are aligned with those of the anchor organization(s).		<b>A. Having a leading and driving force organizations</b>
A nonprofit that generates financial revenues in addition to fundraising through public means; nonprofit with fundraising capabilities and revenue generation capabilities; operate very much like a corporation, but with a nonprofit lens; a social enterprise;	Nonprofit with fundraising capabilities and revenue generation capabilities - circling back 1% of the revenues generated by 4-Return companies; nonprofit with impact investing potential: generating revenues through profit sharing from community enterprises supported by the anchor organization;	A nonprofit Community Development Financial Institution (CDFI) providing credit and financial services to underserved markets and populations and generates financial revenues (i.e. being a nonprofit lender); raising capital through public and private means to lend; nonprofit with fundraising capabilities and revenue generation capabilities; operate very much like a corporation, but with a nonprofit lens; a social enterprise;	A hybrid organization that is mission-driven through social achievements and generating revenues.	<b>Acting as a leading and driving force organization</b>	
Becoming the leading convener in the arena and learning organization for place-based economic development in green-tech, added-value, high tech and advanced manufacturing; leader in nonprofit real estate development; leader in nonprofit industrial development;	Becoming the leading convener in the arena of regenerative agriculture and landscape restoration; learning organization for regenerative agriculture and community enterprises; organize communities of practice for landscape partners;	Becoming a learning organization or think thank for regional collective impact models and place-based collective action network focusing on local community wealth creation; a network that is learning how to address complex social, economic and environmental challenges through cross-sector coordination;	Becoming a leader in a community of practice creating a thriving environment and space for i) place-based i) economic development in green-tech, added-value, high tech and advanced manufacturing; leader in nonprofit real estate development; leader in nonprofit industrial development; ii) regenerative agriculture and community enterprises; iii) regional collective impact model working toward achieving local community wealth priorities in Southeast Alaska		
Leveling the playing field for businesses to creating a different sort of reward than what otherwise happens; certain partners are increasingly becoming relevant in the development of the place; certain partners play a starring role in addition to the anchor organization; certain partners becoming a neutral sandbox or place for different interests and partners to come together; being a conduit;	Being the bridge builders; being a translator for various stakeholders; bringing different partners around the table; ensure that stakeholders are invited to be part of the process; being the communication dot; being the connecting point; being a convener across disparate organizations;	Key organizations offer core support for the network to thrive (i.e. being the fiscal sponsor, or offer network coordination functions); community organizations being the bring builders between people and resources; ensuring that more good work gets done by offering leadership support; certain partners play a key role in committing to community goals and bringing different interests to come together; key partners are liaisons for community priorities;	Certain actors acting as a neutral platform and leveling the playing field to convene and to reconcile diverse and at times competing interest to create shared rewards	<b>Being an intermediary positioned between the stakeholders of a project</b>	

<p>Working with partners on key projects that align with Yard mission; working closely together with various stakeholders and building connections between sectors and actors; creating overlap and merging across fields (i.e. STEAM Center as an example of a joint project where disparate organizations with different funding cycles and needs worked together); each partner brings expertise and comes together as a pool and find synergy; disparate participants with shared aspirations, needs and challenges;</p>	<p>Working with partners on key projects that align with Alvelal and Commonland mission; working closely together with various stakeholders and building connections between sectors and actors; creating overlap and merging across fields (i.e. restoring biodiversity or landscape restoration through entrepreneurship, or eco-tourism); each partner brings expertise (i.e. scientific, business advice) and comes together as a pool and find synergy; form a representative core group of diverse fore-runners; a network of entities; working through a heterogenous group of actors with different interests;</p>	<p>Group of individuals and organizations (i.e. local and regional catalysts) who come together to collaborate and share resources and build capacity among themselves and their communities; community, regional and tribal organizations who together form the partnership; working with partners on key projects that align with SSP mission; working closely together with various stakeholders with different interest, loyalties, structures, and building connections between sectors and actors; mobilizing like-minded organizations; overlap across and between network and organizational levels;</p>	<p>Mobilizing and working together with various stakeholders to come together and to form a representative core group of fore-runners and building connections and synergy between sectors and actors</p>	<p><b>Building a (multi-actor) coalition with broad organizations</b></p>	
<p>Identifying the low-hanging fruits for joint collaboration without conceding on mission (i.e. The STEAM center which is a joint collaboration between key partners; the master plan for the Yard); collective design of a program or a solution, which draws on everyone's respective skills and collective problems; mutual benefit projects; designing new projects that are mission-aligned and/or mission-critical; getting partnerships of the ground and testing them project-by-project;</p>	<p>Identifying (i.e. scouting for) add value opportunities for joint collaboration without conceding on mission (i.e. setting up 4-Return enterprises in regenerative agriculture; sustainable food and cultural tourism project); each partner brings expertise and knowledge and need to ensure it can be translated into concrete projects; launching small scale mutual benefit projects; co-designing new projects that are mission-aligned and/or mission-critical; using landscape restoration project as a way to create new and sustainable supply chains in tourism and food; getting flagship landscape restoration projects off the ground;</p>	<p>Host organizations identify projects across focus areas or pathways (i.e. flagship projects such as Moby the greenhouse truck, biomass energy project); identifying joint opportunities and jump and go with it; collective design of a program or a solution, which draws on everyone's respective skills and collective problems; mutual benefit projects; designing new projects that are mission-aligned and/or mission-critical; getting partnerships of the ground and testing them project-by-project; creating overlap and merging across fields through joint projects (i.e. food security and energy independence)</p>	<p>Championing win-win opportunities and low hanging fruit collaborations depending on need/demand</p>	<p><b>Continuously identifying/Exploring and implementing joint projects with (ecosystem) partners that add value</b></p>	
<p>Learning a lot together and doing it collectively; working with community partners to build capabilities; need to learn from partners, and engage partners in areas that are not core capabilities;</p>	<p>Learning a lot together and doing it collectively (i.e. setting up a network of almond producing and processing companies across Alvelal territory, or learning to commercialize community enterprises); need to learn from partners, and engage partners in areas that are not core capabilities (i.e. building the capabilities to export almonds across Europe); learning fest organized with partners to foster exchange and learning between landscape partners; facilitating learning across landscape partners, and actively making the connections between partners;</p>	<p>Learning a lot together and doing it collectively; working with community partners to build capabilities; engage partners in areas that are not core capabilities (i.e. every organization has a different set of strengths and weaknesses and barriers and obstacles to overcome); accessing resources from other partners, a partner would otherwise not have access so;</p>	<p>Engaging and learning from partners and through deliberate partnerships to build new skills, new expertise and competencies</p>		
<p>Willingness for quick iterating but with a shared goal in mind (i.e. iteration in the education space to test the STEAM Center; or commitment of partners to Yard partners to experiment getting new hires from the Employment Center); having a culture around responsible learning and experimentation; thinking differently about how to engage partners and stakeholders and trial new approaches (i.e. digital signage across the yard, education and innovation and workforce development);</p>	<p>Willingness for quick iterating but with a shared goal in mind; develop new and different business related to landscape restoration; trying for the first time to buy machinery which can be co-shared; roll out the 4-Return framework with landscape partners; working on a project by project basis, experimenting, and learning by doing;</p>	<p>Launching joint projects, and learning by doing; rolling and running with the projects; piggyback off of previous ideas and projects that come along; exploring a new project (i.e. cultural and regenerative tourism) which may become a new SSP pathway;</p>	<p>Active and (rapid) trialing or iterative learning of new solutions, new ideas, new projects</p>	<p><b>Iterating and experimenting continuously with partners/providers on joint projects to add value</b></p>	
<p>Rapidly prototype and see where it goes from there; things can be done differently than has been done elsewhere so far; using the place as a test bed for testing new products/services;</p>	<p>Using the place as a test bed for testing new products/services (i.e. this new workshop, this new activity or that new colloquium); using the Alvelal territory as a place to test landscape initiatives (i.e. referral station, shared kitchen) and new 4-Return enterprises; put theoretical 4-return framework into practice and test it; not forgetting the strength that comes from testing the 4-Return approach;</p>	<p>Using the place as a test bed for testing new products/services (i.e. new land management strategy, Moby the mobile greenhouse); using Southeast Alaska as a place to test new initiatives (i.e. in composting, community kitchen, Triple Bottom Line-enterprises);</p>	<p>Using the place as a test bed for prototyping new ideas and solutions on a small scale</p>		
<p>Willing to try things and see how they go, and then decide where to grow it from there, rather than trying to form the perfect partnership; partnership tailored to needs and problems to solve together as quick as possible (i.e. educational partnership happened through small iterations being able to work with, and able to change programming based on partner iteration and based on business demand); allowing the partnership to evolve to allow new iterations and learning;</p>	<p>Using the first iterations of community enterprises as a stepping stone to evolve and learn by doing; constant process to evolve and deepen the overall strategy; partnerships are not necessarily structured relationships but evolving, fluid and in order to help each other out; being pragmatic and agile to allow the partnership to evolve;</p>	<p>Allowing the partnership to evolve to allow new iterations and learning; new add value projects build on the success of the previous (i.e. reforestation of land and preserving natural habitats) so that the surrounding community can benefit from the natural resources; willing to try things and see how they go, and then decide where to grow it from there, rather than trying to form the perfect partnership (i.e. Moby the mobile greenhouse); being flexible with how projects are put together, initiated or implemented; small scale and successful projects create a safety net and reduce risks for other communities to test and try the project;</p>	<p>Flexibility to try new things and seeing how things will go instead of having a perfectly planned partnership or project</p>	<p><b>Evolving continuously through new and joint projects</b></p>	<p><b>B. Iterating, Experimenting, Learning by doing through joint projects</b></p>

<p>Allowing ideas for potential new projects to emerge organically from the bottom up or more carefully curated from the top down; reconceiving the fundamental of the partnership as a partnership evolves organically;</p>	<p>Relations with other stakeholders form from the bottom up towards a higher goal; relationships evolving from informal into a formal agreement and relationships;</p>	<p>Start with locally led small scale projects that then can evolve to having a life of their own; the network focuses on local community needs first, and waits and listens to what the community brings and asks for instead of pushing projects from the top down; allowing ideas for potential new projects to emerge organically from the bottom up (i.e. cultural tourism);</p>	<p>Openness to top-down and bottom up projects and/or relationships that emerge whilst being responsive and committed</p>		
<p>Working closely with partners to ensure that job placement goals and metrics are being met (i.e. BNYDC worked deeply with community-based organizations, with the leaders of the public housing developments that are right by the Yard to recruit 700 people to apply for Wegman jobs); creating employment opportunities and ensuring new hires; looking for customized training programs that can lead to training people on the job;</p>	<p>Looking to create new farming jobs; launching initiatives that have social and economic job creation angles (i.e. tree planting for part-time workers)</p>	<p>Job creation is not a sole focus or metric that it reported; tracking the number of jobs that have been created through joint projects (i.e. constructing affordable houses); joint projects have employment creation goals (i.e. number of construction jobs created); finding the jobs that fit within and respond to local community needs for jobs;</p>	<p>Creating and tracking how many jobs have been created through projects and funding</p>		
<p>Identifying the right type of partnerships (i.e. partnership with Wegmans) that can add value for the community and can benefit from the existing resources (i.e. affordable manufacturing or startup space, recruitment services, networks); tapping into every opportunity to work with organizations that can create jobs; proactively looking for events, training and other ways to connect and meet actors working in this public space looking for or hiring for jobs (i.e. offering hiring services to Yard tenants; working deeply with community based organizations, with the leaders of the public housing developments to recruit (i.e. 700 people to apply for jobs in the Yard); Offering customized job training: so as there are needs within the Yard for certain skills, being able to build those skills within the local community; integrating into the design of the project job placement metrics;</p>	<p>Creating jobs and income generation in the rural landscape through joint projects; supporting 4-Return and community enterprises to create income incentives; help rural population to reduce dependence on agricultural subsidies and become more entrepreneurial and increase economic activities (i.e. set up new restaurant, and new business); offering technical assistance and entrepreneurial support for the creation of new ventures integrating the 4&gt;Returns framework (i.e. using the Lean Canvas to setup eco- and agritourism enterprises)</p>	<p>Making small loans to local entrepreneurs and offering financial literacy and personal financial programming; giving direct funding to natural resource academies to build some technical training for workforce needs; network focuses on economic and social well-being of South Alaskans by supporting the set-up of triple bottom line businesses that invest, create jobs and hire in South East Alaska; investing in small scale businesses and small scale industry (i.e. eco-tourism, small scale mills) that can create jobs and staff locally; offering intensive boot camp training and business support services (i.e. Path to Prosperity program offered by anchor organization Spruce Root) to triple-bottom line and community enterprises (i.e. composting food waste, food harvesting, local mills, fisheries); offering local businesses contracts to turn waste wood into biomass and add to local energy;</p>	<p>Offering resources and targeting specific types of enterprises that could potentially create jobs or other rewards.</p>	<p><b>Increasing the capacity of the workforce through localized economy strategies</b></p>	<p><b>C. Mainstreaming Inclusiveness</b></p>
<p>Through workforce development, internships, mentorships, trainings offering career advancement within Yard tenant companies (i.e. from the welder to the MIT graduate); work closely with education partners to offer educational programs at elementary and high school levels to fill skills gaps; Focus is on candidates and talent rather than just getting a job (i.e. not just about job seeker connecting to a job, it's also about candidates and talent and opportunities);</p>	<p>Focusing on the role of women (i.e. gender mainstreaming) in rural areas to better integrate them in the rural economy through programs and training; focusing on the role of people with disabilities to better integrate them in the rural economy through programs and training;</p>	<p>Through workforce and education development, internships, mentorships, trainings offering career advancement to Southeast Alaskans; proactively looking for training and apprenticeships (i.e. in blacksmithing, energy leadership program, hazmat certification) to train the current workforce; partners work across focus areas and across communities using the projects as vehicles to advance youth and workforce development initiatives and build new skills; provide workforce development opportunity (i.e. training) for local youths to build and gain advanced construction skills by building a tiny home using as much regionally sourced forest products as possible; compensate indigenous food harvesters with ancient knowledge and expertise to transmit their skills, knowledge and expertise to new generation of food harvesters so that they too can have a livelihood;</p>	<p>Offering and creating access to on the job training and opening up economic opportunity to low skilled work and high skilled workers.</p>		
<p>Joint project between partners (i.e. the high schools, the Department of Education, and BNYDC to launch the STEAM center) to support high school juniors and seniors, to learn the types of skills that are needed in the Yard, and employment more generally; Thinking about what sectors, what businesses can offer and create opportunities for career advancements; engage with partners and make sure providing information about opportunities to underserved stakeholders, but also then helping to bridge any skills gap that may exist for those stakeholders; create exposure to viable career technical and education pathways;</p>	<p>Successful business cases are used to help inspire and train those qualified and interested to become 4-Return entrepreneurs; organizing training, courses and workshops in agroecology and eco-tourism to professionalize especially young farmers;</p>	<p>Building new technical skills in local community for improved job access is an integral part of project design and project activities; building the ecosystem and creating programming and opportunities for workforce development and technical capacity building to grow; targeting youth from schools to learn how to operate a GPS, flying a drone for forestry managements or teaching financial and business literacy skills; prepare youth and students for future careers in natural resources and science based job exploration; investing in soft skills; workforce development projects focus on organizational successions and for new generation of leaders to occupy different levels of leadership or responsibility;</p>	<p>Project design providing citizens/communities with new skills, training and abilities for better job access for those who need it the most or most qualified</p>	<p><b>Including/engaging surrounding and/or disenfranchised populations and/or addressing socio-economic needs of the community</b></p>	

<p>Partners having a pulse on what's happening in a particular neighborhood and wanting to increase vitality; partners make sure that they're on the front lines advocating for the things that that a neighborhood needs, for example a new supermarket, or a STEM High school; engaging the disenfranchised for long-term economic development; designing and implementing solutions (i.e. setting up a supermarket) in underserved communities and areas; being inclusive with the surrounding community about distributing benefit; creating economic inclusivity by creating economic activity;</p>	<p>Partners having a pulse on what's happening in Alvelal territory and wanting to increase vitality and then making sure that they're on the front lines advocating for the things that Alvelal territory needs; focusing and including young people with the risk of being excluded from society; engaging the disenfranchised for long-term economic development; creating economic inclusivity by creating economic and ecological activity among underserved population living in rural areas; repopulating Alvelal territory and offering young people an interesting future in the territory;</p>	<p>Partner organizations wanting to increase participation, engagement and representation of tribal organizations in areas that matter to tribal communities; local partners having a pulse on what's happening in their local communities and wanting to increase vitality; partners make sure that they're on the front lines advocating for the things that the local communities' needs; engaging the disenfranchised for long-term economic development; designing and implementing solutions in underserved communities and areas; being inclusive with the surrounding community about distributing benefits derived from joint projects; creating economic inclusivity by creating economic and ecological activity in underserved indigenous communities with high rates of unemployment; the network itself can be used as a tool to create more equity (i.e. to pass through resources, to redirect funders and policy-makers);</p>	<p>Re-enfranchising strategies that pay particular attention to questions of social justice, equity, economic vitality</p>		
<p>The development and upgrading infrastructure (i.e. upgrading existing infrastructure for better community access, Building 77 and Building 92) to allow better community access; continuously think about ways to better engage (i.e. finding touch points with) the public and allow participation; opening up the space to the outside community; tapping into every opportunity with partners to get to the people most benefit from the projects; reduce barriers for the existing workforce to access jobs;</p>	<p>The development and upgrading of landscape infrastructure (i.e. regenerative farming or land restoration to attract ecotourists) to allow better external tourism access; continuously think about ways to better engage (i.e. finding touch points with) the public and allow participation (i.e. bringing tourists with a special sensibility for culture, food and local people in Alvelal territory); organizing organized hikes that connect neighboring comarcas and wider public to Alvelal territory; tapping into every opportunity with partners to get to the people who will most benefit from the projects (i.e. children from public schools located in Alvelal territory, women working in rural areas, or helping people with disabilities with jobs); reduce barriers for the existing workforce to access jobs by helping to set up 4-Return and community enterprises;</p>	<p>Continuously think about ways to better engage (i.e. finding touch points with) the public and allow participation (i.e. cultural tourism or regenerative tourism across the local communities); tapping into every opportunity with partners to get to the people most benefit from the projects; enabling community partners who may not be as well-resourced or have the capacity to seek additional resources to access resources in the same way; enabling partners feel they belong in the network, and they have a seat at the table, and that the table belongs to them; joint projects have touch points with wider community members including local schools and local businesses;</p>	<p>Integrating into the design of a project different aspects of indigenous community capacity or community empowerment</p>		
<p>Sharing a collective vision about the place and what it means to be at the Yard; crafted a direction and then working with partners to move toward that vision; clarity about what this network/ecosystem is about and what it means to the partners that are part of the network/ecosystem;</p>	<p>Pursuing the same interests (i.e. to retain population to increase welfare, to increase prosperity); co-creating a collective vision about the place and what it means to be in Alvelal territory (i.e. collective vision about the territory for the next, 5, 10, and 20 years); having clarity on what is to be achieved;</p>	<p>Funding acts as an incentive to motivate and foster shared commitment, shared understanding and expectations about partner or host organizations; anchors articulate and frame an overarching vision and philosophy about how the partnership convene and how it does projects; sharing a collective vision about the place and what it means to be in Southeast Alaska; anchor organizations articulate a common vision across focus areas or pathways; the network comes together, partners worked on collective vision as a group creating a sense of collective need across partners; collective vision act as a binding agent;</p>	<p>Crafting/Articulating a shared vision among partners based on needs, shared understandings and expectations (as a means to motivate and foster commitment among partners)</p>		
<p>Increasing understanding of the mission and providing guidance around it; rally around and mobilize together around particular issues that matter to partners; rally around a shared vision and understanding about the opportunities associated with this place; collective efforts are derived from a shared vision;</p>	<p>Re-imagining together the place; shared intentions to achieve goals; collective efforts, including communicating or advocating key stakeholders, moving in the same direction; rally around and converge together around particular issues that matter to partners; collective efforts are derived from a shared vision; rally around a shared vision and understanding about the opportunities associated with this place;</p>	<p>Partner organizations participate in network activities; shared understanding of the network being a process driven network as opposed to a project or product oriented network; partners crafting a direction and then working together to move toward that vision; collective action network that is open to any organization that is willing to commit to the SSP approach; network participants express themselves through a common vocabulary (i.e. program pathways, Wooch.Een (meaning getting down to what needs to get done), and triple-bottom line enterprises); mission/vision is front and center to gatherings, communications and storytelling;</p> <p>Identifying as a member of the network thanks to dedicated grant support, shared funding pool, or shared salary support for catalyst positions and community and regional organizations; identifying as a catalyst partner in the network; newcomers are embedded and immersed in a shared language or common vocabulary (i.e. pathways, Wooch.Een (meaning getting down to what needs to get done), Kuxhadahaan Adaayoo.analgein,</p>	<p>Rallying around a shared vision and understanding among partners</p> <p>Over time partner organizations start identifying themselves as a member or partner of the network</p>	<p>Building and/or sharing a collective vision and acting on it</p>	<p><b>D. Building Coherence Processes</b></p>

<p>Launch of joint partnership-projects implemented with joint inputs from partners (i.e. launch of the Brooklyn STEAM Center and Wegmans supermarket; City Tech refocus of summer internship program on STEAM related activities and engineering degrees); working into each others' infrastructure to launch joint projects; partners are aligned across divisions that have come together into symbiotic relationships and interests; close connection and baked into each other;</p>	<p>Launch of joint partnership-projects implemented with joint inputs from partners (i.e. TUI group project on regenerative agriculture); disagreeing on details, but aligning with the vision; 4-Return and community enterprises align with the mission of the anchor organizations (i.e. Commonland and Alvelal); close alignment between different partners because they need each other;</p>	<p>Launch of joint partnership-projects implemented with joint inputs from partners; disagreeing on details, but aligning with the vision of strengthening communities claimed to be working towards; integrating and building into each other's' projects; partner organizations' goals and mission align with that of the SSP and its pathways/programming; collaboratively building the ability of a project to succeed;</p>	<p>Launching mission-aligned and joint projects that overlap or have touch points between different areas or organizations, or sharing the same ethos and values</p>	<p><b>Aligning of (different) organizational mandates/interests into a symbiotic relationship</b></p>
<p>Working closely together; requiring partners to do the legwork together; mechanisms in place that if something's going south to course correct, and make sure to get to good outcomes; close coordination of partnerships between partners across multiple levels; engaging stakeholders and donors by communicating in a way that shows the alignment across the various organizations;</p>	<p>Working closely together; engaging stakeholders and donors by communicating in a way that shows the alignment across the various organizations in the event of a doubt or insecurity; sharing information to ensure good coordination; getting stakeholders on board and aligning them strategically with what is needed;</p>	<p>Engaging with key partners in network level decision-making; steering committee helps to coordinate multiple funding streams and allocating resources; coordinating project activities and incorporating a significant amount of community input; partner organizations devoting time and energy to coordinate workforce development initiatives across the network to directly deliver services and programming; proactively sharing information among partners; having an entity that coordinates joint efforts;</p>	<p>Close coordination and engagement between partnering organizations to ensure being on the same page</p>	
<p>Development of places (i.e. the New Lab, Building 77 or Building 92) to convene and to allow walk in from outside of the Yard to access companies and restaurants and to meet up; spaces to convene, interact and exchange and connect with stakeholders; being on the look-out for add value opportunities for stakeholders through events, gatherings, exhibits (i.e. community programming, exhibits, holiday markets, lunch and learns);</p>	<p>Development of spaces (i.e. agro cafés, rutas, general assemblies, or workshops) to convene and to meet up; organizing open days, training and technical workshops; spaces to convene, interact and exchange and connect with stakeholders;</p>	<p>Creating holding or safe spaces to convene, interact and exchange and connect with stakeholders (i.e. network and non-network partners); organize annual retreats to foster participation and promote a sense of belonging across disparate stakeholders; create spaces for partners to work through their issues; making a space that works for everyone who is part of the network; virtual monthly gatherings become hubs for sharing stories, opportunities and participate; creating safe or holding space for previously hostile organizations to work through issues;</p>	<p>Creating shared places and spaces to interact and exchange through events, gatherings, meetings</p>	<p><b>Reaching out/communicating/Interacting with outside and inside of the network stakeholders</b></p>
<p>Being deliberate and intentional getting the message out about the work done through fundraising, community outreach, advocacy, grassroots campaigns; open book and transparent in terms of project updates, and private project data (i.e. being good stewards); clearly articulating and explaining what this place is about and what one can expect from its little ecosystem that helps to support businesses and their goals;</p>	<p>Using media as a way to communicate and raise awareness about what is being done across Alvelal territory; launch of a grassroots education campaign in public schools; open and transparent in terms of project updates, and private project data (i.e. being good stewards, being truthful); regular outreach through social media posts, newsletter and blog; organizing hikes (i.e. rutas) across the territory; clearly articulating and explaining what this place is about and what one can expect from its little ecosystem that helps to support businesses and their goals;</p>	<p>Being deliberate and intentional getting the message out about the work done in this place (i.e. Southeast Alaska) with SSP partners; open book and transparent in terms of project updates, report, and private project data (i.e. being good stewards); using the website, blog posts and media content in order to communicate publicly what is being done in this network and across the territory; promote the SSP and its work by setting up information booths during fairs and community events.</p>	<p>Looking for opportunities to raise awareness and communicate formally about what is being done inside with partners and outside to the space with partners, and being open and transparent with data and project updates.</p>	
<p>Outreach through email, events, in person visits, regular meetings, lunch and learns, happy hours, training inside the Yard, and also outside of the Yard through public meetings with public housing developments, connecting and meeting with community-based organizations; Regular (formal and informal) meetings, meet-ups organizing regular check-ins and ad hoc meetings based on need; informal and formal meetings with partners; public briefings; monthly meetings;</p>	<p>Weekly team meetings; regular meetings with investors and donors; regular meetings with partners; regular field visits to the landscapes; formal and informal meetings and dinners with stakeholders; attending events, in person visits, public meetings with partners; connecting and meeting with partner organizations; organize a catch up and circle back what is happening;</p>	<p>Outreach through emails, newsletter, in person visits; regular meet-ups and organizing regular virtual check-ins and ad hoc meetings based on partner need; informal and formal meetings with partners; monthly network meetings to discuss projects and offer updates;</p>	<p>Doing outreach through regular (formal and informal) meetings, meet-ups, check-ins and phone calls, newsletters, info sessions for exchanging and learning</p>	<p><b>Constant cultivating/Steering of ongoing and effective relationships</b></p>
<p>Being in constant or very frequent communication and being accessible to partners; discipline of actually maintaining points of contact across the right levels of communication;</p>	<p>Being in constant or very frequent communication and being accessible to partners; discipline of actually maintaining points of contact across the right levels of communication;</p>	<p>Being in constant or very frequent communication and being accessible to partners; discipline of actually maintaining points of contact across the right levels of communication; proactively communicating across partners about what is going on and extending opportunities;</p>	<p>Being disciplined about maintaining points of contact</p>	
<p>Ongoing and regular engagement with partners working on ideas and projects together (i.e. different formal and informal forums like in the workforce community where different partners convene at different times); organizing weekly calls to keep partners on schedule; regularly discussing what works and what does not work;</p>	<p>Organize strategic planning meetings with stakeholders; organize regular meetings with partners and invite them to workshops and training; organize formal planning meetings;</p>	<p>Organizing and designing work plans together; preparing impact reports about the network (i.e. Impact Evaluation-report, or Value of Collaboration-report); organizing ad hoc thematic meeting and/or monthly calls (i.e. monthly network Zoom calls) to keep track of progress on projects, address project problems through workshops;</p>	<p>Organizing regular and ad hoc meetings and reports with partners to stay abreast</p>	<p><b>Making sense together</b></p>

Partners reflect on what has worked and what has not, (i.e. organizing state of unions to discuss problems); Partners having meetings to co-design new solutions together based on needs and engaging in meaningful dialogue; flushing out the problem together, and/or then designing solutions together;	Partners reflect on what has worked and what has not, (i.e. organizing monthly skype calls with partners); learning to share and to exchange; partners having meetings based on needs and engage in meaningful dialogue to recognize mistakes and learn from them; flushing out issues in relation to the partnerships;	Regular practice of revisiting whether partners still agree on the same things and working through potential disagreements and solving together (i.e. contentious Roadless rule to not build roads inside conservation land); partners reflect on what has worked and what has not, (i.e. organizing meetings to discuss problems); partners having meetings to solve problems together based on needs and engaging in meaningful dialogue (i.e. offering creative and constructive criticism); organizing thematic virtual meetups to co-create with partners key concepts, values and meaning (i.e. regenerative tourism for Southeast Alaska and the SSP);	More than just updating on progress, and keeping stakeholders abreast, but actually ongoing engagement, seeking input and working with them on new ideas (or working through the problems together and/or then designing solutions together)	
Set-up of tenant advisory groups; set up of committees or steering groups; roles to manage the partnership; set up of committees; getting a (i.e. NYCHA hiring) a zone coordinator to help with a partnership; outreach associates; board;	Hiring a person who will be a bridge-builder between the key partners; hiring a person who will be interlocking directly between partners and the farmers; the board and chairman; an operational group across multiple organizations to help manage the partnerships	Program director for the Sustainable Southeast Partnership; regional and local catalysts; local and regional catalysts who perform programmatic functions across the SSP; set-up of steering committee across and with partner organizations to give strategic direction and take key decisions; set-up technical committee for natural habitat restoration projects; strategic planning committee; thematic committees;	Establishing shared structures and procedures to manage the partnerships	
Deep sense of accountability through annual or quarterly board meetings and constantly asking whether mission is being fulfilled; tracking projects and collect data to help achieve goals (i.e. design metrics and evaluate whether metrics are on track); projects help achieve key numbers and have (rigorous) reporting mechanisms; mutual expectations about delivery;	Managing a partnership requires good project management; tracking projects and collect data to help achieve goals (i.e. design metrics and evaluate whether metrics are on track); projects help achieve key numbers and have (rigorous) reporting mechanisms; share results/outputs;	Capture input and knowledge in reports and briefings (i.e. about blueberry and deer habitats, or measurable best practices on timber, salmon and deer production, local economic development and improved watershed health) in a way that would make it helpful for partners to do their jobs and sharing it widely with partners; monthly meetings and minutes/notes taken are opportunities to share knowledge and transfer lessons learnt;	Sharing or dissemination of lessons learnt and/or offering direct advice and support to groups that could benefit from the knowledge/expertise	<b>Being accountable (shared accountability, individual responsibility for the social mission)</b>
Recognizing organizational roles and how they help the collective or coalition to thrive; collective responsibility; shared responsibility and interdependence because projects overlap between areas and partners; building mutually beneficial relationships to continue creating new opportunities or build on existing ones requires joint efforts; acknowledging the other organizations as key for mutual success; reciprocity;	Recognizing organizational roles and how they help the collective or coalition to thrive; shared responsibility and interdependence because projects overlap between areas and partners; acknowledging the other organizations as key for mutual success; reciprocity; signing of mutual agreements to formalize roles; mutual expectations between individuals;	Conducting research, collecting and documenting insights; doing data analytics (i.e. data, charts, trends analysis); availability of internal database to access all project reports (i.e. Google Drive, or Slack channel);	Conducting research, collecting data and/or building a repository of knowledge	
Getting feedback, ensuring active participation, including others' opinions, diversity of thought when designing projects; making decisions through consulting partners (i.e. community groups, the housing development leader, elected officials and getting input from all of them); having amorphous conversations, talking about general pain points, and then doing brainstorming together; open transmission of ideas and different views;	Design solutions with partners to ensure a broader base and more acceptance of local base and local stakeholders to get more acceptance and buy-in; getting feedback, ensuring active participation, including others' opinions, diversity of thought when designing projects with stakeholders; talking about general pain points, and then doing brainstorming together; open transmission of ideas and different views without judgment; include comarcas and ensure their participation and representation around the issues faced in the territory;	Getting feedback, ensuring active participation, including others' opinions, diversity of thought when designing projects; making decisions through consulting partners (i.e. conservation groups, tribal corporations, state government, local tribal community organizations); having amorphous conversations, talking about general pain points, and charting together a path forward; making sure that key stakeholders aren't left out and ensuring that community priorities are heard, respected and supported.	Getting feedback, getting buy-in, active participation and gauging insights, different opinions from different backgrounds, and involving diverse groups, individuals and organizations	<b>Generating/Fostering/Integrating different kind of thinking, ideas and solutions</b>
A new way of doing things and showing step by step results to help convince stakeholders; encouraging to have many conversations about new ideas and new projects but always on mission; support new areas that have not traditionally been thought of as synergistic (i.e. setting up a supermarket inside an industrial complex, supporting the merging between the fields of workforce development and education);	Support new areas that have not traditionally been thought of as synergistic (i.e. landscape restoration and community enterprises); help traditional farmers use knowledge (i.e. through workshops and training) to convert traditional farms into ecological ones; using Theory of U-method to facilitate interactions and meetings between stakeholders; introducing and implementing the Commonland methodology; using demonstration farms as success stories to change the mindset and integrate new solutions;	A new way of doing things and showing step by step results to help convince stakeholders (i.e. shared values, shared vision, shared way of doing things); support new areas that have not traditionally been thought of as synergistic (i.e. localized economies and conservation of land); introducing triple bottom line thinking and model to change the mindset and integrate new solutions for land and resource management; using indigenous processes and rituals to inculcate a recognition that if partners don't pull together, progress won't happen (i.e. Wooch.Een (meaning getting down to what needs to get done) or Kuxhadahaan.Adayoo.Analgaint (meaning stop, observe, examine, act in Tlingit)); using demonstration projects as a tool to reduce fear in another local community to try the project;	Facilitating the introduction of novel ideas, solutions, procedures, options	

<p>Capture input and knowledge - for example labor market information - in a way that would make it helpful for partners to do their jobs and sharing it widely with partners; put in place mechanisms that can measure and evaluate progress and measure failure and to then feed the outputs of that into the hands of people who can make decisions differently;</p>	<p>Share knowledge through external knowledge platform (i.e. MOOCs available on Coursera) - in a way that would make it helpful for partners to do their jobs and sharing it widely with partners and beyond; organize events to share the lessons learnt to help farmers with their operations; organize knowledge transfer days; capture and adapt learning and translate into an updated or a new strategy including all the previous key learning;</p>	<p>Capture input and knowledge in reports and briefings (i.e. about blueberry and deer habitats, or measurable best practices on timber, salmon and deer production, local economic development and improved watershed health) in a way that would make it helpful for partners to do their jobs and sharing it widely with partners; monthly meetings and minutes/notes taken are opportunities to share knowledge and transfer lessons learnt;</p>	<p>Sharing or dissemination of lessons learnt and/or offering direct advice and support to groups that could benefit from the knowledge/expertise</p>	<p><b>Capturing/Codifying Knowledge</b></p>	<p><b>E. Building (place-based) Network Resources</b></p>
<p>Conducting research, collecting and documenting insights, learning and data through focus groups, multiple design days or planning days, (public) consultations, surveys; data analytics (i.e. data, charts, trends analysis)</p>	<p>All learnings are documented and shared through Dropbox; sharing the results of the farm trials; collect the deeper learnings from other landscapes and integrate them in a lived framework, rather than a theoretical one; conducting research with research and academic institutes; capturing the results of the trials performed on the farms;</p>	<p>Conducting research, collecting and documenting insights; doing data analytics (i.e. data, charts, trends analysis); availability of internal database to access all project reports (i.e. Google Drive, or Slack channel);</p>	<p>Conducting research, collecting data and/or building a repository of knowledge</p>		
<p>Creating community assets (i.e. Building 77) as part of an infrastructure upgrade to create ties and bonds between community members; access to extraordinary physical asset (i.e. 300 acres of land on the Brooklyn waterfront); infrastructure upgrades that are capital intensive; upgrading public land, existing real estate upgrading; creating new public spaces;</p>	<p>Physical upgrade of Alvelal territory through regenerative agriculture, restoring biodiversity and landscape restoration; regenerating Alvelal territory; access and upgrading physical asset (i.e. Alvelal territory); infrastructure upgrades that are capital intensive (i.e. a shared kitchen, a shared processing center)</p>	<p>Joint projects that upgrade and restore the natural habitats and forests; conservation activities across the Tongass national park; using new knowledge about forest and watershed management to develop new strategies around natural habitats for mutual benefit; the network provides a framework to think about people and place and integrates the environment as part of value driven work; physically upgrading buildings for community use (i.e. community kitchen, community center); collaborative management model that focuses on the community use of Southeast Alaska land base;</p>	<p>Deployment, reuse and revival of physical infrastructure as a shared resource.</p>		
<p>Co-designing and co-creating solutions together; reimagining, re-shaping, cultivating and enriching their environment with new, useful and innovative ideas and solutions, and reaping shared rewards together( i.e. known as 'gift-gets'); sharing learning experiences (knowledge) to improve each other's enterprises or operations; increasing shared understanding of needs to draw in partners and deliver on the idea that together partners can create new knowledge and have something (new) to offer; collecting and sharing new collective and interdisciplinary knowledge (i.e. surveying tenants to bring contract manufacturing as a new amenity for Yard tenants in an adjacent building, or shared learning in workforce development)</p>	<p>Reimagining, re-shaping, cultivating and enriching their environment with new, useful and innovative ideas and solutions, and reaping shared rewards through community enterprises (i.e. La Almedrehesa) that can help improve the partnership or improve the individual enterprise's operations (i.e. sustainable farming and sustainable business cases; acquiring capability to access international markets); designing and co-creating solutions together to get more acceptance and buy-in (i.e. landscape restoration masterplan); through landscape initiatives reaping shared rewards (i.e. new sustainable supply chains); establishing new and collective knowledge on regenerative techniques; co-designing and co-creating annual or 5-, 10-, 20-year landscape strategies;</p>	<p>Leveraging the wisdom and knowledge of the broader network (i.e. iceberg challenge, when someone from a partner organization gets to pick a different problem to work on with others from the network on a monthly basis); co-designing and co-creating solutions together; joint projects are collaborative efforts in form and informed by SSP collaborative approach (i.e. Hoonah Native Forestry Partnership, Moby the mobile greenhouse etc.); joint projects have the DNA of the SSP; building the act and practices of collaboration and the frameworks that are developed for working through together; sharing learning and experiences to improve and help each other's' organizations or operations; reimagining, re-shaping, cultivating and enriching their environment with new, useful and innovative ideas and solutions, and reaping shared rewards through community enterprises (i.e. triple-bottom line enterprises); the network acting as an incubator for entrepreneurs; working through the partnership helps facilitate new community enterprises to be set up and help enterprises' operations; partners fundraising for and getting access to a network fund; tap into shared resources and shared tools and frameworks for doing the work at the local level;</p>	<p>Partners using and combining resources to pursue opportunities together and/or addressing needs together creating new and shared resources which they would otherwise not be able to access or acquire</p>		
<p>Accessing the ecosystem - for partners to be close to each other in terms of the social network; using the physical space to connect organizations inside and outside of the space; building relationships between underserved community and network of professionals; weaving into each other like a web of connections;</p>	<p>Building a strong network of local contacts; a network of friends, and bringing together friends of friends; learning to be part of a network and managing network projects; learning how to manage a network of partners; being part of a social network that shares knowledge and learning about landscape restoration;</p>	<p>A pure network without formal legal structure or dues paying mechanisms; increasingly seeing the value of collaboration and increasingly participating the SSP-way; it is a network that allows to access and connect with meaningful and functional relationships, and resources and to leverage those relationships and resources for meaningful work; collectively getting better at working together;</p>	<p>Establishing and developing a web of relationships between internal and external stakeholders which can be leveraged for growth and development</p>		

