

**Creative Social Entrepreneurs, Social Capital and  
Collaborative Governance:  
A Saskatoon based analysis**

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**For the Degree of Masters of Arts**

**In the Department of Political Studies**

**University of Saskatchewan**

**By Graeme Webb**

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# Creative Social Entrepreneurs, Social Capital, and Collaborative Governance: A Saskatoon based analysis

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## **Abstract:**

This thesis investigates the hypothesis that *creative social entrepreneurs* facilitate *collaborative governance* in the Saskatoon city-region by being the primary creators of *social capital*. Governance, both its quality and form, is essential in facilitating social, cultural, and economic development at the city-region level. Collaborative governance is a form of governance that enables a community to mobilize all of its assets (individuals, associations, and institutions) in all sectors of society (industry, government, and civil society) to address issues of need and to create new growth. The quality of governance at the city-region level is directly influenced by the level of social capital in the city-region. It is widely acknowledged that members of Richard Florida's "creative class" drive Promethean-like economic development. However, the creative class is not monolithic; members of the creative class can choose to be involved in society in many different ways. The benefits that members of the creative class can have on a society when they act socially have been largely ignored in the literature. Creative social entrepreneurs—characterized by their creativity, horizontal hypermobility, preference for involvement in participatory activities, and desire for quasi-anonymity (weak ties)—facilitate the governance of society by creating social capital (societal level social capital, associational level social capital, and individual level social capital). The thesis presents and analyses the output from a survey of 30 creative social entrepreneurs from government, business, civil society, and the university in the Saskatoon city-region. This survey was used to measure the level of creativity (professional and informal creativity) and entrepreneurial capacity of the participants, as well as map their social networks. Using social networks analysis (SNA) three measures of centrality (closeness centrality, betweenness centrality, and eigenvector centrality) were used to examine the impact that creative social entrepreneurs play in social capital creation. The results from this analysis did not explicitly support the hypothesis that creative social entrepreneurs play a key role in social capital creation and the facilitation of governance at the city-region level. However, there was a positive correlation between professional creativity and all three measures of centrality. Not all innovators impact social capital creation. However, those professional innovators that do act socially are positioned in community networks to be the primary creators of social capital.

**Key Words:** creative social entrepreneurs; social capital; collaborative governance

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## Chapter 1—Introduction:

### 1.1. Introduction:

An examination of governance literature reveals that many people—academics and policy makers alike—when they think about *governance*, think solely about *government*. However, if this hierarchical governance paradigm is accepted, politics is something that is done to, not by the people. This conceptualization of governance, while partially true, is inadequate; it does not reflect the true democratic nature that we endeavour to embrace. However, despite this traditional viewpoint, governance is in actuality not synonymous with government.<sup>1</sup> Governance is performed by the main structures in society—the government, the market, and civil society—all partners acting in tandem. Furthermore, within each of these main structures there are many numbers of departments, corporations, and associations that act cooperatively and competitively to ensure continued positive social, cultural, and economic development for a society.

However, the structures in a society, and the institutions that make up those structures, are not the sole actors in the governance process. Globalization has ushered in a set of structural changes that have resulted in a paradigm shift—individuals rather than structures have become the central mode of analysis and a skills revolution has created a knowledgeable and creative populace.<sup>2</sup> Individuals play a pivotal role in governance; the knowledge, skills, and personality characteristics (human capital) along with the networks of relationships (social capital) that

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<sup>1</sup> Peter Philips. *Governing Transformative Technological Innovation*. Chapter 4.  
Gerry Stoker. “Governance as Theory”. *Public Administration*. Pg. 217.

<sup>2</sup> James Rosenau. *People Count! Networked Individuals in Global Politics*. Pg. 7-8.

While an understanding of the structures in society remains central to the study of the governance, globalization has highlighted the role of individuals in the governance process.



individual's possess are what strengthen and sustain the governance of society. In today's structural realities, politics is done by citizens.

True citizens are not merely “consumers” of governance—they do not simply give their power away to people in positions of power. Rather, citizens actively choose to take part in the governance processes.<sup>3</sup> This thesis investigates a certain type of citizen, creative social entrepreneurs, who have chosen, through their social actions, to facilitate governance. This thesis tests the H0 that creative social entrepreneurs facilitate collaborative governance in the Saskatoon city-region by being the primary creators of social capital.

## 1.2. Theory Overview:

Governance, both its quality and form, is essential in facilitating social, cultural, and economic development at the city-region level. In a collaborative model of governance the actors—civil society, industry, and government—cooperatively draw upon relevant assets, whether they be knowledge, credibility, or funding, to carry out services required at the city-region level. Collaborative governance is a form of governance that enables a community to mobilize its assets (individuals, associations, and institutions) across sectors of society (industry, government, and civil society) to best address issues of need and to generate growth and create wealth.

The quality of governance at the city-region level is directly influenced by the level of social capital in the city-region. It is widely acknowledged that members of Richard Florida's “creative class” drive Promethean-like economic development—development that is driven by creativity and innovation. However, the creative class is not monolithic; members of the creative class can *choose* to be involved in society in many different ways. Peter Block, a well-known

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<sup>3</sup> Peter Block. Community: The structure of belonging. Pg. 63

author on personal asset development (human capital), states in Community: The Structure of Belonging: “Communities are never built from the top down, or from the outside in.”<sup>4</sup> Successful community development requires the mobilization of all of a community’s assets and resources; the individuals within the community must be willing to invest themselves if any development is possible.

The benefits that members of the creative class can have on a society when they act socially have been largely ignored in the literature. Creative social entrepreneurs— characterized by their entrepreneurial tendencies, creativity, horizontal hypermobility, preference for involvement in participatory activities, and desire for quasi-anonymity (weak ties)—facilitate the governance of society by creating social capital: societal level social capital, associational level social capital, and individual level social capital.

In direct refutation of the belief that political apathy has overwhelmed the Canadian populace, creative social entrepreneurs choose to take an active role in their communities:

citizens, uninspired by political leaders, may be voting less, but they are fulfilling many needs in direct ways. Today individuals seeking meaningful work frequently opt to build, join, advocate for, or support organizations that are more innovative, more responsive, and operationally superior to the traditional social structures.<sup>5</sup>

Social actions by citizens, and in particular creative social entrepreneurs, create communities with high levels of social capital that foster social, cultural, and economic development.

However, Charles Leadbeater, one of the leading academics on social entrepreneurs and their role in governance, argued that the emphasis on terms such as ‘citizenship’, ‘social capital’, and ‘community’ is not the same as advocating for a “nostalgic return to a coercive, conservative

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<sup>4</sup> Ibid. Pg. 63.

<sup>5</sup> David Bornstein. How to Change the World. Pg. 9

communitarianism”.<sup>6</sup> Indeed, a strict, homogeneous community model would not work with the structural realities that today bind society—a fluid, individualized society that embraces diversity. Rather, what is needed is a society “which is rich in communities traditional and technological, religious and secular, sporting and cultural. We will only recreate a sense of ‘community’ if it is avowedly liberal, volunteeristic, decentralized, self-governing, anti-statist, and anti-hierarchical.”<sup>7</sup> This is the type of community that creative social entrepreneurs generate when they choose to actively take part in the governance of society.

### **1.3. Methodology:**

The literature that this thesis uses to provide its conceptual framework on governance, social capital, and social entrepreneurship is thesis driven, as opposed to literature driven. There exist a plethora of authors and theories that have provided important insights into these three concepts. However, rather than detailing all of these insights, this thesis has selectively chosen to review the literature that furthers the understanding of these concepts insofar as they pertain to the development of the thesis. In each of the three literature review chapter’s, the main concepts and theories are outlined and compared. A synthesis of these diverse and sometimes competing ideas is then provided.

In order to study the impact of creative social entrepreneurs in the collaborative governance process a very directed methodological approach is used. In collaborative governance, “the network” is where actors formally and informally come together. The social capital of the community is accrued in this network of social relationships. Using a Millsian “structural power” approach, this research used social network analysis (SNA) to measure the

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<sup>6</sup> Ibid. Pg. 21.

<sup>7</sup> Ibid. Pg. 21

impact, quantitatively and qualitatively, that specific individuals have in a given network.<sup>8</sup> This social network analysis of creative social entrepreneurs in the Saskatoon city-region was accomplished by measuring levels of creativity, entrepreneurial capacity, and by mapping the social networks of the participants. The social networks include work colleagues (tertiary associations), casual acquaintances and community involvement contacts (secondary associations), and friendships and family connections (primary associations). By combining the individual personality measures and the social mapping it was possible to measure the impact that creative social entrepreneurs have on the collaborative governance system in the Saskatoon city-region.

The research that this thesis originates from was a SSHRC-funded major collaborative research initiative on the social foundations of economic development at the city-region level in Canada. As this research used the *city-region* terminology, this thesis also followed in suit. For this thesis the city-region will refer to the Saskatoon census metropolitan area (CMA).

This thesis makes its largest contribution by demonstrating the positive impact that creative social entrepreneurs have on city-regions through the production of social capital—that is, it shows that individual people matter in governance.

#### **1.4. Primary Research Assumption:**

The hypothesis that this thesis uses (that creative social entrepreneurs facilitate collaborative governance in the Saskatoon city-region by being the primary creators of social capital) is a two step hypothesis. The first step of the hypothesis is to concretely demonstrate, using data collected specifically for this thesis, that creative social entrepreneurs are the primary creators of social capital in the Saskatoon city-region. The second step of the hypothesis would

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<sup>8</sup> John Scott. "Studying Power". The Blackwell Companion to Political Sociology. Pg. 83.

then be to demonstrate that this social capital facilitates collaborative governance. However, this thesis takes as its primary research assumption that the literature on social capital provides a strong enough link between social capital and the facilitation of collaborative governance that if creative social entrepreneurs create social capital, then they also facilitate collaborative governance.<sup>9</sup> While the first step of the hypothesis is deductive, the second step is inductive.

### **1.5. Structure of the Thesis:**

This thesis has seven chapters. Chapters two, three, and four review traditional and contemporary literature on governance, social capital, and creative social entrepreneurs respectively. Chapter five outlines the methodological approaches taken by others in the study of community leaders and lays out the approach that this thesis will take. Chapter six provides an overview of the data collected for this study. Chapter seven concludes the thesis by discussing the implications of these findings, the limitations of this thesis, and areas of future research.

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<sup>9</sup> In section 4.4 (Social Entrepreneurs and Social Capital Creation) of the thesis, this inductive reasoning is examined more thoroughly.

## Chapter 2—Governance:

### 2.1 Introduction:

Recent research in the Saskatoon city-region on the social dynamics of economic performance indicates that governance, *both its quality and form*, is essential in facilitating social, cultural, and economic development.<sup>10</sup> This chapter on governance investigates specific aspects of the form of governance. Specifically, it examines the literature and theory surrounding collaborative governance—a governance paradigm wherein the market, the government, and civil society share relevant assets needed to address issues in the community.

The collaborative governance paradigm represents a fairly comprehensive synthesis of the history of governance literature and theory for a number of decades.

Theoretical work on governance reflects the interest of the social science community in a shifting pattern in styles of governing. The traditional use of ‘governance’ and its dictionary entry define it as a synonym for government. Yet in the growing work on governance there is a redirection in its use and import. Rather governance signifies ‘a change in the meaning of government referring to a new process of governing; or a changed condition of ordered rule: or the new method by which society is governed.’<sup>11</sup>

Furthermore, while not specifically identified by name, collaborative governance represents the form of governance that many industry and community based organizations in the Saskatoon

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<sup>10</sup> “Traditionally governance was presumed synonymous with government—(however,) the interviews conducted in the Saskatoon city-region have demonstrated that governance is now the purview of a multiplicity of actors. Broadly, there was a consensus amongst three types of actors that governance required a formal-informal partnership; governance has become more collaborative in nature.” The interviews that this quotation is referring were conducted as a part of the Theme III (governance and civic engagement) ISRN study on creativity in city regions in 2007. Peter Phillips and Graeme Webb. “Talent, tolerance and community in Saskatoon”. Presentation to the ISRN Annual Conference, Montreal, Que, May 1, 2008.

<sup>11</sup> Stoker. Pg. 215.

R. Rhodes. “The New Governance: Governing without Government”. Stoker. Pg. 215.

city-region believe would best facilitate the fulfilment of their own goals and functions while adding to the public good of the community.<sup>12</sup>

This chapter has five sections. Section II examines governance literature and theory, concentrating on strong democracy, network governance, and capacity-focused development. Section III conducts a synthesis of the governance literature and begins to define the theory of collaborative governance. Section IV further develops the concept of collaborative governance while outlining the roles and responsibilities of government, civil society, and the market in a collaborative governance model. Section V provides a conclusion of this chapter's findings.

## **2.2. Governance Theory:**

Governance is often seen as being synonymous with government. However, this is a narrow view of governance. While governance does incorporate the actions of government, it also incorporates the actions of the market and civil society. This more complete understanding of governance is referred to in political science, economic/business, and sociology literature by many different names—strong democracy, network governance, or capacity-focused development.

Benjamin Barber, in Strong Democracy, defines strong democracy as:

Politics in the participatory mode where conflict is resolved in the absence of an independent ground through a participatory process of ongoing, proximate self-legislation and the creation of a political community capable of transforming dependent, private individuals into free citizens and partial and private interests into public goods.<sup>13</sup>

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<sup>12</sup> Peter Phillips and Graeme Webb. Talent, Tolerance and Community in Saskatoon. Presentation.

<sup>13</sup> Benjamin Barber. Strong Democracy. Pg. 132.

This theory of democracy arises not as a tool to analyze the current governance paradigm, but rather as a prescriptive formulation of what the system needs to become.<sup>14</sup> Despite its prescriptive nature, Strong Democracy has had a considerable impact on governance literature.

Barber believed that the political condition had seven major constituent parts.<sup>15</sup> Using some of these constituent parts it is possible to examine the theory of strong democracy, and to develop an understanding of this theoretical conception of governance:

- 1) Action: “In strong democracy, politics is something done by, not to, citizens.”<sup>16</sup>
- 2) Publicness: Strong democracy rejects reductionism and the fiction of atomistic individuals. However, this does not mean that Barber posits community *a priori*; rather, community is a creation of individual action. “Community, public goods, and citizenship thus ultimately become three interdependent parts of a single democratic circle whose compass grows to describe the true public.”<sup>17</sup>
- 3) Necessity: Strong democracy places agency and responsibility in individual citizens. Furthermore, a citizens’ responsibility to act cannot be abstracted away to government.<sup>18</sup>
- 4) Choice: Citizens are capable of meaningful rational choice. In strong democracy choice goes beyond the mere selection exercised while voting; choice must be exercised in strong democracy in everyday life and in everyday activities.<sup>19</sup>

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<sup>14</sup> “The position I take here asserts that liberalism serves democracy badly.... Bluntly expressed, my claim is that strong democracy is the only viable form of modern democracy politics can take, and that unless it takes a participatory form, democracy will pass from the political scene along with the liberal values that make it possible.”  
Ibid. Pg. xxxiv.

<sup>15</sup> Ibid. Pg. 122.

<sup>16</sup> Barber. Pg. 133.

<sup>17</sup> Ibid. Pg. 133-134.

<sup>18</sup> Ibid. Pg. 134.

<sup>19</sup> Ibid. Pg. 134.



5) Conflict: Strong democracy is unique in that it “acknowledges the centrality of conflict in the political process.”<sup>20</sup> But, Barber also believed that conflict can be transformed into cooperation through citizen participation, public deliberation, and civic education.

While the prescriptive and theoretical nature of strong democracy can make it appear utopian and therefore nearly impossible to implement, this is not the case. Barber believed that “politics is what men do when metaphysics fails; it is not metaphysics reified as a constitution.”<sup>21</sup> Strong democracy is a form of participatory governance that Barber has demonstrated takes into account the positive and negative aspects of human nature.

Business literature on governance is dominated by non-government-centric models of governance. Often this literature highlights the role of firms in creating “networks” of governance.<sup>22</sup> These networks refer to:

interfirm coordination that is characterized by organic or informal social systems, in contrast to bureaucratic structures within firms and formal contractual relationships between them.<sup>23</sup>

The business literature on governance focuses on two primary concepts: one, “patterns of interaction and exchange”; and two, “flows of resources between independent units.”<sup>24</sup>

In the article A General Theory of Network Governance: Exchange Conditions and Social Movements, Jones, Hesterly, and Borgatti synthesized this into a sound working definition of “network governance” which:

involves a select, persistent, and structured set of autonomous firms (as well as nonprofit agencies) engaged in creating products

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<sup>20</sup> Ibid. Pg. 135.

<sup>21</sup> Ibid. Pg. 131.

<sup>22</sup> Jones, Hesterly, and Borgatti. A General Theory of Network Governance: Exchange Conditions and Social Movements. Pg. 913.

<sup>23</sup> Ibid. Pg. 913.

<sup>24</sup> Ibid. Pg. 914.

or services based on implicit and open-ended contracts to adapt to environmental contingencies and to coordinate and safeguard exchanges. These contracts are socially—not legally—binding.<sup>25</sup>

While this definition of network governance is fairly broad—the addition of non-profit agencies as one possible form of actors is evidence of this—it remains limited. Perhaps the most evident omission is that only structured organizations, associations, and other entities, are seen as actors in the network—as such, the role that specific individuals play in the governance process is ignored.

Capacity-focused development, as outlined by John Kretzmann and John McKnight in Building Communities from the Inside Out, suggested that successful community development requires the mobilization of all of a community’s assets and resources: “communities are never built from the top down, or from the outside in.”<sup>26</sup> As a result the individual within the community must be willing to invest themselves if any development is possible.

A community has three sources or forms of assets: individuals, associations, and institutions. Each individual has a set of gifts or skills that can facilitate development. Associations are “the vehicles which citizens... assemble to solve problems, or to share common interests and activities.” The degree of involvement in these associations is a measure of what Kretzmann and McKnight call a community’s “associational life”.<sup>27</sup> Institutions, such as businesses, universities, or government, also represent strong assets in the community, and are often the most “visible and formal part of a community’s fabric.”<sup>28</sup> While each community does have a different distribution of these assets, the framework remains the same.

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<sup>25</sup> Ibid. Pg. 914.

<sup>26</sup> John Kretzmann and John McKnight. Building Communities from the Inside Out. Pg. 5.

<sup>27</sup> Ibid. Pg. 6.

<sup>28</sup> Ibid. Pg. 8.

While Kretzmann and McKnight only refer to the “capacity-focused” model within the community development paradigm, it can also be implemented as a governance model. A capacity-focused governance model would require action and interaction between many actors—individuals and organizations—from many different sectors—civil society, business, and government—for successful governance to occur. It is also important to note that the capacity-focused model is “relationship driven” in that it is the relationships that exist between these actors that facilitate the functioning of this model.

### **2.3. Governance Literature Synthesis:**

While all of these models do differ, they all maintain that governance should be conceived of in a heterarchical not hierarchical manner. This view of governance is *non-traditional* insofar as it seeks to minimize “imperative control”—the power of authority to command and to be obeyed by a given group of persons (a.k.a. hard or relational power).<sup>29</sup> Max Weber, in Social and Economic Organization, suggested that while anti-authoritarian forms of governance attempt to reduce imperative control, these forms of governance will always retain their hierarchical nature and that such “an order is always ‘imposed’.”<sup>30</sup> However, governance should not be seen as a system being imposed upon society by the state from above. Rather, governance is a human action being exerted from within the system itself; Barber argues “...it envisions politics not as a way of life, but as a way of living.”<sup>31</sup>

Gerry Stoker believed that the sheer scope and range of governance theory and literature required the formulation of a comprehensive “governance perspective”.<sup>32</sup> In Governance as

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<sup>29</sup> Max Weber. The Theory of Social and Economic Organization. Pg. 152.

<sup>30</sup> Ibid. Pg. 149 and 412.

<sup>31</sup> Barber. Pg. 118.

<sup>32</sup> Stoker. Pg. 217.

Theory, Stoker developed a synthesis of governance literature that adds five other important propositions about non-traditional governance:

- 1) “Governance refers to a complex set of institutions and actors that are drawn from but also beyond government”;
- 2) “Governance identifies the blurring of boundaries and responsibilities for tackling social and economic issues”;
- 3) “Governance identifies the power of dependence involved in the relationships between intuitions involved in collective action”;
- 4) “Governance is about autonomous self-governing networks of actors”; and
- 5) “Governance recognizes the capacity to get things done which does not rest on the power of government to command or to use its authority. It sees government as able to use new tools and techniques to steer and guide.”<sup>33</sup>

These five propositions put forth by Stoker, combined with the insight that governance is heterarchical in nature, form the theoretical basis of the collaborative governance model. Broadly defined, in a collaborative model of governance the actors— civil society, industry, and government— cooperatively draw upon relevant assets, whether they be knowledge, credibility, or funding, to carry out services required at the city-region level.

It is important to note that, despite its name, in a collaborative governance system the two seemingly opposing forces of collaboration and competition work in tandem. Authors David Osborne and Ted Gaebler in Reinventing Government put forth that:

Most entrepreneurial governments promote *competition* between service providers. [...] “It works with the private sector. It employs

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<sup>33</sup> Stoker. Pg. 217-218.

solid business sense. It privatizes.... It is market oriented.... It rewards merit.<sup>34</sup>

This highly market based approach to governance postulates that it is the competition inherent in a market oriented system that will best provide the services needed by society; it is a system that is better able to concentrate on outcomes than inputs.

However, while this competitive, merit-based system can seem inherently contradictory to a governance system that is based upon collaboration, it is not. Barber stressed that:

human beings... [have] competing but overlapping interests [and they] can contrive to live together communally not only to their mutual advantage but also to the advantage of their mutuality.<sup>35</sup>

Competition and collaboration should not be seen as existing at two opposite ends of a spectrum. Rather, these two forces, inherent within any governance system, should be seen to work in tandem. While collaborative governance seems to favour a tendency towards collaboration it should not be believed that competition is absent from this governance model; collaborative governance relies on market systems so that gaps in services are filled by market or civil society based organizations while the government sector provides infrastructure support and acts as final arbiter.

#### **2.4. Collaborative Governance:**

The collaborative governance model is increasingly being discussed and implemented in a wide range of areas. However, it is from international development literature, along with the foundational work of sociologist Kenneth Boulding, that it is possible to examine the

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<sup>34</sup> David Osborne and Ted Gaebler. *Reinventing Government*. Pg. 19.

Mayor William Hudnut (1986), quoted in Osborne and Gaebler. Pg. 18.

<sup>35</sup> Barber. Pg. 118.

collaborative governance system in more detail. While international development literature may seem a strange fit when discussing governance at a city-region level, it is used in this thesis for three reasons. First, the international development area has been far more dynamic and innovative in its approach to governance than other areas. Second, while international development is inherently *international* in nature, it often focuses on micro or community development—ideal for the study of city-regions, regardless of its location. Third, and lastly, the Asian Development Bank, in conjunction with the OECD, provides an excellent typology of the roles and responsibilities of the government, civil society, and market sectors—why reinvent the wheel when you do not have to?

