

Social enterprises and their social innovation dimensions:
Insights from Mexico

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Abstract

This thesis investigates three different social enterprise understandings in Mexico and their social innovation compound. The first part of the thesis investigates the organisational dimension and the institutional context of the following three social enterprise understandings: 1. Market-oriented social businesses, 2. Indigenous social enterprises and 3. Non-profit organisations with economic activities. The second part develops a conceptual framework to explain the intersection between social enterprises and social innovation. The framework, developed from a systemic analysis of the social enterprise and social innovation literature, explains the social innovation compound of social enterprises through seven dimensions: 1. Focus of the social innovation, 2. Agency vs structure, 3. Economic model consonance, 4. Knowledge construction and valorisation, 5. Type of governance and distribution of power, 6. Spatial dimension, and 7. Politicising vs depoliticising. The framework uses these dimensions to identify the social innovation approaches of social enterprises, being either radical or instrumental. The third part of the thesis applies the conceptual framework to empirical data collected in the field to explain the social innovation of two social enterprise understandings in Mexico: indigenous social enterprises, and market oriented social businesses.

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Author's declaration

I declare that this thesis is a presentation of original work and I am the sole author. This work has not previously been presented for an award at this, or any other, University. All sources are acknowledged as references.

Publications

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Chapter 1. Introduction.

1.1 Introduction

The aim of this chapter is to present the rationale, motives and context that led the researcher to embark on this PhD journey. In order to achieve this, Section 1.2 presents the background of the topic under study and the research gaps that led to the formulation of the main objectives that this investigation aims to address. Section 1.3 presents the general aim and main objectives of the research. Section 1.4 provides a general outline of the thesis under the name “thesis in a box”, whereby a summary of each of the chapters is outlined. Section 1.5 presents a succinct country profile of Mexico. Finally, Section 1.6 presents a brief description of the research setting in order to give the reader a more holistic understanding of the investigation.

1.2 Background

Parallel to the exacerbation of complex social and environmental problems occurring at a global level, such as climate change and growing rates of income inequality (Doherty et al., 2014); at a regional level, such as mass migration (UN, 2017); or at a local level, such as lack of access to water, energy or communication networks (CDI, 2015), the academic literature on social enterprise (hereafter, SE) and social innovation (hereafter, SI) has gained momentum (Doherty et al., 2014; Galera & Borzaga, 2009; Noya, 2012). Beyond academia, attention to SE and SI has also rapidly increased (Galera & Borzaga, 2009), attracting the attention of governments (Wilkinson et al., 2014), international agencies (OECD, 2010), and practitioners (Bornstein, 2007). Despite the increased attention that social enterprises (SEs) have received, the term continues to be contested to this day (Ayob et al., 2016; Gordon, 2015; Teasdale, 2011; Teasdale et al., 2013). For some, SE is understood as a socially oriented organisation embracing a “business” source of revenue (Kerlin, 2013); for others SE is a hybrid organisation that pursues financial sustainability and social purpose (Doherty et al., 2014), yet, for some others SE is a democratically controlled and collectively owned organisation that aims to solve a common problem affecting a community (Defourny & Nyssens, 2013a).

A critical observation of the discussion around the SE understandings in the most cited academic publications in the field (see Figure 2.4 in Chapter 2) reveals that this is dominated by research that focuses on countries of the global North, predominantly the UK, the USA and mainland Europe (Defourny & Nyssens, 2012; Kerlin, 2006). To this

day, SE understandings of the global South are not included in this academic discussion (see Figure 2.4 in Chapter 2). It is worth recognising that projects investigating SE understandings of the global South have emerged in very recent times, such as “The International Comparative SEs Models” project (Defourny, Nyssens, & Brolis, 2018), or the “Shaping SE: understanding institutional context and influence” project of Kerlin (2017). Yet, the scope of these projects is very limited when the number of countries that represent the global South is acknowledged. The global South represents all the countries within Latin America, Asia, Africa and Oceania—with few exceptions such as Japan, South Korea, Singapore, Australia and New Zealand (Dados & Connell, 2012). On the backdrop of this situation, it is necessary to contribute to the development of a more globally balanced, plural and inclusive research on SE. This thesis aims to address this gap in the SE literature and explore how SEs are understood in Mexico, a country of the global South, whose geopolitical location, history and social context, makes it a unique case. This knowledge gap represents the main objective one (MO1) of the thesis: To investigate the SE understandings in Mexico.

Regardless of how SE is understood, a core element of SEs is their degree and capacity to transform social reality. Academics have associated this core element to SI (Defourny & Nyssens, 2016; Maclean et al., 2013; Nicholls, Simon, et al., 2015a). SI, in a similar fashion to SEs, has also gained relevance in the past decade (Cajaiba-Santana, 2014), among policy makers, practitioners and academics (Baglioni & Sinclair, 2014; Moulaert et al., 2013). In this regard, research on SI spreads across multiple disciplines such as management, territorial development, public policy, social entrepreneurship and social economy (Baglioni & Sinclair, 2014; Cajaiba-Santana, 2014). In this perceptible association between both concepts, from the point of view of the SE literature, scholars have considered SEs as a subset of SI (Nicholls, Simon, et al., 2015a), as disseminators of SI (Austin et al., 2006), or as developers of social innovations (SIs) (Spear et al., 2009). From the point of view of the SI literature, SI has been considered as an outcome of SEs (Haugh, 2005); others place it as the very core of SEs themselves (Goldstein et al., 2010). These and other studies (Defourny & Nyssens, 2016; Laville et al., 2007) evidence that both concepts intertwine at various degrees and depths. Yet, in the SE and SI literature the connection between both concepts remains dispersed, disassociated and unclear. This knowledge gap limits the comprehension of how SEs transform social reality through SI. This gap in the literature represents the second main objective of the thesis (MO2): To develop a SI Conceptual Framework to identify the SI approaches of SEs.

Within Mexico, multiple SE understandings coexist and receive different names. Regarding understandings, local academics such as Conde-Bonfil (2016) frame SE as organisations that belong to the social economy, others, such as Vazquez-Maguirre (2018) conceive these organisations as fundamental components for indigenous communities to achieve their sustainable development. Orozco-Quintero and Davidson-Hunt (2010) envision these organisations as a response of indigenous communities of Mexico to reclaim and manage their commons. Wulleman and Hudon (2016) visualise SEs in Mexico as social entrepreneurship within the conceptual limits of Zahra *et al.* (2009). Finally, Conway and Dávila (2018), frame SEs as part of the multifaceted expressions of the social entrepreneurship movement in Mexico.

Regarding terminology, local practitioners, government and academia use different names to refer to organisations that resemble SEs, such as impact business (*negocio de alto impacto*) (INADEM, 2013), social business (*negocio social*) (YunusCentre, 2014), social entrepreneurship (*emprendimiento social*) (Conway & Dávila, 2018; Portales, 2018), community enterprise (*empresa comunitaria*) (Orozco-Quintero & Davidson-Hunt, 2010) social economy (*economía social*) (Conde, 2016) and solidarity economy (*economía solidaria*) (Oulhaj, 2015)

Regardless of the nomenclature and understandings of SE in Mexico, all aim to contribute to solving social and/or environmental problems. Yet, a consolidated and rounded understanding of the rationales, mechanisms and processes through which these organisations address social and/or environmental problems remains unknown. This thesis aims to address this knowledge gap using the SI framework developed in Chapter 3 to explain the SI approaches of SEs in Mexico. This knowledge gap represents the third main objective of this thesis (MO3): To investigate the SI approaches of SE understandings in Mexico.

1.3 Research aim and objectives

The aim of the thesis is: To investigate the SE understandings in Mexico and its SI approaches.

The main objectives of the thesis are:

MO1. To investigate the SE understandings in Mexico (Chapter 5).

MO2. To develop a SI conceptual framework to identify the SI approaches of SEs (Chapter 3).

MO3. To investigate the SI approaches of SE understandings in Mexico (Chapter 6).

1.4 Thesis in a box

This thesis is broadly divided into two key sections, consisting of core chapters and complementary chapters. Chapters 3, 5 and 6 form the core chapters. The aim of these chapters is to address the research objectives stated in this thesis. The other four, Chapters 1, 2, 4 and 7, form the complementary chapters. The purpose of these chapters is to explain the structure and rationale of the research, to contextualise the object of study through a literature review, to present the methodology, and to draw a general discussion and conclusions of the thesis.

Chapter 1, Introduction, presents the research aim and objectives of the thesis. The aim of this thesis is to investigate the SEs understandings in Mexico and their SI approaches. To achieve this, three main objectives were set. MO1: To investigate the SE understandings in Mexico (Chapter 5). MO2: To develop a SI Conceptual Framework to identify the SI approaches of SEs (Chapter 3). MO3: To investigate the SI approaches of SE understandings in Mexico (Chapter 6). Chapter 1 also presents at a macro level the social, political and economic context of the country where the study takes place, and at a micro level, a description of the research setting and conditions under which the study takes place.

Chapter 2, Literature Review, offers a review of the SE literature from a perspective of geography of knowledge production. The chapter uses this perspective to critically analyse the production of knowledge in a world that is transversally crossed by modern/colonial power dynamics, then, uses this perspective to contextualise SE understandings in the literature. Firstly, the chapter presents and develops the perspective of knowledge production. Secondly, it applies the perspective to the SE literature. Thirdly, it uses this perspective to create a cartography of SE understandings. Fourthly, it identifies the knowledge gap in the literature and presents the MO1 of the thesis. Finally, it presents the EMES framework along with its limitations.

Chapter 3, the first core chapter of the thesis, addresses MO2, that is: To develop a SI conceptual framework to identify the SI approaches of SEs. The chapter presents a conceptual framework developed from a systematic analysis of the SE and SI literature. Firstly, the chapter offers a review of the SI literature and its connection to SEs. Secondly, it presents the methodology followed to develop the framework. Thirdly, it shows the

process of development of the framework following a process of analysis and reflection upon the literature. Fourthly, it explains all the seven dimensions of the framework. Finally, it discusses the significance of the framework and its contribution to the literature.

Chapter 4, Methodology, explains the methodological approach followed in the thesis to develop Chapters 5 and 6. Firstly, the chapter explains the philosophical stances of the research. Secondly, the chapter describes the case study design followed in the thesis. Thirdly, the chapter describes the unit of analysis, the data gathering process, the ethical considerations and the data collection instruments. Fourthly, the chapter presents the strategy and process of data analysis. Finally, it presents the methodological limitations.

Chapter 5, the second core chapter of the thesis, addresses MO1, that is: To investigate the SE understandings in Mexico. The chapter presents three SE understandings identified in Mexico in light of the EMES framework: 1) Market-oriented social businesses, 2) Indigenous SEs, and 3) Non-profit organisations with economic activities. Firstly, the chapter presents an overview of the SE movement in Mexico and explains the socio-economic conditions of the country. Then, the chapter proceeds to develop each of the three SE understandings identified from four perspectives: A) Context and origins, B) Social mission and economic activities, C) Ownership and governance, and D) Challenges, threats and weaknesses. Finally, it draws a conclusion.

Chapter 6, the third core chapter of the thesis, addresses MO3, that is: To investigate the SI approaches of SE understandings in Mexico. The chapter analyses the SI approaches of two SE understandings identified in Chapter 5: 1) Market-oriented social businesses and 2) Indigenous SEs. The chapter uses the SI Conceptual Framework developed in Chapter 3 to explain the seven SI dimensions of each understanding and determine their SI approach.

Chapter 7 corresponds to the general discussion and conclusion of the thesis. This chapter integrates the different objectives addressed, discusses the main findings and draws final conclusions.

1.5 Country profile of Mexico

Mexico is a country of 126 million inhabitants (INEGI, 2020), from which 6% (7 million) are Indigenous and 2% Afromexican (2.5 million). The country is geographically located in North America, it borders the USA to the north, and Belize and Guatemala to the south.

Mexico joined the North American Free Trade Agreement (NAFTA) in 1994 (Moreno-Brid et al., 2005). Since then, the country has orientated its economic policies towards favouring trade liberalisation (Esquivel & Rodríguez-López, 2003). Mexico is today the fifteenth largest economy in the world in terms of GDP, with an average annual growth rate of 2.37% in the last two decades (Bank, 2018). Despite bordering the largest economy in the world, the rate of the population living in multidimensional poverty has only decreased¹ 2.5% -from 44.4% to 41.9%- in ten years -from 2008 to 2018- (CONEVAL, 2019a). Income inequality placed Mexico in the first quartile at global level (Esquivel, 2015). Since 2006, the country has been immersed in a wave of high levels of violence because of the war against the drug cartels declared by the 2006-2012 federal administration (Rosen & Martínez, 2015). Over 250,000 violent deaths are attributed to that war (Tierrablanca & Lara, 2018). The perception of corruption occurring at the higher levels of the public sector reached its historical maximum during the federal administration of 2012-2018. Mexico's corruption perception score passed from 34 out of 100 points in 2012, to 28 out of 100 points in 2018 in the Corruption Perception Index, placing Mexico as 138th out of 180 most corrupt country (CPI, 2019, p. 3). In 2019, after six consecutive right-wing federal administrations (36 years)², Mexico elected with 53% of the votes (INE, 2018), a progressive left-wing president, and has also voted an absolute majority in both chambers -deputies and senators- to representatives of the president's same party-coalition. Thus, two of the three powers of the federation³ are now in the hands of public representatives of the same party-coalition. This significant political turnaround has led to a rapid implementation of new policies in economic and social affairs at national scale.

1.6 Research setting

This section presents the context in which the research was conducted, referring to the physical and non-physical conditions in which the field work was carried out, i.e. specifically describing the Mexican context. The importance of this section is to give the reader a more contextualised understanding of the research, and more specifically of the results presented in the thesis.

¹ In absolute terms the population in poverty augmented from 49.5 to 52.4 million people between 2008-2018

² NAFTA was signed during the first these federal administrations.

³ Executive, Legislative and Judicial

The researcher conducted data collection in Mexico in two field trips, the first during August-September 2017 and the second during March-April 2018. As many of the actors composing the SE and SI “sectors” are based in Mexico City, and because of economic and time constraints, the researcher was only based in this City. Mexico is a centralised country: most of the national government offices are located in Mexico City, and many of the top universities (public and private) and research centres. Regarding the actors that form part of the SE and SI “sectors”, many of them are also based in Mexico City. The researcher used public transport to attend face-to-face meetings appointed around the city or in the metropolitan area (n= 29). Most of the interviews occurred in the morning and in the working spaces of the participants. Few interviews took place in public spaces, mainly in coffee shops. The researcher interviewed by phone or skype those participants (n=16) located in other cities such as Guadalajara and Monterrey.

All study participants were first informed of the aim of the study and were asked to participate on a voluntary basis, following prior-informed consent. During the data collection process, all except two participants showed a very receptive and positive attitude towards participating in the research. They really empathised with the idea of being able to contribute to the academic development of the “SE” and “SI” fields in Mexico. The two exceptions were researchers that disagreed with the approach of the research. This occurred at the very beginning of the interview, when the researcher was introducing the topic. They decided not to take part in the study. Therefore, these two participants are not included in this thesis.

Chapter 2. Literature review: social enterprise understandings from a perspective of geography of knowledge production

2.1 Introduction

This chapter offers a review of the social enterprise literature from a perspective of geography of knowledge production. Its four objectives are: 1) to draw a contextual background for the topic of study; 2) to introduce key concepts for this research; 3) to present the theoretical framework used in the thesis; and 4) to highlight the knowledge gap in the literature. Accordingly, Section 2.2 of this review develops the background, key terminology and concepts that englobe the perspective of geography of knowledge production. Section 2.3 applies this perspective to the social enterprise literature to disclose firstly, the regions and countries where the most cited social enterprise publications are produced, and secondly, the regions and countries these publications focus on. Section 2.4 presents conceptual characteristics of the social enterprise understandings identified within the publications reviewed; these are categorised into three groups, Anglo-American, European-mainland, and Latin-American. These first Sections 2.2 to 2.4 set the epistemological and conceptual boundaries of the object under study, as well as their connections to their socio-economic contexts of origin and existence. Section 2.5 then delineates the knowledge gaps that this thesis aims to address, finally Section 2.6 presents the theoretical framework used in this thesis and Section 2.7 concludes with some final remarks.

2.2. The geography of knowledge production approach

Even though the term social enterprise (SE) has gained relevance in academic literature in the last decade, it still prevails as a contested concept (Dart, 2004b; Young & Lecy, 2014). Due to the nature of this thesis, that is to investigate the SEs of Mexico, this chapter presents a review of the contestation of the SE concept in the literature from a perspective of geography of knowledge production. Due to the fact that Mexico is a country located in the global South, it is crucial for this literature review to go beyond a plane recapitulation of the different SE understandings currently present in academic literature, to conduct a review that recognises how and by whom these understandings are produced, under which and for which contexts, and which role each understanding plays in the assortment of SE narratives at a global level. Through this perspective, referred to as a geography of knowledge production approach, it becomes possible to identify knowledge

gaps that are relevant for the comprehension of SEs in the global South, and in particular in Mexico.

This Chapter reviews the literature from that perspective in order to create a cartography of SE understandings capable of including those located outside the academic literature produced in the global North. The perspective of geography of knowledge production refers to an approach that critically analyses the production of knowledge in the global North and South by disclosing the role that it plays in a world that is transversally crossed by Colonial/Modern power dynamic (Mignolo, 2007). The following paragraphs develop the background, key terminology and concepts that englobe the perspective which is then applied to the SE literature in Section 2.2.2

The global North refers to the countries within Europe and North America (excluding Mexico). Whereas the global South refers to the rest of the countries within Latin America, Asia, Africa and Oceania – with few exceptions such as Japan, South Korea, Singapore, Australia and New Zealand – in a nutshell, *the west and the rest* (Hall, 1992). The North-South denomination puts emphasis on geopolitical power relations between regions/countries rather than on cultural difference or development (Dados & Connell, 2012). This denomination is an equivalent of other binary terms such as “core” and “periphery” (Wallerstein, 1974b), and “Developed”, “developing”, “First World” and “Third World” (Dados & Connell, 2012).

With respect to the terms, Coloniality/Modernity, these were coined by the Peruvian sociologist Anibal Quijano in 1992. They were adopted and further developed by other⁴ Latin-American scholars who organically established the basis of decolonial studies. Although formally these scholars are not grouped, they are known as the group or the network *Colonialidad/Modernidad-Racionalidad* (Coloniality/Modernity-Rationality). The term *Colonialidad/Modernidad-Racionalidad* in itself englobes the premise that grounds decolonial studies. It is important to note at this point, that decolonial studies are not the same as postcolonial studies. Although both have been successful in questioning and demonstrating that the endogenous European origins of modernity are false and the emergence of the modern world needs to account broader histories of colonialism, empire

⁴ Ramón Grosfoguel, María Lugones, Enrique Dussel, Zulma Palermo, Edgardo Lander, Arturo Escobar, Walter Mignolo, Agustín Lao-Montes, Catherine Walsh, among others.

and enslavement (Bhabra, 2014b; Byrd & Rothberg, 2011), postcolonial and decolonial studies build this from different standpoints. Both studies are succinctly explained below.

2.2.1 Postcolonial and decolonial studies

Although both studies are composed of a plurality of perspectives today, the works of some scholars are regarded as seminal. For postcolonial studies, these are the works of Gayatri Spivak (1988), Edward Said (1978) and Homi Babha (1994). For decolonial studies, these are the works of Anibal Quijano (2000), María Lugones (2008) and Walter Mignolo (2012).

Postcolonial studies emerged in the 1980s grounded in the ideas of Spivak, Said and Babha to rethink the history of South Asia and the East outside the bounds of colonialist, elite, nationalist, and Marxist frameworks (Byrd & Rothberg, 2011). Postcolonial studies contest modernity by rearticulating its narratives, both in historical and theoretical terms, encompassing the critical-theoretical perspectives emerging from displaced, interrogative subalterns and post slavery narratives (Bhabra, 2014). Although postcolonial studies directly address issues of the material and socio-economic, they have remained firmly within the realm of the cultural, problematising the representation of the other in the literature (Bhabra, 2014b). Table 2.1 succinctly presents the thesis of the seminal works of Spivak, Said and Babha.

Table 2.1 Thesis of the seminal works of Spivak (1988), Said (1978) and Babha (1994).

Postcolonial studies				
Author	Country of origin	Country of base	Seminal work	Thesis
Spivak Gayatri	India	United States of America	Can the Subaltern Speak?, 1988 (Essay).	In 'Can the Subaltern Speak?', Spivak offers an analysis of the relationship between Western discourses and the possibility of speaking of (or for) the subaltern (woman). For Spivak, the ultimate subaltern subject is the sub-proletariat female. Using the concept of subaltern from Gramsci, and responding to a Foucault interview in 1979, she concludes that the intellectual and political contributions of French post-structuralist theory fail to address the implications of imperialism in discussions of power and epistemic violence. Spivak criticises that European intellectuals seem to think that the material reality of European subalterns is universal.

Said Edward	Palestine (British Mandate of)	United States of America	Orientalism, 1978 (Book).	Using Foucault's concept of discourse, Said argues that the Orient (The East) is discursively produced by Europe (The West) over preconceived Eurocentric ideas. This Eurocentric lens to observe the Orient from Europe is what Said calls Orientalism. Orientalism, which is regarded by the West as universal truth, is constructed on an analytical bifurcation of the world and an elision of that bifurcation. In this bifurcated and partially omitted idea of the world, the "other" is removed as producer of an effective history of modernity. History, then, became the product of the West in its actions upon others, and Modernity is then regarded as endogenous to the West. Because of this, the material domination of the West over the "other" is naturalised and justified.
Babha Homi	India	United States of America	The Location of Culture, 1994 (Book).	Babha aims to re-inscribe "other" cultural traditions into narratives of modernity and thus transform those narratives, both in historical and theoretical terms. Babha's concept of Hybridity refers to the essence of cultures as dynamic processes characterised by change, flux and hybridity. The hybridity idea of Babha dismantles the binary essence of superior Britishness and inferior Indianness; by doing so, the cultural justification of the colonial project collapses. The colonial discourse that upholds the notion of culturally superior Britishness as the core justification to civilise the West breaks down because according to Babha there is no inherent notion of superior and inferior culture. Then, the colonial project historically regarded as civilizing, disappears and is reduced to the exploitation of other people's lives, lands and resources through brute force.

Source: compiled by the author using information from Ashcroft et al., 2013; Asher, 2017; Bhabra, 2014; Byrd and Rothberg, 2011; Carrillo-Rowe, 2017.

Decolonial studies emerged in the 1990s around the ideas of Quijano, Lugones and Mignolo, among other Latin-American scholars, some of them linked to the World Systems Theory developed by Wallerstein (1974a). Decolonial studies view coloniality and modernity as two faces of the same coin, neither could exist without the other (Mignolo, 2000). Under this view, capitalism did not exist before colonisation, nor was it brought by the colonisers, but came into existence because of colonisation; therefore, the colony is the condition of possibility of capitalism and modernity (Mendoza, 2019).

Decolonial studies argue that the colonies, in what is modern-day Latin-America, were not pre-modern to the modernity project of Europe but rather were the subaltern face of the modernity project (Mendoza, 2017). In decolonial studies, coloniality is conceived as the other face, or the "dark side" of modernity, as well as of capitalism. Coloniality, therefore, is at the same time the origin and the result of modernity (Quijano, 1992). For decolonial studies the slavery, forced labour and rightlessness of the colonised exist in dialectical relation to the liberal notions of liberty, equality, justice and free labour of the coloniser (Mendoza, 2019).

Table 2.2 Thesis of the seminal works of Quijano (2000), Lugones (2008) and Mignolo (2012).

Decolonial studies				
Author	Country of origin	Country of base	Seminal work	Thesis
Quijano Anibal	Peru	United States of America	Coloniality of power and eurocentrism in Latin-America, 2000 (<i>Colonialidad del poder y eurocentrismo en América Latina</i> , 2000)(Journal article)	Quijano argues that race is the first mentally constructed category brought to humanity by Modernity. Although for centuries human populations have differentiated and dominated each other, the battle for power was what distinguished the defeated from the victorious. On the other hand, the idea of race (which did not exist pre colonisation), inherently categorised some populations as inferior to others. From the colonisation of what is modern-day America, onwards, the human species was globally re-classified by Europeans into races, therefore, the global population was racialised. For Quijano, race constituted the fundamental axis from which a new global pattern of power emerged. This pattern of power is what Quijano names <i>Colonialidad del Poder</i> (Coloniality of Power), and which persists to this day.
María Lugones	Argentina	United States of America	Coloniality and gender, 2008 (<i>Colonialidad y género</i> , 2008) (Journal article)	Lugones argues that beyond race, Modernity also brought to humanity other mentally constructed categories such as sexuality and gender. The arrival of the Europeans to what is modern-day America erased existing sex practices, sexual relations and gender categories of indigenous populations; these were substituted with a binary, homogeneous and hierarchical category of male and female. Lugones argues that the intersection of gender and sexuality, together with race and class, constitutes the <i>Sistema Moderno/Colonial de Género</i> (Colonial/Modern Gender System). For Lugones, the intersection of these categories accounts for another understanding of patriarchy different from that of western feminisms that do not consider the racial category and its intersection to gender in its analysis.
Walter Mignolo	Argentina	United States of America	Local histories/global designs, 2012 (Book)	Mignolo argues that it is necessary to acknowledge the sources and the geo-political locations of knowledge, while at the same time reaffirming the many particular forms and practices of knowledge that have been denied by dominant forms. Mignolo argues that epistemology is not ahistorical and therefore must be geographical in its historicity. He considers that the universalist Western philosophy has failed to acknowledge the colonial difference by invisibilising and superseding local histories. He argues that in the encounter of Western philosophy and other histories lies the possibility of reworking concepts, paradigms and histories. This is what Mignolo calls "border thinking".

Source: compiled by the author using information from Bhambra, 2014; Bhambra, 2014b; Quijano, 2000; Lugones, 2008; Mignolo, 2002; Mignolo, 2012.

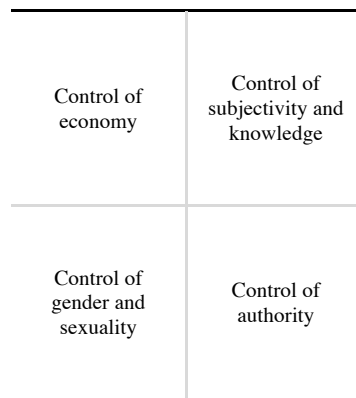
For decolonial scholars, the point of departure of their analyses starts at the end of the fifteen century with the arrival of the Iberians to what is today modern-day Latin-America (Mendoza, 2019). A central element of decolonial studies has been to disclose the interwoven imbrications between the colonisation process of this region and the origins of modernity i.e. to regard them as co-constitutive (Bhambra, 2014a). Postcolonial studies on the other hand, starts its analysis in the eighteenth century in the colonial processes of England over South Asia and the East (Bhambra, 2014b; Mendoza, 2019). A central element of postcolonial studies has been to demonstrate the relations between material power and knowledge and its production (Bhambra, 2014a). Postcolonial studies, however, theoretically demonstrate that the exercise of material power in the

world by Europeans has been a means to sustain the claim that European thought is universal while at the same time eliding its own particularity (Bhambra, 2014a).

It is also worthwhile to clarify the differences between coloniality and colonialism at this point, in order to avoid confusions over the importance of analysing the contemporary production of knowledge through categories of analysis that give the impression of being suited only for studying historical events. Within decolonial studies, colonialism refers to the formal political structures of domination that the Europeans exerted over the indigenous peoples of what is today America and other colonised regions (Grosfoguel, 2011). Colonialism ended when the territories colonised reached their political independence and formed political states (Boanada Fuchs, 2013). On the other hand, coloniality, a concept established by Quijano and Mignolo (Bhambra, 2014b), refers to the power structures, dynamics and logics that remained, emerged and were domestically reproduced “after” the colonial regimes ended (Bhambra, 2014b). These still exist today and are visible through various domains through which power is articulated from the global North over the global South, such as on the control of the economy, labour, authority, knowledge, sexuality, gender, race, ethnicity and subjectivity (Boanada Fuchs, 2013; Grosfoguel, 2002; Mignolo, 2007). Since coloniality is at the centre of decolonial studies, its categories of analysis are useful to study the role of contemporary production of knowledge across the world in any field.

The perspective of geography of knowledge production used in this chapter to analyse the SE literature builds on the “control of subjectivity and knowledge” domain of the “colonial matrix of power” (see Figure 2.1) of Quijano (2000). Quijano is part of the *Colonialidad/ Modernidad* group and a key thinker of decolonial studies. This matrix argues that the global North dismantles other forms of social organisation and ways of life through four interrelated domains, 1. Control of economy, 2. Control of authority, 3. Control of gender and sexuality and 4. Control of subjectivity and knowledge (Mignolo, 2007; Quijano, 2000). The Perspective of geography of knowledge production enables a decolonial criticism of the hegemonic construction of knowledge in any field. In this case, it will be used to guide the examination of the SE understandings – i.e. knowledge – produced by Europeans/Euro-Americans (the global North) and non-Europeans (The global South).

Figure 2. 1 Colonial matrix of power of Quijano



Source: Quijano (2000) as described by Mignolo (2007)

2.2.2 The coloniality of knowledge is a form of power of coloniality

The founding rock of colonial knowledge is the “myth of universal knowledge” (Grosfoguel, 2002; Mignolo, 2007; Quijano, 2000). This has its origins in the 1492-1700 period, when European scientific knowledge grounded itself in the androcentric cartesian epistemic paradigm - which continues to be hegemonic to this day - (Castro-Gómez, 2007; Palermo, 2010). This paradigm conceives the natural world and the human being as ontologically different domains i.e. it does not conceive the human being as an element of an interrelated whole (Grosfoguel, 2007). From this point onward, the production of knowledge passed from aiming for the comprehension of the unknown connections of an interrelated whole, to the deconstruction of reality through rational fragmentation -the creation of rigid disciplines- in order to control the natural world (Castro-Gómez, 2007).

This paradigm argues that certainty of knowledge is only possible to the extent that there is a distance between the knowing subject and the object known (Castro-Gómez, 2007). The greater the distance from the subject to the object, the greater the objectivity (ibid). Under this paradigm, all the senses and everything related to corporal experience constitutes an epistemological obstacle and therefore it should not be regarded as true knowledge (ibid). True knowledge should emerge from an incorporeal realm (cogito) which is abstract and obeys a mathematical structure, and therefore it cannot be questioned under any circumstance (ibid). Thus, the rational method is regarded as the only and most adequate method to understand reality, including social reality. Here it is important to clarify and recognise that there is no dispute that scientific knowledge of the natural sciences such as Physics, Mathematics, Chemistry, etc. is universally true; but this

is not the case for knowledge of social sciences and humanities, which is the centre of discussion of this chapter.

Under this paradigm, the knowledge produced in the global North is portrayed as unpositioned, unlocated, neutral, universal and objective (Grosfoguel, 2002; Mignolo, 2007); this grounds the hegemonic myth that there is only one true and universal knowledge (Grosfoguel, 2011). The recognition of this myth and its deconstruction through the perspective of geography of knowledge production brings into light two key issues that are useful for the examination of the SE field: 1. The recognition that other knowledge produced by subaltern subjects exists beyond the global North, and 2. The awareness that no knowledge is universal nor neutral, and therefore all knowledge needs to be analysed through a lens of geopolitics of knowledge production (Grosfoguel, 2002).

2.2.3 The articulation of coloniality of knowledge through the knowledge produced in academia

Colonial power articulates itself through colonial knowledge across the world, including the global South, via the rationales, structures and mechanisms ingrained and reproduced by academic institutions (Schöpf, 2020), these are especially notorious across the study, teaching and research of social sciences and humanities (Alatas, 2003; Castro-Gómez, 2007). This colonial power articulates itself further through the role that academic institutions play in societies, as universities are regarded as the authority from where the knowledge that leads society to moral and material progress is produced (Castro-Gómez, 2007).

The rationales upon which universities in the global North and South were and continue to be founded are grounded in the hegemonic paradigms that uphold “the myth of universal knowledge” (Castro-Gómez, 2007; Grosfoguel, 2002; Mignolo, 2002). Operating under these paradigms, universities across the world, but specifically those located in the global South, recognise and legitimise knowledge that complies with European/Euro-American knowledge paradigms (Grosfoguel, 2011; Schöpf, 2020). Any other knowledge that does not comply with these paradigms is subalternised, invisibilised, disregarded and even not recognised as knowledge (Grosfoguel, 2011; Schöpf, 2020). Not coincidentally, this other knowledge is predominantly created by indigenous populations (Mignolo, 2012), who are at the same time subjected to the other three domains of the colonial power matrix of Quijano (2000).

The rationales that ground colonial knowledge in academia are articulated at a global level through various mechanisms, such as through the systems for evaluating and disseminating research such as journals, publishing houses, conferences and ranking systems (Schöpf, 2020). These are determined, controlled by and physically located in the global North. These mechanisms heavily influence and even determine the orientation, perspective and views of the research produced anywhere in the world, including the global South. Secondly, the primacy of the English language as lingua franca in academia further privileges the knowledge developed by Anglophone countries which constitute part of the global North (Schöpf, 2020).

The articulation of the rationales and the mechanisms creates a stratified academic structure (Schöpf, 2020) that produces and reproduces colonial power at a global level. This structure is visible in the origin of the research that is published in globally esteemed and high ranked journals and publishing houses, and presented in globally important conferences (Luyt, 2009). This is produced by scholars based in the global North. Furthermore, the geographical location of the most prestigious academic institutions according to global university rankings and impact factors, is in the global North (Luyt, 2009). The greater the prestige, the more powerful the influence of its scholars in the academic community at a global level.

Now that the colonial rationales, mechanisms, and structure ingrained in academia have been presented, it is pertinent to investigate if these are observed in the SE literature. If so, it will be relevant to review the SE understandings produced under these conditions. After identifying and reviewing those SE understandings, it will be necessary for this review to include SE understandings beyond the global North, to search for SE understandings developed in the global South, specifically in Latin America. It then will be possible to review to what extent these SE understandings align or resemble those developed in the global North.

2.3 Applying the geography of knowledge production approach to the SE literature

This literature review starts by applying the geography of knowledge production perspective to a short systematic literature review (see Table 2.3) of the top 50 most cited

articles on SEs in Scopus⁵ to investigate firstly the region and countries where these publications are produced, and second the region and countries these publications focus on. Then, in Section 2.4 the literature review continues by reviewing and presenting the core characteristics of the SE understandings contained in these top 50 articles. By doing this, the literature review aims to reveal the SE understandings developed in the global North. Then, the literature review incorporates SE understandings that are absent in these 50 articles and which correspond to SE understandings developed in the global South, specifically those of Latin America.

⁵ The articles that compose Table 2.3 were retrieved from Scopus database searching for journal articles published between 1990 and 2019 containing the word “social enterprise” in their title. The articles were searched for in 2020 and ordered by those cited highest, with the first 50 selected. The text of each article was read and analysed individually to identify from which region and country each article was produced and which country or region the author(s) were focusing on.

Table 2.3 Top 50 most cited publications in Scopus containing the word "social enterprise" in its title

No.	Publication	Region and county(es) in which the knowledge is produced	Region and country(ies) the author focus(es) on	Citations in Scopus
1	Battilana J., Lee M., 2014	Anglo-American / USA	Anglo-American / USA	565
2	Dart R., 2004	Anglo-American / Canada	Anglo-American / UK, USA	496
3	Doherty B., Haugh H., Lyon F., 2014	Anglo-American / UK	Anglo-American / UK, USA; Europe-mainland / EU countries	488
4	Defourny J., Nyssens M., 2010	Europe-mainland / Belgium	Anglo-American / USA; Europe-mainland / EU countries	438
5	Di Domenico M., Haugh H., Tracey P., 2010	Anglo-American / UK	Anglo-American / UK	419
6	Chell E., 2010	Anglo-American / UK	Anglo-American / UK	344
7	Kerlin J.A., 2006	Anglo-American / USA	Anglo-American / USA; Europe-mainland / EU countries	312
8	Ebrahim A., Battilana J., Mair J., 2014	Anglo-American / USA; Europe-mainland / Germany	India; Europe-mainland / Belgium	309
9	Smith W.K., Gonin M., Besharov M.L., 2013	Anglo-American / UK; Europe-mainland / Switzerland	Cambodia; Anglo-American / UK	276
10	Battilana J., Sengul M., Pache A.-C., Model J., 2015	Anglo-American / USA	Europe-mainland / France	248
11	Teasdale S., 2012	Anglo-American / UK	Anglo-American / UK	190
12	Doherty B., Thompson J., Doherty B., 2006	Anglo-American / UK	Anglo-American / UK, USA, Australia; South Africa, Ghana, Kenya	183
13	Paton R., 2003	Anglo-American / UK	Anglo-American / UK	177
14	Kerlin J.A., 2010	Anglo-American / USA	Anglo-American / USA; Europe-mainland; Latin-America / Argentina; Japan	160
15	Bagnoli L., Megali C., 2011	Europe-mainland / Italy	Europe-mainland / Italy	151
16	Cornelius N., Todres M., Janjuha-Jivraj S., Woods A., Wallace J., 2008	Anglo-American / UK	Anglo-American / UK	138

Source: developed by the author with information retrieved from Scopus database in 2020 for journal articles published between 1990 and 2019 containing the word "social enterprise" in its title.

Table 2.3 (Continued 1) Top 50 most cited publications in Scopus containing the word "social enterprise" in its title

No.	Publication	Region and county(es) in which the knowledge is produced	Region and country(ies) the author focus(es) on	Citations in Scopus
17	Wry T., York J.G., 2017	Anglo-American / USA	Anglo-American / USA	135
18	Santos F., Pache A.-C., Birkholz C., 2015	Anglo-American / USA	Anglo-American / USA, UK; Europe-mainland / Germany, France	135
19	Millar R., Hall K., 2013	Anglo-American / UK	Anglo-American / UK	123
20	Harding R., 2004	Anglo-American / UK	Anglo-American / UK	122
21	Di Domenico M.L., Tracey P., Haugh H., 2009	Anglo-American / UK	Anglo-American / UK	117
22	Mason C.M., Kirkbride J., Bryde D., 2007	Anglo-American / UK	Anglo-American / UK	117
23	Spear R., Cornforth C., Aiken M., 2009	Anglo-American / UK	Anglo-American / UK	116
24	Kerlin J.A., 2013	Anglo-American / USA	Anglo-American / USA; Europe-mainland / Italy, Sweden; Latin-America / Argentina; Zimbabwe.	107
25	Kerlin J.A., 2009	Anglo-American / USA	Anglo-American / USA; Europe-mainland / East-Central Europe, Western Europe; Latin-America / Argentina; Japan; Zimbabwe; Zambia; Southeast Asia	100
26	Defourny J., Nyssens M., 2006	Europe-mainland / Belgium	Europe-mainland / EU countries	95
27	Spear R., Bidet E., 2005,	Anglo-American / UK; Europe-mainland / Belgium	Europe-mainland / EU countries	94
28	Stevens R., Moray N., Bruneel J., 2015	Europe-mainland / Belgium, Anglo-American / UK	Europe-mainland / Belgium	93
29	Low C., 2006	Anglo-American / UK	Anglo-American / UK	89
30	Sakarya S., Bodur M., Yildirim-Öktem T., Selekler-Göksen N., 2012	Other / Turkey	Turkey	88
31	Bull M., 2008	Anglo-American / UK	Anglo-American / USA; Europe-mainland / EU countries	82
32	Roy M.J., Donaldson C., Baker R., Kerr S., 2014	Anglo-American / UK	Anglo-American / UK	75

Source: developed by the author with information retrieved from Scopus database in 2020 for journal articles published between 1990 and 2019 containing the word "social enterprise" in its title.