<p>Looking for opportunities, including conversations, dialogue and actual programming to increase the impact of a project; reflecting on how to increase the performance of stakeholders; scaling outside of the bounds of the initial projects; Looking for ways to expand the footprint and be more meaningful;</p>	<p>Looking for opportunities, including conversations, dialogue and actual programming to increase the impact of a project (i.e. scaling 4-Return enterprises in other sectors; RISE, a sustainable farm and farm assessment system); reflecting on how to increase the performance of stakeholders; scaling outside of the bounds of the initial projects; looking for ways to expand the footprint and be more meaningful; increasing the impact of and scaling community enterprises across other parts of Spain and Europe;</p>	<p>Realizing how far a partnership or project has come, and thinking what needs to happen next to scale it; setting up a new financial endowment mechanism to support the network for the long-term; looking for opportunities, including conversations, dialogue and actual programming to increase the impact of a project by looking at other regional initiatives (i.e. conservation and economic development in Canada) with philanthropic partners; expand the network to other non-catalyzed communities of the Southeast (i.e. mini-SSPs); SSP approach inspires other networks (i.e. artist network of Southeast Alaska) to operate in the same way; influencing policy makers and resource managers (i.e. on environmental impact of the SSP projects to help sockeye salmon);</p>	<p>Replicating, expanding the footprint or applying the project itself or various processes, methods, components or solutions in different settings and locations</p>	<p><b>Generalizing the project operation or results beyond the initial context of application</b></p>	<p><b>F. Thinking Forward</b></p>
<p>Partners envision and engage about the future potential of their partnership and project (i.e. thinking about the future of this manufacturing, technology-making, oriented set of industries and how to build long term pipeline of people into those pathways in an equitable way); partners envision future scenarios of more equitable social and economic outcomes of their projects; continuously reframing with partners what the needs are; thinking about how to revamp the space in the future;</p>	<p>Partners envision and engage about the future potential of their partnership and project (i.e. thinking about the future of Alvelal and the territory); partners envision future scenarios for more mutual benefit and mutual learning (i.e. setting up a new EU certification system for regenerative farms); partners reflect on influencing policy at regional, national and EU or UN level;</p>	<p>Envisioning with partners system's change; redefining how catalysts commit to network activities as the funding landscape is shifting; partners envision and engage about the future potential of their partnership and project (i.e. re-imagining how to make this territory thrive, re-imagine the future of the network without having gatekeepers who need to channel funds); envisioning how to get triple-bottom line enterprises to become formal partners of the network; growing recognitions across partners that there is an emerging overlap and merging across fields (i.e. climate change, youth and workforce development) that needs addressing;</p>	<p>Envisioning and/or developing alternative visions and/or engaging stakeholders about current and future needs, expectations</p>		
<p>Regular and proactive communication of progress with and between stakeholders and partners; fundraising is tied to specific achievements; constantly evaluating whether what partners did before or the decisions taken before, are still valid today and if they need adjustments, or references to open discussions and critical dialogue on project development, or formal methods for reporting, monitoring, metrics;</p>	<p>Constantly evaluating whether what partners did before or the decisions taken before, are still valid today and if they need adjustments; references to open discussions and critical dialogue on project development, or formal methods for reporting, monitoring, metrics; regular and proactive communication of progress with and between stakeholders and partners; formalizing landscape processes;</p>	<p>Regular and proactive communication of progress with and between stakeholders and partners; references to open discussions and critical dialogue on network's evolution; formal methods for reporting, monitoring, metrics; iterating forward continually and constantly; constantly reflecting whether a project align with SSP priority areas and whether it is moving in the right direction;</p>	<p>Reflecting on how a project unfolded and shared learning</p>		
<p>Recognizing what does and what does not work in the partnership and how to overcome it; partners understand their respective roles and recognizing they can't act to things on their own and need to collaborate (i.e. we are only as strong as our partners); recognizing where the problems are and how to overcome them (i.e. securing more fundraising and capital investment challenges to go from 20k to 30k jobs);</p>	<p>Recognizing what does and what does not work in the partnership and how to overcome it (i.e. transitioning from an LTD into a cooperative enterprise model; wanting more transparency in how decision are made); recognizing the importance to overcome a challenge in order to succeed in the future (i.e. the association growing to 3000 members); recognizing where the problems are and how to overcome them (i.e. addressing issues around the chairman and the board; having a heterogeneous group with different political, cultural and economic loyalties);</p>	<p>Working on challenges to redefine the partner membership in the network; recognizing the challenge to redefine the role of partners in the network as the funding landscape is shifting; partners are engaging tribal organizations more and doing a better job at including locally based organizations which are tribal organizations in the network; partners recognize the complexity and governing across tribal, state and federal structures that are incentivized for competing interests between tribal corporations, conservationists and local tribal communities; non-network organizations getting involved because of seeing the benefit of the information transfer, even without funding and support; partners understand their respective roles, recognizing they can't act to things on their own and need to collaborate;</p>	<p>Stakeholders rethinking and recognizing what it takes to overcome barriers for a project or initiative to succeed, to scale and growing impact</p>	<p><b>Being reflective and aware of what it takes for a project or initiative to succeed</b></p>	
<p>Building effective relationships to share information; it takes a village to build effective and performing relationships; launching successful partnership and projects requires good will, good intentions, and building trust over time; longevity of partners' support and built trust to get projects off the ground; building trust between individuals working on partnerships; building a sense of camaraderie;</p>	<p>Convening a core-group of people with reputation and credibility; working with partners who know the territory, the context and the problems; local stakeholder network grew strong b/c key to building effective relationships with local stakeholders is that landscape initiative is locally led; working so close with partners that it offers trust; building trust between individuals working on partnerships to share information;</p>	<p>Working with partners who know South East Alaska (i.e. this territory) and the context and the problems; building effective and deepening relationships to share information and break the siloing across structures, organizations and local communities; building trusting relationships between stakeholders that facilitates future and deep collaboration and information sharing between partners who did not use to work together; first it is about building trust among the individual catalysts, and then over time building trust between host organizations and their projects; putting focus on putting relationships first; partners are coming together from places of good intentions; getting the right people onboard; using this way of doing things together as a way</p>	<p>Building trusting relationships between stakeholders that facilitates future and deep collaboration and information sharing</p>	<p><b>Bonding/Linking between partners and building trust</b></p>	<p><b>G. Enabling Mechanisms</b></p>

		to address trust barriers and build-bridges;			
Partners (i.e. community based organizations and individuals who live around the Yard) are very invested in what the Yard can be and have expectations around what the asset can unlock; desire to collaborate to make partnerships work, or waking up every day because partner is passionate about wanting to solve something, or being committed to manufacture locally, or wanting to hire locally; (long-standing) commitment of partners towards certain partnership-projects that are mission-aligned and/or mission/critical; collective efforts as a source of motivation and fueling to work in stimulating space;	(Long-standing) commitment of partners towards certain partnership-projects that are mission-aligned and/or mission/critical; pride, energy and inspiration that can be found locally among stakeholders that there is mutual benefit; motivation to use expertise help the rural populous to thrive; strong dedication; committed to this new way of working together; energy and inspiration among local stakeholders; Regularly making sure that everyone who is a member of the initiative(s) knows why they are working together; at annual retreats, group retreats or at learning fests connect, facilitate learning and exchange between landscape partners what it means to be in this space (i.e. using theory of U methods); as a collective rethink what it means to be in this space;	Wanting to work on issues through partners; strong dedication; committed to this new way of working together; strong commitment of partners towards how they come together and how they collaborate; the network inspires and is seen as a beacon for a better future; calling this place (i.e. Southeast Alaska) our home; enjoying working through the network; Redefining how a nonprofit, a corporation, a tribal government or individual formally or informally defines themselves in the network; host organizations of the network regularly revisit how they come together and work together (and formalize the guiding principles in an agreements) through annual meetings/retreats;	Proactively working with other stakeholders and committed to making this place thrive Leading and driving force organizations and other core organizations on a regular basis as a collective rethinking and revisiting what it means/entails to being a 'member' in this space	<b>Being invested in the network</b>	
Being near the campus; being walking distance from key partners; being in or around the same campus; becoming a close-knit community being are in physical proximity and helping each other out; being a member of the community and being accessible (i.e. easy to reach and meet); sharing offices;	Collaborating with organizations that are not physically in this place that share the same vision; shifting the mindset of stakeholders to share learning and experiences with each other; creating deep and lasting relationships and connections; using new connections, new learning and knowledge as a base for new economic ties; ensuring a coming together of different stakeholders from all over the territory who did not know each other; change happens when stakeholders start sharing the same knowledge and experience; creating closeness and facilitating collaboration between actors who are in the same territory but did not know each other.	Collaborating with organizations that are not physically in this place that share the same vision; shifting the mindset of stakeholders to share learning and experiences with each other; creating deep and lasting relationships and connections; using new connections, new learning and knowledge as a base for new economic and environmental ties; creating closeness and facilitating collaboration between actors who are in the same territory but did not want to work with each other; working repeatedly with partners building shared understanding and shared experiences; communities are spread out and difficult to get to, so it is important to foster exchanges and connect different people and connect to resources;	Creating closeness to ensure that geographic proximity reinforce the bonds, trust and collaboration among partners	<b>Proximity</b>	
	Neighboring farms inside Alvelal territory implementing landscape restoration and regenerative agriculture; farmers who are inside Alvelal territory; being physically inside or near Alvelal territory; working with partner organizations outside of Alvelal territory; working with your neighbor in the pursuit of a common good;	Being near or inside this place where you can get project to align and work together; having a chance to build real relationships with a community that is a stone's throw away; working with local communities based in South East Alaska; becoming a close-knit community in physical proximity and helping each other out; neighboring communities piggyback off of each other's' projects;	Being physically inside or near the same place facilitates or reinforces collaboration		

Table 22: Cross-case summary and final (meta) framework

## 5.2 Analysis and making sense of the final framework on transformative capacity of social alliances

In this section 5.2, I have tried to make sense and analyze the final (meta) framework of Table 22. Specifically, as the reader may recall from Part 3 – General Methodology and section 3.3 Data Collection and Analysis, the research logic has been abductive, and theory triangulation is an important component in this final analysis. *Theory triangulation means that in this final sense-making phase of the research, I have also applied and drawn from existing theories to confirm and explain the analysis and interpretations of the findings (Stravros & Westberg, 2009; Denzin, 2017; Fusch et al., 2018) and my contribution to research in general.*

*I argue that these collective processes in these collective action networks can be distinguished across two types, namely across purpose (5.2.1 Collective processes that drive, arrange and enable the network), and across nature (5.2.2 Collective processes that have territorial, relational and proto-institutional qualities).*

These two types of collective processes are dynamic and inter-connected: they should not be considered as mutually exclusive, but rather as co-existing, overlapping, continuously evolving and interdependent. *One collective process alone will not suffice to produce transformation - it is the combination of collective processes that create transformative capacity of the social alliances.* In section 5.2.3 *Summing up: collective agency and collective processes for transformative capacity at the meso-level* I have recapped and visualized the collective processes at the meso-level. *I finalize with section 5.2.4 The Sandbox, the Lighthouse and the Catalyst-models of collective action network* - offering arguments about the form, formation and the configuration of the collective processes that qualify the social alliance networks.

### 5.2.1 Purpose: collective processes that drive, arrange and enable the social alliances

As the reader may have seen from the final (meta-) framework (Table 22), I have identified 22 categories of collective processes, which I have aggregated into 7 higher order strategic components of transformative capacity. What the case-studies have revealed is that different types of collective processes appear to have different functions. *These 22 collective processes are driving (i.e., processes that improve the inter-relationships, collaboration and coordination of the network), arranging (i.e., processes that help with the management, integration and cohesion of the network), and enabling (i.e., processes that reinforce trust, mutuality and commitment across network partners) these collective action networks.* Different types of collective processes are at play and blend into interdependent purposes.

#### i) Collective processes that drive the social alliance

In the *formative stages of the network*, *anchor(s)* appear to have played a fundamental role in *driving* the social alliances. The anchor(s) form a representative group of fore-runners and rally around a shared vision about what can be done in the respective places through collaboration.

These *fore-running individuals and representatives of key organizations have been at the foundation of collective efforts and working across a diverse and heterogeneous group of organizations* representing

different - and even at times antagonistic - organizations, whilst creating credibility and legitimacy for their collective efforts. In the formative stages, this initial circle of organizations has inspired action through a shared vision and mobilized resources, building deepening relationships and connections across and between sectors and actors.

As I have seen from the case-studies one or more anchor organizations throughout the formative stages of the network have been patrons, and from the beginning have driven the social alliance forward, acted as intermediaries and been proactively involved in building a broad coalition of organizations that constitute the social alliance network. Characteristic of the social alliances, and irrespective of it being the BNYDC, Alvelal, or Spruce Root, these organizations have played an instrumental role leading and stewarding the social alliance. Or, what Vurro, Dacin and Perrini (2010) referred to as cross-sector social partnership promoter without really clarifying what that promotor role entails.

In all three cases *the anchors have performed network functions* including offering network coordination and facilitation, and managing complex relationships; convening and aligning disparate organizations, crafting a shared vision around key partnership-projects, and ensuring that other network partners have rallied around that vision, as well as orchestrated participating organizations in the network. These anchors have acted as conveners, bridge-builders, mediators and gate-keepers, and have ensured that disparate organizations and their respective missions align. These conveners nurture and coordinate, rather than imposing a solution (Alexander, 2018). They navigate divergent and at times competing interests and relationships, which creates ambiguity. And, ambiguity creates uncertainty, and also opportunities for framing (Alexander, 2018) solutions together and improving the inter-relationships.

In the case of the Yard, the BNYDC has managed the 300-acre public land on behalf of its owner, the city of New York, and also offered a number of other key services and amenities in the process<sup>184</sup>. In the case of Commonland, Alvelal has been the nonprofit entity acting as its landscape partner in Spain, and stewarding landscape and biodiversity restoration; and in the case of the SSP, it has been Spruce Root. In all three social alliances also, the leading and driving anchors have been hybrid organizations, either non-profit or for-profit organizations that are mission-driven through social achievements and generating revenues. In the case of Alvelal, the hybrid properties are increasingly emerging, with Alvelal, pursuing more innovative ways to diversify their financial model and sustainability of their work through investments and financial contributions flowing through 4-Return businesses back into Alvelal.

The anchors have carefully executed the vision in partnership with repeat partners whose mission have also aligned with those of the anchors. Over time, other organizations such as in the case of the Yard, the New Lab and the STEAM Center have been taking onboard similar roles associated with the BNYDC.

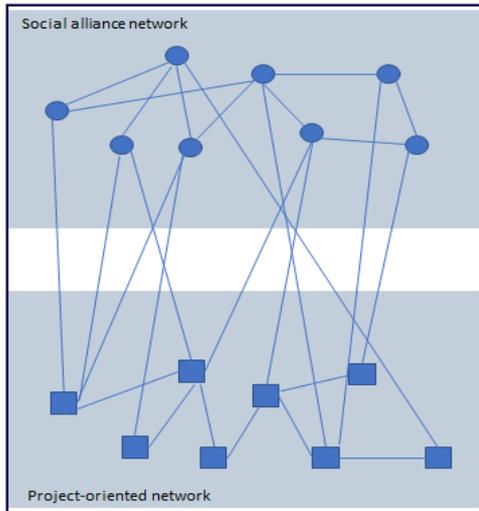
This is something that authors Selsky & Parker (2005) attribute to inter-sectoral blurring or intertwining with each other, which occurs when one organization adopts or captures a role or function associated with another organization. And, also, what Le Ber & Branzai (2010) attribute to role (re)calibration, which happens when organizations take on new roles in response to needs of their counterparts (Le Ber & Branzai, 2010).

Network partners, such as the New Lab, or Sea Alaska, or Alvelal in the case of Commonland, have their own bureaucracies, different funding cycles and financial or donor funding constraints, and different appetites for taking risk. And yet, these organizations too - as network partners - have played a particularly important role throughout the collective enterprising processes offering neutral platforms to convene different stakeholders to launch overlapping projects; and have acted as gatekeepers, or ensured that others rally around the shared vision based on the anchor's crafted needs, shared understanding and expectations. They have ensured being on the same page with others in the network through close coordination, reciprocity and engagement between partnering organizations. This implies that in addition to performing their organizational roles, these key organizations have also started to perform roles attached to and ensure the performance on the network.

The group of fore-runners has also been quite important for the longevity and sustained growth of the network over time. These repeat partners have started iterating, experimenting and learning on a project-by-project basis, whilst aiming to create and achieve economic inclusivity around economic activity. All joint projects have reflected opportunity recognition for quick wins between network actors, and can be top-down as well as bottom-up initiatives. This has also created a perception that the social alliance's work is never really finished.

This pursuit of multiple collaborative projects with repeat partners, aligns with and at the same time feeds into key programmatic pathways, and a characteristic that has also been confirmed in the existing literature in what makes these collective action networks, networks. At inter-organizational meso-level a network is formed through a set of overlapping ties with a project-oriented network of organizations (Nohrstedt & Bodin, 2019). The social alliances are not driven by a sole-theme. Complex problems are examined from a multi-dimensional and comprehensive lens across synergistic interventions.

The project by project alignment between various organizations also corresponds with, and has been accentuated by a number of key social alliance authors in academic and business literature alike, confirming touchpoints with the type of social alliance that best depicts the social alliances that I have studied. *In particular, these high impact social alliances have aligned with the definitions of Selsky & Parker (2005, 2010), Seitanidi (2008), Calton et al. (2013), Montgomery, Dacin and Dacin (2012), Trujillo (2018): seen as inter-organizational networks that can produce pattern-breaking change (from incremental change, to reform and transformation), and addressing social issues through ongoing engagements between partners representing different sectors.*



**Figure 6: Adapted and simplified representation of multi-level, inter-organizational network and overlapping ties with project-oriented networks adapted from Nohrstedt/Bodin (2019, p.4)**

The continuous project-by-project iteration has a number of advantages. First, it has enabled experimenting and testing on a small scale, and second, it has offered flexibility and also reduced risks. The disadvantage is that there have been many initiatives and projects launched at the same time across sectors and between partners at different levels. This has created a large pool of projects and initiatives at multiple levels that has also required management and coordination.

#### ii) Collective processes that arrange the social alliance

Other collective processes have appeared to arrange the social alliance or ‘ordering’ it into a more cohesive and integrated entity. Early throughout the collaborative partnerships, and also at a later time throughout the collaboration, a number of other key collective processes have appeared to be arranging and ensuring that the social alliance performs (or is actually attaining the social change it purports to achieve).

These collaborative partnerships have required partners aligning different organizational mandates and interests together, forming symbiotic relationships; creating a buy-in into a shared vision and acting on it together; as well as proactively cultivating relationships with various stakeholders from within and without the network; and gauging diverse input and insights to co-design and co-create solutions together through constant formal and informal meetings and communications. Partners collaborating are constantly ‘thinking forward’ about the future of the places and their projects, including how their network can stay meaningful, and in view of their shared learning, bearing in mind how to scale or improve projects beyond the initial context of their application.

And, equally important, throughout the collaborative partnership-projects partners have captured important knowledge, by conducting research, collecting data, or building a repository of knowledge and then have shared or disseminated lessons learnt. In this respect, Authors Austin (2000), Johnson et al. (2004), Selsky & Parker (2005), Svendsen & Laberge (2005), Kale & Singh (2009), Le Ber & Branzei (2010), Niesten & Jolink

(2015) and Kohtamäki, Rabetino and Möller (2018) have also made explicit reference to this important collective process of codifying, internalizing and/or sharing knowledge. Information sharing, that is exchange of knowledge and flows, facilitates a shared understanding (Sherwood & Covin, 2008; Niesten & Jolink, 2015). The cases have also revealed new network-level structures and practices (i.e., advisory groups, steering groups, or actual new roles to take network decisions) to help manage the network and build coherence, which is the glue that bonds the different organizations together and ensures the complex network is cohesive and integrable.

In order to mainstream inclusiveness, social alliance partners' concern with the levels and conditions of employment has involved emphasizing local and community-based actions to ensure greater inclusion via local partnerships that innovate in economic governance and employment creation. And also, requiring the continued involvement of different actors helping to improve the understanding of the problems or challenges at hand, bringing forth new ideas and proposals, and building joint ownership of new and bold solutions.

Mainstreaming inclusiveness has ensured that the needs of disenfranchised communities, citizens and civil society organizations are considered as much as possible, by allowing their representation, participation and involvement in projects and decision-making. This is a process that Montgomery, Dacin and Dacin (2012) conceptualize as multivocality; to combine numerous voices as well as to connect to diverse stakeholders in an accessible manner. Ibrahim (2017) looks at this collective process as a conciliation process, reconciling individual and communal goals through a communal vision, public deliberations and inclusive decision-making, whilst taking account of the multiplicity of communal needs and communal responsibility.

These alliances have also generated, through networked-based collective action and top-down and bottom-up collaborative initiatives, collective resources which they otherwise would not have been able to acquire independently. Such network resources as I have outlined can be physical, social and economic (Wagner et al., 2019). The emergence of shared network resources offers a unique perspective in assessing network effectiveness and outcomes (Provan & Kenis, 2017) because these resources are also network resources (i.e., network funding, new social and community enterprises, restoring the natural environment).

### **iii) Collective processes that enable the social alliance**

A third set of collective processes appear to be enabling the network's forward momentum. The social alliances are enabled through reinforcing mechanisms or processes. These enabling collective processes that have been identified, include closeness or proximity between and across the partners, being committed or invested in the networks, and building trusting and deepening relationships. These enablers positively reinforce relationships and the collaboration (and prevent opportunistic behavior).

As I highlighted in the previous sections when describing the differences across the cases, in case-study

2/Alvelal, the sense of responsibility does not resonate toward the collective at this point. Partners expressed a strong commitment to their respective collaborations, to Alvelal as the anchor organization, but not toward the collective. This sense of shared accountability toward the collective existed however in the cases 1/BNY and 3/ SSP. In these cases, partners expressed shared commitment across and toward each other, and toward the network to achieve shared outcomes. ***This shared commitment was expressed among others as i) as accountability toward the organization that is a member of the network and also accountability to the network as a whole; or ii) expressed as shared accountability and individual responsibility for the social mission.***

I looked in the existing literature to corroborate my interpretation. In accordance with Svare, Gausdal, Möllering (2020), I argue, that the collective sense of accountability varies depending on trust network members as a collective vest in a network in general, and the level of trust endowed at the inter-organizational levels. The decisive factor for an organization to join a network, to remain a member of a network, and to participate in network activities is the expectation that joining, remaining and participating will contribute to valuable outcomes (Svare et al., 2020). In the case-study 2/Alvelal those positive expected outcomes are in infant stages. It can be argued that as the bond and ties, the trusting relationships between individuals and the respective organizations starts to deepen and widen, and the collective starts to generate more positive outcomes, Alvelal partners too may start developing a higher sense of accountability toward the collective. And, thus, may start identifying more strongly themselves as members of a network.

As I also highlighted previously, one of the key differences across the cases, has been around geographic proximity between network partners. Among Yard partners being near or around the Yard and being physically close to other partners, has been an incentive for collaboration. The furthest physical distances between Yard partners is approximately 10 kilometers. Some partners are even at walking distance away from each other. In cases 2/Alvelal and 3/SSP however, being geographically in the same territory or region between network organizations was not incentive enough for collaboration in the beginning. In fact, the physical distance between the respective organizations may have deterred collaboration in the beginning of the network formation. In both cases, some partners are 100s of kilometers apart from each other.

Proximity (Boschma & Frenken, 2009) in particular is an important topic among the evolutionary economic geography and innovation network scholars, in particular among those with a focus on inter-organizational networks (Boschma, 2005; Boschma & Frenken, 2009). Geographical proximity has been known, in existing academic and business literature, to be an enabler of a great deal of interactions and knowledge spill-overs among agents that are geographically proximate (Boschma & Frenken, 2009). However, cognitive and social closeness and similarity as well, have been considered as crucial determinants of collaboration networks, irrespective of organizations being geographically proximate to each other or not (Almeida & Kogut 1999; Boschma & Frenken, 2009; Balland, Boschma and Frenken, 2013).

Therefore, I argue that other types of closeness have been at play and more important to incentivize and encourage collaboration. The vast number of formal and informal events, gatherings, regular meetings, focus group discussions, have increased shared experiences and connectivity; the joint projects as well have fueled shared learning and cohesion among and across partners, which has helped with creating and transferring new knowledge, as well as reinforcing trusting relationships and harnessing ongoing and future collaborations. This closeness has been experienced as something quite beneficial by the stakeholders, and also as something favorable for the performance of the networks.

I argue in line with the existing theory and literature that positive experience of the joint projects and collaborating is a function of cognitive and/or social proximity—implying that similarity in knowledge and experience bases among actors, and economic relations being embedded in a social context and social relations, affect (economic, social, ecological) outcomes (Boschma & Frenken, 2009).

Boschma & Frenken (2009, p.122) further provide that “relations between actors are socially embedded when they involve trust that is based on friendship, kinship and experience through repeated interaction. Such relationships carry information about potential partners and thereby increase the probability of organizations to engage in innovation networks. Social proximity also plays a role in informal knowledge exchange between employees affiliated to different organizations”, and (p.123) “common working experiences are important carriers of knowledge exchange based on reciprocity.” There is growing evidence that when trust is built up between parties, they are more eager to engage in cooperative activity, through which further trust may be generated (Mair & Marti, 2004).

With many of the organizations across the Alvelal and SSP network mentioning the importance of sharing information and knowledge, and building collective knowledge throughout their collaboration, as well as increased relations and inter-relationships, it can realistically and reasonably be argued that building cognitive and social closeness between key actors has been important to encourage collaboration across these large spaces and territories. ***Thus, other types of proximity when sufficiently present, can indeed overcome geographic co-location challenges, and don't impede key actors from together pursuing collective efforts to solve their modern-day complex challenges.***

***The variance between the cases can be explained - what I argue - through an evolutionary lens.*** The Alvelal network has been set up approximately six years ago, whereas the SSP network has been set up for nearly eleven years. The Yard on the other hand has been evolving over three decades. Therefore, some of the collective processes that emerged specifically for case-study 2/Alvelal and 3/SSP can, I argue, best be explained through an evolutionary lens. In other words, the social alliance networks are at different stages of development or maturity.

To further accentuate the evolutionary aspect, for example, a key difference between case-study 2/Alvelal on the one hand, and case-studies 1/BNY and 3/ SSP on the other, has revolved around a shift in the mindset of the individual representatives of the organizations that are part of the collective. I highlighted earlier that Alvelal and Commonland on a regular basis rethink with Alvelal members as well as with partner organizations what it means to be a member of the space. A lot of emphasis has been placed in this early stage network to shift existing individual and organizational framing and references to collaborative and joint ones.

This is quite an important exercise that has happened collectively, and an important enabler, as the network has evolved. It has helped to transition toward deeper and tighter relationships, with more alignment and more synergy as partners have moved forward.

In this process, Commonland and Alvelal, as anchors, have used Theory of U meaning-making exercises, or organized field visits to successful demonstration farms with partners, in order to enable this transition to more collaborative and joint framing and references. Organizing these field visits to demonstration farms has happened by convening people and farmers across different villages with different social, and economic and political leanings. The organized field visits have helped to sensitize and raise awareness about farmers who have transitioned into regenerative agriculture, and has helped to slowly shift the mindset and framing of those Alvelal members who have been skeptical, risk averse or not convinced of the potential outcomes. ***This allows multiple individual and organizational frames and references to co-exist, and does not impede the emergence of a shared framing and referencing that is specific to the network.***

This was particularly evident with the 4-Return business case of La Almendrehesa, where innovating partners use the case and provide potential future users of Alvelal solutions with the necessary skills and knowledge to dismantle preconceived beliefs, challenge initial fears regarding the functioning of the new solutions, and to provide users with the skills and experience necessary for generating market acceptance (from Purтик & Arenas, 2019). User participation and interactions is therefore important in shaping and spreading new understandings of the solutions.

***Another shared collective process which was explicit for the SSP network and can accentuate the evolutionary aspects of the cases is in relation to partner organizations over time starting to identify themselves as a member or partner of the network.*** This shared understanding was already a given and implicit within the Yard network. With partners and certain Yard tenants continuously speaking in terms of being a member of the Yard or the Yard community, not even second guessing what that meant.

In the SSP network, in the context of the network's evolution, partners have been increasingly cognizant of identifying themselves as members of a network, a regional collective impact network which has revolved

around bringing a group of antagonistic organizations together, building strong inter-personal and inter-organizational ties, and a shared way around doing things together with a common vision through catalysts.

In the Alvelal network, which is a much younger social alliance network, emphasis was placed at this stage in the network's evolution on the inter-personal ties and on core organizations on a regular basis rethinking and revisiting what it means to be a member of the network. Partners are still building and integrating shared approaches and techniques to make emerge a 'network culture'.

Essentially, what case-study 3/SSP has revealed is that indeed the interpersonal ties and bonds between the respective individuals representing the organizations, *has been a stepping stone for a genuine network approach to emerge at a later stage*. As partners interact, engage, and execute as part of a collective through key projects, a 'culture of sorts' (shared values, ethos, processes, tools, structures) has emerged at the level of the collective, which has infused their respective organizations.

It is thus reasonable to argue that these network properties may indeed emerge over time, which case-study 1/BNY case-study 3/SSP have demonstrated. Over time a sense of community establishes and sustains shared beliefs, social order, solidarity, morality, ethical and collective responsibility (Celata et al., 2017). As the network grows and becomes more cohesive and integrative, it is fair to argue that new members align themselves with certain values, shared beliefs and cultural norms that are expressed by the language the network uses (adapted from Celata et al., 2017). *These network properties cascade back from the network level to the individual organizational levels*.

In the following **Figure 7**, I have tried to depict and visualize the multiple collective processes that I have canvassed through the case-studies. The multiple circles in the middle visualize the interdependent collective processes, which drive, arrange and enable the network, and which together build and constitute the capacity of a successful social alliance network.

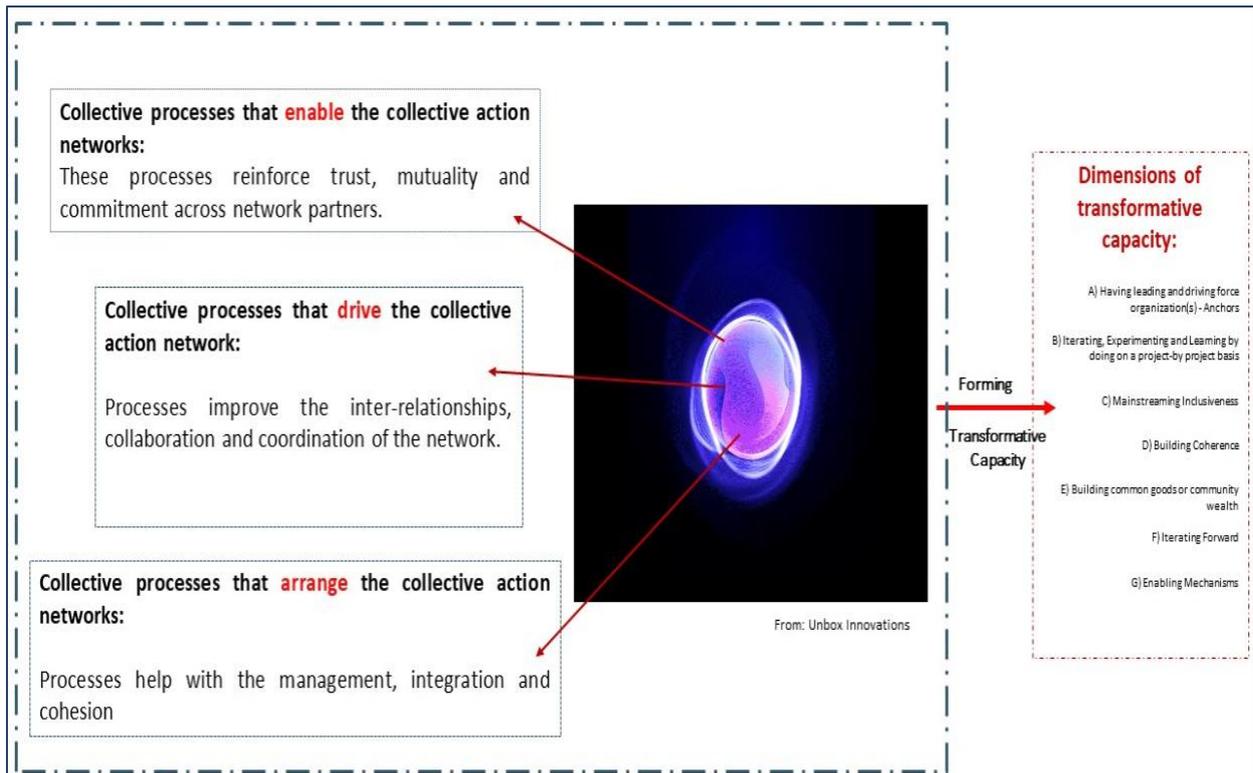


Figure 7: Depiction of the framework on transformative capacity and key collective processes for a successful collective action network (adapted from [Unbox Innovations](#))

### 5.2.2 Nature: Collective processes with territorial, relational and proto-institutional qualities

I also argue that this research offers compelling and reasonable arguments that these collective processes have territorial, relational and proto-institutional attributes. This is based on the following arguments which have helped me also to make sense and help explain the interpretations of the findings.

What these cases-studies particularly have revealed is that within wicked and complex problem domains the transformation process is not just the product of a single organization's vision and steering, rather it has required systemic shifts in institutional underpinnings such as mental models, management routines and resource flows (Westley et al., 2013) among agentic collectives that shape the context in which they are *embedded*. Thus, transformation is often a multilevel, multiphase and embedded process, and therefore not associated with the actions of a single organization, but a number of actors who seek opportunities and take actions together that help the system to progress through different stages of innovation and transformation (Westley et al., 2013) across the micro-, meso and macro-levels of social change.

The concept of embeddedness has been tied to collective social entrepreneurship literature with a number of key authors arguing for embedded views of inter-organizational collaborations (Vurro & Dacin, 2014); with embedding being an important aspect of collective entrepreneurial activities (Seelos et al., 2011; Haugh, 2007).

Embedding implies a state of ‘situatedness’ or nesting of the agentic actors within a particular context - and at times even an actual ‘physical’ or ‘territorial’ embeddedness - that is coupled with a deeper understanding of the mechanisms and issues underlying the problem *within a particular place*. As I have previously demonstrated, these social alliances have spatial and territorial features. This was particularly manifested with social alliance partners deliberately designing and executing approaches and solutions that are place-based or place-specific and actually have had an impact on revamping and upgrading the (physical) infrastructure (e.g., natural habitats and even buildings). Territoriality is explicit in terms of actually creating collective physical resources and upgrades within the place, territory or localities where initiatives have been designed and implemented over time. Thus, I argue in line with the existing literature that these collective action networks *have place-attachment, and thus has territorial or spatial characteristics*.

Actors are also trying to solve complex challenges as part of a context within *and in relation to each other*. *This second quality of embeddedness*, the context in which actors engage and interact with each other, is complex and cross-boundary, and creates what Seelos et al. (2011) identified as a relational system of bounded solidarity. Or, what certain authors call *relational embeddedness (Nielsen & Jolink, 2015) between collaborating stakeholders. These social alliances therefore also have relational attachment (Le Ber & Branzei, 2010), which has come to full expression through the collective processes that I have depicted further below in Figures 8A and 8B*.

I have shown, for example, that partners throughout the three cases work together and don’t act in isolation, they act and interact with each other and in relation to each other, aligning for a shared vision. I have shown evidence that throughout the social alliances, partners adopt a new and prevailing logic, a networked approach around doing things together, which is reflective of the positive and virtuous bonds, closeness, and trusting relationships between these committed and invested partners that is building or has been built over time. The role of the anchor(s) is particularly important in the formative stages of the network to detach from the environment creating new opportunities for engagement and involving the pursuit of collective strategies that are attuned to opportunities arising from the dynamic changes occurring within the system they are seeking to transform (Westley et al., 2013).

*Key partners as members of a collective have acted, reacted, sustained and continuously shaped their actions and interactions as part of the multi-party network that they belong to. This is what Falconbridge (2017) has also attributed to relational perspectives of knowledge and innovation – actors make emerge and constitute a social space within which their actions and interactions are ‘co-located.’ These collective action networks are social spaces in which actions and interactions occur, and which in turn are influencing the places and sites spatially speaking (Falconbridge, 2017); or in the words of Flanagan et al. (2006, p.32), when accounting for the diversity of actors involved in collective action, as a “collective action space”, and in words of Cohendet et al. (2020, pp.6 and 13) describing spaces as “cognitive constructions” and providing “cognitive platforms to unite different communities, and to exchange, translate and create new ideas.”*

Lastly, embeddedness of social actors within and as part of a social alliance network, has opened the potential to study collective entrepreneurial interactions and collective activities in shifting or transforming problems within that context, and creating (new) institutional change which manifests at the macro-level. ***This third aspect of embeddedness*** is considered by Van Wijk et al. (2018) ***as institutional embeddedness***.

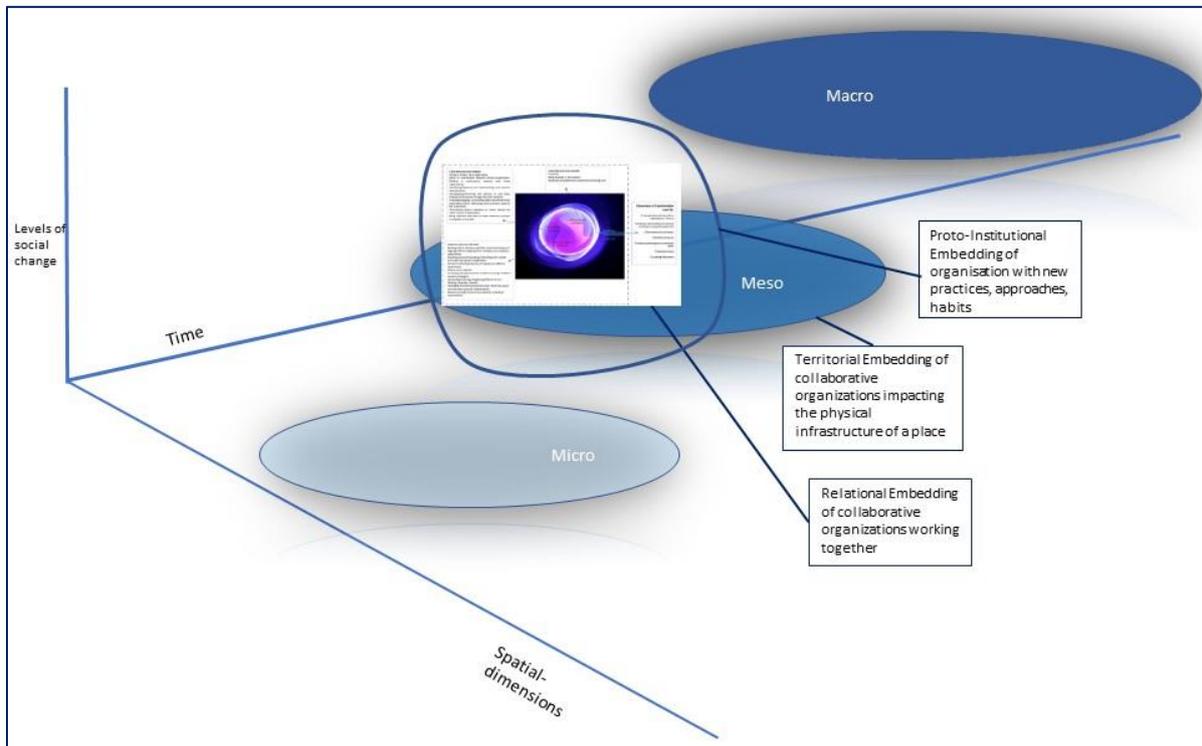
Throughout the cases, I have mentioned numerous time examples of new practices, new approaches and activities that network partners have developed in order to address those deeply embedded social, economic and ecological challenges that their communities face (i.e., inclusive workforce development, addressing social and economic inequalities, setting up new community or social enterprises). ***These agentic actors are reacting to an institutional context which is sub-optimal and needs transformation, and through collaborative enterprising they have created new and emerging innovative solutions at meso-level that have the potential to shifting that suboptimal context into a new and improved one – which manifests at the macro-level.***

This (empirically based) interpretation is also in line with Van Wijk et al., (2019, p.890-891) compelling theoretical arguments when zooming into and expanding the link between micro, meso and macro-level of embedding in transformation processes. ***“The first cycle zooms in at the micro level on (embedded) individuals, proposing that actors become more agentic through their interactions with others.*** In these interactions, they experience emotions which enable them to hear and understand others’ viewpoints, stimulating reflexivity, challenging their taken-for granted perspectives, and partially (or wholly) dis-embedding them from their governing institutional environment, creating room for new, innovative perspectives to enter their thinking and acting.

***The second cycle zooms out to the meso-level, pointing to increases in interactions among diverse actors and their engagement in understanding each other’s perspectives and interests and negotiating shared perspectives in “interactive spaces.” It is at this meso level, where we see how actors’ interactions and framing produce the frictions, highlight the tensions, and identify or create the cracks behind the new opportunities for social innovation. It is also here where we can observe how actors’ efforts can begin to jointly (re)negotiate the structures, patterns, and beliefs that constitute their social worlds and, even if tentatively and in a fragmentary manner, to co-create alternative proto-institutions with the potential to become institutionally embedded. (-)***

***Finally, the third cycle zooms*** further out to the macro level. It recognizes that institutional contexts, often structured around organizational fields, guide, or even discipline the dynamics of the micro and meso-cycles. This macro view is important because it allows acknowledgment of how institutional contexts differ in their enabling and constraining influence on actors’ actions. Social Innovators need to gain, at least partially, a disembedded perspective for their efforts to bring about the radical institutional changes required for social innovation.”

In the following **Figure 8A** I have illustrated – in a simplified way – the connection between the micro, meso- and macro-levels of social change overlapping with the territorial, relational and proto-institutional qualities of the collective processes that generate transformative capacity.

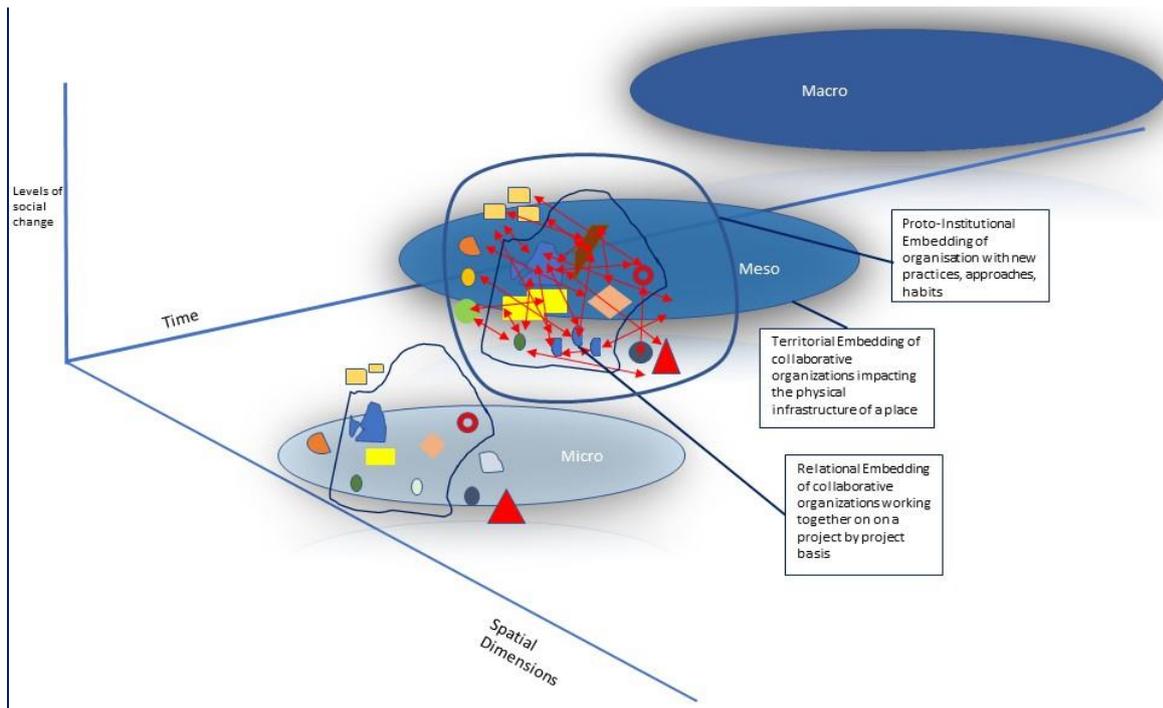


**Figure 8A:** Depicting the micro, meso and macro levels of social change overlapping with relational, territorial and proto-institutional qualities of the collective processes for transformative capacity

At the meso-level, a network across and between the various organizations has taken form where the collective processes for transformative capacity are in display. *In Figure 8B*, I have tried to visualize collaboration and co-creation of network organizations at that same meso-level.

The little icons that are used in **Figure 8B here below serve as metaphor for organizations**. At the *micro-level* a loose group of organizations is territorially embedded within a place, which as I have seen from the case-studies can be a local neighborhood, a region, a large territory – organizations are *not* collaborating nor interacting at this micro-level, and in other own siloed corners, and are not addressing the complex problems their communities face.

Then, I transition to *the meso-level*, I can notice the same and other organizations in full mode of collaboration with the aim to address complex problems with leading anchor(s) convening, stewarding and nurturing the network. The red arrows in *the meso-level of Figure 8B* represent the organizations interacting, engaging, and collaborating across the social alliance network – relationally embedding through various and mission-aligned partnership projects.