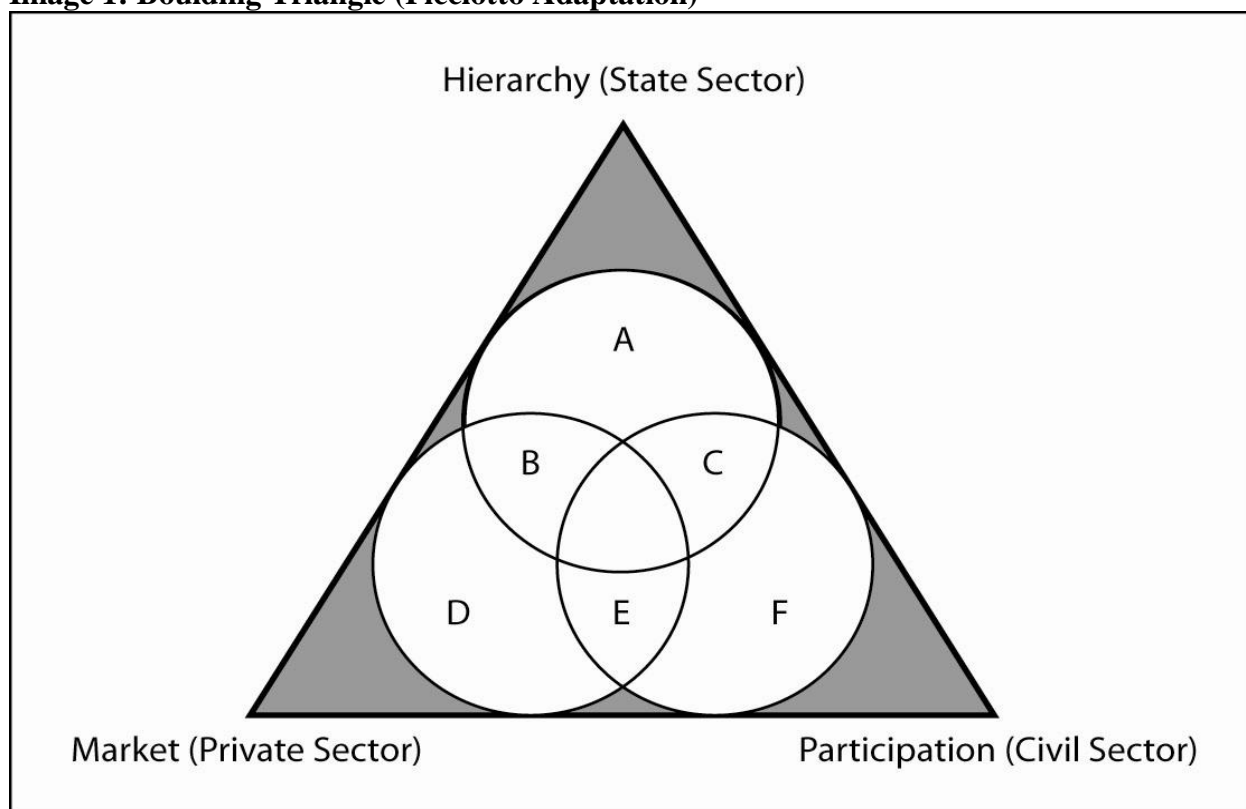
Boulding believed that there were three main structures in society—government, the market, and civil society—whose actions and interactions formed the basis of governance in society.<sup>36</sup> To map out this terrain he employed a simple triangle. As illustrated in Image 1, each point of the triangle represented the pure form of each of these major structures. The spaces (identified with letters) within the triangle signify the mechanisms that each structure employed in its actions: coercion and redistribution in A (state sector), quid pro quo exchange in D (private sector), and gift or solidarity or reciprocity in F (civil sector).<sup>37</sup> The remaining letters, B, C, and E represent combinations of those mechanisms. Society is dominated by different sectors, or combinations of those sectors, represent different governance paradigms.

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<sup>36</sup> Robert. Picciotto. “Putting institutional economics to work”. World Bank Discussion Paper 304. Drawing on Boulding. A primer on social dynamics. Seen in, Phillips. Chapter 4. Pg. 14.

<sup>37</sup> Gilles Paquet. Governance in the 21<sup>st</sup> Century. Pg. 42.

**Image 1: Boulding Triangle (Picciotto Adaptation)<sup>38</sup>**



Governance is dynamic, the governance structure of society changes and shifts according to a variety of internal and external pressures. While collaborative governance is a non-traditional governance model, the government remains the major player in governance. However, the government sector is not always able to act effectively in all areas of society; some problems or opportunities require different mechanisms of action than the government sector provides. In those instances where alternative resources or mindsets are required, other sectors, the private sector and the civil society sector, also become involved.

<sup>38</sup> Robert Picciotto. "Putting Institutional Economics to Work: From Participation to Governance". World Bank Discussion Paper 304. Pg. 11. Seen in Paquet. Pg. 42.

### 2.4.1. Civil Society:

Prior to outlining the roles of the civil society sector in governance, it is first necessary to clearly outline what is meant by the term civil society. The term civil society can be used as a political concept. Perhaps one of the most prominent examples of this political conceptualization of civil society is CIVICUS's (an international NGO that promotes global citizen participation) definition of civil society as outlined by Richard Holloway in Using the Civil Society Index:

#### Assessing the Health of Civil Society:

the sphere of institutions, organizations and individuals located between the family, the state and the market, in which people associate voluntarily to advance common interests.<sup>39</sup>

This use of the term civil society by Holloway and CIVICUS is a political conceptualization because it stresses the processes by which sectors within society (the family, the state, and the market) interact with each other.

While this conceptualization of civil society can be very useful in understanding governance and to facilitating citizen involvement, this thesis defined civil society in a traditional sectoral manner. A sectoral understanding of civil society defines civil society as being one of the main structures or spheres in society (often along with the government and market spheres—as was outlined in Image 1. Within this sphere there are many institutions, such as community based organizations, perform a wide variety of functions.

The Asian Development Bank, in From Bystanders to Collaborators, laid out six main functions that civil society fulfils in the collaborative model of governance. One, civil society non-governmental organizations (NGOs) can be intellectual and visionary. If a problem is to be addressed properly it is essential that NGOs be planners. Governance and development require long-term goals so that any advancement is sustainable, in terms of both monetary and social

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<sup>39</sup> Richard Holloway. Using the Civil Society Index: Assessing the Health of Civil Society. Pg. 6.



capital. Furthermore, developing realistic responses to problems requires a broad understanding of the social, cultural, and economic environment in which these problems are located.<sup>40</sup>

Two, NGOs in civil society must be problem solvers. While the role of NGOs as planners is essential, in order to address the needs of the citizenry they must also be problem solvers, or doers. The smooth functioning of a society requires that concrete actions are taken to address issues; knowledge and vision are needed but without action these development plans simply remain on the shelf collecting dust.<sup>41</sup>

Three and four, the form of action that civil society can take to solve problems can either be in the provision of services or in providing financial support to others to fulfil the needs of society. This is not to say that these forms of support are the sole prerogative of civil society; the government and market sectors do play a role in providing these forms of support. However, if these sectors fail to fill a lacuna in the provision of a necessary service, it is essential that civil society be in place, at the very least, as a safety net of last resort.<sup>42</sup>

Five, civil society needs to play a role in advocacy. By providing a platform for individuals or groups that do not have the resources to spread their message, civil society aids the disenfranchised to re-engage with the governance system. Furthermore, in order to mobilize support for issues it is essential that the knowledge be disseminated to the public-at-large. Not only does this lead to a more enlightened citizenry but it can also help bring about paradigmatic change.<sup>43</sup>

Six, in addition to being an advocate for the disenfranchised, the civil society sector also acts as a critic and watchdog on the government and market sectors. This civil society voice acts

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<sup>40</sup> Asian Development Bank. From Bystanders to Collaborators. Pg. 5-7.

<sup>41</sup> Ibid. Pg. 5-7.

<sup>42</sup> Ibid. Pg. 5-7.

<sup>43</sup> Ibid. Pg. 5-7.

as a check and balance on two sectors that are often more organized and better financed than those being abused. By disseminating information to the citizenry, NGOs are able to leverage any possible support and exert pressure on the democratically accountable government sector.<sup>44</sup>

#### **2.4.2. Government:**

Government is seen as having four roles in the collaborative model of governance. Traditionally government is seen as being the governance authority. A number of traditional political philosophers have stressed that the state government structure is the only morally legitimate voice and actor in the political sphere.<sup>45</sup> Despite dramatic shifts in the attitudes of academics and individuals at large, the government sector remains the final arbiter on issues that cannot otherwise be peacefully resolved.<sup>46</sup>

The second traditional role that the governance sphere continues to provide is that of regulation. Just as civil society acts as a check and balance on the power of the state and the market, so too must the government keep a watchful eye on the other sectors. Regulation can help reduce tendencies of the market towards creating cartels as well as enforcing positive societal change where voluntary measures fail. Furthermore, it is the duty of the government sector to ensure that civil society institutions are respecting a reasonable plurality of voices present in any system; government plays the role of regulating the actions of the majority so as to respect the rights and liberties of minorities.<sup>47</sup>

The last two functions of the government sector are less traditional in nature. Third, the government sector is an enabler. This enabling function draws upon the role of government to

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<sup>44</sup> Ibid. Pg. 5-7.

<sup>45</sup> Examples of this traditional attitude are particularly evident in the Hobbesian conception of a Leviathan state.

<sup>46</sup> Asian Development Bank. Pg. 5-7.

<sup>47</sup> Ibid. Pg. 5-7.

provide social, cultural, and economic infrastructure. Furthermore, this infrastructure building is not only traditional physical infrastructure, but also encompasses non-traditional social infrastructure; building human capacity so as to aid individuals to move up rungs on the proverbial ladder of development.<sup>48</sup>

Fourth, the government sector also acts as convenor. That is to say that, the government sector should provide a forum where all the relevant actors from the other two sectors should be able to voice concerns and to develop complimentary plans of action. Furthermore, having a forum where organizations from the three sectors meet engenders a trust and familiarity essential in a collaborative governance model.<sup>49</sup>

### **2.4.3. Market:**

The market sector is the last of three sectors in the collaborative governance model that this paper is examining. Broadly the purpose of the market sector is the production and distribution of goods of services— essential aspects of any society. The primary requirement of any governance model is that it provides for the positive rights of the individuals that make up that society. The mechanisms of the market sector are uniquely suited for fulfilling the provision of private goods and services. While positive rights have the negative connotation of imposing reciprocal obligations that in turn infringe upon individual liberties, the “invisible hand of the market” directs the production and distribution of goods and services in mutually beneficial manner via voluntary, self assessed transactions— individual positive rights are fulfilled and both consumers and producers gain.

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<sup>48</sup> Ibid. Pg. 5-7.

<sup>49</sup> Ibid. Pg. 5-7.

#### **2.4.4. Institutions and Individuals:**

Beyond the division of the typical collaborative governance model into the three sectors, there also exists a division that extends across of them—a division that was heavily stressed in the introduction. In each of three sectors there are two types of actors that fulfil the roles and functions of those sectors: institutions and individuals.

Broadly speaking, institutions are the most visible and formal of these two types of actors. Examples of these institutions range from government departments, to corporations, and to community based organizations. It is the highly visible and formal nature of these institutional actors that have resulted in them becoming the key focus used to analyze collaborative governance.

However, while institutions do play an important role in the collaborative governance process, the role of the individual is also central. Kretzmann and McKnight, in the capacity-focused model, stress the role that individuals play within society. An individual's human capital represents an important element of a city-regions' assets that must be mobilized to facilitate the governance process; individual skills, knowledge, wealth, reputation, are assets that need to be employed for collaborative governance to function at the city-region level.<sup>50</sup>

The thesis focuses on the role of the individual rather than government departments, corporations, or community based organizations (the institutional level of analysis) in the collaborative governance process. By nature, a collaborative governance system is a highly networked system. While the various assets (human capital) that each individual has can facilitate governance in a community, it is the networks of relationships between individuals in the community (social capital) that makes the collaborative governance process possible. Certain

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<sup>50</sup> Kretzmann and McKnight. Pg. 5-8.

types of individuals can play an integral role in creating, expanding, and adding value to the networks of relationships in a city-region.

## **2.5. Conclusion:**

The way in which governance is perceived has undergone a paradigmatic shift. No longer is governance synonymous with traditional hierarchical government; governance is heterarchical in nature. There are many different structures in a society that work, cooperatively and competitively, to facilitate the governance of a society. While this collaborative governance process between the government, the market, and civil society has both institutional and individual actors, this thesis focuses on the individual actors. Specifically, it is the examination of the networks of relationships that these individuals are a part of that are of the most interest—what is it about these networks that facilitate collaborative governance?

## Chapter 3—Social Capital:

### 3.1. Introduction:

Regardless of the definition that an individual chooses to use to define social capital, there remains “[one] idea at the core of the theory of social capital... social networks matter.”<sup>51</sup> Social networks are the creators and incubators of social capital. In turn social capital is the proverbial ‘canary in the coal mine’ that is used to measure the capacity of a city-region to effectively implement a collaborative governance system—the more social capital in a city, the ‘healthier’ it is.<sup>52</sup>

Over the past two decades, the term social capital has gained much attention in academia, government, and popular culture. To highlight this exponential growth of interest in social capital it is only necessary to conduct a brief longitudinal study of the use of the term social capital—“...one search of the international social science literature found 20 articles on social capital prior to 1981, 109 between 1991 and 1995, and 1 003 between 1996 and March 1999.”<sup>53</sup> However, despite the proliferation of interest in social capital, the term itself remains nebulous: What is social capital? How can social capital be measured? What impact does social capital have on society and on the collaborative governance process? This chapter begins to address some these questions.

This chapter is broken down into five sections. Section II is a review of the literature on social capital, concentrating on the work of Pierre Bourdieu, James Coleman, and Robert

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<sup>51</sup> Robert Putnam and Kristin Goss, ed. *Democracies in Flux*. Pg. 6-7.

<sup>52</sup> It should be noted that not all social capital is good social capital. For example, while a group of people meeting for a KKK meeting does create social capital, in no way or form would this ever be seen as creating good social capital—there is bad social capital, or what Putnam refers to as the dark side of social capital. For an excellent review of this distinction see *Democracies in Flux* by Putnam.

<sup>53</sup> *Ibid.* Pg. 5.

Putnam. Section III outlines the three main elements of social capital that can be synthesized from the literature. Section IV examines the role of social capital in collaborative governance. Section V provides a conclusion of this chapter's findings.

### 3.2. Literature Review:

Academics point to the work of L.J. Hanifan in 1916 as the first known use of the term social capital:

In the use of the phrase social capital I make no reference to the usual acceptance of the term capital, except in a figurative sense.... Rather [I refer to] that in life which tends to make these tangible substances [eg. private property] count for the most in the daily lives of people: namely good will, fellowship, sympathy, and social intercourse among the individuals and families who make up a social unit.... The individual is helpless socially, if left to himself.... If he comes into contact with his neighbor, and they with other neighbors, there will be an accumulation of social capital, which may immediately satisfy his social needs and which may bear a social potentiality sufficient to the substantial improvement of living conditions in the whole community.<sup>54</sup>

Despite outlining a definition of social capital that conceptualizes many of the important characteristics emphasized in present usage, Hanifan's concept failed to gain any traction. It was not until the late 1980s that the term social capital was put "firmly and finally on the intellectual agenda", though it was independently reinvented a number of times throughout the 20<sup>th</sup> century.<sup>55</sup>

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<sup>54</sup> L.J. Hanifan. The Community Centre. Seen in, Putnam and Goss. Pg. 4.

<sup>55</sup> Putnam and Goss Pg. 5.

Ibid. Pg. 5. The term social capital was independently reinvented a number of times--- Canadian sociologist John Seeley in the 1950s, urbanist Jane Jacobs in the 1960s, and economist Glenn Loury in the 1970s.

The literature on social capital emphasizes three main tributaries of social capital theory.<sup>56</sup> These three tributaries roughly correspond with the works of economist Pierre Bourdieu, sociologist James Coleman, and political scientist Robert Putnam. What follows is an investigation of these three social capital theorists, and how each conceptualized social capital and the role that it plays in social and economic performance.

### 3.2.1. Pierre Bourdieu:

In the mid-1980s economist Pierre Bourdieu wrote “The Forms of Capital” which outlined “three fundamental guises” of capital:

- 1) Economic capital: capital that “is immediately and directly convertible into money and may be institutionalized in the form of property rights.”
- 2) Cultural capital: broken down into three categories, cultural capital should be viewed as being “embodied” in a person’s habits and dispositions, “objectified” in literature and music, and “institutionalized” in educational institutions that through “historically propelled collective belief” guarantee the qualifications of an individual. This form of capital is “convertible, on certain conditions, into economic capital.”
- 3) Social capital: capital that is “made up of social obligations (‘connections’), which is convertible, in certain conditions, into economic capital and may be institutionalized in the form of a title of nobility.”<sup>57</sup>

Bourdieu emphasized the importance of this capital triumvirate; he believed that economists too often reduced economic theory to mercantile exchange and profit maximization while labelling

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<sup>56</sup> Bob Edwards and Michael Foley. “Civil Society and Social Capital”. *Beyond Tocqueville*. Pg. 8.

<sup>57</sup> Pierre Bourdieu. “The Forms of Capital”. Seen in, *Education, Globalization, and Social Change*. Pg. 106-110.



any other forms of exchange as “non-economic”.<sup>58</sup> For example, while many goods and services could be bought with economic capital there remain many other goods and services—e.g. good governance, which can have huge economic repercussions—that can only be bought with social capital. He posited that a holistic economic theory was needed that “endeavor[ed] to grasp capital and profit in all their forms.”<sup>59</sup>

While Bourdieu’s theory of social capital was not as well developed as his theory of cultural capital, his work did make a significant contribution to the social capital literature.

Bourdieu defined social capital as:

...the aggregate of the actual or potential resources which are linked to possession of a durable network of more or less institutionalized relationships of mutual acquaintance and recognition—or in other words, to membership in a group—which provides each of its members with the backing of the collectively-owned capital, a ‘credential’ which entitles them to credit, in a various sense of the word.<sup>60</sup>

In other words, social capital was capital that accrued from relationships between two or more individuals, in the form of “capital of obligations”, which could be spent by an individual or the group as a whole to achieve a desired end.<sup>61</sup>

While social capital was found within a network of relationships, it was not irreducible to that of the whole set of agents that he or she is connected to; Bourdieu believed that the measure of the social capital that accrued from a network of relationships was not simply a sum of all the relationships in the network, rather each node in the network had its own value that it contributed.

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<sup>58</sup> Ibid. Pg. 105.

<sup>59</sup> Ibid. Pg. 106.

<sup>60</sup> Bourdieu. Pg. 110.

<sup>61</sup> Ibid. Pg. 114.

[T]he social capital accruing from a relationship is that much greater to the extent that the person who is the object of it is richly endowed with capital (mainly social, but also cultural and even economic capital).<sup>62</sup>

Therefore, while social capital is inherently social in nature, it is never independent of the individual actors, and the quality of those actors, that make up the system.

Another important aspect of Bourdieu's social capital is that while it is a communal good created from the network of relationships and obligations amongst a set of individuals, rarely is the capital equally dispersed amongst all individuals within the network. Most forms of association or network groupings have some form of hierarchy or mechanisms used to delegate authority.<sup>63</sup> As a result, the social capital that exists within a group is often concentrated within a single individual or set of individuals charged to:

represent the group, to speak and act in its name and so, with the aid of this collectively owned capital, to exercise a power incommensurate with the agent's personal contribution.<sup>64</sup>

Therefore, when examining the social capital that exists within a system, not only is it necessary to take into account how richly endowed is each node with social, cultural, and economic capital, it is also necessary to examine their structural position in the hierarchy.

Bourdieu writes, in The Forms of Capital, that the ability to spend social capital after the accumulation of it has occurred, is highly dependent upon the level of general reciprocity in society. As social capital is a capital of obligations amongst a network of individuals accumulated over time, social capital could be at risk from ingratitude. The nature of Bourdieu's social capital is such that it had a "declared refusal of calculation and of guarantees"; social

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<sup>62</sup> Ibid. Pg. 111-112.

<sup>63</sup> Ibid. Pg. 112.

<sup>64</sup> Bourdieu. Pg. 112.

capital obligations are not directly enforceable.<sup>65</sup> The importance of this insight is that there exists the risk of the free rider problem even after the social capital has been accumulated.

From this insight about the nature of the free rider problem associated with Bourdieu's theory of social capital, it is possible to infer a further important point. Not only would a certain level of trust or generalized reciprocity in a society be a necessary condition in order to 'cash in' on social capital relationships, it would also be a necessary first condition prior to the initial creation of relationship obligation social capital—an environment of ingratitude offers little incentive for helping out others.

### **3.2.2. James Coleman:**

In 1990 sociologist James Coleman wrote Foundations of Social Theory. Like Bourdieu before him, Coleman believed that economic theory was flawed in a number of respects—“individuals do not act independently, goals are not independently arrived at, and interests are not wholly selfish.”<sup>66</sup> In other words, economics too often lacked the necessary social dimensions.

Social capital was one of these social dimensions that Coleman believed was necessary in any conceptualization of economic or social theory. He defined social capital as capital that “inheres in the structure of relations between and amongst persons.”<sup>67</sup> It was social organization—social organization constituting social capital—that helped to facilitate progress and the achievement of ends.<sup>68</sup>

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<sup>65</sup> Ibid. Pg. 114.

<sup>66</sup> James Coleman. Foundations of Social Theory. Pg. 301.

<sup>67</sup> Ibid. Pg. 302.

<sup>68</sup> Ibid. Pg. 304.

An important element of Coleman's social capital creation resides in what he refers to as the "primordial social structure."<sup>69</sup> The primordial social structure is an individual's direct family and community. Prior to the creation of larger, more formalized, and increasingly geographically dispersed social structures—the nation-state being a prime example—the primordial social structure distributed resources based on need, especially to cover times of dependency.<sup>70</sup> However, while it had to be widely enough distributed to cover such times, it also had to be small enough to foster connections of loyalty.

Coleman refers to this fostering of loyalty through limited and homogeneous membership as "closure".<sup>71</sup> The characteristic of closure in primordial social structures remains highly relevant when examining social capital theory. Without the existence of primordial social connections it is nearly impossible to foster the creation of social capital.

In Foundations of Social Theory, Coleman outlined six main ways in which social capital constituted a useful capital resource for individuals to achieve personal and communal ends:

- 1) Echoing Bourdieu, Coleman believed that social capital constituted a set of 'obligations and expectations'. A social obligation—e.g. an obligation to take care of an ailing family member or an obligation to help out a friend when moving—is much akin to a "credit slip".<sup>72</sup> The true value of these social obligations, or credit slips, is that it facilitates the usage of all tangible resources possessed by the social network; while one individual has a limited amount of resources to devote to a given end, an individual with

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<sup>69</sup> Ibid. Pg. 652-653.