Table 2.3 (Continued 2) Top 50 most cited publications in Scopus containing the word "social enterprise" in its title

No.	Publication	Region and county(es) in which the knowledge is produced	Region and country(ies) the author focus(es) on	Citations in Scopus
33	Lehner O.M., Nicholls A., 2014	Anglo-American / UK	Anglo-American / UK, USA	75
34	Arena M., Azzone G., Bengo I., 2015	Europe-mainland /Italy	Europe-mainland /Italy	73
35	Moizer J., Tracey P., 2010	Anglo-American / UK	Anglo-American / UK, USA	72
36	Defourny J., Nyssens M., 2010	Europe-mainland / Belgium	Europe-mainland / EU countries	71
37	Ramus T., Vaccaro A., 2017	Europe-mainland / Portugal, Spain	Europe-mainland / Italy	68
38	Shaw E., 2004	Anglo-American / UK	Anglo-American / UK	67
39	Teasdale S., 2010	Anglo-American / UK	Anglo-American / UK	66
40	Gray M., Healy K., Crofts P., 2003	Anglo-American/ Australia	Anglo-American / UK, USA, Australia, Canada, New Zealand	66
41	Ridley-Duff R., 2008	Anglo-American / UK	Anglo-American / UK; Europe-mainland / EU countries	64
42	Johanisova N., Crabtree T., Fraňková E., 2013	Europe-mainland / Czech Republic; Anglo-American / UK	Europe-mainland / EU countries	62
43	Rahdari A., Sepasi S., Moradi M., 2016	Other / Iran	Europe-mainland / EU countries, Anglo-American / UK, USA	61
44	Larner W., 2014	Anglo-American / UK	Anglo-American / UK	61
45	Ferguson K.M., Xie B., 2008	Anglo-American / USA	Anglo-American / USA	61
46	Englert C.S., 1992	N/A - Not related to the SE field	N/A - Not related to the SE field	61
47	Mullins D., Czischke D., van Bortel G., 2012	Anglo-American / UK; Europe-mainland / Netherlands	Europe-mainland / EU countries, Anglo-American / USA, Australia; South Korea	60
48	Defourny J., Nyssens M., 2017	Europe-mainland / Belgium	Europe-mainland / EU countries, Anglo-American / USA, UK	58
49	Liu G., Eng T.-Y., Takeda S., 2015	Anglo-American / UK	Anglo-American / UK; Japan	57
50	Trivedi C., Stokols D., 2011	Anglo-American / USA	Anglo-American / USA; Europe-mainland / EU countries	57

Source: developed by the author with information retrieved from Scopus database in 2020 for journal articles published between 1990 and 2019 containing the word “social enterprise” in its title.

Analysing each article individually, the identification of the university or research centre from where each of the 50 articles were produced reveals that only two out of the 50 articles were produced in the global South, in Turkey and Iran. The other 48 were produced in the global North, predominantly in the UK. Therefore, the 50 most cited SE understandings are produced almost completely by the global North. Although these 50 articles do not reflect the whole academic literature on SE, these 50 articles do show a stratified academic structure as that referred to by Schöpf (2020) among the top most cited publications in the SE literature. See Figure 2.2 for a geographical representation of this analysis. The countries with the largest production of publications appear shaded, the darker the shade the greater the production, and vice versa. The darkest country is the UK, accounting for the production of more than half of the 50 most cited publications in Scopus, the USA appears as the second major producer, then in a faded grey colour appear some countries in Europe, Canada, Australia, Turkey and Iran.

Figure 2.2 Countries where the 50 most cited publication on SE are produced



Source: developed by the author with information from Table 2.3

Because this thesis studies SEs of Mexico, this review focuses on the knowledge produced in one region of the global South in particular, the Latin American region. Due to key differences identified in the SE understandings produced by the global North – differences which will later be detailed, this review subdivides the global North into two regions, the Anglo-American, and the European-mainland regions. The Anglo-American region is composed by the English-speaking countries that compose the global North i.e. the United Kingdom, the United States of America, Canada, Australia and New Zealand. The European-mainland region is composed of the countries of the global North located

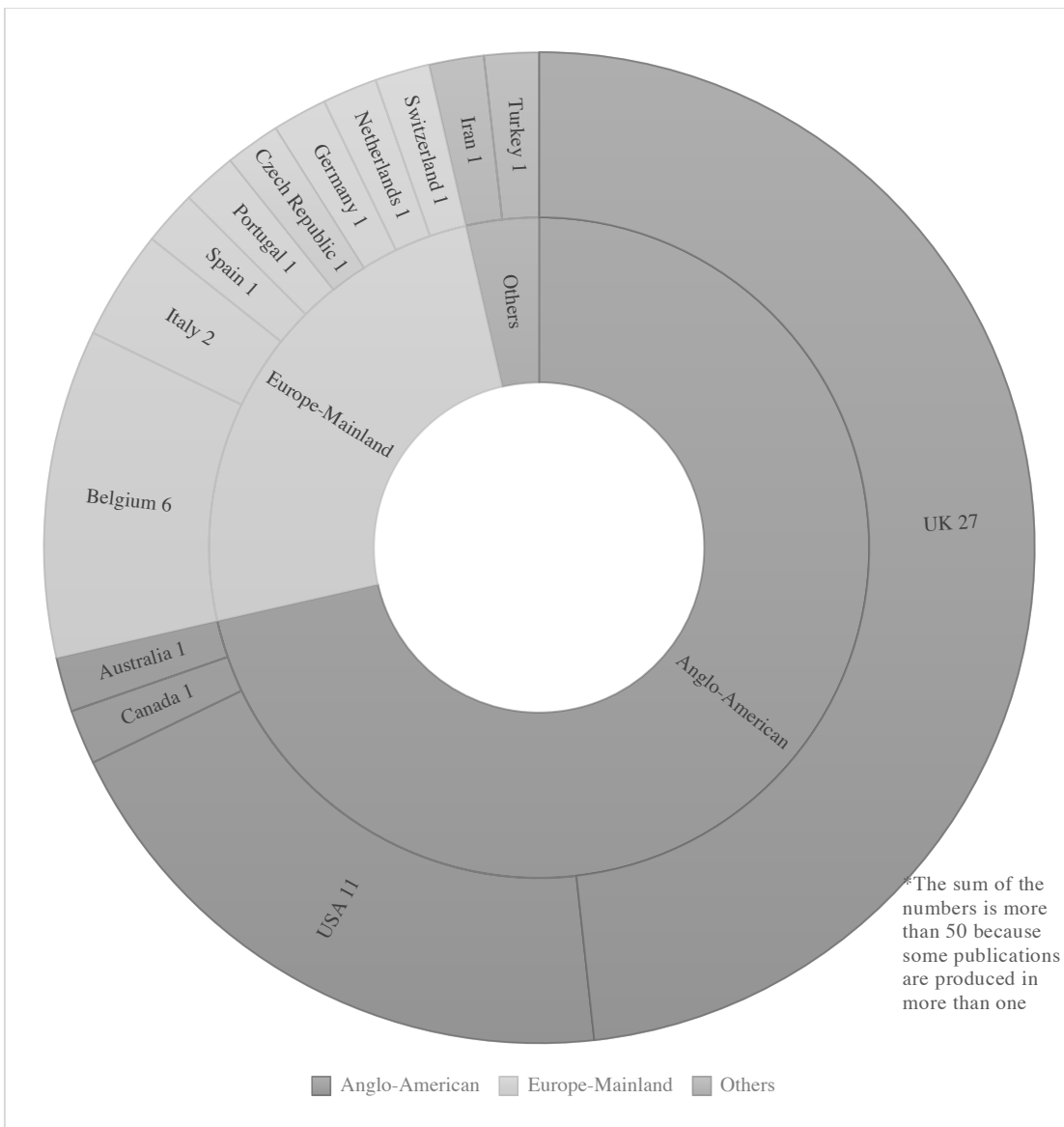
in Continental Europe i.e. the 27⁶ members of the European Union. The Latin-American region is composed of the 21⁷ countries that constitute Latin America. These three regions correspond to just three geopolitical regions of knowledge production across the globe. This review recognises the existence of other regions where knowledge is produced, such as Africa and Asia, but limits itself to the mentioned three due to the nature of the thesis that is to investigate SEs of Mexico, a country a part of the Latin-American region.

In categorising the top 50 articles according to these three regions of knowledge production, we can observe that SE understandings produced in the Latin American region are absent. This analysis also shows that among these results, the Anglo-American region generates almost three fourths of the knowledge, within which the UK alone produces more than half (27 articles). The other half is produced by a combination of countries of the European-mainland region (14 articles), and the USA (11 alone). In sum, 48 out of 50 articles are produced in the global North. Figure 2.3 provides a visual representation of the proportionality and the total number of articles produced by region and by country.

⁶ Austria, Belgium, Bulgaria, Croatia, Republic of Cyprus, Czech Republic, Denmark, Estonia, Finland, France, Germany, Greece, Hungary, Ireland, Italy, Latvia, Lithuania, Luxembourg, Malta, Netherlands, Poland, Portugal, Romania, Slovakia, Slovenia, Spain and Sweden.

⁷ Mexico, Guatemala, Honduras, El Salvador, Nicaragua, Costa Rica, Panama, Colombia, Venezuela, Ecuador, Peru, Bolivia, Chile, French Guiana, Paraguay, Brazil, Argentina and Uruguay, Cuba, Dominican Republic, and Puerto Rico.

Figure 2.3 Region and country(es) in which the 50 most cited SE publications in Scopus are produced

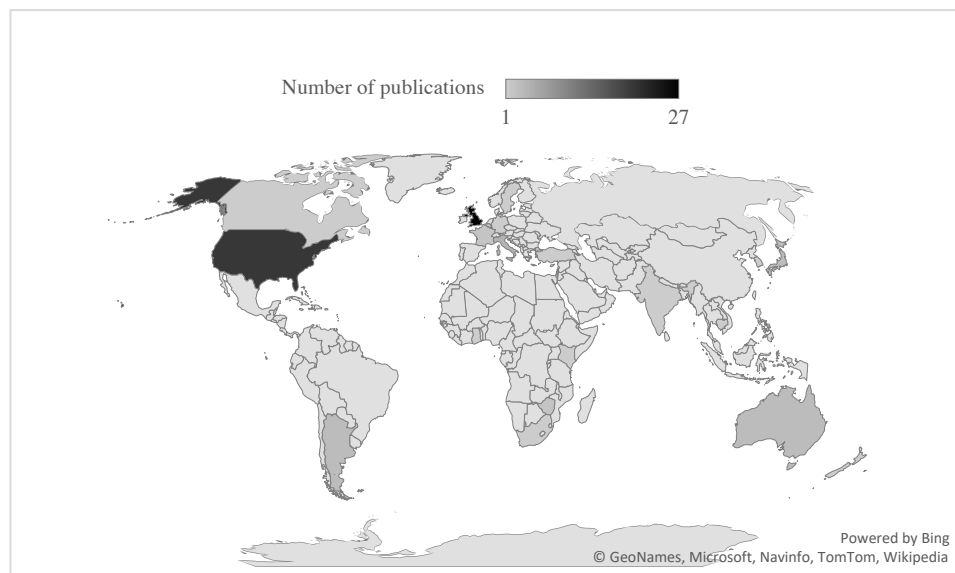


Source: developed by the author with information from Table 2.3

Moving now to the region and countries these publications focus on, the countries studied in these publications were determined by reading each publication individually and identifying the city and/or country of the SE(s) studied in the publication, or by identifying a direct reference to the country from study made by the author(s), or by tracing the origin of the references that the publication discussed if a conceptual article. The analysis reveals that 39 publications focused exclusively on global North contexts, and 11 focused partially on countries of the global South, none of the articles focused exclusively on countries of the global South. It is worth mentioning that almost half of the articles focused on two or more countries, therefore the graphical representations shown below show more than 50 results. Figure 2.4 provides a geographical representation of this analysis. As before, the countries with the highest concentration of

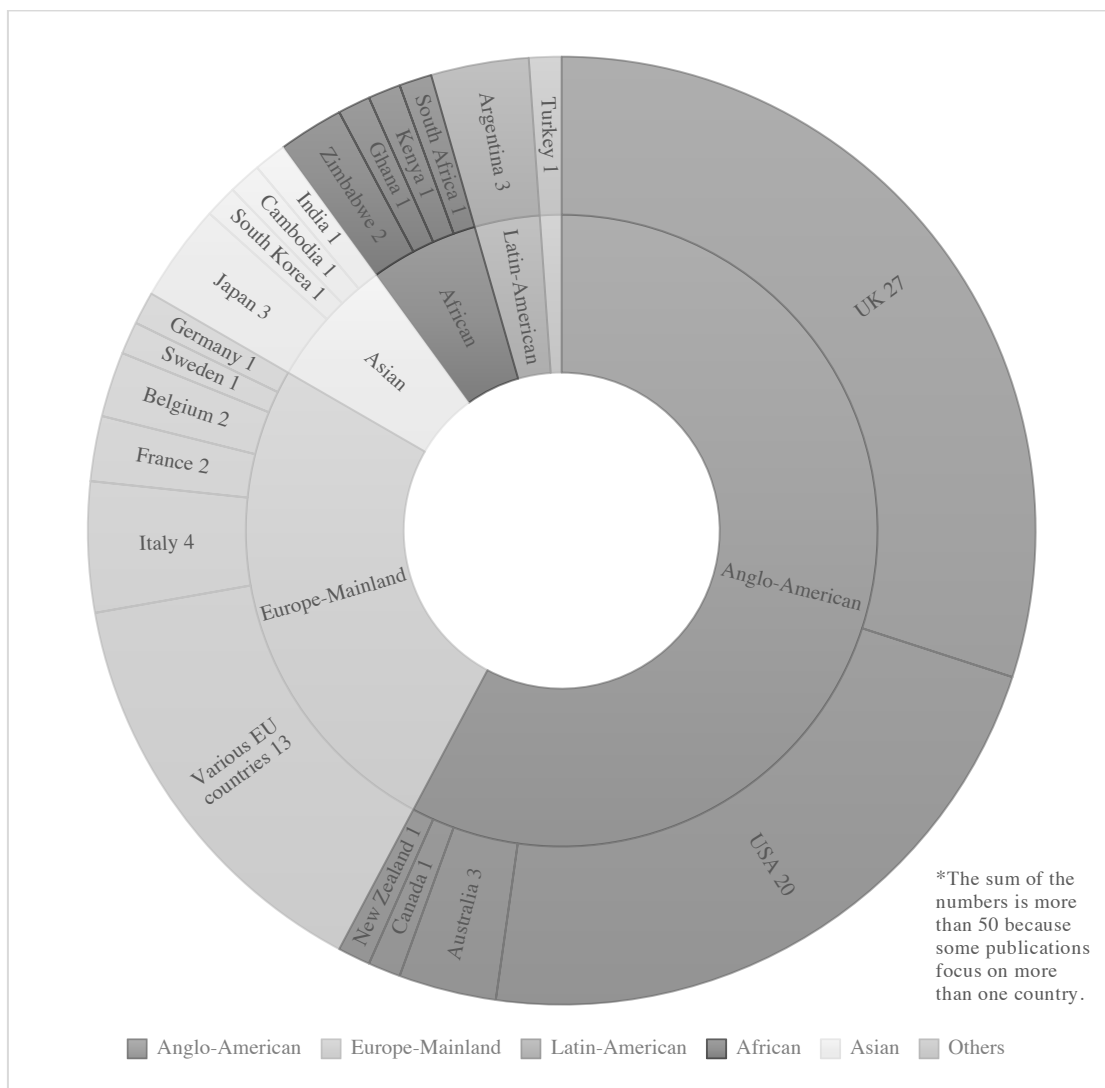
focus appear the darkest, and the opposite for the countries with the lowest. In this case 27 publications focus totally or partially on the UK, and 20 on the USA, therefore these two countries appear the darkest. Other countries such as Australia, India, Canada, Argentina and some European countries appear light grey. As in the previous analysis, these results also show the stratified academic structure referred to by Schöpf (2020) in the top 50 SE publications. If these results are analysed through three regions of knowledge production, a little bit more than half of all publications focus their analysis totally or partially on the Anglo-American region, almost one quarter to the European-mainland region, and a little less than one quarter is shared between three regions, Asia, Africa and Latin America. See Figure 2.5 for a graphical representation of the above that shows the proportionality and the total number of articles focusing on countries and regions of the global North and South.

Figure 2. 4 Country(ies) where the publications focus(es) on



Source: created by the author with information from Table 2.3

Figure 2. 5 Region and country(ies) where the 50 most cited publications in Scopus focus(es) on, and number of publications per country*



Source: created by the author with information from Table 2.3

Although the conclusions of this first analysis cannot be extrapolated to all the literature on SEs, this analysis does demonstrate a stratified academic structure present in the top 50 most cited SE results in Scopus. This is observed in the proportion occupied by the SE understandings developed by and for the countries of the global North – in relation to those developed by and for the global South, which are almost completely absent. It is worth highlighting how the global North’s two anglophone countries – the UK and USA – appear to dominate conversation in the field, as the publications produced by these two countries account for almost three quarters of the total (see Figure 2.3), and these countries are themselves the focus of almost half (see Figure 2.5). The strong predominance of the publications produced by the UK and the USA among these top 50

results is consonant to the argument made by Schöpf (2020) who points out that the use of English as global *lingua franca* in academia further privileges the knowledge produced by anglophone countries. The importance of conducting a literature review through a geography of knowledge production perspective is that it allows the unveiling and explanation of the underlying rationales, structures and mechanisms that create and foster a disproportionate representation of SE understandings from specific geographical regions in an academic field. The unequal representation of SE knowledge produced in the global South and North in academic journals has implications in the development of theory, practice and even legislation on SE worldwide, because this highly cited knowledge is used to inform SE policy, influence practice, research and teaching in countries not only in the global North, but in the global South itself (Luyt, 2009; Schöpf, 2020).

2.4 Cartography of SE understandings according to a geography of knowledge production approach

After analysing the origin and focus of these 50 publications and disclosing that the vast majority stem from the global North, this section offers an analysis of the SE understandings contained within these top 50 publications. This aims to reveal and explain the SE understandings produced by the global North. In order to counteract the limitation of the unequal representation of SE understandings from the global South within these top 50 publications (a representation which is practically non-existent), and because this thesis aims to study SEs in Mexico, this literature review will also subsequently include SE understandings from the global South itself, specifically from the Latin American region.

To identify the SE understandings contained in these 50 publications, each publication was read individually. Each of the SE understandings found in each publication was then registered in an excel table. This table included the position of the publication in relation to its number of citations within the 50 results; the authors and year of the publication; the university, school and/or department where it was produced, and the region and country where it was developed. A sample of this analysis can be found below in Table 2.4. A more extensive table showing 27 articles analysed can be found in Appendix 2.A and 2.B. The information about the university of origin of the publications was included as part of the analysis to observe, if as pointed out by Luyt (2009), some of the universities globally esteemed as the most prestigious are also “leading” the conversation in the SE

field. It can be observed in Table 2.4 that three of these universities, Stanford University⁸, Harvard University⁹, and the University of Cambridge¹⁰, produce some of the most cited publications in the field. Of the top 50 most cited publications in Scopus, their publications occupy the positions 10; 1, 8 and 10; and 3 and 5, respectively (see Table 2.4). These results support the argument made by Luyt (2009) who points out that the greater the prestige - according to global university rankings and impact factors - of the academic institutions where scholars are based – predominantly in the global North- , the more powerful the influence of these scholars in the academic community at a global level (Luyt, 2009).

⁸ Ranked 4th in The World University Rankings 2020

⁹ Ranked 7th in The World University Rankings 2020

¹⁰ Ranked 3rd in The World University Rankings 2020

Table 2.4 Compilation of the SE understandings showcased in the 10 most cited publications of the top 50 most cited in Scopus containing the word "social enterprise" in its title

Position within the top 50 most cited publications	Publication	SE understanding(s) showcased in the publication	University and/or school or department	Region and country(ies) the study is developed
1° / 565 citations	Battilana and Lee, 2014	The ideal type of a hybrid organisation are social enterprises <u>that combine the organisational forms of both business and charity</u> at their cores.	Harvard Business School	Anglo-American / USA
2° / 496 citations	Dart, 2004	The emergence of the <u>nonprofit social enterprise</u> is connected to wider societal, ideological and political dynamics. These organisations will evolve away from broad-frame breaking forms to forms that focus on businesslike models that offer market-based solutions because of the broader validity of promarket ideological notions in the wider social environment.	Trent University, School of Business	Anglo-American / Canada
3° / 488 citations	Doherty B., Haugh H., Lyon F., 2014	The defining characteristic of <u>SEs is its hybrid organisational form</u> . They are envisioned as <u>organisations that span the boundaries of the private, public and non-profit sectors</u> . The hybridity occurs by these organisations pursuing a dual mission of financial sustainability and a social purpose. SE are regarded as organisations that do not fit neatly into the conventional categories of private, public or non-profit organisations.	University of York, Management School; University of Cambridge, Judge Business School; Middlesex University.	Anglo-American / UK
4° / 438 citations	Defourny J., Nyssens M., 2010	The ' <u>Earned Income</u> ' school of thought conceptions of social enterprise mainly defined by earned-income strategies, refers to the use commercial activities by non-profit organizations in support of their mission. The ' <u>social innovation</u> ' school of thought emphasises the social entrepreneurs in the Schumpeterian meaning of the term. <u>The EMES Approach of social enterprise</u> define SEs as not-for-profit private organizations providing goods or services directly related to their explicit aim to benefit the community. They generally rely on a collective dynamic involving various types of stakeholders in their governing bodies, they place a high value on their autonomy and they bear economic risks related to their activity' (Defourny and Nyssens 2008, p. 204).	University of Liege, HEC Management School, Centre for Social Economy; Catholic University of Louvain, CIRTES and Department of Economics	Europe-mainland / Belgium
5° / 419 citations	Di Domenico M., Haugh H., Tracey P., 2010	SEs are portrayed as <u>organisations that are more market driven than traditional non-profit ventures and with the capacity to be financially self-sustaining</u> . SEs are regarded as a socially driven business that have emerged as significant organisational players in market economies.	The Open University; Cambridge Judge Business School	Anglo-American / UK

Source: developed by the author.

Table 2.4 (Continued) Compilation of the SE understandings showcased in the 10 most cited publications of the top 50 most cited in Scopus containing the word "social enterprise" in its title

Position within the top 50 most cited publications	Publication	SE understanding(s) showcased in the publication	University and/or school or department	Region and country(ies) the study is developed
6° / 344 citations	Chell E., 2007	The SE model has the following characteristics: not-for-personal-profit enterprises comprise business activity that generates value for social ends and wealth to enable reinvestment and sustainability of the business. To achieve this, the enterprise team needs to be entrepreneurially led in the specific sense that it is able to recognize and pursue opportunities; draw upon whatever social, financial and other resources are at its disposal; and, translate these elements into realized opportunities, in other words practical and actual valued social and economic outcomes – the latter for reinvestment and sustainability of the enterprise.	University of Southampton	Anglo-American / UK
7° / 312 citations	Kerlin J.A., 2006	In the USA and within academia, SE is understood as those <u>organizations that fall along a continuum from profit-oriented businesses engaged in socially beneficial activities</u> (corporate philanthropies or corporate social responsibility) to <u>dual-purpose businesses that mediate profit goals with social objectives</u> (hybrids) to <u>nonprofit organizations engaged in mission-supporting commercial activity</u> (social purpose organizations). In Europe, with the exception of the United Kingdom, SE has generally come to mean <u>a social cooperative or association formed to provide employment or specific care services in a participatory framework</u> . In the United States, it generally means any type of nonprofit involved in earned income generation activities.	Georgia State University. Department of Public Administration and Urban Studies.	Anglo-American / USA
8° / 309 citations	Ebrahim A., Battilana J., Mair J., 2014	<u>Organizations that pursue a social mission through the use of market mechanisms</u> . These hybrid organizations, often referred to as social enterprises, combine aspects of both charity and business at their core.	Harvard Business School; Hertie School of Governance, Friedrichstraße	Anglo-American / USA; Europe-mainland / Germany
9° / 276 citations	Smith W.K., Gonin M., Besharov M.L., 2013	Social enterprises, <u>these organizations seek to achieve social missions through business ventures</u> . Yet social missions and business ventures are associated with divergent goals, values, norms, and identities. Attending to them simultaneously creates tensions, competing demands, and ethical dilemmas.	University of Delaware; University of Zurich and University of Lausanne; Cornell University	Anglo-American / USA; Europe-mainland / Switzerland
10° / 248 citations	Battilana J., Sengul M., Pache A.-C., Model J., 2015	<u>SEs are hybrid organisations that pursue a social mission and sustain their operations through commercial activities</u> . In this case the study focuses on Work Integration Social Enterprises (WISEs)	Harvard Business School; Boston College; ESSEC Business School; Sandford University	Anglo-American / USA; Europe-mainland / France

Source: developed by the author.

The SE understandings identified in these publications were grouped according to the features that each emphasised (underlined in Table 2.4, above). These features were clustered together to identify the salient characteristics of each understanding. Derived from this analysis, eight different types of SE understandings were identified in the 50 publications produced in the global North, these are shown below in Table 2.5. In this same table, the region of origin, either Anglo-American or European-mainland, of each publication is shown next to each of the eight types of SE understandings. The aim of this is to identify those SE understandings that are exclusive and or predominant in each region, and those that are present in both regions. At this point it is important to highlight that some publications, such as Defourny and Nyssens (2010) and Kerlin (2006), showcase more than one SE understanding due to the publications' purposes of discussing the SE concept; others, such as Stevens, Moray and Bruneel (2015) integrate conceptualisations from various authors to create an operational definition of SEs, and in this process they portray various SE understandings. Therefore, in Table 2.5 it is observed that some publications are placed next to more than one SE understanding. Also, it is worth mentioning that the difference in features highlighted between some understandings is very subtle, opening the possibility of fusing two understandings into one. This possibility of fusing not greatly dissimilar understandings is explored further down in Sections 2.4.1 and 2.4.2 that present the understandings identified in each region.

Table 2.5 Eight different SE understandings identified within the top 50 most cited articles on SE in Scopus

Region and country(ies) where the study is developed	Publication position within the top 50	Publication	Publications ordered by region of origin		Features emphasised by the SE understandings showcased in these publications
			Anglo-American	European-mainland	
Anglo-American / USA	1° / 565 citations	Battilana and Lee, 2014			
Anglo-American / Canada	2° / 496 citations	Dart, 2004			
Anglo-American / UK	3° / 488 citations	Doherty B., Haugh H., Lyon F., 2014			
Europe-mainland / Belgium	4° / 438 citations	Defourny J., Nyssens M., 2010			
Anglo-American / UK	5° / 419 citations	Di Domenico M. et al., 2010	2°, 5°, 7°, 11°, 21°, 14°	4°, 8°, 36°, 37°, 48°	Understanding 1. Non-profits engaging in mission supporting commercial activities; market driven non-profit ventures; financially self sustaining non-profits; organisations that blur the boundaries between the private and nonprofit sectors; combine efficiency of traditional business model with the sense of mission of the charity one.
Anglo-American / UK	6° / 344 citations	Chell E., 2007			
Anglo-American / USA	7° / 312 citations	Kerlin J.A., 2006			
Europe-mainland / Germany; Anglo-American / USA	8° / 309 citations	Ebrahim A., Battilana J., Mair J., 2014	1°, 3°, 10°, 7°, 11°, 17°, 18°, 19°		Understanding 2. Hybridity combining business and charity organisational forms; Hybridity pursuing a dual mission: financial sustainability and social purpose; hybrid businesses that mediate profit goals with social objectives; organisations that integrate social welfare and commercial aims in the core.
Europe-mainland / Switzerland; Anglo-American / USA	9° / 276 citations	Smith W.K., Gonin M., Besharov M.L., 2013			
Anglo-American / USA; Europe-mainland / France	10° / 248 citations	Battilana J, et al. 2015	6°, 16°,	9°, 15°, 28°, 34°, 48°	Understanding 3. Not-for-personal-profit enterprises that generate value for social ends and wealth to reinvestment; assets and wealth create community benefit; double or triple bottom line; business with social objectives which surpluses are reinvested in the enterprise or in the community; organisation that create economic value through commercial forms as a mean to generate social value i.e. accomplish its social mission; organisations that focus on creating social value and sustaining themselves through trading
Anglo-American / UK	11° / 190 citations	Teasdale S., 2012			
Anglo-American / UK	12° / 183 citations	Thompson J., Doherty B., 2006			
Anglo-American / USA	14° / 160 citations	Kerlin J.A., 2010			
Europe-mainland / Italy	15° / 151 citations	Bagnoli L., Megali C., 2011		4°, 36°	Understanding 4. Social innovation; social entrepreneurs

Source: developed by the author

Table 2.5 (Continued) Eight different SE understandings identified within the top 50 most cited articles on SE in Scopus

Region and country(ies) where the study is developed	Publication position within the top 50	Publication	Publications ordered by region of origin		Features emphasised by the SE understandings showcased in these publications
			Anglo-American	European-mainland	
Anglo-American / UK	16° / 138 citations	Cornelius N, et al. 2008	11°, 12°	4°, 26°	Understanding 5. Non-for-profit private organisations; benefit the community; collective dynamics in their government bodies ; limits to material interest of investors; community enterprise ; assets and wealth used to create community benefit
Anglo-American / USA	17° / 135 citations	Wry T., York J.G., 2017			
Anglo-American / USA	18° / 135 citations	Santos F. et al, 2015	7°, 11°, 20°	42°, 48°	Understanding 6. Democratic ownership and structure; decision-making power not based on capital ownership ; mutual interest organisations; provide employment through a participatory framework; democratically controlled organisations ; cooperatives; social cooperatives; mutual societies
Anglo-American / UK	19° / 123 citations	Millar R., Hall K., 2013			
Anglo-American / UK	20° / 122 citations	Harding R., 2004			
Anglo-American / UK	21° / 117 citations	Di Domenico M., et al., 2009	11°	48°	Understanding 7. Delivery of public services ; transferability of responsibilities from public to private entities; profit-oriented businesses operating in public welfare fields.
Europe-mainland / Belgium	26° / 95 citations	Defourny J., Nyssens M., 2006			
Europe-mainland / Belgium	28° / 93 citations	Stevens R., Moray N., Bruneel J., 2015		36°	Understanding 8. Work Integration - help low-qualified or unemployed people through a productive activity
Europe-mainland / Italy	34° / 73 citations	Arena M., Azzone G., Bengo I., 2015			
Europe-mainland / Belgium	36° / 71 citations	Defourny J., Nyssens M., 2010			
Europe-mainlandEurope-mainland / Portugal, Spain	37° / 68 citations	Ramus T., Vaccaro A., 2017			
Europe-mainlandEurope-mainland / Czech Republic; Anglo-American / UK	42° / 62 citations	Johanisova N., et al., 2013			
Europe-mainland / Belgium	48° / 58 citations	Defourny J., Nyssens M., 2017			

Source: developed by the author

The next step in this review reveals the conceptual origin of the eight SE understandings identified in the top 50 most cited articles in Scopus (Table 2.5, above); which correspond to SE understandings of the global North. The aim of this is to present a more solid case to reveal the geographical origins of the SE understandings (knowledge) identified amongst those top 50. In order to do this, these understandings are matched to SE conceptualisations that resemble or incorporate the features emphasised in the SE understandings identified in these 50 publications. The connections between the mentioned eight understandings and the SE conceptualisations are presented in Table 2.6, below. The table reveals the conceptual origin of the eight SE understandings by presenting the geographical origin of the SE conceptualisations that give them origin, as well as the geographical origin of the literature that compose the top 50 articles and observing if this literature has the same origin of that from where the eight SE understandings were identified. Table 2.6 shows that an analysis of these eight SE understandings and their connection to the SE conceptualisation found in the literature. The publications' regions of origin are presented below subdivided into two categories, first, those that have a predominant Anglo-American origin and/or are more present in the Anglo-American region; and second, those that have a more predominant European-mainland origin and/or are more present in the European-mainland region.

Table 2.6 Connection between the eight SE understandings identified within the 50 most cited articles on SE in Scopus and SE nomenclature

Publications by region of origin		Features emphasised by the SE understandings showcased in the 50 most cited publications on SE in Scopus	SE nomenclatures that resemble the SE understandings found in the 50 publications
Anglo-American	European-mainland		
2°, 5°, 7°, 11°, 21°, 14°	4°, 8°, 36°, 37°, 48°	Understanding 1. Non-profits engaging in mission supporting commercial activities; market driven non-profit ventures; financially self sustaining non-profits; organisations that blur the boundaries between the private and nonprofit sectors; combine efficiency of traditional business model with the sense of mission of the charity one.	Non-for-profits adopting business strategies for sufficiency Enterprising non-profits Nonprofit social enterprise Social enterprise school of thought Social enterprises as market based approaches to address social issues
1°, 3°, 10°, 7°, 11°, 17°, 18°, 19°		Understanding 2. Hybridity combining business and charity organisational forms; Hybridity pursuing a dual mission: financial sustainability and social purpose; hybrid businesses that mediate profit goals with social objectives ; organisations that integrate social welfare and commercial aims in the core.	Social enterprise as hybrid organisations Social enterprise as hybrid organisations Social enterprise Zoo Social enterprise as hybrid organisations Hybrid organisations
6°, 16°	9°, 15°, 28°, 34°, 48°	Understanding 3. Not-for-personal-profit enterprises that generate value for social ends and wealth to reinvestment; assets and wealth create community benefit ; double or triple bottom line; business with social objectives, surpluses reinvested in the enterprise or community; organisation that create economic value through commercial forms as a mean to generate social value i.e. accomplish its social mission; organisations that focus on creating social value and sustaining themselves through trading	Social bricoleurs, constructionists and engineers Social purpose organisations Social business
	4°, 36°	Understanding 4. Social innovation; social entrepreneurs	Social entrepreneurship Entrepreneurship in the non-profit sector Public entrepreneur, social entrepreneur Social entrepreneur as transformative forces
11°, 12°	4°, 26°	Understanding 5. Non-for-profit private organisations; benefit the community; collective dynamics in their government bodies; limits to material interest of investors; community enterprise; assets and wealth used to create community benefit	Social economy enterprises Social economy enterprises Non-capitalist enterprise
7°, 11°, 20°	42°, 48°	Understanding 6. Democratic ownership and structure; decision-making power not based on capital ownership; mutual interest organisations; provide employment through a participatory framework; democratically controlled organisations; cooperatives; social cooperatives; mutual societies	Social economy enterprises Social cooperatives EMES approach Social economy enterprises
11°	48°	Understanding 7. Delivery of public services; transferability of responsibilities from public to private entities; profit-oriented businesses operating in public welfare fields.	Social enterprise delivering public services Public oriented businesses Business solutions to social problems Public statist purpose enterprise Public sector social enterprise
10°	36°, 10°	Understanding 8. Work Integration - help low-qualified or unemployed people through a productive activity	WISE - Work Integration Social Enterprise

Source: developed by the author

Table 2.6 (Cont.) Connection between the eight SE understandings identified within the 50 most cited articles on SE in Scopus and SE nomenclature

Authors of the SE nomenclatures	Conceptualisations of the SE nomenclatures	Origin of the conceptualisations	
		Anglo-American	European-mainland
Skloot 1983	Skloot's and Dees' approaches aimed to counteract the scarcity of financial resources of traditional US non-for-profits by suggesting the adoption of business tools and practices from traditional for-profit enterprises.		
Dees 1998			
Dart 2004			
Dees & Anderson, 2006			
Kerlin 2013			
Battilana et al., 2012	The interface between business and charity, as corporations increasingly engage in social responsibility-related activities, and non-profits increasingly engage in commercial activities to complement their primary, philanthropic sources of funding.		
Pache & Santos, 2012	Selective coupling as a response to competing institutional logics.		
Young and Lecy, 2013	Social enterprises are like animals that combine social and market goals.		
Doherty, Haugh, Lyon, 2014	Social enterprise as hybrid organisations bridging institutional fields and facing conflicting institutional logics.		
Young 2001	Private organisations that pursue both objectives: making profits for the owners and contributing to a social good.		
Zahra et al., 2009	Social entrepreneurship encompasses the activities and processes undertaken to discover, define, and exploit opportunities in order to enhance social wealth by creating new ventures or managing existing organizations in an innovative manner".		
Young 2001	Private organisations devoted to achieving a social good by using traditional business practices as an strategy to generate revenue and support its mission.		
Yunus and Weber, 2008	A non-loss, non-dividend company to address a social objective.		
Nicholls 2006	Pragmatic individuals (social activists) and their networks that mix charity, business and social movements models to deliver social value for the community.		
Young 1983	Individuals with an array of entrepreneurial motivations constrained by the commercial entrepreneurial motivations that found their place in the third sector.		
Drayton, 1980	A major change agent, one whose core values centre on identifying, addressing and solving societal problems.		
Bornstein 2004	Social entrepreneurship as decentralised and emergent mechanisms to respond to the needs of the world.		
Borzaga & Defourny, 2001	Social enterprise as collective organisations with democratic decision making and purposely and primarily serving the community.		
Tomás Carpi, 1997	Social enterprises as collective economic units that go beyond efficiency as a measure of success.		
Gui, 1991	Social enterprise as non-capitalist economic units.		
Amin et al., 2002	Social economy is based on principles which are concerned primarily with people's needs. Success is judged on the benefits the projects have for the wider community.		
Borzaga & Santuari, 2001	Cooperatives that provide answers to the needs of an entire community or certain target groups in the community and not primarily to their members own common needs.		
Defourny & Nyssens 2006	Social enterprise explained through three sets of indicators for three dimensions.		
Evers & Laville 2004	spectrum of collective actions based on various forms of solidarity to create mechanisms for the production of wealth and welfare other than market exchange or state protection.		
Di Domenico et al., 2009	Social enterprises as voluntary organisations delivering public services.		
Kanter and Purrington, 1998	Social enterprise as public oriented businesses operating in public welfare fields.		
Teasdale 2011	Social enterprises as a vehicle for the government to free public services from bureaucracy		
Gordon 2015	Social enterprise as organisations constituted or reconstituted to deliver public services.		
Defourny & Nyssens 2016	Social enterprises as receivers of responsibilities transferred from governments to deliver public services.		
Nyssens 2006	Integrate low qualified unemployed people who are at risk of permanent exclusion from the labour market into a productive activity.		

Source: developed by the author

2.4.1 The Anglo-American understandings

Five SE understandings with a prominent Anglo-American origin are identified in this review. Understanding 1 emphasises the idea of non-profits engaging in mission supporting commercial activities; understanding 2 emphasises hybridity in the pursuit of a dual mission and in the combination of two organisational forms – business and charity-; understanding 3 emphasises social value generated by non-for-personal-profit enterprises; understanding 4 emphasises social innovation; and finally understanding 7, which emphasises the delivery of public services by social enterprises.

Understanding 1 frames SEs as traditional non-for-profit organisations -as conceived in the USA- that adopt tools and practices of traditional for-profit enterprises to counteract scarcity of financial resources (Dees, 1998; Skloot, 1983). The conceptual origins of understanding 1 can be traced back to Skloot (1983), who, from a managerial standpoint argues that for those non-for-profits facing difficulties to secure funds, they could go into business as a strategy to increase their chances to survive (Skloot, 1983). This approach explicitly encourages non-for-profits to adopt private-sector tools to be commercially successful and achieve financial self-sufficiency (Skloot, 1983). The approach was later popularised by Dees in 1998 under the name of “enterprising non-profits”. This approach is popularly exemplified through the “social enterprise spectrum” diagram (Table 2.7) where the “enterprising non-profit” is placed at the very middle of a spectrum of two extremes of motives and goals; one extreme being purely philanthropic, and the other, purely commercial (Dees, 1998).

Table 2.7 The social enterprise spectrum

	Purely Philanthropic		Purely Commercial
Motives,	Appeal to goodwill	Mixed motives	Appeal to self-interest
Methods and	Mission driven	Mission and market driven	Market driven
Goals	Social value	Social and economic value	Economic value

Source: adapted from Dees 1998 p. 60

Understanding 2, frames SEs as organisations that pursue the generation of “positive externalities” by integrating two organisational logics into their core strategy i.e. the for-profit/market and the non-profit/social (Pache & Santos, 2013). Under this understanding, the vectors that create social and commercial value reinforce, rather than undermine, each other (Battiliana et al., 2012). Understanding 2 differentiates from Understanding 1 in that, in the former, rather than adding a commercial revenue stream – often unrelated to

the core activities of the non-profit- to an existing non-profit model, the organisation is created with a strategy that integrates a twofold aim in its core which leads to the sustainable integration of social and commercial activities across all dimensions of the organisation (Battiliana et al., 2012).

Understanding 3 frames SEs as organisations that pursue the generation of social value and community benefit through the management of “natural” tensions, competing demands and divergent goals, norms and values that result from the incorporation of two logics -capital/business vs welfare/social – within the same organisation (Smith et al., 2013). The difference between Understanding 2 and 3 is subtle and arguably non-existent, as both seem to be grounded on the same principle – the integration of inherently different logics into one organisational strategy. The subtle difference is found on the emphasis that Understanding 2 places on the generation of social value, whereas Understanding 3 emphasises hybridity. Social value is understood as “the interplay of effective demand and effective supply”, where effective demand means that someone is willing to pay for a service, an outcome or a change in trust; and effective supply means that there is a capacity to provide that service, outcome or trust (Mulgan et al., 2019).