**Figure 8B:** Depicting the micro, meso and macro level of social change overlapping with territorial, relational and proto-institutional embedding processes and the organizations interacting, engaging and collaborating across the meso-level

Across the three cases, I have seen that partners as a collective interact, do making-sense, co-create, share information, learn from and help each other, and reflective of an evolving and (newly) emerging proto-institutional context of their actions and interactions (proto-institutional embedding). And, within this context a new collaborative and networked logic appears to be prevailing, one which has little to do with the previous context and logic, which was dominated by a handful of organizations who were geographically located in a place characterized by a state of non-collaboration. This new and prevailing logic has been facilitated through anchor organizations, new practices of working together, learning together, and taking decisions together, as well as new approaches to reinforce membership in the collective, developing common structures and vocabulary specific to the social alliances (i.e., inter-organizational structures, 4-Return framework, program pathways, Wooch.Een). As a potentially new organization joins the network, they are infused and immersed in a ‘network culture’.

### 5.2.3 Summing up: collective processes for transformative capacity at the meso-level with territorial, relational and institutional qualities

**Figure 9** here below is a summary figure of transformative capacity at the meso-level. In Figure 10 I have integrated Figures 8A and 8B together. At the micro-level, I observe a loose group of organizations. They are not collaborating nor interacting at this level. At the meso-level, a network across and between the various organizations has taken form.

*As network organizations at the meso-level are enterprising collaboratively, re-combining, re-configuring and re-aligning their resources, they generate a potential for innovation which lies beyond any individual*

organization's capability. This higher-level innovation potential is a quality that forms and emerges at the network level. I have labeled this potential as transformative capacity of the social alliance to change, to innovate and to transform existing institutions, to keep the transformation process going, and ultimately to achieve social change at the macro-level.

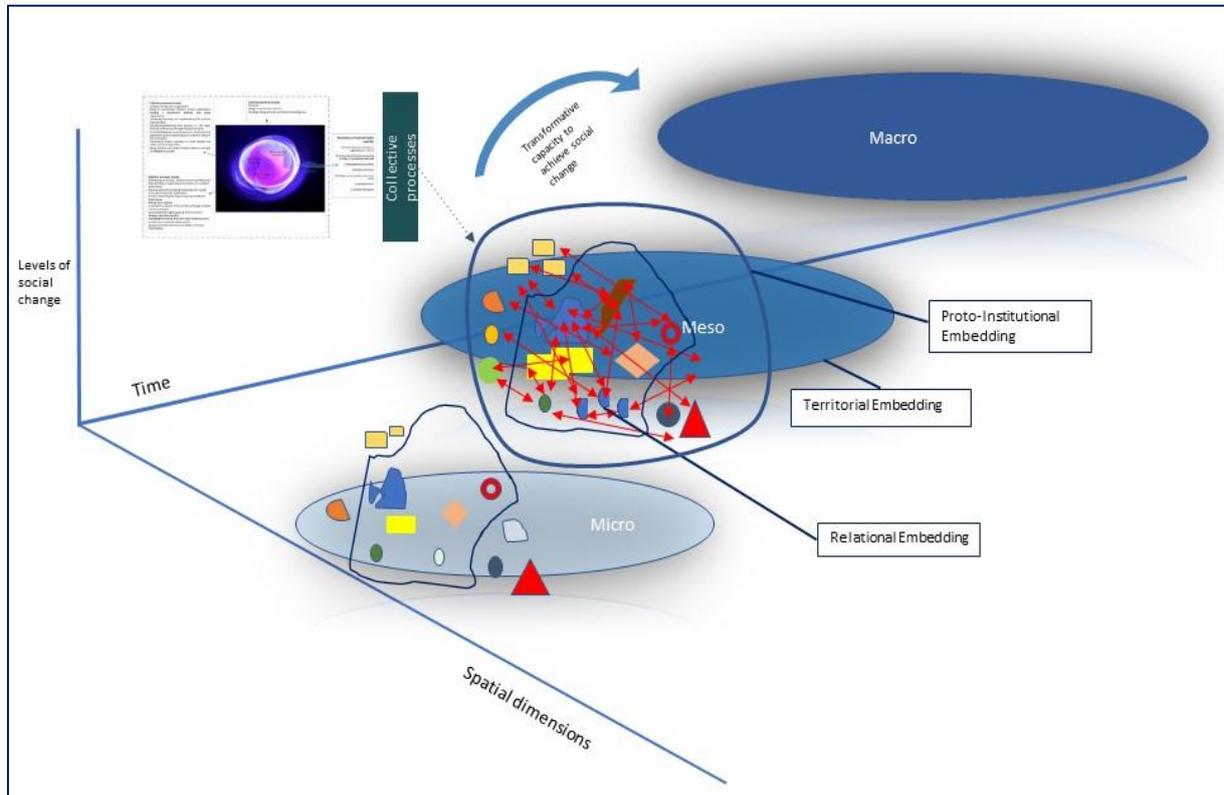


Figure 9: Summary figure of transformative capacity emerging at the meso-level

Figure 9 also demonstrates that the social alliances evolve. Over time and across place, these organizations interface and interact and create a coherent collective of organizations. Through their collective and collaborative efforts, network level properties emerge which are not reducible to individual organizational levels properties. Collective efforts, interactions, activities, strategies, and approaches emerge and permeate through the network. It is thanks to the depth and breadth of these collective processes that the process of transformation moves forward, and overlapping with territorial, relational and proto-institutional qualities.

#### 5.2.4 The Sandbox, the Lighthouse and the Catalyst models of collective action networks

In this final section of analysis and making sense of the final framework, I would like to discuss three models of network-based collective action, which I have derived from and worded based on the three case-studies. These **three models are the Sandbox, the Lighthouse and the Catalyst**, which I argue are an appropriate way to qualify these collective action networks. **These models can be differentiated across three different elements: i) the form of the social alliances, ii) the formation of the social alliances, and iii) configuration of the collective processes: tight or loose.**

### i) The form of the social alliances

In all three cases, I have networked-based collective action across a heterogeneous group of organizations from multiple sectors. Yet, each case-study can be depicted in different ways, which I have attempted in *Images 52, 53 and 54 here below*. In each model I have depicted the main organizations that have come out of the research as well as their connections to each other and organizations outside the geographic boundaries. The dotted circular line represents the geographic boundary in each network. The relationships between anchor organizations have been depicted with a thicker line across all three forms.

*The first model, which depicts case-study 1/BNY, I have named the Sandbox (Image 52)*. At the top of the Sandbox-model which depicts the Yard, there is the Brooklyn Navy Yard Development Corporation. This is the main entity that is managing the Yard offering tenant amenities, and in symbiotic relationships with other key anchor Yard organizations and tenants, such as the New Lab, the STEAM Center and RLab. I have called this model the Sandbox - this is a playground for multiple organizations from inside and outside the boundaries of the Yard spontaneously and organically engaging in multiple bottom-up and top-down initiatives.

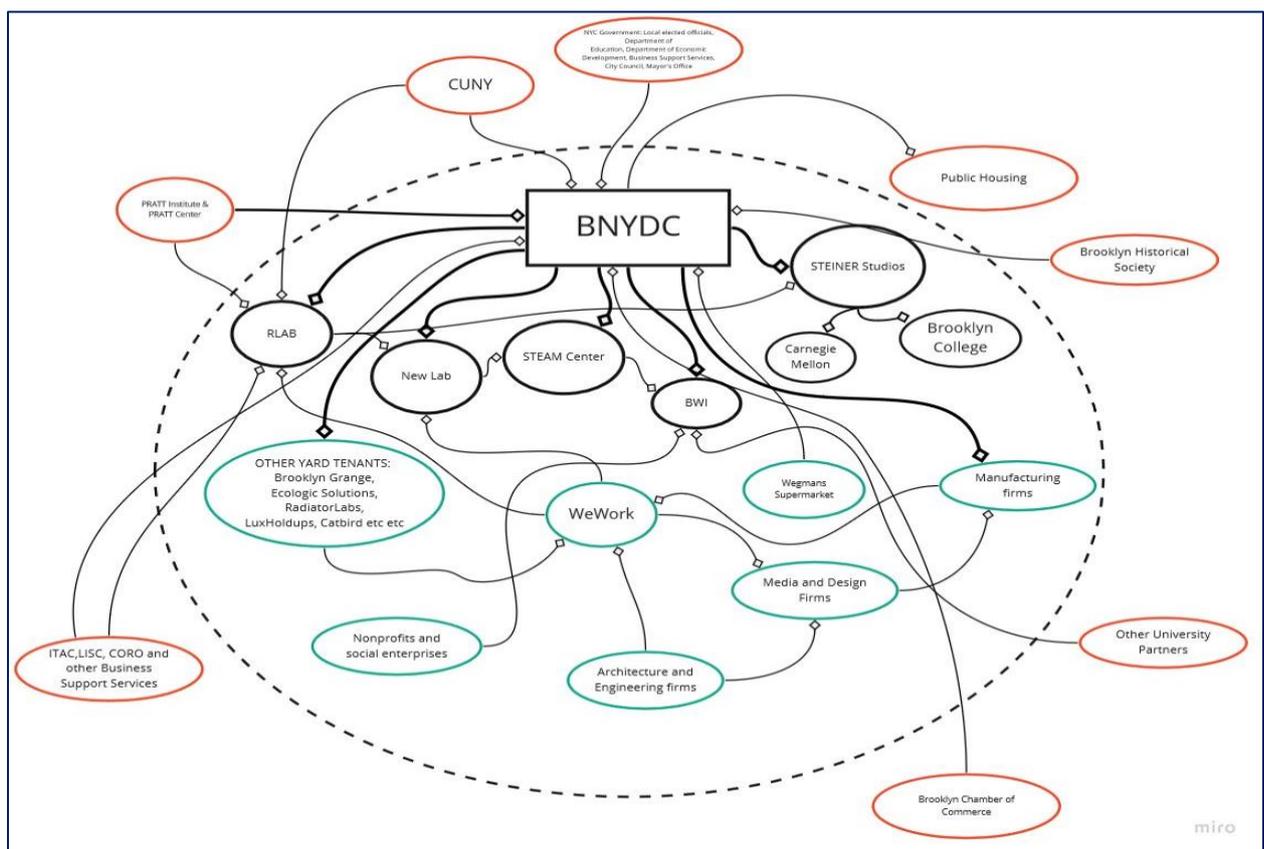


Image 52: The Sandbox-model

*The second model (Image 53) depicts case-study 2/Alvelal which I have named the Lighthouse*. With anchor organization Alvelal connected to all the key organizations that are active in landscape restoration across Alvelal territory, and all ties converging towards the Lighthouse (Alvelal), which is central in the network. The

relationship with Alvelal members and La Almendrehesa, which is the network's first successful community enterprise, has been depicted with a ticker line. Alvelal is the beacon and orchestrating landscape and biodiversity restoration in Alvelal territory in partnership with key organization who are carefully and tightly aligned and implementing flagship project across the territory.

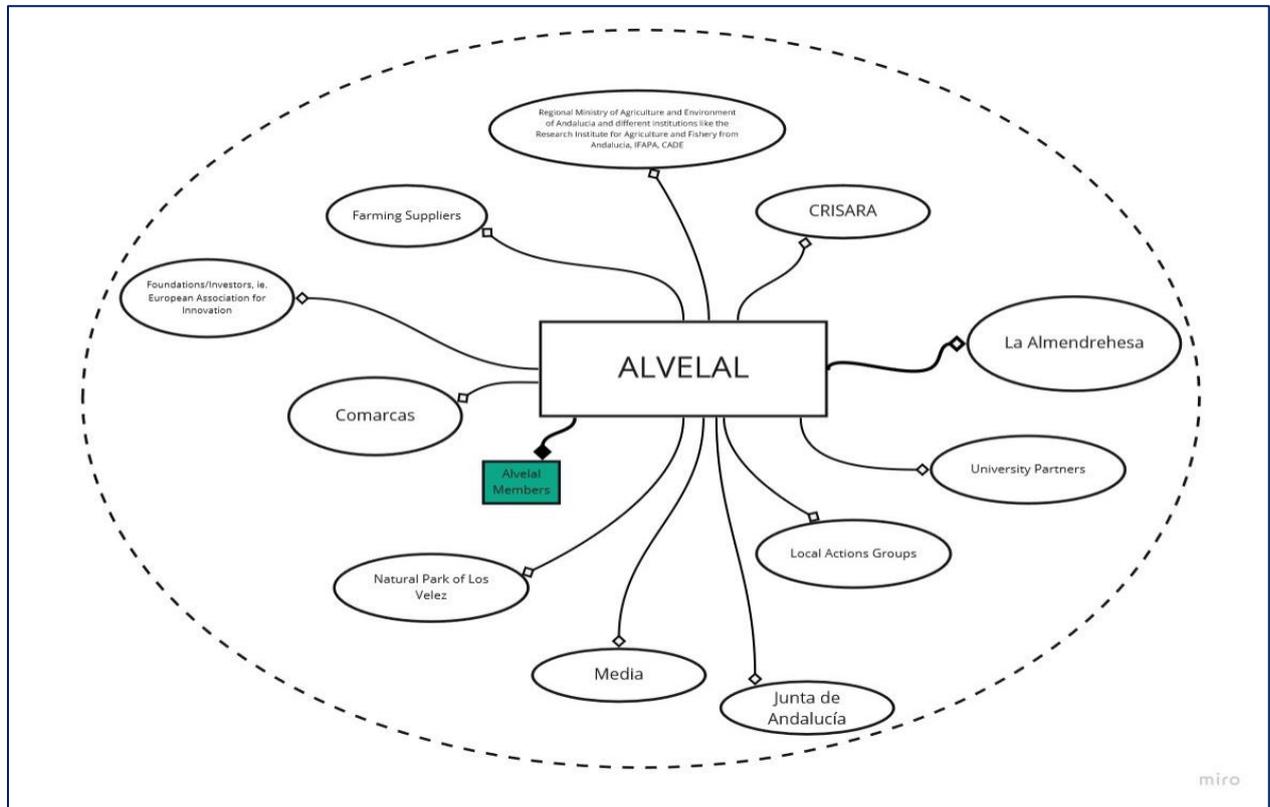


Image 53: The Lighthouse-model

*Lastly, the third model is the Catalyst (Image 54) has depicted case-study 3/SSP, with a number of anchors and fore-running organizations, including Spruce Root, SeaAlaska, Conservation Society. These fore-running and anchor organizations have very close ties, and the initial founders of the collective action network. Around these anchor organizations are other organizations that are members of the SSP and catalysts in their respective communities of Southeast Alaska. Spruce Root is located in the middle of the anchor organizations, as it is the main entity offering network and backbone support functions to the other organizations. The catalyst model is based on the understanding that each organization is a bridge-builder and catalyzing community programs that are carefully curated to align with SSP programs and pathways in their respective communities of Southeast Alaska.*

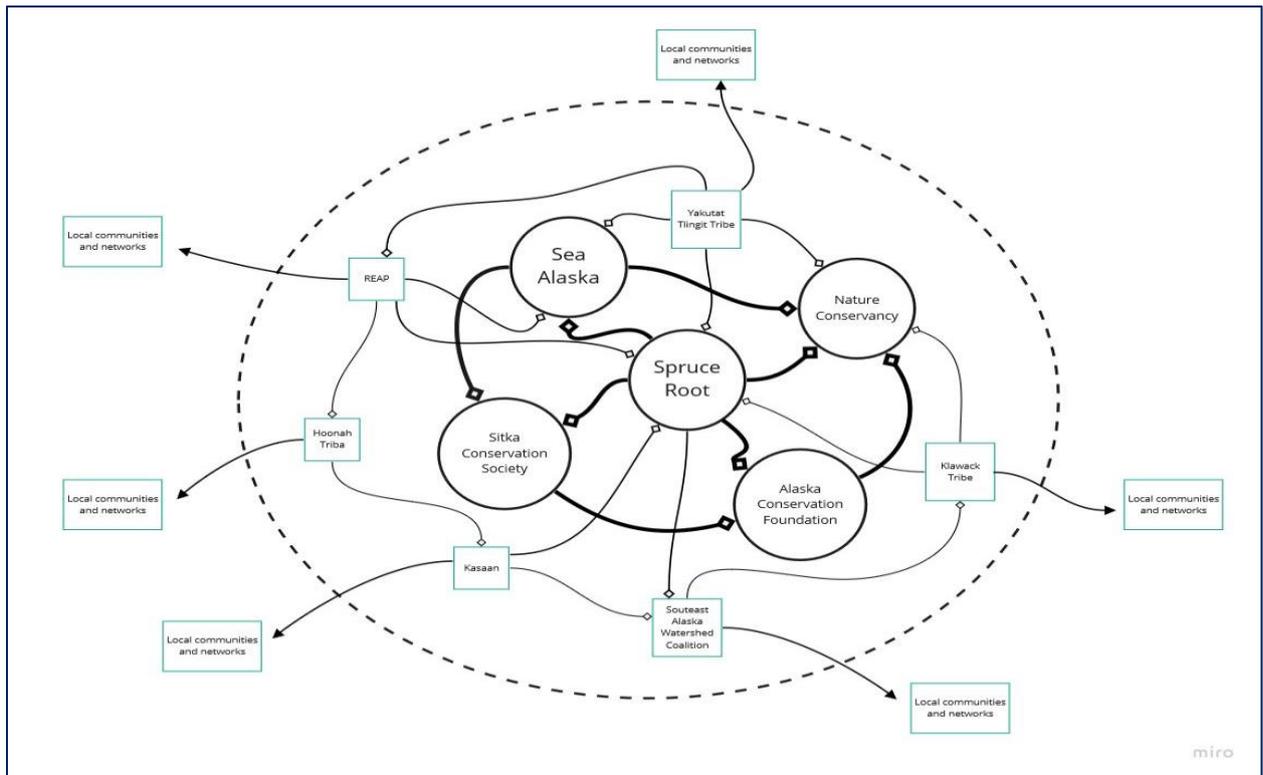


Image 54: The Catalyst-model

## ii) The formation of the social alliances

In all three cases, the role of anchor organization(s) has been important for the formation of the social alliances. As I have outlined in detail previously, these anchors are fundamental to driving the network, performing key network functions and creating a conducive environment for iterative partnership-projects to thrive. In each case however, I have observed different roles of the anchor organizations, which are connected to the evolution of the network.

In case-study 1/BNY, the Sandbox-model I am seeing a number of anchor organizations performing network functions. However, the BNYDC is the leading organization, offering amenities and managing the Yard and the place. I noticed in particular, the gate-keeping functions of the BNYDC, which proactively recruits new tenants and has ensured that smaller and larger enterprises looking for a lease are actually moving into the place or near the Yard, and aligning with the overall Yard mission. I have also observed that the BNYDC has played a key role in the early stages of the Yard in crafting a vision for the place and rallying other key organizations around it. With the Yard currently being in a more mature stage of its development, I have noticed other anchor organizations, such as the New Lab and the STEAM Center, stepping in and are offering network support functions to other enterprises. The ties, actions and interactions across this collective action network are *formed more spontaneously* on the basis of the needs, demands and aspirations of the stakeholders.

In the case-study 2/Alvelal, the Lighthouse-model, I have noticed first Commonland and then Alvelal stepping in as a leading and driving force organization in Alvelal territory; with an emphasis at this point of the network's evolution being placed on Alvelal being a beacon and articulating a shared vision with key stakeholders, convening diverse organizations to rallying around that shared vision, as well as building synergy and a strong coalition of organizations that are aligned tightly with landscape and biodiversity organization. The number of flagship and joint projects that have been launched are tightly aligned and important win-win projects that help build the credibility and legitimacy of Alvelal's mission in the territory. The ties, actions and relationships are not spontaneous, *rather carefully curated* to feed into the Alvelal and Commonland missions.

In case-study 3/SSP, or the Catalyst-model, I have seen a group of leading organizations coming together and hashing out a shared vision for Southeast Alaska, before handing key coordination functions to Spruce Root which has become a backbone organization and critical in offering support, gate-keeping and funding support to organizations that have wanted to join the informal network. Other anchor organizations position themselves as intermediaries and *catalyze the SSP approach and program pathways* across the communities they are serving, and *champion spontaneously formed projects* that tightly align with SSP pathways for shared rewards. In this Catalyst-model too, I have noticed an emphasis being placed on carefully nurturing and harnessing the relationships and ties across the different organizations. The ties, actions and interactions have not been formed spontaneously, *rather proactively curated by a number of anchor organizations* that fit with the SSP mission.

### iii) The configuration of the collective processes: tight or loose

The findings across the three cases have confirmed effective networked-based collective action approaches across different levels of evolution and maturity when responding to wicked problems. Across the three cases meso-level organizing has been carried out simultaneously through formal or informal engagements between key stakeholders that constitute a vast web of relationships and ties. All projects, small or large, episodic or long-term, top-down or bottom-up, are mission-aligned, and therefore feed into achieving the overall network mission.

However, the configuring of the collective processes has not been identical across the three social alliance networks. I draw analogies from strategic alliance literature and in particular the work of Kohtamäki et al. (2018) to offer interpretation and explanation for this difference in the integration of the collective processes: *I believe that depending on the configuration of the collective processes, a distinction can be made between structural and social integration of the collective action networks.* Integration processes have played a prominent role in the alliance literature (Kohtamäki et al., 2018). "Structural integration refers to the development of relationship structures such as joint alliance development teams, alliance steering groups,

integrated working procedures, processes, and IT. (-) Social integration refers to open interaction, trust, and shared understanding.” (Kohtamäki et al., 2018, p. 193)

*In other words, I argue the cases have demonstrated variations in how tightly or loosely collective action networks are structurally or socially integrated.* In case-study 1/BNY, the Sandbox model, the structural and social integration of the collective action network appears to be a more loosely configured with multiple initiatives and multiple-actors engaged, involved and interacting within the network to achieve certain social and economic outcomes. *The social change that are associated with the BNY are generic and broad, and the network has evolved organically, and will continue to adapt. All projects are mission-aligned, but not all are mission-critical. Case-study 1/BNY is open-ended and does not have an expiration date.*

In cases 2/Alvelal (the Lighthouse-model) and 3/SSP (the Catalyst-model) the configuration is tighter. For example, *all projects have been tightly aligned with the programmatic pathways and have been critical to achieve a series of clearly defined social, economic and ecologic outcomes.* A possible explanation for case-study 2/Alvelal (the Lighthouse-model) is that the network is at a younger stage of evolution and maturity. Thus, emphasis has been placed at this point in time on a tighter structural and social integration of the organizations that work together across the flagship initiatives and projects. In particular, I also referred to sense-making events and regular meetings as well as new approaches (i.e., Theory of U) where the conversations between participating organizations has been around what it means to be a member of the network and what it entails for partners to collaborate on joint projects. Also, case-study 2/Alvelal, and although it has a long-term perspective for transformation, is a mandated social alliance. *The network has to produce certain social, economic and ecological outcomes over the next 20 years, which may also explain the tighter structural and social integration.*

In case-study 3/SSP (the Catalyst-model) – and even though the SSP is an informal and open-ended network – the anchor organizations, including Spruce Root, have been incredibly important. Many of the structures and approaches that the network has used to nurture tighter relationships, alignment across projects, and synergy across actions and interactions (i.e., regional and local catalysts, or using indigenous processes and rituals to inculcate a recognition that if partners don't pull together, progress won't happen) has been particularly important because the network has been made up organizations that have had history of deep antagonism. *Although projects are developed spontaneously and adapted to the needs of Southeast Alaskans, yet they are also mission-aligned and mission-critical and feed into clearly defined programmatic pathways to achieve specific social change objectives. As the network is evolving forward the configuration of the collective processes is tighter, in contrast to those of case-study 1/BNY. Thus, case-study 3/SSP is between cases 1/BNY and 2/Alvelal. It has both loose and tight elements, with spontaneous initiatives being designed and implemented, yet with a tight alignment across SSP pathways and objectives.*

*In summary, whereas in case-study 1/BNY the configuration of the collective processes allows for a more spontaneous and a more 'organic' structurally and socially integrated network with shared alignment, structural and social integration in case-study 2/Alvelal and case-study 3/SSP is more deliberate and consolidated with more centrality. Even though all three cases are solving complex problems and even though in all three cases anchor organizations are leading and orchestrating the network, the cases have also shown there are different collective action networks solving complex problems. In case-study 1/BNY, the network is open-ended and constantly evolving with generic social and economic change objectives to be achieved. The network in case-study 2/Alvelal is mandated with clearly defined landscape transformation objectives to be achieved within 20 years. The network has displayed a need for a tighter structural and social integration. Lastly, the network in case-study 3/SSP is in between – ever evolving and open-ended and yet with a tighter social and structural integration to achieve clearly defined social, ecological and economic change objectives.*

### 5.3 Conclusion and contributions to the existing literature and implications for practitioners

In this section, I will reach the conclusion and outline the contributions, including academic contributions to the existing literature and implications for social alliance practitioners. The academic contributions to collective social entrepreneurship and social alliance literature will be elaborated in *i) Defining social alliances as collective action networks with transformative capacity and with place-based qualities*; as well as *ii) Contribution to the social alliance literature, with A. Expanding the academic literature on the meso-level of social change and transformative capacity, and B. Contribution to organizational theories: 'spacing' in collective action networks*; and lastly, *iii) Implications of this research for practitioners*, where I offer practical and strategic implications for social alliance practitioners.

#### i) **Defining social alliance as collective action networks with transformative capacity and place-based qualities**

I argue that the research and empirical findings have contributed to the collective social entrepreneurship literature by particularly expanding already existing definitions of *social alliances by conceptualizing them as collective action networks with transformative capacity and being place-based*.

*I define social alliances as a (broad) coalition of cross-sector organizations that together constitute a collective action network with transformative capacity, and engage in collaborative enterprising with the intention to create and deliver on the promise of social change. Through their ongoing and continuous collective efforts and joint actions these coalitions produce a higher-level potential at the meso-level through interdependent collective processes that drive, arrange and enable the network along with territorial, relational and proto-institutional qualities for pattern-breaking change. Why does this definition matter and how it is different from the existing definitions?*

*First of all*, the empirical research has expanded on existing academic definitions of social alliances which I highlighted and summarized in **Table 2 – Definitions of social alliances**. In particular, I have built on definitions of Selsky & Parker (2005, 2010), Seitanidi (2008), Calton et al. (2013), as well as Flanagan et al. (2006); Koshmann et al. (2012), Doerfel & Taylor (2017), Montgomery et al. (2012) and Trujillo (2018), who already *conceptualized social alliances as inter-organizational or collective action networks that can produce pattern-breaking change (from incremental change, to reform and transformation), and addressing complex problems through ongoing engagements between partners representing different sectors.*

I have built on these existing definitions by specifically *linking and reconciling social alliances with collective action networks*. The research findings have demonstrated that in addition to dyadic social alliances and single-case projects, there are indeed those social alliances that include more than five organizations across multiple projects. *However, these social alliances, in particular, have demonstrated how a group of disparate organizations solve complex problems that overlap across sectors, and requiring collective organizational enactment. I have offered compelling empirical evidence that robust collective action across these collectives of disparate and heterogeneous actors can indeed facilitate and help address wicked and complex problems, because solving them exceeds any individual organizations' capacity to resolve them. Furthermore, I have qualified three distinct collective action models (i.e., the Sandbox, the Lighthouse and the Catalyst) which I have differentiated across three key elements of form, formation and configuration of collective processes.* Equally important is to emphasize that within the social alliance networks that I have studied those organizations who are part of solving the complex problems and creating social change, are ensuring that the needs of disenfranchised communities (e.g., displaced entrepreneurs, low-income households, indigenous communities, farmers) are considered as much as possible by ensuring their participation, engagement and representation in throughout the design and implementation of joint projects.

These high impact social alliances are collective action networks in the sense that multiple organizations over time constitute and organize an intentional network to solve complex problems. *All three cases have a long-term perspective for accomplishing social change. However, whereas cases 1/BNY and 3/SSP are open-ended and don't have an expiration date, case 2/Alvelal has been mandated over a long-term period of twenty years.*

**Figure 10** here below is a matrix depicting the *different types of social alliances across two axes: number of actors* (dyadic and networked), *and duration* (mandated and open-ended). I use this Figure 10 to visually place the three case-studies across this matrix.

The findings also show that within these network settings, actors are continuously engaged in collective actions and interactions and sustaining collective efforts that are relevant to create transformative capacity to address deeply embedded social, ecological and economic problems and ultimately to attain transformation. I have underscored the importance of transformative capacity as a prerequisite for social

change. This capacity emerges thanks to collective and concerted efforts and practices of a group of organizations that arrange into a symbiotic network.

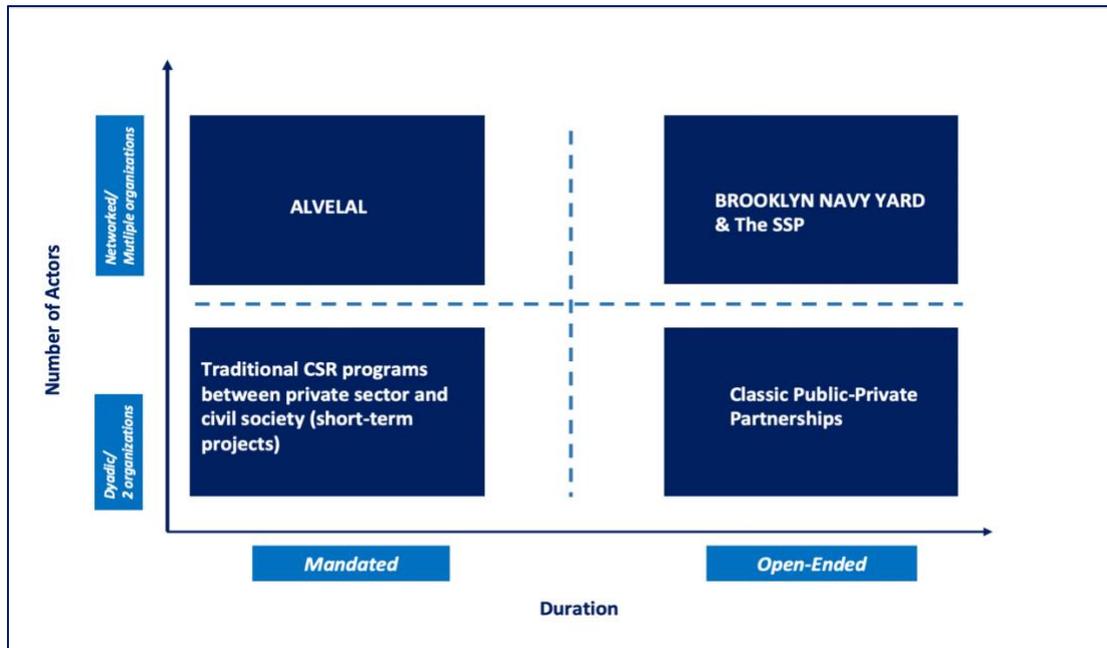


Figure 10: Author's depiction of different types of social alliance matrix across two axes: number of actors (two or more actors) and duration (mandated or open-ended)

*Second, these collective actions networks have place-based qualities.* Authors Baker & Mehmood (2015) have explicitly recognized the place-based characteristics of the built and natural environment connected to social innovation, *and that social innovation exhibits a strong spatial dimension, which is often location specific and spatially embedded - and equally important - overlooked in the social innovation literature.* The existing literature as I outlined in detail in the literature review has looked at many angles of cross-sector social partnerships, from dyadic to multiple organizations; from mandated to spontaneous, motivation and success factors, and others. *However, I argue that the findings and research offer compelling arguments also about the importance of linking the existing social alliance literature with the geography of (social) innovation literature. In particular, I argue, it is important to have a place-based focus when resolving complex problems through collective action networks.*

These social alliances that I have studied are collaborative networks and “emerging within and reliant upon place-specific characteristics, including the cultural, social, and environmental resources of a locality, but also involving new forms of social actions and learning.” (Baker & Mehmood, 2015, p.328). All three cases are characterized by an *explicit connection and attachment to place - all three social alliances have spatial or territorial properties.*

The findings show that these places - irrespective of being in an urban, rural or remote area - manifest high spatial, social and economic disparities and exclusion. They are also the playgrounds of ‘wicked problems’ — those complex, intertwined and interdependent issues that require the collective enterprising and joint

efforts of collaborating organizations – these ‘unlikely allies’ - to address them and find solutions. Rightfully so, economic and social prosperity and the well-being of rural, urban and remote areas and their citizens are on the minds of the organization constituting the collective action networks. ***The complex problems feature substantial interdependencies among multiple systems and actors, and have redistributive implications for entrenched interests (Van Wijk et al., 2018) which also have spatial qualities<sup>185</sup>.***

The case-studies have shown the collective efforts of network partners reinforcing ***place-based*** development outcomes and resilient ***local*** communities. ‘Place’, ‘territory’ or ‘locality’ and the people who inhabit them are inherently and explicitly tied into creating responses to growing challenges of displacement, disenfranchisement, economic/social exclusion. In case-study 1/BNY, there was a constant reference to the “Yard as a place” or “campus”; in the case-study 2/Alvelal, there was reference to Alvelal as a place for testing landscape restoration or even mentioning of “Alvelal territory”. In case-study 3/SSP, there was referencing of Southeast Alaska as a region, a place for regeneration and resilience, or a territory where partners are not only attached to but clearly want to change for the better.

In all three cases there is a heightened and more emphasized sense of place attachment. The people and organizations involved are using collaborative and place-based sustainability strategies and approaches to address complex and deeply embedded crises that manifest in these places. These joint efforts, strategies and approaches are geared toward fully unlocking the potential of the ***places and people where people find themselves, into places where they want to live*** (Arefi, 2014<sup>186</sup>).

The social alliances manifest place-based solutions by developing and executing shared approaches and strategies focusing on physically revamping, regenerating and reviving places and spaces through collective efforts. Or, as I have demonstrated, the social alliances have developed shared approaches to physically upgrade existing buildings, add new physical infrastructure, restore farming land, or quite importantly have used the places as a generator for new and exciting social and/or community enterprises that pursue social, economic, and ecological outcomes next to financial ones.

***In conclusion, these cases confirm the inter-relationship between collective action networks, place-attachment and social transformation - and in particular recognize social alliances as vehicles or tools for transformation as well as the promotion of resilient and sustainable places.***

## ii) Contribution to social alliance literature

The second contribution is to the social alliance literature, and in particular I have expanded the academic literature on the meso-level of social change and transformative capacity of social alliances, and also organizational theories by accentuating the importance of ‘spaces’ in collective organizational enactment.

#### A. Expanding the academic literature on the meso-level of social change and transformative capacity

In particular, I have *empirically extended the work of Van Wijk et al. (2018) and Kim, Wennberg and Croidieu (2016)* to no longer neglect the meso-level, and opening up the black box or middle ground of meso-level processes within social alliances. The final (meta-) framework in Table 22 particularly canvasses in a more comprehensive way the related collective processes that are at play in networked-based collective action settings.

Also, drawing from the findings, I have expanded the existing literature on transformative capacity. Whereas existing authors Seitanidi et al. (2011), Van Tulder & Keen (2018), Casta'n Broto et al. (2019) and Rey-Garcia et al. (2019) conceptualized transformative capacity, building capacity or social innovation capacity, *I have extended their great work through empirical insights and detailed processual aspects of this capacity. Specifically, I have shown that transformative capacity emerges as a function of collective agency, as a quality of a collective action network, and as a prerequisite for social change: key actors permeate and imbue the network with collective processes, the effects of which are capacity to attain transformation. Why does this matter, and how is this different from the existing literature?*

As the reader may recall, in this literature review, I have referred to the concepts of collective agency. The concept of collective agency (Koschmann, Kuhn and Pfarrer, 2012; Pelenc et al., 2015; Ibrahim, 2017; Rauschmayer et al., 2018) alludes to the capacity of a collective to define common goals and to act upon them to achieve social change (Pelenc et al., 2015; Ibrahim, 2017; Rauschmayer et al., 2018). *The three cases in particular have demonstrated that within the wicked problem domain strategic agency can indeed be expressed collectively.*

In these three cases, I have demonstrated how over time key agentic organizations that constitute a collective action network develop, promote and implement novel solutions to social problems in ways that are directed toward producing profound change. And thus, *agency at the meso-level has indeed a collective dimension* (Ibrahim, 2006; Rauschmayer et al., 2018).

Institutional theory and in particular institutional entrepreneurship (DiMaggio, 1998; Garud et al., 2007; Johanson & Waldorff, 2017) in this respect confirm and explain how through the agency of actors' activities and interactions institutional structures can potentially be modified, and resources can be leveraged to create new institutional or transform existing ones (DiMaggio, 1998; Mair & Marti, 2004; Cajaiba-Santana, 2014). Institutional entrepreneurship also puts more emphasis on the role of actors and agency in institutional change processes (Purtik & Arenas, 2019). There is also wide-spread agreement on conceptualizing institutional entrepreneurship as a collective process, rather than the achievement of a single organization (Ferraro, Etzion and Gehman, 2015).

As I have shown, actors through their joint actions and interactions can break loose from the prevailing (institutional context), and can enable *new proto-institutional shifts at the meso-level to emerge through joint efforts, and thus shifting their context and solving their complex problems. The joint actions or cooperation creates a collective potential beyond any individual's capability and may provide a vehicle for increased agency (Rauschmayer et al., 2018), and in this process collective agency is pivotal in moving the process of transformation forward (Westley et al., 2013). Agentic actors develop, promote and implement novel solutions to social problems in ways that are directed toward producing profound change (Cajaiba-Santana, 2014; Van Wijk et al., 2018).*

*Collective agency is thus a prerequisite to move the process of transformation forward from the meso- to the macro-level. It is however, at the meso-level where the network across multiple organizations forms, and within this meso-level where key collective (agency) processes emerge that align an entrepreneurial collective and their actions, interactions and initiatives progressing toward prospective shifts and transformation at macro-level.* These collective (agency) processes as I have previously explained can be distinguished into two types of interdependent collective processes: i) to drive, arrange and enable the social alliances, and ii) at the same time also having territorial, relational and proto-institutional qualities.

Lastly, I have explicitly referred to the roles played by anchors or leading and driving force organizations (i.e., conveners, stewards, communicators, translators, vision-setters, gate-keepers, sandboxers (reconciliators/mediators), connectors, bridge builders, orchestrators) throughout the networks. The role of anchors at the meso-level has been largely ignored in the social alliance or collective action network literature. These leading organizations have played an important role stewarding, driving and offering leadership to the collective action networks. I have identified numerous roles throughout the research, which has extended some ground-breaking work of Cullen-Lester & Yamarino (2016) on collective and network approaches to leadership. I have offered a more enriching vocabulary on anchor roles at network level or collective leadership roles which are not reducible to the micro-level (Cullen-Lester & Yamarino, 2016).

As this form of organizing across multiple and diverse organizations is becoming more and more frequent, it comes as no surprise that the role of anchors becomes crucial in leading, managing and coordinating a network. Also, the active involvement of key anchors has been critical for leveraging the different resources and strengths, as well as the sustainability of the networks. The anchors help to make emerge innovative networks for cross-sectoral and interdisciplinary problem-solving while at the same time promoting social, ecological and economic development, self-reliance, and inclusion of vulnerable groups.

#### **B. Contribution to organizational theories: 'spacing' in collective action networks**

This research also highlights a rather understudied element in collective organizational enactment when solving complex problems. This understudied element has everything to do with the concept of 'space' and

perhaps even more important ‘spacing’, which has already existed in organizational theories. I have elaborated further below.

Throughout this research I have referred to scholars (Flanagin et al., 2016; Falconbridge, 2017; Van Wijk et al., 2028; Cohendet et al., 2020) who have referred to ‘spaces’, herding spaces, interactive spaces, collective action spaces, and spaces as cognitive constructions and cognitive platforms; the case-studies too have referred to safe spaces and spaces for rapprochement. In organizational theory literature and in particular literature on collective action, rarely has there been a focus on how organizational spaces (drawing from organizational theorists, including Taylor and Spicer, 2007; Beyes & Steyeart, 2012; Wilhoit, 2018) can contribute to solving complex problems and achieving social change. Indeed, organizational spaces and their link with collective action networks has been neglected.

I believe this research in particular sheds a new light and a deeper understanding of **organizing of organizational spaces**. In particular, I have moved away from looking at spaces as something that a network or an organization possesses (Wilhoit, 2018) to an emphasis on spaces also as something that needs to be constituted or created. Organizational theorists conceptualize this shift from space as a quality of an organization, to ‘spacing’ as organizing for organizational spaces, and as something processual (Beyes & Steyeart, 2012).

Drawing from Flanagin et al. (2016) these collective action spaces can help account for a diverse group of organizations, that through ‘spacing’ make emerge ties, actions and interactions for close engagement and participation, as well as creating shared experiences and knowledge.

This emphasis on spaces and spacing within collective action networks, **contributes to Cohendet et al. (2010, 2011, 2020) who looked at the middleground as the level where the work of agentic actors and collectives enables and precedes innovation. I argue that this research can indeed tell me something about the middleground constituted by a collective action network, involved in spacing to making emerge (cognitive) spaces for action and interaction.**

These collective action networks are middleground spaces (or in the words of Van Wijk et al. (2018, p. 895) “interactive spaces”) where the creative potential of a group of organizations to innovatively solve complex problems comes to expression. All three cases show a networked form of organizing, more structural arrangements, through which new relationships and networked social practices become established which over time enhance the legitimacy and stability of the network, as well as enhance diffusion of the collective processes across the network. **Also, drawing from Cohendet et al. (2010, 2011, 2020) in these middleground spaces, place-based organizations build relationships through collective projects and key collective events, tools and gatherings to create shared codes, values and rituals and practices to constitute a newly recognized and legitimate baseline for collaboration which is disseminated across the network.**

Particularly, case-study 1/BNY corresponds with Cohendet et al.'s focus on creative cities and inner-urban areas as geographically bounded innovative environments with creative potential; I have extended the author's work to other sites and places, including a rural area (case-study 2/Alvelal) and a remote area (case-study 3/SSP), where the middleground is the level where the work and potential of agentic actors and collectives lead to transformation.