<sup>70</sup> Ibid. Pg. 653.

<sup>71</sup> Ibid. Pg. 318-319 and 653.

<sup>72</sup> Coleman. Pg. 306.

“high levels of obligations outstanding” is able to pull upon all relevant assets within their community of socially-networked obligations to achieve their goal.<sup>73</sup>

However, this system of obligations is dependent upon the expectation that when an individual calls upon an outstanding obligation the obligatee does not renege. Without this expectation of general reciprocity it is unlikely that any system that accrues social capital can be formed.

2) Along with a system of expectations of generalized reciprocity, social capital also helps to create ‘norms and effective sanctions’. These norms and effective sanctions are “important in overcoming the public-good problem that exists in conjoint collectivities” and are also effective at inhibiting negative social actions such as crime.<sup>74</sup>

3) Social capital aids in the flow of information between members of a given social organization; this aspect of social capital constitutes the information potential that exists within a network.<sup>75</sup>

4) Like Bourdieu, Coleman believed that an important element of social capital is that it can be vested into a leader—in Foundations of Social Theory this is referred to as ‘authority relations’.<sup>76</sup>

5) Fundamentally, social organization constitutes social capital. Coleman suggested that an important aspect of any form of social organization is that it is ‘appropriable’. That is to say that, an “organization brought into existence for one set of purposes can also aid others, thus constituting social capital that is available for use.”<sup>77</sup>

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<sup>73</sup> Ibid. Pg. 307.

<sup>74</sup> Ibid. Pg. 311.

<sup>75</sup> Ibid. Pg. 310.

<sup>76</sup> Coleman. Pg. 311.

<sup>77</sup> Ibid. Pg. 312.

6) While the appropriability of social organizations is important to social capital creation, it should not be ignored that there are forms of social capital that are purposefully created by individuals with “the aim of receiving a return on their investment.”<sup>78</sup> Coleman refers to this purposeful social capital creation as ‘intentional organization’.

It is for these six main reasons that social relations constitute useful capital resources for individuals.

### **3.2.3. Robert Putnam:**

Through-out the past decade Robert Putnam has regularly published on the topic of social capital—amongst these publications was the seminal work Bowling Alone: The Collapse and Revival of American Community written in 2000. While both Bourdieu and Coleman can be said to have drawn attention towards social capital theory, it is with Putnam’s publications that social capital entered into the vernacular.

The main difference between Bourdieu and Coleman and the work of Robert Putnam is that while both Bourdieu and Coleman emphasized social capital as social obligations that exist within a network of relationships—both stressing the economic nature, albeit a *social-economic nature*, of social capital—Putnam emphasized social capital as a product of civic engagement and membership in associations that facilitated increased personal and public good—stressing the *social-political nature* of social capital.

The personal and public goods that Putnam claimed result from social capital are remarkably similar to Coleman’s six main ways in which social capital constituted a useful

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<sup>78</sup> Ibid. Pg. 313.

capital resource for individuals to achieve personal and communal ends.<sup>79</sup> However, where the two do differ significantly is on how social capital is created. Coleman did acknowledge that social capital is synonymous with social structure. However, he believed that it is in the limited social structures—the primordial social structure—that social capital is created.

Putnam however, believed that while closure, or bonding social capital as he refers to it, does play a role in social capital creation, bridging social capital is equally important. A small, insulated organization with high barriers to entry, such as a family or a tight-knit community, does play a role in social capital creation, however if such a system is closed none of these benefits can be shared with the rest of society. Only a mixture of bonding social capital combined with bridging social capital, the ability to bridge or link networks or communities, allows for the accumulation of a societal wide social capital. As a result, while Coleman stressed the importance of homogeneous family and community relationships, Putnam emphasized the importance of membership in associational groups with a diverse membership—such as church, work, recreational, and community based organizations—for the creation of social capital.<sup>80</sup>

### **3.3. Social Capital Literature Synthesis:**

Having conducted a literature review of the three main tributaries in social capital theory, it is now necessary to synthesize this information into a working definition of social capital. Three main elements of social capital emerge from within the literature. These elements of social capital can best be conceptualized using the three levels of analysis: first, at the societal level,

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<sup>79</sup> Putnam lists five main benefits of social capital for both the individual and the community: One, “social capital allows citizens to resolve collective problems more easily;” two, “social capital greases the wheels that allow communities to advance smoothly,” (ie. generalized reciprocity); three, social capital aids in “widening our awareness of the many ways in which are fates are linked;” four, social capital increases the flows of information, and five, “social capital also operates through psychological and biological process to improve individual lives”. Robert Putnam. *Bowling Alone*. Pg. 288-289.

<sup>80</sup> *Ibid.* Pg. 362.

issues of trust, generalized reciprocity, and tendency towards spontaneous sociability; second, at the associational level, the nature of social connections (different associational forms and bonding and bridging social connections); and, third, at the individual level, the role of human capital in social capital. This chapter now proceeds to examine these three levels/elements of social capital.

### **3.3.1. Societal Level:**

All three main tributaries of social capital theory agree that an important element of social capital rests at the societal level: Bourdieu mentioned the free rider problem associated with social capital and the need for generalized reciprocity for social capital to be of any use;<sup>81</sup> Coleman believed that social capital constituted a set of obligations and expectations that had to be adhered to across society for the functioning of social capital;<sup>82</sup> and Putnam believed that “trustworthiness lubricates social life.”<sup>83</sup>

In Trust: The Social Virtues of and the Creation of Prosperity Francis Fukuyama stated that a variety of societal characteristics directly impacts economic, social, and political performance. The most central of these societal characteristics is trust. Fukuyama defined trust as:

the expectation that arises within a community of regular, honest, and cooperative behavior, based on commonly shared norms on the part of other members of that community.<sup>84</sup>

Trust within a society facilitates cooperation, sociability, and creation of social capital.

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<sup>81</sup> Bourdieu. Pg. 114.

<sup>82</sup> Coleman. Pg. 306-307.

<sup>83</sup> Putnam. Pg. 21.

<sup>84</sup> Francis Fukuyama. Trust. Pg. 26.



There are two forms of trust that can characterize a society: low trust societies and high trust societies.<sup>85</sup> Low trust societies are similar to Coleman's primordial social structure, often made up of family or a homogeneous ethnic group. These structures do have trust, but that trust is limited to those immediate connections. As a result, while there may be high trust within the closed structure, within the community at large there are only low levels of trust between individuals. High trust societies, in contrast, are characterized by high levels of trust that are dispersed across all of society.

Both low trust and high trust relationships are elements of social capital theory; both forms of society help to form social capital. However, high trust societies are essential in creating an environment that facilitates all forms of exchange—including the exchange of economic goods and of socio-political obligations.

[S]ocieties with a high degree of social trust will have a natural advantage. Networks can save on transaction costs substantially if their members follow an informal set of rules that require little or no overhead to negotiate, adjudicate, and enforce.<sup>86</sup>

Furthermore, norms of generalized reciprocity and of social solidarity are strengthened as all these forms of exchange increase. The trust that emerges in high trust societies can therefore be characterized as “thick trust”—thick trust is not simply an optimistic belief that people are generally good, but also that “there is a reason to expect mutual intrinsic as well as instrumental benefits from cooperation with other people.”<sup>87</sup>

With the emergence of thick trust, individuals become more inclined towards institutionalized associationalism—eg. membership in a voluntary association—outside of

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<sup>85</sup> Ibid. Pg. 30.

<sup>86</sup> Ibid. Pg. 341-342.

<sup>87</sup> Claus Offe and Susanne Fuchs. “A Decline in Social Capital?”. *Democracies in Flux*. Pg. 191.

kinship.<sup>88</sup> Fukuyama referred to an individual's inclination towards institutionalized associationalism as "spontaneous sociability".<sup>89</sup> The capability of an individual or a society to initiate spontaneous sociability is an important element of social capital:

The most useful kind of social capital is often not the ability to work under the authority of traditional community or group, but the capacity to form new associations and to cooperate within the terms of reference they establish.<sup>90</sup>

### **3.3.2. Associational Level:**

The second element of social capital theory that emerges from the literature is centered on the nature or composition of the social structures. Relationships are not homogeneous. When examining a network of relationships from which social capital is accrued, it has to be recognized that different types of social connections exist and that these have different impacts on the social structure.

To examine the nature of social structures it is necessary to create a typology of the different forms of associability. Associability—the engagement in informal networks and formal associations—can be broken down into three main associative forms:<sup>91</sup>

- 1) "Primary associations" are closely related to Coleman's primordial social structure. This associational form is most often composed of ties of family, kinship, ethnicity, or religion and is often non-voluntary in nature—a person is born into these ties. Primary associations are characterized by their exclusivity for strangers and inclusivity for non-strangers; they have a system of mutual obligation—with both benefits and responsibilities—and are diffuse in their goals, having "no purpose other

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<sup>88</sup> Fukuyama. Pg. 56-62.

<sup>89</sup> Ibid. Pg. 27.

<sup>90</sup> Ibid. Pg. 27.

<sup>91</sup> Claus and Susanne. Pg. 193.

than the maintenance of the associative pattern.”<sup>92</sup> Lastly, primary association ties between individuals within the system are considered “strong ties”. These strong ties are characterized by closeness and high frequency of contact.<sup>93</sup>

2) “Secondary associations” are predominantly composed of community associations. They are characterized by low barriers to entry—“the civic nature of associations manifest in their being open to the admission of all qualified members”<sup>94</sup>—they engage in less formalized non-hierarchical modes of interaction, and they pursue activities dictated by the membership. While strong ties of association can exist in secondary associations, the ties are often “weak ties”—weak ties being casual acquaintances and/or ‘friends of a friend’.<sup>95</sup>

3) “Tertiary associations” are often composed of an individual’s ties to firms, interest associations, and political parties.<sup>96</sup> This associational form is characterized by fixed goals and variable membership; “the members’ activity is rather narrowly circumscribed by assigned function and hierarchical control” and membership is based on the needs and desires of the individual and the association.<sup>97</sup>

**Table 1: Different Types of Associations**<sup>98</sup>

	<b>Primary</b>	<b>Secondary</b>	<b>Tertiary</b>
<b>Formalized</b>	Families, relatives	“Face-to-face” associations	Mailing list associations, ‘associations of associations’, firms
<b>Non Formalized</b>	Clans	New social movements, neighborhoods, informal networks	“Nested associations”

<sup>92</sup> Claus and Susanne. Pg. 193.

<sup>93</sup> Mark Granovetter. “The Strength of Weak Ties”. Seen in, *Democracies in Flux*. Pg. 10.

<sup>94</sup> Claus and Susanne. Pg. 196.

<sup>95</sup> Granovetter. Pg. 10.

<sup>96</sup> Claus and Susanne. Pg. 193.

<sup>97</sup> Ibid. Pg. 194.

<sup>98</sup> Ibid. Pg. 197.

All three of these associational forms are important in social structures for different reasons.

The nature of social structures is not limited to associational forms. The types of connections that exist between individuals in a network can also be characterized in different manners. One of the most important distinctions between different types of connections is whether they are “bonding” or “bridging” in nature.

Bonding social capital brings people together who are like one another in important aspects (ethnicity, age, gender, social class, and so on), whereas bridging social capital refers to social networks that bring together people who are unlike one another.<sup>99</sup>

Bonding connections between individuals, like Coleman’s closure, are important to the formation of social capital—they are clusters that act as incubuses for its creation. However, without the ability to bridge networks (whether they are ethnic, professional, or sectoral networks), a community is unable to use all of its resources to maximum effect. Bridging connections in a network are needed to foster collaboration. As a result, both bonding and bridging social connections are necessary elements of social capital at the associational level; it is not a question of either or, rather it is a question of more or less.<sup>100</sup>

### **3.3.3. Individual Level:**

The first two levels or elements of social capital often dominate the literature on social capital. However, the role that individuals play in social capital is fundamental. Bourdieu was one of the few social capital theorists who outlined, albeit briefly, the role of human capital in social capital.

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<sup>99</sup> Putnam and Goss. Pg. 11.

<sup>100</sup> Putnam. Pg. 22-23.

[T]he social capital accruing from a relationship is that much greater to the extent that the person who is the object of it is richly endowed with capital (mainly social, but also cultural and even economic capital), the possessors of an inherited social capital, symbolized by a great name, are able to transform all circumstantial relationships into lasting connections.<sup>101</sup>

Social capital is social in nature; it is based in networks of relationships. However, to only examine networks of relationships is to ignore the fact that social capital can never be entirely independent of individual actors and the human capital that they possess.

There are three main reasons that the individual level is an important element of social capital, almost all of which Bourdieu outlined in The Forms of Capital. The first reason why the individual is an important element of social capital is that it is individual actors that make up the network of relationships; without the individual nodes in a network, no network exists.

Furthermore, every actor within a network has a unique set of relationships—relationships in primary, secondary, and tertiary forms of association. These unique relationship types result in some actors being more connected than others (ie. having a higher density of connections) as well as others playing important bridging roles between individuals and associations that would otherwise have no connection.

The second reason is that structural positions of power within a network of social relationships do matter. Structural positions of power can come in two guises: firstly, as a position within a formal organization that is authorized to use of and access the concentrated social capital of those individuals that make up the organization; and, secondly, as a reputational position in society.

they [opinion leaders, individuals with high name recognition, etc.] are sought after for their social capital, because they are well

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<sup>101</sup> Bourdieu. Pg. 111-112.

known, are worthy of being known ('I know him well'); they do not need to 'make the acquaintance' of all their 'acquaintances'; they are known to more people than they know, and their works of sociability, when it is exerted, is highly productive.<sup>102</sup>

The third reason why the individual level is an important element of social capital is that each node, or individual, within a network of relationships, has a set of attributes beyond their density of connections or positions of structural power; the personality traits, knowledge, and abilities of an individual influence social capital.<sup>103</sup>

#### **3.3.4. Facilitating Collaborative Governance:**

It is not a new concept that high levels of social capital or a strong civil society strengthens democracy. Alexis de Tocqueville, in Democracy in America, wrote that the foundation of America's strong democracy was the willingness of its citizens to join and form associations. However, like many contemporary academics, de Tocqueville was not simply equating democracy with government. Rather, "democracy could work even if the state did not. For de Tocqueville, democracy is a social condition and not just a form of government".<sup>104</sup> While a collaborative governance model does require a functioning state apparatus, the concept remains the same: social capital has a major role in facilitating the functioning of governance—in the market, in civil society, in government, and especially in all three working in tandem.

Secondary associations are tremendously important for the creation of social capital, and hence in facilitating collaborative governance. While primary association types, family or kinship ties, and tertiary association types, political parties or firms, do create social capital, the social capital they create is characterized by its exclusive nature—the benefits are limited to the

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<sup>102</sup> Bourdieu. Pg. 112.

<sup>103</sup> Ibid. Pg. 111-112.

<sup>104</sup> Aron quoted in, Keith Whittington. "Revisiting Tocueville's America". Seen in, Edwards and Foley. Pg. 22.

select few with a narrow focus. Secondary associations, however, are open and often have a wide ranging, socially-oriented focus.

The voluntary organizations and social networks that fall under the secondary association rubric house the large majority of a society's social capital. These organizations and networks contribute to a collaborative governance system in two ways: "they have 'external' effects on the larger polity, and they have 'internal' effects on the participants themselves."<sup>105</sup> The external effects of social capital on a society are numerous. Coleman wrote that the intentional organization of members in a community often creates a public good that is available to all members of the community, regardless of their level of participation.<sup>106</sup> The types of public goods created by these intentional organizations range from the intangible (an increased level of trust in that community) to the tangible (social services carried out by the intentional organization).

A collaborative model of governance is predicated upon, amongst other things, the ability of members within a community to work cooperatively. The intangible external effects of social capital create an environment where citizens are better able to work together cooperatively: the high density of connectivity in societies with abundant social capital is critical in enabling key actors to identify the individuals or organizations in government, civil society, and the market needed to address any problems or opportunities that may arise in that community. High flows of information allow individuals in any of the major sectors to access any relevant data other actors may have. Also, high levels of social connectivity creates a "widening... awareness of the many

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<sup>105</sup> Putnam. Bowling Alone. Pg. 338.

<sup>106</sup> Coleman. Foundations of Social Theory. Pg. 313.

ways in which our fates are linked”.<sup>107</sup> This fosters a sense of community and a responsibility of individuals to act socially, not just atomistically.

One of the tangible ways that social capital facilitates collaborative governance is through spontaneous sociability—the readiness of individuals to join or create organizations.<sup>108</sup> A collaborative model of governance is not government centric. Rather, it acknowledges that both the market and civil society have a roll in a society’s governance. Spontaneous sociability is required for the creation and development of business and civil society organizations, organizations that can enter into public-private partnerships or individually fill any social service gaps that exist in society.

There are two main internal effects that social capital has on individuals that facilitate the functioning of a collaborative model of governance. The first is that “voluntary associations are places where social and civic skills are learned—‘schools for democracy’.”<sup>109</sup> Skills such as giving speeches, running meetings, organizing events, or managing people, are not only all highly transferable but they also create a very effective and socially active citizenry.

Second, involvement in civil society organizations helps to internalize through action that an individual is not simply a “consumer” of goods and services provided by the government. A consumer is an individual who ceded their responsibility and power to act to the government.<sup>110</sup> Rather, individuals are citizens in the truest sense—socially active individuals within a community of individuals. This type of citizen involvement is necessary in a collaborative model of governance predicated upon heterarchical, not hierarchical, governance.

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<sup>107</sup> Putnam. Bowling Alone. Pg. 288.

<sup>108</sup> Fukuyama. Pg. 27.

<sup>109</sup> Ibid. Pg. 339.

<sup>110</sup> Block. Pg. 63.



### 3.4. Conclusion:

The study of social capital continues to be of importance for economists, sociologists, and political scientists. Indeed, it is its importance to a plurality of disciplines that leads to confusion over its definition. This thesis has presented a synthesis of this literature—conceptualizing social capital at the societal level, the associational level, and the individual level. Using these three levels of analysis it is possible to examine the impacts of social capital in society, and in this specific instance, the impact of social capital on the functioning of a collaborative model of governance.

In a collaborative model of governance the three primary sectors—civil society, the market, and government—cooperatively draw upon relevant assets, whether they be knowledge, credibility, or funding, to carry out the services required. Without high levels of social capital in a society—trust, generalized reciprocity, spontaneous sociability, dense social networks of high quality—a collaborative model of governance would fail.

It should be noted however, that while social capital is therefore essential in facilitating the functioning of a collaborative model of governance, the relationship is by no means simple; “just as the state is the product of society, the reverse is also true”.<sup>111</sup> The political system and social capital are a part of a virtuous cycle. Both are able to build off of the success and continued functioning of the other. However, in a society where the social capital necessary to light the proverbial virtuous cycle fire does not exist, what is it that can provide the spark necessary?

The question is not *what* provides the impetus, but the rather *who*.

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<sup>111</sup> Jean-Pierre Worms. “France: Old and New Civic Ties in France”. Democracies in Flux. Pg. 141.

## Chapter 4—Creative Social Entrepreneurs:

### 4.1. Introduction:

The central focus of this thesis on “Creative Social Entrepreneurs, Social Capital, and Collaborative Governance: A Saskatoon based analysis” is that *creative social entrepreneurs* (individuals with certain personality traits, knowledge, and abilities) help facilitate collaborative governance by being the primary creators of social capital.

Over the past two decades the term social entrepreneurs has increasingly become a part of our lexicon. Research on social innovation and social entrepreneurs has experienced a dramatic increase, both in academic works by leading researcher Charles Leadbeater, as well as popular works by journalist David Bornstein. This increased prominence, in a wide variety of literature sources (both academic and non-academic), of social entrepreneurs over the past 15 years is further demonstrated through a simple set of numbers. A Lexis-Nexis search for the term social entrepreneurs produced six articles in the year 1991, 573 for 2001, and 1682 for 2006.<sup>112</sup> It is not clear however, who these social entrepreneurs are? What characteristics do they have? Why are they important to social capital creation? This chapter addresses these questions.

This chapter is divided into five sections. Section II examines the literature on individuals in society. Section III outlines the characteristics of the social entrepreneur. Section IV analyzes why these characteristics facilitate social capital creation. Section V provides some concluding remarks.

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<sup>112</sup> Bornstein. Pg.1 and 307.

## 4.2. Individuals in Society:

An examination of the literature analyzing individuals and their role in governance reveals a variety of insights about how society functions. The most important insight that can be synthesized from the literature is that individuals matter in the governance process. However, *the who*, of who is important, and *the why*, of why certain individuals matter to society, has shifted over time. It is the most recent shift from a traditional hierarchical power paradigm dominated by the few to a non-traditional heterarchical power paradigm based on the actions of the many, that this chapter examines in detail.

### 4.2.1. Traditional Power Elite Paradigm:

The traditional academic views on the role of individuals in society are best encapsulated by C. Wright Mills' The Power Elites. In this famous mid 20<sup>th</sup> century study of US society, Mills wrote that there existed a “triangle of power” between the business world, government, and the army that held enormous sway.<sup>113</sup> At the heart of this triangle are the power elites— individuals with money, power, and prestige.<sup>114</sup>

While Mills believed that money, power, and prestige were tools of the powerful, he did not believe that they were the source of an individual's power:

For power is not of a man. Wealth does not center in the person of the wealthy. Celebrity is not inherent in any personality. To be celebrated, to be wealthy, to have power, requires access to major institutions.<sup>115</sup>

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<sup>113</sup> C. Wright Mills. The Power Elites. Pg. 8.

<sup>114</sup> “But not all men are in this sense ordinary. As the means of information and of power are centralized, some men come to occupy positions in... society from which they can look down upon, so to speak and by which their decisions mightily affect, the everyday worlds of ordinary men and women.” Ibid. Pg. 3.

<sup>115</sup> Ibid. Pg. 10-11.

The source of the elites' power rests in their positions within the major institutions. It is from these positions of relational power that individuals gain the tools to wield authority.

Another tool that arose from the power elites' positions of structural power were the connections that they made with other elites— “no matter what else they may be, the people of higher circles are involved in a set of overlapping ‘crowds’ and intricately connected ‘cliques’”.<sup>116</sup> These connections formed a dense network of individuals that had comparable social similarities and psychological affinities.<sup>117</sup> These similarities amongst power elites could help fabricate a temporary unity of policy, built predominantly on self-interest, to effect change in government policy, economic decisions, or even personal gain. However, the nature of these crowds or cliques should not be overstated; although power elites did have connections with others in positions of structural power, these connections were not premised on friendship.<sup>118</sup> Rather, these connections were casual acquaintances or work associates; that is their informal connections fall within the secondary associational form discussed in Chapter 2 on Governance.