Understanding 4 frames SEs as private organisations funded and directed by one or a small group of individuals, who are frequently labelled as social entrepreneurs (Bornstein, 2004; Drayton, 2005; Kramer, 2005), and who relying mostly on innovation to create a product or a service that aims to address a social problem. The conceptual origins of understanding 4 are found in the adaptation of the “creative destruction” entrepreneurship of Schumpeter (1942) by some SE academics and practitioners such as Young (1983), Drayton (2005), Dees and Anderson (2006b) and Nicholls (2006). This conceptualisation extrapolates Schumpeters’ innovation argument -that entrepreneurs use innovation as a tool to create value (private and mostly monetary) through new combinations of goods, services and organisational forms- to a social dimension. Under this conceptualisation, social entrepreneurs use innovation and new combinations of goods, services and organisational forms but to create social value (for society) instead of purely private and monetary value (Dees & Anderson, 2006b). In this understanding the protagonist is the social entrepreneur, or a small team of people -social entrepreneurs- that create(s) and direct(s) the organisation. This is called social venture or a social entrepreneurship venture (Nicholls, 2008), which nominally would be the equivalent of social enterprise. Advocates of this approach portray these individuals as “public or social entrepreneurs”

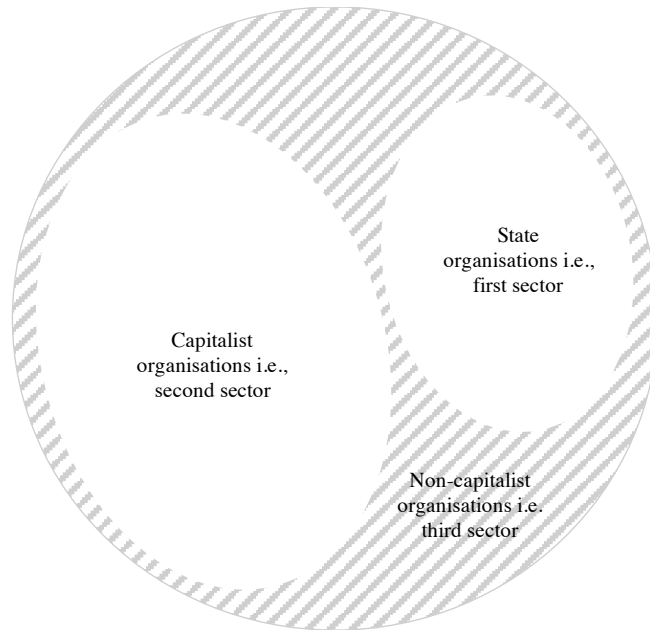
(Drayton,1980),“change agents” (Dees, 1998), “transformative forces’ people” (Bornstein, 2004), “societies’ change agents - Skoll” (Dearlove, 2004), “social-sector leaders” (Kramer, 2005),“highly innovative social activists” (Kerlin, 2010).

Understanding 7 frames SEs as organisations that are explicitly created to deliver public services on behalf of the state (Gordon, 2015). These organisations have emerged within a policy context that primes boosting efficiency and reducing bureaucracy in the provision of welfare services, especially to marginalised groups (Teasdale, 2011). A salient characteristic of these organisations is their dependence on the state in terms of funding and, up to a certain extent, of control to operate (Defourny & Nyssens, 2016). Although the organisational forms of these SEs can vary, some being privately owned and others owned by a community, their common denominator is the transferability of responsibilities from the state to the SE (Defourny & Nyssens, 2016).

2.4.1.1 The Socio-economic context and theoretical underpinnings of the Anglo-American understandings

To achieve a more rounded comprehension of the five understandings identified as Anglo-American, these need to be placed and explained in relation to their socio-economic context of origin and existence. Conceptually, all of these understandings exist within a conceived socio-economic landscape that is composed by and limited to a set of three distinct and separated sectors, i.e. the first sector or the state; the second sector or capitalist organisations – for-profit- ; and the third sector or non-capitalist organisations -non-profit- (Mertens, 1999). Under this arrangement (see Figure 2.6) the third sector exists as a residual group of the other two sectors, i.e. a group composed by all those organisations that do not belong to the government (first), nor to the capitalist (second) sectors (Delors & Gaudin, 1979; Mertens, 1999; Salamon et al., 2000). The mere categorisation of the third sector as the residual of the other two sectors within this three-sectorial arrangement implicitly indicates that these other two sectors are central while the third sector is peripheric to societies conceptualised in the Anglo-American region of the global North.

Figure 2. 6 The third sector as a residual sector



Source: adapted from Mertens, 1999

The emergence of the third sector as a residual sector can be explained through various theories, among which are: Government/Market Failure Theory (Weisbrod, 1977), Supply Side Theory (Powell & Steinberg, 1987), Trust Theory (Hansmann, 1987; Krashinsky, 1986), Welfare State Theory (Heidenheimer & Flora, 1982), Interdependence theory (Salamon, 1987), Political Expediency Approach (Gordon, 2015), and Social Origins Theory (Salamon & Anheier, 1998).

Under this three-sectorial arrangement, Understanding 1, that emphasises the adoption of for-profit strategies and behaviours by traditional non-profit organisations as a response to the scarcity of funding from the government and private donors, can be explained as the addition (but not mergence) of a capitalist arm to a non-capitalist body and mindset as a means by which to obtain financial resources that allow the organisation to continue its operations. The existence of SEs that resemble Understanding 1 can be explained through the Resource Dependence Theory of Pfeffer and Salancik (2003).

Understandings 2 and 3, which emphasise the merging of two opposing logics into their core strategy – can be explained as the mergence (but not just a simple addition) of a capitalist and non-capitalist mindset into one mind/body. The fusion of two different mindsets from organisations that are regarded as belonging to two or more different categories, in this case one from the third sector and the other from the second sector, is

what these organisations emphasise as a “hybridity” of logics into one organisation. The existence of SEs that resemble Understandings 2 and 3 can be explained through an Institutional Entrepreneurship Approach, which is part of the New Institutional Theory (Tracey et al., 2011).

Understanding 4, which emphasises social innovation and the centrality of the social entrepreneur – can be explained as individuals that use the means of the second sector to deliver practical solutions to social problems that neither the first nor the second sector have fulfilled. The existence of SEs that resemble Understanding 4 can be explained through Government/Market Failure Theory (Weisbrod, 1977). Aligned to this theory and within mainstream economic thinking, Santos (2012) argues that the existence of social entrepreneurship is because of its inherent capacity of creating value – understood as the aggregation of individual utility – rather than capturing it, as capitalist organisations do.

Understanding 7, which emphasises the delivery of public services on behalf of the state – can be explained as organisations of the third sector that serve as a vehicle through which the first sector delivers welfare services to its citizens. The existence of SEs that resemble Understanding 7 can be explained through the Political Expediency Approach in which the government, moved either by its political vision, resource constraints, reduced operative capacity, or a combination of various motives, transfers parts of its welfare responsibilities to organisations of the third sector.

Regardless of the theoretical standpoint from which the non-profit sector is explained, all share a common ground. All aim to explain an organisational phenomenon only occurring inside a socio-economic and socio-political reality conceptually developed by and for Anglo-American countries, and therefore, non-profit organisations emerging outside these socio-economic arrangements – such as those that emerge in the global South - are invisible to their scope of analysis.

2.4.2 The European-mainland understandings

Three SE understandings with a prominent European-mainland origin are identified in this review. Understanding 5 emphasises the idea of collective dynamics in the governing body of the SE for the benefit of the community, Understanding 6 emphasises the idea of democratic ownership, control and structure of SEs for the mutual benefit of its members,

and Understanding 8 emphasises the integration of low qualified or unemployed people into the economy through productive activities.

Understanding 5 frames SEs as organisations that operate under the principles of the social economy - cooperativism, mutualism and associativism- with government bodies of a collective nature and whose explicit aim is to benefit the community. These are organisations that, apart from operating on social economy principles, are purposely created to contribute to the solving of a social or environmental issue affecting the community (as by a determined geographical area) in which they operate, or to support specific groups in vulnerable situations within this same community (Defourny & Nyssens, 2013a; Gordon, 2015). Therefore, this understanding could be regarded as SEs where the principal social aim addressed is external to the organisation. These SEs have been labelled as social cooperatives or cooperatives-like social enterprises (Defourny & Nyssens, 2013a).

Understanding 6 also frames SEs as organisations that operate under the principles of the social economy - cooperativism, mutualism and associativism – however, this Understanding is distinguished by the aim of the SE defined as being to fulfil the mutual interest of the members of the organisation. The members' democratic ownership, control and decision making over the SE is particularly noted. In this case, the decision-making power is not based on capital ownership but on the principle of one member, one vote i.e. on a democratic rationale. In these organisations the principal social aim to address is a common need of the members, usually working classes, who voluntarily associate and collectively control the enterprise for their mutual interest, benefit and support (Gordon, 2015). Therefore, this understanding could be regarded as social enterprises in which the principal social aim is internal to the organisation. These SEs are regarded as traditional cooperatives, mutuals, or simply social economy enterprises.

In a similar case as in the Anglo-American Understandings 2 and 3, the difference between the European-mainland Understandings 5 and 6 is subtle, as both are grounded on the same social economy principles, and both consider essential a collective, participatory and democratic governance body. The difference is found in the emphasis that Understanding 6 places on mutual benefit (internal benefit for the members), whereas Understanding 5 emphasises benefiting the community (external benefit for the community).

Understanding 8, on the other hand, emphasises work integration and frames SEs as organisations whose main purpose is to integrate people that have been excluded from the labour market due to structural or conjunctural circumstances in a specific region, for example, the long term unemployed, those with disabilities, the elderly, refugees, migrants, amongst other groups- into the labour market and society through training and work (Defourny & Nyssens, 2016). This SE understanding does not embrace a specific form or structure.

2.4.2.1 The socio-economic context and theoretical underpinnings of the European-mainland understandings

The same three-sectorial arrangements presented in Figure 2.6 also explain the provenance of the SE understandings of European-mainland origin. These are explained by Delors' and Gaudin's conception of the third sector from a French-European perspective (1979) which explains the origin of the social economy (Mertens, 1999).

Understandings 5 and 6 – which emphasise collective dynamics in SE governing bodies and democratic ownership and structure – both Social economy enterprises, have their roots in nineteenth century France, in the organisations and principles belonging to the so called “social economy”: cooperatives-cooperativism, mutual societies-mutualism and associations-associativism (Defourny, 2001; Laville & Nyssens, 2001; Spear et al., 2009). These enterprises aim to generate fairer economic relations and promote economic democracy (Defourny & Nyssens, 2013a). The social economy, in its many organisational forms, gained momentum during the seventies, prominently in those countries placed at the core of industrial capitalism in Europe, where rising numbers of marginalised groups became socially excluded, primarily but not exclusively, due to their condition of unemployment (Amin et al., 2002). These organisational forms became relevant due to their capacity to tackle social exclusion at a local level by encouraging collective and socially useful production through processes of association and democratic participation of marginalised groups. These dynamics brought about a more human face to the economy, and disclosed the close relation that existed between this and the environment, politics and society (Amin et al., 2002).

Understanding 6, regarded as the most recent of the two (5 and 6) is regarded as a second wave of cooperativism that emphasises an explicit concern for the community (Galera &

Borzaga, 2009). These organisations gained relevance in Europe in the light of shrinking welfare states (Defourny & Nyssens, 2013a).

A core characteristic of these approaches, and what differentiates them the most from their counterparts of Anglo-American origin, is their collective and participatory governance dimension. The word “social” in SE understandings of European-mainland origins embraces two meanings, one that refers to the internal dynamics of the organisation i.e. collective and participatory, and the other that refers to its social aim or purpose, either internal, external or both; in the case of SEs of Anglo-American origin, the word social has generally only one meaning and it refers to its external social purpose (Teasdale, 2011).

2.4.3 The Latin-American understandings

This literature review argues that the conceptual limits of the socio-economic frameworks that define the social structure of the global North, such as the three-sectorial landscape, delimit the possible range of forms that SEs can take, or be recognised as in the global South. In Latin-America, as a region that continues to be transversally crossed by modern/colonial power dynamics, the socio-economic arrangements of some of its populations have existed and continue to exist outside the rigid three-sectorial socio-economic landscape developed by and for Global-North contexts.

This review presents two SE understandings with a prominent Latin-American origin. Understanding A, which emphasises the collective and informal organisation of small economic units by people from marginalised groups in urban environments to produce, consume and distribute goods and services under a logic of reproduction of life -and not of capital- (Nyssens et al., 2019). And B, that emphasises the collective organisations of indigenous peoples, peasant or fishermen communities emerging from and linked to their ancestral territories (Orozco-Quintero & Davidson-Hunt, 2010; Peredo & Chrisman, 2006).

Understanding A embodies collective organisations emerging in urban environments and formed by marginalised groups – usually rural migrants, those in urban poverty, and domestic workers, among others – who combine their own labour force with their scarce capacity to mobilise resources to constitute small economic units -tied frequently by family relationships- to produce, consume and distribute goods and services under a logic of reproduction of life (and not of capital) (Nyssens et al., 2019). These types of

organisations are driven by three main motivations: income generation, creation of sociability spaces and members' protection (Icaza & Tiriba, 2003). Those three drivers encompass the socio-economic response from individuals (children, youth and adults) and small groups (relatives or two or three business partners) against the structural unemployment and the social exclusion processes of their countries (Icaza & Tiriba, 2003). These organisations are considered to belong to the popular economy, or the popular solidarity economy, terms which were coined in the 1980s by the Chilean Sociologist Luis Razeto (1984, 1986).

Understanding B embodies organisations that are the result of unique communitarian institutions developed by indigenous communities to manage their commons i.e. their land, natural resources and customary social relations (Orozco-Quintero & Davidson-Hunt, 2010). These organisations aim to improve their socio-economic circumstances within their territories, while at the same time claim back their rights over their ancestral lands, natural resources and social practices (Peredo & Chrisman, 2006). In this approach, the indigenous community collectively designs and controls the social enterprise to serve a purpose that goes far beyond obtaining purely economic gains, and instead pursues political, social, cultural and environmental goals, as well as economic gains, for the community- (Berkes & Davidson-Hunt, 2009; Peredo et al., 2004). These organisations have received various names in academic literature such as, community-based enterprises (Peredo & Chrisman, 2006), commons enterprises (Berkes & Davidson-Hunt, 2009; Orozco-Quintero & Davidson-Hunt, 2010) or indigenous entrepreneurship (A. M. Peredo & R. B. Anderson, 2006). These organisations are considered to belong to the community economy (Nyssens et al., 2019).

2.4.3.1 The socio-economic context and theoretical underpinnings of the Latin-American understandings

Contextual origins of Understanding A - of the popular solidarity economy - can be traced back to the financial crisis that hit Latin America during the 1980s, commonly known as The Lost decade (Conde Bonfil, 2013). This crisis led some countries of the region to - voluntarily or coercively- reorient and restructure their productive apparatus; the measures taken were particularly profound in Argentina, Brazil, Chile and Mexico (Conde, 2015) During the late 1980s and through all the 1990s, the adoption of the hegemonic neo-liberal project by Latin American countries led to the downsizing of their governments limiting its regulatory power, which resulted in rising rates of accumulation

and the concentration of wealth and power to “loyal groups” of politicians and businessman “connected” to the governments in power (Lloyd, 2007). This concentration led to the aggravation of already high levels of poverty, and economic and social inequality in Latin American countries (Lloyd, 2007). These changes, which were part of the global reconfiguration of markets and geopolitics, reshaped the work relationships and production chains that unleashed waves of massive unemployment, These conditions of social and economic instability, in combination with weak or absent welfare states in these Latin American countries led to the emergence of the “popular economy”(de França Filho, 2002),), understood as “a set of economic activities and social practices developed by the popular sectors of society in order to ensure, through the use of their own labour and available resources, the satisfaction of both material and immaterial basic needs” (Hillenkamp & Wanderley, 2015)., The analysis of those popular initiatives from the perspective of the popular economy enables us to reinterpret and give meaning to those practices as powerful agents used by popular groups to bear with the political, cultural and social exclusion processes in their countries (Nyssens, 1997). Understanding A, emerging from the popular solidarity economy, has been present for three decades in academic literature in Spanish, French and Portuguese languages under the name of *La otra economía*, ‘the other economy’. It includes the social economy, the workers economy, the feminist economy, and the popular economy, among others, that represent an alternative to the capitalist economy (Cattani et al., 2009).

Contextual origins of Understanding B - of the community economy - can be traced back to the indigenous ways of life and production of native civilisations of what is today Latin-America. Indigenous populations used to live within collective and cooperative economic systems, characterised by socialised means of production and cooperative economic activities, thereby dissolving the separation between capital and labour typical of modern-day salaried employment (Gaiger et al., 2015; Galicia et al., 2012; Hillenkamp & Wanderley, 2015). In the mid-nineteen century, indigenous populations that survived and managed to maintain their indigenous collaborative ways of life throughout the European colonisation, adopted and merged some social economy principles of European-mainland origin (Galicia et al., 2012). These processes of mergence supported the formation of the first agrarian communities in Latin America (Galicia et al., 2012). Those initiatives were later modified and expanded to other productive activities at the end of the century, adapting organisational forms of successful cooperatives from England, France and Germany (Galicia et al., 2012).

The organisations of the community economy blend together the conceptually separated terms of community and enterprise, through a process in which the community acts entrepreneurially to create an economic structure that is embedded in the already existing social structure of the community (Peredo & Chrisman, 2006). As a result of this, the social enterprise is managed and governed to produce both individual and group benefits in the short and long term i.e. to pursue the common good (Peredo & Chrisman, 2006). It is worth mentioning that this understanding perceives a community as an aggregation of people that share a geographical location and that are all related together by a collective culture, ethnicity or other relational characteristic (Peredo & Chrisman, 2006). The literature suggests that these organisations emerge as a response of indigenous communities to their conditions of relative, often extreme, material poverty, vulnerability and disadvantage, and at the same time represent the claim of their right to plan and control their own development (Peredo, 2003; Peredo et al., 2004)

2.5 Identification of knowledge gap

This literature review shows that the Modern/Colonial power dynamics that transversally cross the world are also articulated within the production of knowledge in academia through rationales, structures and mechanisms ingrained and reproduced by academic institutions in the global North and South. This literature review shows that these modern/colonial power dynamics are also present in the SE field. Globally, and to this day, these power dynamics in academia continue to be domestically reproduced by countries of the global South through the myth that upholds the idea that the knowledge created in the global North is universal. The application of the geography of knowledge production approach to review the knowledge produced in the global North reveals that this knowledge is not universal but local, and therefore should be perceived as such.

Under this approach, the review that this chapter conducted of the top 50 results of the SE literature reveals that the SE knowledge developed by and for global South contexts is absent. This chapter compensates for this unequal representation of knowledge by incorporating SE understandings of the Latin American region, and will shortly go on to particularly consider the SE understandings of Mexican origin. This chapter also suggests that due to the domestic reproduction of the modern/colonial power dynamics by countries of the global South, SE understandings developed by and for Latin-American

contexts will occupy peripheral positions and/or will not enjoy advantageous status in the country focus of this thesis, Mexico; despite being “endemic” knowledge to the region. Hence, a knowledge gap and the first specific objective of this thesis is: SO1. to investigate in depth the SE understandings of Mexican origin, and to reveal the status that these enjoy within the SE narratives of the country.

The domestic reproduction of colonial knowledge by countries of the global South, and the prevalence of the myth of universal knowledge in these regions, suggests that the hegemonic SE understandings identified in the review of the top 50 results will also be present in Mexico. This chapter also suggests that, due to the modern/colonial power dynamics that transversally cross the world, these SE understandings may also occupy central positions and/or enjoy an advantageous status in the country focus of this thesis. Therefore, a second specific objective of this thesis is: SO2. to investigate the presence of hegemonic SE understandings in Mexico, and to reveal the status that these enjoy within the SE narratives of the country.

The above paragraphs delineate two knowledge gaps that are transformed into specific objectives of the thesis, these are:

SO1. to investigate in depth the SE understandings of Mexican origin, and to reveal the status that these enjoy within the SE narratives of the country.

SO2. to investigate the presence of hegemonic SE understandings in Mexico, and to reveal the status that these enjoy within the SE narratives of the country.

These two specific objectives are condensed into one main objective:

MO1. To investigate the SE understandings in Mexico

The other two main objectives were stated previously in Chapter 1.

2.6 Theoretical framework

The thesis uses the European Social Enterprise Research Network framework (hereafter, EMES framework) to identify, analyse and describe the SE understandings present in Mexico. This framework is succinctly developed in the following paragraphs. Further down, the justification for the choice of this framework is delineated based on its advantages and limitations with regard to its suitability to identify, analyse and describe the SE understandings of Mexico.

The EMES framework aims to explain social enterprises from an “internal” and an “external” point of view. The internal dimension of social enterprises is explained by the “three dimensions approach” developed by Defourny and Nyssens (2012) which are: governance, economic/entrepreneurial and social (Table 2.8). An external point of view is explained by the “matrix of principles of interest” also developed by Defourny and Nyssens which is composed of three principles: general interest, mutual interest and capital interest (Figure 2.7).

The three dimensions approach (Table 2.8), developed by (Defourny & Nyssens, 2012) and adopted by EMES, is a breaking up of the fundamental areas that compose any given social enterprise. These are: 1) the entrepreneurial dimension, which encompasses all the economic activities that the organisation pursues in order to be financially self-sustainable, and which differentiates it from traditional non-profit organisations; 2) the social dimension, which is the primary and explicit social purpose of the organisation, the dimension that distinguishes social enterprises from for-profit enterprises; and 3) the governance dimension, which encircles all the mechanisms that ensure the prevalence of the social mission as the primary aim of the organisation (Wilkinson et al., 2014). For details, see Table 2.8.

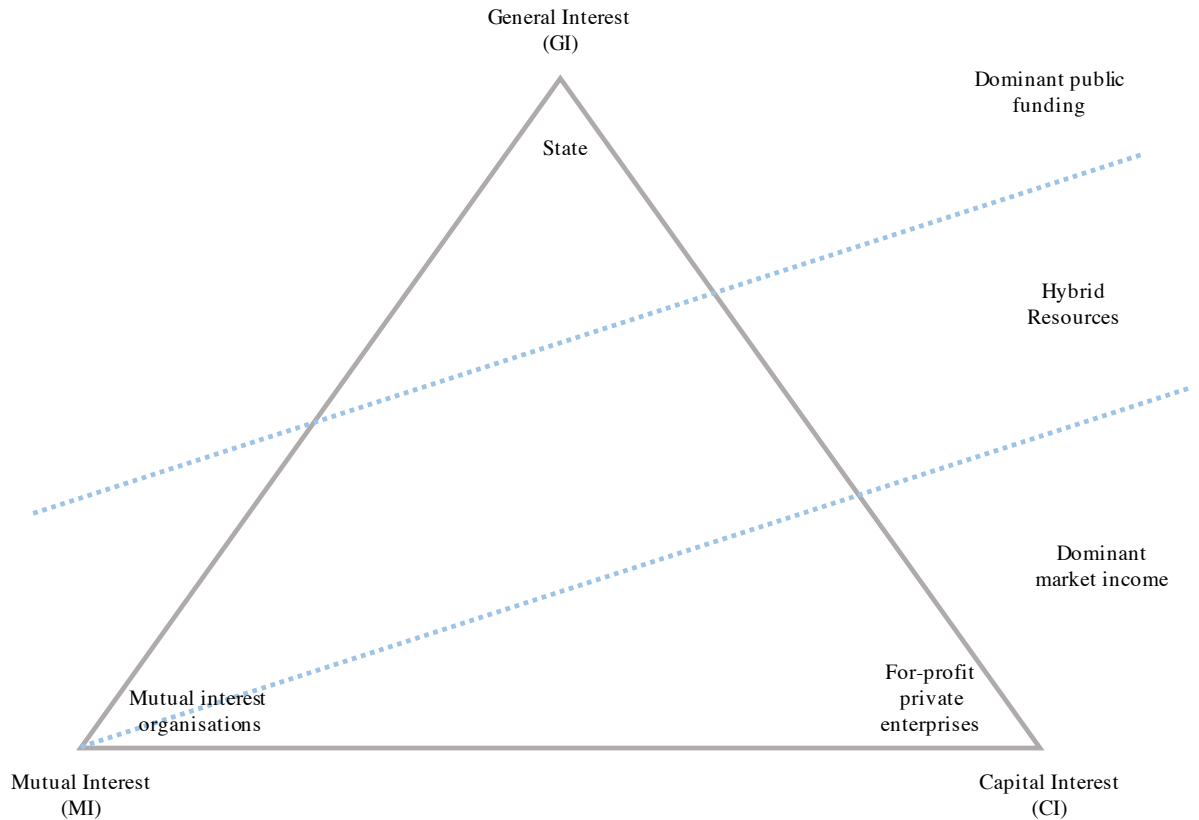
Table 2.8 EMES Framework part 1. The three dimensions of social enterprises

Dimension	Indicator	Description
Economic / Entrepreneurial	A Produce and sell	The production of goods or the provision of services is the major and primary activity of the SE.
	B Economic risk	The SE assumes a significant level of economic risk. This derives directly from production of goods or the provision of services.
	C Paid work	The operations of the SE is carried out by paid workers. This can also include voluntary workers.
Social	D Benefit the community	One of the principal aims of SE is to benefit the community or a specific group.
	E Collective launch	The SE is the result of a collective effort involving people that belongs to a community or group that shares a need or aim.
	F Limited profit distribution	The SE avoids profit-maximisation behaviours although profits may be distributed to a limited extent.
Governance	G Autonomy	The SE is an autonomous project not managed directly or indirectly by public bodies or private firms.
	H Democratic decision making	The decision-making rationale of the SE is based on the principle of "one member one vote" and do not depend on capital shares.
	I Participatory nature	Users, customers and other stakeholders are represented and participate in the decision-making processes of the SE.

Source: compiled by the author using information from Defourny and Nyssens, 2012

The matrix of principles of interest and resource mix (Figure 3.3) relies on the theoretical grounds developed by Gui (1991), who theorised the economic rationale of the third sector. In a succinct manner, Gui (1991) theorises two intrinsic categories of actors within any third sector organisation: the “dominant” and the “beneficiary” categories. The dominant category is formed by those who have the decision-making power, especially with regard to the allocation of the surplus from the organisation, which could be monetary surplus or other kinds of benefits, such as the social benefit generated by the organisation (Defourny & Nyssens, 2016). The beneficiary category is formed by those to whom the surplus is distributed (Ibid.). Following Gui (1991), two major types of entities encompass the spectrum of social enterprises, those in which the dominant and beneficiary categories are the same group of stakeholders, named as “mutual benefit organisations”, and those in which the dominant and beneficiary categories are different types of stakeholders, named as “public benefit organisations”. From these two categories of organisations, Defourny and Nyssens (2012) distinguished two principles of interest present in the overall economy, the “mutual interest” and the “general interest”. Furthermore, in an attempt to position social enterprises in the “general economy”, Defourny and Nyssens (2016) added to those two mentioned interests the “capital interest” as the third major driver in the overall economy, see Fig. 3,3. In this thesis the “capital interest” will be named the “private interest”, as capital interest could also be interpreted as social-capital, or cultural capital, instead of monetary or financial capital.

Figure 2. 7 EMES Framework part 2. Matrix of principles of interest and resource mix



Source: Defourny and Nyssens (2016).

Advantages and limitations of the EMES framework to identify and explain SEs present in Mexico.

Advantages:

1. The original intention of the framework is to serve as a tool analogue to a compass to identify SEs in any context. Due to this, the framework offers a set of nine indicators that are of practical use to identify unknown SE understandings in the field.
2. The framework explicitly considers the governance rationales and mechanisms of SEs as key constitutive elements of these organisations, these are grouped under the “Governance” dimension. This literature review suggests that SE understandings of the Latin American region assign an important weight to the collective dynamics of the decision making of the organisation. Therefore, the governance dimension of this framework allows us to observe and account for the governance structures, rationales and mechanisms of different SE understandings.

Limitations:

1. After analysing the SE literature through the geography of knowledge production perspective, it is evidently necessary to recognise that this framework was originally developed by and for global North contexts.

“The EMES approach derives from extensive dialogue among several disciplines (economics, sociology, political science and management) as well as among the various national traditions and sensitivities present in the European Union” (Defourny & Nyssens, 2012).

Therefore, due to the implicit epistemological assumptions contained in this framework, it is possible that the framework is resultantly inadequate or probably incapable of identifying dynamics, processes or principles of SE understandings emerging outside global North contexts. This possible limitation may restrict a rounded comprehension of SE understandings emerging from the global South, specifically in Mexico with its unique social contexts such as the indigenous or peasant populations.

This framework offers a positive balance between its advantages and its limitations with reference to other forms of SE understandings identified in this literature review. This balance is regarded as positive because the EMES framework, despite its -possible- epistemological limitations, is the only framework that explicitly takes into consideration the governance dimension of SE understandings. This framework’s characteristic appears as very relevant for the fulfilment of main objective 1 of this thesis, because as the literature review points out, the SE understandings from the Latin American region, specifically from Mexico, assign a very important role to their unique governance structures, processes and rationales. Due to these advantages, the EMES framework is chosen in this thesis as a conceptual framework to identify, describe and analyse the SE understandings in Mexico.

2.7 Concluding remarks

This chapter establishes the conceptual and epistemological limits of the object under study in the thesis – SEs – by reviewing the 50 most cited SE publications¹¹ using a geography of knowledge production approach. This exercise identifies eight different SE understandings contained in the mentioned publications. These eight understandings are grouped into two categories, each corresponding to a geopolitical region of the global North. These categories are Anglo-American and European-mainland. SE Understandings 1, 2, 3, 4 and 7 belong to the Anglo-American region, and SE Understandings 5, 6 and 8 belong to the European-mainland region. Each of the eight understandings are conceptually described and their socio-economic context and theoretical underpinnings explained. In order to compensate for an unequal representation of understandings developed by and for the global South in the 50 articles reviewed, this chapter incorporates two understandings from the Latin American region, Understandings A and B. These two understandings are also conceptually described, and their socio-economic context and theoretical underpinnings explained. This review exercise delineated two knowledge gaps in the literature that were transformed into two specific objectives, these are: SO1. To investigate in depth the SE understanding of Mexican origin, and to reveal the status that these enjoy within the SE narratives of the country. SO2. To investigate the presence of hegemonic SE understandings in Mexico, and to reveal the status that these enjoy within the SE narratives of the country. These specific objectives were then condensed into one main objective for the thesis, that is: MO1. to investigate the SE understandings that are present in Mexico. The revision and discussion of the various SE understandings presented in this chapter allowed the determination and justification of the appropriateness of choosing the EMES framework as the analytical framework to guide the data collection in the field and its subsequent analysis. The next chapter, 3, delineates the second and third main objectives of this thesis by developing a social innovation (SI) conceptual framework to identify the SI approaches of social enterprises (SEs).

¹¹ The publications were retrieved from the Scopus database searching for journal articles published between 1990 and 2019 containing the word “social enterprise” in their title. The articles were searched for in 2020 and ordered by those cited highest, with the first 50 selected. See the articles in Table 2.3.

Chapter 3: A conceptual framework to identify the social innovation dimensions and approaches of social enterprises

Abstract.

This chapter presents a social innovation (SI) conceptual framework to identify the SI approaches of social enterprises (SEs). The framework is developed from a systematic analysis of the social enterprise (SE) and SI literature. The framework presents two SI approaches in SEs, named Radical and Instrumental. Within the framework, these approaches mirror the dichotomy of understandings given to SI in the literature. In order to identify towards which SI approach SEs tilt, the framework puts forward seven SI dimensions identifiable within any SE. These are: 1. Focus of the SI, 2. Agency vs Structure, 3. Economic model consonance, 4. Knowledge construction and valorisation, 5. Type of governance and distribution of power, 6. Spatial dimension, and 7. Politicising vs depoliticising. Each dimension functions as an individual indicator that points out toward which SI approach any SE tilts. The framework does this by providing two interpretations of SI per indicator. Each pair of opposing interpretations correspond to the two SI approaches mentioned previously (Radical and Instrumental). By focusing on which SI approach any given SE tilts towards through most of its seven SI dimensions, the framework aims to disclose the SI approach of any SEs.

3.1 Introduction

An increasingly uncertain social reality affecting all, but with a greater degree, the less well-off, in all of the regions of the world has put pressure on governments, policy makers and society in general to look for ways to transform a pressing social reality. In this context, SEs have been perceived by some governments as viable solutions to social problems in their regions (Mason et al., 2007; Teasdale et al., 2013). Policy makers have recognised the role of SEs in the delivery of social and labour market services in Europe (Gonzales, 2008) and in some countries in America (Borzaga & Tortia, 2009), as well as being capable of delivering well-being services and reducing social exclusion (Noya, 2009, p. 7). Recognised practitioners such as the Nobel Laureate Prof. Yunus, have even put forward SE models with the aim of eradicating poverty (Cajaiba-Santana, 2014). It is within this context that the core element underlying the expectations placed on SEs becomes visible: the degree and the capacity of these organisations to transform social reality. This characteristic element of SEs has not gone unnoticed by academics who have

associated it to SI (Defourny & Nyssens, 2016; Maclean et al., 2013; Moulaert et al., 2013; Nicholls, Simon, et al., 2015a); which in a similar fashion to SEs, has also gained relevance in the past decade (Cajaiba-Santana, 2014), among policy makers, practitioners and academics (Baglioni & Sinclair, 2014; Moulaert et al., 2013). In this regard, research on SI spreads across multiple disciplines such as management, territorial development, public policy, social entrepreneurship and social economy (Baglioni & Sinclair, 2014; Cajaiba-Santana, 2014). In this perceptible association between both concepts, from the point of view of the SE literature, scholars have considered SEs as a subset of SI (Nicholls, Simon, et al., 2015a), as disseminators of SI (Austin et al., 2006) or as developers of social innovations (SIs) (Spear et al., 2009). From the point of view of the SI literature, SI has been considered as an outcome of SEs (Haugh, 2005); others place it as the very core of SEs themselves (Goldstein et al., 2010). These and other studies (Defourny & Nyssens, 2016; Laville et al., 2007) evidence that both concepts intertwine at various degrees and depths. This chapter argues that previous research (Goldstein et al., 2010; Phillips et al., 2019; Phillips et al., 2015; Selloni & Corubolo, 2017), that has focused purely on unravelling and understanding the intertwining of these two concepts, has analysed this association from only one of the two streams of the SI literature¹² – referred to as an “Instrumental” SI in this chapter –, and has focused on Anglo-American origin SEs that fit western-like business models. Other scholars (Defourny & Nyssens, 2013b) have explored this SE-SI relationship from a more transversal approach encompassing SEs from Anglo-American and European-mainland origins. Although these scholars highlight various key points of association between SEs and SI, their research is limited by two stances. One, that it also analyses this SE-SI association from just one stream of the SI literature – the other stream, referred to as “Radical” SI in this chapter. And two, that their analyses are centred on SEs that are conceptually bordered by a western understanding of SE i.e., Anglo-American and European-mainland origins. Due to the nature of the project of which this chapter is part, that is to study SEs of Mexico, this chapter takes into account SEs understandings that exist beyond the definitions of western conceptual limits - Anglo-American and European-mainland origins -and includes SEs emerging from indigenous communities of Latin America. It is claimed in this chapter that up to this date, multiple points of connection between SEs and SI are scattered along the SI and SE literature. It is also argued that due to the dispersion and disassociation of these points of connection in the literature, a

¹² The two streams of the SI literature are Radical and Instrumental.

consolidated, rounded and meaningful understanding of how SI associates to SEs is absent. This chapter aims to address this gap by presenting a conceptual framework that enables the identification of the SI dimensions of SEs of any type, and through this, to disclose their SI approach.

The chapter is structured as follows: Section 3.2, in the form of a literature review, explains the SE field identifying various understandings that exist around the term SE, and explaining these through a map that illustrates their disciplinary and geopolitical origin. The literature review continues by identifying the connections between SEs and SI in the literature. Section 3.3 explains the methodology followed to develop the framework. Section 3.4 presents the process of development of the framework and further explains the role that the dichotomy of the SI literature played in the development of the backbone of the framework. Section 3.5 presents and develops the seven dimensions of the framework, and finally, Section 3.6 discusses the framework in the light of its adequacy to explain the SI of SEs within and beyond western conceptual limits. Section 3.7 then draws a conclusion.

3.2 Literature review

3.2.1 SEs a contested concept

Literature reveals that SEs are a heterogeneous set of organisations that share, in the best of cases, a common nomenclature, (Defourny & Nyssens, 2016) but a very varied origin (Gordon, 2015), organisational structure (Doherty et al., 2014) and theoretical roots (Teasdale, 2011). In the last two decades, the discussion of the concept by scholars has led to the emergence of many and varied forms of understanding SEs (Defourny & Nyssens, 2016) around the world. A brief recapitulation of some of the more and less popular in academia is offered in Table 3.1. In this chapter a single SE understanding is not adopted, rather it is argued that the diverse forms of understanding SEs reflect the conceptual and theoretical boundaries that define the different SE understandings in the field.