### iii) Implications of this research for practitioners

Lastly, I believe this research has practical importance for social innovation partnership practitioners, non-profit managers, social enterprises, philanthropists and other social impact-driven organizations and investors who are interested in finding sustainable, long-term transformative and socially innovative solutions to deeply embedded social, economic and ecological problems. In particular, the processes outlined in the final (meta-) framework can serve as a tool to assess and measure whether the social alliance is indeed on track to produce transformative capacity. Here below I present a table with ***concrete strategic actions to successfully pursue and make emerge transformative capacity.***

Strategies for transformative capacity	
<b>Having leading and driving force organizations</b>	Collective action networks require one or more anchor organizations, who are mission-driven whilst achieving social and financial goals. They are instrumental in acting as a leading and driving force organization(s). These anchors or leading organizations steward the network toward a thriving environment and space for joint projects. They play the role of a convener, mediator, gate-keeper, advocates and vision-setter. They position themselves as an 'intermediary organization' between various stakeholders, and championing specific projects or acting as a neutral platform to convene diverse and at times competing interests to create shared rewards. They help ensure a broad coalition of organizations whose missions are aligned, building connections and synergy between sectors and actors. They ensure partners together create a common vision for a thriving environment and space. The anchors help making emerge innovative networks for cross-sectoral and inter-disciplinary problem solving while at the same time promoting social, ecological and economic development, self-reliance, and inclusion of vulnerable groups. The anchors offer overall backbone support as well as programmatic and fundraising support.
<b>Iterating, experimenting, learning by doing through joint projects</b>	Partners need continuously iterating, experimenting and learning together on a project-by-project basis where the ethos is to create and achieve economic, social and ecological inclusiveness. Projects need to be mission aligned, and at times mission-critical. All projects need to reflect opportunity recognition for quick wins between network actors, and can be top-down as well as bottom-up initiatives. These projects can be carried out simultaneously at multiple levels through formal or informal engagements between key stakeholders that constitute a vast web of relationships and ties. All projects, small or large, episodic or long-term, top-down or bottom-up, are mission-aligned, and therefore feed into achieving the overall network mission.
<b>Mainstreaming inclusiveness</b>	Key partners need to ensure that the needs of users, citizens and civil society organizations are fully considered particularly through programmatic pathways. Each pathway has (flagship) interventions or projects that create opportunities for inclusive engagement and collaboration amongst stakeholders in support of local plans and community-based initiatives. Through co-creating and co-designing strategies and activities local stakeholders and organizations need to assess the needs of the communities they are serving, including delivery through inclusive plans and budgets. Collaboration across sectors, prioritized projects and pathways will allow partners to learn from each other and effectively allocate scarce resources, whilst fostering coordinating inclusive and transformative joint projects that engage, allow participation, include and allow representation of disenfranchised groups. The joint projects can focus, among others, on socio-economic inclusion and protection, workforce development and skills of the future, as well as helping to set up community based social and eco-enterprises.
<b>Building Coherence</b>	Cross sector collaboration is expressed on a project-by-project basis between key and mutually interdependent actors who offer and allocate their respective expertise, skills and resources; together driving and aligning different organizational mandates and interests into symbiotic relationships; creating buy-in into a shared vision and acting on it together; as well as proactively cultivating relationships with various stakeholders, within and outside of the respective spaces, localities and territories; and gauging diverse input and insights to co-design and co-create solutions together through constant formal and informal meetings and communications.  Quite significantly, over time network organizations need to identify themselves as members of the network - the membership can be associated with key coordinating structures, properties, values, rituals and types of behavior to create cohesiveness, integration and consistency. Partners need to imbue the collective with a common language and change framework with overarching approaches and methods around working together as a collective, and meaning

	making exercises around what it means to be a member of the collaborative network. These novel collective approaches help transform underlying mental - even at times adversarial (mental) models - into collaborative and shared mental models between the partners.
<b>Building place-based collective resources</b>	Successful social alliance networks can generate collective and place-based resources that help network partners address needs and accomplish goals. Such resources can be physical, social and economic. The emergence of shared network resources is important, because these resources could not have been acquired independently. The emergence of collective resources through network-based collective action offers a refreshing perspective on network performance and addressing traditional public, private and social sector failures to produce (public) benefits, and actually amplifies the potential of collaboration to create (new) collective goods.
<b>Thinking forward</b>	Collaborating through collective projects requires partners thinking forward and envisioning a new future of the place and their projects. Whether as a reflection of replication or expanding the footprint of a project, or a dialogue about how to increase the impact of existing projects, or developing alternative visions for projects—partners can constantly envision how to improve or how to replicate success to other locations. Launching iterative projects reduces risks of failure, as well as opening up opportunities to keep learning as partners reflect on how to improve and scale the impact of a project beyond its initial scope. It creates opportunities for partners to be reflective and aware of what it takes for a project to succeed or to improve over time.
<b>Enabling Mechanisms</b>	Co-locating, social and cognitive closeness between actors, along with building trustful relationships favors the actions and interactions of a place-based community of organizations enterprising collaboratively for the purpose of shared benefit. Through the evolution of joint projects, key stakeholders cultivate effective and productive relationships with each other. This is important, because improving or scaling projects beyond their initial footprints requires generating goodwill, shared experiences and knowledge, as well as continued trusting relationships among existing partners to further enable future collaborations. The projects are never truly finished, and the next iteration is an evolution of the previous one.

Table 23: Strategic actions for transformative capacity

#### 5.4 Limitations of this research

First of all, I am not stating that all wicked or complex problems can be solved through network-based collective action, however this research does offer compelling evidence how a heterogeneous collaborative or networked arrangement across disparate organizations can manage and mitigate the challenges associated with solving wicked and complex problems.

I am mindful and aware that the argument can be made that this research may not have achieved theoretical saturation, as I have only studied collective processes associated with three successful social alliance cases in detail. Perhaps, indeed, if I would have had access to a failed case setting (which I did look for as I already have indicated in Chapter 3 on the methodology) I would have been better able to identify also the boundary settings of the collective processes.

Theoretical exhaustion, however, never has been my goal, rather modesty and offering plausible new and reasonable insights in further deepening my understanding of the meso-level of social alliance networks. The meso-level is a new area of research, and due to limited time and resources, and amidst a full pandemic, I had to make a strategic decision about the cases I would select and study. I picked those case-studies which would offer the highest likelihood of collecting primary data and available secondary data.

I am confident that - although this research process will not produce generalizability from a statistical point of view - it has produced important, probable, analytical and replicable insights about transformative capacity of social alliances. I have produced a replicable framework that maps key collective processes that constitute the transformative capacity of a social alliance.

I am also mindful that the argument can be made that this research was biased by the preliminary theoretical framework. I do however disagree with this assessment. The preliminary theoretical framework encouraged me to test the approach, and to extend the lessons learnt in the first case-study to inform another case and to potentially uncover similar processes in other contexts - this approach has worked (Khan & VanWynsberghe, 2008). According to Dyer & Wilkins (1991) the number of cases or the page length is not the big issue. The importance instead is the researcher's ability to understand and describe the context of the scene in question in such a way so the reader can understand the context and to produce theory in relationship to the context (Gustafsson, 2017).

Interviews, were conducted in an open manner through expert interviews so to give a chance to discover other processes that the preliminary theoretical framework may have missed. The different frameworks have even underscored those collective processes which were unique to each case-study. Furthermore, the availability of secondary data has been rich, and therefore valuable for additional insights and triangulation purposes. Lastly, the interim reports were immensely important for refuting and validating my interpretations of the data. The feedback that I have received corroborated my interpretations, and used to adjust the framework as I have moved forward with the research. The fact also that I was approached by a 'new' social alliance to advise them on their strategies, approaches, initiatives, is equally revelatory of the usefulness of the framework for social alliance practitioners.

Lastly, a potential third limitation that can be argued about this research: I am not stating that there is causality between these key processes and the social change that has been attained. I am simply making the case that there is a link or relationship between collective agency processes and transformation over time. In order to assess the depth and correlation of these processes in relation to transformation, a more in-depth study and quantitative study needs to be carried out, which at this point is beyond the scope of this study.

The goal of this research has also not been to investigate the intensity or power dynamics of certain relationships and actors. I have only attempted to isolate, identify and map the collective processes that are relevant in building the transformative capacity of a social alliance that has been successful at achieving social change, or at least on the trajectory of delivering on their promise of social change. By no means in this arrangement exclusive, nor is it normative or (statistically) exhaustive - these are the common attributes of a particular form of organizing, which is place-based, networked and heterogeneous. I have developed a practical tool that I can apply and adapt in other potential contexts.

## 5.5 Future research and direction

The selected three cases have been different and comparable, and have generated common and unique insights. I believe that attempting to explore and identify collective processes in successful settings has enabled me to uncover and canvas novel processes to create a framework that is as comprehensive as possible.

It would therefore be quite important to test the framework in other settings. First of all, I have researched longer-lasting collaborative networks, and thus of immediate interest, is to test the framework in mandated and time-bound social alliance network with generic social change objectives. Equally, interesting would be to further investigate the framework within (a) failed social alliance setting(s). As I have highlighted in the methodology section of this research, I had identified a failed case-setting - the stakeholders however were not willing to be part of the research. A potential methodology for a failed case, might be to do a mix of process tracing methods along with a quantitative survey assessing the extent to which stakeholders who were part of the failed social alliances agree with statements drawn from the framework.

The framework could potentially also be tested in another setting, which I have come across, being a virtual social alliance setting. The virtual social alliance is quite interesting as it can potentially extend the place-based and territorial feature of the framework in a context where place is a *virtual space*. The virtual aspect, also further extends the concept of place-attachment to also include virtual spaces, and online platforms for producing potential social, economic and ecological impact.

One particular component of this research is to further zoom into the role of donors and philanthropists. In all three cases, I have observed the long-term commitment and investment of key donors from the public, private and philanthropic sectors. The funding relationships and the funding mandates that the implementing partners receive is and has been an oft-neglected angle in the social innovation literature. Irrespective of the donor being the City of New York, the Conservation Society, or Commonland, these donors have embraced a long-term funding and investment horizon, which in addition to being bold, is also a radical shift away from traditional philanthropic and investment models, which are short-term, project cycle driven, and needing to fit with donor objectives.

Further research may look into place-based properties of social alliances and sustainable development. A particular perspective that is of growing interest is the potential of a place to respond to and adapt to external and internal crises. This opens the research to a place-based focus of social innovation, and an important contemporary concern around the world, how and under what circumstances more adaptive and resilient, more sustainable, and inclusive forms of development can be promoted that are place-based, or within a given geographic area. Further research may cast a light on the presence of social, economic and ecological capital and entrepreneurial capacity in a given place or space.

Network researchers may be also interested in researching the causality and correlation between the collective processes and transformative capacity, or further researching the linkages and interlinkages between network partners, their size, connectivity, density or frequency of linkages and interactions. Of particular importance also maybe, research in further researching how a networked organizational logic and ethos is diffused and disseminated across within the organizations that are part of the network, which could be of interest for organizational learning practitioners.

What could be a potentially interesting avenue for further research is to further research questions of collective identity. These organizations at a particular point in time start identifying themselves as members of a network, which builds into the question of collective identity, and to what extent these successful coalitions create shared identities, and perhaps equally important to what degree this collective identity overlaps or takes over individual organizations identity and purpose. Linked to this question, is better identifying and researching which specific processes, tools, approaches and knowledge cascade back into the individual organizations. It would be equally relevant to research to what extent and in which ways network achievements and performance affects benefits, advantages and outcomes accrued (i.e., competitive, financial, sustainability) at the individual organizational levels.

Lastly, this research has further unpeeled a layer in relation to fundamental questions about one of social entrepreneurship's key challenges, which revolves around scaling socially innovative solutions. I hope that this research has revealed that that question in relation to scaling social innovation or scaling social change in relation to contemporary, complex and challenging problems, is extremely complex. However, it is not impossible. I believe these social alliances are revelatory of a new operating system, a new 'grammar' of sorts, to problem-solving, where the focus indeed is more on the levels of transformation manifesting at the meso-level, and particularly the need to focus more on the quality of the inter-organizational action and interactions and the quality of the coalitions to have an informed conversation about how a group of diverse organizations have actually succeeded in transforming their realities for the better. More scholarly research on scaling and replication of meso-level processes across other places, sites and spaces is thus quite compelling.

## END NOTES

<sup>1</sup> Other authors take this perspective on social innovation as a process further by describing the social innovation process as “agentic, relational, situated, and a multi-level process to develop, promote and implement novel solutions to social problems in ways that are directed towards profound change in institutional contexts” (Van Wijk et al., 2018, p.3); and that this multi-level process is across the micro, meso and macro levels where innovative solutions develop in different stages with very different actors and very different institutional contexts (Cajaiba-Santana, 2014; Van Wijk et al., 2018).

<sup>2</sup> The World Bank, Urban Development, available via <https://www.worldbank.org/en/topic/urbandevelopment/overview>, and accessed 29 May 2021.

<sup>3</sup> There are essentially two strands of literature that look at alliances. One strand, which we call the traditional strand, focuses on strategic alliances, whereas the other strand focuses on social alliances. Inter-organizational relationships have been the subject of rich theoretical and empirical study by multiple disciplines for decades (Austin, 2000). To start with collaborative alliances literature for decades has focused on the relationships between similar organizations, and particularly inter-organizational relationships between firms known as strategic alliances (Gulati, 1995). Very specifically Elmuti & Khatawala (2001) define strategic alliances as partnerships of two or more corporations or business units that work together to achieve strategically significant objectives that are mutually beneficial. Other authors have been looking at the conditions under which relationships form (Oliver, 1990); the motivations for firms to enter into relationships (Gulati, 1998; Elmuti & Kathawala, 2001); firm-level alliance capability (Kale & Sing, 2009) alliance management and performance (Wang & Rajagopalan, 2014; Niesten & Jolink, 2015); strategic alliances as networks or ‘third-type’ organizational arrangements next to hierarchies and markets (Grandori & Soda, 1995; Gulati, 1998; Westerland & Rajala, 2010); success and failure factors impacting alliances and their performance (Doz, 1996; Elmuti & Khatawala, 2001); as well as alliances as co-innovation and collective learning strategies (Doz, 1996; Larsson et al., 1998; Bossink, 2002; Grant & Baden-Fuller, 2004). The most important take-away from this extensive and vast literature is a significant amount of theories, empirical work examining the role of strategic alliances in enhancing a firms’ innovative output, maximizing economic performance, and sustained competitive advantage.

<sup>4</sup> However, throughout the middle of the 1990s newer forms of inter-organizational relationships have also emerged which are distinct from their inter-firm counterparts. These new class of alliances (Kale & Sing, 2009), are multi-party alliances, and involve cooperation between private and social sector stakeholders as well as public sector actors, which were initially defined as social alliances (Waddock, 1991). Ring & Van de Ven (1994) conceptualize them as agreements for collective action to maximize social, economic or political benefits and minimize social, economic or political costs.

<sup>5</sup> In this respect, Cajaiba-Santana (2014, p. 43) further provide that social innovation relates to collective social action aimed at social change, and that institutional perspectives view social innovation as a result of the exchange and application of knowledge and resources by agents mobilized through legitimization activities; social innovation is created as a transformative force through the inter-relationship between agents, institutional structures, and social systems.

<sup>6</sup> Provan & Kenis (2007) further provide a compelling distinction between different networks - between those that are self-initiated or serendipitous, or mandated and ‘goal directed’. “Unlike serendipitous networks, which develop opportunistically, goal-directed networks are set up with a specific purpose, either by those who participate in the network or through mandate, and evolve largely through conscious efforts to build coordination.” (Provan & Kenis, 2007, p.231)

<sup>7</sup> Thus far, only a limited number of studies have explored transformative partnerships (Seitanidi et al., 2010), or have even discussed how, and what types of transformational changes could be brought about through collaboration (Calton et al., 2013; Montgomery et al., 2012; Quarshie et al., 2016)”; and that “further investigations of possible catalysts, mechanisms, impacts as well as change process development (-) are necessary.” (p. 379)

<sup>8</sup> Rey-Garcia et al. (2017, p. 1419) also propose that “the competitive advantage of social alliances as social innovators is developed in the confluence of **two interconnected dimensions: i) resources:** efficient and effective capturing, combination, creation and institutionalization of resources supporting the **development of CSP dynamic capabilities; and ii) coordination: an effective governance system** that facilitates participation and interaction among the partners and with external stakeholders, particularly beneficiaries, so that transformational outcomes for society are achieved.”

<sup>9</sup> Eisenhardt & Graebner (2007, p. 27) provide specifically “just as laboratory experiments are not randomly sampled from a population of experiments, but rather, chosen for the likelihood that they will offer theoretical insight, so too are cases sampled for theoretical reasons, such as revelation of an unusual phenomenon, replication of findings from other cases, contrary replication, elimination of alternative explanations, and elaboration of the emergent theory.”

<sup>10</sup> These cases have been the 1. Brooklyn Navy Yard, 2. Swiss Triple Impact and BLab in Fribourg, 3. Commonland-Alvelal, 4. The Sustainable Southeast Partnership, 5. The Green Growth Knowledge Platform, 6. African Parks - Akagera Rwanda, and 7. P4G Partnership - Smart Green Logistic City Partnership in China, 8. Ballsall Heath - Historic Moseley Road Baths.

<sup>11</sup> Social alliance network of inter-, cross-, and mutual dependence between stakeholders.

<sup>12</sup> From Urban Next, Building 77: a Modern Production Facility at the Brooklyn Navy Yard, Marvel Architects, Fall 2017, available at <https://urbannext.net/building-77/>, accessed on 12 April 2018.

<sup>13</sup> From Commonland, The starting point is inspiration: proving change is possible, available via <https://www.commonland.com/landscapes/the-starting-point-is-inspiration-proving-change-is-possible/>, accessed 03 February 2020.

<sup>14</sup> From Anna Simet, Coast Guard, USDA strategize for biomass in southeast Alaska, Biomass Magazine, 31 July 2012, available via <http://biomassmagazine.com/articles/7904/coast-guard-usda-strategize-for-biomass-in-southeast-alaska>, accessed in 25 March 2020.

<sup>15</sup> Haig (2005) - In popular accounts of inductive method (e.g., Chalmers, 1999), the scientist is typically portrayed as reasoning inductively by enumeration from secure observation statements about singular events to laws or theories in accordance with some governing principle of inductive reasoning. Sound inductive reasoning is held to create and justify theories simultaneously, so that there is no need for subsequent empirical testing. Some have criticized this view of method for placing excessive trust in the powers of observation and inductive generalization, and for believing that enumerative induction is all there is to scientific inference. The hypothetico-deductive method is standardly portrayed in minimal terms: The researcher is required to take a hypothesis or a theory and test it indirectly by deriving from it one or more observational predictions. These predictions are amenable to direct empirical test. If the predictions are borne out by the data, then that result is taken as a confirming instance of the theory in question. If the predictions fail to square with the data, then that fact counts as a disconfirming instance of the theory. See also definitions from Reichertz (2010).

<sup>16</sup> “Abduction suggested explanations, which were then formalized into deductions, which induction confirmed them through empirical testing: “Abduction seeks a theory. Induction seeks for facts” (Peirce, 1958, p.217-218).”

<sup>17</sup> Although qualitative data are preferred in all of case-study designs, quantitative data are seen as a possible opportunity to strengthen cases by such data (Ridder, 2017).

<sup>18</sup> There are four types of triangulation: Denzin (2017) proposes four basic types of triangulation, data, investigator, theory and methodological triangulation. Data triangulation: involves time, space, and persons. Investigator triangulation: involves multiple researchers in an investigation. Theory triangulation: involved using more than one theoretical scheme in the interpretation of the phenomenon. Methodological triangulation: involves using more than one option to gather data, such as interviews, observations, questionnaires, and documents.

<sup>19</sup> "The sequence here is important.. (-) No idea or insight about the data can be used to interpret the data set until it has first been shown to be important in individual experience. Insights from one account sensitize the investigator to similar information as it occurs in other accounts. As an idea occurs repeatedly in multiple contexts, the investigator instantiates the idea as a theme." From Ayres, Kavanaugh and Knafelz, 2003, p.872.

<sup>20</sup> The final cross-analysis will be a grounded and sequenced sorting and sifting through the cases with the aim to identify recurring patterns and themes (Miles/Huberman, 1994), whilst being mindful of key differences, so that we do not disregard the uniqueness of each case. This strategy is about identifying, comparing and reconnecting significant statements within and across the cases (Aynes, Cavanaugh and Knafelz, 2003).

<sup>21</sup> The task here is not to figure what model (i.e. explanation(s)) best fits a single set of data but to ascertain whether the model holds across different data sets (Haig, 2005).

<sup>22</sup> There are four types of triangulation: Denzin (2017) proposes four basic types of triangulation, data, investigator, theory and methodological triangulation. Data triangulation: involves time, space, and persons. Investigator triangulation: involves multiple researchers in an investigation. Theory triangulation: involved using more than one theoretical scheme in the interpretation of the phenomenon. Methodological triangulation: involves using more than one option to gather data, such as interviews, observations, questionnaires, and documents.

<sup>23</sup> Doctoroff, Daniel L., Greater than Ever - New York's Big Come Back, Public Affairs New York, 2017.

<sup>24</sup> Doctoroff, Daniel L., Greater than Ever - New York's Big Come Back, Public Affairs New York, 2017.

<sup>25</sup> Brooklyn Navy Yard, History section, A place to build your history, available at <https://brooklynnavyard.org/the-navy-yard/history/>, accessed April 2018; Pratt Center for Community Development, Brooklyn Navy Yard Study, 2013, available via <http://prattcenter.net/research/brooklyn-navy-yard>, accessed on 12 April 2018; Pratt Center for Community Development, Brooklyn Navy Yard - 87An Analysis of Its Economic Impact and Opportunities for Replication, 2013, available via [https://prattcenter.net/uploads/700007/1599063430275/Web\\_2013\\_BNY\\_Full\\_Report.pdf](https://prattcenter.net/uploads/700007/1599063430275/Web_2013_BNY_Full_Report.pdf), and accessed on 12 April 2018.

<sup>26</sup> Doctoroff, Daniel L., Greater than Ever - New York's Big Come Back, Public Affairs New York, 2017.

<sup>27</sup> Doctoroff, Daniel L., Greater than Ever - New York's Big Come Back, Public Affairs New York, 2017.

<sup>28</sup> Doctoroff, Daniel L., Greater than Ever - New York's Big Come Back, Public Affairs New York, 2017.

<sup>29</sup> Map of the Brooklyn Navy Yard, Brownstoner, Brooklyn Navy Yard Aims to Boost New York's Creativity Cred, available at <https://www.brownstoner.com/development/brooklyn-navy-yard-photos-abby-lichtman-situ-ferra/>, accessed in 03 December 2019.

<sup>30</sup> Authors own visualization on key timelines.

<sup>31</sup> Doctoroff, Daniel L., Greater than Ever - New York's Big Come Back, Public Affairs New York, 2017, pp.117-118.

<sup>32</sup> Doctoroff, Daniel L., Greater than Ever - New York's Big Come Back, Public Affairs New York, 2017, p.124

<sup>33</sup> From Guidestar, the Brooklyn Navy Yard, available at <https://www.guidestar.org/profile/11-2137138>, accessed on 08 March 2019.

<sup>34</sup> From NY/EDC, RLab: The First-City Funded VR/AR Center in the Country Opens at Brooklyn Navy Yard, 24 October 2018, available at <https://www.nycdc.com/press-release/rlab-first-city-funded-vr-ar-center-country-opens-brooklyn-navy-yard>, accessed on 09 March 2019.

<sup>35</sup> Bloomberg, The \$2.5 Billion Plan to Turn Brooklyn's Navy Yard Into a Tech Hub, 31 January 2018, available at <https://www.bloomberg.com/news/articles/2018-01-31/brooklyn-navy-yard-to-unveil-2-5-billion-vision-for-tech-hub>, accessed on 09 March 2019.

<sup>36</sup> Map of the Brooklyn Navy Yard, available at Brownstoner, Brooklyn Navy Yard Aims to Boost New York's Creativity Cred, 26 March 2016, available at <https://www.brownstoner.com/development/brooklyn-navy-yard-photos-abby-lichtman-situ-ferra/>, accessed on 03 December 2019.

<sup>37</sup> Since the distribution across Researchgate and other institutes, the report has been quoted in the book Foundries of the Future: a Guide to 21st Century Cities of Making, and has been read and downloaded over 500 times

<sup>38</sup> From Guidestar, the Brooklyn Navy Yard, available at <https://www.guidestar.org/profile/11-2137138>, accessed on 08 March 2019

<sup>39</sup> From Guidestar, the Brooklyn Navy Yard, available at <https://www.guidestar.org/profile/11-2137138>, accessed on 08 March 2019.

<sup>40</sup> Author's own visualization of the Yard's network, based solely on the organizations that were named during the interviews. There are many other organizations out there, but this depiction gives an illustration of how many organizations are connected as part of a web of relationships with BNYDC at the center.

<sup>41</sup> Brooklyn Navy Yard, Mission section, A place to build you're history, available at <https://brooklynnavyard.org/about/mission>, accessed 12 April 2018.

<sup>42</sup> Image courtesy of Ferra Design Inc from the Brooklyn Navy Yard Instagram account, available via <https://www.instagram.com/bklynnavyard/>, ad accessed 18 October 2020. As part of the Made in NY Week organized in coordination with the BNY's Factor Friday tour.

<sup>43</sup> Image courtesy of the Brooklyn Navy Yard Instagram account, available via <https://www.instagram.com/bklynnavyard/>, and accessed 08 October 2020. Image of the largest rooftop garden in New York built by Brooklyn Grange Farm.

<sup>44</sup> Picture courtesy of Wally Gobetz, available via <https://www.flickr.com/photos/wallyg/5080416338/in/photostream/>, and accessed on 08 March 2019.

<sup>45</sup> Image courtesy of Old New York City Photos, available via <https://oldnycphotos.com/navyard40.html>, and accessed on 08 March 2019.

<sup>46</sup> Image courtesy of Rich Gilligan, New Lab's main corridor in the Brooklyn Navy Yard. The 84,000-square-foot collaborative maker space from "Brooklyn's New Lab goes big with a tech hub for urban entrepreneurs", April 26, 2018, available via <https://www.archpaper.com/2018/04/new-lab-goes-big-with-tech-hub-entrepreneurs/>, and accessed in March 2019.

<sup>47</sup> Image courtesy of Metrofocus, from "A Manufacturing Renaissance at the Brooklyn Navy Yard", August 28, 2012, available via <https://www.thirteen.org/metrofocus/2012/08/a-manufacturing-renaissance-at-the-brooklyn-navy-yard/>, and accessed in 08 March 2019.

<sup>48</sup> From Guidestar, Brooklyn Navy Yard, available at <https://www.guidestar.org/profile/11-2137138>, accessed on 08 March 2019.

<sup>49</sup> AFROPUNK FEST Brooklyn is a multi-genre music festival in the New York City borough. Born out of the documentary Afro-Punk which highlighted black punk artists around the United States, the festival has grown into a global movement. The original festival, AFROPUNK FEST

Brooklyn started in 2005 and has evolved over the years to encompass artists from a wide range of genres to augment its inclusive atmosphere. Not limited just to music, the festival is a diverse cultural showcase, featuring film, fashion, visual arts, and skate/BMX parks, all centered around a fiercely independent DIY attitude. For more please visit <https://afropunk.com/brooklyn/>.

<sup>50</sup> BROOKLYN DESIGNS is Brooklyn's premier design event showcasing a cross section of design, architecture and art. Founded by the Brooklyn Chamber of Commerce in 2003, it was one of the first design fairs to shine a spotlight on the creative economy in Brooklyn and serves as an incubator for emerging designers as well as a platform for established brands producing a range of creative products across furniture, lighting, tableware, art, textiles and jewelry. Demonstrating the collaborative spirit of design, the show features inspiring collective exhibits, pop-up lounges, installations, hands-on demos and a diverse conference program in addition to an exciting array of products, including many that have received Brooklyn-Made certification by the Brooklyn Chamber of Commerce. The show will also feature cafes and bars from Brooklyn's beloved vendors as well as family-friendly programming throughout the weekend. For more please visits <https://www.archpaper.com/event/brooklyn-designs/>.

<sup>51</sup> From Guidestar, Brooklyn Navy Yard, available at <https://www.guidestar.org/profile/11-2137138>, accessed on 08 March 2019.

<sup>52</sup> Google maps <https://www.google.com/maps/place/Brooklyn+Navy+Yard/@40.6940983,-73.9965326,14z/data=!4m5!3m4!1s0x0:0x836f64bc308ef817!8m2!3d40.6985557!4d-73.9712048>

<sup>53</sup> From Guidestar, Brooklyn Navy Yard, available at <https://www.guidestar.org/profile/11-2137138>, accessed on 08 March 2019.

<sup>54</sup> From Guidestar, Brooklyn Navy Yard, available at <https://www.guidestar.org/profile/11-2137138>, accessed on 08 March 2019.

<sup>55</sup> From Guidestar, Brooklyn Navy Yard, available at <https://www.guidestar.org/profile/11-2137138>, accessed on 08 March 2019.

<sup>56</sup> Image courtesy of the Brooklyn STEAM Center, available via <https://www.brooklynsteamcenter.org/about-us>, and accessed in 08 March 2019.

<sup>57</sup> Brooklyn Navy Yard, the Employment Center, available at <https://brooklynnavyard.org/employment-center/about-the-employment-center>, accessed 12 April 2018.

<sup>58</sup> From Guidestar, Brooklyn Navy Yard, available at <https://www.guidestar.org/profile/11-2137138>, accessed on 08 March 2019.

<sup>59</sup> From Guidestar, Brooklyn Navy Yard, available at <https://www.guidestar.org/profile/11-2137138>, accessed on 08 March 2019.

<sup>60</sup> From Guidestar, Brooklyn Navy Yard, available at <https://www.guidestar.org/profile/11-2137138>, accessed on 08 March 2019.

<sup>61</sup> Brooklyn Navy Yard, Visit the Yard, available at <https://brooklynnavyard.org/visit/publicspaces>, accessed on 12 April 2018.

<sup>62</sup> Image courtesy of L Magazine, from "Inside Building 92, the Brooklyn Navy Yard's New Historical Museum", November 15, 2011, available via <https://www.themagazine.com/2011/11/inside-building-92-the-brooklyn-navy-yards-new-historical-museum/>, and accessed in 08 March 2019.

<sup>63</sup> Image courtesy of Anne Seymour, from "The Brooklyn Navy Yard Sees Challenges And Success in Community Engagement", December 17, 2018, available via <https://bklyner.com/brooklyn-navy-yard-sees-challenges-and-success-in-community-engagement/>, and accessed on 08 March 2019

<sup>64</sup> The Cooper Union Retraining Program for Immigrant Engineers at CAMBA. For more please visit <https://camba.org/programs/the-cooper-union-retraining-program/>.

<sup>65</sup> These pictures were taken by the author during her visit to the Yard in 2019, and copyrighted by Azadeh Tajdar.

<sup>66</sup> Picture courtesy of BWI, available via <https://bwiny.org/>, and accessed on 08 March 2019. For more on how BWI helps jobless and working poor New Yorkers establish careers, please click on the BWI Mission Video, available via <https://vimeo.com/342064705>, accessed on 08 March 2019.

<sup>67</sup> These key approaches also show close resemblance to approaches identified by the World Bank as multi-dimensional social, economic and spatial inclusion approaches required for inclusivity in cities (World Bank, Inclusive Cities Approach Paper, by Fernando Armendaris, 2015/05/01, available via <https://documents1.worldbank.org/curated/en/402451468169453117/pdf/AUS8539-REVISED-WP-P148654-PUBLIC-Box393236B-Inclusive-Cities-Approach-Paper-w-Annexes-final.pdf>, accessed on 24 October 2018).

<sup>68</sup> From The Circular City, available via <https://newlab.com/studios/circular-city-studio>, accessed on 15 August 2019.

<sup>69</sup> From The Circular City, available <https://newlab.com/studios/circular-city-studio>, accessed on 15 August 2019; and also by the New Lab, The Circular City - a new model for collaboration, 30 May 2018, available via <https://medium.com/newlab/new-lab-circular-city-new-lab-city-159d1f540194>, and accessed on 15 August 2019.

<sup>70</sup> From the Center for Architecture Inc., the Zero Waste Design Guidelines, 2017, available on <https://www.zerowastedesign.org/about-the-guidelines/>, and accessed on 15 August 2019; and also Clare Mifflin, Juliette Spertus, Benjamin Miller and Christina Grace, Zero WasteDesign Guidelines - With support from Design Strategies and Case Studies for a Zero Waste City, available via [https://www.zerowastedesign.org/wp-content/uploads/2017/10/ZeroWasteDesignGuidelines2017\\_Web.pdf](https://www.zerowastedesign.org/wp-content/uploads/2017/10/ZeroWasteDesignGuidelines2017_Web.pdf), and accessed on 15 August 2019.

<sup>71</sup> From NYC Circular City Initiative, available via <https://www.circularnyc.org/levers-for-change/innovation>, and accessed on 12 November 2020.

<sup>72</sup> Image courtesy of Nicole Craine, from "A School That Embraces a Trendy Model: The Start-Up", the New York Times, February 10, 2019, available via <https://www.nytimes.com/2019/02/10/nyregion/brooklyn-navy-yard-vocational-school.html>, and accessed in 08 March 2019.

<sup>73</sup> Image courtesy of BNYDC from "First Look: WeWork/WeLive's New Building at the Brooklyn Navy Yard", May 5, 2015, available via <https://newyorkimby.com/2015/05/first-look-weworkwelives-new-building-at-the-brooklyn-navy-yard.html>, and accessed on 08 March 2019.

<sup>74</sup> Image courtesy of Optimus, from "Self-driving shuttle service is coming to the Brooklyn Navy Yard", March 21, 2019, available via <https://www.6sft.com/self-driving-shuttle-service-is-coming-to-the-brooklyn-navy-yard/>, and accessed on 08 March 2019.

<sup>75</sup> The RLab's partners are chiefly the New York City Economic Development Corporation, the Mayor's Office of Media and Entertainment, then also NYU's Tandon school of engineering; and then a set of participating universities which include Columbia University, the New School and different parts of City University of New York; as well as Lehman College, which is in the Bronx, the McCauley Honors College which is an entity that spans all eight honor senior colleges at CUNY. And then also the CUNY Craig Newmark Graduate School of Journalism. For more please visit <https://www.rlab.nyc/about>; and also NYC Mayor's Office of Media and Entertainment, RLab: The First-City Funded VR/AR Center in the Country Opens at Brooklyn Navy Yard, available via <https://www1.nyc.gov/site/mome/news/10242018-vr-ar-center.page>, and accessed on 15 August 2019.

<sup>76</sup> From the Brooklyn Tech Triangle website, available at <http://brooklyntechtriangle.com/about/>, accessed on 15 August 2019. Brooklyn Tech Triangle is a collaborative partnership between the BNY, the Downtown Brooklyn Partnership and the Dumbo Improvement District, growing together the innovation economy in Brooklyn.

<sup>77</sup> Image courtesy of the RLab, available via <https://www.rlab.nyc/>, and accessed on 19 November 2020.

<sup>78</sup> Walmart is the US' largest retail corporation operating a chain of hypermarkets, discount department and grocery stores.

<sup>79</sup> As a summary, in order to produce the revision of the initial framework, we went through two cycles of coding. During the first cycle, open coding allowed us to look at the data and explore if other 1st order themes might emerge from the case-study - and particularly without looking at the preliminary framework. Then we proceeded with axial and process coding - the second cycle - to produce 2nd order themes. Followed by a circling back and forth between the data, theory, literature and see if other processes are 'out there', if they are recurring themes. We have juxtaposed and color coded the preliminary framework with the characteristics ( themes, concepts and categories) that have emerged from our coding cycles, as well as cross-checking and matching them where they are the same or similar. Here below we have created a table with the recurring themes, concepts, and characteristics that are the same or similar as the ones that have come from our coding of case-study 1. We presented a revised framework in our interim report to the interviewees and wider audience through Researchgate for further feedback.

<sup>80</sup> For more on biodiversity, and definition, please consult Convention on Biological Diversity, Sustaining life on Earth, 06.19.2009, available via <https://www.cbd.int/convention/guide/>, accessed in 25 March 2020.

<sup>81</sup> From 'As southern Spain dries up, its farmers get inventive', by D. Soguel, 17 May 2019, available via, <https://www.csmonitor.com/World/Europe/2019/0517/As-southern-Spain-dries-up-its-farmers-get-inventive>, accessed on 03 February 2020.

<sup>82</sup> From 'As southern Spain dries up, its farmers get inventive', by D. Soguel, 17 May 2019, accessible via, <https://www.csmonitor.com/World/Europe/2019/0517/As-southern-Spain-dries-up-its-farmers-get-inventive>, accessed on 03 February 2020.

<sup>83</sup> From 'As southern Spain dries up, its farmers get inventive', by D. Soguel, 17 May 2019, accessible via, <https://www.csmonitor.com/World/Europe/2019/0517/As-southern-Spain-dries-up-its-farmers-get-inventive>, accessed on 03 February 2020.

<sup>84</sup> From 'PROYECTO TÉCNICO DE LA ACTIVIDAD "ESTADÍSTICA DE PÉRDIDAS DE SUELO POR EROSIÓN EN ANDALUCÍA' Junta de Andalucía 2017, available via [http://www.juntadeandalucia.es/medioambiente/web/Bloques\\_Tematicos/Estadisticas\\_e\\_Indicadores/Estadisticas\\_Oficiales\\_de\\_la\\_Consejeria\\_de\\_Medio\\_Ambiente/SueloPerdidas/EstadisticaDePerdidasDeSueloPorErosion.pdf](http://www.juntadeandalucia.es/medioambiente/web/Bloques_Tematicos/Estadisticas_e_Indicadores/Estadisticas_Oficiales_de_la_Consejeria_de_Medio_Ambiente/SueloPerdidas/EstadisticaDePerdidasDeSueloPorErosion.pdf), accessed on 03 February 2020.

**Soil:** Surface layer of variable thickness, not compacted, caused by the action of the atmosphere (weathering) and living things on the mother rock. In the soil composition a living component (microorganisms, animals and plants) and a non-living component with an organic fraction (humus) and an inorganic or mineral (water, salts, silicates, etc.) are distinguished. In a vertical cut or profile of the soil they are distinguished, arranged in depth, layers or horizons of the soil (A, B, C, etc.) characterized by their composition and the processes that take place in them. There are numerous types of soils, with different aptitudes for vegetation.

**Desertification:** Desertification is the degradation of arid, semi-arid and dry sub-humid areas. Caused mainly by climatic variations and human activities such as cultivation and overgrazing, deforestation and lack of irrigation. Desertification does not refer to the expansion of existing deserts. It happens because dryland ecosystems, which cover a third of the total land, are extremely vulnerable to overexploitation and inappropriate land use.

**Erosion:** Destruction of the earth's surface materials (rocks and soil) by physical separation of particles of any size due to the action of external agents (wind, rain, ice). The intensity of erosion depends on the energy of the erosive agent, the nature of the materials (lithology), the degree of weathering, the slope of the land, and in the case of the soil, the degree of vegetation cover and rooting, by that human actions on vegetation and soil can favor erosion. Runoff: We call runoff to the sheet of water that circulates in a drainage basin, that is, the height in millimeters of rainwater drained and spread evenly. Normally it is considered as precipitation minus actual evapotranspiration.

<sup>85</sup> From 'As southern Spain dries up, its farmers get inventive', by D. Soguel, 17 May 2019, available via, <https://www.csmonitor.com/World/Europe/2019/0517/As-southern-Spain-dries-up-its-farmers-get-inventive>, accessed on 03 February 2020.

<sup>86</sup> From Messe Berlin GmbH 2018, 'Fruiologística - Statistics Handbook Europe', p. 18, available via <https://www.fruitlogistica.com/FRUIT-LOGISTICA/Downloads-Alle-Sprachen/Auf-einen-Blick/Europ-Statistik-Handbuch.pdf>, and accessed on 12 November 2020.

From 'As southern Spain dries up, its farmers get inventive', by D. Soguel, 17 May 2019, available via, <https://www.csmonitor.com/World/Europe/2019/0517/As-southern-Spain-dries-up-its-farmers-get-inventive>, accessed on 03 February 2020.

<sup>88</sup> From the Food and Agricultural Organization, Soil Fertility, available via <http://www.fao.org/global-soil-partnership/areas-of-work/soil-fertility/en/>, accessed on 03 February 2020. And also from 'PROYECTO TÉCNICO DE LA ACTIVIDAD "ESTADÍSTICA DE PÉRDIDAS DE SUELO POR EROSIÓN EN ANDALUCÍA' Junta de Andalucía 2017, available via [http://www.juntadeandalucia.es/medioambiente/web/Bloques\\_Tematicos/Estadisticas\\_e\\_Indicadores/Estadisticas\\_Oficiales\\_de\\_la\\_Consejeria\\_de\\_Medio\\_Ambiente/SueloPerdidas/EstadisticaDePerdidasDeSueloPorErosion.pdf](http://www.juntadeandalucia.es/medioambiente/web/Bloques_Tematicos/Estadisticas_e_Indicadores/Estadisticas_Oficiales_de_la_Consejeria_de_Medio_Ambiente/SueloPerdidas/EstadisticaDePerdidasDeSueloPorErosion.pdf), accessed on 03 February 2020.

<sup>89</sup> From 'As southern Spain dries up, its farmers get inventive', by D. Soguel, 17 May 2019, available via, <https://www.csmonitor.com/World/Europe/2019/0517/As-southern-Spain-dries-up-its-farmers-get-inventive>, accessed on 03 February 2020.

<sup>90</sup> From 'As southern Spain dries up, its farmers get inventive', by D. Soguel, 17 May 2019, available via, <https://www.csmonitor.com/World/Europe/2019/0517/As-southern-Spain-dries-up-its-farmers-get-inventive>, accessed on 03 February 2020.

<sup>91</sup> From the Commonland website, available via <https://4returns.earth/landscapes/revitalizing-land-and-community-in-the-altiplano/>, and accessed in 03 February 2020.

<sup>92</sup> From: The Spanish statistical website which compares different regions of based on their per capita GRP (gross regional product) or PIB in Spanish, the more rural provinces, such as Extremadura, Castilla La Mancha and Andalucía, have a lower GRP than the Basque country, Madrid and Catalonia. Available via Datos Macro, PIB de los comunidades autonomas, <https://datosmacro.expansion.com/pib/espana-comunidades-autonomas>, accessed 03 February 2020.

More than 3.2 million people living in Andalusia are at risk of poverty and / or social exclusion, 38.2% of the total population, being 12.1 points above the state average and being the second community with the highest rate in Spain (in 2017 it was the third community, currently only lower in Extremadura) according to the 2019 published report from Red Andaluza de Lucha contra la Pobreza y la Exclusión Social (EAPN-ANDALUCÍA), 'Radiografía de la Pobreza en Andalucía 2019: LA POBREZA OLVIDADA - Informe sobre el Estado de la Pobreza en Andalucía!', accessible via [http://eapn-andalucia.org/wp-content/uploads/2019/10/2019\\_Informe\\_pobreza\\_andalucia.pdf](http://eapn-andalucia.org/wp-content/uploads/2019/10/2019_Informe_pobreza_andalucia.pdf), accessed on 03 February 2020.