The last characteristic of individuals and their role in society, in the traditional academic paradigm, was that power elites occupied the top tier within a hierarchical society. Furthermore, only those people that occupied that top tier had the tools and the structural power to effect any real change:

To pretend that we do [all possess equal powers to make history] is sociological nonsense and political irresponsibility. It is nonsense because any group or individual is limited, first of all, by the technical and institutional means of power at its command; we do not all have equal access to the means of power that now exist, nor equal influence over their use. To pretend that ‘we’ are all history-makers is politically irresponsible because it obfuscates any

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<sup>116</sup> Ibid. Pg. 11.

<sup>117</sup> Mills. Pg. 287.

<sup>118</sup> Ibid. Pg. 287.

attempt to locate responsibility for the consequential decisions of men who do have access to the means of power.<sup>119</sup>

Individuals in the traditional academic paradigm do play a role in shaping society—individuals did matter. However, more specifically, only certain individuals mattered.

#### 4.2.2. Contemporary Literature:

Mills had an undeniable impact on the literature on individuals in society. However, his work was shaped by the realities of his time. Mills believed that “the shape and meaning of the power elite today [the 1950s] can be understood only when [the]... structural trends [of society] are seen at their point of coincidence.”<sup>120</sup> The realities of Mills’ epoch saw the ascendancy of an intertwined power elite from the three predominant social structures (the army, corporations, and the federal government). Today’s reality is characterized by a different set of structural trends, which require a re-evaluation of the role of individuals in society.

At the risk of repeating a cliché, globalization has changed the world in which we live. The word globalization is often bandied about; it was mentioned over 800 times by articles in the New York Times and the Washington Post in the year 2000 alone.<sup>121</sup> However, when examining the structural trends that might influence our study on *the who* and *the why* individuals shape society, there are three consequences of globalization that are relevant. For the purpose of this thesis, the structural trends of today’s society will be limited to these facets of globalization.

The first consequence of globalization that affects today’s structural trends is an increase in the complexity of the world in which we live. William Coleman defined globalization as:

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<sup>119</sup> Ibid. Pg. 22.

<sup>120</sup> Mills. Pg. 276.

<sup>121</sup> Doug Henwood. “Beyond Globophobia”. The Nation. Pg. 17.

The growth of supraterritorial relations among people that creates a complex series of connections that tie together what people do, what they experience, and how they live across the globe.<sup>122</sup>

These complex connections have made it impossible to understand the world solely through the actions of aggregated structures. Rather, academics must refocus “attention on the people that constitute the structures.”<sup>123</sup> While a paradigm where power resides in institutional positions within a hierarchy remains important, the complexities engendered by globalization require that individuals—their personality traits, knowledge, and abilities—are also seen as sources of power.

Second, the knowledge and abilities that individuals have are affected by a “skills revolution”.<sup>124</sup> James Rosenau, a well known contributor to the academic dialogue on globalization, argues that “both anecdotal and systematic evidence trace an upward slope in the competencies of people around the world.”<sup>125</sup> This skills revolution is caused by an increase in levels of education;

there is no one-to-one correlation between education and analytic, emotional, and imaginative skills, but there are good reasons to believe that the correlation is considerable—that one’s skill level is likely to be higher the more education one has.<sup>126</sup>

Familiarity with information technologies;

the probabilities are high that more people than not are enlarged by their ability to acquire, circulate, and assess ideas through such communications media.<sup>127</sup>

And, also a mobility upheaval;

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<sup>122</sup> William Coleman. “The Politics of Globalization”. Studying Politics: An Introduction to Political Science. Pg. 389.

<sup>123</sup> “They [individuals] have not abandoned or replaced their interest in structures—rather it has been augmented by a growing realization that the structures cannot be comprehended without an understanding of the ways in which they are founded on the roles, attitudes, habits, support, defections, and activities of the individuals that sustain them. It thus seems reasonable to conclude that the world has entered into a new epoch... the age of the networked individual.” Rosenau. Pg. 7-8.

<sup>124</sup> Rosenau. Pg. 20.

<sup>125</sup> Ibid. Pg. 20.

<sup>126</sup> Ibid. Pg. 20.

<sup>127</sup> Ibid. Pg. 21.

a host of skills is required to adjust to new circumstances.... In addition... the mobility of those who directly move about the world multiplies encounters with other cultures.<sup>128</sup>

This revolution represents a shift away from the traditional paradigm where only power elites have access to the tools of power to the contemporary paradigm where all individuals can use learned and innate human capital to exercise power.

The third consequence of globalization is the simultaneous rise of importance of the local and the global. Rosenau referred to this simultaneous rise of importance between two seemingly opposite ends of a spectrum as “frangmentation”:

[There are] two overriding, continuously interactive forces at work on a global scale: one involves all the tendencies toward localization, decentralization, and *fragmentation*, whereas the other is manifest in all the dynamics in the opposite direction that foster globalization, centralization, and *integration*. (Italics added for emphasis)<sup>129</sup>

The importance of frangmentation to the role of individuals in society, keeping in mind that this thesis utilizes a city-region as its base of analysis, is that in the past traditional power elites would largely ignore the locality in which they were situated in lieu of the national stage.<sup>130</sup>

Today, however, while individuals (as opposed to the power elites) that shape our society can act nationally and globally, they also act, with great impact, locally.

Having examined the shape of the current reality that globalization has brought about, we can now turn to the point of coincidence of these structural shifts and plainly lay out *the who* (i.e. the individuals that help govern society).

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<sup>128</sup> Ibid. Pg. 22.

<sup>129</sup> Ibid. Pg. 6.

<sup>130</sup> “Today, to remain merely local is to fail; it is to be overshadowed by the wealth, the power, and the status of nationally important men. To succeed is to leave local society behind...” Mills. Pg. 39.

### 4.3. Social Entrepreneurs:

Entrepreneurs are the individuals that help govern today's society. Richard Cantillon in the 17<sup>th</sup> century is rumoured to have made the first usage of the word, describing entrepreneurs as “those who carried the risk in the economy... the one who took the risk between the supplier and the customer.”<sup>131</sup> An etymological examination of the word entrepreneur further supports its heritage; the French word *entre* means ‘between’, and *prendre* ‘to take’—combined those who they signify ‘to take between’.

More specifically however, it is ‘social’ entrepreneurs, individuals involved in social innovation in business, government, and civil society (the core structures within the collaborative governance paradigm) who have a key role in the governance of society. While there are competing definitions of what the term ‘social entrepreneurs’ means, Charles Leadbeater in The Rise of the Social Entrepreneur, provided one of the most thorough works on the subject. Leadbeater believed that social entrepreneurs are entrepreneurs whose output is social (health, welfare, culture, and wellbeing).<sup>132</sup> These are individuals that can arise from the public sector, the private sector, or the voluntary sector. Often these social entrepreneurs are “community entrepreneurs, attempting to regenerate the locality, estate or neighbourhood in which they are based.”<sup>133</sup>

More broadly however, the concept of social entrepreneurship can be broken down into seven constituent parts:

- 1) Social entrepreneurs are ‘entrepreneurial’: “they take under-utilized, discarded resources and spot ways of using them to satisfy unmet needs.”<sup>134</sup>

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<sup>131</sup> Bill Bolton and John Thompson. Entrepreneurs: Talent, Temperament, Technique. Pg. 15.

<sup>132</sup> Charles Leadbeater. The Rise of the Social Entrepreneur. Pg. 16-17.

<sup>133</sup> Ibid. Pg. 17.

<sup>134</sup> Ibid. Pg. 53.



- 2) Social entrepreneurs are ‘innovative’: “they create new services and products, new ways of dealing with problems, often by bringing together approaches that have traditionally been kept separate.”<sup>135</sup>
- 3) Social entrepreneurs are ‘transformatory’: they transform organizations from being unsuccessful and moribund to being dynamic and successful.<sup>136</sup>
- 4) Social entrepreneurs are ‘charismatic’: they are the leaders that rally people around a central mission by being able to reach a wide variety of people from all sectors through the force of their personality and excellent communication skills.<sup>137</sup>
- 5) Social entrepreneurs are ‘people-oriented’: they build primary and secondary networks of support. The primary network of support constitutes staff, helpers, and users; social entrepreneurs recognize that the knowledge and ideas that these people have are their most important resources.<sup>138</sup> The secondary network of support is made up of those individuals that provide the social entrepreneur with the resources they lack, especially physical and financial capital.<sup>139</sup> It is also important to note that social entrepreneurs are not ideological discriminators. They have an “ideological flexibility” that allows them to reject the left-right dichotomy; believing that both statist government and libertarian individualism have failed to provide society with all of the necessary social services, they venture to solve problem their own way with networks of whomever can help them achieve their goals.<sup>140</sup>

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<sup>135</sup> Ibid. Pg. 53.

<sup>136</sup> Ibid. Pg. 53.

<sup>137</sup> Ibid. Pg. 54.

<sup>138</sup> Ibid. Pg. 55.

<sup>139</sup> Leadbeater. Pg. 17.

<sup>140</sup> Ibid. Pg. 56.

6) Social entrepreneurs are ‘visionary opportunists’: they “... communicate their aims in moral terms,” but are also pragmatic and opportunistic.<sup>141</sup>

7) Social entrepreneurs are ‘informal’: they prefer informal procedures and processes and organizations with flat management that foster a community focused on creativity rather than a hierarchical organization with constraining committees and bureaucracy.<sup>142</sup>

While Leadbeater thoroughly set forth the seven characteristics of social entrepreneurs, there is an important characteristic that arises from all of the literature that also needs to be stressed. Social entrepreneurs are creative by nature; they are the innovators and creators that advance systematic change.<sup>143</sup> This thesis postulates that social entrepreneurs are so creative that they belong to what Richard Florida, in The Rise of the Creative Class, terms the “creative class”.<sup>144</sup>

Florida postulated that our economy has undergone a fundamental shift— from the industrial to the creative economy. He believed that this shift has led to the creation of a creative class. It is the creative class that drives Promethean-like economic development whose gales of destructive new ideas create permanent change. However, Florida’s creative class theory is focused primarily on the impact that these individuals have on the economic sphere, largely ignoring the role that they play in society more broadly. The impact that the creative class has on the governance of society is as profound as the impact they have on the economy.

Individuals within the creative class share four characteristics:

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<sup>141</sup> Ibid. Pg. 55.

<sup>142</sup> Ibid. Pg. 56-61.

<sup>143</sup> Bornstein. Pg. 1-2.

“... social entrepreneurs—*creative*, tenacious individuals with unshakable motivation—are needed to propel the *innovation* that is necessary for society to tackle its most serious ills.” (Emphasis added) Ibid. Pg. 271.

<sup>144</sup> Richard Florida. The Rise of the Creative Class.

- 1) Individuals within the creative class are *creative*. While these individuals are often professional creatives, in that they are highly educated and have a creative occupation, they can also be informal creatives, in that they are bohemians. Being highly educated and/or highly creative allows social entrepreneurs both to bring a vast amount of knowledge to bear upon a particular issue and to think of solutions and alternatives that might not otherwise be evident.
- 2) The creative class prefers *horizontal hypermobility*. These individuals are highly mobile not only within their own sector, but also across sectors.<sup>145</sup> This mobility leads them to make many connections between individuals in many different sectors—connections through which information could flow or plans for a collaborative venture could be advanced.
- 3) Individuals within the creative class have a preference for *participatory oriented activities*.<sup>146</sup> Instead of relaxing with passive activities, for example watching people play soccer, members of the creative class would rather be out on the field or perhaps managing the soccer club/organization.
- 4) The members of the creative class have a desire for *quasi-anonymity*. They prefer weak ties (casual acquaintances from the secondary associational type) to strong ties (primary or tertiary associational type).<sup>147</sup>

It is important to note that not all members of the creative class are social entrepreneurs—the creative class is not monolithic. While individuals within the creative class often share these four characteristics in different measure, how they manifest themselves in

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<sup>145</sup> Florida. Pg. 104.

<sup>146</sup> “Many members of the Creative Class also want to have a hand in actively shaping the quality of place of their environments.” Ibid. Pg. 232.

<sup>147</sup> Ibid. Pg. 269.

individual actions is dependent upon choice. However, the social entrepreneurs that are most successful at accumulating the resources necessary to further their social ends are predominantly members of the creative class; social entrepreneurs that possess the four characteristics of the creative class position them as the primary creators of social capital within a community.

The characteristics of creative individuals—creativity, horizontal hypermobility, a propensity towards participatory activities, and a preference for quasi-anonymity (weak ties)—would seem to make them ideal creators of social capital and, hence, facilitators of collaborative governance. However, both Florida and Robert Cushing believe that creativity and social capital are axiomatic: “while it [social capital] can reinforce belonging and community, it can just as easily shut out newcomers, raise barriers to entry and retard innovation.”<sup>148</sup> While Florida and Cushing are *not wrong* in their assessment that communities with high social capital can retard growth and innovation, *neither are they right*.

Florida and Cushing chose to define communities with high social capital as having “dense [traditional] ties”, “having a strong preference for ‘social isolation’ and ‘security and stability’”, and having a “close the gates” mentality.<sup>149</sup> While these all are attributes of a social capital community, a social capital community is not limited to these attributes. What Florida and Cushing describe as social capital is similar to Coleman’s primordial social structure. However, what Florida and Cushing fail to acknowledge, in my opinion, is that a vast majority of the literature on social capital stresses the importance of weak ties that can, amongst other things, bridge traditional communities.<sup>150</sup>

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<sup>148</sup> Robert Cushing. “Creative Capital, Diversity and Urban Growth”. Seen in, Florida. Pg. 273-276 Florida. Pg. 271.

<sup>149</sup> Florida. Pg. 275.

<sup>150</sup> e.g. Robert Putnam and Mark Granovetter.

Florida would acknowledge the role that weak ties play in the creative economy, notably in how social foundations facilitate the innovation processes. However, he simply does not carry these insights into his views on social capital community’s.

The problem that Florida and Cushing have with social capital communities is therefore definitional in nature. This is further evidenced by the fact that Florida unequivocally states that:

Weak ties allow us to mobilize more resources and more possibilities for ourselves and others, and expose us to novel ideas that are the source of creativity.<sup>151</sup>

Indeed, Florida goes on to say that there is a need for the creative class to organize, to become aware, in order to “design new forms of civic involvement appropriate to our times”; it is “strong communities, not any institutions within them, [that] are the key to social cohesion [and prosperity]”.<sup>152</sup>

Another important characteristic of social entrepreneurs, and of the creative class, is that while not everyone is born with the characteristics of an entrepreneur or a creative, these characteristics can be fostered. Motivation, education, and life experiences can help an individual develop these abilities.<sup>153</sup> Any individual can positively impact the governance of their society.

#### **4.4. Social Entrepreneurs and Social Capital Creation:**

Social entrepreneurs, especially those that are members of the creative class, are the primary creators of social capital at the city-region level. This social capital, then, facilitates collaborative governance.

Social entrepreneurs create assets for communities that would not otherwise exist. The most obvious examples of these assets are new buildings, new services or a revived reputation for an area. But in many ways, the most influential form of capital a social entrepreneur creates is social capital.<sup>154</sup>

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<sup>151</sup> Florida Pg. 277.

<sup>152</sup> Ibid. Pg. 316-317 and Pg. 324.

<sup>153</sup> Ibid. Pg. 78.

<sup>154</sup> Leadbeater. Pg. 30.

There are five main ways that social entrepreneurs create social capital: two at the societal level; two at the associational level, and one at the individual level.

First, they set an example for those around them on how to take an active role in their own governance. To be a citizen is to be an active member in society, not simply to consume the services provided to you by a government. Citizens acknowledge their responsibility as individuals to be active social agents. Social entrepreneurs are not only the joiners of associations, but they are also the creators of associations—they epitomize the spirit of spontaneous sociability.

The second way that social entrepreneurs create social capital at the societal level is by creating or altering societal wide norms to bring about systematic change:

An important social change frequently begins with a single entrepreneurial author: one obsessive individual who sees a problem and envisions a new solution, who takes the initiative to act on that vision, who gathers resources and builds organizations to protect and market that vision, who provides the energy and sustained focus to overcome the inevitable resistance, and who—decade after decade— keeps improving, strengthening, and broadening that vision until what was once a marginal idea has become a new norm.<sup>155</sup>

Rather than being satisfied with the societal status quo, social entrepreneurs bring desired changes by actively pursuing change. In creating changes in societal norms—such as health care or education becoming a right, achieving universal suffrage, or acceptance of safe needle exchanges—they create social capital by creating a more fair, equal, open, and trustworthy society.

Third, at the associational level, social entrepreneurs are often the creators of many of the secondary associations organizations in a society.

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<sup>155</sup> Bernstein. Pg. 3.

[The] separation of [government] agencies and [individuals from different] professions means the state misses opportunities to find creative solutions. Social entrepreneurs thrive on these missed opportunities. They stand outside the rigid demarcation lines of the state and the professions. This allows them to spot innovative ways of combining resources and people that are traditionally kept in their separate pigeon holes.<sup>156</sup>

As was revealed in the third chapter on social capital, it is these organizations at the secondary associational level that house a large portion of a society's social capital.

Fourth, social entrepreneurs create networks of individuals that are dense, have low barriers to entry, and whose network ties are often characterized by their weak nature. These informal networks create social capital in three ways: one, by being the tool through which information is shared; two, by providing access to resources (physical, economic, and social capital) that can be raised to create new organizations and that will in turn create new public goods; and, three, to promote the opportunity for collaborative solutions to social problems by bringing together the voluntary sector with the public and private sectors.<sup>157</sup>

Fifth, social entrepreneurs, by being the creators of secondary associational organizations, as well as setting an example to others by being joiners of organizations already in existence, influence other individuals to take part in these organizations. As a result, social entrepreneurs are the impetus that encourages individuals to learn a variety of socially-oriented skills that help them become more knowledgeable citizens.

#### **4.5. Conclusion:**

Our world has undergone a transformation that has affected the role that individuals play in social capital creation and in the governance of society. As the Millsian power elite paradigm

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<sup>156</sup> Leadbeater. Pg. 63.

<sup>157</sup> Ibid. Pg. 77.

demonstrated, the power of individuals to shape society was limited traditionally to a select few. Only those occupying positions of structural power in a hierarchal society had the tools (money, power, and prestige) needed to affect change in society. However, globalization has created a set of structural changes that has yielded a democratized neo-individualist paradigm. As a result of the structural shifts, individuals rather than power elites or structures have become the central mode of analysis, a skills revolution has created a knowledgeable and creative populace, and the local has become increasingly relevant.

A further consequence of these structural shifts is the rise of the creative, networked, social entrepreneur— the predominant creators of social capital at the city-region level, and hence, the facilitators of a collaborative model of governance. This thesis now turns towards the particular study of these individuals in the Saskatoon city-region.



## Chapter 5— Research Methodology:

### 5.1. Introduction:

The literature that has been reviewed in this thesis on governance, social capital, and creative social entrepreneurs indicates that there is a strong theoretical argument that creative social entrepreneurs facilitate collaborative governance by providing the social impetus that creates much of the social capital in a community.

More concretely, what emerges from the literature is a central hypothesis that needs to be tested: *Creative social entrepreneurs (individuals with high entrepreneurial and creativity levels, professional and informal) are the primary creators of social capital (societal, associational, and individual) at the city-region level.* To test this central hypothesis, it has been broken down into three narrower hypothesizes:

- H1: Creative social entrepreneurs have large, far flung networks of relationships that span the entire network;
- H2: Creative social entrepreneurs are the bridgers (connecting people and groups) in the network; and
- H3: Being in a structural position of power in a heterarchical network is synonymous with being a creative social entrepreneur.

This chapter has six sections. Section II reviews a variety of methodological approaches to the study of individuals and power structures in society. Section III discusses the specifics of the Saskatoon city-region based analysis; section IV outlines the survey instrument used to gather information. Section V examines social networks analysis (SNA) theory and its relevance to this study. Section VI provides some concluding remarks.

## 5.2. Methodological Review:

To facilitate this research it is first necessary to examine the methodology surrounding the identification and study of leaders in society (what this thesis refers to as creative social entrepreneurs). John Scott, in Studying Power, breaks down the methodological approaches previously used to study leading members of business, government, and civil society into three broad categories: reputational, decision-making, and structural methodologies.<sup>158</sup>

### 5.2.1. Reputational:

Floyd Hunter's Community Power Structures, represents the classic reputational analysis of power structures in city-regions. Hunter compiled a list of prominent people from four groups assumed to have power connections from previously existing databases. The four groups assumed to have power connections were businesses, government officials, civic associations, and society activities. While these databases did concentrate on the leadership in decentralized institutions, Hunter believed that informal leaders would be identified later in the process—the names from the database were used as a starting point for Hunter's work.

Several judges were then recruited to identify those individuals from the list of prominent people they believed to be the most influential (if a name that they believed deserved to be there was not on the list, it was then added). These judges were “persons who had lived in the community for some years and who had a knowledge of community affairs.”<sup>159</sup> It was those individuals who were nominated most often that were asked to take part in the detailed study of power at the city-region. It should also be added that the individuals on the list of nominees were

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<sup>158</sup> Scott. Pg. 83.

<sup>159</sup> Floyd Hunter. Community Power Structure. Pg. 264.

asked to perform a process of self-selection, thus adding another layer to the reputational analysis.

While this study of individual leaders in business, government, and civil society at the city-region level did garner a lot of important data, the study is limited by the reputational analysis methodology. Scott demonstrated that “while it (Hunter’s study) purports to investigate the actual holders of power, the reputational approach, at best, provides evidence on *images of power*.”<sup>160</sup> First, the judges were asked to identify the *men* they believed to be most influential. Second, not a single African American name was on the list compiled from the various databases that were given to the judges (this from a study conducted in Atlanta, a city with a vibrant and substantial African-American community). As these two points demonstrate, a reputational analysis will only give an image of who has power; an image that will be tainted by the social and cultural norms that influence those whose opinions are being studied.

### 5.2.2. Decision-making:

Critical of the approach implemented by Hunter, Robert Dahl suggested, in Who Governs?, that another methodology for identifying influential individuals in a city-region was needed.<sup>161</sup> Paradoxically, however, the approach that Dahl used to develop his list of influential individuals was remarkably similar to that used by Hunter. The key difference in the methodological approaches was that Dahl used his list only to identify individuals that were *potential* holders of power.

Dahl hypothesised that there was an important distinction between influential individuals that had the potential to affect decisions versus those influential individuals that actually did

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<sup>160</sup> Scott. Pg. 86.

<sup>161</sup> Hunter, Dahl argued, presupposed that an elite existed, and that an approach that concentrated on individuals in top positions in institutions inevitably would conclude that an elite did exist—the whole process was circular.

influence the decision-making process.<sup>162</sup> This approach is representative of the second major methodological paradigm for identifying influential individuals in the city-region— the decision-making approach.