Table 3.1 Recapitulation of forms of understanding social enterprises

Nomenclature	Understanding	Author(s)
Social innovation School	social innovation School: extrapolates Schumpeter's innovation argument of a social dimension where social entrepreneurs use innovation and new combinations of goods, services and organisational forms to create social value.	Dees & Anderson, 2006
Enterprising non-profit / social enterprise School	Enterprising Non-profit / social enterprise School: a traditional Non-for-profit aiming to generate income to achieve self-sufficiency using private-sector tools	Skloot, 1983; Dees, 1998; Dees & Anderson, 2006
EMES approach	Identifies SEs through three sets of indicators (I) grouped in three distinct dimensions (D). D1 Economic / entrepreneurial, I-1. Continuous activity producing goods and/or selling services, I-2. A significant level of economic risk, I-3. A minimum amount of paid work, D2. Social, I-4. Explicit aim to benefit the community, I-5. Initiative launched by a group of citizens or civil society organisations, I-6. Limited profit distribution, D3. Governance I-7. High degree of autonomy, I-8. Decision making power not based on capital ownership, I-9. Participatory nature.	Defourny & Nyssens, 2012
The Social Bricoleurs, Social Constructionists and Social Engineers	Identifies three types of social entrepreneurs. Social Bricoleurs: discovering and addressing small-scale local social needs. Social Constructionists: exploit opportunities and market failures by filling gaps to underserved clients in order to introduce reforms and innovations to the broader social system. Social Engineers: recognize systemic problems within existing social structures and address them by introducing revolutionary change.	Zahra et al., 2009
Social Cooperatives	Organisations that apart from operating on the social economy principles, are purposely created to contribute to solve a social or environmental issue affecting the community (in a determined geographical area) in which they operate.	Defourny & Nyssens, 2013
Zoo Metaphor	A social enterprise zoo where many different "animals" combine social and market goals in substantially different ways and each species has distinct environments and needs.	Young & Lecy, 2014
Spectrum approach	Locates SEs in a continuum between pure profit-making and social impact organisations.	Alter, 2007
Social Business Enterprise	SBEs are non-loss-non-dividend companies. The bottom line for them is to operate without incurring losses while serving the people, and the planet, particularly disadvantaged people, in the best possible manner.	Yunus, 2006
Business-like non-profit organisations	SEs are Non-profit organisations that emulate businesses in four dimensions: goals, organisation/structure, management, rhetoric/terminology.	Dart, 2004
Community Based Enterprises	SEs of this type are an emerging form of entrepreneurship, typically rooted in community culture, natural and social capital are integral and inseparable from economic considerations, transforming the community into an entrepreneur and an enterprise.	Peredo & Chrisman, 2006
Community Forest Enterprises	SEs of this type are productive organisations based on a common property natural resource (Community Forests) arranged around traditional community institutions for the delivery of both economic equity and environmental protection.	Antinori & Bray, 2005; Merino-Pérez, 2007
Solidarity-type Enterprises	SEs of this type prioritise the economic principles of solidarity, cooperation and collaboration. Using as a base the EMES three distinct dimensions (D), it proposes three different sets of indicators (I). D1 Economic, I-1. Hybridisation of economic principles and logic of solidarity, I-2. Consistency of economic, social and environmental commitment, I-3. Valorisation of work, D2. Social, I-4. Objective of transformation and repair, I-5. Democratic solidarity, I-6. Autonomy, D3. Political I-7. Public dimension, I-8. Intermediate public spaces, I-9. Institutional entrepreneurship and political embeddedness.	Coraggio et al. 2015

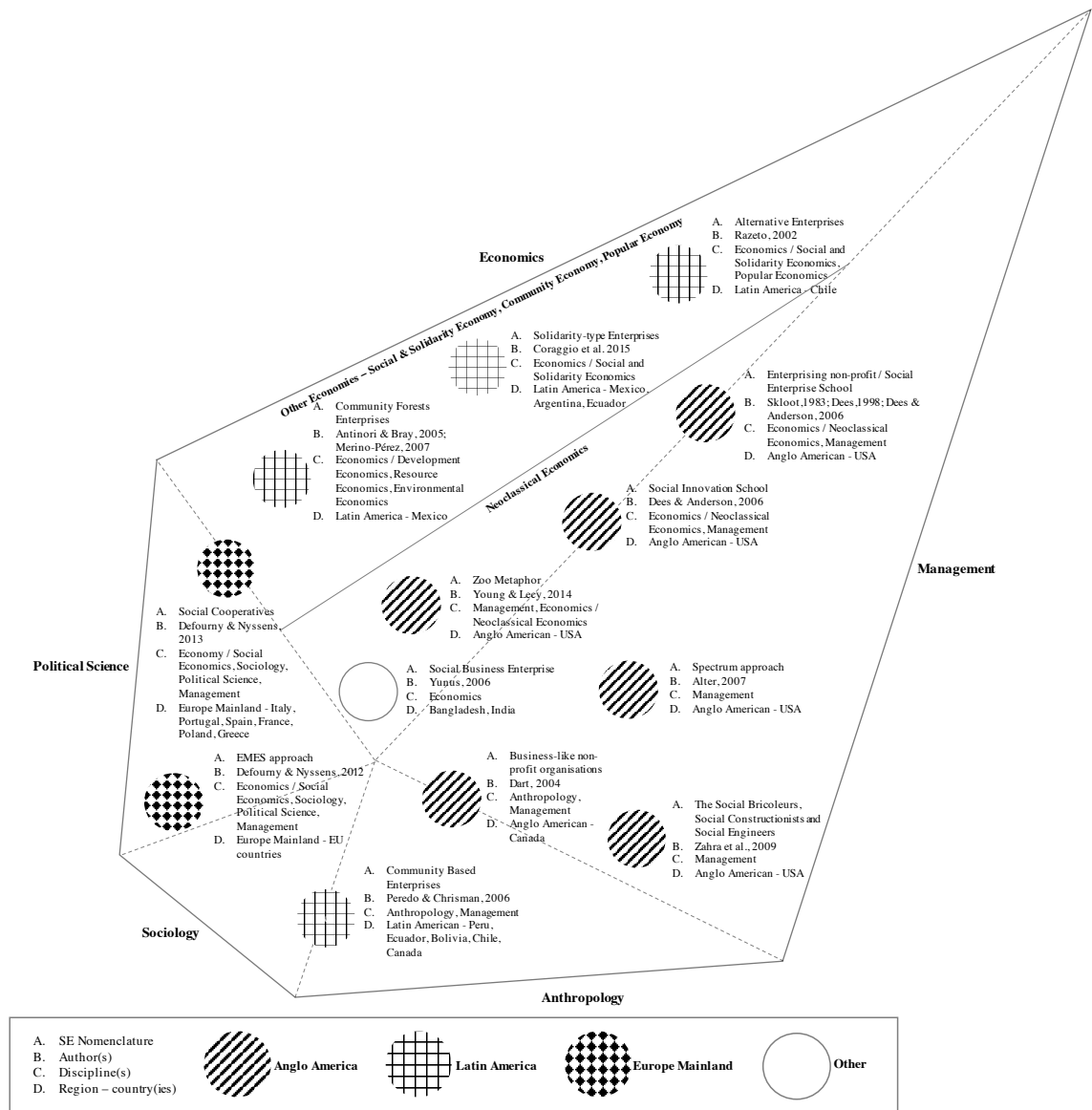
SEs are regarded as economic units that derive from a plurality of forms of economic organisation that go beyond capitalism or socialist models and which revolve around four elements: 1. Forms of organisation and operation of enterprises, 2. Economic factors and their organisation, 3. Economic relations and behaviours of enterprises, 4. Forms of property and appropriation of resources and economic factors. Some examples of these SEs are: Family micro-enterprise, Solidarity workshops of self-subsistence, Peasant economic communities, Cooperatives, Workers' enterprises.

Source: created by the author

In order to achieve a clearer understanding of the field, this chapter illustrates these boundaries through a map in Figure 3.1 that posits the SE understandings recapitulated in Table 3.1 according to the region and country(ies) the author(s) focus(es) on, and according to the discipline(s) from where these understandings are conceptualised.

The use of geographical regions to identify the diverse SE understandings in Figure 3.1 aligns to the geography of knowledge production approach detailed in the previous Chapter 2. The use of this approach to illustrate the conceptual and theoretical boundaries of the diverse SE understandings is of relevance for this chapter because the SI framework aims to explain the SI of SEs of both the global South, and the global North. It is also considered important in this chapter to contemplate the disciplines from which the different SE understandings emerge in order to unveil the rationales or the logics behind their conceptualisation. Through this map (Fig. 3.1), the comprehension of the paradigms and rationales that constitute the conceptual and theoretical building blocks of the various SE understandings is simplified. For the purpose and the limits of the research project of which this chapter is part of, the SE understandings are categorised as focusing on three geographical regions: 1. Anglo-American, 2. European-mainland and 3. Latin-American. However, there are other geographical regions in the world not included in this chapter that may also host other paradigms and therefore other SE understandings. This chapter, however, includes only these three mentioned regions in order to circumscribe the focus to the scope of the project, the study of SEs in Mexico.

Figure 3.1 SE understandings categorised according to their: A. Nomenclature, B. Author, C. Discipline(s) from where the understanding is framed and D. The geographical region and country(ies) the author(s) focus(es) on.



Source: created by the author with information from: Alter, 2007; Antinori & Bray, 2005; Coraggio et al., 2015; Dart, 2004a; Dees, 1998; Dees & Anderson, 2006; Defourny & Nyssens, 2012, 2013a; Merino Pérez & Hernández Apolinar, 2004; Peredo & Anderson, 2006; Razeto, 2002; Skloot, 1983; Young & Lecy, 2014; Yunus, 2006; Zahra et al., 2009.

3.2.2 The connection between SI and SEs in the SE literature

The literature on SEs, independent of the understanding or school of thought adopted, explicitly shows multiple points of connection with SI (Borzaga et al., 2012). These connections are of varied nature and are drawn from different perspectives, a recapitulation of which is shown below.

The works of Austin et al. (2006), Spear et al. (2009), Chell et al. (2010) and Haugh (2005) draw a connection between SE and SI from an outcome perspective. SEs are regarded as disseminators of SI by Austin et al. (2006), and as developers of new SIs by Spear et al. (2009). Chell et al (2010) link the generation of SI by SEs to the collaborative

processes between SEs themselves, corporations and public sector organisations. Haugh (2005) argues that among the many outputs of SEs, one is the stimulation of SIs.

From a different standpoint, the works of Dees (1998), Goldstein et al. (2010), Young and Lecy (2014), Coraggio et al. (2015) and Defourny and Nyssens (2016) draw a connection between SEs and SI from a normative perspective identifying SI as the defining element that characterises SEs. Goldstein et al. (2010) argue that SI constitutes the core of SEs. Coraggio et al. (2015) and Defourny and Nyssens (2016) circumscribe this vision to certain types of SEs of North American origin, pointing out that SI is part of the normative core of SEs belonging to the “SI school of thought”. This SE understanding was identified and described two decades ago by Dees (1998). From this perspective, the SI dynamics of SEs are viewed as a function to create social value (Coraggio et al., 2015).

From another angle, the works of Moulaert and Ailenei (2005), Defourny and Nyssens (2016) and Laville, Levesque and Mendell (2007) draw a connection between SI and SEs from a collective empowerment perspective. Defourny and Nyssens (2016) point out that the literature associates SI to some forms of empowerment of people trying to fulfil their needs; they argue that this association resembles the participatory governance pillars of SEs in the form of cooperatives and associations i.e. social economy enterprises. Moulaert and Ailenei (2005) offer a similar vision, they also connect SI to the modes of governance of SEs of the social economy. They argue that the governance systems of social economy enterprises reintroduce social justice to the systems of human production and allocation relations by relying on solidarity and reciprocity principles (Moulaert & Ailenei, 2005). Along a similar line, Laville, Levesque and Mendell (2007) argue that the SI of social economy enterprises is associated to their participatory structure in which the circulation of information facilitates the emergence of new ideas and projects, and from their capacity to use their roots in the community and their proximity to certain social groups which enables them to identify social needs more quickly than other actors. They also highlight that these types of SEs are rarely aware of their SI processes, as they do this spontaneously (Laville et al., 2007).

3.2.3 The connection between SI and SEs in the SI literature

The literature on SI shows various points of connection between SI and SEs which are drawn from various angles, a reiteration of which is given below.

Nicholls et al. (2015b) present SEs as a subset of SI, where SI is perceived as the biggest field of action encompassing any new idea or model to address social needs. For Murray et al. (2010), SEs are regarded as organisational forms of SI, in this view SEs are the embodiment of SI.

For Mulgan (2006), SEs are regarded as diffusors of SI. Under this view, SI encompasses innovative activities and services that are motivated by the goal of meeting a social need and are predominantly diffused through organisations whose primary purpose is social (Mulgan, 2006), such as SEs. From a similar viewpoint, Hillgren et al. (2011) portray SEs as agents or drivers of SI, which are regarded as part of a wider network of agents that include the public sector, private entrepreneurs, social movements, among others.

For Mulgan et al. (2007) and Brown and Wyatt (2010), SI occurs within SEs, sometimes intuitively, through a process of design thinking, which is conceptualised as an approach to create solutions through a “system” of three overlapping “spaces”, inspiration, ideation and implementation.

For Phillips et al. (2008), SI is what creates social value, and social value is the underlying objective of social enterprises, therefore in this view, SI is a product of SEs. In a similar view, Lettice and Parekh (2010), portray SI as a process that leads SEs to generate social benefits and outcomes. In this view, SI occurs when SEs "change the lens", “build missing links”, "engage with a new customer base", and “leverage peer-support” (Lettice & Parekh, 2010).

For MacCallum (2009), SI is to be found in the governance mechanisms of SEs, specifically on those that promote social inclusion, dignification of livelihoods and giving a political voice to communities. In this case, SI is viewed as those changes in the relations of governance that allow the satisfaction of social needs in a community. Under this view, MacCallum (2009) argues that SI could serve as a metric to evaluate SEs under the rationale that their scope of success should go beyond quantifiable outcomes and take into account changes in participation, practices and values. In a similar view, Manzini (2014) argues that SI is found in SEs that create new forms of neighbourhood, new forms of social interchange and mutual help.

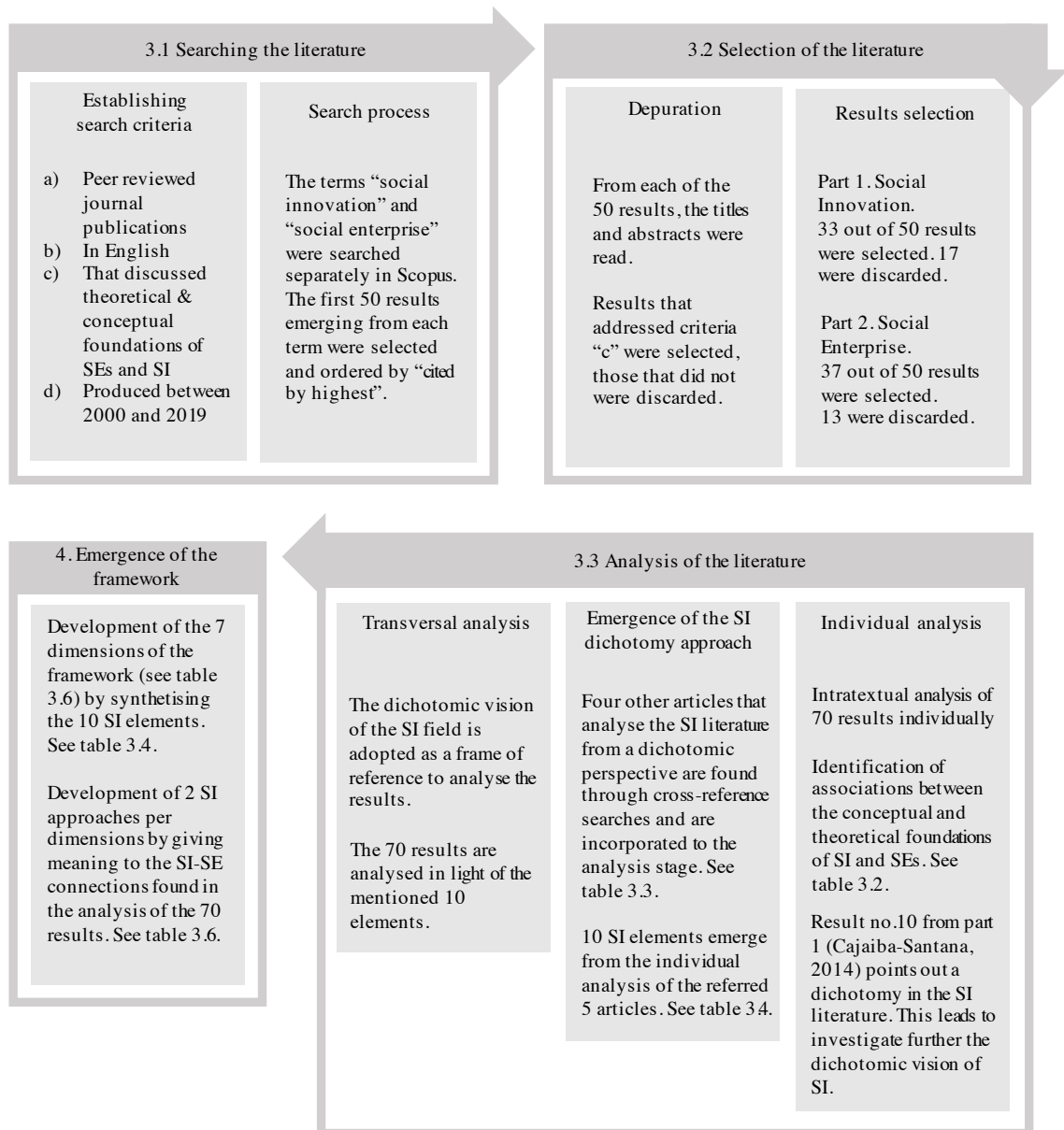
Westley and Antadze, (2010) perceive a connection between SI and SEs at a semantic level, as they argue that the terms SI, SEs and social entrepreneurship are used interchangeably; but they further recognise that a connection between these two terms also occurs at a conceptual level, where they argue that SEs contribute to the promotion of SI.

From a different standpoint, Avelino et al. (2019) draw a connection between SI and SEs in two conceptual dimensions. One corresponds to the processes of transformative social innovation of SEs, and the other to the political (dis)empowerment processes and narratives that these initiatives bring about (Avelino et al., 2019).

3.3 Methodology

The previous section introduced and reviewed 1. The contestation of the SE concept, 2. The connections between SI and SEs in the SE literature, and 3. The connections between SI and SEs in the SI literature. These three elements contextualise and frame the problem that this chapter aims to address, which is that although the SE and SI concepts intertwine at various degrees and depths in the literature, a clear and well-rounded understanding of how SEs and SI connect to each other is still missing. This section presents the methodology followed to develop a conceptual framework to address this problem in three phases. Firstly, conducts a short systematic review on academic literature to identify publications that discuss the theoretical and conceptual foundations of SI and SEs. Secondly, a search is carried out to identify any types of connections and associations between the conceptual and/or theoretical foundations of both concepts across the selected literature. Finally, through a process of analysis and reflexion, a meaningful and rounded understanding of these connection and associations is put forward. The methodology is structured as follows: Section 3.1 establishes the search criteria; Section 3.2 describes the selection of the literature; and Section 3.3 explains the process of analysis. See Figure 3.2 for a depicted process of the methodology.

Figure 3.2 Process of development of the framework



Source: created by the author.

3.1 Searching the literature

The process of searching the literature started by establishing four search criteria which the material needed to conform to: a) peer reviewed journal articles and academic books b) in English c) that discussed the conceptual and/or theoretical foundations of SE and SI, and d) that were produced between the years 2000 and 2019. The search process then began after the establishment of these criteria, with Scopus being used as the search engine. In order to satisfy search criteria “c”, the search process was subdivided into two parts. Part One aimed to find articles that discussed the conceptual and/or theoretical foundations of SI, and Part Two those of SEs. In Part One, the exact phrase “social innovation” was searched for in the article’s title, abstract and keywords for articles dated between 2000 and 2019. The results were ordered by “cited by (highest)”. From a total

of 1,855 results, the first 50 were selected. In Part Two, the exact phrase “social enterprise” was searched for in the article’s title, abstract and keywords for articles dated between 2000 and 2019. The results were ordered by relevance. The first 50 were selected out of 2,000. Figure 3.2 illustrates this process. A total of 100 articles from both SI and SE were selected as a manageable number of articles; if conceptual saturation, meaning the same themes and citations reoccurring, was not reached within the first 100, then the plan was to include more. However, as is clear from below, conceptual saturation was indeed reached.

3.2 Selection of the literature

The results from Parts One and Two were registered separately in two excel matrices of 50 articles each to maintain order and assure a systematic selection process. At that stage of the process there were 100 texts in total. The title, the author(s), the number of citations and the abstracts of each of the search results were imported to the excel matrices. The titles and the abstracts of the material were read and analysed to distinguish the material that discussed conceptual or theoretical foundations of SEs and SI from the material that did not. Those that did not, were discarded. After reading the titles and abstracts of the 50 texts related to SI, 33 were selected and 17 discarded, and of those 50 texts related to SE, 37 were selected and 13 discarded. In total, 70 results were selected and 30 discarded. Figure 3.2 illustrates this process.

3.3 Analysis of the results:

The results were analysed in two forms: individually and transversally. The individual analysis focused on understanding the content of each result independently i.e. gaining intra-textual comprehension. The transversal analysis focused on understanding the results in relation to each other i.e., gaining inter-textual comprehension.

3.3.1 Individual analysis

The aim of the individual analysis was twofold. First, to understand the debates around the conceptual and theoretical foundations of SE and SI in the literature, and second, to use that understanding to identify any explicit or implicit associations or connections between both concepts’ foundations. Within the 70 articles in total, conceptual saturation became clear when the same themes and citations were reoccurring. Table 3.2 shows a sample of the individual analysis of the literature.

Table 3.2 Compilation of the individual analysis of the selected literature on SI and SE

Result number	Author(s)	SI theoretical and / or conceptual proposition or thesis argument	Discipline	Country or region the study focuses on
SI - 1	Swyngedouw E., 2005	Within an urban studies context, the article discusses the two sides of the fifth dimension of SI i.e. political governance. It argues that the innovative and more participatory governance arrangements that have emerged to challenge the traditional state-centered forms of policy making are Janus-faced. On the one side, they enable new forms of participation and articulation of the relationship state-civil society in potentially democratising ways. On the other, due to the emergence of these arrangements within heavily marketised societies, groups that drive towards marketisation and privatisation tend to receive greater voice and power, while those that promote social-democracy and anti-privatisation strategies tend to see it diminished, leading to a substantial democratic deficit.	Urban Development Studies	European Union
SI - 6	Seyfang G., Haxeltine A. 2012	Within a context of sustainable development studies, this article discusses the role of community-based initiatives (Transition Towns - TT) in governing sustainable energy transitions to a low carbon sustainable economy. TT are regarded here as a type of grassroots innovation (a type of SI) within the niche of sociotechnical innovations.	Sustainable Development Studies	United Kingdom
SI - 26	Hillgren P.-A., Seravalli A., Emilson A., 2011	Within the field of design, the article discusses a novel design for SI approach based on infrastructuring. This is discussed in light of the more traditional project-based design approach. The infrastructuring approach refers to open-ended long-term processes where diverse stakeholders can innovate together. These processes are characterised by not having predefined goals or fixed timelines, and by prioritising the organic building of "quality relations" that create trust among stakeholders, which leads to the creation of long-term relations based on trust and eventually social change.	Design	Sweden
SI - 33	Perrini F., Vurro C., Costanzo L.A., 2010	From a social entrepreneurship perspective, the article argues that SI is the result of social entrepreneurship. In this article, social entrepreneurs are the innovations that explicitly address complex social problems through entrepreneurial processes in the social sector. The article develops a framework that explains the stages (identification, evaluation, exploitation and scaling up) in the entrepreneurial processes in the social sector and its individual and contextual variables.	Social entrepreneurship	Italy
SI - 50	Kaika M., 2017	Within an urban development studies context, the article discusses two SI approaches to pursue a new urban paradigm in response to the Sustainable Development Goal 11 "safe, resilient, sustainable and inclusive cities". These two SI approaches are framed as real and non-real SI. It argues that non-real SI is embodied by the old methodological tools, techno-managerial solutions and institutional frameworks that pursue a false ecological modernisation. It claims that real SI is to be found in the alternative methods and practices emerging from within communities rupturing the path-dependency trajectory through dissensus exercises that are effective and real alternatives to address their most pressing needs.	Urban Development Studies	global North and South countries

Source: developed by the author

Table 3.2 (Continued) Compilation of the individual analysis of the selected literature on SI and SE

Result number	Author(s)	SI theoretical and / or conceptual proposition or thesis argument	Discipline	Country or region the study focuses on
SE - 1	Pache A.-C., Santos F., 2013	From a management studies perspective, the article argues that hybrid organisations (WISE in this case) operating in pluralistic institutional environments strategically combine logics (social welfare & commercial) by selectively coupling elements of each logic in order to project legitimacy to, and gain acceptance from external stakeholders. The article notes a hybridisation pattern (referred to as "Trojan horse") occurring prominently among WISEs that enter the field with low legitimacy due to their strong engagement in the commercial logic. It is labelled Trojan Horse because these WISE strategically manipulate the templates of the multiple logics with the ultimate goal of gaining acceptance.	Management Studies	France
SE - 6	Di Domenico M., Haugh H., Tracey P., 2010	From within entrepreneurship studies, this article proposes a conceptual framework of social bricolage to analyse the process of creation and development of SEs. This framework is composed of six processes associated with social entrepreneurship. Three of those were found in the literature: 1. Making do, 2. Refusal to be constrained by limitations and 3. improvisation. The other three were found through empirical data: 4. Social value creation, 5. Stakeholder participation and 6. Persuasion. This framework emphasises the agency of the social entrepreneur in resource acquisition and construction. It suggests that it is capable of moving beyond the constraints of institutional rules and structures to fashion its own bundle of resources, strategies and activities to create social value.	Entrepreneurship Studies	United Kingdom
SE - 26	Wry T., York J.G., 2017	Within a management studies context, this article proposes a theoretical model for SE based on Identity Theory. The framework aims to explain how and why social entrepreneurs mix competing logics (pursuing social & financial aims) when creating SEs. The article develops a typology of social entrepreneurs and argues that the conflicting logics of the SE reside endogenously in the identity of the individual i.e. the social entrepreneur. The identity of the latter is related to their knowledge, competences and social relations.	Management Studies	United States of America
SE - 34	Mason C.M., Kirkbride J., Bryde D. 2007	From a management perspective, the article explains the governance dynamics of SEs through Neo-institutional Theory. It argues that this approach facilitates a broad examination of the macro and micro environment and how these influence the governance of SEs. The article also highlights the shortcomings of two other theories used to explain governance dynamics of SEs: Stakeholder and Stewardship theories.	Management Studies	United Kingdom
SE - 50	Nicholls A., 2010	The article presents an analysis of the regulatory context and disclosure and reporting requirements of the Community Interest Companies (CIC), a type of SE in the UK. It uses the conceptual framework of Regulatory Space to inform on how policy makers shaped the regulatory debate. It reveals that the regulatory requirements for CIC reporting heavily focus on compliance efficiency and not on performance and impact measurement.	Organisations and Society Studies	United Kingdom

Source: developed by the author

During the phase of individual analysis of the 33 results of SI, it was noticed that result no.10 (Cajaiba-Santana, 2014) framed the discussion of the SI field through a dichotomy¹³. It was noticed that this perspective had the potential to provide a coherent classification of previously unrelated elements that were emerging in the review process. Due to the potentiality of this approach to be used as a frame of reference to interpret the literature, other articles that discussed or identified a SI dichotomy were then searched for. Four other articles that analysed the SI field through a dichotomic lens were identified through cross-reference searches. These four other articles were: Ayob et al, (2016), Montgomery (2016), Nicholls et al. (2015a) and Moulaert et al, (2017). A detailed analysis of these five articles is given in Section 3.3.2, below.

3.3.2 Dichotomy of SI understandings

This SI dichotomy has been analysed in detail by Ayob, Teasdale and Fagan (2016), Montgomery (2016) and Moulaert, Mehmood, MacCallum and Leubolt (2017) and Cajaiba-Santana (2014). Nicholls, Simon and Gabriel (2015a) offer a similar analysis, but instead of offering a dichotomy, they offer a trichotomy of SI. A recapitulation of the analysis on the SI dichotomy and trichotomy, in the case of Nicholls et al. (2015b), carried out by each of these publications is presented below. Table 3.3 synthesises this analysis showing the central thesis of these publications regarding the dichotomy of SI. Table 3.3 also includes the scholars that each publication distinguishes as part of one or the other SI understanding.

Table 3.3 Publication's central thesis on the SI dichotomy

Works representing this approach	SI approach	Publication and its thesis on SI dichotomy	SI approach	Works representing this approach
Moulaert et al. 2005, 2007 / Moulaert 2009 / MacCallum, Moulaert, Hillier, & Vicari Haddock, 2009 / Moore and Westley 2011	Strong tradition - Radical	Ayob, Teasdale, & Fagan, 2016 -Opposite Traditions	Weak tradition - Utilitarian	Pol and Ville, 2009: 881 Phills et al. 2008 Mulgan, Tucker, Ali, Sanders, 2007 Mulgan 2006
Moulaert and Nussbaumer, 2005 / Klein & Roy 2013 / Klein, Laville, & Moulaert, 2014 / MacCallum, Moulaert, Hillier, & Vicari Haddock, 2009 / Van der Have & Rubalcaba 2016	Euro-Canadian - Political	Moulaert, Mehmood, & MacCallum 2017 - Ideological Dualism	Anglo- American - Instrumental	Mulgan, 2007 / Oosterlynck, Kazepov, Novy, Cools, Barberis, Wukovitsch, Sarius. & Leubolt, 2013 / Pares et al, 2017

¹³A division or contrasts between two things that are or are represented as being opposed or entirely different.

Moulaert & Van Dyck, 2013 /Moulaert & Nussbaumer 2005 / Moulaert, MacCallum, & Hillier, 2013 / Moulaert and Ailenei, 2005 / Jessop, Moulaert, Hulgard, & Hamdouch, 2013 /Ranciere, 1991	Democratic paradigm - Opponents to neoliberalism	Montgomery, 2016 Incommensurability of Paradigms	Technocratic paradigm - Subgroup of neoliberalism	Mulgan, 2006 / BEPA, 2010 /Murray, Caulier-Grice, & Mulgan, 2010 / Leadbater & Meadway, 2008 / Nicholls, Lawlor, Neitzert, & Goodspeed, 2009 / Reeder, O' Sullivan, Tucker, Ramsden, & Mulgan, 2012
Hämäläinen, 2007 / Lettice, Parekh, 2010 / Klein, Tremblay, & Bussieres, 2010 / Novy & Leubolt, 2005	Structuralist	Cajaiba-Santana, 2014 - Theoretical Dichotomy	Agentic	Simms, 2006 / Mumfold, 2002 / Marcy & Mumflod, 2007 / Mulgan, 2006 / Bacq & Janssen, 2011 / Nicholls, 2010 / Mulgan, Tucker, Ali, & Sanders, 2007
Moulaert, MacCallum, Mehmood, & Hamdouch, 2014 / Mumfold, 2002 / Antadze 2010	Disruptive - on processes	Nicholls, Simon, & Gabriel, 2015 -Three Levels of Action	Incremental and Institutional - on outputs and outcomes	OECD 2011, p1.

Source: created by the author with information from Ayob et al., 2016; Cajaiba-Santana, 2014; Montgomery, 2016; Moulaert et al., 2017; Nicholls et al., 2015a.

Ayob et al. (2016) refer to this dichotomy in the SI literature as two SI traditions: a strong tradition which they refer to as “Radical”, and a weak tradition referred to as “Utilitarian”. The former focuses on social relations, more precisely, on the potential of collaborative processes to restructure extant power relations; while the latter focuses on social impacts, more precisely, on the social value created by social innovations (Ayob et al., 2016).

Moulaert et al. (2017) identify this dichotomy as two normative streams of SI: one stream, which is characterised by its political nature, is located with more prominence in Euro-Canadian literature, whilst the other stream, which is characterised by its instrumental nature, is located with more prominence in Anglo-American literature. The Euro-Canadian stream focuses on the means for political mobilisation for disadvantaged groups, it places an analytical focus on multilevel governance and institutional dynamics. It emphasises collective empowerment, solidarity, territorial democratic governance and critical alternatives to neoliberalism (Moulaert et al., 2017). The Anglo-American stream, however, focuses on identifying and promoting solutions that are practical within the dominant economic frameworks. It emphasises individual empowerment, instrumentality, and socio-entrepreneurial and microeconomic approaches to address social issues (Moulaert et al., 2017).

Montgomery (2016) portrays this dichotomy in the SI literature through a socio-political analysis that identifies two SI paradigms: one Technocratic and one Democratic. The analysis places the distribution of power as the central element that distinguishes each

paradigm from the other. The Technocratic Paradigm is characterised by being in tune with a neoliberal rhetoric, while the Democratic Paradigm is out of tune with that rhetoric and it is embraced by those who oppose neoliberalism (Montgomery, 2016). Three characteristics are put forward to identify each SI paradigm: 1. Knowledge Construction, 2. Political Effects, and 3. Distribution of Power. In the Technocratic Paradigm, knowledge construction is carried out by experts, its effects are depoliticising, and it reinforces a vertical distribution of power in society. In the Democratic Paradigm, knowledge construction is carried out by the community, its effects are politicising, and it challenges the vertical distribution of power in society seeking to replace it with horizontal alternatives (Montgomery, 2016).

Cajaiba-Santana (2014) illustrates this dichotomy by recognising two polarising approaches in the SI literature: the agentic and the structuralist. The agentic approach receives its name due to the prominence that individual agents' values and attributes play in determining the occurrence of SI, such as the heroic and visionary individuals portrayed by Mulgan (2007). It is embodied by the SI school of thought of social entrepreneurship described by Dees (1998) (Cajaiba-Santana, 2014). This approach puts little attention on the role social structures and institutions play in the SI process (Cajaiba-Santana, 2014). On the other hand, the structuralist approach receives its name due to the prominent role that structure and context play in determining the occurrence of SI. The focus, rather than being placed on the agent, is placed on the influence that social structures and context exerts on the processes of SI and on the agents that participate in these processes (Cajaiba-Santana, 2014).

For Nicholls et al. (2015b) SI occurs on three different levels, which could be equivalent to proposing a trichotomy of SI. These levels are: Incremental, Institutional and Disruptive. Incremental SI focuses on creating new products or services to address social need within prevailing market structures. It is limited to an economic sphere of action within market conventions. Institutional SI focuses on reconfiguring existing market structures and patterns to generate new social value and outcomes. This level is also limited to an economic sphere of action but aims to modify current market conventions. Disruptive SI focuses on changing power relations and altering social hierarchies to benefit disenfranchised groups by changing cognitive frames of reference to alter social structures. This third level goes beyond an economic sphere and enters into the political and social spheres of action. The first two SI levels – Incremental and Institutional – exist

within the limits of the market economy and both are constrained to an economic sphere of action, which make them both resemble, up to a certain extent, the utilitarian / instrumental approaches described by Ayob et al. (2016) and Moulaert et al. (2017), respectively. The third level of SI – Disruptive – goes beyond the market economy limits and reaches the socio-political sphere, which resembles, up to a certain extent, the radical / political approaches of Ayob et al. (2016) and Moulaert et al. (2017), respectively.

To summarise, the above recapitulation of analyses of the dichotomy of SI reveals that two metanarratives of SI are identifiable across a range of fields and disciplines in which SI has gained space. It also shows that common attributes or denominators are shared by both SI understandings, which when observed individually and in relation to their counterpart, reflect an opposing view. These common denominators are of a theoretical, ideological, social, political and economic nature. Therefore, by identifying the view on the denominators present in a SI discourse, irrespective of the discipline or field, it is possible to unveil the SI understanding embraced within it. This rationale proves useful when exploring the literature on SEs, which holds tight connections to SI, as it unveils the SI understandings embedded within it.

3.3.3 Transversal analysis

The transversal analysis used the SI dichotomy as a frame of reference to analyse the remaining 69 results of the literature selected. The first part of the transversal analysis focused on synthesising the common attributes or denominators identified in the individual analysis of the five articles that framed the discussion of the SI field through a dichotomy. From this first part of the analysis 10 elements emerged, the process of emergence of these elements is detailed in the next Section 4.1. The second part of the transversal analysis focused on identifying meaningful associations or connections between the 10 elements, and the conceptual or theoretical foundations of SE and SI in the remaining 69 publications. This last process led to the consolidation of the framework which can be seen in Section 3.5.

3.4 Process of development of the framework

3.4.1 Points of divergence in the SI dichotomy

The backbone of the framework emerged from the intra-textual analysis of the five publications analysed in Section 3.3.2. This intra-textual analysis revealed that the debate

on the dichotomic understandings of SI centred its discussion on a series of elements that acted as points of divergence, where each SI understanding completely differentiated from the other. All of these points of divergence were present in both SI understandings, and at the same time, distinguished one understanding from the other radically. Table 3.4 presents in the central column the SI elements acting as points of divergence of the two opposing interpretations of SI, and in the right and left columns, the two interpretations of each SI element are presented.

Table 3.4 The SI elements identified in each of the five publications as in the two interpretations of each element

Interpretation A	Publication and its SI elements	Interpretation B
	Ayob, Teasdale, & Fagan, 2016	
Focus on Social Relations	Focus of SI	Focus on Social Impacts
	Moulaert, Mehmood, & MacCallum 2017	
Anti-neoliberalism	Discourse	Sympathetic to neoliberalism
On the collective	Empowerment emphasis	On individuals
As a means for political mobilisation	Envision of SIs	As solutions that are practical
	Montgomery, 2016	
By the Community	Knowledge construction	By experts
Horizontal	Power distribution	Vertical
Politicising	Political effects	Depoliticising
	Cajaiba-Santana, 2014	
Socio-structural contexts	Determinants of SI	Agentic actions
	Nicholls, Simon, & Gabriel, 2015	
Political	Sphere of action	Economic
Changing cognitive frames of reference to alter social systems and structures	Focus of SI	Goods and services to address social needs / Generate social value and outcomes

Source: created by the author with information from Ayob et al., 2016; Cajaiba-Santana, 2014; Montgomery, 2016; Moulaert et al., 2017; Nicholls et al., 2015a

3.4.2 From SI elements to SI dimensions

Two observations guided the choice of these SI elements to act as the preliminary backbone of the framework. The first, that the elements had an analogous presence in all the SE understandings; in the sense that it was possible to identify these SI elements at

various depths within any type of SE conceptualisation. Building on this observation, the construction of the framework departed from the premise that some of these, or a combination of these SI elements resembled the SI dimensions of SEs.

The second observation was that the dichotomic interpretation of each of the SI elements had the potential to work as individual indicators of SI within any type of SE conceptualisation. Building on this observation, it is put forward that by identifying toward which SI approach each SE tilted at each SI element, the framework would have the potential to disclose the SI approach of any SE. This would be achieved by observing toward which SI approach any SE tilted in the majority of its dimensions.

The next step in the process of construction of the framework consisted of clustering elements by merging the ones that shared a similar argument or were built over a similar rationale. This process reduced the number of elements from 10 to 6. Table 3.5 shows this process.