- <sup>93</sup> From Alvelal Association Statutes, Alvelal Association, November 2019, available via [https://b0fe4afc-55da-4d2c-a38d-77098061fca9.filesusr.com/ugd/7bf3ad\\_cb2492e3f9ef4bec87907d0611d7149b.pdf](https://b0fe4afc-55da-4d2c-a38d-77098061fca9.filesusr.com/ugd/7bf3ad_cb2492e3f9ef4bec87907d0611d7149b.pdf), and accessed in 25 March 2020.
- <sup>94</sup> From AG Ideal Agro, J.E. Ruiz, 'Regeneración del suelo y aprovechamiento del agua en las explotaciones agrarias', 17 April 2019, available via <https://agricultura.ideal.es/2019/04/17/regeneracion-del-suelo-y-aprovechamiento-del-agua-en-las-explotaciones-agrarias/>, 03 February 2020; and also from 'As southern Spain dries up, its farmers get inventive', by D. Soguel, 17 May 2019, available via, <https://www.csmonitor.com/World/Europe/2019/0517/As-southern-Spain-dries-up-its-farmers-get-inventive>, accessed on 03 February 2020.
- <sup>95</sup> From Commonland, Elvira Marin, Revitalizing land and community in the Altiplano, available via <https://4returns.earth/landscapes/revitalizing-land-and-community-in-the-altiplano/>, and accessed on 03 February 2020.
- <sup>96</sup> The Interim Report has since its distribution across Researchgate been downloaded over 200 times.
- <sup>97</sup> From the Commonland, Bas van Dijk, Michiel de Man, Dan Mulder Mapping, 4 returns for farms or estates, available via [https://4returns.earth/wp-content/uploads/2019/12/4returns-mapping-template\\_digitalversion\\_V2.pdf](https://4returns.earth/wp-content/uploads/2019/12/4returns-mapping-template_digitalversion_V2.pdf), accessed on 25 March 2020.
- <sup>98</sup> From Commonland, Building a new balance between ecology, economics and hope, homepage, available via <https://www.commonland.com/>, and accessed on 03 February 2020; and also Commonland, Commonland - 4 returns from landscape restoration (EN), available via <https://www.youtube.com/watch?v=e0oItuljYRo>, and accessed on 25 March 2020.
- <sup>99</sup> From the Commonland, What we do, homepage, available via <https://www.commonland.com/what-we-do/>, accessed on 25 March 2020.
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- <sup>101</sup> From Commonland, Bas van Dijk, Michiel de Man, Dan Mulder Mapping, 4 returns for farms or estates, available via [https://4returns.earth/wp-content/uploads/2019/12/4returns-mapping-template\\_digitalversion\\_V2.pdf](https://4returns.earth/wp-content/uploads/2019/12/4returns-mapping-template_digitalversion_V2.pdf), accessed on 25 March 2020.
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- <sup>103</sup> From Commonland, Bas van Dijk, Michiel de Man, Dan Mulder Mapping, 4 returns for farms or estates, available via [https://4returns.earth/wp-content/uploads/2019/12/4returns-mapping-template\\_digitalversion\\_V2.pdf](https://4returns.earth/wp-content/uploads/2019/12/4returns-mapping-template_digitalversion_V2.pdf), accessed on 25 March 2020.
- <sup>104</sup> From the Commonland, Bas van Dijk, Michiel de Man, Dan Mulder Mapping, 4 returns for farms or estates, available via [https://4returns.earth/wp-content/uploads/2019/12/4returns-mapping-template\\_digitalversion\\_V2.pdf](https://4returns.earth/wp-content/uploads/2019/12/4returns-mapping-template_digitalversion_V2.pdf), accessed on 25 March 2020.
- <sup>105</sup> This online community platform is called 4returns.earth. Accessible via <https://4returns.earth/>. The learning platform which is being prototyped can be accessed through the Commonland website - Knowledge and innovation platform. This online space caters to a growing global community of practitioners and other professionals involved in large-scale landscape restoration projects using the 4 Returns framework. The 4 Returns platform connects a like-minded global community that shares ideas, tools, publications, events and stories. The platform also currently offers two Massive Open Online Courses (MOOCs) via Coursera. The MOOCs are available via <https://www.rsm.nl/enable/our-moocs/>
- <sup>106</sup> From European Commission, Agriculture and Rural Development, Local Action Groups, available via [https://enrd.ec.europa.eu/enrd-static/leader/local-action-groups/en/local-action-groups\\_en.html](https://enrd.ec.europa.eu/enrd-static/leader/local-action-groups/en/local-action-groups_en.html), and accessed in 27 April 2020 (Archived 09/07/2014).
- <sup>107</sup> From the United Nations, 'About the Sustainable Development Goals', available via <https://www.un.org/sustainabledevelopment/sustainable-development-goals/>, accessed in 25 March 2020.
- <sup>108</sup> Image courtesy of Noticias de Almeria, available via <https://www.noticiasdealmeria.com/fotos/2897/Recopilatorio.jpg>, accessed in 03 February 2020.
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- <sup>122</sup> Image courtesy of Alvelal Instagram account @asociacionalvelal, accessed 03 February 2020.
- <sup>123</sup> Image courtesy of Alvelal Instagram account @asociacionalvelal, accessed 03 February 2020.
- <sup>124</sup> From Alvelal, Annual Report 2018 (MEMORIA DE ACTIVIDADES 2018 AlVelAl), available via [https://b0fe4afc-55da-4d2c-a38d-77098061fca9.filesusr.com/ugd/7bf3ad\\_d0a1a61998a44fb78ce3a849b56717d0.pdf](https://b0fe4afc-55da-4d2c-a38d-77098061fca9.filesusr.com/ugd/7bf3ad_d0a1a61998a44fb78ce3a849b56717d0.pdf), and accessed on 25 March 2020.
- <sup>125</sup> Image courtesy of Alvelal, available via <https://alvelal.wixsite.com/website-6/copia-de-proyectos>, accessed on 25 March 2020.

- <sup>126</sup> Image courtesy of La Almendrehesa website available via <http://almendrehesa.es/>, accessed on 25 March 2020.
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- <sup>128</sup> The translation for the question: Question 12: According to your progress so far, how would you generally rate your partnership and collaborations? (select all that apply)
- a. With Alvelal (from 1 to 5, with 1 being not at all valuable, and 5 being very valuable)
  - b. With Alvelal members (from 1 to 5, with 1 being not at all valuable, and 5 being very valuable)
  - c. With external associations and organizations that collaborate with Alvelal (from 1 to 5, with 1 being not at all valuable, and 5 being very valuable)
  - d. With external associations and organizations that do not collaborate with Alvelal (from 1 to 5, with 1 being not at all valuable, and 5 being very valuable)
- <sup>129</sup> From Alvelal, Annual Report 2018 (MEMORIA DE ACTIVIDADES 2018 AlveIAI), available via [https://b0fe4afc-55da-4d2c-a38d-77098061fca9.filesusr.com/ugd/7bf3ad\\_d0a1a61998a44fb78ce3a849b56717d0.pdf](https://b0fe4afc-55da-4d2c-a38d-77098061fca9.filesusr.com/ugd/7bf3ad_d0a1a61998a44fb78ce3a849b56717d0.pdf), and accessed on 25 March 2020.
- <sup>130</sup> Boschma & Frenken (2009).
- <sup>131</sup> From Alaska Humanities Forum - Alaska History and Culture Studies, Introduction Alaska's Past - Regional Perspectives available via <https://www.akhistorycourse.org/southeast-alaska/introduction/>, accessed on 10 June 2020.
- <sup>132</sup> From Alaska Boroughs and Census area, image credit to creative commons, Commons Wikimedia, available at [https://commons.wikimedia.org/wiki/File:Alaska\\_boroughs\\_and\\_census\\_areas\\_map.png](https://commons.wikimedia.org/wiki/File:Alaska_boroughs_and_census_areas_map.png), and accessed on 10 June 2020. "Alaska is the United States' only Arctic region. Its marine, tundra, boreal (northern) forest, and rainforest ecosystems differ from most of those in other states and are relatively intact. Alaska is home to millions of migratory birds, hundreds of thousands of caribou, some of the world's largest salmon runs, a significant proportion of the nation's marine mammals, and half of the nation's fish catch." From Chapin, F. S., III, S. F. Trainor, P. Cochran, H. Huntington, C. Markon, M. McCammon, A. D. McGuire, and M. Serreze, 2014: Ch. 22: Alaska. Climate Change Impacts in the United States: The Third National Climate Assessment, J. M. Melillo, Terese (T.C.) Richmond, and G. W. Yohe, Eds., U.S. Global Change Research Program, 514-536. doi:10.7930/J00Z7150; available via <http://nca2014.globalchange.gov/report/regions/alaska>, and accessed on 10 June 2020.
- <sup>133</sup> From the State of Alaska, Department of Labor and Workforce Development, Research and Analysis, Population Estimates, available via <https://live.laborstats.alaska.gov/pop/>, accessed on 10 June 2020.
- <sup>134</sup> From Chapin, F. S., III, S. F. Trainor, P. Cochran, H. Huntington, C. Markon, M. McCammon, A. D. McGuire, and M. Serreze, 2014: Ch. 22: Alaska. Climate Change Impacts in the United States: The Third National Climate Assessment, J. M. Melillo, Terese (T.C.) Richmond, and G. W. Yohe, Eds., U.S. Global Change Research Program, 514-536. doi:10.7930/J00Z7150; available via <http://nca2014.globalchange.gov/report/regions/alaska>, and accessed on 10 June 2020.
- <sup>135</sup> Bennett, T. M. B., N. G. Maynard, P. Cochran, R. Gough, K. Lynn, J. Maldonado, G. Voggesser, S. Wotkyns, and K. Cozzetto, 2014: Ch. 12: Indigenous Peoples, Lands, and Resources. Climate Change Impacts in the United States: The Third National Climate Assessment, J. M. Melillo, Terese (T.C.) Richmond, and G. W. Yohe, Eds., U.S. Global Change Research Program, 297-317. doi:10.7930/J09G5JR1, available via <http://nca2014.globalchange.gov/report/sectors/indigenous-peoples>, and accessed on 10 June 2020. From this same report, we found out that a significant decrease in water quality and quantity is due to a variety of factors, including climate change, is affecting drinking water, food, and cultures. Native communities' vulnerabilities and limited capacity to adapt to water-related challenges are exacerbated by historical and contemporary government policies and poor socioeconomic conditions. Declining sea ice in Alaska is causing significant impacts to Native communities, including increasingly risky travel and hunting conditions, damage and loss to settlements, food insecurity, and socioeconomic and health impacts from loss of cultures, traditional knowledge, and homelands. Alaska Native communities are increasingly exposed to health and livelihood hazards from increasing temperatures and thawing permafrost, which are damaging critical infrastructure, adding to other stressors on traditional lifestyles. Climate change related impacts are forcing relocation of tribal and indigenous communities, especially in coastal locations. These relocations, and the lack of governance mechanisms or funding to support them, are causing loss of community and culture, health impacts, and economic decline, further exacerbating tribal impoverishment.
- <sup>136</sup> Bennett, T. M. B., N. G. Maynard, P. Cochran, R. Gough, K. Lynn, J. Maldonado, G. Voggesser, S. Wotkyns, and K. Cozzetto, 2014: Ch. 12: Indigenous Peoples, Lands, and Resources. Climate Change Impacts in the United States: The Third National Climate Assessment, J. M. Melillo, Terese (T.C.) Richmond, and G. W. Yohe, Eds., U.S. Global Change Research Program, 297-317. doi:10.7930/J09G5JR1, available via <http://nca2014.globalchange.gov/report/sectors/indigenous-peoples>, and accessed on 10 June 2020.
- <sup>137</sup> Bennett, T. M. B., N. G. Maynard, P. Cochran, R. Gough, K. Lynn, J. Maldonado, G. Voggesser, S. Wotkyns, and K. Cozzetto, 2014: Ch. 12: Indigenous Peoples, Lands, and Resources. Climate Change Impacts in the United States: The Third National Climate Assessment, J. M. Melillo, Terese (T.C.) Richmond, and G. W. Yohe, Eds., U.S. Global Change Research Program, 297-317. doi:10.7930/J09G5JR1, available via <http://nca2014.globalchange.gov/report/sectors/indigenous-peoples>, and accessed on 10 June 2020. And also, from Chapin, F. S., III, S. F. Trainor, P. Cochran, H. Huntington, C. Markon, M. McCammon, A. D. McGuire, and M. Serreze, 2014: Ch. 22: Alaska. Climate Change Impacts in the United States: The Third National Climate Assessment, J. M. Melillo, Terese (T.C.) Richmond, and G. W. Yohe, Eds., U.S. Global Change Research Program, 514-536. doi:10.7930/J00Z7150; available via <http://nca2014.globalchange.gov/report/regions/alaska>, and accessed on 10 June 2020.
- <sup>138</sup> Bennett, T. M. B., N. G. Maynard, P. Cochran, R. Gough, K. Lynn, J. Maldonado, G. Voggesser, S. Wotkyns, and K. Cozzetto, 2014: Ch. 12: Indigenous Peoples, Lands, and Resources. Climate Change Impacts in the United States: The Third National Climate Assessment, J. M. Melillo, Terese (T.C.) Richmond, and G. W. Yohe, Eds., U.S. Global Change Research Program, 297-317. doi:10.7930/J09G5JR1, available via <http://nca2014.globalchange.gov/report/sectors/indigenous-peoples>, and accessed on 10 June 2020.
- <sup>139</sup> Sustainable Southeast Partnership, Resilient People and Place in Southeast Alaska, homepage, available via <https://sustainablesoutheast.net/>, and accessed on 31 May 2021. And, also the Sustainable Southeast Partnership, The Value of Collaboration - An Evaluation of the Sustainable Southeast Partnership, November 2018, available at [https://sustainablesoutheast.net/wp-content/uploads/2019/01/SSP\\_Report\\_6.pdf](https://sustainablesoutheast.net/wp-content/uploads/2019/01/SSP_Report_6.pdf), and accessed on 10 June 2020.
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<sup>142</sup> Sustainable Southeast Partnership, Resilient People and Place in Southeast Alaska, homepage, available via <https://sustainablesoutheast.net/>, and accessed on 31 May 2021. And, also the Sustainable Southeast Partnership, The Value of Collaboration - An Evaluation of the Sustainable Southeast Partnership, November 2018, available at [https://sustainablesoutheast.net/wp-content/uploads/2019/01/SSP\\_Report\\_6.pdf](https://sustainablesoutheast.net/wp-content/uploads/2019/01/SSP_Report_6.pdf), and accessed on 10 June 2020.

<sup>143</sup> Sustainable Southeast Partnership, Resilient People and Place in Southeast Alaska, homepage, available via <https://sustainablesoutheast.net/>, and accessed on 31 May 2021. And, also the Sustainable Southeast Partnership, The Value of Collaboration - An Evaluation of the Sustainable Southeast Partnership, November 2018, available at [https://sustainablesoutheast.net/wp-content/uploads/2019/01/SSP\\_Report\\_6.pdf](https://sustainablesoutheast.net/wp-content/uploads/2019/01/SSP_Report_6.pdf), and accessed on 10 June 2020.

<sup>144</sup> Sustainable Southeast Partnership, Resilient People and Place in Southeast Alaska, homepage, available via <https://sustainablesoutheast.net/>, and accessed on 31 May 2021. And, also the Sustainable Southeast Partnership, The Value of Collaboration - An Evaluation of the Sustainable Southeast Partnership, November 2018, available at [https://sustainablesoutheast.net/wp-content/uploads/2019/01/SSP\\_Report\\_6.pdf](https://sustainablesoutheast.net/wp-content/uploads/2019/01/SSP_Report_6.pdf), and accessed on 10 June 2020.

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<sup>146</sup> From J. Kania & M. Kramer, Stanford Social Innovation Review, Collective Impact, Winter 2011, p.36

<sup>147</sup> From the Sustainable Southeast Partnership, The Value of Collaboration - An Evaluation of the Sustainable Southeast Partnership, November 2018, available at [https://sustainablesoutheast.net/wp-content/uploads/2019/01/SSP\\_Report\\_6.pdf](https://sustainablesoutheast.net/wp-content/uploads/2019/01/SSP_Report_6.pdf), and accessed on 10 June 2020.

<sup>148</sup> From J. Kania & M. Kramer, Stanford Social Innovation Review, Collective Impact, Winter 2011, p.38, and also the Sustainable Southeast Partnership, The Value of Collaboration - An Evaluation of the Sustainable Southeast Partnership, November 2018, available at [https://sustainablesoutheast.net/wp-content/uploads/2019/01/SSP\\_Report\\_6.pdf](https://sustainablesoutheast.net/wp-content/uploads/2019/01/SSP_Report_6.pdf), and accessed on 10 June 2020. And also, from the FSG | Reimagining Social Change, Sheri Brady and Jennifer Splansky Juster, "How do successfully put collective action into action?", available via <https://www.fsg.org/blog/how-do-you-successfully-put-collective-impact-action>, and accessed on 10 June 2020.

<sup>149</sup> From J. Kania & M. Kramer, Stanford Social Innovation Review, Collective Impact, Winter 2011, p.38; and also from the Sustainable Southeast Partnership, The Value of Collaboration - An Evaluation of the Sustainable Southeast Partnership, November 2018, available at [https://sustainablesoutheast.net/wp-content/uploads/2019/01/SSP\\_Report\\_6.pdf](https://sustainablesoutheast.net/wp-content/uploads/2019/01/SSP_Report_6.pdf), and accessed on 10 June 2020.

<sup>150</sup> From Forbes Magazine, Emily Guy Birken and Daphne Foreman, "What Is A Community Development Financial Institution (CDFI)?", Sep 29, 2020, available via <https://www.forbes.com/advisor/banking/what-is-a-cdfi-community-development-financial-institution/>, and accessed on 31 May 2021.

<sup>151</sup> From the Sustainable Southeast Partnership, The Value of Collaboration - An Evaluation of the Sustainable Southeast Partnership, November 2018, available at [https://sustainablesoutheast.net/wp-content/uploads/2019/01/SSP\\_Report\\_6.pdf](https://sustainablesoutheast.net/wp-content/uploads/2019/01/SSP_Report_6.pdf), and accessed on 10 June 2020.

<sup>152</sup> From the Sustainable Southeast Partnership, SSP Brochure, available via [https://sustainablesoutheast.net/wp-content/uploads/2019/01/SSPBrochure\\_2017May.pdf](https://sustainablesoutheast.net/wp-content/uploads/2019/01/SSPBrochure_2017May.pdf), accessed on 10 June 2020.

<sup>153</sup> Sustainable Southeast Partnership, Resilient People and Place in Southeast Alaska, homepage, available via <https://sustainablesoutheast.net/>, and accessed on 31 May 2021.

<sup>154</sup> From the Sustainable Southeast Partnership, The Value of Collaboration - An Evaluation of the Sustainable Southeast Partnership, November 2018, available at [https://sustainablesoutheast.net/wp-content/uploads/2019/01/SSP\\_Report\\_6.pdf](https://sustainablesoutheast.net/wp-content/uploads/2019/01/SSP_Report_6.pdf), and accessed on 10 June 2020.

<sup>155</sup> From the Sustainable Southeast Partnership, The Value of Collaboration - An Evaluation of the Sustainable Southeast Partnership, November 2018, available at [https://sustainablesoutheast.net/wp-content/uploads/2019/01/SSP\\_Report\\_6.pdf](https://sustainablesoutheast.net/wp-content/uploads/2019/01/SSP_Report_6.pdf), and accessed on 10 June 2020.

<sup>156</sup> These communities are Haines, Hoonah-Angoon, Juneau, Ketchikan, Prince of Wales, Sitka, Yakutat.

<sup>157</sup> From the Sustainable Southeast Partnership, The Value of Collaboration - An Evaluation of the Sustainable Southeast Partnership, November 2018, available at [https://sustainablesoutheast.net/wp-content/uploads/2019/01/SSP\\_Report\\_6.pdf](https://sustainablesoutheast.net/wp-content/uploads/2019/01/SSP_Report_6.pdf), and accessed on 10 June 2020: pp.6-8 "SSP works in seven target communities throughout Southeast Alaska. Each community benefits from a Community Catalyst whose role it is to implement SSP's overall mission in that community, including the four focus areas. Each Community Catalyst is embedded within a local community-based host organization, which employs the Community Catalyst and provides a portion of that Catalyst's salary, job description, and work plan. Examples of host organizations for Community Catalysts include the Organized Village of Kake (OVK), the Hoonah Indian Association (HIA), the Sitka Conservation Society (SCS), and the Klawock Cooperative Association (KCA). SSP provides salary matches to ensure that the Community Catalyst is employed full-time. In every community and for every Community Catalyst, the work plan developed through SSP is highly intertwined with the work developed by the host organization; in some cases, they are one and the same. Community Catalysts have substantial flexibility in the ways in which they implement SSP's mission; their role involves deep listening to their community's capacities, needs, and priorities, and co-designing, designing, or participating in community-based initiatives that reflect the living conditions and aspirations of the community. The Community Catalysts benefit from SSP's network, including the Regional Catalysts who specialize in the focus areas; the other Community Catalysts; and the Steering Committee. Each of the community-based projects initiated, supported, or replicated by an SSP partner or host organization engages with multiple stakeholders in addition to the Community Catalyst's host organization. For instance, in Sitka, the stakeholders involved in SSP-related community projects to-date have included: the Sitka School District, the Sitka Community Hospital, the Sitka Health Summit Coalition, Southeast Alaska Regional Health Consortium, the Sitka Chamber of Commerce, Sitka 4-H, the Sitka Local Foods Network, the Sitka Food Co-op, the Sitka Tribe, the Sitka Community Land Trust, multiple local lumber mills, and multiple local fishermen, among others. This example is emblematic of the deep level of multi-stakeholder collaboration occurring within communities in the process of organizing and managing the clusters of initiatives created by SSP's partners. Regional Catalysts include specialists in one of SSP's four focus areas: food security, energy independence, natural resource management, and local economic development. Additional Catalysts address other SSP objectives such as communications, organizational sustainability, and workforce development. Regional Catalysts are typically housed at a regionally oriented (or sometimes state-level) organization. Examples of current and former host organizations for Regional Catalysts include: Spruce Root, a Community Development Financial Institution (CDFI) which is also SSP's backbone organization (see above); Sitka Conservation Society (SCS); Southeast Alaska Watershed

Coalition (SAWC); and Renew-able Energy Alaska Project (REAP). Regional Catalysts work closely with Community Catalysts to identify promising projects occurring in Southeast Alaska communities, which are driven by communities' priorities. Through their connections with Community Catalysts, Regional Catalysts connect community members and community-based project developers with learning, funding, and collaboration opportunities throughout the region. For instance, the localized economy Regional Catalyst manages the Path to Prosperity (P2P) Business Competition, which awards prizes of \$25,000 for local businesses seeking the triple bottom line of economic prosperity, environmental sustainability, and social equity/community. The Regional Catalyst travels throughout the region, visits SSP's target communities, and recruits promising local entrepreneurs into the competition."

<sup>158</sup> Sustainable Southeast Partnership, Resilient People and Place in Southeast Alaska, homepage, available via <https://sustainablesoutheast.net/>, and accessed on 31 May 2021.

<sup>159</sup> Sustainable Southeast Partnership, Resilient People and Place in Southeast Alaska, homepage, available via <https://sustainablesoutheast.net/>, and accessed on 31 May 2021.

<sup>160</sup> Author made collage of pictures from the Sustainable Southeast Flickr Picture database, available via <https://www.flickr.com/photos/129958772@N08/albums/72157647978517984>, accessed 10 June 2020.

<sup>161</sup> From the Sustainable Southeast Partnership Website, Neighbors Keep Moby Active, Lione Clare, available via <https://sustainablesoutheast.net/neighbors-keep-moby-active/>, and accessed on 31 May 2021, and also <sup>161</sup> From the Sustainable Southeast Partnership Website, homepage, food sovereignty, available via <https://sustainablesoutheast.net/category/food-sovereignty/>, and accessed on 31 May 2021.

<sup>162</sup> From the Sustainable Southeast Partnership Website, Neighbors Keep Moby Active, Lione Clare, available via <https://sustainablesoutheast.net/neighbors-keep-moby-active/>, and accessed on 31 May 2021.

<sup>163</sup> From the Sustainable Southeast Partnership Website, Neighbors Keep Moby Active, Lione Clare, available via <https://sustainablesoutheast.net/neighbors-keep-moby-active/>, and accessed on 31 May 2021; and also from Sitka Local Foods Network, Moby the Mobile Greenhouse to spend rest of year at Pacific High School in Sitka, Charles Bingam, 19 February 2019, available via <https://sitkalocalfoodsnetwork.org/tag/moby-the-mobile-greenhouse/>, and accessed on 10 June 2020.

<sup>164</sup> From the Sustainable Southeast Partnership Website, Neighbors Keep Moby Active, Lione Clare, available via <https://sustainablesoutheast.net/neighbors-keep-moby-active/>, and accessed on 31 May 2021; and also from Sitka Local Foods Network, Moby the Mobile Greenhouse to spend rest of year at Pacific High School in Sitka, Charles Bingam, 19 February 2019, available via <https://sitkalocalfoodsnetwork.org/tag/moby-the-mobile-greenhouse/>, and accessed on 10 June 2020.

<sup>165</sup> In Alaska, 95% of the \$2 billion of food Alaskans purchase is imported — meaning \$1.9 billion leaves the state each year as Alaskans eat. This imported food is shipped through long supply chains from the lower 48 via barge, air, and truck for communities connected to the road system. By depending on these distant supply chains, the food security of our communities is vulnerable to disruptions. From Salt and Soil Market Place, Why local food, available via <https://www.saltandsoilmarketplace.com/what-is-local-food>, and accessed on 10 June 2020.

<sup>166</sup> From the Sustainable Southeast Partnership Website, Neighbors Keep Moby Active, Lione Clare, available via <https://sustainablesoutheast.net/neighbors-keep-moby-active/>, and accessed on 31 May 2021; and also from Sitka Local Foods Network, Moby the Mobile Greenhouse to spend rest of year at Pacific High School in Sitka, Charles Bingam, 19 February 2019, available via <https://sitkalocalfoodsnetwork.org/tag/moby-the-mobile-greenhouse/>, and accessed on 10 June 2020.

<sup>167</sup> From the REAP website, Biomass, Wood, sawmill, fish and municipal waste, available via <https://alaskarenewableenergy.org/technologies/biomass/>, and accessed on 10 June 2020 "Alaska's primary biomass fuels are wood, sawmill waste, fish byproducts and municipal waste. Wood remains an important renewable energy source for Alaskans. More than 100,000 cords of wood are burned in the form of cordwood, chips and pellets annually. Wood-heating systems in Alaska are creating local jobs and reducing the cost of building heat in remote communities throughout the state. The closure of major pulp mills in Sitka and Ketchikan in the 1990s ended large-scale, wood-fired power generation in Alaska. However, the price volatility of oil has raised interest in using sawdust and wood wastes for lumber drying, space heating and small-scale power production. In 2010, the Tok School installed a chip-fired boiler, displacing approximately 65,000 gallons of fuel oil annually. Sealaska Corporation also installed the state's first large-scale pellet boiler at its headquarters in Juneau in 2010. Since these two demonstration projects were operational, 50 additional projects have started up in the state using cordwood, chips and pellet technology. In 2017, the City of Galena started operating a chip system that is heating 14 Galena Interior Learning Academy (GILA) buildings, displacing more than 200,000 gallons of fuel oil annually. At the end of 2018, the Southeast Island School District on Prince of Wales Island had cordwood heating systems installed at all eight of its schools. Once schools have an affordable source of heating, they have installed greenhouses to grow food for school cafeterias and to expand math and science curriculum with hands-on learning. Students are learning math and chemistry as they grow lettuce in their school greenhouses, and students are eating fresh vegetables in their cafeterias."

<sup>168</sup> From the Sustainable Southeast Partnership, SSP Brochure, available via [https://sustainablesoutheast.net/wp-content/uploads/2019/01/SSPBrochure\\_2017May.pdf](https://sustainablesoutheast.net/wp-content/uploads/2019/01/SSPBrochure_2017May.pdf), accessed on 10 June 2020.

<sup>169</sup> According to the SSP website, these organizations are the Organized Village of Kasaan, the Organized Village of Kake, Klawock Community Association, The Hoonah Indian Association, Central Council Tlingit and Haida Indian Tribes of Alaska, The Student Conservation Association, SEAWEAD, The Nature Conservancy, The US Forest Service, The Bureau of Indian Affairs, Sea Alaska Corporation, Spruce Root, The State of Alaska. From the SSP website, available via <https://sustainablesoutheast.net/trayls/>, accessed in June 2020.

<sup>170</sup> The Hoonah Indian Association representative provided: "Yeah so well with the HNFP, our goal is to operate a crew of four to six folks all summer and they have to be trained in natural resource assessment; and now, mostly project implementation. So we're doing stream restoration, timber standard improvement through thinning. I was directly involved with training them for field tasks; so my background in wildlife biology and I have a strong history with a lot of work. I was directly involved in the training, we brought in a lot of resources from the Forest Service and Bob Christiansen, and from Sea Alaska and others to train everyone on specific protocols; so depending whether they were serving fish, roads, timber, vegetation etc. Basically, they had a separate expert train them so that was Workforce Development there. And then another program I didn't bring up initially, but is a key one for Workforce Development is the TRAYLS Program. That's training for rural Alaskan youth leaders and students programs. And that one is a direct tie to HNFP and sort of workforce development. We put together a youth crew. This will be our third summer, and to do natural resource and science-based career exploration and just work outside; so focusing on some trail work and maintenance with the Forest Service and doing scientific survey and exploration in the forest studying. And the hope of that is either to prepare them for future careers and natural resource and science work outside of Hoonah; but, you know, if they want to stay and work with the HNFP in the future, well, that's great too."

<sup>171</sup> From KCAW, Tongass Tiny Home finds a home in Juneau, Erin McKinstry, available via <https://www.kcaw.org/2021/05/07/tongass-tiny-home-finds-a-home-in-juneau/>, and accessed on 31 May 2021.

<sup>172</sup> From Juneau Empire - Capital City Weekly, Tongass Tiny Homes offers big sustainable solutions, Maia Mares, Juneau Empire, June 13, 2018, available via <https://www.juneauempire.com/life/tongass-tiny-homes-offers-big-sustainable-solutions/>, and accessed on 10 June 2020.

<sup>173</sup> From Juneau Empire - Capital City Weekly, Tongass Tiny Homes offers big sustainable solutions, Maia Mares, Juneau Empire, June 13, 2018, available via <https://www.juneauempire.com/life/tongass-tiny-homes-offers-big-sustainable-solutions/>, and accessed on 10 June 2020.

<sup>174</sup> From Sitka Conservation Society, Letter to the Sitka School District Board and Administration, February 1, 2020.

<sup>175</sup> <sup>175</sup> Sustainable Southeast Partnership, Resilient People and Place in Southeast Alaska, homepage, available via <https://sustainablesoutheast.net/>, and accessed on 31 May 2021. And, also the Sustainable Southeast Partnership, The Value of Collaboration - An Evaluation of the Sustainable Southeast Partnership, November 2018, available at [https://sustainablesoutheast.net/wp-content/uploads/2019/01/SSP\\_Report\\_6.pdf](https://sustainablesoutheast.net/wp-content/uploads/2019/01/SSP_Report_6.pdf), and accessed on 10 June 2020.

<sup>176</sup> The food challenge involves ten categories: Gather, Grow, Hunt, Fish, Preserve/Store, Cook/Eat, Compost/Recover, Share, Celebrate/Appreciate, and Buy. And how Alaska's food system can be revamped to become more resilient, and increase community well-being.

<sup>177</sup> From the SSP Instagram account, @sustainablesoutheast, available via <https://www.instagram.com/sustainablesoutheast/>, and accessed on 10 June 2020.

<sup>178</sup> From the SSP Instagram account, @sustainablesoutheast, available via <https://www.instagram.com/sustainablesoutheast/>, and accessed on 10 June 2020.

<sup>179</sup> The representative of the Southeast Watershed Coalition in particular referenced how the Coalition is trying to better connect Moby with wider conversions around food and food manufacturing, and even composting. "Moby eventually leaves the community. I was trying to get people together that were involved on paper with Moby, and get an idea of what they would like to continue focusing on local food when Moby leaves; and it was fantastic because I met leaders who were involved in different pieces of the food system. They're each working on different pieces, so one was working on community gardens. Another one was working on community composting. Another one was working in economic development. We brought everyone together, and we started these conversations, and we were able to continue these conversations to different gatherings and different meeting opportunities. They came out to a farmer summit that we had at a conference. We also met with someone who works on fish waste in Washington at another gathering, sponsored by the Nature Conservancy." And a little further in the interview "So we traveled together down to Washington on an exchange to visit different places that were doing things that I think people in the community want to see. Then they went back to their [own] community. They are working on all these different pieces on their own but they're still meeting together and supporting each other. We are also making sure that we're bringing in the traditional foods, traditional plants as well, because that's also a huge part of the culture. It's all about prioritizing wild harvested food, and having a very holistic view of the food system from beginning to end."

<sup>180</sup> Important to mention that a parallel conversation is taking place with the SSP, the tribal government of Tribal Central Council of the Tlingit and Haida Indian Tribes of Alaska (not an SSP partner) and the Forest Services (agency that is part of the US States Department of Agriculture) to sponsor the concept of an indigenous guardian's network, similar to the Canadian model. Through the guardian programs Indigenous communities will manage, monitor and protect the land, water and wildlife of ancestral lands according to cultural values and Indigenous law. The potential funding and partnership will particularly spur capacity building for indigenous leaders of Southeast Alaska.

<sup>181</sup> From "Southeast Alaska Cluster Initiative – Impact and Successes", Facilitated by the Juneau Economic Development Council July 2011-December 2016, February 2017, available via <https://www.jedc.org/sites/default/files/Cluster%20Successes%202017.pdf>, and accessed on 10 June 2020.

<sup>182</sup> Boschma & Frenken (2009).

<sup>183</sup> Boschma & Frenken (2009).

<sup>184</sup> The role that BNYDC plays is particularly important, as small urban manufacturing has continued to face many barriers and obstacles to accessing capital and secure, affordable rents in cities around the world. In this respect, Curran (2010, p.872) provides that "much of the work on the postindustrial city ignores the fact that there are thriving industrial districts within some urban areas, in (-) global cities like New York (-). An urban location provides the infrastructure, markets, and labor necessary for production. Indeed, urban industrial districts have long served to provide the locational advantages now attributed to new industrial districts. "

<sup>185</sup> Academic and business literature alike have debated the importance of the geography of innovation and entrepreneurship at length. In traditional economic governance literature, recognized authors, including Porter, Audretsch and Marshall, have already clearly articulated and documented the importance of proximity, co-locating, clustering and agglomeration for innovation and performance of firms (Curran, 2010). Place-bound effects of co-location and proximity, as well as access to raw materials or transportation, have been studied in districts; location, proximity and specific qualities of space and culture can be attributed to innovative performance of enterprises (Tinguely, 2013).

Other authors have been looking at the territorial distribution of innovation in cities, regions and industrial districts, and examine evolutionary economic geography, to study and analyze declines and revival of cities, clusters and districts (Boschma & Martin, 2009; Curran, 2010; Tinguely, 2013), externalities and spin offs (Tinguely, 2013;), as well as the spatial concentration of economic and innovative activity (Tinguely, 2013).

Other authors, including Fornahl et al. (2015), refer to Staber & Sautter (2011), Suire & Vicente (2009) and Ter Wal & Boschma (2011) developing life cycle approaches complementing evolutionary economic geography literature and cluster evolution, and clearly illustrating that clusters evolve through the heterogenous and cyclical interplay and interdependencies actors, networks and institutions (Fornahl et al., 2015).

Furthermore, a growing and influential number of scholars are integrating urban planning and sustainability strategies into what they call Knowledge-Based Urban Development approaches (KBUD) that intersect with entrepreneurial places (Yigitcanlar et al, 2007; Esmaeilpoorarabi et al, 2018). KBUD are conceptualized as a development paradigm of the global knowledge economy era that aims to bring economic prosperity, socio-spatial order, environmental sustainability and good governance to the cities (Pancholi et al., 2014); we can draw parallels also in the rural and remote areas that we have studied. KBUD are in essence a sustainable socio-spatial strategy.

Yet again, other authors look at the concentration of economic activity in a particular territory as innovation ecosystems. "[t]he complex relationships that are formed between actors or entities whose functional goal is to enable technology development and innovation" (Oh et

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al, 2016, p.1). Or innovation ecosystems, with their “set of actors with varying degrees of multilateral, non-generic complementarities that are not fully hierarchically controlled” (Jacobides et al, 2018, p. 2264), which, involved in a mix of formal and informal relationships, provide the right framework to analyze such extended collaboration. One such extension is the classification of the upper-, middle-, lower-ground system proposed by Cohendet, Grandadam and Simon (2011, p.151), where the middle-ground “is the level where the work of communities is decisive in designing the grammar of use and other common platforms of knowledge necessary for the knowledge transmission and learning that precedes innovation in those geographically bounded innovative environments.”

Again, other authors look at entrepreneurial ecosystems defined “as a set of interdependent actors and factors coordinated in such a way that they enable productive entrepreneurship within a particular territory.” (Spigel, 2015; Stam & Spigel, 2016). And that the social, political, economic and cultural attributes of an ecosystem influence the development and growth of innovative startups, and foster the conditions for entrepreneurs to take the risks of starting, funding and assisting high-risk ventures (Spigel, 2015)

Thus, regardless of whether we call the social alliances, urban innovation districts, entrepreneurial ecosystem, or a sustainable socio-spatial strategy, it serves as place-based collective entrepreneurship and collaborative innovation models wherein multiple organizations are engaged in collective social enterprising through a multitude of projects with a social change orientation. Inherently different organizations with varied resources, values and approaches are engaged and aligned in episodic and long-term oriented partnerships which have transformed these places over time and achieved widespread and cumulative social impact throughout the social alliance’s ongoing evolution.

<sup>186</sup> Place-making is the set of social, political and material processes by which people iteratively create and recreate the experienced geographies in which they live (Williams & Stewart, 1998; Piece, Martin and Murphy, 2010; Arefi, 2014). Place-making is an inherently networked process, constituted by the socio-spatial relationships that link individuals together through a common place-frame (Williams & Stewart, 1998; Piece, Martin and Murphy, 2010; Arefi, 2014). Arefi (2014) further provides how place embodies both the tangible and the intangible aspects of the built environment, where the whole is larger than the sum of its parts.

## Annex 1 – History of the Brooklyn Navy Yard

In 1801, President John Adams, who was a Founding Father and served as the first Vice President and second President of the United States, commissioned five original navy yards across the US, with the Yard in Brooklyn being one of them. President Adams, who favored a strong central government and a navy capable of protecting commerce and defending the young nation in a dangerous and hostile world, authorized the establishment of the first five shipyards at the end of his presidency.<sup>1</sup>

The Yard in Brooklyn was once the most storied US ship and defense building facility in the US, a reputation that it sustained until the mid-20th century. Ships forged in Brooklyn Yard would go on to lay the first transatlantic cable, hunt down slave-trade pirate ships off of the coast of West-Africa, and fight some of the most famous and infamous US naval battles. Among the most famous includes the USS Maine, which sparked the Spanish-American war off the coast of Cuba; the USS Arizona, which was sunk at Pearl Harbor; and the USS Missouri, which hosted the peace treaty signing the end of World War II. By 1945, it had become the world's busiest shipyard, employing 70,000 ship manufacturing workers—an explosion of workers which was caused by the annexation of the adjacent land next to the Yard to construct the world's largest dry docks and crane. Women were hired for the first time to work as mechanics and technicians<sup>2</sup>.

The Yard was also home to some of the most ground-breaking innovations, including the use of first side-wheel steamers on warships assigned to sea duty, and the manufacturing of anesthetic ether, which was attributed to naval surgeon ER Squibb. In 1857 he founded his own pharmaceutical company outside the Yard, which provided the majority of medical supplies for the Union Army during the Civil War<sup>3</sup>.

In 1960, due to a fire accident, the Yard was heavily damaged during the construction of an aircraft carrier. The repair would cost \$75 million dollars and delayed the ship's commissioning by seven months; it tarnished the reputation of the Yard irreparably. By 1966, the Yard employed around 9,000 workers and was at the time the oldest continually active industrial plant in New York state. However, in 1966, due to changes in shipbuilding and national military policy (particularly due to cost savings), Secretary of Defence Robert McNamara at the time decided to close the Yard (along with 90 other military bases and installations)<sup>4</sup>.

The City of New York purchased the Yard in 1969 and an Urban Renewal Plan was approved for the site in 1971 by Mayor Edward Koch, codifying the City's goal to create a "modern industrial district, which will retain and attract manufacturers to the City". This move opened up the Yard to manufacturing and commercial activity. By 1975, the largest tenant, Seatrain Shipbuilding, would lay off 3,250 workers.

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1 Doctoroff, Daniel L., *Greater than Ever - New York's Big Come Back*, Public Affairs New York, 2017.

2 Brooklyn Navy Yard, History section, official website of the Brooklyn Navy Yard, available at <https://brooklynnavyyard.org/the-navy-yard/history/>, accessed 12 April 2018; Pratt Center for Community Development, *Brooklyn Navy Yard - An analysis of the Economic Impact and Opportunities for Replication*, 2013, available at <http://prattcenter.net/research/brooklyn-navy-yard>, accessed 12 April 2018.

3 Doctoroff, Daniel L., *Greater than Ever - New York's Big Come Back*, Public Affairs New York, 2017.

4 Doctoroff, Daniel L., *Greater than Ever - New York's Big Come Back*, Public Affairs New York, 2017.



Figure 10<sup>5</sup>



Figure 11<sup>6</sup>



Figure 12<sup>7</sup>



Figure 13<sup>8</sup>



Figure 14<sup>9</sup>



Figure 15<sup>10</sup>

5 Bartelstone, John, *The Brooklyn Navy Yard Book*, available at <https://www.johnbartelstone.com/brooklynnavyyard/>, accessed in March 2019.

6 Flickr Account Wally Gobetz, available at <https://www.flickr.com/photos/wallyg/5079822331>, accessed in March 2019.

7 *The Brownstoner*, (Re)Construction Underway at Navy Yard's Building 128, 02 July 2012, available at <https://www.brownstoner.com/brooklyn-life/reconstruction-underway-at-navy-yards-building-128/>, accessed in March 2019.

8 Inside the newly renovated New Lab, photo by David Sundberg, dezeen awards 2019, available at <https://www.dezeen.com/awards/2018/shortlists/new-lab-at-the-brooklyn-navy-yard-marvel-architects/>, accessed in March 2019.

9 Dry dock No. 4 in the Navy Yard, shown in 1910 (Photo: Library of Congress).

10 Workers sewing stars and stripes in the Navy Yard in July 1917 (Photo: Library of Congress)

Brooklyn House Representatives Shirley Chisholm and Fred Richmond obtained Congressional loans totaling \$40 million to retain vital jobs but, in 1979, Seatrain closed. Over the course of the next two decades, the Yard's buildings, roads, and power grid deteriorated, and employment dropped. At its least productive point, the Navy Yard had just 30 tenants and employed 1,000 people<sup>11</sup>.