Given the right set of circumstances the decision-making approach suggests that any individual or group could have potential influence on the policy process.<sup>163</sup> Dahl acknowledged that different individuals have more or less potential power relative to others: “the rich will be more influential than the poor, the socially prominent more influential than the socially obscure, and so forth.”<sup>164</sup> However, the decision-making approach also stresses that there are sources of variation in resource use to further individual ends (e.g. the life cycle, issue based activity, confidence in ability to personally impact the process, etc.). As a result, any individual, given the correct variation in resource use could lever their potential power into actual power.

Critics of Dahl, such as Bachrach and Boratz, suggest that his decision-making approach fails to examine “non-decision-making” processes that occur behind closed doors that serve to limit the agenda.<sup>165</sup> In other words, the decision-making methodology for identifying actual influential actors is shallow insofar as it cannot examine the deeper, more pervasive power of hidden, non-institutionally related individuals in the problem framing realm. Thus, while all individuals may exercise their potential power, the impact that they have on the system is limited as some policy decisions are simply never deemed open to debate. In essence, Dahl examines relational power not structural power.

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<sup>162</sup> Robert Dahl. *Who Governs?*. Pg. 271-275.

<sup>163</sup> Dahl. Pg. 272. 271 87

<sup>164</sup> Ibid. Pg. 271.

<sup>165</sup> Ibid. Pg. 87.

### 5.2.3. Structural Power:

The third methodological approach for identifying influential individuals—structural power—is the strongest of the three approaches examined. Its strengths lie in that it provides the basis for incorporating the insights and critiques from the other two approaches. A structural power methodology would be able to study decision-making insofar as it was able to understand the structures that the decision-making apparatus operated within (i.e. incorporating non-decision-making into the study). Furthermore, it enables an observer to learn about perceptions of power and thus incorporate the reputational analysis methodology as was desired. The seeming starting point of any analysis of individuals of influence must therefore begin with a study of structural power.

The structural approach puts forward that, while the identity of particular individuals is important, it is the attributes of the positions that they occupy that are more fundamental to power relations. The paradigmatic structural power study was conducted by Mills in the 1950s and was reported in his work The Power Elites. This study revealed that amongst the power structures in society there were a class of informal institutionalized power elites. These power elites were defined as: “men whose positions enable them to transcend the ordinary environments of ordinary men and women; they are in positions to allow them to make decisions that have major consequences.”<sup>166</sup>

However, while a structural methodological approach to identifying influential individuals is strong, the way that Mills applied this approach limited his results. Mills concentrated solely on formal positions of power, such as senior governmental officials, leading socialites, and the heads of large corporations. However, his study ignored the role of informal positions of power. For example, perhaps the ‘significant other’ of a governmental official was

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<sup>166</sup> Mills. Pg. 3-4.

particularly good at linking individuals and he or she initiated a sequence of events resulting in concrete action simply by introducing individuals from different groups—Mills’ study would not be able to incorporate this dynamic into its results.

While Mills approach to structural power was limited, it could still be used to examine leaders in business, government, and civil society— individuals that this thesis refers to as creative social entrepreneurs. In Chapter 4, “Creative Social Entrepreneurs”, three societal structural shifts were identified: individuals rather than structures have become the central mode of analysis; a skills revolution has created a knowledgeable and creative populace, and, the local has become increasingly relevant. With these shifts in mind, a structural analysis is no longer an analysis of individuals in formal hierarchical positions of power— it incorporates individuals in a variety of positions and sectors, formal and informal, in a heterarchical social network. It is this adapted version of Mills’ structural power methodology that will be used in this thesis.

### **5.3. Saskatoon City-region Based analysis:**

While global trends do influence society and the structures that exist at a city-region level, there remain particular characteristics of each city-region that are unique to it. Fuelled by the strength of commodity markets over the past few years, Saskatchewan has been undergoing a boom. Even during the recent global economic recession Saskatchewan has continued to shine.<sup>167</sup>

Saskatoon, in particular, has been the beneficiary of this boom— in recent years over \$1 billion of new investments have been directed at the University of Saskatchewan and related research facilities.<sup>168</sup> The result has been increased population growth (due to greater interprovincial in-migration) and employment growth (+4.9% in 2007, all of it in full time

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<sup>167</sup> Government of Saskatchewan. “Saskatchewan Job Numbers Continue to Shine Amidst Economic Gloom”. February 06, 2009. <<<http://www.gov.sk.ca/news?newsId=1ea114a8-264b-4c38-af12-1dd775ab4d5e>>>

<sup>168</sup> Phillips and Webb. Pg. 3.

employment).<sup>169</sup> Most of the available data for Saskatoon was collected during the 2001 and 2006 censuses; even the more contemporary data comes from annual statistical measures that lag the economy by up to a year.

**Table 2: Socio Economic Indicators, Saskatoon v. Canada**

Key Indicators	Period	Saskatoon	Canada
Population Change*	2002-2007	3.7%	4.1%
% BA or Higher	2001	17.5%	15.4%
PhDs per 1000	2001	10.9	5.4
Employment Rate*	2007	70.9	63.5
Unemployment Rate*	2007	4%	6%
% Creative Occupations <sup>170</sup>	2001	33.4%	29.2%
Bohemians per 1000 in Labour Force <sup>171</sup>	2001	11.6	13.1

Sources: Greg Spencer and Tara Vinodrai, Saskatoon City-Region Profile: Summary and Highlights, 4/19/2006; \* Statistics Canada

Nevertheless, in Table 2, two important features should be highlighted. First, Saskatoon is creative—relative to the rest of Canada, Saskatoon has an above average education level (measured in individuals with BAs or higher and those with PhDs). Also, Saskatoon has an above average percentage of creative occupations then the rest of Canada (33.4% in Saskatoon vs. 29.2% in the rest of Canada). Second, Saskatoon does have a below average number of bohemians in the labour force. However, despite these numbers, Saskatoon has a vibrant social and cultural community. Saskatoon was picked as Canada’s “cultural capital” for 2006 in the category of cities over 125,000 and is judged by many to have a vibrant cultural community

<sup>169</sup> Greg Spencer and Tara Vinodrai. “Saskatoon City-Region Profile”. Seen in, Phillips and Webb. Pg. 3.

<sup>170</sup> Creative occupations include: scientists, engineers, university professors, poets, novelists, artists, entertainers, actors, designers, architects, thought-leaders (opinion-makers), etc.. Creative occupations are those that are fully engaged in the creative process (either creating new forms or designs or involved in the wide range of knowledge intensive industries). Florida. Pg. 68-69.

<sup>171</sup> The term ‘bohemian’ is difficult to categorize, it is nebulous in nature. Richard Florida recounted in The Rise of the Creative Class that those individuals he thought to be bohemians, ‘bobos’, or living an ‘alternative’ lifestyle often “bridled at the suggestion” that they were any of these things. However, the main defining characteristic is that they are creative—often living in the system, but not of the system. Florida. Pg. 210.

relative to its size.

Since 2007 an Innovation System Research Network (ISRN) has been researching the social foundations of economic performance at the city-region level across Canada. One of the city-regions chosen for this examination was Saskatoon. Between 2007 and 2008 44 individuals/organizations (seventeen firms, seven community based organizations, seven industry associations, and thirteen local, provincial, and national government departments or elected officials) were interviewed on the degree of social inclusion and civic engagement within Saskatoon. From these 44 interviews the ISRN team was able to make a number of important insights about characteristics specific to the Saskatoon city-region– two of which are relevant to this thesis.

First, an important characteristic of the Saskatoon city-region is its volunteer spirit.

I believe it comes from our roots. Certainly rural roots, values that have come from... small town life, that's what happened, you contributed.... It's very much the value system of our province, we've had to band together.... If you want a rink built, or you want a fall supper, or whatever... it wasn't even called volunteerism, you just did it because it was what needed to happen, and that has translated into our larger communities. And I believe, at the end of the day, people really care... have brought those [rural] values... and have a vision for a better Saskatoon.<sup>172</sup>

Saskatoon is said to be a “volunteer capital” of Canada– 53% of residents volunteer in activities.<sup>173</sup> While Saskatoon has recently had an influx of immigrants and in-migrants it has largely been able to maintain this ‘rural’ volunteer spirit. One possible reason for this is that a large portion of the in-migrants were ex-pats (often specifically targeted by the municipal government and industry associations such as NSBA) that had already been socialized from a

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<sup>172</sup> Theme III, ISRN interview (2007)

<sup>173</sup> Volunteer Saskatoon



younger age in this community oriented mindset.

Second, over the course of 44 interviews conducted in 2007 with firms, elected officials, government departments, and community based organizations (social, cultural, and industry based) the ISRN team was able to identify the main structures in Saskatoon that were of particular importance to its governance. These main structures were identified by examining who respondents mentioned direct interactions with, and also who they highlighted as being the primary actors in the system. Those particular individuals and organizations that were identified over the course of the ISRN interviews were amassed in a list of key actors in the Saskatoon city-region.

Most of the actors fell within the three broad structures most often seen as influencing society: government, business, and civil society. However, throughout the course of these interviews it became obvious that the University of Saskatchewan was of specific importance to a myriad of actors in a wide variety of manners.<sup>174</sup> Furthermore, with over 7 000 staff and faculty members, 19 000 students, and 57 000 university alumni still in the province (many of whom live in Saskatoon) the impact that the University of Saskatchewan has in a city of 210 000 people is undeniable.<sup>175</sup> As a result, in addition to the three traditional structures that dominate society a fourth, the university, was added for the analysis of the Saskatoon city-region.

#### **5.4. Survey:**

A refined copy of the list of important actors in Saskatoon was narrowed down to 253 individuals (73 from business, 63 from the university, 59 from government, and 58 from community based organizations). The selection process used to narrow the list down to 253

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<sup>174</sup> Theme I, II, and III, ISRN interviews (2007)

<sup>175</sup> University of Saskatchewan, <<[http://www.usask.ca/uofs/fact\\_sheet.php](http://www.usask.ca/uofs/fact_sheet.php)>>. Visited on June 08, 2009.

individuals was based on three criteria: one, the number of times they were mentioned in the 44 ISRN interviews; two, based on the researchers understanding of the structures in Saskatoon, and three, to have a near equal number of individuals from the four structures. These 253 individuals, and the networks of which they were a part, formed the source population from which a sample was drawn to study creative social entrepreneurs, social capital, and collaborative governance. These individuals were contacted via telephone and e-mail to take part in this study— research conducted as a part of the original ISRN project indicated a satisfactory level of potential cooperation. Contact information was obtained from publically accessible data sources such as the internet (e.g. an institution’s website) and annual reports. Thirty individuals consented to take part in this research by filling out a questionnaire.

The questionnaire, which was completed on-line, has three sections: section one provided key social and biographical data (e.g. educational background, employment history, civic engagement, and hobbies); section two provided a measure of a person’s entrepreneurial characteristics, and section three mapped a respondent’s social network. See appendix 1 for the proposal to the Behavioural Research Ethics Board at the University of Saskatchewan, and appendix 2 for the approval of the questionnaire.

### **5.5. Social Networks Analysis:**

Networks are “political landscapes or roadmaps”.<sup>176</sup> In collaborative governance, the network is where actors formally and informally come together. Using a Millsian structural power approach, social networks analysis (SNA) analyses the structure of networks. SNA is a tool that can be used to measure the impact that specific individuals have in a given network and

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<sup>176</sup> David Krackhardt. “Social Network Analysis: A Seminar.” Seen in, Camille Ryan. Performance of Public-Private Collaborations in Advanced Technology Research Networks. Pg. 44.

the impact that creative social entrepreneurs have on the collaborative governance system in the Saskatoon city-region.

### 5.5.1. Network:

As a tool, SNA software, such as ORA, can provide both qualitative and quantitative insights about networks and the individuals (known as nodes) that make up those networks. Qualitatively, it can provide an image of the network allowing the viewer to visually identify a number of trends (e.g. sub-networks within the larger network or isolates, nodes that have no connections within the network).

The quantitative analysis is of particular relevance to the study of creative social entrepreneurs, social capital, and collaborative governance as it provides the researcher with three important measures of centrality. Centrality measures “describe and measure properties of ‘actor location’ in a social network.”<sup>177</sup>

- 1) *Closeness Centrality* looks at the nature of distance between nodes; how many steps, on average, it takes for one node to reach all others. The larger and more far flung an individual’s network of associations is, the greater their ability to mobilize individuals and resources for social action. Due to the horizontal hypermobility (mobility between occupations, sectors, and social classes) that characterizes many creative social entrepreneurs, creative social entrepreneurs would be expected to have high levels of closeness centrality.
- 2) *Betweenness Centrality* examines ‘gatekeepers’ – nodes that connect one node (or a group of nodes) to another node (or a group of nodes). Nodes with a high degree

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<sup>177</sup> Stanley Wasserman and Katherine Faust. Social Network Analysis. Seen in, Ryan. Pg. 62.

of betweenness centrality would be able to bridge disparate individuals, associations, or communities, leading to the creation of bridging social capital. Creative social entrepreneurs are, in part, characterized by their desire for quasi-anonymity (weak ties). This preference for weak tie relationships should manifest itself in the high levels of betweenness centrality that creative social entrepreneurs have in the Saskatoon city-region network.

- 3) *Eigenvector Centrality* measures the power that an individual has within a network. However, in a network, power is not simply the number of connections that one node has. Rather, power is the number of connections that a node has to other nodes that are highly connected. In essence, eigenvector centrality is a measure of how much access a node has to the social capital represented by the network; the more individuals or associations that an individual has connections to, the greater his or her ability to leverage human and economic capital into concrete action.

The network data that the SNA program examined for this thesis was based on the third section of the questionnaire given to the participants. In the third section a list of names— limited to those individuals on the refined 253 sample population list— was provided. Each respondent was asked to indicate their relationship vis-à-vis those persons. The result of this social mapping is a single meta-network that contains five overlapping networks. These five networks represent six different relationship types: reputational, work, community involvement, casual acquaintance, friendship, and family.

### **5.5.2. Node Attributes:**

As well as analysing the structural position of individuals within networks, SNA can also

apply attributes to the nodes creating new qualitative and quantitative insights. For the purpose of this thesis three types of node attributes were employed: level of creativity (professional and informal); entrepreneurial capacity; and formal community involvement.

The literature on creative individuals outlines many different types of creative individuals. This thesis concentrates on two creative types: professional creatives (e.g. academics, architects, graphic designers) and informal creatives (e.g. artists, musicians, thespians). While there are differences between these two creative types, they are still both characterized by the four characteristics (creativity, horizontal hypermobility, participatory activities, and quasi-anonymity) of Florida's creative class. Using the data gathered in the first section of the "Creative Social Entrepreneurs" survey, it was possible to create measures of how creative each respondent was (both professionally and informally). The professional creativity measure was created by weighing the following characteristics: level of education, current employment, and sectoral mobility in their employment history. The informal creativity measure was created using the types and numbers of hobbies of each individual.

While Gallup is most often associated with opinion polls, its strong interest in personnel selection led to the development of its own approach to talent location.<sup>178</sup> In 1986, Gallup Selection Research Inc (SRI), with CEO Don Clifton, previously a professor of Educational Psychology, developed an "entrepreneur perceiver" questionnaire.<sup>179</sup> This questionnaire identified twelve "life themes" – "a consistent and recurring pattern of thought and/or behaviour"<sup>180</sup> – that successful entrepreneurs exhibited.

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<sup>178</sup> Bolton and Thompson. Pg. 35.

<sup>179</sup> Ibid. Pg. 39.

<sup>180</sup> Ibid. Pg. 36.

**Table 3: The Gallup Entrepreneur Themes<sup>181</sup>**

<b>Entrepreneur Life Themes</b>	<b>Summary Description</b>
1. Dedication	Consumed by a goal or purpose
2. Focus	Discriminates and targets
3. Profit Orientation	Advantage-focused
4. Ego Drive	Wants to make a recognized difference
5. Urgency	No time to waste, must take action now
6. Courage	Determined in the face of adversity
7. Activator	Wants to make it happen
8. Opportunity	Sees possibilities, not problems
9. Creativity	Buzzing with ideas
10. Expertise Orientation	Knows own limits and finds experts
11. Team	Gets the right people together
12. Individualised Perception	Sees and uses strengths in others

The second section of the “Creative Social Entrepreneurs” questionnaire asked respondents to indicate, on a scale of one to ten, how certain statements (each corresponding to one of the twelve life themes) applied to them. This data was used to determine the level of entrepreneurial characteristics that each person exhibited.

Formal community involvement impact is a measure of how actively involved each node is at the formal associational level in the Saskatoon city-region. This measure is created by examining the type of associations that an individual is involved in (e.g. community based organizations, sports teams, and political parties) and in what capacity they are involved (i.e. member, active member, or volunteer).

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<sup>181</sup> Clifton and Harding. “A statistical analysis of the psychometric properties of the SRI Entrepreneur Interview”. Seen in, Ibid. Pg. 40.

## **5.6. Conclusion:**

Using a structural power methodological approach to study creative social entrepreneurs and their role in social capital creation and the facilitation of collaborative governance in the Saskatoon city-region allows this thesis to investigate important social action in a very revealing manner. A structural power methodology engenders an investigation into the structures of a society, society's perceptions of power, and the apparatuses that influence formal and informal decision-making. Furthermore, SNA allows one to analyse qualitatively and quantitatively the networks that link individuals within these power structures.

Using data from thirty participants this thesis investigates the nature of creative social entrepreneurs in the Saskatoon city-region– examining informal and professional levels of creativity, measuring entrepreneurial characteristics, analysing the breadth and strength of formal community involvement, and bringing into focus the structural position of these individuals in the networks of which they are a part. What follows in Chapter 6, “Results and Analysis”, are the details of these findings and their implications.

## **Chapter 6—Results:**

### **6.1. Introduction:**

Do creative social entrepreneur facilitate collaborative governance in the Saskatoon city-region by being the primary creators of social capital in the community? This is the question that this thesis now seeks to answer in earnest using a Millsian structural power methodological approach—specifically, using SNA to examine, qualitatively and quantitatively, the role that creative social entrepreneurs play in social networks in Saskatoon.

This chapter has four sections. Section two examines who the participants were that took part in this research (focusing on biographical data and the three node attribute types). Section three outlines the results of the social network analysis. Section four provides some concluding remarks.

### **6.2. Who Responded?**

As seen in appendix 3, thirty individuals, from the refined list of 253, took part in this research. These thirty individuals were from all four major structures in the Saskatoon city-region (5 in government, 9 at the university, 7 in industry, 9 in civil society and 2 others)<sup>182</sup>. Nineteen of the participants were female and eleven were male. The ages ranged from 31 to 64, with the average age being 48.9 years old. Eleven of the respondents were born in Saskatoon and the rest, aside from one individual that did not specify, were born outside of Saskatoon. Of those individuals that moved to Saskatoon, the average number of years spent living in Saskatoon was 22.8 (the range being from as little as 1 year to 52 years).

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<sup>182</sup> Two participants held positions in more than one sector. As a result, while there are only 30 participants, there are 32 sectoral tallies.



What these numbers indicate is that the 30 respondents, from the four major structures in the Saskatoon are, on average, in a part of their life cycle where their careers are well established and that they have been located in the city for a long enough period to create a substantial social network.

Beyond the basic biographical data outlining who the respondents were, there were three important types of attributes that data was collected on—creativity, entrepreneurial capacity and level of formal community impact. Those respondents that demonstrated levels above the mean in the three respective attribute types were deemed to be ‘above average’ (e.g. an above average professional creative, an above average informal creative, to an above average entrepreneurial capacity, or an above average formal community involvement). The averages for the three node attributes are as follows:

- 1a) The mean of *professional creativity* was 0.42 with a standard deviation of 0.15.<sup>183</sup>
- 1b) The mean of *informal creativity* was 0.23 with a standard deviation of 0.16.<sup>184</sup>
- 2) The mean of *entrepreneurial capacity* was 0.81 with a standard deviation of 0.09.
- 3) The mean of *formal community involvement* was 0.17 with a standard deviation of 0.18.<sup>185</sup>

While the mean’s for professional creativity, informal creativity, and formal community involvement may seem low, the numerical values have little absolute relevance. Rather, these

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<sup>183</sup> If an individual possessed the mean of professional creativity (0.42), it could translate into that individual having two post-secondary degrees (each degree or diploma after high-school is equivalent to 0.077), occupying a highly creative position in the work force (a highly creative position is equal to 0.23), and having worked in only one sector (every sector an individual has worked represents 0.077).

<sup>184</sup> An individual with an average level of informal creativity (0.23) could be involved with one highly creative hobby such as woodworking, playing music, or painting (a low creativity hobby is equal to 0.067, a medium creativity hobby 0.134, and a high creativity hobby 0.201).

<sup>185</sup> 0.17 (the mean of formal community involvement) is roughly equivalent to active membership in four associations (each active membership in an association is equivalent to 0.037) and volunteering in another (each association an individual volunteers with is equal to 0.02).

values are important insofar as they provide a relational relevance between respondents; using these values it is possible to order individuals according to their levels of human capital and whether those that are ‘above average’, have a greater impact on the governance of the city-region.

Having assembled this data, a correlation analysis was performed to see if there existed any relationships between the three attribute types. There are two important details about the analysis of the correlation coefficient that should be noted. First, any percentage degree of significance under 75% (using a Student T distribution) was treated as nil. This was done to increase the standards applied to the findings and to minimize the influence of randomness due to the low number of inputs (i.e. participants). Second, while the percentage degree of significance does range from 75% to 99.9%, only those values 90% and over were deemed to be statistically significant enough to merit further investigation.

**Table 4: Node Attribute Correlation Analysis**

	<b>Professional Creativity</b>	<b>Informal Creativity</b>	<b>Entrepreneurial Capacity</b>	<b>Formal Community Involvement</b>
Professional Creativity	1			
Informal Creativity	-0.12758 (% Degree of Significance: 75%)	1		
Entrepreneurial Capacity	0.098644	0.172621 (Degree of Significance 80%)	1	
Formal Community Involvement	-0.23673 (% Degree of Significance: 85%)	0.079715	0.222232 (% Degree of Significance: 85%)	1

There is a division in the literature between Florida's "creative class" (akin to professional creativity) and bohemians (informal creativity)—while both are creative they represent distinctive manifestations of that creativity. However, as the correlation coefficient between professional creativity and informal creativity was not statistically different than zero (-0.12758) it was not possible to prove or disprove this point in the literature.

The entrepreneurial literature suggests that entrepreneurs are, by nature, creative; one of the "entrepreneurial life themes" from the SRI Gallup study was creativity.<sup>186</sup> However, the correlation coefficient between both professional and informal creativity and an individual's entrepreneurial capacity was not statistically different than zero. It should be noted that the failure of the data to demonstrate that those individuals with high entrepreneurial capacity were also creative (professionally or informally) could rest on self-reporting bias or small sample size. While the professional and informal creativity measures use data embedded within the "Creative Social Entrepreneurs" questionnaire (i.e. revealed), the entrepreneurial component relied on participants grading themselves (i.e. stated). It is possible that 'real' entrepreneurs were too hard on themselves when filling out the questionnaire. This self-reporting bias hypothesis is supported by the fact that there was no statistically significant correlation between both the professional or informal creativity measures and the self-reported creativity levels from the entrepreneurial capacity section of the questionnaire.