Table 3.5 Mergence of SI elements

Publication	No.	SI element	Argument or rationale of the element	Mergence of elements	Merged SI elements	No.
Ayob, Teasdale, & Fagan, 2016	1	Focus of SI	The degree at which the focus of the actions, programmes or processes is placed on social impacts vs on modifying social relations reveals the type of SI that is being pursued.	1, 4, 10	Focus of the SI	1
	2	Discourse	The degree at which the current dominant economic order (Neoliberalism) sympathises/opposes to the actions, programmes or processes intended to address social problems reveals the type of SI that is being pursued.			
Moulaert, Mehmood, & MacCallum 2017	3	Empowerment emphasis	The degree of emphasis placed on empowering the individual or empowering the collective in the processes and solutions proposed to address social problems reveals the type of SI being pursued.	8	Agency vs Structure	2
	4	SIs envisioned as	The predominance of a political or an instrumental normative nature in the actions, social processes or solutions to address a social problem determines the type of SI being pursued.			
Montgomery, 2016	5	Knowledge construction	Whose knowledge and who participates in its construction reveals the type of SI that is being pursued.	5	Knowledge construction and valorisation	4
	6	Power distribution	The degree of power concentration/distribution within a society or a group leads to the emergence of certain types of SI.			
				2	Economic consonance	3

	7	Political effects	The degree in which the actions, processes and solutions to address a societal problem politicise/depoliticise spaces, groups and individuals.			
Cajaiba-Santana, 2014	8	Determinants of SI	The weight or importance that is given to the agent vs to the structure/institutions as enablers/disablers for the emergence of the actions, processes and solutions to address a societal problem determines the type of SI that is being pursued.			
Nicholls, Simon, & Gabriel, 2015	9	Sphere of action	The type of SI is determined by the sphere of action in which the processes or solutions to address a social issue occur, either within the market structures (economic sphere) or altering social structures (socio-political sphere).			
	10	Focus of SI	The degree at which the focus of the actions, programmes or processes is on creating products, services or reconfiguring market conventions to generate social value vs on changing power relations and altering social hierarchies.			
					3,6	Type of governance and distribution of power 5
					7,9	Politicising vs Depoliticising 6

Source: developed by the author with information from Ayob et al., 2016; Cajaiba-Santana, 2014; Montgomery, 2016; Moulaert et al., 2017; Nicholls et al., 2015a

These six SI elements were used as a frame of reference in the transversal analysis of the 69 results. This process identified where within the conceptualisation and theorisation of the different understandings of SE and SI in the 69 results, the six SI elements held points of connection. This transversal analysis exercise led to the definition of the seven SI dimensions that compose the framework presented in this chapter. Six elements came from the transversal analysis, and the seventh, spatial or importance of place, emerged from the further literature review. A sample of this transversal analysis is shown in Table 3.6, below. It is composed of seven levels, one per SI dimension. Each level is subdivided horizontally into two rows, the upper row provides the article's position within the selected literature on social enterprise (SE) or social innovation (SI), and the author(s) and year of publication. The row under, presents the points of connection that each publication holds with the SI dimension. The table is also divided vertically into two sections, the left section presents all the articles that are considered to hold points of connection to the radical SI approach, and on the right section those that are considered to hold points of connection to the instrumental SI approach. The column in between the two vertical sections corresponds to the centre of the table. This column is subdivided into seven levels, each correspond to one of the seven SI dimensions of the framework. Each of the levels present the name and a brief description of each of the seven dimensions

Table 3.6 Sample of the transversal analysis exercise that led to the definition of the seven SI dimensions that compose the SI framework

		Radical		SI Dimensions		Instrumental				
Article		SE-9 / Kerlin, 2006	SI-50 / Kaika, 2017	1	Focus of the SI	1	SI-50 / Kaika, 2017	SE-3 / Dart, 2004	SE-25 / Wilson, Post, 2013	SE-8 / Chell, 2007
Points of connection between the literature and the SI dimension		In Europe, the notion of social enterprise focuses more heavily on the way an organization is governed and what its purpose is rather than on whether it strictly adheres to the non-distribution constraint of a formal non-profit organization	Socio-environmental innovations and methods forged not out of social consensus, but out of social dissensus. These rupture previous subordinate positions and practices and do not fit into existing agendas and debates.		What is the focus of the actions, programmes or processes that aim to address a social problem.		Smart technologies have become the totem for the ecological modernization promise: that by perpetually becoming technologically smarter, continuously monitoring and improving our sustainability reporting and indicators, we will eventually counteract our own global socio-environmental mess	Particularly in the USA and the UK SEs are significantly influenced by business thinking and by a primary focus on results and outcomes for client groups and communities.	Social business deliberately harnesses market dynamics to address deeply rooted social issues through the design and implementation of a core product or service.	One model of the SE highlights pro-social motives that drive the primary mission and emphasizes social outcomes at the expense of a surplus that may be reinvested in the enterprise as a business thus assuring its sustainability.
Article	Moulaert, et al., 2005 / SI-9	SE-24 / Spear, 2006	SI-50 / Kaika, 2017	2	Agency vs Structure	2	SE-26 / Wry & York, 2017	SE-6 / Di Domenico, Haugh, Tracey, 2010	SE-24 / Spear, 2006	
Points of connection between the literature and the SI dimension	A territorial approach of SI emphasises the importance of the social structure as a catalyst, but also as an ensemble of constraints for social innovation in a territorial context at the regional, local or neighbourhood level. Increased focus in the role of the community and its social agents	In contrast to the “heroic” individualistic general view of entrepreneurship, the collective nature of social entrepreneurship is very prominent in co-operatives.	Real SI is to be found in the alternative methods and practices emerging from within communities rupturing the path-dependency trajectory through dissensus exercises that are effective and real alternatives to address their most pressing needs		The relevance for the SE of either the agent or the structure/institutions as enablers/disablers for the emergence or development of the actions, processes and solutions that intend to address a social problem.		The competing logics of the SE (commercial vs social) are mixed in the individual identity of the social entrepreneur.	The social entrepreneur is capable of moving beyond the constrains of institutional rules and structures to create social value	In the emerging field of social entrepreneurship (Bornstein, 2004; Dees et al., 2002; Leadbeater, 1997; Austin et al. 2003) the emphasis is clearly on the individual rather than collective models of entrepreneurship.	
Article		SE-5 / Defourny & Nyssens, 2010	SE-16 / Teasdale, 2012	3	Economic model consonance	3	SE-3 / Dart 2004	SE-25 / Wilson, Post, 2013	SE-25 / Wilson, Post, 2013	SE-16 / Teasdale, 2012
Points of connection between the literature and the SI dimension		Social enterprises are, across Europe, mainly embedded in the third sector tradition, and have always been associated with a quest for more democracy in the economy.	In England the SE movement gained public terrain around 2000 through social enterprise London, a merge of two co-operative development agencies which saw social enterprises as a route to economic democracy and a potential alternative to shareholder capitalism.		The degree of alignment of the SE economic rationale and its actions, programmes or processes to a specific economic model or economic principles.		Moral legitimacy of business-like SEs in the UK and the USA can be understood because of the consonance between SE and the pro-business ideology that has become dominant in the wider social environment due to the adoption of neoconservative anti-welfare state ideologies of the 80s-90s.	Data suggests an appreciation for the power of the market system , and the recognition of its limits and flaws. Intrinsic to the deliberate decision to use a market-based approach is that the system can, and should, be made to work for positive social outcomes.	The data also suggests the creation of these enterprises as an act of positive protest. Rather than demonstrating or advocating for “what they are against”, they find a way to demonstrate that “what they are for” is viable in the context of the market-based system.	Social enterprise has been presented as one element of a neo-liberal grand narrative of social entrepreneurship whereby ‘doing good’ (the social) and ‘doing well’ (the economic) are combined under the seemingly unproblematic notion of the double bottom line

Source: developed by the author

Table 3.6 (Continued 1) Sample of the transversal analysis exercise that led to the definition of the seven SI dimensions that compose the SI framework

		Radical		SI Dimensions		Instrumental				
Article		SI-50 / Kaika, 2017	SI-38 / Schmid, Padel, Levidow, 2012	4	Knowledge construction and valorisation	4	SE-40 / Smith, Besharov, Wessels, Chertok, 2012	SE-43 / Renko, 2013		
Points of connection between the literature and the SI dimension		Emerging imaginaries of people and environments being and working in common.	A public goods-oriented bioeconomy emphasises social innovation in multi-stakeholder collective practices and joint production of knowledge. This approach recognises the importance of local knowledge enhancing local capabilities, while also accommodating diversity and complexity.		What are the social processes through which knowledge is constructed within the SE; whom are those that construct it; and which knowledge is regarded as the most valuable.		SEs can benefit from intergrating the competing demands associated with social missions and commercial viability. How can this positive potential be realised? Benefiting from competing demands depends on individuals, specifically organizational leaders, embracing, rather than resisting or rejecting competing demands.	Social entrepreneurs' own deep, personal involvement in the venture may result in subjective biases that create a highly emotional environment and hinder the objective management decisions required to build a social venture.		
Article	SE-9 / Kerlin, 2006	SI-1 / Swyngedouw, 2005	SE-5 / Defourny & Nyssens, 2010	5	Type of governance and distribution of power	5	SE-6 / Di Domenico, Haugh, Tracey, 2010	SE-11 / Ebrahim, Battilana, Mair, 2014	SE-11 / Ebrahim, Battilana, Mair, 2014	SE-11 / Ebrahim, Battilana, Mair, 2014
points of connection between the literature and the SI dimension	The European emphasis on participation extends to the management of the SE. Governing bodies are made up of a diverse group of stakeholders that may include beneficiaries, employees, volunteers, public authorities, and donors among others. This formal democratic management style is not a requirement of SEs in the USA	Urban participatory governance arrangements are Janus-faced. They have a democratising potential but under current marketised societies they tend to generate a democratic deficit.	In the EMES criteria, the decision-making power is not based on capital ownership but on the principle of 'one member, one vote' reflecting the quest for more economic democracy.		What rationale underpins the structures and dynamics that determine who owns, controls and directs the SE. How even or uneven the power is distributed between those that own, control and direct the SE and those that work in it. To what degree these place the emphasis on empowering the individual vs empowering the collective.		Stakeholder participation in the governance of the SE is one of the six parts of the SE Bricolage process.	The ownership structure of Low-profit limited liability companies (L3C) in the USA is similar to any other company. Shareholders have the right to elect and remove directors. Legislation requires an L3C to prioritize social mission over profitability but this is only enforceable by consensus of its governing body i.e. shareholders.	The Benefit corporation status in the USA only requires directors to consider outside interests beyond shareholders, such as those of other stakeholders, communities, society and the environment, but there is no enforcement provision. Shareholders own the organisation.	The ownership structure of Community Interest Companies (CIC) in the UK is similar to any other company, with members typically being shareholders who have the right to elect and remove directors.

Source: developed by the author

Table 3.6 (Continued 2) Sample of the transversal analysis exercise that led to the definition of the seven SI dimensions that compose the SI framework

	Radical		SI Dimensions		Instrumental
Article points of connection between the literature and the SI dimension	SI-9 / Moulaert, et al., 2005 A territorial approach of SI emphasises the importance of the social structure as a catalyst , but also as an ensemble of constraints for social innovation in a territorial context at the regional, local or neighbourhood level.	Peredo, Chrisman, 2006 Community-based Enterprise is a community acting corporately as both entrepreneur and enterprise in pursuit of the common good. Here, the term community refers to an aggregation of people that share a geographical location, generally accompanied by collective culture and/or ethnicity and potentially by other shared relational characteristic(s)	6 Spatial dimension What is the role of the territory -understood as the biophysical space of which a SE is part of- in defining the social relations, norms and values that guide the SE, their actions, processes and solutions to address a social problem.	6	
Article Points of connection between the literature and the SI dimension	SI-30 / Moulaert, et al., 2005 / SI-9 Political Governance as a dimension of SI stresses the social change potential of new institutions and practices to promote responsible and sustainable development of communities as well as more democratic governance structures . Examples are anti-globalisation movements, indigenus populations' resistance practices , social economy, protests in Latin-American countries and most notably the World Social Forum .	SI-50 / Kaika, 2017 Real SI goes beyond false sustainability dilemmas (market vs public management). Unsubordinated practices of citizens that convert them from indebted powerless objects into potentially powerful decision makers who can reclaim their commons by producing alternative means of allocating and managing resources.	7 Politicising vs depoliticising To what degree the actions, processes and solutions to address a social problem politicise/depoliticise spaces, groups and individuals.	7	SI-6 / Seyfang & Haxeltine, 2012 There is a determined apolitical stance among the movement (TT) , which aims to penetrate 'under the radar' existing political conflicts. Rather than contesting the regime, the movement seems to assume the existing regime will wither away and leave an agency vacuum into which TTs can move.

Source: developed by the author

3.5 The seven dimensions of the SI framework

Using the information derived from the individual and transversal analysis, this section presents the SI framework and each of its seven dimensions in detail. See Table 3.7 for a succinct representation of the framework.

Table 3.7 SI Framework

Radical	SI Dimensions	Instrumental
<p>On processes of transformation of social practices and social relations. The actions, programmes or processes focus predominantly on modifying social relations; their nature is highly political because these aim at rebalancing power relations and altering social hierarchies.</p>	<p>1</p> <p>Focus of the SI</p> <p>What, within the SE, is regarded as transformative of the social reality i.e. what is the focus of the actions, programmes or processes that aim to address a social problem.</p>	<p>1</p> <p>On ideas, products, services or organisational models. The actions, programmes or processes are placed on social impacts. Their nature is highly instrumental because these focus on creating products, services or reconfiguring market conventions as a means to generate social value.</p>
<p>Reciprocal-iterative between social agents and institutions. The agency is embodied by a community or a collective which subjected to structures of oppression or to adverse contextual conditions engages in a process of reaction-reflexion to transform their condition through a SE.</p>	<p>2</p> <p>Agency vs Structure</p> <p>The relevance for the SE of either the agent or the structure/institutions as enablers/disablers for the emergence or development of the actions, processes and solutions that intend to address a social problem.</p>	<p>2</p> <p>Rational-Individualistic. The agency of a rational individual acting as a champion and driven by its values and attributes enables the SE to disrupt the status quo.</p>
<p>Alternative economies (community economy, social economy, solidarity economy). The actions, programmes or processes of the SE intended to address a social issue are consonant to a great degree with the rationale and principles of alternative economies to Neoliberal capitalism such as the social economy, community economy and/or solidarity economy.</p>	<p>3</p> <p>Economic model consonance</p> <p>The degree of alignment of the SE economic rationale and its actions, programmes or processes to a specific economic model or economic principles.</p>	<p>3</p> <p>Market economy. The actions, programmes or processes of the SE that intend to address a social issue are consonant to a great degree with the rationale and principles of Neoliberal capitalism.</p>
<p>Participatory (bottom-up) / From the collective. The knowledge within the SE is mainly constructed by a collective or a group of individuals who are all members and owners of the SE and who are also- or at least the majority- directly affected by the social problem that they themselves aim to address.</p>	<p>4</p> <p>Knowledge construction and valorisation</p> <p>What are the social processes through which knowledge is constructed within the SE; whom are those that construct it; and which knowledge is regarded as the most valuable?</p>	<p>4</p> <p>Propositive (top to bottom) / From experts. The knowledge within the SE is mainly constructed by one or a small group of individuals that own and direct the SE but that -at the same time- are not directly affected by the social problem that he/she/they aim(s) to address.</p>

<p>Democratic / Horizontal.</p> <p>The degree of power, control, direction and ownership of any determined member of the SE is proportional to one in relation to the total number of members that integrate the SE, therefore, this usually leads to an equal spread of power among the members of the SE.</p>	5	<p>Type of governance and distribution of power</p> <p>What rationale underpins the structures and dynamics that determine who owns, controls and directs the SE. Even or uneven power distribution between those that own, control and direct the SE and those that work in it. Regarding their actions, programmes or processes to address social problems, to what degree these place the emphasis on empowering the individual vs empowering the collective.</p>	5	<p>Technocratic / Vertical.</p> <p>The degree of power, control, direction and ownership of any determined member of the SE is proportional to the number of shares owned by that person, therefore, this usually leads to the concentration of power in one or a very few people within the SE.</p>
<p>Territory plays a role moulding identities, culture and social relations.</p> <p>The biophysical space of which the SE is part of is an identity element of the SE and its members. It also forms part of the relationships, institutions, norms and values that define the SE, its actions, programmes or processes.</p>	6	<p>Spatial dimension</p> <p>The role of the territory -understood as the biophysical space of which a SE is part of- in defining the social relations, norms and values that guide the SE, their actions, processes and solutions to address a social problem</p>	6	<p>Absent.</p>
<p>Power disparities in social relations.</p> <p>The SE operates its actions, programmes or processes within a socio-political sphere.</p>	7	<p>Politicising vs depoliticising</p> <p>To what degree the actions, processes and solutions to address a social problem politicise/depoliticise spaces, groups and individuals.</p>	7	<p>Failure or absence of market or state provision.</p> <p>The SE operates its actions, programmes or processes within the market sphere.</p>

Source: developed by the author

3.5.1 Dimension 1. Focus of the social innovation

The first SI dimension in the framework is labelled “Focus of the SI” because it aims to disclose what, within the different conceptualisations of SE, is regarded as transformative of social reality. This dimension presents two SI perspectives: first, one that focuses on outcomes - part of the Instrumental SI Approach - in which, what is regarded as transformative of social reality are the social outcomes generated by the SE. The second focuses on processes –part of the Radical SI Approach - in which what is regarded as transformative of social reality are the processes of transformation of the social relations derived from, or occurring through the SE.

SEs that embrace an instrumental SI approach focus on generating social outcomes as the means to address social problems more effectively or efficiently (Nicholls, Simon, et al., 2015a). Through this approach, social outcomes are understood as the creation or modification of products, services or organisational forms with the aim of creating or

augmenting social value. Social value is understood as “the interplay of effective demand and effective supply”, where effective demand means that someone is willing to pay for a service, an outcome or a change in trust; and effective supply means that there is a capacity to provide that service, outcome or trust (Mulgan et al., 2019). Therefore, SEs embracing an instrumental SI approach understand social problems as the result of an imbalanced equation between effective demand and effective supply. In this scenario, the role of SEs is to generate an “effective supply” of social outcomes, which through this approach are regarded as more effective or efficient solutions (than those already existing) to social problems; these solutions come in the form of new or modified products, services or organisational forms.

SEs that embrace a radical SI approach focus on the processes of transformation of social relations and practices as the means to address social problems. Under this understanding, the power imbalance in social relations is regarded as the origin of social problems (Ayob et al., 2016), and therefore, what has to be transformed are the social relations themselves in order to bring about new “socially desirable” social relations (Howaldt & Schwarz, 2010). Under this approach, the focus is placed on the processes that transform current social relations, which include social practices, behaviours, perceptions, attitudes and understandings. A key aspect of this approach is that these processes of transformation always occur through collective action and therefore radical SI is a collective creation. Another distinctive characteristic of this approach is its immateriality

3.5.2 Dimension 2. Agency vs structure

The second dimension of the framework is labelled “Agency vs Structure” because it aims to disclose the relative weight that the different conceptualisations of SE assign to the agent, and to the structure as the enablers and constrainers of the SE, to break the dominant institutional logic to which they are subjected to i.e. to generate social innovation. This dimension presents two SI perspectives: one, in which the agent is embodied by a rational individual that, acting as a champion and driven by its values and attributes (Cajaiba-Santana, 2014) enables the SE to disrupt the status quo - part of the Instrumental SI Approach -; and the other, in which the agent is embodied by a community or a collective, which subjected to structures of oppression or to adverse contextual conditions engages in a process of reaction-reflexion to transform its condition through a SE – this is part of the Radical SI Approach -.

3.5.3 Dimension 3. Economic model consonance

The third dimension of the framework labelled “Economic model consonance” aims to disclose the closeness or the level of alignment between the economic principles that ground the different SE conceptualisations and the rationales and principles that underpin today’s dominant economic logic of neoclassical economics. This dimension presents two SI perspectives: one, in which the economic principles of the SE conceptualisations align closely with the principles of the market economy; and the other, in which the economic principles of the SE conceptualisations break away from the principles of the market economy and align with the principles of other types of economies such as the social economy, the community economy or the solidarity economy.

3.5.4 Dimension 4. Knowledge construction and valorisation

The fourth dimension of the framework labelled “Knowledge construction and valorisation” aims to disclose the processes through which knowledge is constructed within the SE, who exactly constructs it, and what knowledge is regarded as the most valuable. This dimension presents two SI perspectives: one in which the knowledge within the SE conceptualisation is mainly constructed by one or a small group of individuals that own and direct the SE but that are not directly affected by the social problem aimed to be addressed – this is part of the Instrumental SI Approach –. In the other perspective, the knowledge within the SE conceptualisation is mainly constructed by a collective or a group of individuals who are all members and owners of the SE and who are also—at least the majority of them –directly affected by the social problem that they aim to address – this is part of the Radical SI Approach –.

In the Instrumental Approach, although information provided directly by members of the group that are directly affected by the problem is sometimes taken into account in the process of knowledge construction, the direction and control of this process remains on the individual or the small group that owns and directs the SE. This process of knowledge construction resembles, and in some cases is inspired by, managerial and industrial processes and techniques originally created to design, prototype, test, implement and scale products and services in the market. This process occurs in a closed and controlled setting in which the individual or the small group that owns and directs the SE determines which participants take part in the process of knowledge construction. In this case, closed and controlled does not necessarily refer to a physical environment, but to who, in relation to the social problem, is authorised or legitimised by the referred individual or small

group that owns the SE, to participate, contribute to, debate and oppose ideas as part of the process of knowledge construction. The knowledge constructed through this process is then transformed into solutions proposed by the SE that aim to address the social problems of others, and hence this approach is named “propositive” because essentially it flows from actor(s) exogenous to the problem, towards those that are affected by the problem. This propositive approach is part of the instrumental SI.

In the Radical Approach, although information provided directly by external actors (individuals or organisations) to the group or the collective that are directly affected by the problem is taken into account in the process of knowledge construction, the direction and control of this process remains with the collective or on the group that owns the SE. In this case, the process of knowledge construction is grounded in a participatory ethos that can take many forms, which are ultimately determined by the same group or the collective that form the SE. Among these forms are assemblies, general voting sessions, open debates, but they can also incorporate traditional or customary mechanisms of decision making of the collective or community. This process occurs in an open setting of deliberation in which all or most of the members/owners of the SE participate. In this case, open deliberation does not necessarily refer to a physical environment, but to who, in relation to the problem, is authorised and legitimised to participate, contribute to, debate and oppose ideas as part of the process of knowledge construction. In this case, those authorised and legitimised to do so are all those that are directly affected by the social problem, and all those that, although not directly affected by the problem – such as technicians, academics, specialist, etc. – are authorised by the collective or the group to take part in the process of knowledge construction. The knowledge constructed through this participatory process is then transformed into solutions that aim to address the social problems that affect those that own and are members of the SE, and hence this approach is named “participatory”, because it essentially flows from and to all the actor(s) endogenous to the problem. This participatory approach is part of Radical SI.

3.5.5 Dimension 5. Type of governance and distribution of power

The fifth dimension of the framework labelled “Type of governance and distribution of power” aims to disclose the rationales that underpin the structures and dynamics that determine who owns, controls and directs the SE. This dimension presents two SI perspectives: one in which the governance structures and mechanisms resemble to a great extent those of private for-profit enterprises, that is, the degree of power, control and

ownership of any determined member of the SE is proportional to the number of shares owned by that person. This usually leads to the concentration of power in one or a very few people within the SE – this is part of the Instrumental SI Approach. In the other approach, the governance structures and mechanisms of control mirror or resemble to a great extent the democratic processes for decision making present at a social level in democratic societies. That is, the degree of power, control and ownership of any determined member of the SE is proportional to one in relation to the total number of members that integrate the SE, therefore, this aims to equally distribute and spread the power among the members of the SE. Variances of governance structures that incorporate other types of rationales and mechanisms of control exist for both SI approaches and are described below.

3.5.6 Dimension 6. Spatial dimension

The sixth dimension of the framework labelled “Spatial dimension” aims to disclose the role that the different SE understandings assign to territory in the process of social innovation. This is the only dimension of the framework that only offers one perspective instead of two, and that did not emerge directly from the five publications reviewed in Section 3.3.2. This dimension, instead, emerged purely from the intertextual analysis of the 70 results. Despite the fact that the role of territory is absent in the instrumental SI approach, it was incorporated as a dimension in the framework because it emerged as an element that played a paramount role in the processes of social innovation in the Radical Perspective.

This dimension refers to the role and influence of a specific physical space in the process of SI. In the Instrumental Approach, the bio-physical space or socio-natural context is taken for granted and not specified as an important factor; however, in the Radical Approach there is a heightened awareness of place and the influence of the specific context on the implementation and outcome of SI.

3.5.7 Dimension 7. Politicising vs depoliticising

The seventh and last dimension of the framework labelled as “Politicising vs depoliticising” aims to disclose to what degree the actions, processes and solutions to address a social problem politicise/depoliticise spaces, groups and individuals.

From an analysis of the literature on SEs it was noted that all SE understandings “contain” a political dimension, although this is not always explicitly recognised. This political dimension has two areas of influence, an internal and an external. The political internal dimension corresponds to the governance mechanisms and structures of the SE. The external political dimension corresponds to the capacity of the SE to alter, to any degree, the social structures that sustain the SE’s members and/or beneficiaries’ current conditions of exclusion, marginalisation or vulnerability. In some cases, these areas of influence are not separated but blended.

3.6 Discussion and Conclusion

SEs are regarded as organisations capable of transforming social reality (Mason et al., 2007; Noya, 2009; Teasdale et al., 2013). Because of this, the literature on SE (Austin et al., 2006; Nicholls, Simon, et al., 2015a; Spear et al., 2009) and SI (Goldstein et al., 2010; Haugh, 2005) overlaps at various points and at different degrees, showing multiple points of connection. However, these connections present as dispersed and disassociated, as was evidenced in the review of the literature on the connections between SI and SE (Section 3.2). This scenario makes it difficult to understand, holistically, and in a structured manner, how SEs and SI connect; or in more practical terms, this scenario hinders the comprehension of how SEs generate, produce or engage in SI in their pursuit of social reality transformation. This chapter addressed this gap in the literature by developing a framework that provides a rounded and holistic understanding of the connection between SI and SEs. It does this by ordering and structuring the scattered and disassociated points of connection between SI and SEs identified in the literature. This framework contributes to the SI and SE literature by offering a more comprehensive conceptual avenue to understand the SE-SI connection to that of past works, (Austin et al., 2006; Chell et al., 2010; Coraggio et al., 2015; Defourny & Nyssens, 2016; Goldstein et al., 2010; Haugh, 2005; Laville et al., 2007; Moulaert & Ailenei, 2005; Spear et al., 2009; Young & Lecy, 2014) which offer a fragmented insight of this matter. The relevance of this framework lies in its capacity to explain, in a structured and holistic form, the SI of a broad range of SEs irrespective of their geopolitical and/or disciplinary origin. The relevance of this

framework can also be extended to a more practical realm, as it has the potential to serve as a tool to examine the SI approaches of SEs operating in the field.

3.6.1 SI approaches and dimensions in a diverse universe of SE understandings

The diversity of SE understandings and the transversal nature of the SI literature are two underlying obstacles for the comprehension of the SI-SE connection. Paradoxically, these two obstacles that problematise a holistic understanding of the SE-SI connection, at the same time, informed and influenced the definition of the structure of the framework. The relevance of the findings that emerged from overcoming these obstacles, as well as the contribution to knowledge derived from this process, is presented in the following paragraphs.

The literature on SE is diverse. Past research on SE has tried to arrive to an ideal (Defourny & Nyssens, 2012) a universally accepted definition of SE, arguing that such is needed for future research, policy and practice (Young & Lecy, 2014). As indicated by the review of the literature in this and in the previous Chapter 2, the existence of a diversity of SE understandings across regions derives from its multidisciplinary origin and from the constraints imposed or support granted by colonial/modern power structures. In this chapter, rather than perceiving the diversity of SE understandings as an obstacle to explain the SI of an unbounded object of study, it is used as an advantage to connect the SI and SE literature. This is done by juxtaposing the SE understandings' conceptual and theoretical underlying foundations with the various SI elements emphasised by different fields of study. This exercise revealed that, although not always explicitly, the conceptual and theoretical foundations of all SE understandings, independent of their geographical and/or disciplinary origin, mirrored SI elements emphasised by different fields of study. The mirrored elements were grouped into seven categories, which this chapter named "dimensions". The relevance of presenting these dimensions lies in that past research (Coraggio et al., 2015; Defourny & Nyssens, 2016; Young & Lecy, 2014) had pinpointed various SI components of SE understandings separately, which offered a partial and disordered view of the SI of SEs. Through the identification of the seven dimensions, this chapter suggests that the SI of SEs is transversal to the organisation, occurring through various "dimensions" across any SE. This framework enables the possibility of unpacking and analysing the SI dimensions embedded transversally in the logics, rationales, operations and actions of SEs.

The previous paragraph mentioned the use of SI elements emphasised by different fields of study to understand the SI-SE connection. This paragraph explains why the chapter made use of these SI elements. As indicated in the literature review, SI literature spans across multiple fields and because of this each of the different areas of study, such as economics, management, urban and territorial development studies, sociology, public policy, entrepreneurial studies, among others, draw a particular landscape of SI from a specific standpoint and emphasise different SI elements. This simultaneously represents a problem and an advantage when trying to understand the SI-SE connection. It is problematic because it offers very diverse and apparently disconnected narratives of what SI is; SI is understood differently to a greater or lesser degree by each field, and on top of this, in some cases there is no perceived or explicit relation of these understandings with the SE field. Paradoxically, this same transversal nature of the SI literature represents, up to a certain degree, an advantage to understand the connection between SI and SEs. The chapter addressed this problem by identifying and ordering explicit and non-explicit connections between the SI elements emphasised by different fields and the SE dynamics, rationales, logics, behaviours, or principles identified in the SE literature. In a nutshell, the solution to this problem corresponds to the SI side of how the SI “dimensions” emerged and formed part of the framework.

3.6.2 The dichotomy of the SI literature and the framework

Although the identification of the SI dimensions enabled the possibility of unpacking and analysing the SI component of SEs, these dimensions did not explain *per se* the opposing or similar SI approaches between SE understandings with different or similar geopolitically or disciplinary origins. The chapter addressed this limitation by using the dichotomy of the SI literature to explain the different SI approaches of SEs. While past studies on SI (Ayob et al., 2016; Cajaiba-Santana, 2014; Montgomery, 2016; Moulaert et al., 2017) had already identified two different but very defined views regarding SI in the literature – two metanarratives - , considerably enriching the comprehension of the field, each of these publications captured and centred their focus on a series of elements of diverse nature such as economics, politics, theory, power distribution, among others. This chapter identified the potential of these dichotomous elements to explain the opposing or similar SI approaches of diverse SE understandings, and through a process of mergence (see Table 3.5) integrated them into the framework. The analysis of the 37 SE results using the framework suggest that the Anglo-American SE understandings tilt to a greater degree towards an instrumental SI approach, and that European-mainland and Latin-

American understandings tilt to a greater degree towards radical SE approaches. Although a substantial proportion of the SE literature has not been analysed through this framework, and based only on the limited analysis of the 37 results, this chapter suggests that the SE literature may also be dichotomously shaped if observed through its SI approaches.

The previous paragraph flagged the possibility of a dichotomic structure of the SE literature if observed from a SI perspective. In this regard it is worth mentioning the consonance of the transversal analysis made through the process of construction of the framework with past observations made by SE scholars (Cajaiba-Santana, 2014; Dey & Steyaert, 2010; Teasdale, 2011). Past research on SE has pointed out the consonance of SE understandings that have become the dominant grand-narrative of SEs to neoliberal and pro-market ideologies such as social business, social entrepreneurship and business-like non-profit organisations. (Dey & Steyaert, 2010) These understandings uphold the idea that social change can occur with no social dissent, debate, tensions or confrontations if technical knowledge, sound managerial practices and rationalism are applied effectively by heroic social entrepreneurs (Dey & Steyaert, 2010). Scholars have pointed out that these SE understandings conform to neoliberal policies and political agendas of Anglo-American countries (Teasdale, 2011), thus, enjoying a wider moral legitimacy in the UK and the USA (Dart, 2004b). That being said, the transversal analysis of the 70 results during the process of development of the framework revealed that the SI dimensions of these SE understandings tilt towards a SI instrumental approach. The framework is therefore consistent with the observations made by Dart (2004b), Teasdale (2011) and Dey & Steyaert (2010). The framework also reveals that the SI approaches of the mentioned SE understandings echo premises, principles and behaviours of a neoliberal socio-political and socio-economic view of society. This framework contributes to a more profound understanding of SE because it offers an analytical avenue to reveal in detail the conceptual ties of different SE understandings to political and economic ideologies. The framework does this by unveiling the SI principles, rationales and behaviours of SEs when pursuing solutions to social problems.

Finally, an unexpected connection between SEs and SI was identified in the relationships that SEs maintain with their territories in non-western contexts. The incorporation of SE literature that includes SE understandings that exist beyond western conceptual limits, such as the Community Based Enterprises (Peredo & Chrisman, 2006), made the

identification of this connection possible. An explanation of why this SI dimension emerged only when SE understandings of the global South were incorporated could be that the conceptions of organisation in global North contexts do not incorporate any role to the territory as an active player capable of determining, influencing and modifying social relations between the organisation, the community and its members.

Chapter 4. Methodology.

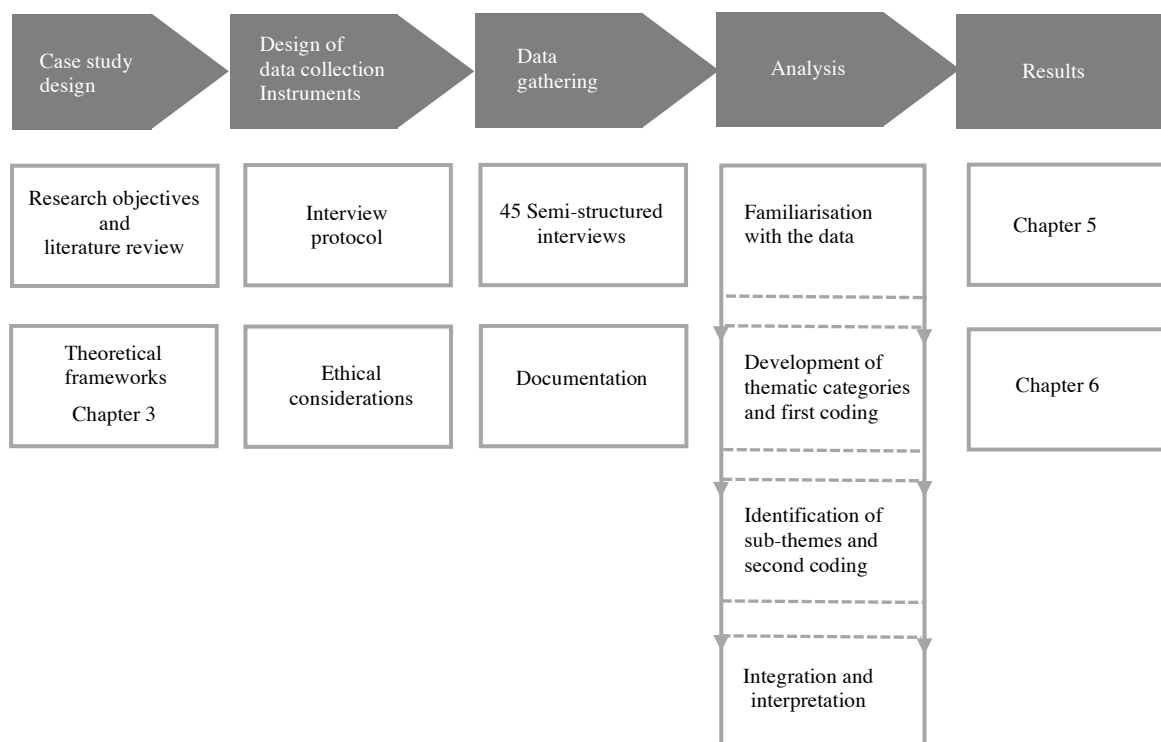
4.1 Introduction

Chapter 2 provided a review of the SE literature from a perspective of geography of knowledge production and delineated main objective 1 (MO1) To investigate the SE understandings in Mexico. Chapter 3 provided a systemic review of the SI and SE literature, identified a knowledge gap in the literature, and fulfilled it developing an SI conceptual framework to identify the SI approaches of SEs (main objective 2 – MO2). The third and last main objective (MO3) is to investigate the SI approaches of SE understandings in Mexico using the SI Conceptual Framework developed in Chapter 3. The aim of this chapter is to present the research design adopted to address MO1 and MO3.

4.2 Research design

This chapter presents the research design of the thesis. Section 4.3 introduces the philosophical posture underpinning the design of this investigation. Section 4.4 explains the qualitative approach and its appropriateness to conduct the investigation based on the philosophical foundation previously stated. Section 4.5 presents the case study strategy used to conduct the empirical investigation, along with the considerations that made it the most suitable to address the specific research objectives. The methodological specificities of Chapters 5 and 6 are explained in Sections 4.6 to 4.10. Section 4.6 presents the definition and composition of the unit of analysis. Section 4.7 describes the process of data gathering and explains the considerations of methodological and practical nature that defined the strategy of data collection. Section 4.8 presents the ethical considerations of this research. Section 4.9 describes the data collection instruments and the type of data collected. This section also presents the participants that took part in this research. Section 4.10 presents the analytic strategy and the process of data analysis. Section 4.11 presents the methodological limitations of the thesis and concludes with some final remarks. For an overview of the research design see Fig. 4.1.

Figure 4.1 Research design



Source: created by the author

4.3. Philosophical approach

The epistemological underpinning of this research is Constructivism, because this research investigates a social construction, a phenomenon that is not necessarily observable or tangible- and not a value-free fact (objective knowledge) (Robson & McCartan, 2016). Constructivism (or Constructionism) is built over the premise that social properties do not have an independent existence from the individual; and on the contrary, social properties only exist and are constructed by interactions between human beings (Robson & McCartan, 2016). Under this philosophical approach, reality is socially constructed (Baxter & Jack, 2008) and therefore, there are as many realities as there are participants, including that of the researcher (Robson & McCartan, 2016). Under this philosophical lens, the objective of the researcher becomes “to understand the multiple social constructions of meanings and knowledge around its objects of study” (Robson & McCartan, 2016).

4.4 Qualitative research

This research followed a qualitative approach, because the phenomenon studied is considered a “fluid social construction” rather than a “firm fact”, and therefore, it is

observed from a Constructivist theoretical standpoint. In such case, the adoption of a qualitative research approach would favour its understanding (Robson & McCartan, 2016).

Another reason for using a qualitative research approach is that in this investigation the research setting is naturally occurring with no manipulation of the researcher, therefore, this research relies on naturalistic inquiry (Dana & Dana, 2005). Naturalistic inquiry approach is traditionally associated with holistic-inductive qualitative research (Dana & Dana, 2005), meaning that an inductive logic is preponderantly maintained throughout the study. Under this logic, the researcher starts from the data collected, and from this, theoretical ideas and conceptualisations emerge (Robson & McCartan, 2016). Holistic-inductive qualitative research is characterised by: focusing on meanings; regarding context as an important element to understand the object under study; considering important the perspectives of those involved in the research to construct meaning around the topic of study; accepting the existence and considering of relevance the values of those involved in the research -including the researcher- to fully understanding the topic under study; not considering of paramount relevance the generalisation of the findings; and its flexibility in terms of design, which is in constant evolution subjected to the information emerging while studying phenomena (Robson & McCartan, 2016).

By principle, the design of any research must be aligned with the purpose of enquiry, or in other words, the selection of the strategies and tactics employed in any piece of research must be driven by their suitability to answer the research question (Robson & McCartan, 2016). Commonly, the purposes of enquiry are classified as: exploratory, descriptive, and explanatory (Yin, 2003a). Traditionally, three research strategies are associated to each of those purposes of enquiry, these are: experiments to explanatory studies, surveys to descriptive studies and case studies to exploratory work (Yin, 2003b). However, this association is regarded as a historic tendency and not as a strict rule (Yin, 2003b), and today, scholars recognise a more inclusive and pluralistic view on the relation between purposes of enquiry and research strategies (Yin, 2003a). Therefore, each strategy may be used for any of the three purposes (Ibid). In this research the exploratory purpose of enquiry is distinguished as the main purpose of enquiry and therefore a case study strategy is regarded as appropriate.

4.5 Case study strategy

The term case study encompasses an array of different meanings and understandings in the academic parlance (Gerring, 2004). But for the purposes of this thesis, the case study will be regarded as an approach for doing research that facilitates an empirical investigation of a particular phenomenon within its real life context, using multiple sources of evidence (Robson & McCartan, 2016; Yin, 2003b). This approach allows the use of a variety of lenses to investigate a particular phenomenon from multiple perspectives, aiming to provide a more complete exposure and holistic understanding of the phenomenon under study (Baxter & Jack, 2008).

Another consideration to choose a case study as the most suitable method to conduct this research, was its capability of fully encompassing both the phenomenon under study, and its contextual conditions (Baxter & Jack, 2008; Stake, 1995). In this research, contextual conditions are highly relevant to deeply understand the complexities composing the phenomenon under study, that is the SE in Mexico and its SI approaches.

Case studies can be of different designs, and the rationale behind each design directly responds to the research objective and to the characteristics of the phenomenon under study (Yin, 2003b). These designs are known as single case (holistic) design, single case (embedded) design, multiple case (holistic) design, and multiple-case (embedded) design (Yin, 2003b). In this thesis, the research aims to study a contemporary phenomenon that is represented through a single unit of analysis, which for the purpose of this study is named as the social enterprise movement in Mexico, and therefore in this thesis, a single case (holistic) design was considered as appropriate.

4.6 Unit of analysis

Due to the blurred conceptual boundaries and multiple interpretations of the term social enterprise -and other related terms- by stakeholders in Mexico, the unit of analysis chosen for this research was the social enterprise movement in Mexico. For the purpose of this research, the social enterprise movement is regarded as the group of social actors that, explicitly or implicitly, use or incorporate the social enterprise term or any of the terms related¹⁴ to SE into their everyday activities i.e. activities of operation, research, teaching, communication, academic publication, etc.

¹⁴ Terms related include, but are not limited to: social business, community enterprise, social economy enterprise, cooperative enterprises. An expanded array of all the related terms can be found in Chapter 2

This unit of analysis is composed of an array of actors that can be categorised into two groups: 1) non-physical entities in the form of organisations, networks, collaboration groups, among others, which are represented by physical persons; and 2) physical persons which do not represent an organisation, but themselves i.e. academic researchers. From a practical perspective, both types of actors that represent the unit of analysis physically exist and are present in Mexico. Despite the abovementioned, these actors do not necessarily hold a connection or any relation between them in the field, nor do they belong to a pre-existent or pre-defined group. Therefore, the unit of analysis is a conceptual construct that was created for and exists only in this research project.

4.7 Data gathering

The identification and selection of the participants and the sources of information for the case study was an iterative and continuous process departing from and linked to the specific objectives of the thesis, which represent both the roots and purpose of the case study. To address these specific objectives within the rationale of a case study approach, the researcher decided to gather primary and secondary data of the social enterprise movement in Mexico through multiple sources and methods.

In broad terms, the data gathering process was composed of two stages, a passive stage and an active one. The passive stage corresponds to those research activities which helped the researcher to establish the conceptual and theoretical building blocks that will guide the active stage of data gathering i.e. the conduction of the empirical investigation. In this case, the passive stage of the data gathering process corresponds to the selection and development of the conceptual frameworks. The EMES framework was found in and chosen from the literature, and it is presented in Section 2.4 of Chapter 2. The SI framework was developed by the researcher, and it is presented in Chapter 3. The active stage of the data gathering process corresponds to the research activities of planning, organising, scouting, and collecting the data in the field.