In the early 1980s, New York City was strategizing what to do with its post-industrial waterfront—beginning with the New Waterfront Revitalization Program, adopted in 1982.<sup>12</sup> Originally managed by the Commerce Labor Industry in the County of Kings (CLICK), the Yard came under the management of the then newly formed Brooklyn Navy Yard Development Corporation (BNYDC) after a 1981 City comptroller audit found widespread mismanagement practices at CLICK. BNYDC operates under a lease with The City of New York which will expire in 2111 and manages the Brooklyn Navy Yard, 300 acres of public land, on behalf of its owner and financial backer, the City of New York<sup>13</sup>.

Despite the management change, however, the City invested little or no capital each year in the Yard to improve its buildings and infrastructure. The Yard's infrastructure continued a steady decline until an initial 1996 capital allocation under the Giuliani Administration<sup>14</sup>. BNYDC then completed a capital-needs assessment that highlighted the dire need to upgrade the Yard's subsurface infrastructure and antiquated buildings. They put in place a new leasing strategy, focusing on attracting small, light industrial firms and niche manufacturers rather than chasing the large manufacturers and warehouse distributors who were unlikely to relocate to the Yard. The strategy—to diversify its tenant base and to carve up space to accommodate small industrial enterprises that reflect the diversity, energy and creativity of the community—started to pay off. By 1998, the Yard had grown to host 200 businesses<sup>15</sup>.

In 1999, based on this evidence of success, the City began to fund a multi-year capital dollar investment plan to modernize the Yard's buildings and basic infrastructure. Additionally, with the new Bloomberg administration, the Yard was further reinvigorated when the largest and most sophisticated studio complex outside of Hollywood decided to move into the space in 2014; to make making movies in NY more attractive. Within a year they expanded, and needed additional building space. Nearly 22,000 square meters of space was made rent-free for Steiner Studios as long as renovations were going on. In the end, they were not only able to pay their rent, they also began a third expansion by 2015, bringing the total footprint to over 92,903 square meters<sup>16</sup> (which equals approximately 11 football fields). The Steiner Studio move was particularly incentivized by the Bloomberg Administration, deregulating and offering tax credit and marketing programs to media companies willing to relocate to the Yard.

With Steiner studios on premise, other tenants were attracted to the Yard. Brooklyn College founded a film school—the first film school embedded in a working studio. Carnegie Mellon, the prestigious Pittsburgh-based research university, created a graduate school for interactive technological arts inside Steiner Studios. Between 2002 and 2012, New York City's film entertainment industry had grown from

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11 Doctoroff, Daniel L., *Greater than Ever - New York's Big Come Back*, Public Affairs New York, 2017.

12 From *Untapped New York*, *Inside Brooklyn Navy Yard's Massive Expansion Plan Underway*, 27 June 2018, available at <https://untappedcities.com/2018/06/27/inside-brooklyn-navy-yards-massive-expansion-plan-underway/>, accessed in March 2019.

13 Doctoroff, Daniel L., *Greater than Ever - New York's Big Come Back*, Public Affairs New York, 2017.

14 Doctoroff, Daniel L., *Greater than Ever - New York's Big Come Back*, Public Affairs New York, 2017.

15 Doctoroff, Daniel L., *Greater than Ever - New York's Big Come Back*, Public Affairs New York, 2017.

16 Doctoroff, Daniel L., *Greater than Ever - New York's Big Come Back*, Public Affairs New York, 2017.

44,000 to 100,000 jobs. Spending on movies increased by 70 percent and TV production grew 82 percent. In 2015, 52 television shows and 336 movies were filmed in the City, and generating over \$4 billion in total revenues<sup>17</sup>.

Around the same time, another important development was taking place in the manufacturing sector: after World War II, there were a million manufacturing jobs in NY. By 2002 there were only 140,000 and by 2003, they were down to 125,000. Over time, traditional factory and manufacturing jobs were in decline. There was, however, an increase in non-manufacturing jobs and jobs in the service economy, with advances in finance, insurance and real estate as well. By 2003, there were only 3000 workers left in the Yard, and none of them were employed in the shipbuilding business. They were ethnic food manufacturers, stage set builders, and the manufacturer of Kevlar bulletproof vests<sup>18</sup>.

The businesses that thrived in the Yard also had something else in common: they had all found their competitive advantage in their relationship with the City. This could have been because the City was a customer, because the local population was a natural market or a good place to test their products, or because they were primarily dependent upon another industry in the City<sup>19</sup>.

In order to find the competitive advantage of New York City and to be able to attract more tenants to the Yard, a major study and consultation of manufacturing entrepreneurs in the City was undertaken. In 2005, the results of this study were used to establish a new strategy: one looking to position the Yard as a sustainable industrial park using cutting-edge green technology, which would make the Yard a magnet for forward-looking industrial businesses.

Among environmentally sustainable initiatives since 2009 is the Brooklyn Navy Yard Development Corporation (BKNYDC) financing of the US' first multi-story, multi-tenanted green industrial building with the city's first roof-mounted wind turbines, certified according to Leadership in Energy and Environmental Design (its rating system evaluates the environmental performance of a building). While revamping the roads of the Yard, they used permeable asphalt and sewage system repairs with added storm-water management and water-absorbing plants. Then there was the launch of the world's largest rooftop organic farm, Brooklyn Grange, as well as the renovation of nearly 23,226 square meters of warehouse into the New Lab<sup>20</sup> incorporating green and advanced manufacturing and sustainable practices into a state-of-the-art accelerator, makerspace and fablab with the objective to create hundreds of permanent jobs.

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17 Doctoroff, Daniel L., *Greater than Ever - New York's Big Come Back*, Public Affairs New York, 2017.

18 Doctoroff, Daniel L., *Greater than Ever - New York's Big Come Back*, Public Affairs New York, 2017.

19 Doctoroff, Daniel L., *Greater than Ever - New York's Big Come Back*, Public Affairs New York, 2017. And also, Pratt Center for Community Development, *Brooklyn Navy Yard - An analysis of the Economic Impact and Opportunities for Replication*, 2013, available: <http://prattcenter.net/research/brooklyn-navy-yard>, accessed on 12 April 2018; *The New York Times - Archives*, *New York City's Decline in Manufacturing Gained Momentum in 1980*, 21 March 1981, available at <https://www.nytimes.com/1981/03/22/nyregion/new-york-city-s-decline-in-manufacturing-gained-momentum-in-1980.html>, accessed in March 2019.

20 Doctoroff, Daniel L., *Greater than Ever - New York's Big Come Back*, Public Affairs New York, 2017. And also, Pratt Center for Community Development, *Brooklyn Navy Yard - An analysis of the Economic Impact and Opportunities for Replication*, 2013, available: <http://prattcenter.net/research/brooklyn-navy-yard>, accessed on 12 April 2018; *Brooklyn Navy Yard*, History section, official website of the Brooklyn Navy Yard, available at <https://brooklynnavyyard.org/the-navy-yard/history/>, accessed 12 April 2018.

Beyond environmental regeneration and sustainability, the BKNYDC has a program which directly trains and connects members of the surrounding community to fulfill job requirements of BNY tenants and residents outside the Yard. Since 1999, the on-site Employment Center (the EC) has succeeded in placing over 300 local residents in short-term and long-term employment opportunities with its tenant enterprises.

In 2011, New York City articulated a new vision for its waterfront with Vision 2020: New York City Comprehensive Waterfront Plan, led by the Department of City Planning. Building on the City's success in opening up the public miles of shoreline that had been inaccessible for decades and supporting expansion of the maritime industry, Vision 2020 set the stage for expanded use of NY's waterfront for parks, housing and economic development and its waterways for transportation, recreation and natural habitats, with BNY at the forefront of this concerted adaptation. The ten-year plan laid out a vision for the future with new citywide policies and site-specific recommendations<sup>21</sup>.

By 2017, 99 percent of the Yard's space had been filled with tenants, with 400 companies registered, 7000 jobs created, and the Yard about to embark on its largest expansion since World War II with a \$2.5 billion building plan projected to quadruple the current workforce of 7,000 to 20,000 by 2020; and to 30,000 shortly thereafter, by 2025. The new masterplan, developed by WXY Architecture in 2018, projects the largest manufacturing expansion in New York City in more than a century<sup>22</sup> and will include an additional 44,036 square meters of space. A little more than half of it will be in a single, vast complex with roughly the same total square footage of the Empire State Building, designed by co-working startup, WeWork<sup>23</sup>.

In addition to the New Lab and Steiner Studios which accounts for more than 100 companies located within the Yard, the Yard has a number of other tenants which align with the Yard's mission.

The Brooklyn STEAM Center, an innovative training hub launched in 2018, is a joint partnership between eight high schools preparing students to thrive in the rapidly evolving manufacturing, technology and creative fields<sup>24</sup>. An important new tenant and partner of BNYDC, the STEAM center focuses on building career pathways and a set of technical and professional work-ready skills that prepare students for pursuing higher education and employment opportunities within five high-demand fields active within BNY as well as NY, more broadly: computer science, culinary sciences, construction technology, film and media, and design and engineering<sup>25</sup>.

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21 From Untapped New York, Inside Brooklyn Navy Yard's Massive Expansion Plan Underway, 27 June 2018, available at <https://untappedcities.com/2018/06/27/inside-brooklyn-navy-yards-massive-expansion-plan-underway/>, accessed in March 2019; and from Vision 2020 – New York City Comprehensive Waterfront Plan, available at <https://www1.nyc.gov/site/planning/plans/vision-2020-cwp/vision-2020-cwp.page>, accessed in April 2019.

22 <https://untappedcities.com/2018/06/27/inside-brooklyn-navy-yards-massive-expansion-plan-underway/>

23 Bloomberg, The \$2.5 Billion Plan to Turn Brooklyn's Navy Yard Into a Tech Hub, 31 January 2018, available at <https://www.bloomberg.com/news/articles/2018-04-12/pick-a-new-york-city-borough-rents-are-falling-there-and-fast>, accessed on 09 March 2019.

24 From Guidestar, available at <https://www.guidestar.org/profile/11-2137138>, accessed on 08 March 2019.

25 From Guidestar, available at <https://www.guidestar.org/profile/11-2137138>, accessed on 08 March 2019.



Figure 16<sup>26</sup>



Figure 17<sup>27</sup>



Figure 18<sup>28</sup>



Figure 19<sup>29</sup>



Figure 20<sup>30</sup>

26 Picture courtesy of the New York Times, Vincent Tullo for The New York Times, available on <https://www.nytimes.com/2017/04/27/technology/new-york-startups-hardware-brooklyn.html>, accessed in March 2019.

27 Autonomous Vehicle Technology, Self-driving vehicle deployments announced at the Brooklyn Navy Yard and Paradise Valley Estates, 27 March 2019, picture courtesy of Optimus Ride, available at <https://www.autonomousvehicletech.com/articles/1650-self-driving-vehicle-deployments-announced-at-the-brooklyn-navy-yard-and-paradise-valley-estates>, accessed in August 2019.

28 Aerial photo of Brooklyn Navy Yard, Photo courtesy Brooklyn Navy Yard Development Corporation, available at <https://untappedcities.com/2018/06/27/inside-brooklyn-navy-yards-massive-expansion-plan-underway/>, accessed in March 2019.

29 Aerial photo of Brooklyn Navy Yard, Photo courtesy Brooklyn Navy Yard Development Corporation, available at <https://untappedcities.com/2018/06/27/inside-brooklyn-navy-yards-massive-expansion-plan-underway/>, accessed in March 2019.

30 The Urban Institute, New York visit – meeting report, June 17, 2018, Graduate School of Governance Hideaki Yamazaki, available at <https://urban-institute.info/wp-content/uploads/2018/09/e20c48fec3b702fa87546ca38380270f.pdf>, accessed in March 2019.

Equally important is the new tenant RLab, the first City-funded, virtual- and augmented reality center, administered by the New York University (NYU) Tandon School of Engineering with a participating consortium of New York City universities, including Columbia University, City University of New York (CUNY) and The New School. RLab will operate out of Building 22 in the BNY and will cement New York City's status as a global leader in virtual- and augmented reality and other future interfaces, creating over 750 jobs<sup>31</sup>. Also, Wegmans Supermarket, which will open by 2020, will be anchored at Admiral's Row, creating nearly 1200 direct and indirect jobs.

As the Yard is preparing for its largest expansion across the existing 300-acre waterfront, it has sixty buildings currently under lease. Old physical assets are being renovated, such as Building 77 (3,000 plus jobs), and new physical assets are being built on premises, such as the new WeWork Building 72 (4000 jobs) and Wegmans (1200 jobs)<sup>32</sup>. Additionally, Pratt Institute is planning to open up a new research facility inside the Yard in the coming years<sup>33</sup>.

The BNY continues to strive and offer a critical pathway for workforce development, and an environment in which businesses and careers can take root and grow. Industrial users are BNYDC's highest priority, and it believes that the industrial sector can and will flourish in New York, employing a diverse cross-section of New Yorkers in jobs that offer real careers.

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31 From NY/EDC, RLab: The First-City Funded VR/AR Center in the Country Opens at Brooklyn Navy Yard, 24 October 2018, available at <https://www.nycedc.com/press-release/rlab-first-city-funded-vrar-center-country-opens-brooklyn-navy-yard>, accessed on 09 March 2019.

32 From Untapped New York, Inside Brooklyn Navy Yard's Massive Expansion Plan Underway, 27 June 2018, available at <https://untappedcities.com/2018/06/27/inside-brooklyn-navy-yards-massive-expansion-plan-underway/>, accessed in March 2019.

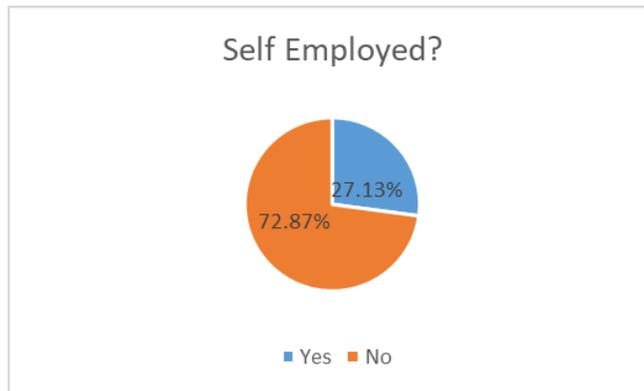
33 Pratt Institute, City Council Awards Pratt \$890K toward Creating New Research Initiative in Brooklyn Navy Yard, 25 June 2019, available at <https://www.pratt.edu/news/view/city-council-awards-pratt-890k-toward-creating-new-research-initiative-in-b>, accessed August 2019.

Annex 2 – 2018 Tenant Survey Results BNY

**Select Responses:  
2018 Annual Tenant Survey**

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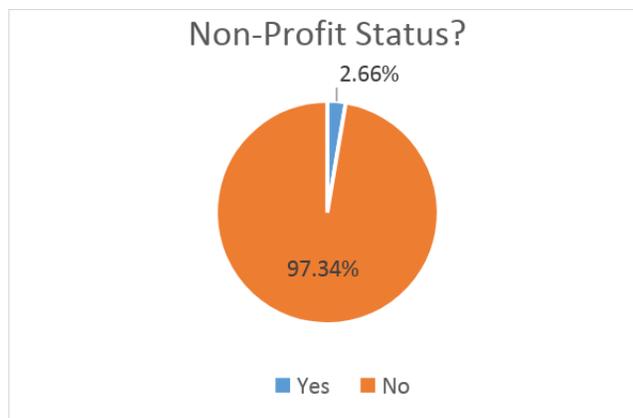
**Question # 2: Are you self-employed, with no other employees?**



- 51 tenants out of 188 polled (27.13%) are self-employed
- 137 tenants out of 188 polled (72.87%) report employing staff

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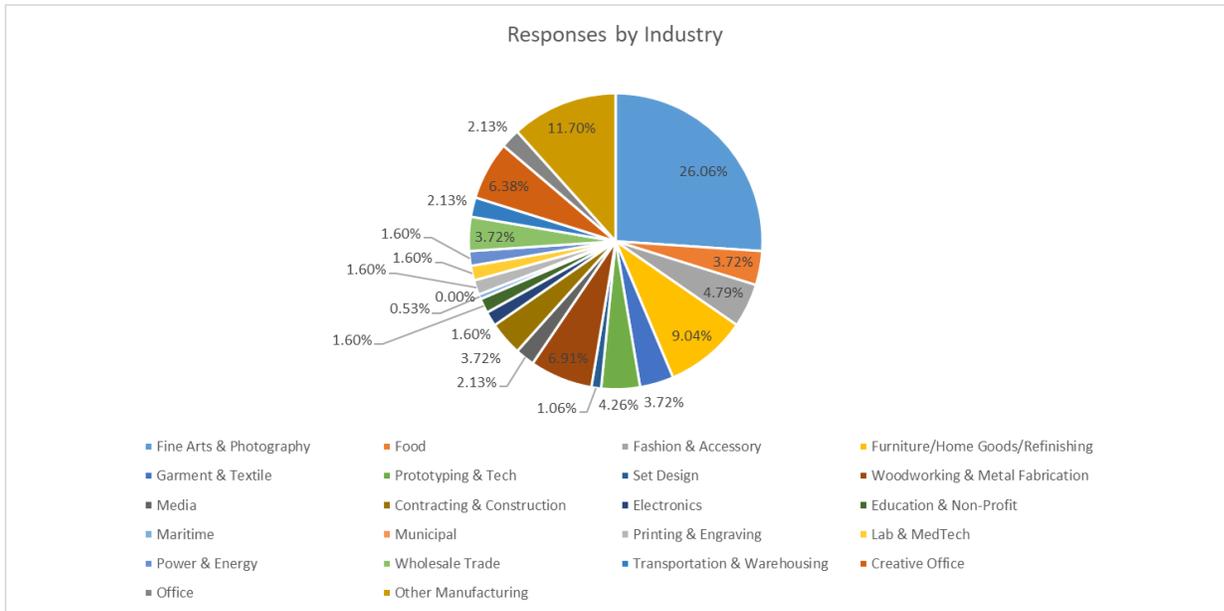
**Question # 3: Is your business a not-for-profit corporation?**



- 5 tenants out of 188 polled (2.66%) report being not-for-profit.
  - 183 tenants out of 188 polled (97.34%) are not nonprofits.
-

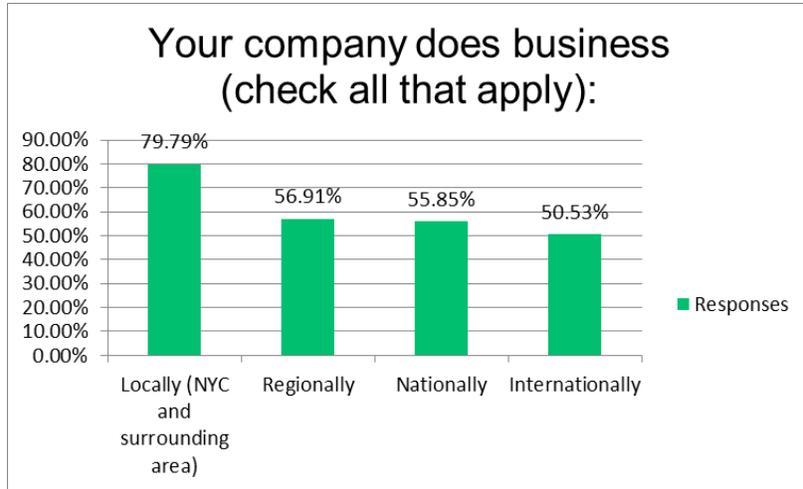


**Question 6: Please choose the category that best describes your business:**



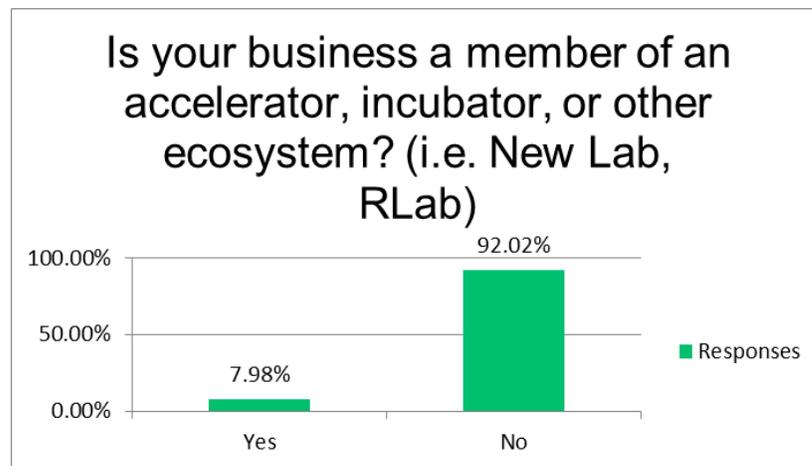
Top 5 Industries Represented in Survey		
Industry	Total Tenants	
Fine Arts & Photography	26.06%	49
Other Manufacturing	11.70%	22
Furniture/Home Goods/Refinishing	9.04%	17
Woodworking & Metal Fabrication	6.91%	13
Creative Office	6.38%	12
	<b>60.09%</b>	<b>113</b>

**Question 7: Your company does business (check all that apply)**



- **150 tenants** out of 188 polled (79.79%) conduct business within New York City
- **107 tenants** out of 188 polled (56.91%) conduct business regionally
- **105 tenants** out of 188 polled (55.85%) conduct business nationally
- **95 tenants** out of 188 polled (50.53%) conduct business internationally

**Question 9: Is your business a member of an accelerator, incubator, or other ecosystem?**



- **15 tenants** out of 188 polled (7.98%) are members of an accelerator, incubator, etc.
  - **173 tenants** out of 188 polled (92.02%) are not yet members of an accelerator
- 

**Question 12: In the past 36 months, have collaborated with another organization inside the Yard?**



- **134 tenants** (71.28%) reported collaborating with other Yard tenants in the past 36 months
  - **54 tenants** (28.72%) reported no collaboration with other Yard tenants
- 

**Question 13: Which organizations have you collaborated with?**



- **153 tenants (81%)** out of 188 responded to Question 13
- **35 tenants (19%)** out of 188 chose to skip Question 13
- Of those who responded, **67 (43.79%)** have collaborated with BNYDC
- Of those who responded, **102 (66.67%)** have collaborated with other Yard businesses
- Of those who responded, **25 (16.34%)** have collaborated with incubators or accelerators
- Of those who responded, **19 (12.42%)** report being members of an accelerator
- Of those who responded, **30 (19.61%)** responded "Other"
- See "**Q13-CollaborationList**" tab for names of collaborators marked as "Other"

**Question 14: How would you describe the nature of your collaboration? (check all that apply)**





- **150 tenants (80%)** out of 188 responded to Question 14
  - **38 tenants (20%)** out of 188 skipped Question 14
  - **Multiple responses were allowed**
  - Of those who responded, **71 (47.33%)** provided advice or technical support to each other
  - Of those who responded, **64 (42.67%)** conducted B2B sales or purchases within the Yard
  - Of those who responded, **42 (28.00%)** reported formal business partnerships
  - Of those who responded, **24 (16.00%)** collaborated on marketing and branding
  - Of those who responded, **40 (26.67%)** described their collaboration as "Other"
  - "Other" types of collaboration reported include fundraising help, design and prototyping help, photography service, build-out guidance, and delivery and storage service
- 

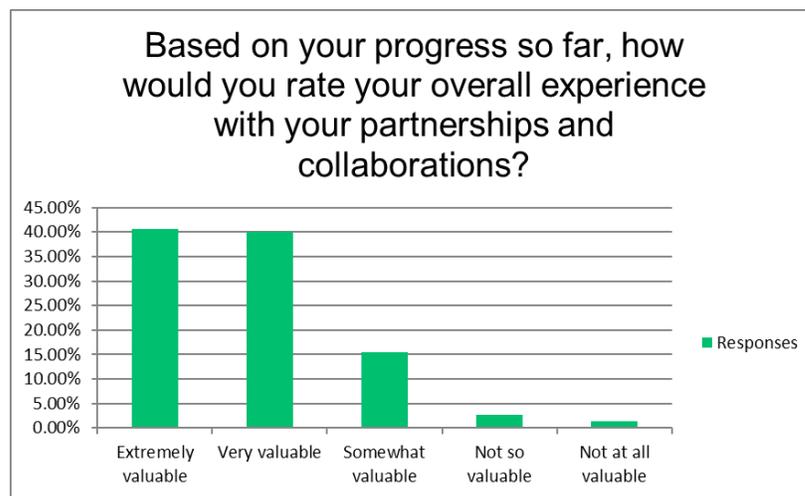
**Question 15: How many tenants have you collaborated with in the past 36 months?**



- Similar to Question 13, **53 tenants (81%)** out of 188 responded to Question 15

- Similar to Question 13, **35 tenants (19%)** out of 188 skipped Question 15
- Of those who responded, **36 (23.53%)** have collaborated with at least 1 other tenant
- Of those who responded, **28 (18.30%)** have collaborated with at least 2 other tenants
- Of those who responded, **30 (19.61%)** have collaborated with at least 3 other tenants
- Of those who responded, **19 (12.42%)** have collaborated with at least 4 other tenants
- Of those who responded, **40 (26.14%)** have collaborated with 5 or more tenants

**Question 16: How would you rate your overall experience with your collaborations?**



- **155 tenants (82%)** out of 188 responded to Question 16
- **33 tenants (18%)** out of 188 skipped Question 16
- **63 tenants (40.65%)** out of 155 believe their **collaboration is extremely valuable**
- **62 tenants (40.00%)** out of 155 believe their **collaboration is very valuable**
- **24 tenants (15.48%)** out of 155 believe that their **collaboration is somewhat valuable**
- **4 tenants (2.58%)** out of 155 believe their collaboration is **not so valuable**
- **2 tenants (1.29%)** out of 155 believe their collaboration is **not at all valuable**



Brooklyn Navy Yard  
 Development Corporation  
 BrooklynNavyYard.org

Building 77  
 141 Flushing Ave, Unit 801  
 Brooklyn, NY 11205

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**Appendix:  
 Tenant Collaboration List**

Tenant	Collaborator (Other)
Joseph Peller	A great Chan
Skyline Environmental Corp	Abatement and Re insurance
Nancy Bowen Studio	Artists in Building 30 and the BNYDC Arts people
Art in Construction	BNY Construction and Situ
Thyra Heder	BNYDC
Picture Farm	Brooklyn STEAM
SITU	Creative Time / Duke Riley
Conjunction Arts	Duggal
Ferra Designs	Evan Eisman Dave Melchior cabinetry
PAGANISTUDIO	Ferra Design, Evan Eisner, Metal Forms Studio, James Wade Photography, Duggal Printing
Lafayette 148, Inc.	Jackie Meier and other artists in the Yard
Schumacher	Lights UP



Brooklyn Navy Yard  
Development Corporation  
BrooklynNavyYard.org

Building 77  
141 Flushing Ave, Unit 801  
Brooklyn, NY 11205

B

nycreative, LLC	OHNY
Elizabeth Yamin	OHNY
Myrna Gordon Sculpture	Open House N.Y.
Casual Films	PictureFarm, Daddy-O
EnerKnol, Inc.	Start-UP NY
Ductal	STEAM Program
BPL R & D	Steiner Studios
Sebastian Kim Inc.	Ten Ton Studio, Navy Studio, Daddy O, prop houses
Priceless Resource Inc	True Wireless
Z.A.K. KITNICK LLC	VARIOUS METAL AND FINISH COMPANIES
Headwater Contracting Ltd & Emil Kinkopf	We are both artists and gen contractors

### Annex 3 - Field Notes and Observations field visits BNY (2019)

#### 13 March 2018

At around 3 pm, whilst sitting in the cafe at the ground floor of building 77 next to Ross and Daughters bagels store, and going through my notes, transcripts from the morning, a gentleman approached me at the seating area. He told me that he had seen me twice already in the premises moving from building 77 to building 92 with my trolley.

I laughed and told him that I had one week to conduct interviews in the Yard, and that I was moving between apartments and had to take the trolley with me. I immediately asked if he was working in the Yard.

To which he said yes, and that he was an employee and had been working in the Yard as a metal worker for the past 8 years.

I asked him if he was from around the area, and he confirmed that he was living in the Farragut public housing unit. 'Born and raised in Brooklyn! I know this place like the palm of my hand'.

I inquired what he thought of all the changes going on in the Yard. He cheered the "new stuff happening", and also added "This is not my business. I just work here. But I am curious to know what's really going on. And if I have to get worried at some point. I have been coming here for the past 8 years."

I inquired again and asked if all the new stuff happening was a point of concern, to which he responded with "No, not at all. It's great, and you can tell a lot is going on. But I just don't want to lose my job!"

I asked if he knew about the Employment Center and their work. And again, he cheered, and responded "They saved my life! Without them, I don't know what I would do. They helped me get this job, and another buddy also got a job through them. They do a lot for us. I mean...it's not easy, but they really help."

I immediately apologized for asking too many questions, as that it was all part of my research, and if he would be willing to answer a few more questions, as he was about to get his coffee. And he said yes.

I asked him what were his impressions about working in the Yard and all the changes happening? And he was very open, and mentioned that he was welcoming all the change. And that without the Yard he would probably still be unemployed. That he was paying his bills on time, that he had met so many great people and new tenants moving in the Yard. A lot of businesses in the Yard were coming to his boss for work. And that it felt like it had become a very welcoming place. And that as long as the job was there, he would be coming to the Yard. And that if at any point he would be laid off, he would again go to the Employment Center, and see what he could do.

March 13 - at around 5 pm, I walked to Farragut public housing units to get my own impressions and see if I could find someone from the public housing unit to someone about the Yard

Coincidentally, I approached a gentleman who appeared to be in his twenties who was also going towards Farragut public housing, and asked him if I could ask a few questions. I introduced myself, and told him that I was conducting some interviews about their impressions of the Yard. And he said yes.

I asked him if he knew about all the changes going on in the Yard. And he said that he follows the Yard on Twitter, and that “they do good work for the community.” To which I asked him what he meant by that?

He responded very candidly that the Yard was really trying to get people of color involved. And that he has heard of Wegmans supermarket opening up. “I know a few people who have applied for jobs there. It would be great to have a supermarket here.”

I asked him why having Wegmans was a good thing? To which he retorted and said “Well...look around you. Do you see a supermarket here in this area. I mean we have Deli’s but that is pretty much it.” I thanked him for his comment and asked him if he knew about the Employment Center, to which he said “Most definitely yes! They are awesome!” And that when he was in high school he learnt about the Yard, and visited the museum.

And immediately I followed-up with a question whether he would consider going there to inquire about job openings in the Yard. He mentioned that he was in college, and that definitely the Employment Center would be the first place for him to go and inquire about jobs at the Yard.

“There is a lot going on, and there are so many new things happening. I would love to work in the Yard! Hopefully.... after I graduate.” I asked him what he was studying and he said “Finishing next year my undergrad in business and economics”. And, that he was at CUNY, and working part-time. I asked him about growing up in Farragut, and again quite candidly he said that it was a rough neighborhood. A lot of issues. And that he was the child of a single parent, where his mom was always worried about whether she was going to be able to pay the rent. And that “I most definitely do not want to be like that.” That he was working on the side to pay his tuition fees and all that. But as soon as he was done he was going to leave. “Maybe go to Florida. My girlfriend is in Miami....”

**March 15 - at around 11 am I arrived at Ingersoll and walked around the public housing hoping again to find a person to speak to about living in the public housing and the Yard**

I approached an older lady who appeared to be in her late thirties early forties. Introduced myself, and asked her if I could ask a few questions, and told him that I was conducting some interviews about their impressions of the Yard. And he said yes as long as I would not record anything. Which I confirmed.

I asked her if she knew about all the changes going on in the Yard. And she said "Yeah I know about the Yard. I work there!" I asked her what she does at the Yard, and she said that she works as a security guard inside building 77. Asked her immediately what she thought about the new building to which she laughed and said "I love it!" I followed up with what she loved about it, the job or the building. She replied "Everything. I love my colleagues, the building, the whole Yard, and the people that I meet. I am a social person, and love to help people. There is not one day that goes by that I am not thankful!"

I nodded and smiled, and asked what she was doing before being a security guard, and she said she was in and out of jobs, but always in some ways related to security; and that she had also done some telemarketing and reception work.

I asked her about the Employment Center and she has heard about them, and that she knew "they are about jobs! They help people get jobs...", and that she had referred people from Ingersoll to the Center.

About her impressions of the changes in the Yard, she was quite positive. Although she was also fearful that "things would get expensive around here. It won't be like Manhattan or anything, but still.... there is a lot going on, which is great but it can get more expensive too."

She was from Ingersoll, and had been living around the Yard for years. "This is my neighborhood. And we are from here. My parents moved from North Carolina, where my dad used to scrape ice." When asked about the changes in and around the Yard, she mentioned Wegmans as "The greatest thing ever. Now I don't need to take the bus to get my groceries. I can get them right from after work and go home."

March 15 - at around 1130 am I continued my walk around Ingersoll and approached another person passing through randomly

I approached a young-looking gentleman who appeared to be in his early twenties. Introduced myself, and asked him if I could ask a few questions, and told him that I was conducting some interviews about impressions of the Yard.

I asked him if he knew about all the changes going on in the Yard. And he said "Yeah .... a lot going on in the Yard. They do really great work for the community."

I inquired further, and he indicated that he was going to school, and that he had heard about the STEAM center. That with his school he had been to Building 92 and learned about the history of the Yard. And, that he was interested in their programs. To which I inquired further. He politely said that he would like to learn more about the cooking courses at the STEAM Center, and since "I live here, it's walking distance from my home." I also asked him about the Employment Center and he confirmed that he had heard about them, and that he knew of people who had gotten jobs through referrals with them.

I inquired further about his impressions about changes in and around the Yard, and his reaction was positive. His general impression was that it was positive, but that he would still like to move out at some point and go to another city. "I want to go to San Francisco at some point. A friend of mine is a chef there. Maybe I can get a job there." To which I inquired if it was an issue to get a job. His reaction was not so much not getting a job, it's more trying something different.

He was born and raised in Ingersoll, and showed a tattoo on his left arm "stating Brooklyn is in my blood". And, that this was his neighborhood and that he was happy to see all the change coming. And that maybe he would one day open up a restaurant inside the Yard - after which he laughed, and said "who knows.... this is NY after all!"

I asked about Wegmans, and he said he had heard about a new grocery store opening up. And that it would really help the neighborhood.

**March 15 - in the afternoon at the Brooklyn Brewery café**

I was approached while sipping coffee by a gentleman who presented himself as Kyle and tenant at the Yard. He was curious to see what I was doing, as he had seen me at the café a few times already. The conversations were not recorded, but notes were taken after the conversation.

The tenant has a metal shop and talked about “not knowing what was going on.” That he had been working in the Yard “for a long time...like 17 years”, and that “with all the new stuff going up”, he wasn’t too sure what was going on. “It’s getting fancier, I sure hope they don’t kick us out... [a laugh]”. With researcher asking a follow-up question if that was a concern, to which the tenant said “... well fancy buildings mean higher rents, so maybe, I don’t know...But it’s obvious they are spending a lot of money. Somebody has got to pay... “

I inquired about his work in NY, he was borne in Boston, but his parents moved to Manhattan at a very young age. With a smile he said “I am Yankee fan. My dad is still Red Sox!”.

I inquired about the changes and the Employment center, and he was very honest as well as other people I spoke to. That he has experienced that changes for a while now. That the company was doing quite well, and that a lot of this work is contracted with the Yard with Yard clients. “We delivered some of the pieces for the new WeWork building”. About the Employment Center, the tenants said that he was quite happy with their work. And how important it was to work with the people living outside of the Yard. And that the majority of his employees are from the neighborhood. Mainly African Americans and Hispanics. That they were schooled and trained through the Employment Center. “Can’t live without them!”.

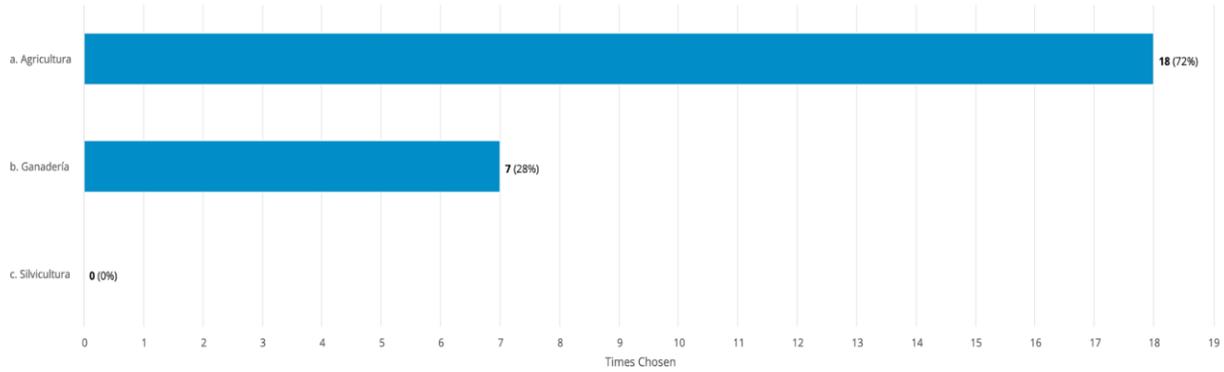
**Annex 4 – Alvelal Survey Results (2020)**

Survey results are also directly accessible via <https://surveyhero.com/results/204700/9ed5e801ca324326ab208c0ff8ae1d01>

**Question 1: What best describes your enterprise?**

**1. ¿Qué describe mejor su empresa?**

Number of responses: 25

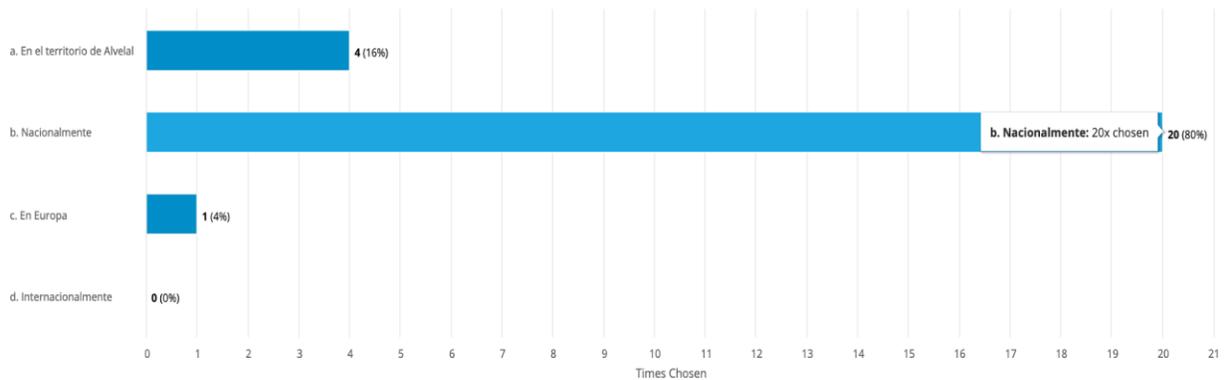


**Question 2: Your enterprise exercises activities in (chose all that apply):**

- a. Within Alvelal territory
- b. Nationally
- c. Within Europe
- d. Internationally

**2. ¿Su negocio realiza negocios dentro (seleccione todos los que correspondan)?**

Number of responses: 25



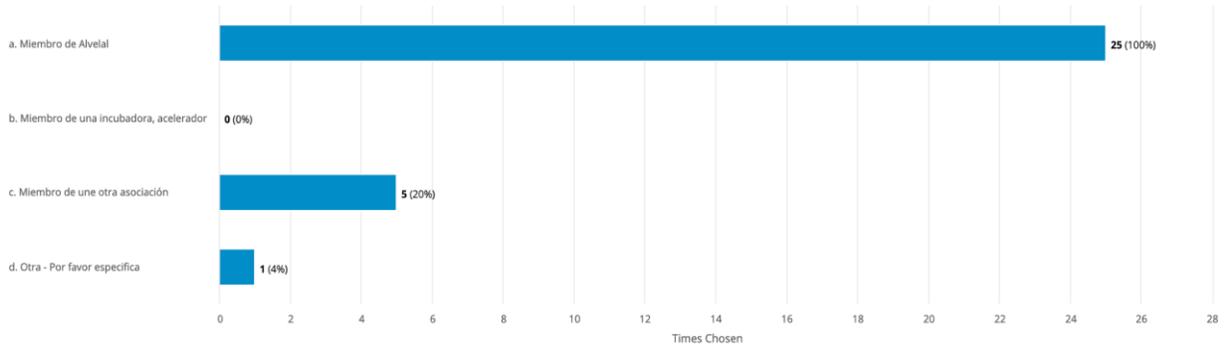
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**Question 3: Your enterprises is a member of Alvelal, an accelerator, incubator or other association (select all that apply)**

- a. Member of Alvelal
- b. Member of an incubator, accelerator
- c. Member of an association
- d. Other: please specify

**3 ¿Su empresa es miembro de Alvelal, de un acelerador, incubadora o otra asociacion? (seleccione todas las que correspondan)**

Number of responses: 25



"d. Otra - Por favor especifica" text answers:

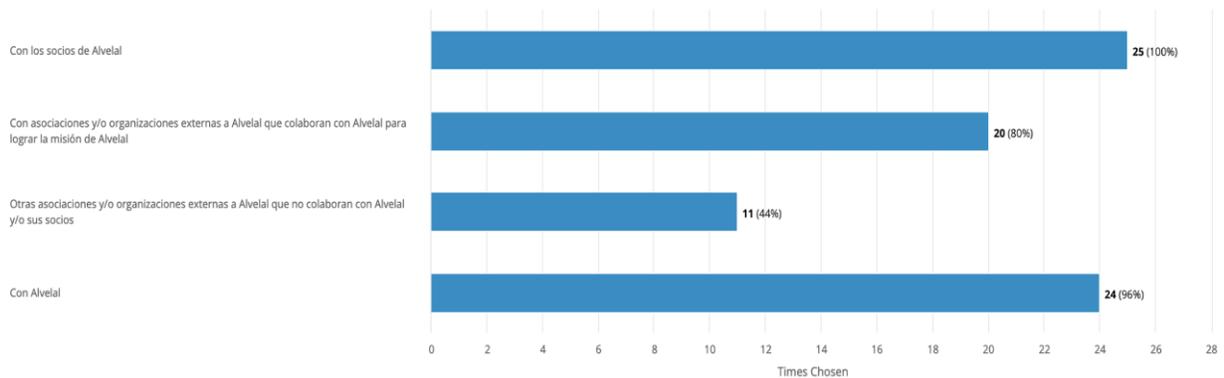
comarca

**Question 4: With which organizations have you collaborated in the last 36 months?**

- a. With Alvelal members
- b. With external organizations that work with Alvelal to achieve its mission
- c. With other external associations that do not collaborate with Alvelal and/or its members
- d. With Alvelal