Also of interest, the correlation coefficients between professional creativity and formal community involvement, informal creativity and formal community involvement, and entrepreneurial capacity and formal community involvement are not statistically different than zero. Furthermore, a separate correlation coefficient analysis, as seen in Table 5, between individuals that are both highly creative (professionally or informally) and that have a high

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<sup>186</sup> Clifton and Harding. Seen in, Bolton and Thompson. Pg. 40.

entrepreneurial capacity and formal community involvement was also not statistically different than zero.

**Table 5: Creative Social Entrepreneur and Formal Community Involvement Correlation Analysis**

	<b>Creativity (Professional or Informal) and Entrepreneurial Capacity</b>	<b>Formal Community Involvement</b>
Creativity (Professional and/or Informal) & Entrepreneurial Capacity	1	
Formal Community Involvement	0.045188554	1

This is an important finding as it begins to investigate the hypothesis that creative social entrepreneurs are the primary creators of social capital at the city-region level. One of the key characteristics of creative social entrepreneurs that theoretically make them creators of social capital was that they have a tendency towards taking part in *participatory activities*;<sup>187</sup> creative social entrepreneurs, theoretically, are more likely to join associations— associations that house much of a community’s associational social capital. However, there was no statistically significant correlation between the creative social entrepreneur index and the formal community involvement index.

As a result of this finding, a broader investigation of creative social entrepreneurs and social capital creation was taken in the SNA. Rather than lumping all of the node attribute data together within a broad measure of creative social entrepreneurship, each participant’s node attributes (professional creativity, informal creativity, and entrepreneurial capacity) were independently correlated to the three measures of centrality (closeness, betweenness, and eigenvector). Laying out the findings of the ‘Creative Social Entrepreneur’ questionnaire in this manner allows for a more nuanced analysis of the results.

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<sup>187</sup> Chapter 4. “Creative Social Entrepreneurs”. See pages 46 and 47.

### **6.3. Social Networks Analysis:**

The hypothesis that creative social entrepreneurs are the primary creators of social capital at the city-region level can be broken down into three narrower hypotheses:

- H1: Creative social entrepreneurs have large, far flung networks that span the entire network.
- H2: Creative social entrepreneurs are the bridgers (connecting people and groups) in the network.
- H3: Being in a structural position of power in a heterarchical network is synonymous with being a creative social entrepreneur.

If one or all of these three hypotheses were proven true, it could then be said that those participants that exhibited above average creative social entrepreneur characteristics were greater incubators or contributors of social capital than those participants who did not demonstrate those characteristics.

Using three different measures of centrality (closeness, betweenness, and eigenvector), SNA was employed to attempt to confirm or deny the three narrower hypothesis statements about creative social entrepreneurs in the Saskatoon city-region. This was done by comparing each of the three measures of centrality, using the data from the respondent's social mapping of their work ties, community involvement connections, casual acquaintances, and friendships, against the node attributes (professional creativity, informal creativity, and entrepreneurial capacity).

The analysis of these comparisons between social networks (social capital) and node attributes (human capital) was organized using the associability typology discussed in Chapter 3. This typology broke down the different forms of engagement in informal networks and formal

associations into three main associative forms: primary associations, secondary associations, and tertiary associations.

Tertiary associations are often composed of an individual's ties to firms. As a result, the 'work' social relationships revealed in the social network mapping were categorized as tertiary associational ties. This associational form is characterized by fixed goals and variable membership. The barriers to entry of tertiary associations are based solely on the needs and desires of the organization. While this type of associational form does create social capital it is often only used in a very narrow manner, directed to achieve the goals of the group.

Secondary associations are predominantly composed of community association ties. This associational form is characterized by its low barriers to entry, heterarchical modes of interaction (versus the hierarchical mode of interaction that would characterize tertiary associational ties), and goals that are variable. The 'community involvement' and 'casual acquaintance' ties revealed in the social network mapping are categorized as being secondary association ties. The secondary associational ties are the most important measures of the level of social capital in a community—secondary associations are often the creators and incubators of social capital. As a result, when comparing the social network impact using the three measures of centrality of individuals against their human capital (professional creativity, informal creativity, and entrepreneurial capacity) the secondary associational ties are a category to examine.

Primary associations are most often composed of ties of family or kinship, they are often non-voluntary in nature. They are exclusive, with high barriers to entry, and form a system of mutual obligation. Lastly, primary association ties are 'strong ties' in that characterized by closeness and a high frequency of contact. This thesis chose to use the 'friendship' ties revealed in the social mapping as primary association relationships. While friendship ties are not non-

voluntary, the degree of exclusivity and its expected system of mutual obligation make this a close fit. Primary association ties do form social capital. However, this social capital by nature more closed than the social capital formed in secondary association ties; while the social capital formed in primary associations can be leveraged by members of the group it is rarely a public good that all of society can make use of.

### 6.3.1. SNA—Closeness Centrality:

The idea that creative social entrepreneurs will have larger, more far flung networks can be tested using the closeness centrality measure. The closeness measure of centrality measures the nature of distance between nodes (how many steps, on average, it takes for one node to reach all others). The closeness centrality measures for the top nodes in the social networks map of the sample population of 253 resulted in the findings in Table 6.

**Table 6: SNA Closeness Centrality**

	<b>Closeness Centrality Correlation Coefficient</b>	<b>% Significance</b>
<b>Tertiary Associations— Work</b>		
Closeness Centrality	1	
Professional Creativity	0.319812871	95%
Informal Creativity	-0.316196464	95%
Entrepreneurial	-0.034437421	nil
<b>Secondary Associations— Community Involvement</b>		
Closeness Centrality	1	
Professional Creativity	0.003215395	nil
Informal Creativity	-0.382190636	97.50%
Entrepreneurial	0.133305529	75%
<b>Secondary Associations: Casual Acquaintance:</b>		
Closeness Centrality	1	
Professional Creativity	0.277852378	90%
Informal Creativity	0.052440983	nil
Entrepreneurial	0.173754833	80%
<b>Primary Associations—Friendship</b>		
Closeness Centrality	1	
Professional Creativity	0.195978072	85%
Informal Creativity	-0.223387552	85%
Entrepreneurial	0.005626912	nil

There are two findings that emerged from the SNA of closeness centrality. First, there was a positive correlation between closeness centrality and professional creativity in both the tertiary associations (32% at 95% degree of significance) and casual acquaintance networks (28% at 90% degree of significance). This suggests that professional creatives, in Saskatoon, have large, far flung casual acquaintance and tertiary association networks. Second, there was a negative correlation between closeness centrality and informal creativity and in both tertiary associations (-32% at 95% degree of significance) and community involvement networks (-38% at 97.5% degree of significance). From this negative correlation it is possible to imply that informal creatives, in Saskatoon, have small community and tertiary association networks.

### **6.3.2. SNA—Betweens Centrality:**

The second narrow hypothesis that was tested in this thesis was that creative social entrepreneurs are spanners, that they connect a myriad of individual nodes and sub-groups within the larger network. The betweenness centrality measure was used to test this hypothesis (the betweenness centrality measure examines ‘gatekeepers’– nodes that connect one node, or a group of nodes, to another node, or a group of nodes). Subjecting the top nodes in the social networks map from the 30 respondents to a correlation coefficient analysis resulted in the findings in Table 7.

The main finding that emerged from the SNA of betweenness centrality was that there is a positive relationship between betweenness centrality and professional creativity in both of the secondary associations (25% at 90% degree of significance for community involvement networks and 28% at 90% degree of significance for casual acquaintance networks) and primary associations (55% at 99.9% degree of significance). The relationship between betweenness



centrality and professional creativity is the strongest that emerged in this study from the three centrality tests.

**Table 7: SNA Betweenness Centrality**

	<b>Betweenness Centrality Correlation Coefficient</b>	<b>% Significance</b>
<b>Tertiary Associations— Work</b>		
Betweenness Centrality	1	
Professional Creativity	0.228632132	85%
Informal Creativity	-0.004088701	nil
Entrepreneurial	-0.007160409	nil
<b>Secondary Associations—Community Involvement</b>		
Betweenness Centrality	1	
Professional Creativity	0.248979775	90%
Informal Creativity	-0.108063154	nil
Entrepreneurial	-0.111042597	nil
<b>Secondary Associations--Casual Acquaintance:</b>		
Betweenness Centrality	1	
Professional Creativity	0.279047942	90%
Informal Creativity	0.024512921	nil
Entrepreneurial	-0.12588851	nil
<b>Primary Associations—Friendship</b>		
Betweenness Centrality	1	
Professional Creativity	0.551695341	99.90%
Informal Creativity	-0.223768899	85%
Entrepreneurial	-0.020716707	nil

Of particular importance is that in both secondary associational forms (community involvement and casual acquaintance) there was a positive correlation between betweenness centrality and professional creativity. As secondary associational forms are the creators and incubators of social capital in a city-region, this connection suggests that there is a tie between individuals with certain human capital traits and social capital creation. More specifically, what this suggests is that in the Saskatoon city-region, professional creatives are ‘bridgers’ in networks.

### 6.3.3. SNA—Eigenvector Centrality:

The third narrow hypothesis that this thesis tested was: whether being in a structural position of power in a heterarchical network is synonymous with being a creative social entrepreneur. The eigenvector centrality measure was used to test this hypothesis (the eigenvector measure examines the ‘power’ that each node has within the networks; the number of connections that a node has to other nodes with a multiple number of connections). The results in Table 8 emerged from a correlation coefficient analysis of the eigenvector nodes in the social network and the node attribute measures.

**Table 8: SNA Eigenvector Centrality**

	<b>Eigenvector Centrality Correlation Coefficient</b>	<b>% Degree of Significance</b>
<b>Tertiary Associations— Work</b>		
Eigenvector Centrality	1	
Professional Creativity	0.338136107	95%
Informal Creativity	-0.209892301	85%
Entrepreneurial	-0.091718682	nil
<b>Secondary Associations—Community Involvement</b>		
Eigenvector Centrality	1	
Professional Creativity	0.093117694	nil
Informal Creativity	-0.314960685	95%
Entrepreneurial	-0.090625328	nil
<b>Secondary Association—Casual Acquaintance:</b>		
Eigenvector Centrality	1	
Professional Creativity	0.141311379	75%
Informal Creativity	-0.030693555	nil
Entrepreneurial	0.035106207	nil
<b>Primary Associations—Friendship</b>		
Eigenvector Centrality	1	
Professional Creativity	0.376912178	97.50%
Informal Creativity	-0.210545648	85%
Entrepreneurial	0.033650996	nil

There are two main findings that emerged from the SNA of eigenvector centrality. First, there was a positive relationship between eigenvector centrality and professional creativity for both tertiary associations (34% at 95% degree of significance) and primary associations (38% at 97.5% degree of significance). Second, there was a negative relationship between informal creativity and community involvement (31% at 95% degree of significance). These results reveal that, in Saskatoon, professional creatives are in structural positions of power while informal creatives are not.

#### **6.3.4. Networks and Social Capital Creation in Saskatoon:**

Respondents of the ‘Creative Social Entrepreneur’ questionnaire were also asked to answer the following question: “To your knowledge, are there any concrete outcomes that have resulted from these networks that have impacted the city of Saskatoon? If so, please expand upon.” The responses that were received from this question were varied. In total, 19 of the 30 participants indicated that the social networks that they identified in the social mapping section of the questionnaire had a strong positive impact on the creation of social capital and the collaborative governance of the Saskatoon city-region:

Through my involvement [in these networks] I’ve been able to help increase labour’s participation in [CBOs] thereby putting more funds into social programs.... A connection between labour and community has also impacted our union’s participation. We now regularly participate in [a wide variety of] programs.... We’ve been able to use our resources to strengthen our membership while helping our community and regularly communicate with social movements as they come up.<sup>188</sup>

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<sup>188</sup> Participant 15. “Creative Social Entrepreneur” Questionnaire. (2008)










Examples of the positive impact of these social networks ranged from “promot[ing] change in people’s attitudes” and “[raising] the overall quality of life” (societal social capital), to the construction of two soccer centers and “rais[ing] significant (i.e. millions) of dollars for non-profit organizations” (associational social capital), and to “gain[ing] skills to benefit my neighborhood” (individual social capital). While the exact impact that creative social individuals have on the creation of social capital and the collaborative governance of the Saskatoon city-region is difficult to measure, it is certain that the impact is significant.

#### **6.4. Conclusion:**

As seen in Table 9, the results from the ‘Creative Social Entrepreneurs’ questionnaire does not unambiguously support the hypothesis that creative social entrepreneurs facilitate collaborative governance by being the primary creators of social capital in the Saskatoon city-region.

However, there are a number of conclusions that can be drawn from the results: there is a measurable positive relationship between professional creativity (based on work, education, and mobility) and all three hypotheses; and, there is a negative relationship between informal creativity (based on hobbies) and the hypotheses. The relationship between an individual’s entrepreneurial capacity and the three hypotheses is inconclusive.

**Table 9: Hypotheses and Conclusions**

Hypothesis:	Conclusions
<p>H1. Creative social entrepreneurs have large, far flung networks that span the entire network.</p>	<p> Professional creatives have large, far flung casual acquaintance and tertiary association networks.</p> <p> Informal creatives have small community involvement and tertiary association networks.</p> <p> Inclusive findings to support correlation between entrepreneurial capacity and large, far flung networks.</p>
<p>H2. Creative social entrepreneurs are the bridgers (connecting people and groups) in the network.</p>	<p> Professional creatives are bridgers, in primary association networks as well as, and perhaps most importantly, in both secondary associational forms.</p> <p> Inconclusive findings to support correlation between informal creativity and ‘bridging’ role in networks.</p> <p> Inconclusive findings to support correlation between entrepreneurial capacity and ‘bridging’ role in networks.</p>
<p>H3. Being in a structural position of power in a heterarchical network is synonymous with being a creative social entrepreneur.</p>	<p> Professional creatives are in structural positions of power in tertiary and primary association networks.</p> <p> Informal creatives have very weak structural positions of power in community involvement networks.</p> <p> Inconclusive findings to support correlation between entrepreneurial capacity structural network power.</p>

## **Chapter Seven—Conclusion:**

### **7.1. Introduction:**

This final chapter has six sections. Section two outlines what this thesis set out to do. Section three lays out what the results were from the SNA. Section four discusses the limitations of the results. Section five suggests future areas of research on this topic. Section six provides some brief concluding remarks.

### **7.2. What Did This Thesis Set Out To Do?**

Too often governance is seen as being solely the purview of government—elected officials, different levels of government, government departments, and the bureaucracy. Even when the scope by which people conceive of governance is expanded, it is often conceived as being something that the power elites do—people in government or in big business. The hypothesis that this thesis set out to test was whether creative social entrepreneurs (individuals with high entrepreneurial and creativity levels, professional and informal) are the primary creators of social capital (societal, associational, and individual) at the city-region level. In essence, this thesis set out to demonstrate that governance is something that is done by people, not to people.

However, this thesis did not examine the impact that all types of individuals have on the governance process. Rather, it focused on creative social entrepreneurs— individuals characterized by their entrepreneurial tendencies, creativity, horizontal hypermobility, preference for involvement in participatory activities, and desire for quasi-anonymity (weak ties)—as the primary facilitators of the collaborative governance process. This type of person was

hypothesized to facilitate the collaborative governance process by fostering the development of social capital (societal social capital, associational social capital, and individual social capital).

To demonstrate that creative social entrepreneurs were directly involved in the collaborative governance of the Saskatoon city-region, a survey measuring biographical and social data, entrepreneurial capacity, and an individual's social networks was sent out to a sample population of 253 individuals. From this sample population, 30 individuals took part in the survey. Based upon a Millsian structural power approach, this thesis used SNA to examine the social networks of the respondents—measuring the possible roles that creative social entrepreneurs had in social networks in Saskatoon using three measures of centrality (closeness, betweenness, and eigenvector).

### **7.3. Overview of Results:**

Broadly speaking, the data indicated that creative social entrepreneurs are not unambiguously the primary creators of social capital in the Saskatoon city-region. However, a more thorough analysis of the data results in more nuanced findings. From this analysis there are four broad findings that should be highlighted.

First, the data analysis consistently indicates a strong positive relationship between high levels of professional creativity and the three measures of centrality. Professional creatives often have large, far flung networks, they act as connectors by bridging different groups and individuals, and hold positions of informal structural power in the social networks to which they belong. What can be inferred from this finding is that individuals that are highly educated, have a creative job, and are highly mobile between sectors positively influence social capital creation at the city-region level.

The second implication of this research is directly drawn from the result that professional creatives influence social capital creation in Saskatoon. The literature on ‘creatives’, especially that of Florida, suggests that creative individuals are drawn to creative cities—places with vibrant and exciting social and cultural atmospheres.<sup>189</sup> The theory that ‘creatives’ are attracted to a location because of certain aspects of place is probably (at the very least anecdotally) true. However, social and cultural vibrancy are not just important in attracting and retaining creative individuals in a city. Once present in a city, creative individuals, especially professional creatives, can have a huge impact on facilitating the maintenance and growth of that vibrancy; professional creatives become involved in the community, they create or join organizations, and they bridge a wide a variety of individuals. Members of the creative class are not just consumers of social and cultural vibrancy, they are also producers.

Third, the correlation coefficient analysis between those individuals’ levels of informal creativity and the three measures of centrality indicated that there was a negative relationship between the two. In particular, this negative relationship was highlighted between informal creatives and their community involvement networks. A possible explanation for this negative relationship is that the way the indices measured informal creativity was through an individual’s involvement in creative hobbies— creative hobbies that were often solitary activities.<sup>190</sup>

The fourth finding that should be highlighted was that the results linking individual entrepreneurial capacity and the three measures of centrality were inconclusive— the results were neither positive nor negative. A possible explanation for this non-finding could be, as was suggested in Chapter 6, the result of a self-reporting bias or the small sample size. While all of the other data on individuals (levels of professional creativity and informal creativity as well as

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<sup>189</sup> Florida. Pg. 215-249.

<sup>190</sup> Versus the indices used to measure professional creativity that was based, amongst other things, upon having a creative occupation—creative occupations being by nature more collaborative, and hence more social, in nature.



the social network mapping) were based on the researcher creating the measures based upon participant responses, the entrepreneurial capacity was based upon the participant directly reflecting and rating themselves in a variety of categories. As a result of this self-reflection it is possible the results for entrepreneurial capacity are skewed.

#### **7.4. Limitations:**

There are six issues with the data that was compiled that should be noted.

First, to study the impact of creative social entrepreneurs on social capital creation and their role in collaborative governance in the Saskatoon city-region a sample of 253 individuals was used. In no way does this represent a complete picture of all of the primary actors in Saskatoon; rather this was a limited snap shot of these actors. Furthermore, regardless of the quality of the methodological approach used to identify primary actors in a system, there will be some individuals that will not be identified. This limited identification ability is especially a problem when attempting to examine unofficial networks—while individual A may hold a formal position of power and have a large network of connections, perhaps it is A's husband/wife that plays a key role in introducing A to a wide variety people at informal get-togethers. However, despite this methodological limitation, the structural power methodology remains very effective at identifying primary actors by identifying and examining the major structures in society and combining the advantages of the reputational and decision-making approaches.

Second, from a source population of 253 only 30 individuals took part in the survey. It is still possible gain insights about the relationship between creative social entrepreneurs, social

capital creation, and collaborative governance. However, more research and data collection is needed to corroborate the findings.

Third, there was a lack of responses on particular questions in part one of the Creative Social Entrepreneurs survey. More specifically, question six (What are your religious affiliations? Please specify place of worship.) and question seven (Do you self-identify as being a part of a cultural community? If yes, which?) were often not filled out by respondents. As a result the study was limited in its ability to effectively measure the impact of these types of primary associational ties on social capital creation. Being able to examine religious or ethnic ties would have greatly contributed in the formation of a more complete picture of the role of creative social entrepreneurs in social capital creation in the Saskatoon city-region. For example, the SNA revealed many different groupings of individuals with high levels of connectivity. Based on this data alone, it could be implied that there were high levels of social capital (especially for high levels of connectivity in secondary associational forms). However, if the information on religious affiliation and ethnic background had been present it might have revealed that these groupings were often formed along religious or ethnic lines, thus limiting the social capital creation for the community. As a result, while the responses to the survey did provide some insights into the role of creative social entrepreneurs in social capital creation in Saskatoon the results were limited due to the omissions by respondents.

Fourth, the measures that were used to measure professional creativity, informal creativity, and entrepreneurial capacity, while based upon work done in these fields, were created specifically by the researcher for this study. As a result, a respondent's professional and informal creativity measures and their entrepreneurial capacity can only be compared against the characteristics of the other respondents.

Fifth, out of all of the participants, only two indicated a ‘family’ connection between themselves and another of the 253 individuals whose names appeared in third section of the ‘Creative Social Entrepreneurs’ questionnaire. As a result, a SNA analysis of the family connections was not conducted.

Sixth, while SNA can be used to perform both qualitative and quantitative analysis’, the sheer number of connections that existed within the social networks made any visual analysis (quantitative analysis) nearly impossible:

- Work: 30 respondents, 253 nodes (16 of which were isolates), 1225 linkages.
- Community Involvement: 30 respondents, 253 nodes (57 of which were isolates), 837 linkages.
- Casual Acquaintance: 30 respondents, 253 nodes (58 of which were isolates), 462 linkages.
- Friendship: 30 respondents, 253 nodes (104 of which were isolates), 220 linkages.<sup>191</sup>

However, despite these four limitations in the data, there were a number of important results that emerged from a qualitative and quantitative analysis.

### **7.5. Areas of Further Investigation:**

There are four areas of further investigation that emerge from the findings presented in this thesis. First, a more thorough investigation into the role that professional creatives play in social capital creation at the city-region level is needed. This investigation would need to develop a larger sample in the Saskatoon city-region as well as conduct face to face interviews with individuals that were identified as being social professional creatives. Furthermore, while

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<sup>191</sup> See Appendix 4 for visual SNA maps.

the scope of this thesis was limited to the examination of the role of individuals in the collaborative governance process at the city-region level, further research could expand this scope. Governance at the city-region level does not occur in a vacuum; the local, the regional, the national, and the global levels are all interconnected. Expanding the scope of future research to examine the myriad of levels that social professional creatives act at, and the impacts that these connections have at the city-region level, could yield interesting results.

A second area of future investigation could be to scale-up the investigation of the role of creative social entrepreneurs in social capital creation and collaborative governance. While this thesis used the Saskatoon city-region as its unit of analysis, future work in this area does not need to have this focus. The methodology that this thesis used can be scaled to examine any level of analysis—local, regional, national, and global. An example of this scaling could be to examine the role that creative social entrepreneurs play in facilitating global governance. This global avenue of investigation as a lot of the theory on global governance, James Rosenau being an example, has just recently begun a more thorough examination on the role of networked individuals in global governance.