The passive data gathering process guided the active stage of the data gathering process, facilitating the identification of the social actors that composed the unit of analysis of the case study. The active data gathering process started by conducting a preliminary online desk investigation to identify the actors that composed the unit of analysis, i.e. the social actors that were using or incorporating the terms social enterprise and/or terms related

into their everyday activities. This process used Google as a non-academic search engine, and social networks such as Twitter, LinkedIn, Facebook, YouTube and Instagram to identify non-academic actors composing the unit of analysis i.e., incubators, accelerators, umbrella organisations, government bodies, etc. These social networks were useful to obtain detailed information from the identified actors, such as conferences, recorded lectures, reports, as well as audio recordings such as podcasts. Regarding the identification of academic actors, Google scholar was the principal academic engine used to identify actors doing research on the topic, as well as academic social networks such as ResearchGate and Academia. Spanish was used as the main language throughout the process of identification of non-academic actors. English and Spanish were both used to locate academic actors.

This first part of the active data gathering process resulted in a map of diverse actors. This map served as a first outline, as a preliminary image of the unit of analysis from where further methodological decisions were going to be taken. At this point, the researcher was conscious that these actors represented only those actors with an online presence -such as actors with internet domains, academic and non-academic publications, government entities, etc.- and that, therefore, there may be other actors with no-or very limited- online presence. Some of these latter actors were later incorporated into the map when these were mentioned -in the online communication, reports, publications, etc.- by some actors with online presence; or when they were directly referenced by actors to the researcher during the introductory invitation to participate in the interviews; or when they were mentioned or referenced during the interviews by other actors. This map of actors was then subjected to the second phase of the active data gathering process detailed below.

This second phase consisted of designing the strategy for data collection in the field. The design of this strategy aimed to obtain sufficient primary data in the field from the actors composing the unit of analysis in order to achieve the specific research objectives. The design of this strategy carefully balanced, on one hand, what was methodologically desired, and on the other, what was realistically possible. In this phase the map of actors was subjected to a combination of methodological and practical (or pragmatic) considerations to find the optimal strategy to collect data in the field. Practical considerations are usually time, financial means, expertise and access; while methodological considerations are the degree of appropriateness of the strategy and data collection instruments employed to answer the research questions (Robson & McCartan,

2016; Seawright & Gerring, 2008). Considerations of methodological order respond to the need of using the most adequate data collection instruments to address the three specific objectives of the thesis following a case study approach.

In alignment with the nature of the case study approach, that is to provide a holistic understanding of the complexities and singularities of a determined phenomenon (Stake, 1995), the researcher considered that the adequacy of the instruments for data collection had to be determined by their capacity to capture the multiple narratives/visions/perspectives shaping the social enterprise movement in Mexico. Therefore, these instruments had to be able to capture the perspectives of the social actors composing the unit of analysis, which, it became apparent during the first phase of data gathering, that many dissimilarities appeared to be present among the actors mapped and their perspectives regarding the social enterprise movement.

Another important consideration of methodological order, linked to the case study approach, and aimed primarily at constructing validity, was the desirability of using multiple sources of evidence during data collection (Yin, 2003b). To fulfil these considerations and bound by the considerations of pragmatic nature (explained below), the researcher integrated into the study various sources of evidence in order to gather a well-rounded collection of information from the field (Turner III, 2010).

Regarding considerations of a pragmatic nature, the second phase of the data gathering process was bound mainly by financial means and logistics. Regarding logistical factors, these were related to the geographical location of the unit of analysis and the location of the researcher, i.e. multiple actors spread across Mexico, and the base of the researcher in the UK. Regarding monetary resources, the main limitation was related to self-funding the fieldtrips to Mexico.

The combination of the methodological and pragmatic considerations led the researcher to design a feasible strategy for data gathering that placed at its centre the three specific objectives of the thesis. Practical considerations led the researcher to distribute the data gathering process across two data collection field trips in Mexico City, where most of the stakeholders involved in SE are based, given the high centralisation of the country.

These methodological considerations led the researcher to use various sources of evidence to collect primary data from the field through semi-structured interviews, documentation, and audio-visual records.

4.8 Ethical considerations

The data collection strategy, including the instruments of data collection, was approved by the Ethics Committee of the Department of Environment and Geography of the University of York before starting the data collection process. Aligned with the ethical guidelines set by the Committee, the protocol of semi-structured interviews included an information sheet and a consent form. The latter was completed and signed by each of the participants interviewed prior to the start of the interview, as all were literate. The consent form was designed in English to be approved by the Ethics Committee, and then translated into Spanish to be applied in the field. A scholar competent in both languages revised the translation in order to ensure accuracy and avoid misunderstandings arising during translation. The information sheet and the consent form used in the field are shown in Appendix 4.A and 4.B respectively. In the cases where the interview had to be held by phone or digital communication, the researcher asked the interviewee to sign the form digitally prior to the interview.

Due to confidentiality and anonymity concerns raised by the Ethics Committee during the design of the data collection strategy, the Committee and the researcher agreed on not disclosing the personal names of the participants in the thesis or its outputs i.e. publications. However, based on the premise that the impact, usefulness, and credibility of the results of this thesis or its outputs could be strengthened if the social actors composing the unit of analysis were disclosed, the Ethics Committee approved the disclosure of the names of the organisations that the participants represented, or in the case of academic researchers, the names of the universities or research centres.

4.9 Data collection instruments

4.9.1 Semi-structured interviews

Interviews are regarded as essential sources of information for case studies (Yin, 2003b) as they are considered to be the main road to gather multiple social realities (Stake, 1995). Interviews allow the researcher to obtain from others descriptions and interpretations of “the case” in a rich, thick, and personalised manner, which is one of the main objectives of a case study (Hancock & Algozzine, 2016; Stake, 1995).

Interviews can be of different types, with three of the most popular types being: fully structured interviews, semi-structured interviews and unstructured interviews (Robson & McCartan, 2016). Fully structured interviews are characterised by conducting identical interviews to all the participants, which means that they are questioned using exactly the same pre-determined questions in the same order (Robson & McCartan, 2016; Turner III, 2010). Semi-structured interviews are characterised by not being executed in an identical manner to all participants, but follow a guide of pre-determined questions (Robson & McCartan, 2016; Turner III, 2010). This means that the order of the questions and the wording can change depending on the flow of the interview. These type of interviews also give the opportunity for the interviewer to elaborate additional unplanned questions, and to deepen or follow up on important information that the interviewee may offer while being interviewed. The last type of interview is the unstructured interview in which the interviewer spontaneously elaborates the questions around a specific topic of interest, therefore no guidance nor pre-defined set of questions is required (Turner III, 2010).

For this study, the researcher considered that conducting semi-structured interviews would be the most appropriate instrument to collect information from the interviewees for three reasons. First, because the information to be obtained from the interviewees was already delimited by the three specific objectives of the thesis. Second, because this type of interview would allow the researcher to expand into relevant research topics if opportunity arose. Third, because this type of interview allows the researcher to incorporate any extra information into the interview that the interviewee could consider of importance for the research beyond the pre-determined questions.

To conduct the semi-structured interviews a protocol -a guide of questions- was developed in advance of the field work. This was tested on some colleagues working on SE prior to the fieldwork and was revised and adjusted post. The protocol was developed in English and later translated to Spanish. A succinct version of it was developed and sent to all participants prior to the interview to help them prepare in advance. The researcher was aware that providing a questionnaire to the participants prior to their interviews could lead to a lack of spontaneity in their answers. For the purpose of this research, participant spontaneity is not regarded as an important element, where-as the quality, accuracy and clarity of the information that participants could provide during the limited time of the interview is. The researcher considered that sending an information sheet along with the

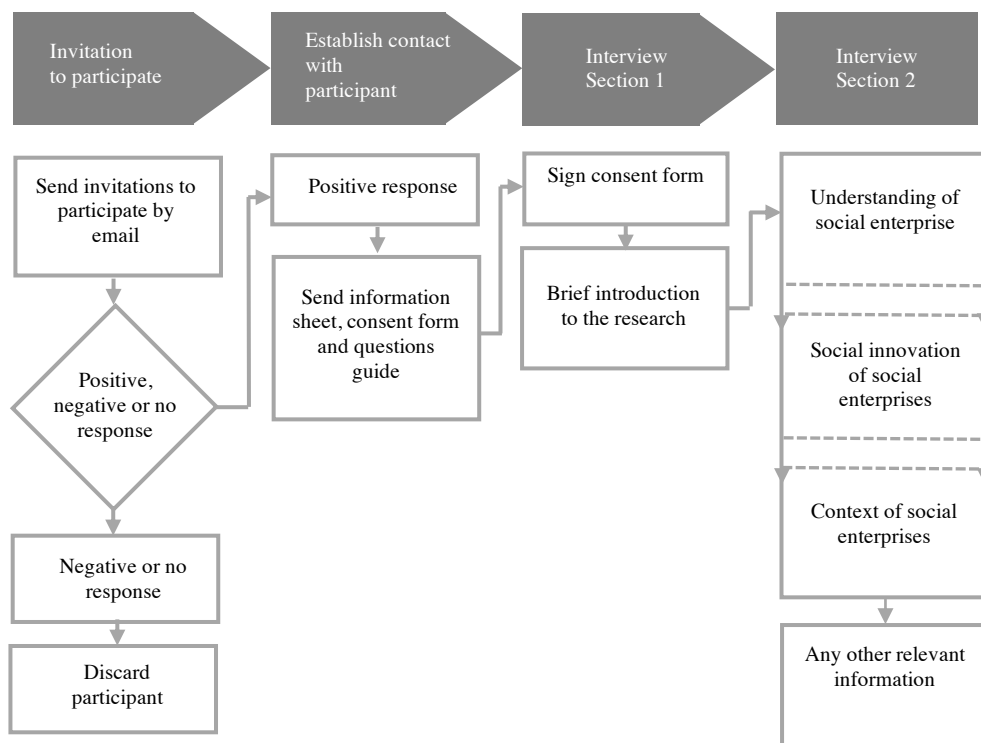
succinct guide of questions would allow the participant to mentally and/or physically gather material and information useful for the researcher.

The design of the interview protocol ensured that the questions covered the three specific objectives of the thesis. The interview protocol was also structured based on the conceptual frameworks that emerged in the literature review. Through this design, the researcher aimed to collect information on three specific topics from each participant:

1. Their conceptualisation of a social enterprise and a description of its dimensions
2. The social innovation approach of social enterprises
3. The contextual conditions of social enterprises

The interview protocol used to conduct the semi-structured interviews -which was only read by the researcher- is shown in Appendix 4.C. The succinct version of the protocol for the participants is shown in Appendix 4.D. A diagram of the interview process and the parts that composed each interview is showed below in Figure 4.2:

Figure 4. 2 Interview process



Source: created by the author

For this study, the participants invited to participate in the semi-structured interviews were selected from the map of actors created in the first stage of the data gathering process. Sampling for qualitative research tends to be purposive rather than random, as is

the case with quantitative research (Miles & Huberman, 1994). Case studies in particular are characterised by retrieving information directly from key participants; these are persons whose knowledge and opinions may provide important insights regarding the objective of the research, and also can suggest sources of corroboratory or contrary evidence (Hancock & Algozzine, 2016; Yin, 2003b).

The participants interviewed were selected in two stages. The first corresponded to the creation of the map. In this first stage, the criteria chosen to include actors in the map was that these actors were using, implicitly or explicitly, the term social enterprise or related terms¹⁵ in their everyday activities, such as activities of operation, research, teaching, communication, academic publication, etc. The second stage corresponded to choosing the participants to be interviewed. It is important to clarify that actors and participants do not have the same meaning, as actors include non-human entities, such as organisations, or networks; while participants are people, individuals that represent themselves (in the case of researchers), or that represent a group of people such as an organisation, or a network.

The criteria followed for the selection of the participants was that they possessed rich knowledge, expertise, information, or access to resources on, or related to social enterprise or related terms. Within this second stage, the researcher aimed to interview participants that, when representing an organisation, a network, or a group of people, were occupying positions of management, ownership or leadership within their organisation, network, or group. This was done under the assumption that those in leadership, ownership, or management positions could have greater access to information or could concentrate important or key information of the unit of analysis.

The type of actors composing the unit of analysis emerged to be very diverse with regards to types of activities they were doing in the field. Grouping them in well-defined categories resulted challenging because many of them were operating in various areas simultaneously, such as being an accelerator of social enterprises and at the same time being involved in the direction of a digital communication media on SEs and SI. The researcher therefore decided to group the participants into nine categories of stakeholders:

¹⁵ Terms related include but are not limited to: social business, community enterprise, social economy enterprise, cooperative enterprises. An expanded array of all the related terms can be found in Chapter 5

1. Academic division. 2. Academic network 3. Academic researcher 4. Accelerator or incubator 5. Consultancy 6. Financial organisation 7. Government 8. Network or umbrella organisation 9. Social enterprise. A description of these categories is found below:

1. Academic division: refers to a sub-unit of a university or faculty devoted to a particular discipline where its principal aim is to transfer knowledge to students through teaching. In this case disciplines related to SE or SI.
2. Academic network: refers to a community of scholars that collaborate on research projects of common interest and also produce and share knowledge across the network members. The scholars that compose this community are based at different universities or research centres within the same country or across countries.
3. Academic researcher: refers to individual scholars that perform academic research on a specific topic (in this case a topic related to SE or SI) and who usually belong to a research centre or a university. Note that the difference between this and academic division is that researchers are devoted to do research and not necessarily to transfer knowledge through teaching.
4. Accelerator, incubator or think tank: refers to private organisations that provide advice to small SEs and social entrepreneurs. This advice is mostly focused on how to design and structure their business model, in the case of incubators; and on how to scale their business operations, in the case of accelerators.
5. Consultancy: refers to private enterprises that offer advice on specific topics to businesses, governments, or any other type of organisation. In this case, the consultancies offer advice to governments or private firms on topics related to SE and SI.
6. Financial organisation: refers to private organisations that provide financial services and financial advice to SEs.
7. Government: refers to public organisms that, as part of their operations, provide support, advice or resources to SE or SI activities in Mexico.
8. Network or umbrella organisation: in the case of a network, it refers to a group of organisations independent from each other that share a common interest and that are linked together to collaborate or share resources. In the case of umbrella organisations, it refers to an organisation that has the capacity of pooling resources or access to resources for smaller independent organisations. Normally, these

smaller organisations share an interest aligned to those of the umbrella organisation. Note that these networks are formed by SEs or work with SEs.

9. Social enterprise: refers to those organisations that self-determine themselves as social enterprises.

In total 40 participants were interviewed, and 45 interviews were conducted. The actors interviewed are shown in Table 4.1. The average length of each interview was 50 minutes.

Table 4.1 Actors interviewed

Category of stakeholder	Number of participants	Participants	No. of Interviews	Participant Code
Academic divisions	3	1. Latin-American Centre of Social Responsibility of the Anahuac University (<i>Centro Latinoamericano de Responsabilidad Social de la Universidad Anáhuac - CLARES</i>)	1	AD-CLARES
		2. Entrepreneurship and Business Development Center of the Ibero-American University (<i>Centro de Emprendimiento y Desarrollo Empresarial de la Universidad Iberoamericana</i>)	1	AD-CEDE
		3. Division of Innovative social entrepreneurship of the Monterrey Institute of Technology and Higher Education (<i>División de Emprendimiento Social Innovador del Instituto Tecnológico y de Estudios Superiores de Monterrey - ITESM</i>)	1	AD-DESI
Academic network	3	4. Social Enterprise Knowledge Network (SEKN) Participant 1	1	AN-SEKN1
		5. Social Enterprise Knowledge Network (SEKN) Participant 2	1	AN-SEKN2
		6. Network of social innovation in Mexico (Red de Innovación Social en México - RedISMX)	1	AN-RedISMX
Academic researchers	10	7. University of Monterrey (<i>Universidad de Monterrey</i>) - participant 1	2	AR-UdeM1
		8. University of Monterrey (<i>Universidad de Monterrey</i>) - participant 2	1	AR-UdeM2
		9. Mexico Autonomous Institute of Technology (<i>Instituto Tecnológico Autónomo de México - ITAM</i>)	1	AR-ITAM
		10. Graduate School of Business Administration and Leadership of the Monterrey Institute of Technology and Higher Education (<i>Escuela de Graduados en Administración y Dirección de Empresas del Instituto Tecnológico y de Estudios Superiores de Monterrey - EGADE-ITESM</i>) Participant 1	1	AR-EGADE1
		11. Graduate School of Business Administration and Leadership of the Monterrey Institute of Technology and Higher Education (<i>Escuela de Graduados en Administración y Dirección de Empresas del Instituto Tecnológico y de Estudios Superiores de Monterrey - EGADE-ITESM</i>) Participant 2	1	AR-EGADE1
		12. Metropolitan Autonomous University (<i>Universidad Autónoma Metropolitana</i>)	2	AR-UAM
		13. International Research Centre of the Social and Solidarity Economy (<i>Centro internacional de Investigación de la Economía Social y Solidaria</i>)	1	AR-CIESS
		14. National School of Social Work of the National Autonomous University of Mexico (<i>Escuela Nacional de Trabajo Social de la Universidad Nacional Autónoma de México</i>)	1	AR-ENTS
15. School of Social Entrepreneurs of the Faculty of Accountancy and Administration of the National Autonomous University of Mexico (<i>Escuela de Emprendedores Sociales de la Facultad de Contaduría y Administración de la Universidad Nacional Autónoma de México</i>)	1	AR-EES		
16. Department of Social and Political Sciences of the Ibero-American University (<i>Departamento de Ciencias Sociales y Políticas de la Universidad Iberoamericana</i>)	1	AR-DCSP		

Source: developed by the author

Table 4.1 (Continued) Actors interviewed

Category of stakeholder	Number of participants	Participants	No. of Interviews	Participant Code
Accelerator, incubator or think tank	4	17. Incuba Social	2	ACC-IncSoc
		18. Socialab / Disruptivo TV	1	ACC-DisTV
		19. New Ventures	2	ACC-NV
		20. Unreasonable Institute (Instituto Irrazonable)	1	ACC-InstIrr
Consultancy	2	21. CIRKLO	1	CON-CIRK
		22. Propulsar	1	CON-Prop
Financial organisation	1	23. Social Venture Exchange Mexico (SVX México)	1	FO-SVX
Government	4	24. National Institute of Entrepreneurship (<i>Instituto Nacional del Emprendedor</i>)	1	GOV-INADEM
		25. National Institute of the Social Economy (<i>Instituto Nacional de Economía Social</i>)	2	GOV-INAES
		26. Secretary of Innovation, Science and Technology of Jalisco (<i>Secretaría de Innovación, Ciencia y Tecnología de Jalisco</i>)	1	GOV-SICTJal
		27. Scientific and Technological Advisory Forum (<i>Foro Consultivo Científico y Tecnológico - FCCyT</i>)	1	GOV-FCCyT
Network or umbrella organisation	7	28. B Corps (<i>Sistema B</i>)	1	NW-Bcorps
		29. The Failure Institute (<i>Instituto del Fracaso</i>)	1	NW-InstFrac
		30. PIDES Social Innovation (<i>PIDES Innovación Social</i>)	1	NW-PIDES
		31. Foundation of Businessmen in Mexico (<i>Fundación del empresariado en México - FUNDEMEX</i>)	1	NW-FUNDEMEX
		32. Aspen Network for Development Entrepreneurs (ANDE)	1	NW-ANDE
		33. Ashoka - participant 1	1	NW-Ashoka1
Social enterprise	6	34. Ashoka - participant 2	1	NW-Ashoka2
		35. Pixsa	1	SE-Pixa
		36. Esoko	1	SE-Esoko
		37. Yomol A´tel	1	SE-Yomol
		38. Ruta origen	1	SE-Ruta
		39. Grupo Paisano	1	SE-GPaisano
		40. Pro-Trash	1	SE-ProTrash

Source: developed by the author

4.9.2 Documentation

When using multiple sources of evidence, it is essential to obtain a convergence of the lines of inquiry to achieve triangulation in the information (Yin, 2003b). Documentation is regarded as another important source of information for case studies (Yin, 2003b). Although documents are not always accurate or free of bias, information from documents can increase the evidence already collected from other sources such as that coming from interviews (Yin, 2003b). Documentation also serves the important function of corroborating or contradicting evidence previously collected; a situation which leads the researcher to inquiring deeper into the subject of study (Yin, 2003b).

Documentation can take many forms and may vary in usefulness for the case study. Documentation may include material from the internet, private and public records, physical evidence, and instruments created by the researcher (Hancock & Algozzine, 2016). Today, major sources of information are in digital format and many of these are of free online access. The amount, diversity and accessibility of these sources of information can represent a risk for any researcher conducting a case study, as not all this information is reliable or of high quality (Hancock & Algozzine, 2016). To reduce this risk, the researcher assessed the authenticity and legitimacy of the various sources of information used in this case study by ensuring that these were produced by official sources (such as governments, civil society organisations or research centres) or by the social actors composing the unit of analysis. For this thesis, the documentation used was grouped into the following categories presented in Table 4.2. The documentation used and its content are shown in Appendix 4.E.

Table 4.2 Documentation used classified according to the type of document and the category of stakeholder it belongs to

Categories of types of documents	Description
Book	Books authored and/or edited by social actors composing the unit of analysis
Report	Reports produced by social actors composing the unit of analysis
Law	Law, regulations, and public calls
Public outreach	Public outreach to participate in public programmes or to request public funds
Website	Official web sites of the social actors composing the unit of analysis
Podcast	Podcasts produced by social actors composing the unit of analysis
Online Interview	Existing online interviews conducted to social actors composing the unit of analysis
Recorded presentation	Recorded presentations given by actors composing the unit of analysis
Data base	Registers of beneficiaries of governmental programmes or grants

Source: created by the author

4.10 Data analysis

Available literature highlights that to produce a high-quality analysis, the process of data analysis has to be guided by an analytical strategy and the use of specific analytical techniques (Baxter & Jack, 2008; Yin, 2003a). Choosing an analytical strategy increases the chances of arriving at stronger analytical conclusions, considering that it is common in case studies to gather overwhelming amounts of data and information through many sources and by different instruments (Hancock & Algozzine, 2016; Yin, 2003b).

The researcher was aware that the data analysis phase does not start after the data collection, but that it takes place concurrently and continues after its completion (Baxter & Jack, 2008). By doing this the researcher cycles back and forth reflecting on the data that has been collected and opens up new possibilities to get more and better data to best answer the research questions or to address the research objectives (Miles & Huberman, 1994).

For this case study, the data was analysed following an exploratory strategy (Yin, 2003b). This strategy focuses on exploring situations where there is no single outcome and where the aim is to understand and emphasise the uniqueness of the case (Fisher & Ziviani, 2004). In this strategy, the generalisation of the research findings is not considered necessary (Stake, 1995).

After having chosen the general analytical strategy, data was analysed following a thematic qualitative text analysis process that incorporates elements from analytical processes suggested by Kuckartz (2014), and Robson and McCartan (2016). This process is composed of four phases, 1. Familiarization with the data, 2. Development of thematic categories and first coding 3. Identification of sub-themes and second coding and, 4. Integration and interpretation.

4.10.1. Familiarization with the data

The familiarisation process consisted of transcribing the data gathered through semi-structured interviews and by reading and making notes of all the other sources of information (Robson & McCartan, 2016). In this process, common sense and previous knowledge acquired from the literature review are used to find meaning and patterns in the data (Kuckartz, 2014). The familiarisation process of the data led to the identification of two patterns. The first derived from the type of terminology that the participants used

to answer the same questions, especially when asked to describe SEs and SI in their own terms. These questions correspond to Sections 1 and 2 respectively of the interview protocol (Appendix 4.C). The second pattern emerged by reading the transcriptions intently, this pattern identified similar lines of argumentation used by different participants to frame the case of SE in Mexico and their SI approaches. The identification of these two patterns drew, in broad terms, two forms (A and B) of understanding SE by the participants interviewed. Succinctly, Form A used predominantly, and almost exclusively terminology associated with traditional business practices and management. This form framed the case of SEs in Mexico as enterprises that use traditional business tools to address a social problem. Form B also used managerial terminology, but also included terms that are more commonly found in other disciplines such as Sociology, Anthropology and Political Studies. This form framed the case of SE in Mexico as organisations that operated on non-traditional economic principles or that incorporated principles from other disciplines into their operations. This first phase of the processes identified in broad terms two types of understanding SEs in Mexico. An example of the patterns that derived from the terminology used by participants to explain SE is shown in Table 4.3 below.

Table 4.3 Sample of initial patterns identified in the data from the terminology used by the participants

Participant	Question	Excerpt from the participant's answer	Terminology	Pattern
GOV-INAES	What are the core characteristics of a SE?	SEs are organisations framed in the principles and values of the social economy: equality, fairness, democracy, and justice in the redistribution of benefits.	Democracy Justice Equality	
SE-Yomol	Could you please elaborate on the main distinctions of the mentioned SE model?	The organisational capacity of SEs to allow indigenous populations to define their own development through the self-managing of their territories , their autonomy , and according to their principles, values, and worldview .	Development Worldview Self-management of territories	Frame SEs using terminology from social sciences such as politics, sociology, anthropology
AR-UdeM1	From an organisational perspective, how do these organisations operate?	I saw in these SEs a democratic dimension with a strong ethical component .	Ethics Democracy	
AN-SEKN1	What are the core characteristics of a SE?	SEs are initiatives of entrepreneurs that have a triple bottom line focus within their business model . The economic, social, and environmental part.	Triple bottom line Business model	
NW-ANDE	What are the core characteristics of a SE?	For us, a SE is an enterprise that is generating profits , but these have to be re-invested and used to escalate their social impact to address a fundamental problem for society,	Escalate Social impact Generate profits	Frame SEs using terminology associated to traditional business practices and management
SE-Pixa	What are the core characteristics of a SE?	SE is a hybrid between for-profit companies and NGOs. The SE is born with a mission and a vision to solve a	For-profit companies	

social problem and at the same time uses the market, whether to sell its products or its services, or to generate the resources that it needs to be sustainable . This allows it to operate as an enterprise while at the same time it addresses social problems, so it is independent and self-sustainable .	Mission and vision
	Sustainable
	Self-sustainable

Source: created by the author

4.10.2. Development of thematic categories and first coding

This process starts implicitly during the familiarisation period and continues formally when the researcher is completely immersed in the data (Robson & McCartan, 2016). The process is composed of two parts, first, establishing the thematic categories, and then, categorising the data into meaningful units or bits of information - i.e. codes - within these categories (Kuckartz, 2014). Thematic categories are a form of classifying data based on certain criteria. Data, in this case, is text that contains ideas, concepts, arguments and discourses provided by the participants and the material collected in the field. Coding is the process of identifying one or more passages of text, or other data collected, that in some sense reflects, exemplifies, fits or embodies the thematic categories (Robson & McCartan, 2016). Thematic categories can emerge inductively i.e. purely from the data, or deductively i.e. predetermined by the literature review, the theoretical frameworks and the research questions (Kuckartz, 2014; Robson & McCartan, 2016). In this case the process of development of thematic categories started mainly deductively, although few categories emerged inductively – both will be explained in detail below–. This means that the categories were developed by acknowledging their embeddedness in the data collection mechanisms, on the research questions that guided the research project, on the literature review, and on the conceptual frameworks (Gibbs, 2007; Kuckartz, 2014). The assumption that grounded the use of the specific objectives of the thesis, the two frameworks, the review of literature, and the questions of the interview protocol to develop the thematic categories was that by filtering the data through these categories, these would organically assort the data under similar criteria that defined the research objectives of the thesis, and therefore, the data classified would result relevant and meaningful for the research project. The process of thematic category building started by reflecting on how the data could be meaningfully deconstructed to reveal the underlying connections to the frameworks, the literature review, and ultimately to the specific objectives of the thesis. The categories developed inductively were built on the observations made during the familiarisation process. This revealed that participants and material collected in the field used similar terminology and nomenclature to frame similar SE and SI understandings, therefore terminology and nomenclature were chosen as

thematic categories due to their potential to cluster similar SE and SI understandings semantically. Another category developed inductively emerged from paying attention to the use of examples, references to scholars, organisations, and publications by participants to explain their views. These were adopted as thematic categories due to their potential to show connections to the SE and SI understandings identified previously in the literature review and in the conceptual frameworks. The categories developed deductively were built based on the dimensions of the two conceptual frameworks. Thematic categories EMES1, EMES2 and EMES3 refer to the three dimensions of the EMES framework¹⁶, and the thematic categories D1, D2, D3, D4, D5, D6 and D7 correspond to the seven dimensions of the SI framework¹⁷. See Table 4.4 for a succinct representation of the elements from the literature review, the conceptual frameworks and the questions in the interview protocol that were considered to develop the thematic categories. Two examples of the first coding using the abovementioned thematic categories of one excerpt of an interview and of one excerpt of material handed over by one participant are shown in Tables 4.5 and 4.6. The data was coded using NVivo software.

¹⁶ The EMES Framework is explained in detail in Chapter 2, Section 2.6.

¹⁷ The SI framework is explained in detail in Chapter 3, Section 3.5.

Table 4.4 Elements considered for the development of the thematic categories

Specific objectives of the thesis	Literature review	Conceptual frameworks	Questions in the interview protocol	Thematic categories	Developed	
					Inductively	Deductively
Specific objective 1. To investigate the SE understandings in Mexico	Geopolitical origin of SEs	Anglo-American	What are the core characteristics of an SE? Which other models of SE can you identify in Mexico?	Terminology	[Shaded]	
		European-mainland		Nomenclature		
	Latin-American	EMES Framework	From an organisational perspective, how do these organisations operate? What determines these organisations to choose this organisational structure?	Links to organisations, scholars, key practitioners, or publications	[Shaded]	[Shaded]
	Economic / entrepreneurial			Examples		
Specific objective 2. To investigate the SI approaches of SE understandings in Mexico	SI elements	SI Framework	What types of SI are generated by SE in Mexico? Why is SI important for SEs in Mexico?	EMES1. Economic & entrepreneurial activities	[Shaded]	[Shaded]
				Social		
			Governance	EMES3. Ownership & governance structures	[Shaded]	[Shaded]
			Envision	Terminology		
			Empowerment	Nomenclature	[Shaded]	[Shaded]
			Sphere of action	Examples		
			Knowledge	Links to organisations, scholars, key practitioners, or publications	[Shaded]	[Shaded]
	Power	D1. Focus of SI				
Discourse	D2. Agency vs structure	[Shaded]	[Shaded]			
Political attributes	D3. Economic consonance					
			How is SI generated by SEs in Mexico? Is SI generated by an individual or a group of people within the SE?	D4. Knowledge construction and valorisation	[Shaded]	[Shaded]
				D5. Type of governance and distribution of power		
				D6. Spatial dimension	[Shaded]	[Shaded]
				D7. Politicising vs depoliticising		

Source: developed by the author

Table 4.5 Example 1 of coding using deductive thematic categories

Interviewer	Excerpt of the answer of participant ACC-DisTV	Thematic category
Question	Coding (in black)	
Which other models of SE do you identify in Mexico?	Look, there is one topic that I want to explore soon. That there is another concept, another topic totally "different". It is the social and solidarity economy . I did not invent it, it's called that because someone came up with that name. And precisely the difference is how... well, I believe that both approaches arrive to the same goal, build companies, organizations that generate impact and that have sustainable business models. The difference is that SEs today emerge from the start-up world, right? With the start-up philosophy that there is an entrepreneur that creates a business model, an idea, and a support ecosystem and addresses a social problem.	Nomenclature
	The social and solidarity economy on the other hand refers to...what is it called? To this like... bottom up! Because the organisations, the communities, the neighbours organise themselves and create a project that, ideally, generates social impact through sustainable models . Then, I believe that if a community creates a company that generates profits and that is solving a problem in its own community, it is also a SE, yes or yes. Isn't it? Because it also meets the characteristics.	Terminology EMES3 EMES1 EMES2 Nomenclature Terminology EMES3 Terminology

Source: developed by the author

Table 4.6 Example 2 of coding using thematic categories

Excerpt from the document No. 18 / Report / Network / Causes of failure in Mexican social enterprises p. 11-12.	Thematic category
Coding (in black)	
In recent decades, a new figure has emerged that has a market logic and a social mission. This hybrid known as social enterprise has become the object of study for academic numbers and researchers; However, even though its potential to improve social conditions is well known and recognized, its definition is still a matter of debate. For the purposes of this study, we will establish the definitions and distinctions of what a social entrepreneur is and what a social enterprise means, taking as reference the works developed by the Canadian Foundation for Social Entrepreneurship and the University of Toronto. We understand a social entrepreneur as an individual who recognizes a social problem and uses entrepreneurial principles to organize, create and manage a project focused on generating social change. (The Canadian Social Entrepreneurship Foundation, 2010). This definition allows us to understand that the individual can make use of values inherent to entrepreneurship to achieve their social objective (whether this is a priority, although not necessarily exclusive) for profit or not. Regarding the definition of social enterprise, we start from the understanding that it uses a for-profit model. The company is motivated by the social value it generates, but without losing sight of the need to generate income to maintain the company's operations. This profit makes it possible to make the social enterprise a sustainable model compared to non-profit organizations that depend on fundraising in order to survive. In social enterprise, funds are reinvested to scale their impact and keep the structure standing. (University of Toronto,	Nomenclature Nomenclature Links to key practitioners Nomenclature EMES1 Links to publications Nomenclature Terminology EMES2 EMES1 Terminology DI Links to publications

2013) For the purposes of this study

We will identify a social enterprise under the following characteristics:

• For-profit business model that seeks to satisfy a social need.	EMES 1
• The social need is not only a value or objective of the business, but the central purpose of the operations.	D1
• Even though the generation of income is vital, the objective is not to maximize the financial performance of the shareholders, but to grow the business to enhance the scope of the company. (Schwab Foundation for Social Entrepreneurship)	EMES1
• It is not a priority to accumulate wealth but to reinvest the profits to finance expansion.	Links to key practitioners
• Look for investors who are interested in combining social and financial returns on their investments.	Terminology
This is how we can determine that a social enterprise is related to the business model and the social entrepreneur to the individual who has an innovative idea. A social entrepreneur can start a social enterprise, but not all social enterprises need to be created by a social entrepreneur. (University of Toronto, 2013)	EMES3
	Links to publications

Source: developed by the author

4.10.3. Identification of sub-themes and second coding

This process starts after all the data has been coded under the main thematic categories (Kuckartz, 2014). Sub-themes identify patterns of common meaning in the data coded under a given thematic category (Kuckartz, 2014; Robson & McCartan, 2016). The underlying rationale of a sub-theme is that it agglomerates codes that capture something meaningful for the research and/or of relevance to address the research objectives (Robson & McCartan, 2016). Sub-themes are developed mainly inductively i.e., they emerge from the data that has been previously coded, although these can also be developed deductively i.e., from elements of conceptual frameworks or the literature review. In this case, sub-themes emerged in both forms. Those that emerged inductively are under the thematic categories “terminology” and “nomenclature”. These emerged purely from the data and reflect the patterns created by the terminology and nomenclature used by participants and the material collected in the field. Sub-themes under the rest of the categories have a mixed origin. Those under the thematic categories “links to organisations, scholars...” and “examples” were developed deductively and take elements from the geography of knowledge production approach adopted in the literature review (Chapter 2) in order to identify similar patterns in the data. The sub-themes under the thematic categories EMES1, EMES2 and EMES3 and D1, D2, D3, D4, D5, D6 and D7 have a mix of inductive-deductive sub-themes. Tables 4.7 and 4.8 show the sub-themes that emerged from the main thematic categories. Table 4.7 presents those that were mainly used to develop Chapter 5 on SE, and Table 4.8 those that were mainly used to develop Chapter 6 on SI. Two examples of the second coding using the abovementioned sub-thematic categories of one excerpt of an interview and of one

excerpt of material handed over by one participant are shown in Tables 4.9 and 4.10 below.

Table 4. 7 Sub-themes on SE that emerged from the main thematic categories

Main thematic categories on SE									
Terminology	Nomenclature		Links to organisations, scholars, key practitioners or publications	Examples	EMES1 Economic & Entrepreneurial activities	EMES2 Social activities	EMES3 Ownership & Governance structures		
Sub-themes	Managerial	Social Business	Social entrepreneurship	From Anglo-America	From Anglo-America	Carried out by the beneficiaries of the SE	Beneficiaries work/own the SE	Mainly by workers	Democratic
	Business studies	Social economy							Participatory
	Sociology and anthropology	Solidarity economy	Impact entrepreneurship	From Europe-mainland	From Europe-mainland	Carried out by members of the same community	Beneficiaries work/own the SE and are part of the same community	Mainly by members of the same community	Non-democratic
	Political studies	Hybrid enterprise	Social impact enterprise	From Latin-America	From Latin-America				Mainly by shareholders
	Anglicisms	Cooperatives							
	Indigenous languages from Mexico	Impact business	Indigenous enterprise	From Mexico	From Mexico	Carried out by non-beneficiaries of the SE	Beneficiaries do not work/own the SE	Transitory from shareholders to workers	
	Community enterprise	<i>Ejidos and Comunidades</i>							

Source: developed by the author

Table 4. 8 Sub-themes on SI that emerged from the main thematic categories

	Terminology	Nomenclature	Links to organisations, scholars, key practitioners or publications	Examples	Main thematic categories on SI						
					D1. Focus of SI	D2. Agency vs Structure	D3. Economic Consonance	D4. Knowledge Construction and Valorisation	D5. Type of Governance and distribution of power	D6. Spatial Dimension	D7. Politicising vs Depoliticising
Sub-themes	Managerial	Social innovation	From Anglo-America	From Anglo-America	On social processes	Importance given to agentic actions	Consonant to neo-liberal economies	Individually constructed	Horizontal structures	Territory influences social relations and processes	Politicise
	Business studies	Transformative social innovation	From Europe-mainland	From Europe-mainland	On social impacts			Collectively constructed	Vertical structures		Depoliticise
	Technology					Innovative ecosystem	From Latin-America	From Latin-America	Practical	Importance given to structural enablers-disablers	Consonant to alternative economies
	Sociology	From Mexico	From Mexico	Social mobilisation	Collective knowledge is regarded as the most valuable knowledge						
	Anthropology										
	Political studies										
	Anglicisms										

Source: developed by the author

Table 4. 9 Example 1 of coding using sub-thematic categories

Interviewer	Excerpt of the answer of participant ACC-DisTV	Thematic category	Sub-thematic category
Question	Coding (in black)		
Which other models of SE do you identify in Mexico?	<p>Look, there is one topic that I want to explore soon. That there is another concept, another topic totally "different". It is the social and solidarity economy. I did not invent it; it's called that because someone came up with that name. And precisely the difference is how... well, I believe that both approaches arrive to the same goal, build companies, organizations that generate impact and that have sustainable business models. The difference is that SEs today emerge from the start-up world, right? With the start-up philosophy that there is an entrepreneur that creates a business model, an idea, and a support ecosystem and addresses a social problem.</p> <p>The social and solidarity economy on the other hand refers to...what is it called? To this like... bottom up! Because the organisations, the communities, the neighbours organise themselves and create a project that, ideally, generates social impact through sustainable models. Then, I believe that if a community creates a company that generates profits and that is solving a problem in its own community, it is also a SE, yes or yes. Isn't it? Because it also meets the characteristics.</p>	Nomenclature	Social economy Solidarity Economy
		Terminology	Anglicism
		EMES3	Mainly by shareholder
		EMES1	Carried out by non-beneficiaries of the SE
		EMES2	Beneficiaries do not work/own the SE
		Nomenclature	Social economy
		Terminology	Anglicism
			Participatory
		EMES3	Mainly by members of the same community
		Terminology	Business studies

Table 4. 10 Example 2 of coding using sub-thematic categories

Excerpt from the document No. 18 / Report / Network / Causes of failure in Mexican social enterprises p. 11-12.	Thematic category	Sub-thematic category
Coding (in black)		
<p>In recent decades, a new figure has emerged that has a market logic and a social mission. This hybrid known as social enterprise has become the object of study for academic numbers and researchers; However, even though its potential to improve social conditions is well known and recognized, its definition is still a matter of debate. For the purposes of this study, we will establish the definitions and distinctions of what a social entrepreneur is and what a social enterprise means, taking as reference the works developed by the Canadian Foundation for Social Entrepreneurship and the University of Toronto. We understand a social entrepreneur as an individual who recognizes a social problem and uses entrepreneurial principles to organize, create and manage a project focused on generating social change. (The Canadian Social Entrepreneurship Foundation, 2010). This definition allows us to understand that the individual can make use of values inherent to entrepreneurship to achieve their social objective (whether this is a priority, although not necessarily exclusive) for profit or not. Regarding the definition of social enterprise, we start from the understanding that it uses a for-profit model. The company is motivated by the social value it generates, but without losing sight of the need to generate income to maintain the company's operations. This profit makes it possible to make the social enterprise a sustainable model compared to non-profit organizations that depend on fundraising in order to survive. In social enterprise, funds are reinvested to scale their</p>	Nomenclature	Social enterprise Hybrid Social entrepreneur Social enterprise
	Nomenclature	Social enterprise
	Links to key practitioners	From Anglo-America
	Nomenclature	Social entrepreneur Carried out by non-beneficiaries of the SE
	EMES1	SE
	Links to publications	From Anglo-America
	Nomenclature	Social enterprise
	Terminology	Business studies
	EMES2	Beneficiaries do not work/own the SE Carried out by non-beneficiaries of the SE
	EMES1	SE
	Terminology	Business studies
	DI	On Social impacts
	Links to publications	From Anglo-America

impact and keep the structure standing. (University of Toronto, 2013) For the purposes of this study

We will identify a social enterprise under the following characteristics:

- For-profit business model that seeks to satisfy a social need.
- The social need is not only a value or objective of the business, but the central purpose of the operations.
- Even though the generation of income is vital, the objective is not to maximize the financial performance of the shareholders, but to grow the business to enhance the scope of the company. (Schwab Foundation for Social Entrepreneurship)
- It is not a priority to accumulate wealth but to reinvest the profits to finance expansion.
- Look for investors who are interested in combining social and financial returns on their investments.