**4. En los últimos 36 meses, ¿con qué organización ha colaborado? (seleccione todas las que correspondan por favor)**

Number of responses: 25



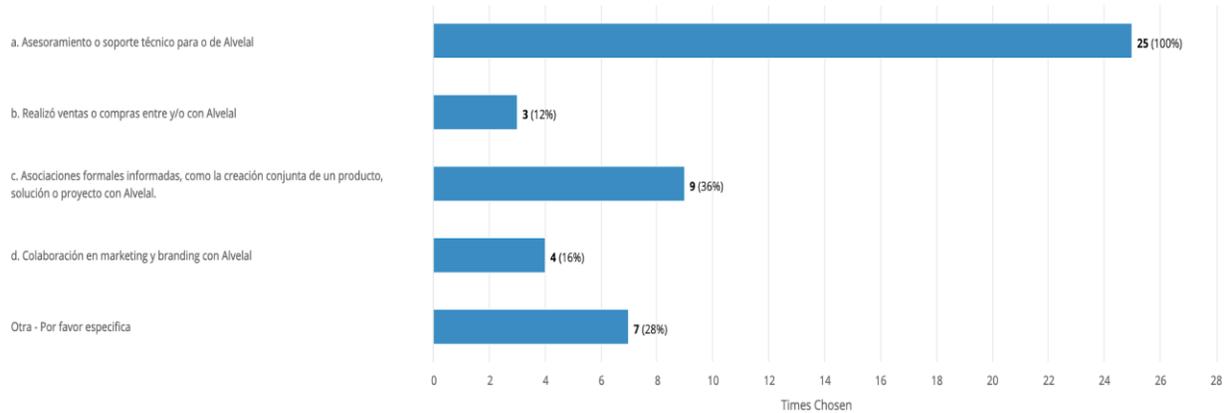
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**Question 5: What best describes your collaboration with Alvelal (select all that apply)**

- a. Technical support and advice
- b. Sales or purchases between and with Alvelal
- c. Formal partnership, for examples the joint creation of products, solutions or project with Alvelal
- d. Collaboration in marketing and branding with Alvelal
- e. Other: please specify

**5. ¿Cómo describiría el tipo de su colaboración con Alvelal? (Marque todo lo que corresponda por favor)**

Number of responses: 25



"Otra - Por favor especifica" text answers:

Ayuda financiera por los agricultores de hacer las transiciones regenerativas

necesitamos mas ayuda para profundizar nuestro conocimiento sobre la agricultura regenerativa

formacion, taller

mas apoyo comercial; en este momento hay intercambio de las ideas con otros agricultores, pero no es suficiente, y necesitamos mas apoyo.

asistir a talleres, que son muy informativos pero para ayudarnos en la transición regenerativa necesitamos dinero y tiempo

granjas de demostración

necesitamos mas más apoyo comercial

**Other:**

Financial support to farmers to make transitions towards regenerative farming

We need more help to deepen our knowledge about regenerative agriculture

Traning, workshops

More commercial support; at the moment there is an exchange of ideas between farmers, but it is not enough, and we need more support

Attend workshops, which are very informative to helping us with transitions toward regenerative agriculture; we need more time and money

Demonstration farms

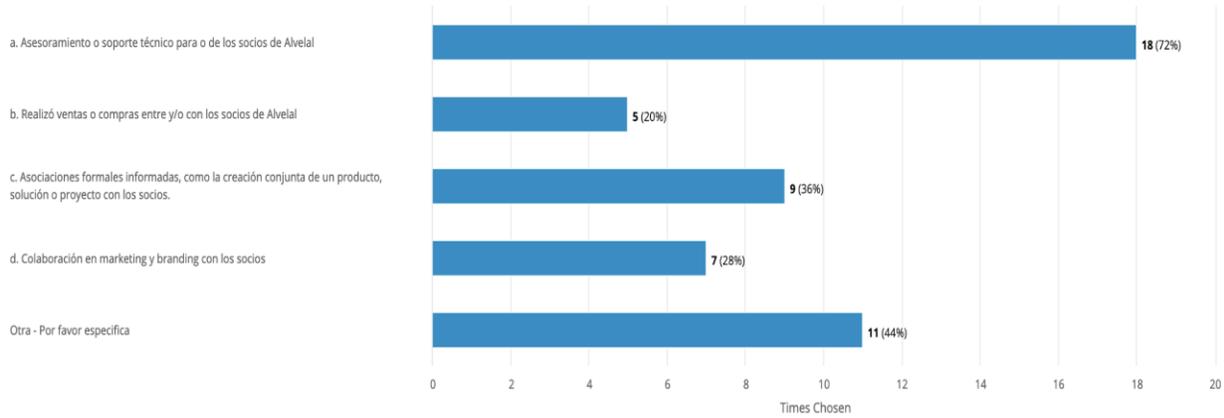
We need for commercial support

**Question 6: How would you describe the type of collaboration with Alvelal members (select all that apply)**

- a. Technical support and advice
- b. Sales or purchases between and with Alvelal members
- c. Formal partnership, for examples the joint creation of products, solutions or project with Alvelal members
- d. Collaboration in marketing and branding with Alvelal members
- e. Other: please specify

**6.¿Cómo describiría el tipo de su colaboración con los socios de Alvelal? (Marque todo lo que corresponda por favor)**

Number of responses: 25



"Otra - Por favor especifica" text answers:

- Apoyo comercial
- intercambio de ideas
- Intercambio de informaciones, también comercial
- intercambio de ideas, formación
- intercambio de ideas, apoyo técnico y comercial.
- intercambio de ideas y formación; obtener información sobre precios de mercado
- Me gustaría ver un programa de incubación que ayude a la puesta en marcha los startups en territorio Alvelal. Por el momento, se limita a CADE, pero no es lo suficientemente innovador por los jóvenes..
- intercambio de ideas, necesitamos más apoyo comercial para ayudarnos con la transición a la agricultura regenerativa.
- necesitamos más apoyo comercial. En este momento hay mucho conocimiento técnico, pero necesitamos más apoyo comercial.
- intercambio de ideas
- intercambio de ideas e información

**Other:**

- Commercial support
- Exchange of ideas
- Exchange of information, including commercial
- Exchange of ideas, training
- Exchange of ideas, technical and commercial support
- Exchange of ideas and training, obtaining information about market prices
- I would like to see an incubation program that helps with startups in Alvelal territory. At the moment, it is limited to CASE, but it is not sufficiently innovative for the youth

D

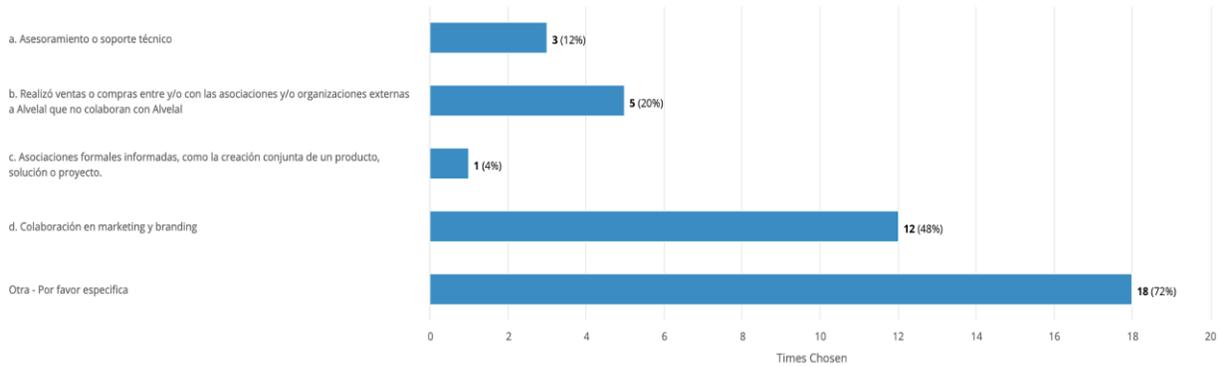
Exchange of ideas, we need more commercial support to help with the transition to regenerative farming  
We need more commercial support. At the moment there is a lot of technical knowledge, but we need commercial support  
Exchange of ideas  
Exchange of ideas and information

**Question 7: How would you describe the type of collaboration with external associations and/or organization that do not collaboration with Alvelal (select all that apply)**

- a. Technical support and advice
- b. Sales or purchases with external associations and/or organization that do not collaboration with Alvelal
- c. Formal partnership, for examples the joint creation of products, solutions or a project
- d. Collaboration in marketing and branding
- e. Other: please specify

**7. ¿Cómo describiría el tipo de su colaboración con las asociaciones y/o organizaciones externas a Alvelal que no colaboran con Alvelal? (Marque todo lo que corresponda por favor)**

Number of responses: 25



"Otra - Por favor especifica" text answers:

eco-tourismo y apoyo comercial

eco-tourismo

Financiación; apoyo comercial

fondos financieros

Otra - Por favor especifica

No colaboro con estas asociaciones y/o organizaciones

Apoyo comercial

Apoyo comercial

Apoyo comercial

financiadores e inversores, soporte de equipo

fondos, apoyo comercial, export en europe

D

inversores
Intercambio de los conceptos de la restauración de paisajes y agricultura regenerativa
fondos
no aplica
No tenemos contacto, pero queremos inversores
tratar solicitar fondos, ayuda con nuestro sitio web
inversores

Other:

Eco-tourism and commercial support

Eco-tourism

Funding: commercial support

Funds

I don't work with such associations and organizations

Commercial support

Commercial support

Commercial support

Funds and investment, team support

Funds, commercial support, export within Europe

Investments

Exchange of concepts on landscape restoration and regenerate farming

Funds

Does not apply

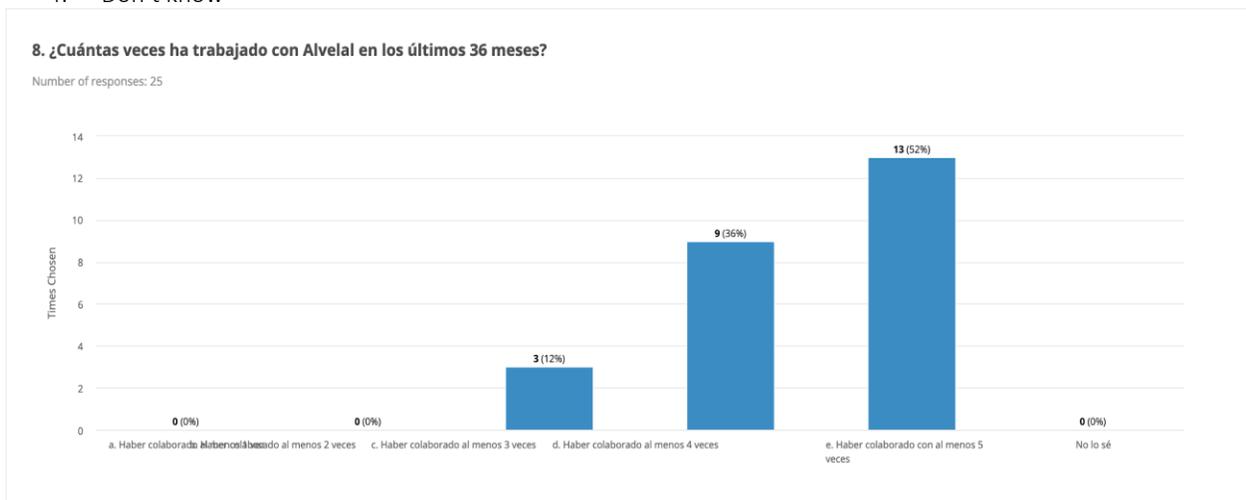
We don't have contacts, but would like investors

Soliciting funds, help with our web-site

Investments

**Question 8: How many times have you worked with Alvelal over the last 36 months?**

- a. At least one time
- b. At least two times
- c. At least three times
- d. At least four times
- e. At least five times
- f. Don't know



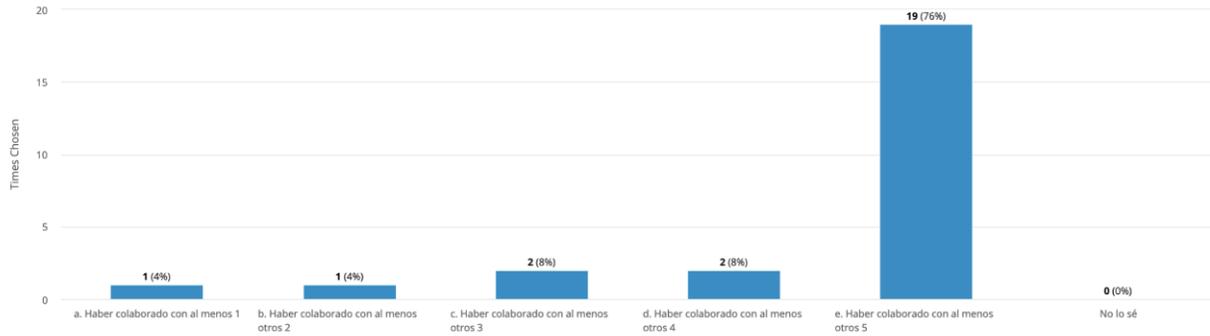
D

**Question 9: With how many Alvelal members have you worked over the last 36 months within Alvelal territory**

- a. At least one time
- b. At least two times
- c. At least three times
- d. At least four times
- e. At least five times
- f. Don't know

**9. ¿Con cuántos socios de Alvelal ha colaborado en los últimos 36 meses dentro del territorio de Alvelal?**

Number of responses: 25

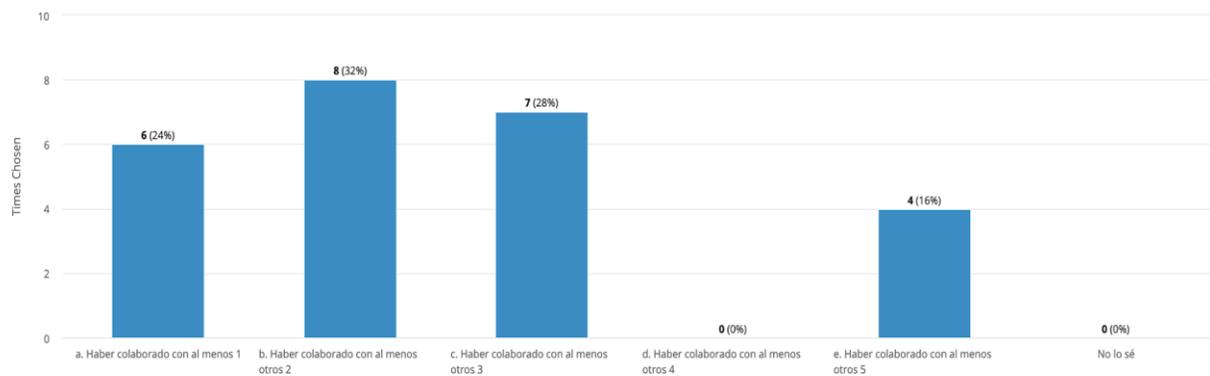


**Question 10: With how many external associations and/or organizations that work with Alvelal have you collaborated over the last 36 months?**

- a. At least one time
- b. At least two times
- c. At least three times
- d. At least four times
- e. At least five times
- f. Don't know

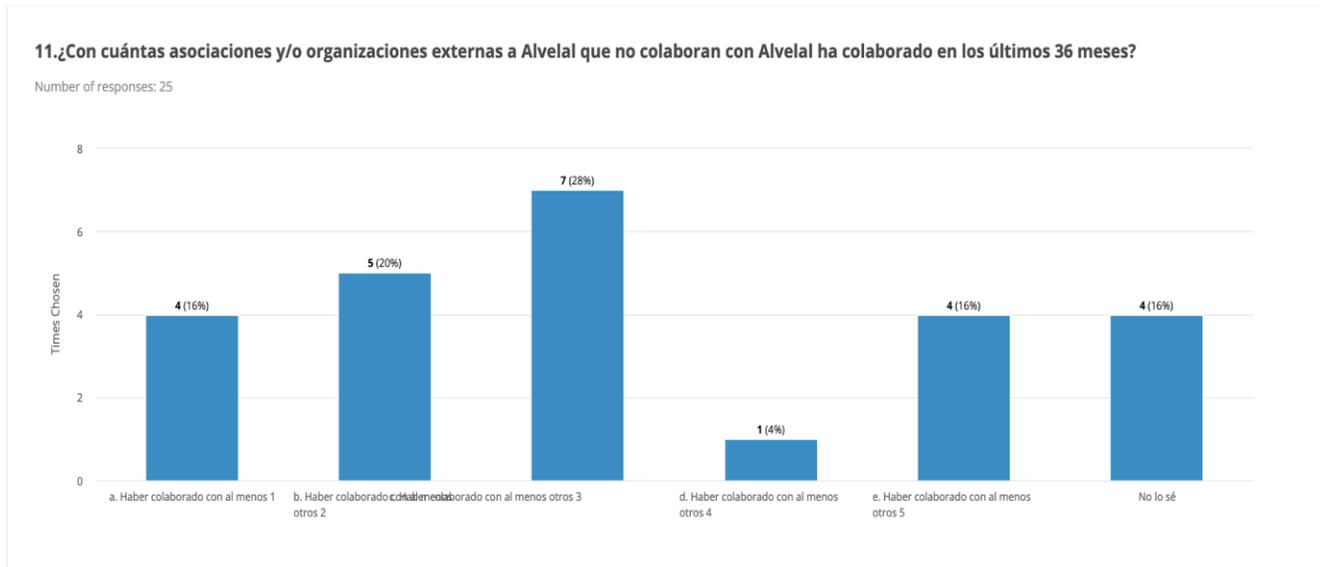
**10. ¿Con cuántas asociaciones y/o organizaciones externas a Alvelal que colaboran con Alvelal ha colaborado en los últimos 36 meses?**

Number of responses: 25



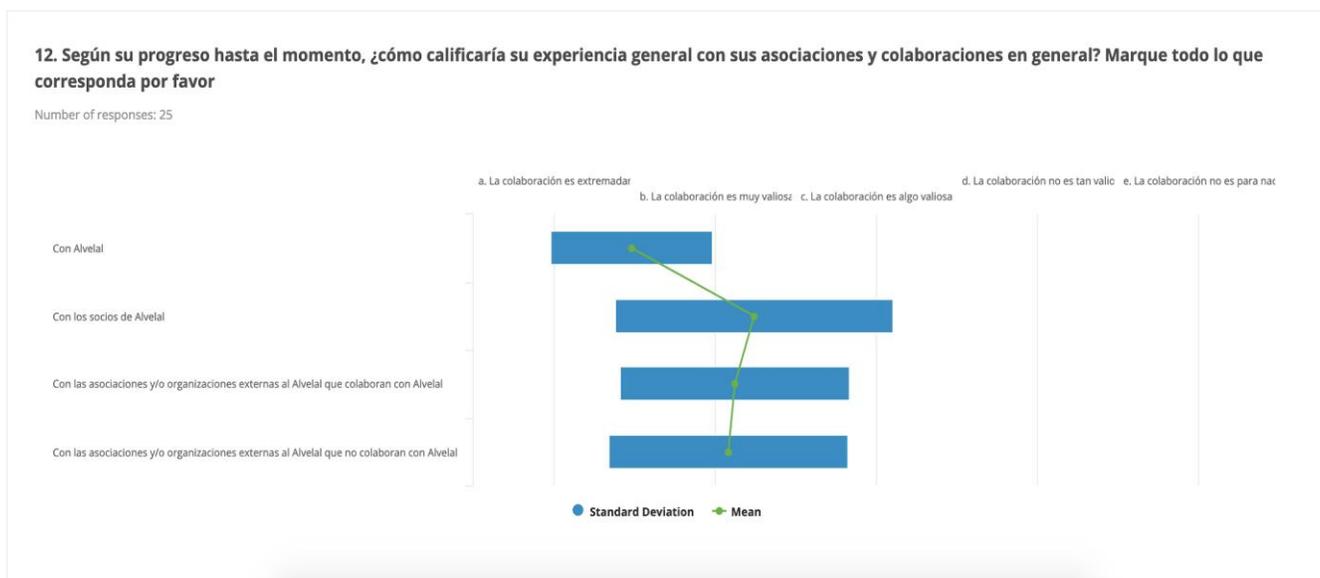
**Question 11: With how many external associations and/or organizations that do not work with Alvelal have you collaborated over the last 36 months?**

- a. At least one time
- b. At least two times
- c. At least three times
- d. At least four times
- e. At least five times
- f. Don't know



**Question 12: According to your progress so far, how would you generally rate your partnership and collaborations? (select all that apply)**

- a. With Alvelal (from 1 to 5, with 1 being not at all valuable, and 5 being very valuable)
- b. With Alvelal members (from 1 to 5, with 1 being not at all valuable, and 5 being very valuable)
- c. With external associations and organizations that collaborate with Alvelal (from 1 to 5, with 1 being not at all valuable, and 5 being very valuable)
- d. With external associations and organizations that do not collaborate with Alvelal (from 1 to 5, with 1 being not at all valuable, and 5 being very valuable)



## Annex 5 – Observations and Notes from Alvelal Zoom calls (2020)

### 30 April 2020 - Virtual session on sustainable food systems and eco-tourism

Invited to attend a Zoom call hosted by Alvelal. The presenter welcomes everyone (30 participants) and explains the purpose of the meeting, which is to create bonds and increase understanding and knowledge of sustainable farming and regenerative practices and the opportunities for sustainable food systems, sustainable supply chains and eco-tourism in the region.

Presenter then gives the floor to 3 main Alvelal members who are also farmers and ranchers and involved in 4-Return companies. These three individuals offer their experience, knowledge and work so far with Alvelal. One person in particular, is also sitting in one of Alvelal executive committees, and an awardee of numerous innovation awards in agriculture in this part of Spain.

Following the presentations, there is a fruitful exchange between the participants and the presenters, about Alvelal, the membership, the advantages of being a member; there is also a discussion about Alvelal projects in the region, and some of the impact so far.

Some participants are clearly inspired by the work of the presenters, their dedication and the results of their work so far, and express that they too would want to be part of 4-Return businesses in the future.

There is also a conversation about the important trends in the region around food and tourism. And the importance of sustainable eco-tourism, to inculcate a sense of pride and deeper understanding for the work of farmers and ranchers. There is reference to transforming supply chains, and ensuring that wealth and capital stays in this region, and in the hands of the people who actually work and live in this region.

Also noteworthy is that participants have a lot of good intentions and express that among themselves; and the need and want to do things differently, but that unless they can actually live off of ecotourism, it will be hard to change current farming practices immediately.

There is an exchange between participants, with at least four participants, who mention that it is their first time attending such a Zoom call, and that they feel inspired by the main presenters, and that they would like to learn more about Alvelal and its work.

### 16 April 2020 - Agro Café

Invited to attend a Zoom call, which Alvelal brands as an Agro-Café. The presenter welcomes everyone (25 participants) and explains that these meetings are more informal ways to meet and connect and build a more connected community of farmers in this region of Spain.

Speaker is an expert agronomist and gives a very detailed presentation about the history and evolutions of farming, and how modern and sedentary farming made it to Spain through time originating in West Asia.

## E

The primary purpose of this gathering is to increase the knowledge of the participants, and to increase their understanding and the important value that farming and that agriculture has.

The purpose of this presentation is to raise awareness of the history, evolution and importance of farming in Spain.

Noteworthy here is also, that this virtual space is used as a great way to talk, discuss regenerative farming, gauge the input and opinions of farmers, and also of those who are not members of Alvelal, or not at all in Alvelal territory.

There is a great exchange after the presentation with a number of farmers expressing the value in learning more about the history of farming, and deepening the appreciation for farmers and farming work.

### 09 April 2019 - Alvelal virtual session on soil fertility

Invited to attend a Zoom call which was hosted by one of Alvelal partners, Univ. of Almeria, to share scientific results of data collected from farm visits on soil quality and soil fertility. Participating farms have been juxtaposed to those farms who are not applying the same soil restoration practices.

Meeting is attended by Alvelal members, and also individuals who are not members of Alvelal, but have expressed an interest to learn more about Alvelal's work in the region.

After a detailed and technical presentation of the results, there is a very fruitful exchange, questions and answers by and between participants, who ask detailed questions about what the issues are with the current soil practices, and what they can do to improve fertility and yield.

The presenter also makes a very explicit statement about the fact that the current results are not 100% conclusive yet. That the initial results on soil practices appear to be positive. And that more time and data collection is needed to see if indeed there is a correlation between soil fertility restoration practices, yield, and comparison with 'traditional' and industrial farming practices.

One particular observation to mention here explicitly is the efforts that the presenter is making to make rather technical data about soil and soil fertility accessible and digestible to an audience, who are mainly farmers. From the nature of the questions being asked by participants, one can interpret that they are trying to understand how the technical results can impact them practically in their day-to-day work on their farms.

Overall the impression I am getting is a lot of support for these technical meetings and future ones to help farmers understand the science behind landscape restoration and regenerative farming.

There are also a few sceptics in the Zoom call, who make immediate connections with their livelihoods. One in particular states, that he understands the importance of regenerative farming, but that in the end he needs to pay his bills, and that if he can make the same or more through regenerative farming, he will transition overnight.

## Annex 6 - Tribal nations of Southeast Alaska

Tens of millions of Indigenous peoples inhabited North America and governed their complex societies long before European governments sent explorers to seize lands and resources from the continent and its inhabitants. These foreign European governments interacted with tribes in diplomacy, commerce, culture, and war— acknowledging Indigenous systems of social, cultural, economic, and political governance<sup>1</sup>.

Tribal nations have remained as political powers from the colonial period until today—engaging in commerce, trade, cultural exchange, and inspiring the principles of freedom and democracy enshrined in the US Constitution. As the United States formed a union, the founders acknowledged the sovereignty of tribal nations, alongside states, foreign nations, and the federal government in the US Constitution<sup>2</sup>.

Rooted in deep traditions and distinct ways of life, tribal nations are defined by indigenous peoples, places, cultures, and governance. Native Americans are defined as all native peoples of the United States and its trust territories (i.e., American Indians, Alaska Natives, Native Hawaiians, Chamorros, and American Samoans), as well as persons from Canadian First Nations and Indigenous communities in Mexico and Central and South America who are US residents. American Indian and Alaska Native (AI/AN) are persons belonging to the Indigenous tribes of the continental United States (American Indians) and the Indigenous tribes and villages of Alaska (Alaska Natives)<sup>3</sup>.

As sovereign nations, federally recognized American Indian and Alaska Native tribes have a government-to-government relationship with the two other sovereign governing bodies of the United States: the federal and state governments. Together, they form an American family of governments— interrelated yet uniquely distinct from each other, and complex<sup>4</sup>. Tribal law, federal law, and state laws define the responsibilities, powers, limitations, and obligations between these sovereigns. Tribal governments and state governments have a great deal in common, and established best practices in tribal–state relationships have resulted in continuing cooperative efforts that produce benefits throughout communities and regions of the United States<sup>5</sup>. Energy production is the main driver of Alaska's economy, providing more than 80% of state government revenue and thousands of jobs. Mining and fishing are the second and third largest industries in the state, with tourism rapidly increasing since the 1990s<sup>6</sup>.

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1 From 'Tribal Nations and the United States - An Introduction', the National Congress of American Indians, available via <http://www.ncai.org/about-tribes>, and accessed in January 2020.

2 From 'Tribal Nations and the United States - An Introduction', the National Congress of American Indians, available via <http://www.ncai.org/about-tribes>, and accessed in January 2020.

3 From 'Tribal Nations and the United States - An Introduction', the National Congress of American Indians, available via <http://www.ncai.org/about-tribes>, and accessed in January 2020.

4 From 'Tribal Nations and the United States - An Introduction', the National Congress of American Indians, available via <http://www.ncai.org/about-tribes>, and accessed in January 2020.

5 From 'Tribal Nations and the United States - An Introduction', the National Congress of American Indians, available via <http://www.ncai.org/about-tribes>, and accessed in January 2020.

6 Continuing pressure for oil, gas, and mineral development on land and offshore in ice-covered waters increases the demand for infrastructure, placing additional stresses on ecosystems. Land-based energy exploration will be affected by a shorter season when ice roads are viable, yet reduced sea ice extent may create more opportunity for offshore development. Climate also affects hydropower generation. Fisheries are vulnerable to changes in fish abundance and distribution that result from both climate change and fishing pressure. Tourism might respond positively to warmer springs and autumns but negatively to less favorable conditions for winter activities and increased summer smoke from wildfire

American Indian reservation and trust land areas comprise 56 million acres. Alaska Native Corporations and villages control 44 million acres as private ownership under the Alaska Native Claims Settlement Act. Two hundred and twenty-nine (229) tribes are located in Alaska <sup>7</sup>, accounting for 40% of the federally recognized tribes in the United States<sup>8</sup>.



**Image 1: Alaska Boroughs and census areas<sup>9</sup>**

Alaska Natives have a unique relationship with the US Government that is different from the reservation system of the lower 48 states of the US. There are 12 Alaska Native Regional Corporations that govern most of the 229 federally recognized Indian communities and villages in Alaska. The regional native-owned corporations were created by the Alaska Native Claims Settlement Act (of 1971) to provide stewardship of ancestral lands and financial and other resources for Alaska's native people<sup>10</sup>.

7 From 'Tribal Nations and the United States - An Introduction', the National Congress of American Indians, available via <http://www.ncai.org/about-tribes>, and accessed in January 2020.

8 BIA, cited 2012: Alaska Region Overview. U.S. Department of the Interior, Bureau of Indian Affairs. [Available online at <http://www.bia.gov/WhoWeAre/RegionalOffices/Alaska/>]

9 From Alaska Boroughs and Census area, image credit to creative commons, Commons Wikimedia, available at [https://commons.wikimedia.org/wiki/File:Alaska\\_boroughs\\_and\\_census\\_areas\\_map.png](https://commons.wikimedia.org/wiki/File:Alaska_boroughs_and_census_areas_map.png), and accessed in June 2020. "Alaska is the United States' only Arctic region. Its marine, tun-dra, boreal (northern) forest, and rainforest ecosystems differ from most of those in other states and are relatively intact. Alaska is home to millions of migratory birds, hundreds of thousands of caribou, some of the world's largest salmon runs, a significant proportion of the nation's marine mammals, and half of the nation's fish catch." From Chapin, F. S., III, S. F. Trainor, P. Cochran, H. Huntington, C. Markon, M. McCammon, A. D. McGuire, and M. Serreze, 2014: Ch. 22: Alaska. Climate Change Impacts in the United States: The Third National Climate Assessment, J. M. Melillo, Terese (T.C.) Richmond, and G. W. Yohe, Eds., U.S. Global Change Research Program, 514-536. doi:10.7930/J00Z7150; available via <http://nca2014.globalchange.gov/report/regions/alaska>, and accessed in June 2020.

10 From Alaska Regional Corporations, available via <https://www.alaskan-natives.com/alaska-regional-corporations/>, and accessed in June 2020.



Image 2: Southeast Alaska village and land ownership map<sup>11</sup>

In addition to being bureaucratic, the administration and governance of the region is also extremely complex with diverse interests. Every community in the southeast has a tribal government, a municipal or state government, in addition to the native regional corporations that own land base and work within each community. These distinct entities often find themselves at loggerheads with one another because the structures are incentivized for competing interests and competing priorities.

Southeast Alaska is sometimes called the panhandle because it stretches away from the rest of Alaska just as a handle does from a pot or pan. This region is also home to the US' largest national forest, the Tongass National Forest. Southeast Alaska's geographic isolation and its internal geography distinguish it from other Alaska regions. The mountainous terrain limits settlements to the coastline. Overland travel within the area is very difficult because of the dense forests and overland travel out of the area is limited by a limited number of routes through the mountains<sup>12</sup>.

With a population of a little over 72,000 people in the Southeastern region across ten (10) boroughs (Haines, Hoonah-Angoon, Juneau, Ketchikan, Petersburg, Prince of Wales, Sitka, Skagway, Wrangell, Yakutat)<sup>13</sup>. This part of the United States is considered as isolated and remote.

11 Image credited to Thomas F. Thornton, from *Aboriginal Tourism as Sustainable Social-Environmental Enterprise (SSEE): A Tlingit Case Study from Southeast Alaska*. Available [https://www.researchgate.net/publication/304891436\\_Aboriginal\\_Tourism\\_as\\_Sustainable\\_Social-Environmental\\_Enterprise\\_SSEE\\_A\\_Tlingit\\_Case\\_Study\\_from\\_Southeast\\_Alaska](https://www.researchgate.net/publication/304891436_Aboriginal_Tourism_as_Sustainable_Social-Environmental_Enterprise_SSEE_A_Tlingit_Case_Study_from_Southeast_Alaska), and accessed in June 2020.

12 From Alaska Humanities Forum - Alaska History and Culture Studies, Introduction Alaska's Past - Regional Perspectives available via <https://www.akhistorycourse.org/southeast-alaska/introduction/>, accessed on 10 June 2020.

13 From the State of Alaska, Department of Labor and Workforce Development, Research and Analysis, Population Estimates, available via <https://live.laborstats.alaska.gov/pop/>, accessed on 10 June 2020.

## F

Southeast Alaska comprises 965 km long narrow strip of mainland coastline and hundreds of islands on the west, and 16,000 km of shoreline along the islands and mainland which are separated by sounds, straits, canals, narrows, passages, and channels. Many of these are protected waters. Others are treacherous passages with unmarked navigation hazards such as pinnacle rocks and can change quickly from calm to stormy waterways<sup>14</sup>.

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<sup>14</sup> From 'Alaska Humanities Forum - Alaska History and Culture Studies' available via <https://www.akhistorycourse.org/southeast-alaska/introduction/>, accessed in June 2020.

## Annex 7 – Compilation of feedback received about Interim Reports

### Case study 3: Exchanges from Sustainable Southeast Partnership after sending the Interim Report

From: NU Jennifer  
 Sent: Sat 2/20/2021 1:14 AM  
 To: Azadeh Tajdar;  
 1 attachments (2 MB) Interim Report - SSP\_JN Comments.pdf;  
 Subject: Re: Results and Interim Report - the Sustainable Southeast Partnership

Hello Azadeh!

I hope this email finds you well and wishing you a healthy, safe, and wonderful 2021!

I apologize for the delay in responding to you. I finally did get a chance to finish reading the report and appreciate all the good work that you did in putting this beautiful report together. It's especially helpful for me as I am scoping out the future direction for this regional catalyst position. Food security has become more at the forefront of people's minds since the pandemic and climate change, and I would like for the work to be relevant and impactful, and also complementary to the other focus areas.

In case it might still serve you, I am attaching the report with my comments/observations. Thank you again for joining us on this journey.

Best wishes to you!

Cheers,  
 Jennifer

From: TAJDAR Azadeh  
 Sent: vrijdag 28 augustus 2020 09:30  
 To: 'Paul Hackenmueller' <paul@spruceroor.org>; 'jennifer@sawcak.org' <jennifer@sawcak.org>; 'Alana Peterson' <alana@spruceroor.org>; 'andrew thoms' <andrew@sitkawild.org>; Christine Woll <cwoll@TNC.ORG>; 'michael@kasaan.org' <michael@kasaan.org>; Clay Good <cgood@realaska.org>; Chandler O'Connell <chandler@sitkawild.org>; 'ssp@kake-nsn.gov' <ssp@kake-nsn.gov>; 'hoonahcatalyst@gmail.com' <hoonahcatalyst@gmail.com>; kcacatalyst.klawocktribe.org <kcacatalyst@klawocktribe.org>; 'rwolfe@ytttribe.org' <rwolfe@ytttribe.org>; 'ralphwolfe@hotmail.com' <ralphwolfe@hotmail.com>; 'Lia Heifetz' <lia@barnaclefoods.com>; 'tmsteffen30@gmail.com' <tmsteffen30@gmail.com>; 'sylviaeh@gmail.com' <sylviaeh@gmail.com>; 'sally.kasnick@sealaska.com' <sally.kasnick@sealaska.com>; anthony.mallott@sealaska.com  
 Subject: Results and Interim Report - the Sustainable Southeast Partnership

1 attachments (2 MB) Interim Report - SSP\_JN Comments.pdf;  
 Subject: Results and Interim Report - the Sustainable Southeast Partnership

Good morning All,

Trust this message finds you well. It has been an absolute pleasure to speak to so many extraordinary individuals over the last few months as part of the case-study on the Sustainable Southeast Partnership. A big thank you in particular to Paul Hackenmueller who took the time to listen and speak to me in October last year, and connect me and make introductions to the network. As promised, please find attached, a number of documents:

## G

- Interim Report - Transforming Southeast Alaska | A converging of unlikely allies has a summary of the results and findings of the full case-study, and the collective network processes that enable, drive forward and arrange a network. The document also has a number of ideas and suggestions for the SSP to help potentially navigate ongoing conversations. Very excited to hear your thoughts, ideas and suggestions in reference to this document.

- Annex I: The full framework on transformative capacity of a network for social change, and related key collective processes.

- Annex II: The full case-study and field report of the SSP with quotes, and additional primary and secondary data collected so far. This document is the document that I will be using for my thesis - and still work in progress.

- Annex III: The Methodology

The Interim report will take approximately 1 -1.5 hrs to complete reading. And, kindly reiterating that I look forward to receiving your feedback about the document. If there is an interest or need in organizing a Zoom call about the results and findings, please don't hesitate to ask.

Lastly, only the Interim Report and Annex 1 are going to be published via Researchgate sometimes later today.

In the meantime, wishing you all the very best, and looking forward to staying in touch, warmly,

Azadeh Tajdar  
Assistant/Doc student  
University of Fribourg  
Department of Management  
Bd de Pérolles 90  
CH-1700 Fribourg  
Phone + 41 26 300 8285  
azadeh.tajdar@unifr.ch  
-----

From: GOOD Clay  
Sent: Tue 9/29/2020 10:57 PM  
To: Azadeh Tajdar;  
1 attachments (2 MB) Interim Report - SSP\_JN Comments.pdf;  
Subject: Re: Results and Interim Report - the Sustainable Southeast Partnership

Hi Azadeh...  
Your work is thorough and insightful. I enjoyed reading your narrative. And I appreciate the comparisons between SSP and other collaborative engagement networks.

It is interesting to see our work viewed through your lens. Codifying the SSP model seems a good approach. (Easier to do now that initial difficulties have been resolved and the group is cohesive.)

Thank you for your thoughtful observations, analysis and suggestions.  
Sure hope you get to travel here sooner than later.  
Best Wishes....cg

Clay Good

STEM Educator &  
 Regional Energy Catalyst  
 Sustainable Southeast Partnership & Renewable Energy Alaska Project  
 319 Seward St. Suite #4  
 Juneau, AK 99801  
 cgood@realaska.org  
 c: 907.723.6502

I live and work at Dzantik'i Heeni and Deishu - traditional lands of the Tlingit Auk, Taku, Chlikat and Chlikoot Kwaans.

From: TAJDAR Azadeh

Sent: vrijdag 28 augustus 2020 09:30

To: 'Paul Hackenmueller' <paul@spruceroor.org>; 'jennifer@sawcak.org' <jennifer@sawcak.org>; 'Alana Peterson' <alana@spruceroor.org>; 'andrew thoms' <andrew@sitkawild.org>; Christine Woll <cwoll@TNC.ORG>; 'michael@kasaan.org' <michael@kasaan.org>; Clay Good <cgood@realaska.org>; Chandler O'Connell <chandler@sitkawild.org>; 'ssp@kake-nsn.gov' <ssp@kake-nsn.gov>; 'hoonahcatalyst@gmail.com' <hoonahcatalyst@gmail.com>; kcacatalyst klawocktribe.org <kcacatalyst@klawocktribe.org>; 'rwolfe@ytttribe.org' <rwolfe@ytttribe.org>; 'ralphwolfe@hotmail.com' <ralphwolfe@hotmail.com>; 'Lia Heifetz' <lia@barnaclefoods.com>; 'tmsteffen30@gmail.com' <tmsteffen30@gmail.com>; 'sylviaeh@gmail.com' <sylviaeh@gmail.com>; 'sally.kasnick@sealaska.com' <sally.kasnick@sealaska.com>; anthony.mallott@sealaska.com  
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sometimes later today.

In the meantime, wishing you all the very best, and looking forward to staying in touch, warmly,

Azadeh Tajdar  
Assistant/Doc student  
University of Fribourg  
Department of Management  
Bd de Pérolles 90  
CH-1700 Fribourg  
Phone + 41 26 300 8285

[azadeh.tajdar@unifr.ch](mailto:azadeh.tajdar@unifr.ch)

From: HACKENMUELLER Paul

Sent: Tue 11/17/2020 12:07 AM

To: Azadeh Tajdar; Ralph Wolfe;

Subject: Re: Incoming SSP Program Director and the Interim Report

Hi Azadeh,

I'm glad you were able to make it to a bit of the SSP retreat, and I apologize for the tech issues. Also for going quiet here recently. As you've surmised, Ralph is the new Program Director, and we've been working closely for the last couple of months to get him up to speed and transition him into the role. We honestly haven't had a chance to really dig into your report yet but we'll make time soon, I promise. I suspect we'll be able to invite you to participate in one of our calls, though our agenda for the next month or two is a bit in flux.

In the meantime, do you mind if we share it with some (mostly internal) partners? I don't want to get out in front of your needs, but there are a few funders and other evaluators who are interested in the SSP, and this is a compelling part of the body of eval work we have to date. We won't share it until you're ready, but we've got some interested folks eager to read it.

Thanks,

Paul Hackenmueller  
Business Development Director | Spruce Root, Inc.  
p. 907-586-9122  
c. 907-723-0062  
spruceroot.org  
sustainablesoutheast.net

On Sun, Sep 13, 2020 at 11:53 PM TAJDAR Azadeh <[azadeh.tajdar@unifr.ch](mailto:azadeh.tajdar@unifr.ch)> wrote:

Good morning Paul,

I wanted to kindly touch base and inquire about the Interim Report that I sent a couple of weeks back. If there is an interest and need, I will be happy to organize or co-host a 1 hour webinar during your coming retreat. I have offered a webinar also last week as part of my research for another collective impact network in rural Spain.

If not, I would be really thrilled to learn about any potential feedback received about the Interim Report. If it has been useful at all, any thoughts, ideas and/or suggestions is most welcomed from yourself and/or others.

Hoping you're having a great start to the week, with warm regards,  
Azadeh



<chicodeguzman@gmail.com>;

Re: Results and Interim Report - Transforming Alvelal Territory, University of Fribourg, CH, May 2020

Dear Azadeh Tajdar,

I have been a little bit busy the last weeks, so I apologize to answer you late to your kind email and to congratulate you for the great work you have done and you are still doing.

I have proposed to our coordinator Elvira Marin to organize a skype o zoom meeting, inviting you to explain the results of your research to the board and the teams members of AlVelAl (and also to our partners from Commonland, if they are interested) and to discuss your recommendations and insights, if you are willing to do that and, of course, if you have time. And to situate this in the broader perspective with your research done in New York and the ongoing one in southeast Alaska.