This thesis took as one of its primary assumptions that the literature on social capital provided a sufficiently strong argument about the role of social capital in society that a positive link between social capital and collaborative governance could be inferred. As a result, this thesis concentrated on examining the role that creative social entrepreneurs played in social capital creation by examining the networks of which they were a part. Having concluded that professional creatives are important to social capital creation at the city-region level, a third area

of future investigation could be to try to establish a direct causal relationship between professional creatives and the facilitation of collaborative governance.<sup>192</sup>

The fourth area of future investigation has less to do with the topic of “Creative Social Entrepreneurs, Social Capital, and Collaborative Governance” and more to do with how the discipline of political studies in general approaches the study of governance. Too often academics concentrate on more traditional forms of governance while ignoring other governance paradigms; governance paradigms that are hierarchical and are dominated by state governments tend to overshadow heterarchical governance paradigms that incorporate a greater diversity of actors (government, the market, and civil society) that can be either institutions or individuals. Further research on governance theory must continue to incorporate a more holistic governance paradigm if it is to be relevant.

## 7.6. Conclusion:

In 1812 Duc de Levis, a French soldier and writer, wrote Politique: Maximes de Politique. Amongst the maxims, he observed on a key truth: “Gouverner, c’est choisir”—to govern is to choose.<sup>193</sup> Too often individuals fail to choose to exercise their right and responsibility to govern themselves and society. Too often individuals do not recognize that by failing to choose to govern they are abrogating their power to others. The abrogation of power from one individual to another actor, whether it is to another citizen or to the government, is fundamentally at odds with the democratic ideal based upon equality and citizenship. While

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<sup>192</sup> While section 6.3.4. (Networks and Social Capital Creation in Saskatoon) began to flush out this linkage, more work is needed in this area.

<sup>193</sup> Duc de Levis. Politique: Maximes de Politique. Seen in, Anthony Jay, ed. Oxford Dictionary of Political Quotations. Pg. 233.

government does have a role to play in the governance of society, that role must be complemented by the actions of the market and civil society, by institutions and individuals.

In the Saskatoon city-region there are a number of actors that have chosen to help govern. Amongst these actors are the social professional creatives. Social professional creatives are one of the predominant impetuses that fires social capital creation. Through the social networks that they belong to, they bring people, ideas, and physical capital together to collaboratively drive social, cultural, and economic performance in Saskatoon. The networks, and the social capital accrued in those networks, that the social professional creatives have access to are leveraged into concrete action. Social professional creatives in the Saskatoon city-region have chosen to act, reaffirming that individuals can matter in the governance process.

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## **Appendix 1: Behavioral Research Ethics Board (Beh-REB)**

### **APPLICATION FOR APPROVAL OF RESEARCH PROTOCOL--- AMENDMENT**

#### **1. Name of Researcher(s):**

Graeme Webb, Political Studies MA Student  
Peter Phillips, Political Studies (Principle Investigator)

#### **2. Title of Study:**

Social Dynamics of Economic Performance: Innovation and Creativity in City-Regions

#### **3. Abstract:**

Inclusive Community and Civic Engagement (Theme III): Recent case studies, along with research conducted as part of the Innovation Systems and Research Network (ISRN) project, indicate that economic, social, and cultural development at the city-region level are highly dependent upon the presence of an associative governance system. An associative governance system--- a system wherein the market, the government, and civil society share relevant assets needed to address issues in the community--- is a highly networked system. That is to say that, there exists many connections between institutions and, more importantly, between specific individuals that make up that system. These individuals, or social entrepreneurs, are essential in creating, amongst other things, the social capital required in the community for the successful operation of an associative governance system.

#### **4. Amendment:**

The primary purpose of the amendment to the Social Dynamics of Economic Performance project will be to create a model of the social network that exists between individuals in the Saskatoon city-region. Mapping this network will enable us to examine the levels of social capital that exist and the role that social entrepreneurs have in creating a networked local system.

#### **5. Methods and Procedures:**

The participants of this study will consist of individuals from key institutions previously identified in the ISRN research conducted in Saskatoon. These individuals will be contacted via telephone, mail, or e-mail to take part in this study--- research conducted as a part of the original ISRN project indicate a satisfactory level of cooperation. Contact information will be obtained from publically accessible data sources such as the internet (eg. an institution's website) and annual reports. To date, the contact information of over three-hundred potential participants has been garnered in this manner.

The questionnaire, which will be completed on-line (though if circumstance requires the questionnaire can be mailed out or conducted in person), will have three sections: Section one, will provide key biographical data; Section two, will provide a measure of a persons

entrepreneurial characteristics, and section three, will map a respondents social network. In the third section participants will be given a list of names--- limited to those individuals belonging to key identified institutions and also, potentially taking part in the questionnaire--- from which they will indicate their relationship vis-à-vis those persons (eg. I do not know this person, I am unsure if I know this person, etc.).

The specific names comprising the social network will remain completely confidential. That is to say that no individuals names will be used or identified in this study, simple pseudonyms will be employed (eg. Jane 1, Jacob 2, etc.) during the analysis and publication.

Please find attached a copy of the amended survey instrument (Appendix A).

## **6. Consent Protocol:**

A Consent Form (See Appendix B) will be completed by all participants in the study. The nature and purpose of the research is described and participants informed that all information gathered will be treated as confidential. All participants will be told that they may choose to withdraw at any time.

Please find attached a copy of the draft enrolment letter (Appendix C).

## **7. Confidentiality:**

Participants will be assured that neither their identity nor that of their organization will ever be used in any presentation resulting from the study, without their express and prior consent.

The data files (paper and electronic) will be coded to ensure confidentiality as will all paper documentation that is generated. A single copy of the master list that links the participants with the code assigned to them will be kept in a secure location, separate from the consent forms and the data. The linkage between the data and the identifying information will be broken once it is no longer required for the study.

## Appendix A: Survey

### Social Dynamics of Economic Performance---

#### PART I:

- 1.0. Age
- 2.0. Place of birth
- 3.0. If applicable, what year did you move to Saskatoon?
- 4.0. From which institution(s) did you receive your education?
- 5.0. Do you self-identify as being a part of a cultural community? If yes, which?
- 6.0. What are your religious affiliations? Please specify place of worship.
- 7.0. Please list those associations, clubs, community based organizations, etc. that you interact with most regularly.
- 8.0. Place of work, job title, and sectoral affiliation (industry, government, university, community based organizations, etc.)

#### PART II:

- 9.0. To what extent are you consumed by a goal or purpose?

Not Consumed	Very Dedicated
1    2    3    4    5    6    7    8    9    10	

- 10.0. How would you rate your ability to lock on to a target and not be distracted?

Easily Distracted	Very Focused
1    2    3    4    5    6    7    8    9    10	

- 11.0. How would you rate your ability to select the right opportunity?

Never	Always
1    2    3    4    5    6    7    8    9    10	

- 12.0. How important is it to you that you make a recognized difference?

Not Important	Very Important
1    2    3    4    5    6    7    8    9    10	

**13.0.** To what extent does this statement apply to you: “No time to waste, must take action now”?

Not Applicable						Highly Applicable			
1	2	3	4	5	6	7	8	9	10

**14.0.** To what extent are you determined in the face of risk?

Easily Deterred						Determined to Succeed			
1	2	3	4	5	6	7	8	9	10

**15.0.** How would you rate your drive to ‘make things happen’?

Low Drive						High Drive			
1	2	3	4	5	6	7	8	9	10

**16.0.** When examining an issue do you see possibilities or problems?

Problems						Possibilities			
1	2	3	4	5	6	7	8	9	10

**17.0.** How often do you innovate (ie. think outside the box)?

Never						Always			
1	2	3	4	5	6	7	8	9	10

**18.0.** Do you know your own limits and find experts when needed?

Never								Always	
1	2	3	4	5	6	7	8	9	10

**19.0.** Rate your ability to see and use the strengths that others offer.

Low Ability						High Ability			
1	2	3	4	5	6	7	8	9	10

**20.0.** How effective are you at getting the right people together?

Ineffective						Highly Effective			
1	2	3	4	5	6	7	8	9	10

**PART III:**

	I do not know this person.	I am unsure if I know this person	I know this person: Note: Please indicate all relationship types.
Jane 1			1.0. Reputation 2.0. Work 3.0. Community Involvement 4.0. Casual Acquaintance 5.0. Friend 6.0. Other (Please Indicate)
Jacob 1			
Jane 2			
Jacob 2			
Etc, etc.			

## Appendix B: Consent Letter

### Social Dynamics of Economic Performance: Innovation and Creativity in City-Regions

#### CONSENT FORM

This research investigates the social dynamics that shape the national innovative and creative capacity at the city-region level across Canada. The project is premised on the now widely accepted claim that city-regions are the key source of economic vitality and innovative capacity for nation-states – and increasingly so, despite well-established trends towards a globalizing economy. Some scholars have suggested that the comparative advantage of city-regions in the knowledge economy rests on their social characteristics as much as their economic assets, so much so that a city-region's social dynamics can be considered to be its principal economic assets. The research investigates three specific dimensions of social dynamics and their relationship to the economic dynamism of city-regions: the social nature of the innovation process (e.g. how important is labour mobility to innovation?), the social foundations of talent attraction and retention (e.g. how important is quality of place to the retention of talent?); and the degree of community inclusiveness and civic engagement (how important is civic engagement in developing and supporting innovation and creativity of a region?).

You are being asked to participate because of your relevance to one of the three themes listed above. While there will be no immediate benefit to you for participating in this study, the goal of this research is to gain insights that can be applied to improve the way knowledge sectors are governed in the future. I would be pleased to provide you with a copy of the resulting paper from this research.

We are asking you to help by consenting to participating in this survey. This survey, which has been designed to minimize the amount of time required by you, typically lasts one hour. The survey will consist of three sections: Section one, will provide key biographical data; Section two, will provide a measure of certain personality characteristics, and section three, will map your social network.

Please note that all information gathered from you will be treated as confidential. The confidentiality will be assured by assigning code numbers to each interviewee. We also assure you that neither your identity nor any details of your organization will be revealed in any presentations or publications that result from this research, without your express written permission. The data gathered in this project will be used in a master's thesis, presentations, and publication.

The data will be stored for a minimum period of five years after the completion of the study by the research supervisor. If after five years it is decided that this data shall be destroyed, it will be destroyed beyond recovery. This study has been reviewed and approved by the University of Saskatchewan Behavioural Research Ethics Board (BEH# 06-142, 5 June 2006) and will be periodically reviewed to ensure it conforms to the conditions of its approval. If you have any concerns or questions, please contact me (966-4021) or the Ethics Office (966-2084).

Your participation in this study is strictly voluntary and you are, of course, free to choose not to answer any questions and may terminate the interview at any time with no consequences. If you have any questions regarding the study and your participation in it, please feel free to ask. Furthermore, if any new information arises that may impact your decision to participate in this research project you will be notified.

Professor Peter W.B. Phillips  
Department of Political Studies, University of Saskatchewan  
(306) 966-4021 or Phillips@duke.usask.ca

Graeme Webb, MA Student  
Department of Political Studies, University of Saskatchewan  
(306) 221-4075 or gmw899@mail.usask.ca

---

I,

---

(Name/Title/Organization – Please Print Clearly)

agree to participate in the study as outlined above. My participation in this study is voluntary and I understand that I may withdraw at any time.

---

Participant's Signature

---

Date

---

Researcher's Signature

**(NOTE--- For an e-mail based survey participants will be informed that completion and return of the survey will constitute consent to participate and permission to use the data gathered in the manner described.)**



## Appendix C: DRAFT Enrolment Letter

Dear

I am writing to you today to formally invite you to participate in an academic survey investigating the “Social Dynamics of Economic Performance: Innovation and Creativity in City-Regions.” This major collaborative research initiative, funded by SSHRC, will extend our analysis of the dynamics of the Saskatoon community (for some of the earlier results, see <http://www.agbio-management.org> under ‘Innovation Systems’).

This phase of research investigates the social dynamics that shape the national innovative and creative capacity at the city-region level across Canada. Our hypothesis is that city-regions are the key source of economic vitality and innovative capacity for nation-states. The research investigates three specific aspects of social dynamics and their impact on the economic dynamism of city-regions: the social nature of the innovation process; the social foundations of talent attraction and retention; and the degree of civic engagement. Our hypotheses and methodology are structured around these three dimensions of city-region social dynamics. We are particularly interested in the relative importance of internal, local social dynamics and key flows from outside the city-region (more information on the overall project can be found at <http://www.utoronto.ca/isrn/>).

Saskatoon has been chosen as one of the 15 areas to be investigated. We are seeking your participation as a leading member of the community to answer this survey. We will make a copy of the survey available to you ahead of time and would expect the survey would on average take about one hour and in no case should take more than two hours. You may at any time in the survey terminate your participation in the project and ask for your input to be removed from our investigation and destroyed.

All of your responses will be treated as confidential and neither your identity nor the identity of your organization will ever be used in any presentation resulting from the study, without your express and prior consent. All results will be aggregated to ensure anonymity. The data will be stored for a minimum period of five years after the completion of the study. This study has been reviewed and approved by the University of Saskatchewan Behavioural Research Ethics Board (BEH# 06-142, 5 June 2006) and will be periodically reviewed to ensure it conforms to the conditions of its approval. If you have any concerns or questions, please contact me (966-4021) or the Ethics Office (966-2084).

If you are interested in learning more about this study, please contact me for more details.

Sincerely,  
Peter W.B. Phillips, PhD  
Professor, Political Studies  
University of Saskatchewan  
9 Campus Drive  
Saskatoon, S7N 5A5  
306-966-4021

Fax 966-5250  
Email: Phillips@duke.usask.ca

Graeme Webb, MA Student  
Political Studies, University of Saskatchewan  
306-221-4075  
Email: gmw899@mail.usask.ca

I agree to participate in the study as outlined above. My participation in this study is voluntary and I understand that I may withdraw at any time.

Signature: \_\_\_\_\_

Name: \_\_\_\_\_

Title: \_\_\_\_\_

Organization: \_\_\_\_\_

## Appendix 2: Ethics Approval



Behavioural Research Ethics Board (Beh-REB)

### Certificate of Approval Study Amendment

PRINCIPAL INVESTIGATOR  
Peter WB Phillips

DEPARTMENT  
Political Studies

Beh #  
06-142

INSTITUTION(S) WHERE RESEARCH WILL BE CARRIED OUT  
University of Saskatchewan  
Saskatoon SK

SPONSORING AGENCIES  
SOCIAL SCIENCES AND HUMANITIES RESEARCH COUNCIL OF CANADA (SSHRC)

TITLE  
Social Dynamics of Economic Performance: Innovation and Creativity in City-Regions

APPROVAL OF  
Theme III  
Revised Consent Form

APPROVED ON  
26-Sep-2008

CURRENT EXPIRY DATE  
30-May-2009

Full Board Meeting

Date of Full Board Meeting:

Delegated Review

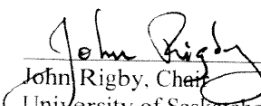
#### CERTIFICATION

The University of Saskatchewan Behavioural Research Ethics Board has reviewed the above-named research project. The proposal was found to be acceptable on ethical grounds. The principal investigator has the responsibility for any other administrative or regulatory approvals that may pertain to this research project, and for ensuring that the authorized research is carried out according to the conditions outlined in the original protocol submitted for ethics review. This Certificate of Approval is valid for the above time period provided there is no change in experimental protocol or consent process or documents.

Any significant changes to your proposed method, or your consent and recruitment procedures should be reported to the Chair for Research Ethics Board consideration in advance of its implementation.

#### ONGOING REVIEW REQUIREMENTS

In order to receive annual renewal, a status report must be submitted to the REB Chair for Board consideration within one month of the current expiry date each year the study remains open, and upon study completion. Please refer to the following website for further instructions: [http://www.usask.ca/research/ethics\\_review/](http://www.usask.ca/research/ethics_review/)

  
John Rigby, Chair  
University of Saskatchewan  
Behavioural Research Ethics Board

Please send all correspondence to:

Ethics Office  
University of Saskatchewan  
Room 302 Kirk Hall, 117 Science Place  
Saskatoon SK S7N 5C8  
Telephone: (306) 966-2975 Fax: (306) 966-2069



UNIVERSITY OF  
SASKATCHEWAN

Behavioural Research Ethics Board  
Study Renewal Form

RECEIVED

MAY 14 2009

University of Saskatchewan  
Research Ethics Office

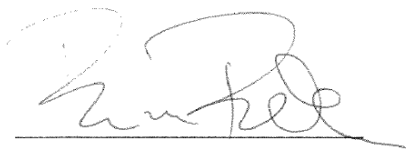
\*Note, if your study is complete please fill out the study closure form available at: <http://www.usask.ca/research/files/index.php?id=22>  
Please type in your responses, print, and then send the original signed copy to our office. Do not fax.

Double click on boxes to check.

1. Title: Social dynamics of economic performance: innovation and creativity in city regions			
2. Beh #: 06-142		3. Expiry Date: 31 March 2011	
4. Contact Information:			
	Name:	Department:	Phone Number, Email, Fax Number: (Provide only if different from previously submitted information)
Principal Investigator:	P. Phillips	POLST	
Student Investigator:	G. Webb		Graeme.webb@usask.ca
Contact Person:	P. Phillips	POLST	
5. Location where research will be conducted (if different from previously submitted information):			
6. Does this research involve another institution? <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No			
7. Sponsor/Funding Agency: SSHRC MCRI			
8. Have there been any changes to the study (study design, changes in recruitment material, procedures, consent process,) that have not already been reviewed and approved by the Beh-REB? <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No If Yes, please submit an amendment.			
9. Have there been any changes in research personnel such as principal investigator, sub-investigators or students? <input checked="" type="checkbox"/> Yes <input type="checkbox"/> No If Yes, please list the former/new personnel and position.			
Student investigators in Summer 2008: G. Webb, M. Kuntz, N. Zettl and G. Ericson			
10. What is the current status of the study? (Please mark all that apply)			
<input type="checkbox"/> Recruitment has not yet started.			
<input type="checkbox"/> Research participants are currently being recruited.			
<input type="checkbox"/> Recruitment is closed			
<input type="checkbox"/> Data collection involving participants is on-going.			
What was the original number of participants to be recruited?			
How many research participants are currently in the study?			
Is there a significant change in anticipated enrollment? Is yes, please explain. <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No			
<input checked="" type="checkbox"/> The data collection is complete, remaining research activities are limited to data analysis only.			
How many research participants have completed the study? 75 institutional participants; 150 personal participants			

Page 1 of 2

<input type="checkbox"/> The study is closed (Please complete the Behavioural Study Closure Form)
<p>11. Since receiving original ethics approval, have any ethical concerns arisen? <input type="checkbox"/> Yes    <input checked="" type="checkbox"/> No          If Yes, please describe concerns in detail.</p>
<p>12. Provide a brief summary of study progress and results (if known).</p> <p>Surveys I-III were completed in 2008. Transcribed copies of the surveys were submitted to the ISRN database.</p> <p>Preliminary findings on survey III (Phillips and Webb) were presented to the ISRN annual meeting May 2, 2008, in Montreal.</p> <p>Preliminary findings on survey I (Phillips and Kunz) were presented to the ISRN annual meeting May 2, 2009, in Halifax.</p> <p>115 respondents to the supplementary personal survey (109 usable) were received and included in the paper by Phillips and Webb.</p> <p>Webb completed his work on approx. 30 creatives, undertaken the analysis, presented a paper at the ISRN annual meeting in 2009 in Halifax and has submitted his draft thesis to his thesis committee. The oral defense is expected in June 2009.</p>
<p>13. Have any findings, new information or study modifications changed the risk level of this study for current and future participants? If Yes, explain the changes made, how participants will be notified and whether or not participants will be re-consented.</p> <p>None.</p>
<p>14. Indicate the expected closure date of this study: while the surveying is done, ongoing research of the results will take until 2011.</p>



Signature of Principal Investigator



Date

### Appendix 3: Creative Social Entrepreneurs Biographical Data

#### Creative Social Entrepreneurs Biographical Data

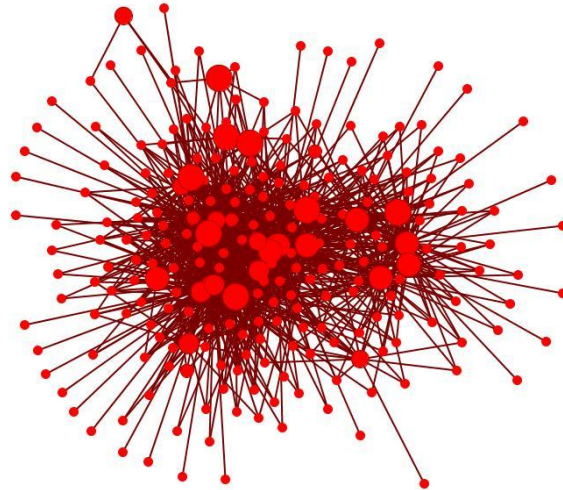
	Sector	Age	Gender	Born in Saskatoon	Years to date since moving to Saskatoon
1	Government	56	F	No	N/A
2	CBO	35	M	No	8
3	University	41	F	No	34
4	CBO	N/A	F	No	29
5	CBO	60	F	Yes	N/A
6	Government	35	M	No	6
7	University	59	M	No	4
8	University	42	M	No	N/A
9	Industry	35	M	No	N/A
10	CBO	62	M	Yes	N/A
11	Government	52	M	Yes	N/A
12	Other	35	F	Yes	N/A
13	Other	54	M	No	37
14	University	51	F	No	20
15	Government	42	F	No	23
16	CBO & Industry	N/A	F	Yes	N/A
17	CBO	58	F	Yes	N/A
18	Industry	53	F	No	52
19	University	31	F	N/A	N/A
20	Industry	54	F	Yes	N/A
21	Industry	52	M	No	34
22	CBO	57	F	Yes	N/A
23	Government & Industry	35	F	No	20
24	CBO	53	M	No	1
25	University	52	F	No	20
26	CBO	54	M	Yes	N/A
27	University	64	F	No	18
28	University	54	F	No	36
29	University	43	F	Yes	N/A
30	Industry	50	F	Yes	N/A

## Appendix 4: Social Network Maps:

For each of the four network types (work, community involvement, casual acquaintances, and friendship) three different images are displayed. In each of these three images the nodes will be sized according to their levels of entrepreneurial capacity, informal creativity, or professional creativity (the larger the circle the higher level each node possesses).