This is how we can determine that a social enterprise is related to the business model and the social entrepreneur to the individual who has an innovative idea. A social entrepreneur can start a social enterprise, but not all social enterprises need to be created by a social entrepreneur. (University of Toronto, 2013)

EMES 1
D1

Carried out by non-beneficiaries of the SE
On Social impacts

EMES1

Carried out by non-beneficiaries of the SE

Links to key practitioners
Terminology

From Anglo-America
Business studies

EMES3

Mainly by shareholders

Links to publications

From Anglo-America

Source: developed by the author

4.10.4 Integration and interpretation

Finally, the process of data analysis concludes with the process of integration and interpretation (Kuckartz, 2014; Robson & McCartan, 2016). This process analyses the data coded under all the themes and sub-themes to identify similarities, differences, patterns, trends, clusters, coherence or dissonance between the information emerging from the thematic categories and the specific objectives, the literature review and the conceptual frameworks guiding the research. (Robson & McCartan, 2016). In this case the process of integration and interpretation of the data followed an approach of category-based analysis of the main categories (Kuckartz, 2014). This type of analysis describes, under each main thematic category, the information that emerged from the exercise of coding in the form of an analytical summary (Kuckartz, 2014). It creates a meaningful overview of the patterns of information formed by (dis)similar views expressed by participants and the revised documentation. Therefore, this analysis compresses and reduces the original material to represent what is more relevant for the research objectives of the thesis (Kuckartz, 2014). In order to facilitate the analytical exercise, the data previously coded in NVivo was arranged in 18 Excel spread sheets. Each spread sheet corresponded to one main thematic category. Seven spread sheets displayed the coding of the main thematic categories on SE, and eleven the main thematic categories on SI. It is worth pointing out that although most of the information used to develop Chapter 5 came from the seven spread sheets on SE, and the information to develop Chapter 6 came from the eleven spread sheets on SI, both chapters used information from all 18 spread sheets. One of the 18 spread sheets is presented in Table 4.11 as an example of the analytical exercise carried out.

Table 4. 11 Category-Based analysis of the thematic category "Terminology"

Main Thematic Category	Participant	Document No. and Type	Summary of Analysis	
Terminology				
Managerial	AD-CLARES AD-DESI AN-SEKN1 GOV-INADEM SE-Gpaisano	21 – Report 5 -Book 9 – Report 18 – Report 12 – Report	These participants and the referred documentation rely heavily on managerial terminology to frame the core characteristics of SEs and how they address social issues. This terminology is used mainly to describe the impacts of SEs in society and the environment. It is also used to explain the forms in which SEs quantify social impacts and make these impacts tangible and measurable.	
Business studies	ACC-DisTV SE-Yomol SE-Ruta AD-CEDE SE-ProTrash	5 – Book 6 – Book 7 – Book 21 – Report 9 – Report	These participants and the referred documentation rely heavily on business studies terminology, such as that coming from marketing and financial Markets, to describe the operations of SEs. This terminology is used primarily to explain the funding mechanisms that SEs use to attract capital investment, present impact metrics and economic growth to investors, and explain their communication and marketing strategies.	
Sub-themes	Sociology and anthropology	AR-UdeM1 SE-Yomol AR-DCSP GOV-INAES GOV-FCCyT	30 - Recorded presentation 34 - Online Interview 16 – Report	These participants and the referred documentation incorporate terminology from sociology and anthropology to explain the role of SEs within a community and its members. This type of terminology is used primarily to explain the social relations and social changes that people experience working in the SE, it is also used to explain the social changes experienced by the community where the SE operates.
Political studies	AR-UdeM1 AR-DCSP GOV-FCCyT	8 – Book 16 – Report	These participants and the referred documentation incorporate terminology from political studies to explain the reasons that lead communities to form SEs.	
Anglicisms	ACC-DisTV SE-ProTrash GOV-SICTJal ACC-InstIrr	9 - Report 22 -Report 12 - Report 13 - Report	These participants and the referred documentation use anglicisms to describe the organisational characteristics and operations of SEs. These anglicisms are predominantly connected to business language in English. Despite the fact that the majority of these terms have an equivalent in Spanish, the participants used the terms in English.	
Indigenous languages from Mexico	GOV-INAES AR-UdeM1 AR-ENTS SE-Yomol		The participants incorporate words and terms from indigenous languages of Mexico to explain processes and structures within SEs. These terms referred to processes of collective governance and to the exercise of decision-making power within the SE, as well as on community behaviours.	

Source: developed by the author

4.11 Methodological limitations

The findings from the analysis of this data have to be seen in light of one methodological limitation in the data gathering phase (Section 4.7), specifically with regard to the number and proportion of one type of participant interviewed. The data gathering phase incorporates a small representation of the type of actors that directly embody SEs. The study interviews 40 participants of 9 different types of stakeholders from the SE “movement” in Mexico with the aim of gathering diverse perspectives of the object of study, yet only 6 interviews represent SEs. The absence of a wider and more diverse array of interviews from participants representing SEs, inherently limits the perspectives of SEs within the study. More diverse and numerous participations of these actors in the study could have enriched it with a more complete array of perspectives of the organisations that they represent, and which are a central focus in this thesis. Despite that this limitation is now perceived as obvious, it was not initially by the researcher when the case study was designed and when the data was gathered. The conclusions reached in Chapters 5 and 6 are therefore limited by this. This limitation could be overcome in future research by incorporating a wider number and more diverse type of participants representing SEs.

4.12 Concluding remarks

This chapter presents the methodology followed in this research. Case study was chosen as the best suited method to explain the SE understandings in Mexico and its SI approaches. This method allows the researcher to obtain a holistic overview to the subject of study along with its contextual conditions. This case study relied on 45 semi-structured interviews and documentation collected in the field. Data was analysed following a thematic qualitative text analysis process. The analysis of the results was used to develop the following two Chapters, 5 and 6.

Chapter 5. Social enterprise in Mexico: origins, models and perspectives.

5.1 Introduction

Although the term “social enterprise” (*empresa social*) is not commonly used by the general public in Mexico, in the last decade, some actors from different sectors of society—including a few government entities, a growing number of universities, researchers and organisations from the private and third sectors—have increasingly incorporated it into their agendas and in their official communication, publications, reports and calls.

Fieldwork shows that, although no consensus exists about the meaning of the term, these actors largely coincide on two common attributes of the entities embodying it. First, in one way or another, all social enterprises aim to contribute to solving social and/or environmental problems. Secondly, they also aim to generate the majority of their income through an economic activity. However, when asked about the types of organisation that embody these two attributes, actors refer to different kinds of initiatives; these differences are mainly rooted in the different schools of thought—or, in other words, to the different stances from which the various types of entities operationalise their solutions to social/environmental issues.

Other concepts sharing certain attributes with that of social enterprise (SE) are also present in the country, such as the concepts of impact business (*negocio de alto impacto*) (INADEM, 2013), social business (*negocio social*) (YunusCentre, 2014), social entrepreneurship (*emprendimiento social*) (Conway & Dávila, 2018; Portales, 2018), community enterprise (*empresa comunitaria*) (Orozco-Quintero & Davidson-Hunt, 2010), social economy (*economía social*) (Conde, 2016) and solidarity economy (*economía solidaria*) (Oulhaj, 2015).

This diversity in terms of nomenclature and understandings around the social enterprise concept is also tangible in academic research produced on this topic. Conde Bonfil (2013, 2016), in a pioneering research, approached the analysis of social enterprise from a social-economy perspective, more specifically analysing the relevance of the legal framework for the social economy in Mexico. Vazquez-Maguirre and Portales (2014) addressed the

topic from an indigenous perspective, analysing the mechanisms implemented by indigenous social enterprises to support the sustainable development of their communities. Orozco-Quintero and Davidson-Hunt (2010) analysed social enterprise from the perspective of the commons and their relation to indigenous enterprises. Wulleman and Hudon (2016) used the typology put forward by Zahra et al. (2009) to classify social entrepreneurs in Mexico. More recently, seventeen authors, coordinated by Conway and Dávila (2018), addressed the topic from the perspective of social entrepreneurship, developing a compendium of the multifaceted expressions of the phenomenon in Mexico.

The diversity of understandings is also visible in non-academic research and public communication from government entities. With a view to disclosing the causes that lead Mexican social enterprises to fail, the Failure Institute (2017) analysed social enterprises using the conceptual framework put forward by the Schwab Foundation for Social Entrepreneurship (2016). This approach, which is built around individuals combining traditional business practices with innovation and accountability practices to address other people's social problems, is contrasting with the official communication of the National Institute of the Social Economy (*Instituto Nacional de la Economía Social*, or INAES), which also uses the term social enterprise but to refer to those enterprises rooted in the social economy.

As a consequence of the above, a heterogeneous understanding of the social enterprise term and of those related prevail in Mexico, and studies, reports, books and peer-reviewed publications on this organisational phenomenon uphold a collection of diverse—and, in some cases, contrasting—visions of what social enterprises represent, and of the types of economic and social activities they are meant to perform.

The general social and economic background in Mexico is that of an increasingly adverse national context. Among the many problems, the most pressing ones are the immovable high rates of multidimensional poverty, with 53.4 out of 122.5 million people living under the poverty line (CONEVAL, 2016); the high rates of income inequality and other types of inequalities, which place Mexico in the first quartile at global level in terms of income inequality (Esquivel, 2015); the stagnating and precarious salaries, with more than half of the wage-earning population living under the monetary poverty line; and the loss of purchasing power of the salaries (between 2012 and 2017, the purchasing power of workers with a university degree decreased by 14.4%; see (Teruel et al., 2018). On top of

that, the violence associated to drug cartels—and which some observers link to the government’s controversial anti-drug strategy—skyrocketed; it reached a peak in 2017, with 70 murders a day on average; in total, between 2007 and 2018, the death of almost 250,000 people could be linked to confrontations among drug cartels and between these and the army (Tierrablanca & Lara, 2018). Finally, the high rates of corruption in the government, at all levels, place Mexico among the 20 countries with the most corrupt public officers, out of 102 countries analysed in a large study on this topic (Denkova, 2015). Paradoxically, Mexico is today the fifteenth largest economy in the world in terms of GDP, with an average annual growth rate of 2.37% in the last two decades (Bank, 2018).

The objective of this chapter is to go beyond the observed diversity of terminology and understandings to present some major SE models which coexist in Mexico. Using an empirical approach, the chapter attempts to better understand these models from the point of view of both their organisational dimension and their institutional context. The analysis builds on primary data from 45 semi-structured interviews conducted with stakeholders of the SE sector; it also relies on secondary data, composed by publicly available grey and peer-reviewed literature, and material handed over by the interviewees. Based on the analysis of these data, four SE types appear to emerge prominently in Mexico:

- private enterprises owned and controlled by social entrepreneurs who rely on innovation to create a product or a service with the objective of addressing a social issue through a market-based business model;
- collective organisations with a land-based identity, which originate from and are embedded in the social structure of indigenous communities;
- non-profit organisations that develop economic activities to complement their sources of income;
- collective organisations that operate under the principles and values of the social economy, and which emerge from a collective effort of a group of members with the primary purpose of creating social benefits for themselves.

The organisational attributes of the first three models are drawn using the three dimensions of the EMES “ideal type” of SE (Defourny & Nyssens, 2012); in other words, each model is characterised from the point of view of its social, economic/entrepreneurial and governance dimensions. Each model’s institutional context is also depicted, tracing

back the institutional forces behind its emergence in Mexico and around its current state of existence. Finally, the challenges, limitations and threats that each model faces are exposed. The fourth model, i.e. the one linked to the social economy, although identified in the field is not analysed in the thesis due to resources and time limitations.

5.2 Market-oriented social businesses

In Mexico, three understandings of the “market-oriented social business” approach can be identified: the “Yunus-inspired social business” understanding, the “impact business/social start-up” understanding, and the “B Corp” understanding. The different meanings are compared in Table 5.1.

Such social enterprises are private businesses created by a (group of) social entrepreneur(s) operating under the market conventions and who aim primarily to contribute to solving a social or environmental issue through the commercialisation of a product or a service. In such perspective, the terms “social enterprise” and “social entrepreneur” are closely linked. The process of designing, prototyping and then validating in the field the effectiveness of the product or service proposed by the social entrepreneur is known as social entrepreneurship. This last term is sometimes used as a synonym of that of social enterprise. Yet, for others, “social entrepreneurship” does not necessarily incorporate a commercial dimension.

5.2.1. Context and origin

In the last decade, a booming network of organisations supporting this type of social enterprise has emerged in Mexico. The pioneer in this regard was Ashoka, which started operating in the country in 1987, introducing the “social entrepreneurship” concept such as it is understood by Bill Drayton. In 2004, New Ventures (NV), originally from the USA, established itself in Mexico with the aim to provide support to environmentally-driven businesses. In 2006, inspired by Prahalad’s book (Prahalad 2006), NV broadened its scope to support socially-oriented businesses. In the following years, an array of other national and foreign actors (mostly from the US) emerged or started operating in Mexico. Between 1987 and 2018, some 30 organisations—umbrella organisations, networks, platforms, impact-investment funds, incubators, consultancy firms, knowledge networks and specialised media—appeared in the country. Organically, they configured themselves as a support network for social entrepreneurs. Today, they fulfil the functions of an SE ecosystem.

Academia has also played an important role in the shaping of the field. In the last decade, top universities have actively joined the ecosystem, creating social business labs, academic programmes, research centres and even whole new teaching divisions, such as the School of Social Entrepreneurs of the National Autonomous University of Mexico, set up in 2012. In 2001, the Monterrey Institute of Technology and Higher Education (ITESM) joined, as a founding member, the Social Enterprise Knowledge Network (SEKN)—a research network initiated by Prof. James E. Austin from the Harvard Business School that brings together business schools from leading universities of Ibero-America. In 2018, two Yunus centres opened in the north of Mexico (University of Monterrey and University of Baja California).

Table 5.1 Market-oriented social businesses' understandings in Mexico

	Impact business/social start-up	Yunus-inspired social business	B Corp
Year of emergence in Mexico	2012	2014/2018	2016
Main promoters in Mexico	INADEM, Socialab Mexico, New Ventures and Intituto Irrazonable, among others.	Social Business Summit (2014), UABC-YUNUS Centre (2018) and Yunus Innovation Pathway Centre of the University of Monterrey (2018)	Sistema B
Business model	<p>Private enterprises owned and controlled by social entrepreneurs who rely on innovation to create a product, service or business model that both:</p> <ul style="list-style-type: none"> • aims to address an environmental issue or the social need of a vulnerable group of society; and • aims to be commercially viable in the marketplace. <p>The maximisation of profits is not restricted (but not necessarily desired) as long as the maximisation of social impact is also pursued.</p>	<p>In Mexico, Yunus centres support two types of models.</p> <ul style="list-style-type: none"> • Type 1: micro-businesses owned and operated by disadvantaged/poor families. The support provided aims to help them to maximise their business profitability as a strategy to improve the household's economic situation, and potentially lift the family out of poverty. Therefore, profit maximisation is desired. • Type 2: private companies that provide a social benefit to a disadvantaged group through the provision of products or services in the market. These companies follow the principle of "no loss, no dividend", and therefore profit distribution to owners is restricted. 	<p>There is no specific business model promoted by the Sistema B network. Its approach rather focuses on encouraging (social or traditional) enterprises to create positive impacts in the community and the environment and on the employees through the enterprise's day-to-day operations. Through an impact measurement system, enterprises can obtain the "B Corp" certification, which differentiates them from traditional enterprises in the marketplace. This certification also links them together into the Sistema B network. Profit distribution to owners is not restricted.</p>

Source: compiled by the autho

As far as governmental institutions are concerned, in 2012, the federal government created, through the Ministry of Economy, the National Institute of the Entrepreneur (*Instituto Nacional del Emprendedor*, or INADEM). Bringing in a different vision of support to micro and small enterprises, the government's new approach shifted from support to entrepreneurship by sector to support by type of enterprises. Following this line, the INADEM issued the first call for high-impact entrepreneurship (*emprendimiento de alto impacto*), defined as:

[a] company that has a double-nature scalable business model, which means that, on the one hand, it pursues an economic goal (generation of wealth and employment) and, on the other hand, it seeks a social, environmental or cultural benefit (generation of values, meaning and identities). [High-impact entrepreneurship initiatives] are globally replicable business models based on innovation (being this component a distinctive trait of their sector). [High-impact entrepreneurship] generates 360-degree value for its partners, workers, customers and the community.

(INADEM, 2013)

This active involvement of the government through INADEM legitimised, for the first time, the nascent sector into the public agenda through three different events: first, the conclusion of an agreement with Ashoka to create the first national-range government call specifically directed to social entrepreneurs; secondly, the commissioning of a study on social entrepreneurship to EY Mexico; and thirdly, the participation of INADEM—as host and partner—in the organisation of the Social Business Summit in 2014. In the following years, the INADEM supported annually an average of 150 organisations, reaching 172 in 2017 (INADEM, 2017). When the new government took office, in December 2018, the new Minister for Economic Affairs announced that the INADEM would disappear but that support to entrepreneurs would be maintained; however, specific programmes for impact entrepreneurship have not been announced yet.

In 2015, Mexico joined the Global Steering Group for Impact Investment, and the Alliance for Impact Investment was created. Today, providers of a variety of equity instruments designed to support social enterprises keep emerging. In 2016, the Latin American counterpart of B Corps, *Sistema B*, opened a branch in Mexico, bringing a slightly different approach to social enterprise. Through an annual evaluation that can lead to a certification, the B Corp network encourages both traditional for-profit enterprises and social-purpose-driven businesses to pursue efforts to reduce their negative

externalities in their day-to-day operations, while simultaneously encouraging positive impacts on key stakeholders. At the end of 2018, 31 certified B Corps operated in Mexico.

5.2.2 Social mission and economic activities

Precise data about the number of market-oriented social businesses operating in Mexico are not available. However, a survey carried out by the Aspen Network for Development Entrepreneurs (ANDE (2018) found 867 social ventures. Regarding economic activities, the main sectors in which social ventures were operating were: financial services (18% of enterprises), health (17%), agriculture (9%), education (8%), environment (7%) and information and communications technology (6%) (ANDE, 2018). As for these enterprises' social mission, the following ones were observed: to generate employment (32% of enterprises), to increase productivity and income (29%), to foster community development (21%), to improve health (21%), to increase equality and empowerment (20%) and to improve access to financial services (19%) (*ibid.*).

5.2.3 Ownership and governance

The governance structure of this type of SE is shaped by the interplay of different elements.

The first and most important one is the commitment of the owner(s) towards fulfilling the social mission. In this regard, and although final decisions are usually made by the owners or the board of directors, incorporating stakeholder participation mechanisms into the decision-making processes is considered as highly desirable—and even seen as good practice—among social entrepreneurs.

Secondly, the legal conditions and obligations dictated by the legal form chosen by the initiative are also key elements. So far, no legal form specifically designed for social businesses has been created in Mexico. In the majority of cases, social businesses operate under a commercial legal form; some are registered under a non-profit legal form;¹⁸ and a few others operate under a combination of a commercial and a non-profit legal forms (ANDE (2018).

Thirdly, any mission-protection mechanism can be voluntarily included in the organisation's articles of incorporation. Such governance mechanisms are being

¹⁸ Commercial legal forms available to social businesses are those of limited company (*Sociedad Anónima*, or SA), joint-stock company (*Sociedad por Acciones Simplificada*, or SAS) and public limited investment company (*Sociedad Anónima Promotora de Inversión*, or SAPI). Non-profit legal forms are those of civil association (*Asociación Civil*, or AC) and private-assistance institutions (*Institución de Asistencia Privada*, or IAP).

pioneered in Mexico by the B Corp system. The network indeed encourages their members to include two specific clauses into their legal statutes: the first clause secures the statement of either a social mission or a business mission that incorporates efforts aimed at impacting positively and tangibly the environment or society; the second clause requests that the board of directors consider the potential negative externalities of the enterprise's operations over an array of stakeholders, including employees, the environment and clients (SistemaB, 2018). Social enterprises may also implement specific guidelines to obtain and maintain other types of certification and/or support from external organisations/networks.

The last elements that might influence the governance structure are the terms, conditions and participation mechanisms of external capital investors, which vary depending on the financial instrument in place.

5.2.4 Challenges, threats and weaknesses

From the point of view of the availability of financial resources, some players in the ecosystem argue that, although financial mechanisms and portfolios for social enterprises are emerging today, there is still a long way to go as, on the one hand, traditional investors, who could potentially fund this type of ventures, are still not aware of the possibility of or interested in investing in social enterprises and, on the other hand, most of the social ventures in Mexico are in a very early stage of development and are not yet ready to receive funding through financial instruments.

From an organisational perspective, the business and financial skills of those launching social ventures seem to be weak. Some accelerators and incubators report that they quite commonly receive applications submitted by social entrepreneurs with an “aversion to fly on their own” and that they have noticed that, for some social entrepreneurs, it seems to be easier to jump from incubator to incubator than to venture into the real market and reach financial sustainability.

From a governmental perspective, apart from INADEM (whose closure had been announced by the time this chapter was being written) and some regional agencies such as the Ministry of Innovation of Jalisco, the majority of (federal and regional) governmental agencies are unaware of the existence of this type of enterprises and therefore do not encourage the creation of favourable conditions for their growth.

From a legal perspective, most of the players agree that a specific legal form, tailored to the needs of social enterprises, is needed. Some advocate for the creation of a completely new legal form, while others believe that it would be easier to add some extra features to existing commercial forms in order to enable social enterprises to differentiate themselves on the market and to operate under a more favourable taxation scheme.

5.3 Indigenous social enterprises

Indigenous social enterprises, which are also known as indigenous communitarian enterprises, community-based enterprises or commons enterprises, are the result of a process through which an indigenous community creates and operates an enterprise embedded in its existing social structure (Orozco-Quintero & Davidson-Hunt, 2010; Peredo & Chrisman, 2006). The enterprise's management and governance support and are aligned with the economic, social and political goals of the community (*ibid.*).

5.3.1 Context and origin

Mexican indigenous social enterprises have long been extensively documented by academics. Special focus has been placed on indigenous coffee growers and forest management indigenous enterprises. Indigenous forestry enterprises emerged around the late 1970s, when indigenous communities, refusing the logging practices of the state and private companies, fiercely opposed the renovation of the private logging concessions and claimed their land rights (Antinori & Rausser, 2010; Chapela, 2012; PNUD, 2012). This claim was made possible by the agrarian reform, a state-directed large transfer of forests rights to communities over the 20th century (Antinori & Bray, 2005). In order to restore their land rights to the communities, the state created the "social property" regime, a special land tenure regime that differs from both private and public property (J.A. Reyes, 2012): whereas private property refers to land granted by the nation to individuals and public property refers to land owned by the state, social property refers to land that belongs to and is managed by communities (*ibid.*). Communities are of two types: *ejidos* (literally, "common land"), composed by peasant groups, and *comunidades* (literally, "communities"), composed by indigenous communities (Antinori & Rausser, 2010). *Comunidades* cannot sell nor lease their land since it belongs to the community and it can only be farmed by the *comuneros*, i.e. the members of the community (Morett-Sánchez & Cosío-Ruiz, 2017). It is estimated that there are 2,344 *comunidades* in Mexico (J.A. Reyes, 2012). Mexico is considered to be a virtually unique case in this regard, as this

social property regime, which includes forests, jungles and shrubland, encompasses 48% of the nation's territory and represents 80% of Mexico's forests (Bray et al., 2003).

As for those indigenous social enterprises that produce coffee, many emerged as a counteractive response from indigenous communities to the abolition of the Mexican Coffee Institute (*Instituto Mexicano del Café*, or *Inmecafé*) in 1989 (Jaffee, 2014). Inmecafé was a public agency that had been created in 1952 to provide support and protection from market forces to small coffee growers (*ibid.*). Although it brought about a rapid increase in the number of coffee producers, its paternalistic approach, together with corrupt practices, resulted in a high dependence and vulnerability of coffee growers (Alvarado, 2009; Jaffee, 2014). The dissolution of Inmecafé was triggered by the collapse of the International Coffee Agreement and by the adoption of neoliberal economic policies aiming to reduce the regulatory power of the state (Jaffee, 2014; Vázquez-Maguirre, 2012).

5.3.2 Social mission and economic activities

The economic activities of indigenous forest enterprises primarily derive from community logging. A few very competitive enterprises have been able to vertically integrate sawmills and furniture and moulding workshops while operating under the Forest Stewardship Council certification (Bray et al., 2003). Some enterprises in the Oaxaca region, using profits from the logging activity, have diversified their economic activities, creating water bottling, ecotourism and resin-tapping companies (*ibid.*). Successful indigenous coffee producers, popular in the southern states of Mexico (Jaffee, 2014), have set up over time processing, transportation and technical services, financial and commercialisation companies and, in some cases, coffee shops and eco-touristic centres (Vázquez Maguirre et al., 2018). There are success stories among coffee producers, such as the Union of Indigenous Communities of the Isthmus Region (*Unión de Comunidades Indígenas de la Región del Istmo*, or UCIRI); this cooperative, working along with Frans Vanderhoff, participated in the creation of the Max Havelaar label, and thus became a precursor of the fair-trade movement worldwide (Alvarado, 2009). UCIRI was created in 1983 with the participation of 17 villages; by 2009, there were more than 3,000 coffee growers affiliated, from 52 communities (*ibid.*).

Indigenous social enterprises have demonstrated that they are able to generate social, political, cultural and environmental benefits (PNUD, 2012).

The social objective of these enterprises is to improve the living conditions in their communities (Berkes & Davidson-Hunt, 2009). Such improvement mostly derives from the generation of employment (with better wages, access to benefits, and permanent positions) and from investment made by the enterprise in public goods and infrastructure and in social welfare programmes (*ibid.*). At the regional level, strengthening and improving indigenous communitarian enterprises could help to bring down the migration rates of indigenous populations to the United States and the northern regions of Mexico (Vázquez Maguirre et al., 2018).

Political benefits derive from the enterprise's capacity to secure, restore and preserve the indigenous community's commons, i.e. their land, their natural resources, and their customary social relations—institutions, values and norms rooted in their territories (Berkes & Davidson-Hunt, 2009; Orozco-Quintero & Davidson-Hunt, 2010). There is evidence that the financial and social capital generated by some enterprises has helped to restore a relative social peace in the territories where these enterprises operate, which were previously exposed to violence linked to drugs and/or illegal logging (Bray et al., 2003).

Cultural benefits are associated to the preservation of the indigenous peoples' identity. This is fostered through the provision of training and education in the peoples' native languages. It can be also strengthened by counteracting external pressures that prompt the community to adopt utilitarian market values, such as giving higher value to individual production than to collective production or voting in favour of the privatisation of communal land instead of maintaining collectively the community's territory (Orozco-Quintero & Davidson-Hunt, 2010).

Regarding environmental benefits, there is evidence that well-managed community forests, in which the logging activity is carried out by indigenous social enterprises in a sustainable way, can help to stabilise the forest cover in the community's territory, stop land-use change, and contribute to broader biodiversity protection in the concerned territories (Bray et al., 2003).

5.3.3 Ownership and governance

Indigenous enterprises' ownership is restricted to those who are officially considered as community members, normally by birth, and who also own the commonly held land and its resources. Such ownership thus differs from what can be observed in cooperatives, where membership is not tied to land tenure (Antinori & Bray, 2005).

The governance of indigenous enterprises varies in structure and it is usually complex (Jaffee, 2014). Due to the collective nature of these entities, which is coupled with their inherent function of managing a communal pool of resources, their governance configuration demands high levels of coordination and cooperation, frequently accompanied by high costs (Chapela, 2012). Each particular governance arrangement reflects the community's quest to set up a local socio-economic optimum that goes far beyond achieving profitability or competitiveness in the marketplace and aims primarily to respond to the community's needs (Antinori & Bray, 2005).

Indigenous enterprises' governance can either be "grafted" onto the community's governance framework or be independent from it (Bray et al., 2006). In the first case, all or an important part of the enterprise's decision and control processes occur inside the community's governance bodies, which are appointed by the Mexican Constitution: (1) the general assembly (*asamblea general*), where each registered community member has one vote, and decisions regarding general matters of community interest are taken; (2) the commission of common goods (*comisariado de bienes comunales*), which is in charge of executing the assembly's resolutions and of managing the community's territory and common goods; and (3) the surveillance council (*consejo de vigilancia*), which is in charge of auditing and monitoring the legality of the operations executed. In this type of governance, the community's governance and the enterprise's governance blend together, i.e. decisions regarding forestry activities, distribution of benefits, workloads, wage levels, sales, extraction, processing, etc. are taken at the community level (Antinori & Rausser, 2010). In some cases, in parallel to the traditional governance structure, the community develops specialised bodies (such as a forestry council) to manage the productive activities more efficiently (Antinori & Rausser, 2010). In the second type of governance, i.e. when the enterprise's governance is independent from the community's governance, working groups (*grupos de trabajo*) and individuals (*modo individual*) (Antinori & Rausser, 2010) obtain specific rights to extract and manage limited parts of the community's logging forest. In this type of governance, the general assembly proportionally divides the community's annual authorised logging volume among the working groups and/or individual parcel holders (Antinori & Bray, 2005). Then, each parcel holder (be it an individual or a group) contacts outside buyers and competes to get the best price (Antinori & Rausser, 2010). These mechanisms tend to emerge as an alternative management plan to deal with the dissatisfaction with management of certain groups within the community (*ibid.*).

5.3.4 Challenges, threats and weaknesses

Most logging indigenous enterprises experience, to some degree, problems of corruption, lack of accountability, mismanagement, clandestine forest use, uncontrolled agricultural clearing and inefficient logging methods (Merino, 1996). Tensions between hierarchy and community governance, between accountability and opacity and corruption, and between efficiency and traditional practices are among the most common problems (Antinori & Bray, 2005). Local elites can exert “covert privatisation” of lands. Domination of communal institutions by elites through (violent) intimidation, elections’ manipulation and threats are frequent as well (Klooster, 1999).

This adverse panorama can be better understood by contextualising the current situation of indigenous peoples. In 2015, more than 12 million people (10.1% of the country’s population) considered themselves as indigenous (CDI, 2015). The majority (over 70%) speak at least one of the 68 indigenous languages present in Mexico (*ibid.*). These populations have structurally been placed in conditions of social, economic and political exclusion since colonial times (CONEVAL, 2018; Quijano, 2000); as a result hereof, today, more of 70% of them live in poverty or even in extreme poverty (CONEVAL, 2018). Geographically, the majority of these populations are scattered in small and remote towns with poor communication (CDI, 2015).

Not only have indigenous populations to overcome these challenging conditions; their social enterprises moreover need to operate in harmony with the community’s social structure while simultaneously being competitive in the market and implementing locally designed institutional arrangements regarding management and governance (Antinori & Bray, 2005).

5.4 Non-profit organisations with economic activities

The socio-political trajectory of Mexico from the 1980s onward appears relevant to understand the context of emergence of the so-called “third sector”, which includes, as will be shown, various types of civil-society organisations; it is also important to grasp the causes that may be leading some of these organisations to venture into market mechanisms to support their operations.

5.4.1 Context and origin

The 1980s represented a turning point for the civil society in Mexico. At the beginning of this decade (in 1982), a severe financial crisis led the country to declare itself in default.

Mexico, on the advice of the International Monetary Fund and the US government, then started its transition from a state-centred model of development to one that encouraged the liberalisation of the economy (Alberro, 2010). This transition, which forced the state to reduce its social spending, also fractured the government's strong corporatism¹⁹ that had prevailed in Mexico since the 1930s; this evolution resulted in turn in the emergence and quick multiplication of independent associations launched by civil society and seeking to engage into solidarity-related activities (Verduzco, 2001). From the mid-1980s onward, due to the government's failure to respond adequately to the 8.1-magnitude earthquake that hit the country in 1985, many citizens organised themselves to respond to the tragedy by forming associations; this phenomenon fostered a sense of empowerment in society (Layton & Mossel, 2015). At the end of the decade, the government in power (PRI Party) orchestrated a fraud in the national elections to maintain itself in power, and this triggered the emergence of civil-society organisations in the fields of human rights and democracy (*ibid.*).

During the 1990s, the country started to experiment a slow democratic transition which brought about an increase in overall government tolerance towards the organisation of civil society, and which was followed in turn by an increase in citizens' participation in public life (Verduzco, 2001). This context favoured the institutionalisation of the third sector (*ibid.*). The sector was first referred to as "organisations of promotion, assistance and development"; then, in the following decade, the terms "philanthropy" and "third sector" emerged and gradually started prevailing, as they better embraced the diversity of organisations composing the sector (Girardo & Mochi, 2012; Verduzco, 2001).

In the 2000s, after 70 years of rule by a hegemonic state-party, Mexico experienced for the first time political alternation. The new government developed a new approach to the third sector, unlocking the dialogue with several groups of civil-society organisations which had been pushing for a legal framework during the previous 11 years. As a result of this, in 2003, the Federal Law for the Promotion of Activities Carried Out by Civil-Society Organisations (*Ley Federal de Fomento a las Actividades Realizadas por Organizaciones de la Sociedad Civil*, or LFFAROSC) (Aguilar Valenzuela, 2006) was finally approved.

¹⁹ Corporatism refers here to the co-option and control of the labour, peasant and popular sectors of civil society exercised by the hegemonic political party that governed the country for 70 consecutive years, with the purpose of maintaining political control of the nation and favouring itself in electoral results.

Despite the positive expectations raised by these developments, the third sector continued suffering from the same ills as in the past decades: the scarcity of financial support from the state and insufficient public policies to strengthen it (Natal & Muñoz, 2013).

5.4.2 Social mission and economic activities

The activities carried out by civil-society organisations (CSOs) are plenty and very diverse. For explanatory purposes, in this chapter, CSOs in Mexico will be classified into “non-assistance CSOs” and “assistance CSOs”. The former carries out religious, labour-related, political activities and other types of activity that are predominantly for-profit in nature but do not pursue commercial speculation, and they will not be taken into account in the analysis. The latter, by contrast, do not have a predominantly economic nature but are CSOs purposely created to improve the living conditions of vulnerable or at-risk populations or to pursue environmental causes.²⁰ Only these CSOs (i.e. “assistance CSOs”) will be included in the analysis—and hereafter referred to simply as “CSOs”.

In Mexico, the Federal Registry of Civil-Society Organisations maintains an annual record of the CSOs analysed in this chapter. In 2018, it registered 39,672 CSOs. The main activities of these organisations were: community development (37% of CSOs); promotion of an inclusive society and social cohesion (17%); culture, science and sport (16%); social assistance (15%); promotion of social and citizenship participation (8%); promotion of gender equality (5%); and civil protection (2%) (SEDESOL, 2016). In this regard, it is possible to assert that CSOs are totally aligned with the EMES indicator that states that social enterprises have “an explicit aim to benefit the community” (Defourny and Nyssens 2012). As shown in Table 6.2, CSOs can be created by a group of citizens but also by one citizen; it can thus be considered that CSOs only partially comply with the EMES indicator that states that social enterprises are “initiatives launched by a group of citizens or civil society”. With respect to the indicator that states that social enterprises are characterised by “a limited profit distribution”, CSOs do meet this indicator: indeed, they do not distribute profits, as the law obligates them to reinvest them all into the organisation.

Regarding CSOs’ resource mix, few studies have investigated in detail how Mexican CSOs obtain their income. The latest information available is from Natal and Sanchez

²⁰ There are nineteen activities approved by the Federal Law for the Promotion of Activities Carried Out by Civil-Society Organisations (LFFAROSC).

(2013) who, using data from the Mexican Centre for Philanthropy (*Centro Mexicano para la Filantropía*, or CEMEFI), show that CSOs in Mexico rely predominantly on self-generated streams of income, which represent between 73% and 80% of their total income. The rest comes from three other sources: public funding, that represents between 15 and 20% of CSOs' resources; corporate funding, which represents between 10 and 12%; and societal funding, which accounts for less than 10% (Natal and Sanchez 2013). Self-generated streams of income are composed mostly by fees paid by members and/or affiliates as well as by revenue from the provision of services to the beneficiaries (*ibid.*) Although these activities are not market-based/oriented, they represent together the major monetary source of income for CSOs; consequently, in the long run, CSOs' financial viability is directly linked to their capacity to self-generate resources of this type. This dominant economic and entrepreneurial dimension of Mexican CSOs aligns closely with the first two EMES indicators about the economic dimension of social enterprise (Defourny and Nyssens 2012). Indeed, CSOs in Mexico rely mostly on income from their continuous activity of provision of services to people and not from donations or public funding, which is in line with the EMES indicator stating that social enterprises have “a continuous activity producing goods and/or selling services”. And the financial viability of CSOs directly depends on their capacity to self-generate resources, which is in tune with the EMES indicator about social enterprises assuming “a significant level of economic risk” to achieve financial viability, which ultimately depends on the capacity of their staff (volunteers and paid workers) to secure adequate resources.

Regarding the third EMES indicator about the economic dimension of social enterprise (Defourny and Nyssens 2012), which states that social enterprises should have “a minimum amount of paid work”, data from the Satellite Account of Non-profit Institutions of Mexico (*Cuenta Satélite de las Instituciones sin Fines de Lucro de México*, or CSIFLM) show that, from the total staff (paid workers and volunteers) that worked in CSOs in 2016, 74.1% (1,979,000) were volunteers, hence 25.9% were paid. In this regard, it can thus also be said that CSOs meet this indicator, as they do have paid workers.

The fulfilment of the aforementioned EMES indicators (Defourny and Nyssens 2012) by Mexican CSOs shows that, from the point of view of the economic and social dimensions, CSOs behave in the field very similarly to social enterprises. In order to assert if CSOs fulfil the three dimensions of the EMES indicators (*ibid.*), the governance dimension will be explored in the following Section (3.3).

Aside from CSOs that behave similarly to social enterprises, there are also other cases—though fewer in numbers—in which CSOs realise that their expertise in the provision of services to disadvantaged people has the potential to become a highly valued service in the market, and they decide to engage in market activities as a new way to generate more resources to increase their social impact. The pros and cons of this approach are exposed below, in Section 3.4.

5.4.3 Ownership and governance

As was explained in the previous Section (3.2), “non-assistance CSOs” and “assistance CSOs” coexist in Mexico, but they serve different purposes in society. Within the first group, in addition to those that serve religious, labour-related and political purposes, there are others that serve economic-related not-speculative purposes; since they are for-profit organisations, these initiatives, which are operating under the legal form of general partnerships (*sociedad civil*, or SC), will not be reviewed in this chapter. As for assistance CSOs, as already underlined above, they serve predominantly social or environmental purposes, and therefore, the study of their legal forms and governance mechanisms are of interest for the present chapter. Assistance CSOs (i.e., as previously explained, the CSOs taken into account in our analysis) operate under the civil association (AC) or the private-assistance institution (IAP) legal forms, due to the non-predominantly economic nature of their *raison d’être* (see Table 4.2).