In the next days I will send you some comments and further information that may be helpful.  
With the best wishes for your health, best regards,

Dietmar Roth  
Coordinador Cultura y Turismo  
Tel. 671 999 269  
[www.alvelal.es](http://www.alvelal.es)

Asociación AlVelAl: regeneración social, económica y natural de un territorio  
eco [No me imprimas si no es necesario. Protejamos el medio ambiente](#)

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El vie., 1 may. 2020 a las 12:34, TAJDAR Azadeh (<[azadeh.tajdar@unifr.ch](mailto:azadeh.tajdar@unifr.ch)>) escribió:

Good morning to all,

Trust this message finds you well. First of all, it has been an absolute pleasure to speak to so many extraordinary individuals over the last few months, as part of the case-study on Alvelal. A big thank you in particular to Mr. Moolenaar who took the time to listen and speak to me in November last year, and connect me to Mr. Roth, who was kind to make the introductions to the network.

As promised, please find attached, a number of documents:

- Interim Report - Transforming Alvelal Territory is the content that I promised to send to Alvelal to potentially help navigate additional conversations. It has a summary of the case-study, the framework on

network capacity for social change, as well as a number of ideas and recommendations for Alvelal. Very excited to hear your thoughts, ideas and suggestions in reference to this document.

- Annex I: Methodology

- Annex II: The full case-study and field report of Alvelal, with quotes, and additional primary and secondary data collected so far. This document is the document that I will be using for my thesis - and still work in progress.

- Annex III: The results of the quantitative survey carried out in March.

The Interim report will take approximately 1.5-2 hrs to complete reading. And, kindly reiterating that I look forward to receiving your feedback about the document.

In the meantime, wishing you all the very best, and looking forward to staying in touch, warmly,

Azadeh Tajdar  
Assistant/Doc student  
University of Fribourg  
Department of Management  
Bd de Pérolles 90  
CH-1700 Fribourg  
Phone + 41 26 300 8285  
azadeh.tajdar@unifr.ch

-----  
Simon Moolenaar <simon.moolenaar@commonland.com>  
Wed 5/6/2020 5:29 PM  
To:TAJDAR Azadeh <azadeh.tajdar@unifr.ch>;  
Cc:Victoria Gutierrez <victoria.gutierrez@commonland.com>;

Re: Results and Interim Report - Transforming Alvelal Territory, University of Fribourg, CH, May 2020

Dear Azadeh  
Thanks very much; very interesting read!

I scanned through it and think the content can be very interesting for some other Commonland colleagues as well: I have confidentially forwarded the material to Victoria (in cc); she may contact you in case she wants to make use of the results.

What is your preferred way for referencing to the document and when is it to be released to the public?  
Good luck with your thesis!  
Simon

Van: TAJDAR Azadeh <azadeh.tajdar@unifr.ch>  
Datum: vrijdag 1 mei 2020 om 12:34  
Aan: "elvira.marin@alvelal.es" <elvira.marin@alvelal.es>, Dietmar Roth <dietmarroth@gmail.com>, Frank Ohlenschlaeger <frank.ohlenschlaeger@alvelal.es>  
CC: Simon Moolenaar <simon.moolenaar@commonland.com>, Erica ten Broeke <erica.tenbroeke@commonland.com>, "chicodeguzman@gmail.com" <chicodeguzman@gmail.com>  
Onderwerp: Results and Interim Report - Transforming Alvelal Territory, University of Fribourg, CH, May 2020

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Azadeh Tajdar

Assistant/Doc student

University of Fribourg

Department of Management

Bd de Pérolles 90

CH-1700 Fribourg

Phone + 41 26 300 8285

azadeh.tajdar@unifr.ch

Erica ten Broeke <erica.tenbroeke@commonland.com>

Mon 5/4/2020 1:46 PM

To: TAJDAR Azadeh <azadeh.tajdar@unifr.ch>;

Cc:Simon Moolenaar <simon.moolenaar@commonland.com>; chicodeguzman@gmail.com

<chicodeguzman@gmail.com>;

elvira.marin@alvelal.es <elvira.marin@alvelal.es>; Frank Ohlenschlaeger <frank.ohlenschlaeger@alvelal.es>;

Dietmar Roth

<dietmarroth@gmail.com>;

Re: Results and Interim Report - Transforming Alvelal Territory, University of Fribourg, CH, May 2020

Dear Azadeh,

Congratulations on your interim report!

I couldn't resist to glance through, explore some sections & enjoy the quotes in Annex 3 upon reading your email. Supernice & I look forward to exploring all documents in-depth.

Thank you, Erica

Erica ten Broeke

Landscape Development

+31 20 811 66 03

+31 6 4168 2437

Kraanspoor 26

1033 SE Amsterdam  
The Netherlands

Van: TAJDAR Azadeh <azadeh.tajdar@unifr.ch>

Datum: vrijdag 1 mei 2020 om 12:34

Aan: "elvira.marin@alvelal.es" <elvira.marin@alvelal.es>, Dietmar Roth <dietmarroth@gmail.com>, Frank Ohlenschlaeger <frank.ohlenschlaeger@alvelal.es>

CC: Simon Moolenaar <simon.moolenaar@commonland.com>, Erica ten Broeke <erica.tenbroeke@commonland.com>, "chicodguzman@gmail.com" <chicodguzman@gmail.com>

Onderwerp: Results and Interim Report - Transforming Alvelal Territory, University of Fribourg, CH, May 2020

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In the meantime, wishing you all the very best, and looking forward to staying in touch, warmly,

Azadeh Tajdar  
Assistant/Doc student  
University of Fribourg  
Department of Management  
Bd de Pérolles 90  
CH-1700 Fribourg  
Phone + 41 26 300 8285  
azadeh.tajdar@unifr.ch

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Case Study 1 - Exchanges from the Brooklyn Navy Yard after sending the Interim Report

From: HOROWITZ Shaina  
Sent: Tue 10/24/2019 5:23 PM  
To: Azadeh Tajdar;  
Subject: Re: Working Paper Ref.052019 - The Transformation of the Brooklyn Navy Yard, University of Fribourg.pdf;

Hi Azadeh,

Thanks for sharing the results of your research. I did have a suggestion in relation to “Creating and connecting to jobs, as well as increasing job exposure opportunities” which is in your framework. A more appropriate interpretation would be to frame that collective process as “Increasing the capacity of the workforce through localized economy strategies”.

This is appropriate for two reasons, one, it aligns with the language that we are using across the Yard, and also because it is a better way to capture the great work being done by our partners.

I hope this helps.

Shaina

From: TAJDAR Azadeh  
Sent: Tue 10/1/2019 7:54 AM  
To: Shaina Horowitz;  
1 attachments (2 MB)  
Subject: Working Paper Ref.052019 - The Transformation of the Brooklyn Navy Yard, University of Fribourg.pdf;

Good morning Shaina,

Please find attached the Working Paper with the results of the study on the Brooklyn Navy Yard. Thank you first of all, for your patience. I am immensely grateful to those whom I interviewed for this study, their time and dedication, and willingness to respond to the many questions that I asked.

The results of this working paper are part of a still ongoing academic research. I am researching collaboration across multiple organizations with a social change orientation. Very specifically I am looking at the transformative capacity for social change of innovative multi-party networks.

This working paper thus has some academic language, and at times rich in detail and text. The total report can be read within 60-75 minutes.

Feel free also to pass on to others in the organization that you think or deem necessary to have access to the report.

Please do not hesitate to reach for additional inquiries, or any other feedback about the paper, its results and data collected.

It has been an absolute pleasure to meet you, and work with you on this study. And please be assured I will bring more Swiss chocolate next time I am in NY and the Yard!

Thanks again, and hopefully more soon,  
Azadeh

-----  
From: NAPOLEON-LINDSEY Regina  
Sent: Tue 11/05/2019 9:06 AM  
To: Azadeh Tajdar;  
Subject: Re: Working Paper Ref.052019 - The Transformation of the Brooklyn Navy Yard, University of Fribourg.pdf;

Excited to see the finished product! The framework is really helpful and clear.

My suggestions are in relation to our conversation about individual responsibility and shared accountability. I would say that partners' respective commitments towards each other to achieve shared outcomes for projects is better placed under 'Being accountable (shared accountability, individual responsibility for the social mission)'. That really is what we talked about.

Also, what I did want to point out again is that we really do work with disparate participants who work together with shared aspirations, needs and challenges. And of course there are conflicting interests. But I would rephrase what you have in the framework with the Yard working with various stakeholders and building connections, synergy over time between sectors and actors. I believe this is a more appropriate way of putting it.

Let me know if this is all clear, and if you need any more help,  
Best,

Regina  
Regina Napoleon-Lindsey | Executive Director, Workforce Development  
[Brooklyn Navy Yard Development Corporation](#)  
w 929.337.1209  
brooklynnavyyard.org  
Facebook | Twitter | Instagram

From: TAJDAR Azadeh  
Sent: Tue 10/1/2019 7:55 AM  
To: Regina Napoleon-Lindsey;  
1 attachments (2 MB)  
Subject: Working Paper Ref.052019 - The Transformation of the Brooklyn Navy Yard, University of Fribourg.pdf;

Good morning Regina,  
Please find attached the Working Paper with the results of the study on the Brooklyn Navy Yard.  
Thank you first of all, for your patience. I am immensely grateful to those whom I interviewed for this study, their time and dedication, and willingness to respond to the many questions that I asked.

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Please do not hesitate to reach for additional inquiries, or any other feedback about the paper, its results and data collected.

It has been an absolute pleasure to meet you, and work with you on this study. And please be assured I will bring more Swiss chocolate next time I am in NY and the Yard!

Thanks again, and hopefully more soon,  
Azadeh

-----  
From: HENDRIX Justin  
Sent: Tue 11/08/2019 11:34 AM  
To: Azadeh Tajdar;  
Subject: Re: Working Paper Ref.052019 - The Transformation of the Brooklyn Navy Yard, University of Fribourg.pdf;

Hi Azedah,

This is great! And congratulations.

I don't really have any specific feedback about the report. I agree with your research. And also, the framework is a great way to disconnect from the day-to-day and be able to look at the network with a fresh perspective and see the bigger picture. We are a new tenant, and it helps to look over our shoulder and see how this network has been developing.

All the best,  
Justin

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--  
Justin Alan Hendrix  
[Twitter](#) · [LinkedIn](#) · [Medium](#) · 646 251 4929  
Executive Director, [NYC Media Lab](#)  
Follow NYC Media Lab [@nycmedialab](#)

From: TAJDAR Azadeh  
Sent: Tue 10/1/2019 7:01 AM  
To: Justin Hendrix;  
1 attachments (2 MB)  
Subject: Working Paper Ref.052019 - The Transformation of the Brooklyn Navy Yard, University of Fribourg.pdf;

Good morning Justin,  
Please find attached the Working Paper with the results of the study on the Brooklyn Navy Yard. Thank you first of all, for your patience. I am immensely grateful to those whom I interviewed for this study, their time and dedication, and willingness to respond to the many questions that I asked.

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G

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It has been an absolute pleasure to meet you, and work with you on this study. And please be assured I will bring more Swiss chocolate next time I am in NY and the Yard!

Thanks again, and hopefully more soon,  
Azadeh

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## Annex 8 – Observations and Notes from SSP Zoom calls (2020)

### 28 July 2020 - Monthly virtual Zoom call

Invited to attend a monthly SSP Zoom call. The presenter welcomes everyone and explains the purpose of the meeting, which is to discuss regenerative eco-tourism practices and the opportunities for eco-tourism in the region. Presenter also formally presents the new eco-tourism regional catalyst who will be leading the next phase of the conversation. Meeting is attended by 23 participants from various SSP organizations and their staff.

Before officially handing over, the presenter does a warm-upper and reiterates the core values of the SSP, to listen to each other, to respect each other's' opinions, and to collaborate on areas of mutual concern in Southeast Alaska.

Presenter then gives the floor to eco-tourism catalyst who gives an introduction into her role, and expectations for eco-tourism in this region. There is of course the mentioning of the pandemic, but also that generally this region has not been as harshly hit as the rest of continental US, because of the geographic distances between the different communities. But the aim is to officially kick off planning for eco-tourism projects and aligning with other SSP projects in 2021. There is a particular reference to the Hoonah Native Forestry project and other forest conservation projects, and also the importance of aligning food security projects in the area with eco-tourism, including opportunities to showcasing (wild) food harvesting.

Following the presentation of the food catalyst, there is a fruitful exchange between participants about how they would like to better integrate eco-tourism in their ongoing projects. There are expressions of commitment, and a few participants who explicitly mention avenues for potential collaboration in their boroughs, including Haines and Klawock, including cultural festivities around totems, guided hikes with links to the history of the place and colonial wars with Russia.

The catalyst then refers to the use of a Mural software to co-create with participants key values, principles that each local and regional catalyst thinks and perceives the eco-tourism catalyst to pursue. Participants are then broken into groups of three to discuss how ecotourism can and will align with their current joint projects and responsibilities.

Mural software is used to co-develop eco-tourism values and shared language to align with SSP pathways.

At the end of the meeting, participants agree to continue discussing regenerative eco-tourism, and that for the next follow-up meetings there will be a task of combining of at least three key projects that align with local catalyst work, eco-tourism and the overall SSP mission. The catalyst also mentions that she will be reaching out directly to a few other local and regional catalysts for further conversations.

08 July 2020 - thematic Zoom call

Invited to attend this thematic meeting, which has been requested by the head of communication of the SSP.

The presenter welcomes everyone and explains the purpose of the meeting, which is to discuss the core values and principles of SSP, the how, and why and what of the SSP. The reason is that the current website, and incredible database with blogs and reports and pictures needs a revamping. There is also a need to discuss the core values and principles of the SSP as the organization is transitioning to a potential long-term financial endowment to allow the SSP to continue working in perpetuity.

Before officially handing over, the presenter does a warm-upper and reiterates the core values of the partnership, to listen to each other, to respect each other's' opinions, and to collaborate on areas of mutual concern in Southeast Alaska.

The floor is then handed over to the head of communication for SSP who details the importance of a more streamlined website, better ways to capture and find information, and the importance to revisit if it still makes sense to speak of the SSP in terms of the key pathways, as new pathways are in the horizon, including eco- and regenerative tourism.

Everyone at the meeting is offered a chance to express their opinion about the current narrative and framing of the SSP network. A few express the importance of ensuring that whatever the outcome of this revisiting process is, that it will allow others who are interested in joining the SSP network to still understand what the network is about. Others communicate that although the pathways and narrative is imperfect, it has allowed the network to thrive to the level that it has in over ten years. Yet again, others state the importance to continue adapting and the importance of the indigenization of Southeast Alaska over the long-term and that Alaskan native and tribal needs have to continue to be front and center of the SSP going forward.

The head of communication then invites everyone to go to a Mural-page where the head of communication has broken down the current pathways, the values of SSP, and where she sees the narrative evolving into. Everyone again is offered an opportunity to comment on the suggested narrative in the Mural page, and to offer their suggestions directly into the Mural page.

After about 20 minutes, the communicator convenes everyone back again to discuss the suggestions and input offered. It is quite interesting to observe the process of participation and engagement. Everyone is offered an opportunity to discuss their key inputs, some disagree with each other, and the head of communication takes notes of it. But beyond, she uses the meeting to first gauge on the areas of alignment and agreement. It is also particularly, noteworthy, how she draws from the narratives that participants are using, to link it with the SSP narrative. She also states, that the areas where there is disagreement, which is particularly in relation to protected land to have continued conversations and explore avenues where the potential future values, principles and pathways of the network can be explored.

At the end of the meeting, the head of communication, shares how these meetings are going to be ongoing all throughout 2021, in order to keep building and co-developing together the narrative, and how together to keep making sense of the future of the network as it is in a critical phase of transition.

### 23 June 2020 - Monthly Zoom call

Invited to attend a monthly Zoom call. The presenter welcomes everyone and explains the purpose of the meeting, that it is a monthly check-in with the catalysts to see how projects are ongoing; potential budget and other resources and needs. Presenter also particularly refers to the question of one of the catalysts to do an iceberg challenge and seek the ideas and inputs of everyone on the call for an issue that this catalyst is facing with the US census reporting and the way his tribe is being categorized.

Before officially handing over to the catalysts, the presenter does a warm-upper and reiterates the core values of the partnership, to listen to each other, to respect each other's' opinions, and to collaborate on areas of mutual concern in Southeast Alaska.

After everyone has given an update on how things are going within their community, with their joint projects, and also with the unfolding of the pandemic. It is interesting to observe how everyone is helpful toward each other. And listening attentively, and offering solutions and help.

The presenter then hands over to the catalyst to present his challenge with the census reporting for his tribe in South East Alaska. The iceberg is a 20 minutes exercise, where one person has 5 minutes to present this challenge, an issue they are facing. And then another 10 minutes, where other participants hone in with solutions, ideas for solving the issue. In those 10 minutes, the catalyst is not allowed to say anything, but only to listen. Then the iceberg is finalized with a 5-10 minutes synthesis of next steps.

One can observe again how helpful everyone is, and how despite the limits of Zoom and not being to meet face to face, participants use Zoom for brainstorming; and the many number of ideas and suggestions that are offered to the catalyst to solve this census reporting issue. There is so much commitment to helping each other. And a lot of trust that everyone is there because they want this catalyst to thrive and succeed in his community.

## Annex 9 – Timeline and number of interviews performed for the research

I

### PHASE 1 2018

#### CASE 1

Orientation	Meeting/Date	Who	Where	Output	Preparation
	4 april	Clare Newman	BKNY	Audio-file + transcripts	sent overview and questions to aks BKNYDC on 26 March (see doc).
	4 april	Shaina Horowitz	BKNY	Audio-file + transcripts	
	4 april	Winston Chu	BKNY	Audio-file + transcripts	
	20 april	Matthias Holling	Technopark Zurich	Audio-file + transcripts	sent overview and questions to ask the Park on 13 April (see doc).

### PHASE 2 2019

#### Deep Dive

Meeting/Date	Who	Where	Output	Preparation
Reached out to Clare Newman and Peter Koch (her assistant) in February 2019 that I would visit the Yard to focus on collaboration between key Yard partners and the collaboration btw the tenants and the Yard. Clare connected me to the top partners that are essential for the Yard. And sent me their emails....				
8 maart	Katie Beck Sutler	EC	Audio-file + transcripts	sent overview and questions a week before the interview.
11 maart	Clare Newman	BKNY	Audio-file + transcripts	sent overview and questions a week before the interview.
11 maart	Tiffany Townsend	BKNY	Audio-file + transcripts	sent overview and questions a week before the interview.
11 maart	Ashley Platt (tenant)	Entrepreneur	Audio-file + transcripts	sent overview and questions a week before the interview.
12 maart	Shaina Horowitz (tenant)	New Lab	Audio-file + transcripts	sent overview and questions a week before the interview.
12 maart	Kayon Pryce (tenant)	STEAM Center	Audio-file + transcripts	sent overview and questions a week before the interview.
13 maart	Justin Hendrix (tenant)	RLab	Audio-file + transcripts	sent overview and questions a week before the interview.
14 maart	Moriah Kaplan (tenant)	BWI	Audio-file + transcripts	sent overview and questions a week before the interview.
14 maart	Adam Friedman	Pratt Center	Audio-file + transcripts	sent overview and questions a week before the interview.
15 maart	Regina Reynolds	EC	Audio-file + transcripts	sent overview and questions a week before the interview.
15 maart	Anna Lee + Gordon LePlante	Entrepreneurs	Audio-file + transcripts	sent overview and questions a week before the interview.
15 maart	Rony Vardi	Entrepreneur	Audio-file + transcripts	sent overview and questions a week before the interview.
2april	Faith Corbett	CUNY	Emailed responses in written document	sent overview and questions a week before the interview.

## Annex 9 – Timeline and number of interviews performed for the research

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10 april	Morriah Kapan	BWI	Email additional responses to follow-up questions Written document and additional responses to follow-up questions
23 april	Clare Newman	BNYDC	Email additional responses to follow-up questions
23 april	Shaina Horowitz (tenant)	New Lab	Phonecall about follow-up questions and responses recorded and transcribed
7 mei	Regina Reynolds	EC	

### CASE 2

Orientation	Meeting/Date	Who	Where	Output	Preparation
	10 november	Simon Moolenaar	Commonland	Audio-file + transcripts	orientation call to assess the potential for the case
<b>PHASE 2</b>	2019				
Deep Dive	Meeting/Date	Who	Where	Output	Preparation
1	25 november	Dietmar ROTH - CEO ALVELAL	Skype	Audio-file + transcripts	sent overview and questions a week before the interview.
	10 december	Fernando Bautista - biólogo, agricultor/apicultor, asesor biodiversidad ALVeLA, farmer (interviewed as entrepreneur)		Audio-file + transcripts (+ translation into english)	sent overview and questions a week before the interview.
2	11 december	Elvira Marin - Coordinator ALVELAL	Whatsapp/Otter	Audio-file + transcripts	sent overview and questions a week before the interview.
3	12 december	Jaime de Lara Pasquíñ, Direktor des Naturparks Sierra María-Los Vélez und	Whatsapp/Otter	Audio-file + transcripts (+ translation into english)	sent overview and questions a week before the interview.
4	13 december	Frank Ohlenschläger - CEO of Almendresa	Skype	Audio-file + transcripts	sent overview and questions a week before the interview.
5	17 december	Andres Romero Alorcos - agricultor y técnico CADE (Centro de Apoyo al Desarrollo Empresarial de la Junta de Andalucía);	Whatsapp/Otter	Audio-file + transcripts + writing (+ translation into english)	sent overview and questions a week before the interview.
	17 december	Alfonso Chico de Guzman - presidente ALVeLA and farmer (also interviewed as entrepreneur)	Whatsapp/Otter	Audio-file + transcripts	sent overview and questions a week before the interview.
6	10 december	Salvador Parra Gomez - director IFAPA		In writing (+ translation into english)	sent overview and questions

## Annex 9 – Timeline and number of interviews performed for the research

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7	januari 2020	(Instituto de Formación e Investigación Agrícola y Pesquera de la Junta de Andalucía) La Mojonera James Lorax - UNEP	In person interview	Audio files and transcripts	sent overview and questions	
8	14 januari	Miguel Ángel Gómez Tenorio from the department of Plant Production of the University of Almería	Whatsapp/Otter	Whatsapp + Audio-files (+ translation into english)	sent overview and questions a week before the interview.	
9	16 januari	Erica ten Broeke - Commonland Landscape specialist	Skype	Audio + transcripts	sent overview and questions a week before the interview.	
<b>Follow-up questions sent</b>						
		<b>Who</b>	<b>Where</b>	<b>When</b>		
		IFAPA	Salvador Parra Gomez	Whatsapp + Emails	09 januari 2020	Sent questions
		CADE Director Parque Natural Maria-Los Velez	Andres Romero Alorcos	Whatsapp + Emails	10 januari 2020	Sent questions
		CEO Alvelal	Jaime Lara Pasquin	Whatsapp + Emails	11 januari 2020	Sent questions
		CEO La Almendrehesa President	Dietmar Roth	Email	11 januari 2020	Sent questions
		Alvelal/Entrepreneur	Frank Ohlenschlaeger	Whatsapp + Emails	11 januari 2020	Sent questions
			Alfonso Chico de Guzman	Whatsapp + Emails	11 januari 2020	Sent questions
	30 april	<b>Zoom event conversation with regenerative farmers</b>		audio file recorded listening and observations (recording was not allowed)		
	16 april	<b>Zoom events with Alvelal on regenerative farming data</b>		listening and observations (recording was not allowed)		
	9 april	<b>Zoom events with Alvelal on biodiversity</b>		listening and observations (recording was not allowed)		

### CASE 3

Orientation	Meeting/Date	Who	Where	Output	Preparation
	16 oktober 2019	Paul Hackenmueller	Zoom	Audio-file + transcripts	Initial orientation about SSP

## Annex 9 – Timeline and number of interviews performed for the research

	30 januari	Paul Hackenmueller - Spruce Root Bettany Goodrich	Zoom	Audio-file + transcripts	sent overview and questions a week before the interview.
no feedback	4 februari	Ralph Wolfe - Ytt Tribe	Zoom	Audio-file + transcripts	sent overview and questions a week before the interview.
	24 februari	Chandler O'Connell - SitkaWild	Zoom	Audio-file + transcripts	sent overview and questions a week before the interview.
	12 februari	Clay Good - REAP	Zoom	Audio-file + transcripts	sent overview and questions a week before the interview.
	13 februari	Quinn Mas-Aboudara, Klawock Community Catalyst: Quinn Aboudara	Zoom	Audio-file + transcripts	sent overview and questions a week before the interview.
	19 februari	Michael Chilton - Kasaan	Zoom	Audio-file + transcripts	sent overview and questions a week before the interview.
	21 februari	Ian Johnson - Hoonah Indian Association	Zoom	Audio-file + transcripts	sent overview and questions a week before the interview.
	21 februari	Christine Woll - The Nature CONservancy	Zoom	Audio-file + transcripts	sent overview and questions a week before the interview.
no feedback		Bob Christensen			
no feedback		Dawn Johnson			
	5 februari	Russel James - Organized Village of Kake	Zoom	Audio-file + transcripts	sent overview and questions a week before the interview.
	20 februari	Jennifer Nu - Southeast Alaska Watershed Coalition	Zoom	Audio-file + transcripts	sent overview and questions a week before the interview.
	24 februari	Anthony Mallot - Sea Alaska	Zoom	Audio-file + transcripts	sent overview and questions a week before the interview.
	09 maart	Alana Peterson - Spruce Root	Zoom	Audio-file + transcripts	sent overview and questions a week before the interview.
	04 maart	Andrew Thoms	Zoom	Audio-file + transcripts	sent overview and questions a week before the interview.
<b>Entrepreneurs interviewed</b>		Lia Heifetz	Zoom	Audio-file + transcripts	sent overview and questions a week before the interview.
		Quin Mas-Aboudara	Zoom	Audio-file + transcripts	sent overview and questions a week before the interview.
		Michael Chilton	Zoom	Audio-file + transcripts	sent overview and questions a week before the interview.
		Tina Steffen	Zoom	Audio-file + transcripts	sent overview and questions a week before the interview.
		Sylvia Heinz	Zoom	Audio-file + transcripts	sent overview and questions a week before the interview.

## Annex 9 – Timeline and number of interviews performed for the research

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### **Attended Zoom calls**

23 juni 2020 Zoom

Audio-file + transcripts

08 juli 2020 Zoom

Audio-file + transcripts

28 juli 2020 Zoom

Audio-file + transcripts

Annex 10 – Interview protocol and questions

**Questions for case-study 1/BNY**

In this qualitative interview I am studying how various organizations from the public, private and social sector collaborate together to achieve Brooklyn Navy Yard’s mission. This interview has a number of questions, which will be shared with key partners from the private, public, academic and social sectors that are working together, as a collective, to achieve the Yard’s mission. I am looking to better understand the mechanisms that **at collective level** add to the success of the Yard.

The data collected in this interview is qualitative and part of a PhD studying collective processes that emerge within social alliances with a social innovation orientation. The Yard is a unique form of hyper-local urban innovation, where diverse partners work together across different sectors to achieve the Yard’s mission. It is a higher-level form of collective (social) enterprising where multiple actors are dynamically engaged in collective action. In this respect, the Yard is considered a social alliance with a unique approach to achieving social and economic development.

**All collected data will be treated in confidence and anonymously. The data will not be shared with third parties. Any usage or quote from the data collected for the PhD will be done with prior explicit consent of those interviewed.** The questions asked to interviewees are standardized, and will also be asked to other key actors involved in the Yard’s mission.

Questions	General Questions
<p>These questions were drawn from the preliminary and initial conceptual framework that was developed from the literature review</p>	i) What is your name?
	ii) What does your organization do with the Yard?
	<b>Part 1</b>
	i) In your opinion, who are the key partners the Yard works with to achieve its mission?
	ii) How have you built relationships over time with these key partners? Can you talk a little bit about what this process has been for you?
	iii) How important is your organization’s role in helping the Yard achieve its mission?
	<b>Part 2</b>
	i) Do you think key partners working with the Yard or based in the Yard share a joint vision about working together? Which partner or partners would you say have been instrumental in convening, articulating and/or framing a shared vision for the Yard?
	ii) How does your organization align its mission, or vision, its operations or interests with those of the Yard’s?
	iii) How have experiences any challenges in the process of articulating and developing a shared vision with key partners? How did you resolve these?
	iv) How committed do you think key partners are about working together to solve the social and economic problems the Yard is addressing? Would you say there is a strong bond?
	<b>Part 3</b>
	i) Can you give an example of how key Yard partners work together?
	ii) How often do you formally meet with your key partners? Is there a group of key individuals or organizations that meets regularly? Are these ad hoc and informal meetings with key individuals, or quite formalized? How are decisions documented?
iii) How do key partners hold each other accountable and track the progress? Is this done as a collective, or independently?	

iv) Can you give an example of a joint action or program that you developed and implemented with key Yard partners
<b>Part 4</b>
i) The Yard stands for an equitable approach to economic development. Can you further elaborate what this means for your organization?
ii) Do you share any resources or assets with key partners to achieve the Yard's mission? And if yes, how?
iii) How do you think key partners benefit from pooling shared resources (human, financial and organizational) and assets together?
iv) In what way do you the Yard develops resources for disenfranchised populations to be part of the Yard's success?
<b>Part 5</b>
i) Has your organization in the process of collaborating with key Yard partners acquired new knowledge, new capabilities or new assets, which it could not have acquired independently? And if yes, can you give an example?
ii) Can you give an example of a collective learnings that is very specific to Yard partners working together?
iii) Is there a commitment and willingness among key Yard partners for experimentation and failure? Can you give an example?
<b>Final questions - from a scale of 1 to 5, with 1 being totally disagree and 5 being totally agree</b>
i) Do you think that it is thanks to collective efforts that the Yard has been successful at addressing social and economic issues?
ii) Do you think there is a relationship between key partners over time building collective capacity for change and achieving the Yard's mission?
Any other comments, thoughts or suggestions you would like to add to this interview? Who else should I speak to?

**Questions asked to Yard tenants**

The data collected in this questionnaire is qualitative and part of a PhD studying collective processes that emerge within social alliances with a social innovation orientation. The Yard is a unique form of hyper-local urban innovation, where diverse partners work together across different sectors to achieve the Yard's mission. It is a higher-level form of collective (social) enterprising where multiple actors are dynamically engaged in collective action. In this respect, the Yard is considered a social alliance with a unique approach to achieving social and economic development.

In this qualitative interview I am studying collaboration between BKNY tenants. This interview has a number of questions, which will be shared with key tenants who are based in the Yard. I am researching collaboration within the Yard, and in particular the mechanisms that are leading to the success of the Yard. I am also interviewing key Yard partners from the public, private, social and academic sectors using a different questionnaire.

All recorded and collected data will be treated in confidence and anonymously. The data will not be shared with third parties. Any usage or quote from the data collected for the PhD will be done with prior explicit consent of those interviewed. The questions asked to interviewees are standardized, and will also be asked to other key Yard tenants.

1. Could you talk a bit about why you set-up at the Yard? And what were the reasons for being here, and not somewhere else?

2. The Yard's mission is to solve social and economic problems, create jobs of the future, support small-scale and Greentech companies, and revamp this incredible space. In what way does your organization's mission align with that of the Yard?
3. How much of your clients are from the district, and how many are from outside the district?
4. What have been some of the key steps in your organization building relationships over time with key Yard tenants? Can you talk a little bit about what this process has been for you?
5. If you are in a critical situation and need technical support or advice, who in the Yard or outside of the Yard do you turn to? And if you are in a critical situation and need business support or advice, who in the Yard or outside of the Yard do you turn to?
6. In what way does being in the Yard help you with being innovative?
7. Can you give an example of a situation where you collaborated with Yard tenants on a joint program, collective action or district wide initiative? In what ways do Yard partnerships help you with your business (new products, new knowledge, staff, other resources)?
8. Do you think that your organization in the process of collaborating with key Yard tenants and building partnerships has acquired new knowledge, new capabilities or new assets, which it could not have acquired independently? And if yes, can you give an example?
9. I have spoken to other companies based in the district, and all of them repeat a sense of community being here? How do you describe this sense of community? What does it mean to you and your business?

**Questions for case-study 2/Alvelal**

In this qualitative interview I am studying how multiple organizations collaborate together to achieve AlVelAl’s mission. This interview has a number of questions, which will be shared with key partners from the organizations that are working together, as a collective, to achieve AlVelAl’s mission. I am looking to better understand the mechanisms that at collective level add to the success of AlVelAl.

The data collected in this questionnaire is qualitative and part of a PhD studying collective processes that emerge within social alliances with a social innovation orientation. AlVelAl is a unique form of (hyper-)local rural innovation, where diverse partners work together across different sectors to achieve AlVelAl’s mission. It is a higher-level form of collective (social) enterprising where multiple actors are dynamically engaged in collective action. In this respect, AlVelAl is considered a social alliance with a unique approach to achieving land conservation, along with social and economic development.

All recorded and collected data will be treated in confidence and anonymously. The data will not be shared with third parties. Any usage or quote from the data collected for the PhD will be done with prior explicit consent of those interviewed. The questions asked to interviewees are standardized, and will also be asked to other key actors involved in AlVelAl.

Questions	General Questions
	i) What is your name?
	ii) What is your role in relation to Alvelal and Commonland?
	<b>Part 1</b>
	i) In your opinion, who are the key partners AlVelAl works with to achieve its mission? What is the relationship with Commonland?
	ii) How have you built relationships over time with these key partners? Can you talk a little bit about what this process has been for you?
	iii) How important is AlVelAl’s role in helping to achieve Commonland’s mission? Has AlVelAl role changed over time to achieve Commonland’s mission? And how important is Commonland in helping to achieve AlVelAl’s mission?
	<b>Part 2</b>
	i) Do you believe your partners share a joint vision about working together? Which partner or partners would you say have been instrumental articulating and/or framing this shared vision?
	ii) How do AlVelAl partners align their mission, vision and operations, interests together?
	iii) Have you experienced any challenges in the process of articulating and developing a shared vision with key AlVelAl partners? How did you resolve them?
	iv) How committed do you think key partners are about working together to solve the social and economic problems AlVelAl are addressing? How strong is the bond between the partners?
	<b>Part 3</b>
	i) How often do you formally meet with key partners? Is there a group of key individuals or organizations that meets regularly? Are these ad hoc and informal, or quite formalized?
	ii) Can you give an example of a situation where you took a key decision with key partners to help achieve AlVelAl’s mission and that of Commonland? Are these decisions in any way documented or diffused?
	iii) How do key partners hold each other accountable and track progress? Is this done as a collective, or independently?
	<b>Part 4</b>
	i) AlVelAl has an equitable approach to conservation, social and economic development. Can you further elaborate what this means for AlVelAl?

<p>ii) In your opinion how do AlVelAl develop resources for disenfranchised populations to be part of AlVelAl's success?</p>
<p>iii) In what ways do you think key partners benefit from pooling their resources together?</p>
<p><b>Part 5</b></p>
<p>i) Has your organization in the process of collaborating with key partners acquired new knowledge, new capabilities or new assets, which it could not have acquired independently? And if yes, can you give an example?</p>
<p>ii) Can you give an example of a shared resources that is specific to AlVelAl partners working together?</p>
<p>iii) Is there a commitment and willingness among key partners to experimentation? Have your programs or projects to achieve your mission changed over time?</p>
<p><b>Final questions - from a scale of 1 to 5, with 1 being totally disagree and 5 being totally agree</b></p>
<p>i) Do you think that it is thanks to collective efforts that the AlVelAl network has been successful at addressing social and economic issues?</p>
<p>ii) Do you think there is a relationship between key partners over time building collective capacity for change and achieving the network's mission?</p>
<p>Any other comments, thoughts or suggestions you would like to add to this interview? Who else should I speak to?</p>

**Questions sent to Alvelal members/farmers**

In this qualitative interview I am studying how multiple organizations collaborate together to achieve AlVelAl's mission. This interview has a number of questions, which will be shared with key partners from the organizations that are working together, as a collective, to achieve AlVelAl's mission. I am looking to better understand the mechanisms that at collective level add to the success of AlVelAl.

The data collected in this questionnaire is qualitative and part of a PhD studying collective processes that emerge within social alliances with a social innovation orientation. AlVelAl is a unique form of (hyper-)local rural innovation, where diverse partners work together across different sectors to achieve AlVelAl's mission. It is a higher-level form of collective (social) enterprising where multiple actors are dynamically engaged in collective action. In this respect, AlVelAl is considered a social alliance with a unique approach to achieving land conservation, along with social and economic development.

All recorded and collected data will be treated in confidence and anonymously. The data will not be shared with third parties. Any usage or quote from the data collected for the PhD will be done with prior explicit consent of those interviewed. The questions asked to interviewees are standardized, and will also be asked to other key actors involved in AlVelAl.

1. Could you talk a bit more about why you became a farmer? And what are some of the key reasons for working in this domain?
2. Alvelal's mission is to solve social and economic problems, create jobs of the future, support farming and land conservation. In what way does your organization's mission align with that of Alvelal?
3. How many of your clients are from the region and from outside of the region?
4. What have been some of the key steps for your organization building relationships over time with Alvelal and other farmers and companies in the region? Can you talk a little bit about what this process has been for you?
5. If you were in a critical situation and needed technical support or advice, who at Alvelal do you turn to? And if you are in a critical situation and need business support or advice, who at Alvelal do you turn to? Or outside of Alvelal?
6. In what way does being in this area help you being innovative?
7. Can you give an example of a situation where you collaborated with Alvelal partners on a joint program, collective action or district wide initiative? In what ways do Alvelal partners help you with your business (new products, new knowledge, staff, other resources)?

8. Do you think that your organization in the process of collaborating with Alvalal and building partnerships has acquired new knowledge, new capabilities or new assets, which it could not have acquired independently? And if yes, can you give an example?

**Questions for case-study 3/SSP**

Context

In this qualitative interview I am studying how multiple organizations collaborate together to achieve SSP mission. This interview has a number of questions, which will be shared with key partners from the organizations that are working together, as a collective, to achieve SSP mission. I am looking to better understand the mechanisms that at collective level add to the success of SSP.

The data collected in this questionnaire is qualitative and part of a PhD studying collective processes that emerge within social alliances with a social innovation orientation. SSP is a unique form of (hyper-)local rural innovation, where diverse partners work together across different sectors to achieve SSP mission. It is a higher-level form of collective (social) enterprising where multiple actors are dynamically engaged in collective action. In this respect, SSP is considered a social alliance with a unique approach to achieving land conservation, along with social and economic development.

All recorded and collected data will be treated in confidence and anonymously. The data will not be shared with third parties. Any usage or quote from the data collected for the PhD will be done with prior explicit consent of those interviewed. The questions asked to interviewees are standardized, and will also be asked to other key actors involved in SSP.

Questions	General Questions
	i) What is your name?
	ii) What is your role in relation to SSP?
	<b>Part 1</b>
	i) In your opinion, who are the key partners SSP works with to achieve its mission?
	ii) How have you built relationships over time with these key partners? Can you talk a little bit about what this process has been for you?
	iii) How important is your organization's role in helping to achieve SSP's mission? Has your organization's role changed over time to achieve SSP mission?
	<b>Part 2</b>
	i) Do you believe SSP partners share a joint vision about working together? Which partner or partners would you say have been instrumental articulating and/or framing this shared vision?
	ii) How do SSP partners align their mission, vision and operations, interests together?
	iii) Have you experienced any challenges in the process of articulating and developing a shared vision with key SSP partners? How did you resolve them?
	iv) How committed do you think key partners are about working together to solve the social and economic problems SSP are addressing? How strong is the bond between the partners?
	<b>Part 3</b>
	i) Can you give an example of a situation or project where SSP partners designed or implemented a joint project or a joint action together? And which SSP organizations were involved, how has that process been?
	ii) How often do you formally meet with key partners? Is there a group of key individuals or organizations that meets regularly? Are these ad hoc and informal, or quite formalized?
	iii) Can you give an example of a situation where you took a key decision with key partners to help achieve your organization's mission and that of SSP? Are these decisions in any way documented or diffused?

iv) How do partners track progress and hold each other accountable? Is this done as a collective, or independently?
<b>Part 4</b>
i) SSP has an equitable approach to conservation, social and economic development. Can you further elaborate what this means?
ii) In your opinion how do SSP develop resources for disenfranchised populations to be part of SSPs success?
iii) In what ways do you think key partners benefit from pooling their resources together?
<b>Part 5</b>
i) How has the network helped your organization acquire new resources, new assets or capabilities, you could not have acquired independently?
ii) Can you give an example of a shared resources that is specific to SSP partners working together?
iii) Is there a commitment and willingness among key partners to experimentation? Have your programs or projects to achieve your mission changed over time?
iv) How do you see SSP evolving?
<b>Final questions - from a scale of 1 to 5, with 1 being totally disagree and 5 being totally agree</b>
i) Do you think that it is thanks to collective efforts that SSP has been successful at addressing social and economic issues?
ii) Do you think there is a relationship between key partners over time building collective capacity for change and achieving SSP mission?
Anything else you would like to add? Or anyone else I should speak to?

**Questions asked to Southeast Alaskan entrepreneurs**

The data collected in this questionnaire is qualitative and part of a PhD studying collective capacity that emerge within social alliances with a social innovation orientation. The SSP is such a social alliance, where diverse partners work together across different sectors to achieve the SSP mission. It is a higher-level form of collective (social) enterprising where multiple actors are dynamically engaged in collective action. In this respect, the SSP is considered a social alliance with a unique approach to achieving social and economic development.

In this qualitative interview I am studying Southeast Alaska-based community enterprises and their collaboration with other entrepreneurs and SSP organizations. This interview has a number of questions, which will be shared with key entrepreneurs based in the Southeast of Alaska.

***All recorded and collected data will be treated in confidence and anonymously. The data will not be shared with third parties. Any usage or quote from the data collected for the PhD will be done with prior explicit consent of those interviewed. The questions asked to interviewees are standardized, and will also be asked to other key entrepreneurs.***

**Questions:**

1. Could you talk a bit about why you set-up in this region of Alaska? What are the reasons for being here?
2. Have you collaborated with the SSP in the past, or any of the SSP organizations that also call this incredible region their home? In what way does your enterprise's mission align with that of the SSP?
3. How many of your clients are from the region, and how many are from outside the region?
4. What have been some of the key steps in your enterprise building relationships over time with potential SSP organizations or other entrepreneurs from the region?
5. If you are in a critical situation and need technical support or advice, who in the region or outside the region do you turn to? And if you are in a critical situation and need business support or advice, who in the region or outside the region? In what way does being in this region help you to be innovative?

6a. Can you give an example of a situation where you collaborated with other Southeast entrepreneurs on a joint program or joint initiative? Have you ever collaborated with other entrepreneurs from the region to develop new products, access new knowledge or other resources together?

6b. If yes, do you think that collaborating with other entrepreneurs or SSP organizations has helped you acquire new knowledge, new assets, or net capabilities, you could not have acquired independently?

7. If you could solve one of your key challenges as an entrepreneur, what would it be?

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