### SNA 1 : Work (Entrepreneurial Capacity)

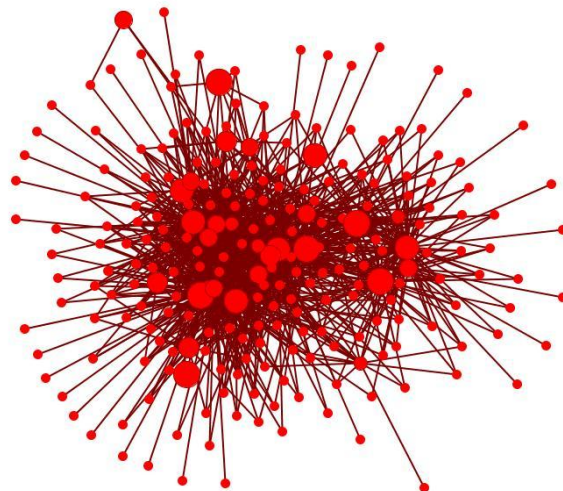
G. Webb - November 2008



powered by DRA, CASOS Center @ CMU

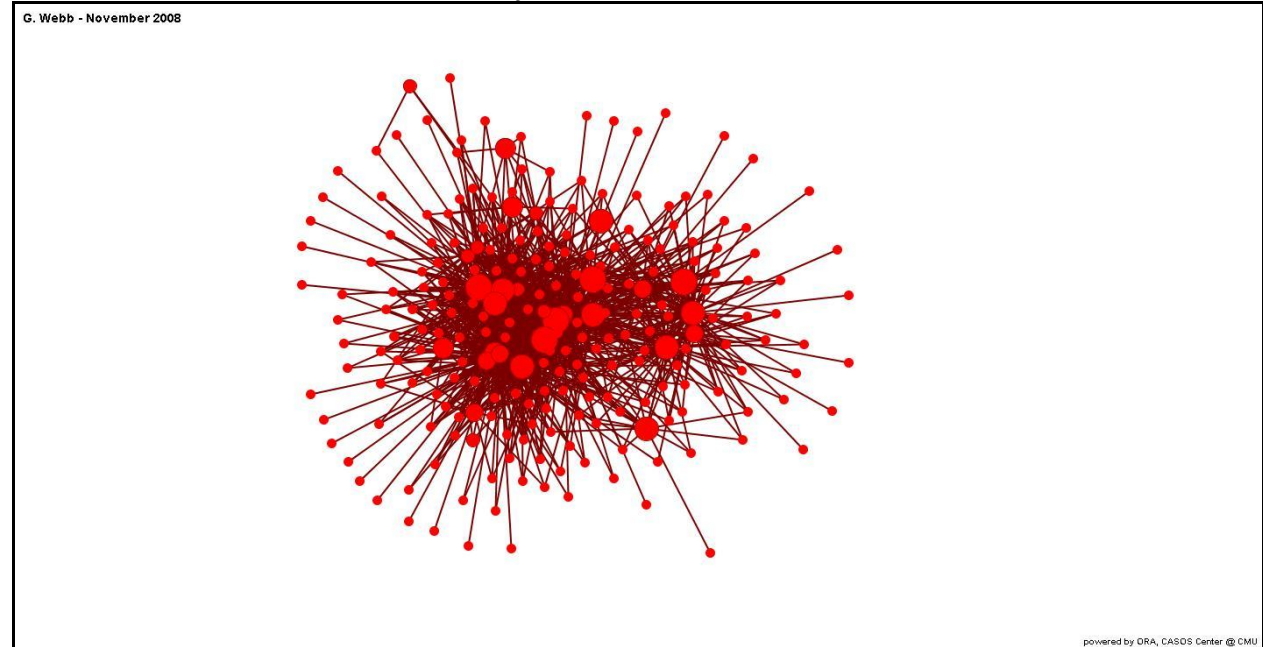
### SNA 2: Work (Informal Creativity)

G. Webb - November 2008

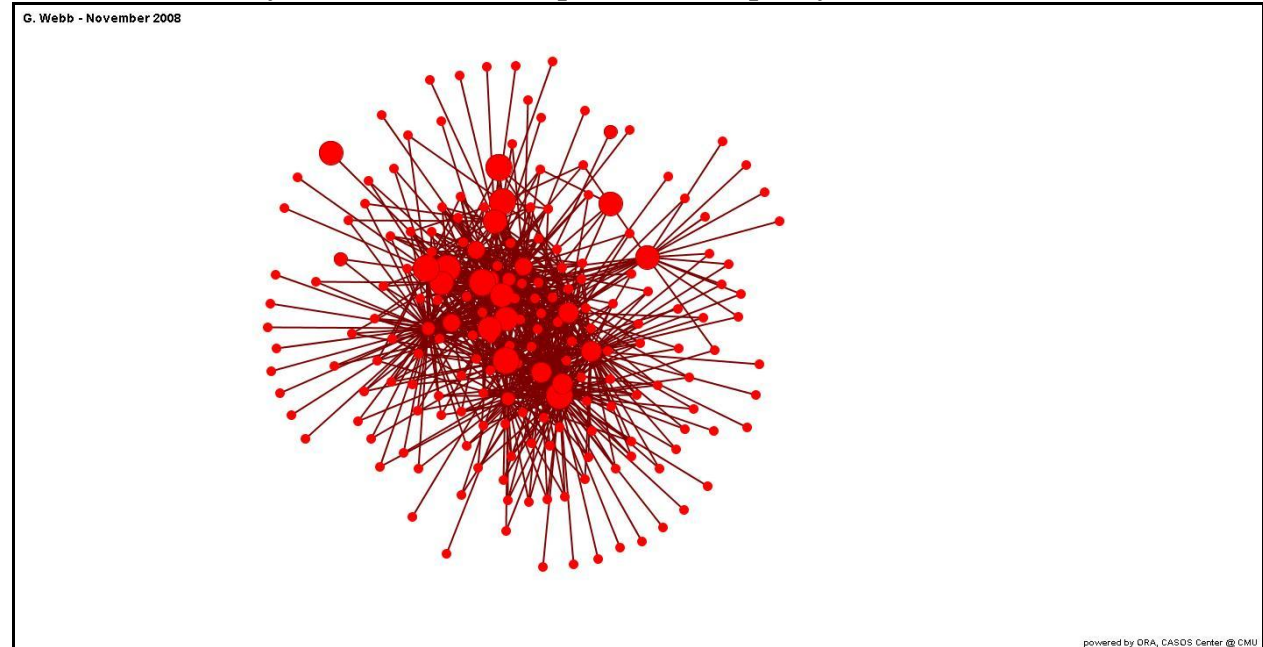


powered by DRA, CASOS Center @ CMU

### SNA 3: Work (Professional Creativity)



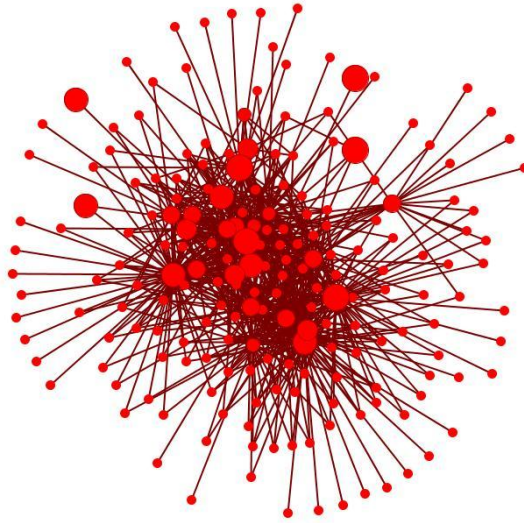
### SNA 4: Community Involvement (Entrepreneurial Capacity)





### SNA 5: Community Involvement (Informal Creativity)

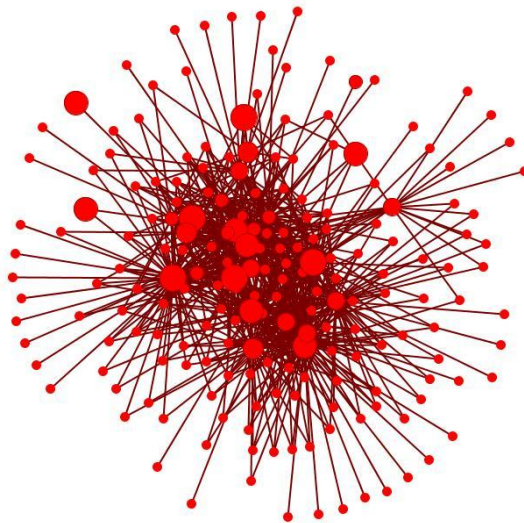
G. Webb - November 2008



powered by DRA, CASOS Center @ CMU

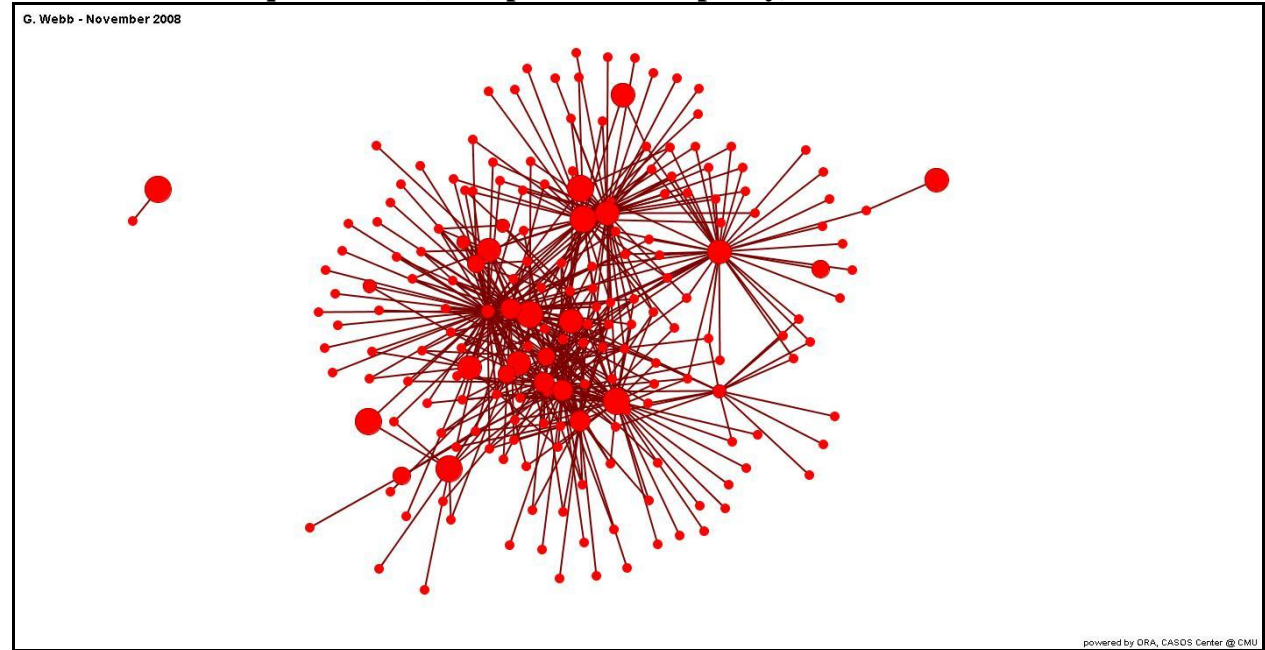
### SNA 6: Community Involvement (Professional Creativity)

G. Webb - November 2008

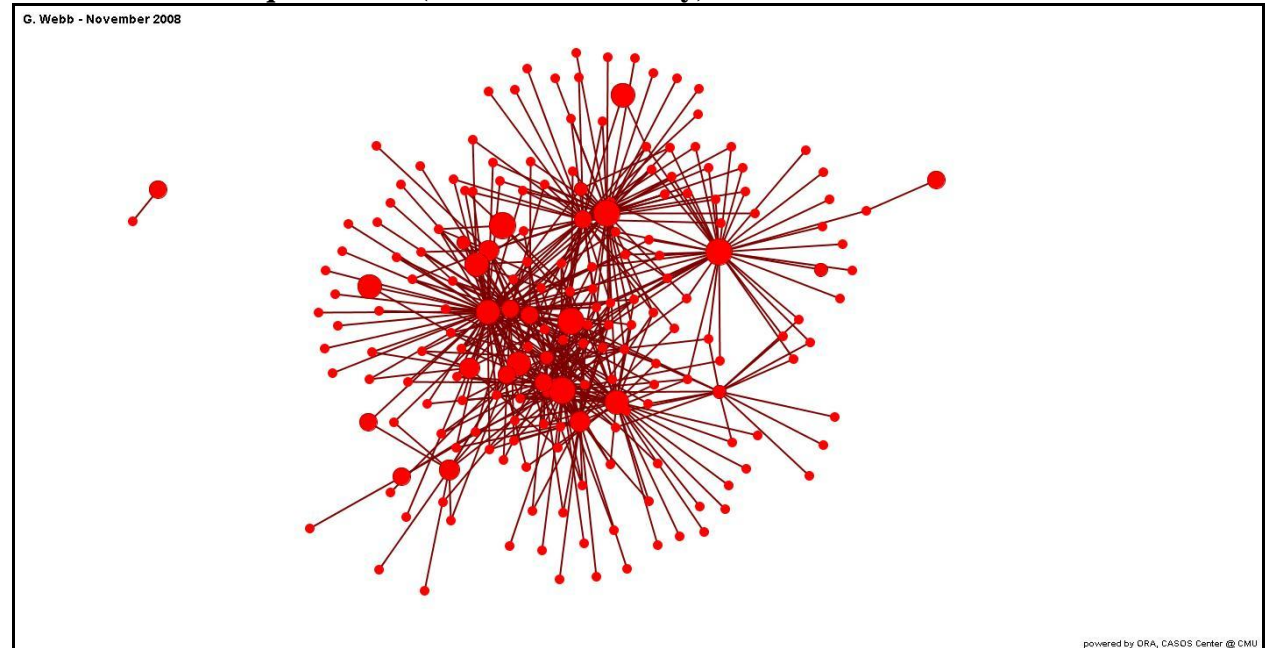


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### SNA 7: Casual Acquaintance (Entrepreneurial Capacity)

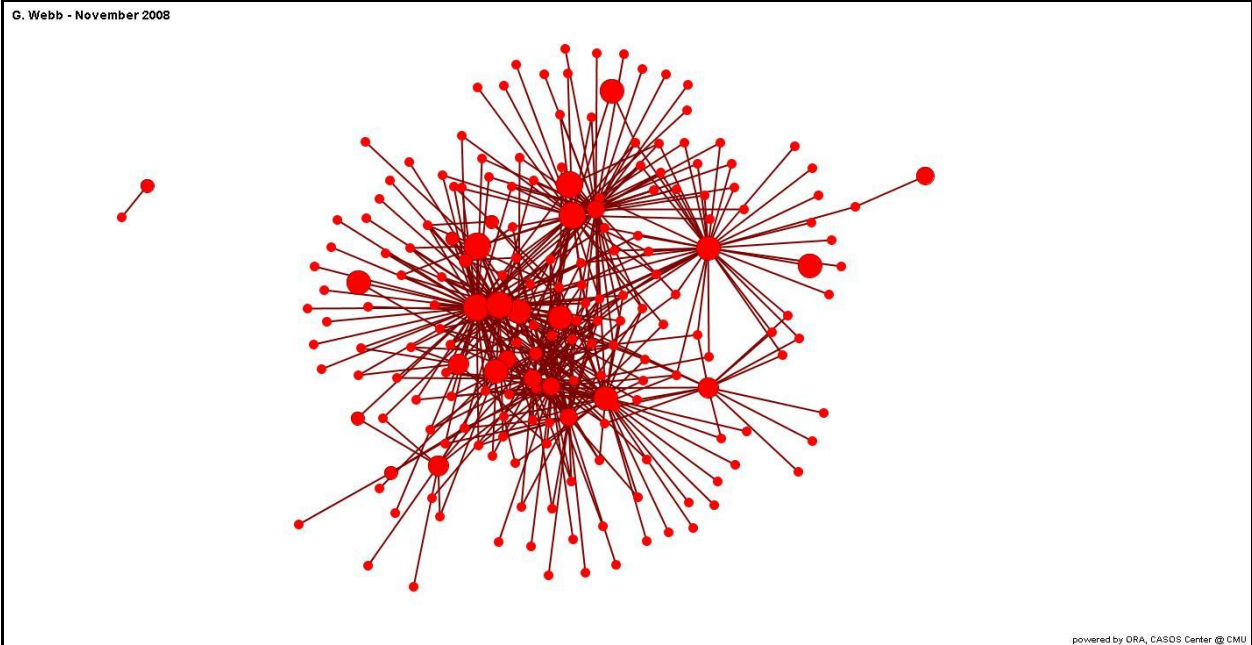


### SNA 8: Casual Acquaintance (Informal Creativity)



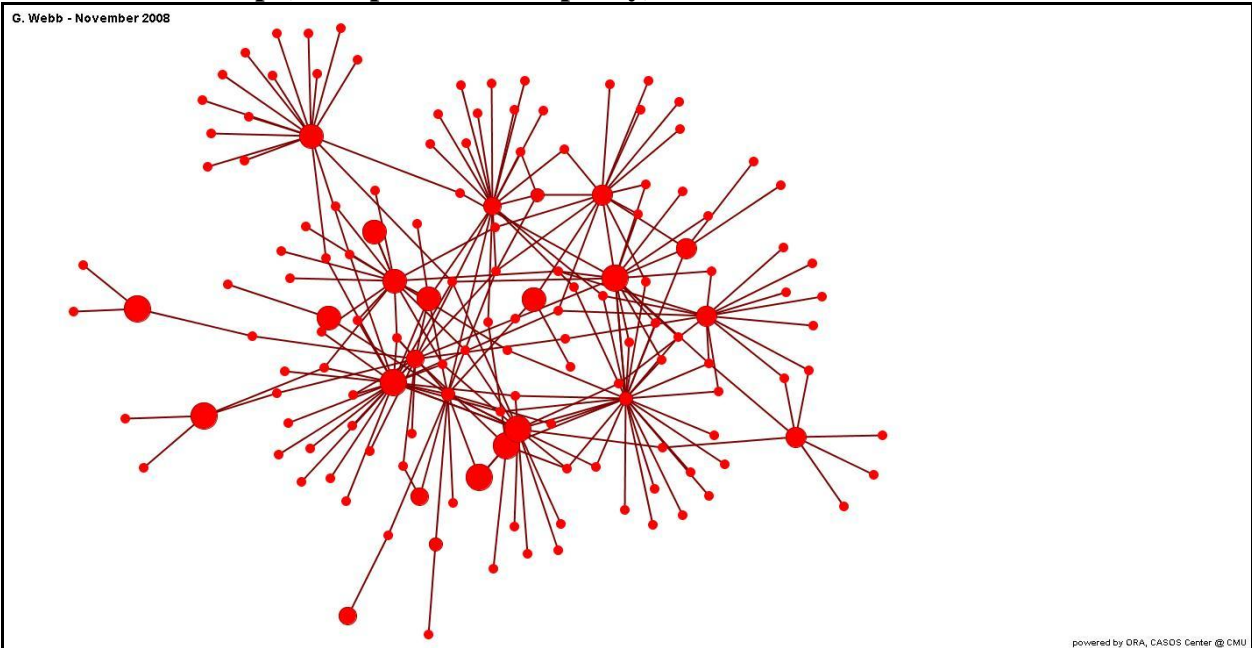
### SNA 9: Casual Acquaintance (Professional Creativity)

G. Webb - November 2008



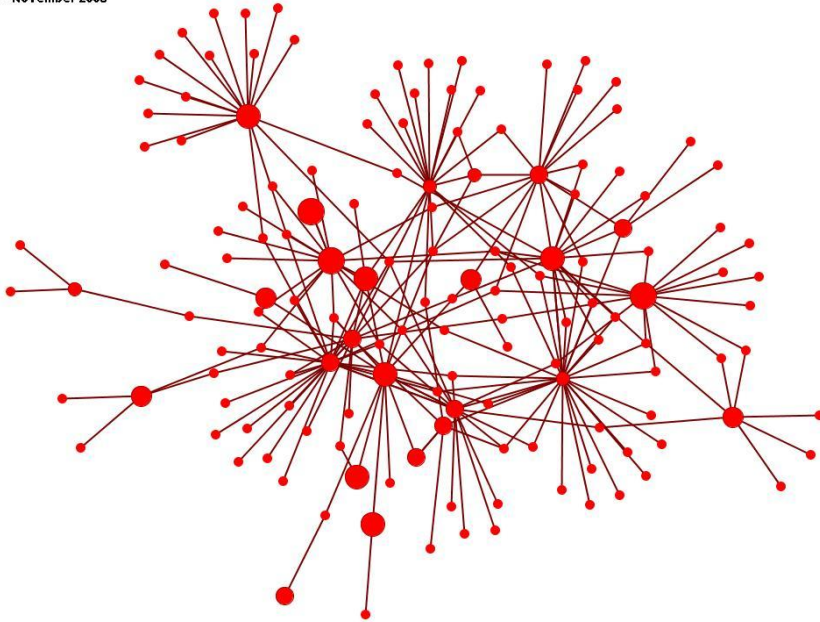
### SNA 10: Friendship (Entrepreneurial Capacity)

G. Webb - November 2008



### SNA 11: Friendship (Informal Creativity)

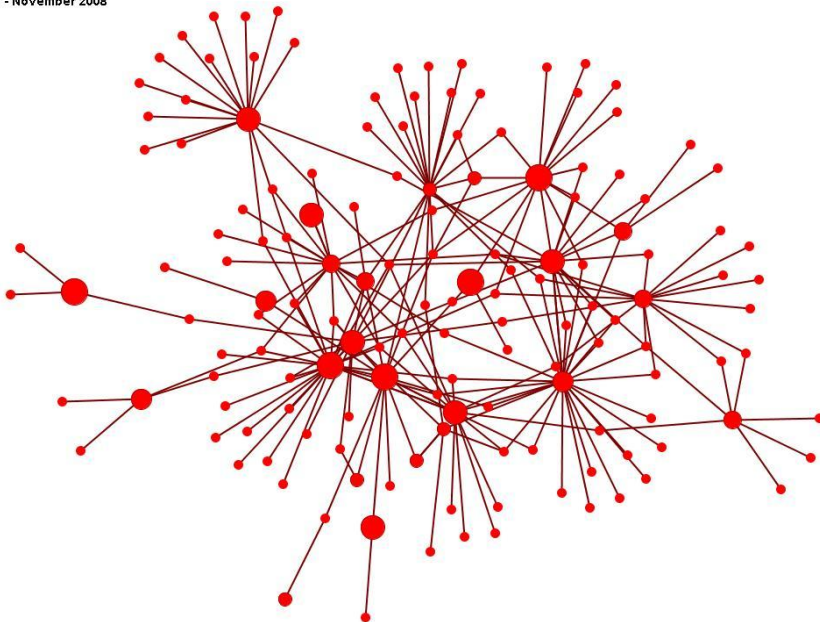
G. Webb - November 2008



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### SNA 12: Friendship (Professional Creativity)

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