Table 5.2 Legal forms, purpose and governance of CSOs in Mexico

Legal form	Purpose	Governance
Civil association (<i>Asociación Civil</i> , or AC)	Organisation created by a (group of) citizen(s) with a common interest. This interest has a non-lucrative nature. The organisation can generate economic income, but such income must be totally reinvested in the organisation.	Individual or collective administrative board composed of a director or directors. Each board member has one vote; decisions are taken by a majority vote.
Private-assistance institution (<i>Institución de Asistencia Privada</i> , or IAP)	Organisations created by a (group of) citizen(s) with the purpose of providing social assistance to individuals, families or populations that are vulnerable or at risk. The organisation can generate economic income, but such income must be totally reinvested in the organisation.	The founder(s) has/have the right to determine the services and activities of the IAP. IAPs can be managed directly by the founder(s), or by a board of trustees (<i>Patronato</i>), composed of at least 5 persons and appointed by the founder(s). Each trustee has one vote, and decisions in the board of trustees are taken by a majority vote.

Source: Prepared by the author, based on DOF (2012) and GODF (2014).

The legal forms analysed in Table 4.2 reveal that CSOs are aligned to a large extent with two of the EMES indicators about SE governance (Defourny and Nyssens 2012): First, CSOs enjoy a high degree of autonomy. They are created by a group of people on the basis of an autonomous project, and they are governed by these people. Secondly, CSOs' decision-making power is not based on capital ownership, but on the "one board member, one vote" principle. In this regard, the only exception would be those CSOs that are created by one person: indeed, IAPs that are created by one person can be governed by their founder. It can thus be concluded that CSOs in Mexico behave in the field in a way that is very close to the EMES ideal-type of social enterprise.

5.4.5 Challenges, threats and weaknesses

CSOs in Mexico face an environment that is not very favourable to their growth and development. The National Survey on Philanthropy and Civil Society (Layton & Moreno, 2013) revealed that 43% of the participants²¹ did not trust organisations that ask for donations. When asked how they preferred to help/donate to others, 82% of interviewees said that they preferred to donate directly to people in need, and only 10% stated that they preferred to donate through an organisation. These and other results of the survey reveal that the sector does not enjoy the confidence of Mexican society.

Regarding public support, using the metrics from the Johns Hopkins Comparative Non-profit Sector Project (Salamon *et al.* 1999), Layton and Mossel (2015) point out that in Mexico, the share of public funding in CSOs' resources is only half of the average for Latin America, and about one fifth of the average at the global level. Moreover, Mexico's tax system is complex, which requires CSOs to invest a great amount of resources into fulfilling fiscal requirements. From a regulatory perspective, critics underline that much of the legislation dates back to the 19th century and is thus outdated, and that it is shattered among federal and state-level regulatory schemes (*ibid.*).

The CSOs that realise that their expertise could be a highly valued service in the market and could thus potentially generate a new stream of income, with an important leverage effect on their social impact, face a legal dilemma. Indeed, they can either abandon their non-profit legal form and start operating under a for-profit form in order to venture into

²¹ Size of the sample: 1,200 effective interviews. Study population: adult Mexicans with residence in the Mexican territory.

the provision of services for non-vulnerable populations (clients) and use that new stream of income to increase their social impact, with the drawback of losing their legal right to obtain donations from third parties, financial and technical support from the government, and tax deductions. Or they can create a “parallel” for-profit enterprise, which they will use to provide services in the market, while maintaining, through the NPO, their legal rights to receive donations from third parties and support from the government. In this situation, the drawback is linked to the necessity to manage two structures, i.e. to file a double tax return, to support double operating costs, and to hire specialised staff to manage the commercial enterprise.

5.5 Discussion and conclusion

In this chapter, it is argued that, beyond the diversity of terminology and understandings around the social enterprise term, four salient models of social enterprise coexist in Mexico today, namely: market-oriented social businesses, indigenous social enterprises, non-profit organisations with economic activities and social-economy enterprises. As this last model is developed in the following chapter, it is not addressed in the present conclusion.

Institutional backgrounds differ greatly from one model to the other. The communitarian origins of indigenous enterprises, which are rooted in rural and indigenous environments, highly contrast with the more individual origins of market-oriented social businesses, which predominantly emerge within urban environments. The different models also emerged at different times and in different regions of the country. The emergence of the network that supports the market-oriented social business model is recent, and this model’s boom has been observed predominantly in Mexico City and Guadalajara City; by contrast, the first indigenous social enterprises were formed more than 40 years ago, and they are scattered throughout the country in indigenous settlement with forest territories.

Contrasting differences can be also found among the different models in terms of types of governance and social objectives pursued. Indigenous enterprises are mutual-interest organisations, embedded in the communities where they operate and managed by their beneficiaries. They collectively pursue the improvement of the living conditions of their members through an approach that is respectful of their customary social norms. These organisations emerge as a collective response to structural constraints. Market-oriented

social businesses and non-profit organisations with economic activities aim to improve the living conditions of disadvantaged people on very specific aspects, such as access to education, clean water, housing or health services. These organisations are not managed by their beneficiaries but by people with access to more resources and opportunities than the majority of the population and who are aware of the alarming level of socio-economic inequalities in Mexico.

The different models also differ in terms of the extent to which they are “in tune” with the economic order of the country. The nascent market-oriented social business sector—whose organisations are controlled and owned by one person or by a board of directors—seems to fit more easily into the predominant neoliberal economic model of Mexico, which favours international trade openness and the liberalisation of key sectors of the economy. Market-oriented social businesses are increasingly looking for capital investment through financial mechanisms as a way to scale up and grow more rapidly, as traditional start-ups would do but, unlike their private counterparts, some social businesses are experimenting with “social-mission-lock” mechanisms to ensure the continued prevalence of their social mission in the future. The evolution of market-oriented social enterprises towards more start-up-like behaviours may be part of the reason why social enterprises of this type seem to be very appealing to the Mexican millennial generation. Indeed, this model seems legitimate enough to fit the economic order, but also disruptive enough to challenge the traditional forms of addressing social or environmental issues. In this perspective, the question of developing a legal form adapted to their hybrid nature appears as a major challenge.

Indigenous enterprises seem to be the most distant from the predominant economic order, as they actively counteract the external pressure toward adopting utilitarian market values, and they favour democratic decision-making processes within their governance mechanisms. The structural conditions of exclusion in which the indigenous peoples have lived since colonial times seem to be the greatest barrier for their enterprises to fully integrate into the predominant economic order in Mexico. Internal issues such as corruption, lack of accountability, mismanagement, clandestine forest uses, uncontrolled agricultural clearing and inefficient logging methods can also raise doubts about their legitimacy.

As for non-profit organisations with economic activities, the lack of trust on the part of society, the scarcity of financial support from the government, an outdated and scattered

legislative framework and a complex tax system seem to keep these organisations trapped in an institutional limbo, preventing them from expanding their participation in addressing social issues.

By the time this chapter was being written, a new national government had just taken office. After more than 80 years of right-wing governments, Mexico is experiencing for the first time a left-wing government, with a progressive agenda at the national level. Radical changes, with potential impact on these three types of enterprise and their contexts, may be just around the corner.

Chapter 6. Exploring the social innovation approaches of market-oriented social businesses and indigenous social enterprises in Mexico.

Abstract

This chapter explains the SI approaches and dimensions of two types of SEs identified in Mexico named indigenous social enterprises, endemic from Latin-America; and market oriented social businesses, conceptually rooted in the Anglo-American tradition. To do this, the chapter applies the SI conceptual framework developed in Chapter 3 to first, unpack the SE's seven SI dimensions, and then, determine their SI approaches. The seven dimensions of the framework are 1. Focus of the SI, 2. Agency vs structure 3. Economic consonance 4. Knowledge construction and valorisation 5. Type of governance and distribution of power 6. Spatial dimension and 7. Politicising vs depoliticising. The two SI approaches are: radical, which focuses mainly on the collective transformation of social relations to rebalance power disparities; and instrumental, which focuses mainly on generating social value and social impact through new ideas, products, services, or organisational models. The chapter contributes to the SE literature by providing empirical evidence from Mexico, and by revealing that the SI approaches of the two SE understandings examined are in-fact opposing, but not, however through all their dimensions. It concludes by demonstrating that indigenous social enterprises are prominently radical, where-as market oriented social enterprises are prominently instrumental.

6.1 Introduction

This chapter explores the SI approaches of two SE understandings in Mexico, named indigenous social enterprises and market oriented social businesses. This exploration firstly responds the interest that SI has awakened in Mexico in the last decade from supra-national organisations with operations in the country (CEPAL, 2011), consultation bodies of the federal government (FCCyT, 2018); and by the federal government itself (Rivera, 2019), all looking for alternative solutions to pressing problems in the country. Secondly, this exploration responds to a social enterprise rage in Mexico, that in the last decade has gained spaces in the agendas and programmes of some influential sectors. While this growing popularity of the term continues to portray SEs as new alternatives to address social problems, it remains rather unclear how, from a holistic perspective, SEs transform the social reality of those that they aim to help. For these two reasons this chapter explores

the SI approaches and dimensions of the two aforementioned SE understandings in Mexico.

These two SEs understandings were selected deliberately because, as it was shown in Chapter 5, conceptually and contextually each conceive and address social problems from very different standpoints. The consideration of two different and contrasting SE understandings and their contexts (socio-economic, geographical, and demographical conditions in which these two SEs operate) provides a privileged scenario to apply the SI framework presented in Chapter 3 to test its suitability to explain SI approaches of SEs. The study of these SE understandings predicts contrasting results, which creates the perfect opportunity to use the SI framework to unpack and explain opposing SI approaches of SEs. By exploring the SI of SE understandings in the global South, the chapter contributes to the research on SE and SI by providing empirical evidence from urban and indigenous rural regions that have not yet been explored by the SI literature in as much depth as those of the global North. The next two paragraphs explain the contexts and relevance of exploring the SI of SE understandings in Mexico and provide a working definition of these organisations.

Indigenous social enterprises are collective organisations with a land-based identity, which originate from and are embedded in the social structure of indigenous communities. In Mexico, 10.1% of its population, equivalent to 12 million people, are indigenous (CDI, 2015), of which 69.5% and 27.9% live in conditions of poverty and extreme poverty, respectively (CONEVAL, 2019b). Demographically, 50% of this population live in remote rural villages of less than 2,500 inhabitants (CONEVAL, 2018). In order to overcome the structural conditions of social, economic and political exclusion (CONEVAL, 2019b), some of these populations have pursued collective entrepreneurial processes i.e., indigenous social enterprises. Although various scholars such as Peredo and Chrisman (2006) and Orozco-Quintero and Davidson-Hunt (2010) have conceptually and theoretically advanced the comprehension of these organisations in rural indigenous contexts in Latin-America, the study of how its SI approaches contribute to transform the social reality of these populations in Mexico remains rather unexplored with few noticeable exceptions that analyse the role of SI in the empowerment of women (Maguirre et al., 2016), and how SI contributes to filling institutional voids by indigenous SEs (Agostini et al., 2020). This chapter addressed this gap by examining the SI dimensions

of indigenous social enterprises of Mexico. In addition, it compares their SI approaches with those of market oriented social enterprises, whose context is briefly explained below.

Market oriented social enterprises are private enterprises owned and controlled by social entrepreneurs who rely on innovation to create a product or service with the objective of addressing a social issue through a market-based business model. In the last decade in Mexico, a group of actors who encompass top universities, non-for-profit organisations, research networks, and some global banks and practitioners, have brought into the country the concepts of social business, business of impact and social start-ups. These concepts are englobed and referred to in this thesis as market oriented social enterprises. This SE understanding has gained traction in urban areas among young generations, predominately undergraduate and postgraduate students, and young professionals. Market oriented social enterprises emerge mostly from three major cities in Mexico, Mexico City, Guadalajara City and Monterrey City, although their operations are not restricted to urban areas only and include rural regions. The goal of market oriented social enterprises is to address social problems that affect disadvantaged populations in the country. Because this SE understanding resembles the SE canon in the academic literature produced for and by global North contexts (see Figures 2.3 and 2.5 in Chapter 2), conceptually and theoretically, this SE understanding has been analysed in depth from theoretical and conceptual realms by several scholars, amongst whom some of the most renowned contributions are from Battilana and Lee (2014), Doherty et al., (2014) and Di Domenico et al., (2010). Nevertheless, the study of how their SI approaches contribute to transform the social reality in global South contexts, specifically in Mexico, remains rather unexplored. This chapter addressed this gap by examining the SI dimensions of market oriented social enterprises of Mexico. In addition, it compares its SI approaches with those of indigenous social enterprises.

This chapter is structured as follows, Section 6.2. presents the connections between SI and SEs in the literature and draws the rationale behind the SI framework. Section 6.3 introduces the SI framework that is used to analyse both SE understandings. Following that, Section 6.4 presents the methodology. Section 6.5 then presents the results and analysis. Finally, Section 6.6 discusses the results and draws a conclusion.

6.2 Social innovation dichotomy

On the one hand, during the last decade the term “SI” has become more prominent in the agendas of policy makers and it has also received attention in political programmes, predominantly within Europe (Sabato et al., 2015) and North America (Franz et al., 2012). In a context in which social problems have become increasingly complex, and have evolved alongside the withdrawal of welfare policies, SI has been flagged by policy makers in the UK and US (The two most influential countries in the Anglo-American region of the global North) as a new participatory approach in which the boundaries between the community, the markets and the state have to become blurred in order to create new solutions for addressing the major social challenges of today (Jenson, 2015). This posture has been mirrored by academics, such as Phills et al. (2008) and Mulgan et al. (2007), who argue that numerous social and environmental problems can be solved by building connections or relations amongst actors, groups or sectors previously separated (Mulgan et al., 2007) or by blurring existing barriers between sectors (Phills et al., 2008). Advocates of such interpretation of SI rely on the assumption that “wicked” or “intractable” problems, such as global warming or growing income inequality, cannot be addressed using current institutional settings built around the three traditional sectors - private, public and third sector- as these settings have been proven to be incapable of delivering well-being for the many (Nicholls, Simon, et al., 2015a). Over the last decade, the increasing adoption of this discourse by politicians, practitioners and scholars in both the USA and UK seems to be fuelled by the increasing social pressure derived from the financial crisis of 2008 (Bonifacio, 2014). For explanatory purposes, this chapter will agglomerate this SI posture described above under the term “instrumental SI approach”.

On the other hand, there are critics to this ‘instrumental SI approach’ who highlight that this discourse is serving governments to evade a more profound debate that critically questions the current model of development (Bonifacio, 2014). A model of development -political in nature- that has relied on Austrian economics to support the idea that optimum social systems can be achieved by adopting market rationality in every sphere of social activity; a model better known today as Neoliberalism (Fougère et al., 2017). Critics of this model perceive SI differently. Their interpretation of SI is based on the assumption that the social and environmental problems of today derive from an uneven distribution of power in society (Montgomery, 2016), which are a result of the structural arrangements built around the neo-liberal paradigm. These critics highlight the idea that

SI is about changing social relations through new social practices, new forms of participation and/or modifying the existing institutional arrangements (Moulaert et al., 2017). More specifically, they state that SI consist of initiatives that challenge the vertical distribution of power in society and seek to replace this vertical distribution with horizontal alternatives (Montgomery, 2016) through collaborative processes capable of restructuring extant power relations (Ayob et al., 2016). For explanatory purposes, this chapter will agglomerate this SI posture described above under the term “radical SI approach”.

These two different postures illustrate the two most prominent narratives that shape the SI field today. Despite their differences, both narratives depart from an underlying consensus: that SI is and has always been a response to social struggles and environmental problems (Borzaga & Bodini, 2014; Brandsen, 2016; Moulaert et al., 2017; Mulgan, 2012; Murray et al., 2010; Nicholls, Simon, Gabriel, et al., 2015; Noya, 2012; Phills et al., 2008; Pol & Ville, 2009) or in other words, SI emerges from challenging the *status quo*.

As it was highlighted above, SI is not tied to any specific field or sector; SI can be better described as an array of approaches, purposely and primarily conceived, to address social or environmental issues (Moulaert et al., 2017). In the case of SEs in Mexico, it remains unclear which SI approach is used to address social or environmental issues on the ground. This chapter analyses two SE understandings under the lens of the SI conceptual framework developed in Chapter 3. Through this process, this chapter aims to reveal the SI approaches embedded in these two types of SEs in Mexico. This framework and its dimensions are presented in the following Section 6.3.

6.3 Conceptual framework

The conceptual framework for this chapter (Figure 6.1) was developed taking into consideration the two SI postures described above. This conceptual framework places at one side the instrumental SI approach, and at the other the radical SI approach. In the middle, representing the backbone of the framework, the framework breaks down both SI approaches into seven dimensions. Each of these dimensions represent at the same time not only a core element structuring both SI approaches, but also a different interpretation of each dimension by each SI approach. The seven dimensions are: 1. Focus

of the SI, 2. Agency vs Structure, 3. Economic model consonance, 4. Knowledge construction and valorisation, 5. Type of governance and distribution of power, 6. Spatial dimension, and 7. Politicising vs depoliticising. The rationale behind the deconstruction of both SI metanarratives into seven dimensions was to allow for the precise and holistic identification of the dynamics, processes, discourses or actions of SEs in order to identify their consonance with either a radical and/or instrumental SI approach.

Table 6. 1 SI Framework

Radical		SI Dimensions		Instrumental
<p>On processes of transformation of social practices and social relations. The actions, programmes or processes focus predominantly on modifying social relations; their nature is highly political because these aim at rebalancing power relations and altering social hierarchies.</p>	1	<p>Focus of the SI</p> <p>What, within the SE, is regarded as transformative of the social reality i.e. what is the focus of the actions, programmes or processes that aim to address a social problem.</p>	1	<p>On ideas, products, services or organisational models. The actions, programmes or processes are placed on social impacts. Their nature is highly instrumental because these focus on creating products, services or reconfiguring market conventions as a means to generate social value.</p>
<p>Reciprocal-iterative between social agents and institutions. The agency is embodied by a community or a collective which subjected to structures of oppression or to adverse contextual conditions engages in a process of reaction-reflexion to transform their condition through a SE.</p>	2	<p>Agency vs Structure</p> <p>The relevance for the SE of either the agent or the structure/institutions as enablers/disablers for the emergence or development of the actions, processes and solutions that intend to address a social problem.</p>	2	<p>Rational-Individualistic. The agency of a rational individual acting as a champion and driven by its values and attributes enables the SE to disrupt the status quo.</p>
<p>Alternative economies (community economy, social economy, solidarity economy). The actions, programmes or processes of the SE intended to address a social issue are consonant to a great degree with the rationale and principles of alternative economies to Neoliberal capitalism such as the social economy, community economy and/or solidarity economy.</p>	3	<p>Economic model consonance</p> <p>The degree of alignment of the SE economic rationale and its actions, programmes or processes to a specific economic model or economic principles.</p>	3	<p>Market economy. The actions, programmes or processes of the SE that intend to address a social issue are consonant to a great degree with the rationale and principles of Neoliberal capitalism.</p>
<p>Participatory (bottom-up) / From the collective.</p>	4	<p>Knowledge construction and valorisation</p>	4	<p>Propositive (top to bottom) / From experts.</p>

<p>The knowledge within the SE is mainly constructed by a collective or a group of individuals who are all members and owners of the SE and who are also– or at least the majority– directly affected by the social problem that they themselves aim to address.</p>		<p>What are the social processes through which knowledge is constructed within the SE; whom are those that construct it; and which knowledge is regarded as the most valuable?</p>		<p>The knowledge within the SE is mainly constructed by one or a small group of individuals that own and direct the SE but that -at the same time- are not directly affected by the social problem that he/she/they aim(s) to address.</p>
<p>Democratic / Horizontal.</p> <p>The degree of power, control, direction and ownership of any determined member of the SE is proportional to one in relation to the total number of members that integrate the SE, therefore, this usually leads to an equal spread of power among the members of the SE.</p>	5	<p>Type of governance and distribution of power</p> <p>What rationale underpins the structures and dynamics that determine who owns, controls and directs the SE. Even or uneven power distribution between those that own, control and direct the SE and those that work in it. Regarding their actions, programmes or processes to address social problems, to what degree these place the emphasis on empowering the individual vs empowering the collective.</p>	5	<p>Technocratic / Vertical.</p> <p>The degree of power, control, direction and ownership of any determined member of the SE is proportional to the number of shares owned by that person, therefore, this usually leads to the concentration of power in one or a very few people within the SE.</p>
<p>Territory plays a role moulding identities, culture and social relations.</p> <p>The biophysical space of which the SE is part of is an identity element of the SE and its members. It also forms part of the relationships, institutions, norms and values that define the SE, its actions, programmes or processes.</p>	6	<p>Spatial dimension</p> <p>The role of the territory -understood as the biophysical space of which a SE is part of- in defining the social relations, norms and values that guide the SE, their actions, processes and solutions to address a social problem</p>	6	<p>Absent.</p>
<p>Power disparities in social relations.</p> <p>The SE operates its actions, programmes or processes within a socio-political sphere.</p>	7	<p>Politicising vs depoliticising</p> <p>To what degree the actions, processes and solutions to address a social problem politicise/depoliticise spaces, groups and individuals.</p>	7	<p>Failure or absence of market or state provision.</p> <p>The SE operates its actions, programmes or processes within the market sphere.</p>

Source: developed by the author in Chapter 3

6.4 Methodology

In order to investigate the SI approaches and dimensions of the two SE understandings, this chapter relies on a qualitative empirical approach that follows a case study strategy. A total of 45 interviews with an average of 50 mins in length were conducted with 40 participants in Mexico. (Table 4.1 in Chapter 4). Participants included a range of actors related to the SE and SI movements such as, government agencies, academic researchers, teaching divisions, SE practitioners, financial organisations, among others. Apart from

the interviews, other sources of information were gathered including laws, regulations, public reports from the government and umbrella organisations, as well as material provided by the participants. The data collected from the interviews and from the other sources of information was analysed and interpreted through the seven dimensions of the conceptual framework. A more detailed description of the methodology followed in this chapter can be found in Chapter 4.

6.5 Results and analysis

This section presents in an integrated form, the results and subsequent analysis of the data collected in the field. Both results and analysis are interpreted with reference to the SI Framework developed in Chapter 3. These are presented in seven sections (6.7.1 to 6.7.7), each corresponding to one of the seven SI dimensions of the framework. Each section succinctly defines the aim and rationale of the dimension, which is then followed by a short explanation of the two SI perspectives of each dimension. Each section also integrates a table that further presents quotations from the data collected in the field showing connections to each dimension. Finally, each section presents an analysis of the data collected in the field against the SI framework (Fig. 6.1) and peer reviewed literature on SE and SI.

6.5.1 Dimension 1: Focus of social innovation

This dimension aims to disclose what each of the different conceptualisations of SE regard as transformative of social reality. This dimension presents two SI perspectives: one, that focuses on outcomes - that is part of the instrumental SI approach - in which what is regarded as transformative of social reality are the social outcomes generated by the SE; and the other, that focuses on processes – that is part of the radical SI approach - in which what is regarded as transformative of social reality are the processes of transformation of the social relations derived from, or occurring through the SE.

The quotes presented in the radical column of Table 6.2 show four examples, three of which are from two participants, SE-Yomol and AR-UdeM. Both currently collaborate in and have done research on the indigenous enterprises *Yomol A'tel* and *Grupo Ixtlán* respectively, which are both emblematic indigenous enterprises of the South-East and central regions of Mexico. After working for several years in various areas of the SE, participant SE-Yomol mentions that the SI emerging from *Yomol A'tel* resembles the

transformative social innovation approach of the TRANSIT project of Avelino et al. (2019). TRANSIT conceives SI as the process of changes in social relations that challenge, alter, or replace dominant institutions and structures (Haxeltine et al., 2017). SE-Yomol argues that the resemblance to the TRANSIT project derives from the fact that in indigenous SEs the drive for change comes from the bottom of the bottom and not from the top.

Table 6.2 Quotations from the data collected in the field showing connections to the dimension 1 of the SI Framework

Participant	Radical Quotation	Dimension 1 Focus of the Social Innovation	Instrumental Quotation	Participant
SE-Yomol	"In broad terms, our ultimate goal is to rehumanise the value chains in which we participate. It involves advancing in strategies of participation of all the people involved, producers, workers, investors in the management, in the results and in the capital of the enterprise "	What, within the SE, is regarded as transformative of the social reality i.e., what is the focus of the actions, programmes or processes that aim to address a social problem.	"In other words, SI for us is to generate value . And what is value? that is difficult, but it is related to you generating value for your user, for you as a company, for society in general and for all your stake holders. So we use the innovation methodology of Design thinking, from the IDEO agency."	AD-CEDE
GOV-FCCyT	"Social innovation only occurs when society empowers itself and when society participates , thus its social conditions improve."		"Well, look, SI is finding new ways to solve problems . Many times innovation comes from using existing resources in a way that had not been used. So I think SI takes this definition into solving social problems. I do not believe that SI has to have an important technological component, I believe that in many cases it can, but rather the most successful social innovations have been able to accommodate elements that already exist to serve as solutions , to address problems that have not been solved."	ACC-DisTV
AR-UdeM1	"This SI aimed at increasing the standard of living of the beneficiaries. The SE, apart from complying with all the legal benefits, they offered one loan up to a thousand dollars to any employee that needed it without asking what it was going to be used for. More or less half of the employees used it for festivities, and the other half used it to carry out productive projects . And here is the key of the SI mechanism of that enterprise. Financially, the enterprise was losing money because it did not charge an interest and because it could only reduce up to 25-30% of the monthly salary of the worker to allocate it to the payment of that loan. The workers took a long time to pay them back. But the benefit was seen in the transformation of the community because they took those 1000 dollars and started a laundry, a restaurant, an internet cafe, a dress or clothing store in the same community, thus they began to create jobs in the community . This was the main objective of the mechanism.		"SI understood as business techniques, I will refer to it as technology, soft technology. With soft technology I mean methodology, new or intersections of other areas capable of creating value to [address] the social, environmental or cultural issues. That is what I mean by social innovation."	ACC-IncSoc
SE-Yomol	"It can be seen in the structures and reinvestment schemes that had been created with what the companies generate , for example, one of the projects that was created by the same workers was a microfinance company where many of the companies' profits have been poured into. This makes it possible for workers to have access to loans to enable productive projects in the communities and that unlike social entrepreneurship, it is not a microfinance that is born from the top down, but is born together with the producers ."		"We use the SI concept of Stanford, from the business school of Stanford. That is a novel solution to a social problem that is more efficient, more effective, fairer, more sustainable than the already existing solutions, and that it mainly distributes value to the public rather than to private hands . Therefore, SI encompass two subjects, takes the object of the innovation, that is a novel solution that results more efficient, effective, etc.; but also takes the distribution of value, that is shared to the public rather than private."	GOV-SICTJal
			"For SE-ProTrash SI means finding a problem in society and turning it into an opportunity both for business and for improving people's conditions. it is the part of seeing social problems as opportunities."	SE-ProTrash

Source: created by the author

SE-Yomol also explicitly demarcates the difference between the SI pursued by indigenous enterprises and other SI approaches much more popular in the country, mentioning the social entrepreneurship as the most well-known today. In the participant's view, in that more popular approach the problems seem to be addressed by a hero following a trickle-down effect logic, which is the opposite of what occurs in an indigenous SE. Similarly, after spending months doing research in *Grupo Ixtlán*, AR-UdeM mentions that the SI of indigenous social enterprises is characterised by being intangible, multiform, and occurring within the day-to-day dynamics of the organisation, specifying that this SI is found mainly in the participatory mechanisms that the enterprise uses to govern itself and on those that allow it to function. In this regard, the description of AR-UdeM aligns to the SI-SE connection of Laville et al., (2007) on the participatory structures rooted in the community. The quotes presented in the radical column of Table 6.2 show that in indigenous SEs the focus of SI is more on social processes rather than on social outcomes, particularly on processes that lead to new combinations of social practices created through collective mechanisms. This type of SI is regarded as radical by Bouchard (2012), MacCallum(2009), Neumeier (2012) and van der Have and Rubalcaba (2016).

The quotes presented in the instrumental column of Table 6.2 show five examples of actors that represent government, academic divisions of higher education, SE incubators and SEs. Among these ACC-DisTV stands out. An influential actor in Mexico that has been promoting and communicating social entrepreneurship through digital channels for several years in the country, this actor is regarded as highly influential in the "SE ecosystem" by other participants and is seen as a social enterprise opinion leader in Mexico. The quoted abstract of the interview shows how the actor's SI understanding resembles a Schumpeterian SI approach by putting emphasis on the recombination of elements that already exist. Schumpeterian SI approaches conceive entrepreneurs as vehicles that use innovation as a tool to create social value through new combinations of goods, services and organisational forms (Dees & Anderson, 2006a). From the quoted abstracts of the other participants, it is observable an emphasis is put on value creation. Among this, the SI understanding of GOV-SICTJal, a representative of the ministry of innovation and technology of Jalisco State (of which Guadalajara City is the capital), shows a direct resemblance to the SI proposition of Phills et al., (2008) which beyond value generation also highlights the importance of an increase of effectiveness and efficiency in SI.

“A novel solution to a social problem that is more effective, efficient, sustainable, or just than existing solutions and for which the value created accrues primarily to society as a whole rather than private individuals. “

Phills et al., (2008) as shown in Nicholls, Simon, et al., (2015b)

The SI understandings of the participants quoted align with the instrumental SI approach of Phills et al. (2008) who constructs the SI definition from a business perspective, focusing strongly on the societal value created by the innovation (Ayob et al., 2016). The results inform that actors practicing or promoting this type of SEs in Mexico reflect this SI approach by implementing solutions that focus primarily on generating tangible outcomes i.e. measurable social value (Bonifacio, 2014). The measurability of their outcomes is of key importance to these SEs, as this is what allows them to gain access to financial mechanisms of investment, or to acceleration programmes which ask for impact metrics– this topic will be addressed in more depth further down in the section economic consonance.

6.5.2 Dimension 2: Agency vs structure

This dimension aims to disclose the relative weight that the different conceptualisations of SE assign to the agent, and to the structure as the enablers and constrainers of the SE, to break the dominant institutional logic to which they are subjected to i.e. to generate social innovation. This dimension presents two SI perspectives: one, in which the agent is embodied by a rational individual that, acting as a champion and driven by its values and attributes (Cajaiba-Santana, 2014) enables the SE to disrupt the status quo - part of the instrumental SI approach -; and the other, in which the agent is embodied by a community or a collective, which subjected to structures of oppression or to adverse contextual conditions engages in a process of reaction-reflexion to transform its condition through a SE – this is part of the radical SI approach -.

The radical column of Table 6.3 shows two quotations from the participants SE-Yomol and AR-UdeM. Both succinctly highlight a dominant institution that shaped the trade practices of the coffee producing communities before an SE was set up. This institution is named by the participants as the *coyote* (the fixer). The *coyote* or *coyotaje* (the trade practices of the fixer), is a trade practice carried out by a network of local intermediaries that control the trade in indigenous coffee production zones. Deceitful practices of negotiation are used by the *coyote* to take advantage of the null bargaining power of micro producers, usually impoverished families, to buy their coffee from them at very low prices. By doing this, the *coyote* captures a

higher stake of the value of the coffee in the coffee value chain. The coyote will then sell the coffee to a large company for its processing, usually a corporation. Both quotations succinctly reflect the weight that the local institutional arrangements played in producing the new socio-economic system, in this case the Grupo Ixtlán cooperative and the microfinance sister company of *Yomol A'tel* social enterprise. *In this case*, the quotations presented in the radical column of Table 6.3 show that in indigenous SEs the structures of oppression lead the community members to engage in a process of reflexion-reaction in an effort to transform their condition. Although the outcome of the creation of the SE and the microcredit cooperative gave the producers a stronger negotiation leverage and the possibility to end their financial obligations with the *coyote*, the SI in this case is not the outcome, but the transformation of the social relations between the producers responding to an oppressive structure i.e., the *coyote*. This type of SI is regarded as radical by Bouchard (2012), MacCallum(2009), Neumeier (2012) and van der Have and Rubalcaba (2016).

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Table 6.3 Quotations from the data collected in the field showing connections to the dimension 2 of the SI Framework

Participant	Radical Quotation	Dimension 2 Agency vs Structure	Instrumental Quotation	Participant
AR-UdeM1	"The coffee producers had their <i>parcela</i> (little piece of land) and the <i>coyote (fixer)</i> used to arrive to buy them their coffee at a very low price, so they set up a cooperative to try to solve this problem."	The relevance for the SE of either the agent or the structure/institutions as enablers/disablers for the emergence or development of the actions, processes and solutions that intend to address a social problem.	"When you think about who will be able to do more with a small resource, it could be that a social entrepreneur with a strong ambition to grow could do more. What we pay most attention to is to the person and that is where we realise the true intention of the entrepreneur. If his/her passion in the end is really to solve the problem or if he/she simply found a great model of doing business"	NW-Ashoka1
SE-Yomol	"One of the projects that came to be paramount for the community was the setting up of the microfinance . It was initially created by pouring in profits of the sister-companies. The microfinance makes it possible for workers to have access to credits to enable small scale productive projects within the communities, and that unlike social entrepreneurship, this microfinance was born from the bottom up, it was born together with the producers. It was set up derived from the reflections of the workers that said " we already managed to have a fair coffee price, which is much higher than the one that the <i>coyote (fixer)</i> use to pay; what are we spending it on?" And the answers were, I am paying back a debt to the <i>coyote (fixer)</i>, which is 110% per year! so we all agree on doing something about it. What do we do? Well, we are doing our own microfinance. And the producers created their own board of directors where they make their decisions."		" social entrepreneurship is an entrepreneur who identifies a problem or a challenge and from there seeks to generate solutions. the social entrepreneur is one of many who contribute to social innovation."	GOV-FCCyT
			" What we do is to find the best individuals and bring them here. That is why we find incredible [social] entrepreneurs that have a set of values that we admire, and at the same time it is also why we find mentors that fulfil these characteristics of being admirable; not only because they have extraordinary achievements in the market but because their quality as humans and their vision of a better world is aligned with what we believe."	ACC-InstIrr

Source: created by the author

Although the outcome of the creation of the SE and the microcredit cooperative gave the producers a stronger negotiation leverage and the possibility to end their financial obligations with the *coyote*, the SI in this case is not the outcome, but the transformation of the social relations between the producers responding to an oppressive structure i.e., the *coyote*. This type of SI is regarded as radical by Bouchard (2012), MacCallum(2009), Neumeier (2012) and van der Have and Rubalcaba (2016).

The instrumental column of Table 6.3 shows three quotations from the participants NW-Ashoka1, GOV-FCCyT and ACC-InstIrr. The quote from NW-Ashoka1 shows that it is emphatic to this individualistic agency dimension where the role of the individual or of the small team is seen as being the most important source for creating social change through a market-oriented SE. This type of SE positions the entrepreneur (or entrepreneurs) in the centre, as the main and most important agent(s) for social change, which is a key characteristic of the instrumental SI approach (Mulgan et al., 2007; Mumford, 2002). This individualistic agency perspective portrays the capabilities, values and attributes of individual agents as decisive for SI to occur (Cajaiba-Santana, 2014; van der Have & Rubalcaba, 2016).

6.5.3 Dimension 3: Economic model consonance

The third dimension of the framework labelled “economic model consonance” aims to disclose the closeness or the level of alignment between the economic principles that ground the different SE conceptualisations and the rationales and principles that underpin today’s dominant economic logic of neoclassical economics. This dimension presents two SI perspectives: one, in which the economic principles of the SE conceptualisations align closely with the principles of the market economy; and the other, in which the economic principles of the SE conceptualisations break away from the principles of the market economy and align with the principles of other types of economies such as the social economy, the community economy or the solidarity economy.

Table 6. 4 Quotations from the data collected in the field showing connections to dimension 3 of the SI Framework

Participant	Radical Quotation	Dimension 3 Economic model consonance	Instrumental Quotation	Participant
SE-Yomol	<p>"It has to be understood that two different rhythms exist. The local rhythm of the communities based on traditions and culture, and the rhythm of the global market that demands timing, quality and shape. Both are rhythms that are naturally incompatible, therefore, in Yomol A'tel we have created structures at organizational, fiscal and legal levels that allow us to address both rhythms, preventing that the rhythm of the global market overtakes that of the local tradition and culture."</p>	<p>The degree of alignment of the SE economic rationale and its actions, programmes or processes to a specific economic model or economic principles.</p>	<p>"And what Sistema B does, and the reason why we work every day is to generate a community of companies that recognize their ability to use the force of the market to join in the solution of social and environmental problems."</p>	NW-Bcorps
	<p>"In Mexico, in the communities where we have the most social economy, it is fundamentally in indigenous territories. Here the social economy co-exists within the principles, values and forms of community living."</p>		<p>"We have, as an example, a programme financed by Citibanamex that focuses on renewable energy entrepreneurs. Just now is going to be launched... the second generation just finished and the third is going to be launched. [It focuses] only on entrepreneurs that are working with renewable energy. We have another programme that is financed by BBVA named "Momentum". This is the largest, it is for 100 Mexican entrepreneurs with activities that integrate social and environmental impact models."</p>	ACC-NV
GOV-INAES	<p>"The main value of the social economy versus the capital economy is that the center of everything is the human being and not the capital. The human being and his needs: generation of employment, income, but not with the sole idea of surplus value, but rather with the idea of satisfying the basic needs of the human being its family, this is a very important point."</p> <p>"And in relation to the generation of wealth. I think there is a lot of confusion here. Many people think that because they are social enterprises they should not generate wealth. They do have to generate wealth and they also have to be competitive in the markets and their products must be innovative, yes. The issue here is under what principles this wealth is generated and under what logic and to whom the benefits generated by the company are distributed."</p>		<p>"Ashoka is a component of selecting social entrepreneurs with business models. Ashoka is in charge of searching throughout Latin-America for early stage entrepreneurs. New Ventures takes care of those who are in a little more advanced stages to run an acceleration program. Every year we have chosen 10 very very outstanding entrepreneurs from Latin-America with strong business models, and who are already in the stage of wanting to grow and therefore looking for capital."</p> <p>"No Mexican investor has given us the facilities or tools that international investors have given us. Internationally for us it was, I can't tell you how easy because we were looking for a while, but it was less difficult to achieve, and the terms and conditions of an investment abroad to an investment in Mexico are completely different."</p>	NW-Ashoka1
				SE-ProTrash

Source: created by the author

This type of SE is consonant to the market economy in various aspects, such as: 1) in the mechanisms they use to raise capital, 2) in the type of partnerships and the partners they engage with when aiming to address social or environmental causes, and 3) in the type of financial instruments they use to deliver social solutions. Therefore, their SI approach is regarded as instrumental. Instrumental SI is characterised by being akin to neoclassical economics (Fougère et al., 2017), consonant to market mechanisms (Pol & Ville, 2009) and sympathetic to management and economic fields (Ayob et al., 2016).

Influential actors supporting this type of SE such as Socialab, are prone to work in partnership with large corporations, such as Walmart. For seven years Socialab and Walmart in Mexico have launched, in partnership, the Sustainable Social Innovation Award (Disruptivo, 2019). This award aims to promote the sustainable development of the country in the retail industry (Walmart, 2019). In Mexico, Walmart represents the embodiment of the purest neoliberal market practices (Alvarado, 2009). Their instrumental SI is reflected in the SEs and the socio-environmental solutions selected in previous years as winners of the contest (Walmart, 2019). For instance, there is Aselus, a small SE that provides solar energy systems to rural communities (Disruptivo, 2018); and Switch-of, a small enterprise that developed a small device to save electricity when appliances are not in use (Walmart, 2019). The alignment of the business strategy of Walmart with that of the SE partners such as Socialab, and with the types of solutions proposed by contest winners reflects their instrumental SI approach.

Another aspect that unveils the affinity of this type of SE with an instrumental SI approach is the participation of some of their support actors in the Alliance for the Impact Investment in Mexico (AIIMx - *Alianza por la Inversión de Impacto en México*). Actors such as New Ventures and UDEM, along with others and large corporations such as CitiBamanex and Ernst & Young supported the creation in 2015-and currently form part- of the AIIMx (AIIMx, 2018). AIIMx is also member of the Global Steering Group for Impact Investment, a group created in 2015 by countries of the G8 (AIIMx, 2018). Instruments of impact investment such as the Social Impact Bonds (SIB) are financial mechanisms that attract private investment into highly complex social issues by paying a market rate of return if predefined outcome targets are met (Warner, 2013). Impact investment is considered by AIIMX as an SI phenomenon (AIIMx, 2018). These mechanisms of impact investment are a type of instrumental SI due to the primacy

that is always given to the outcomes, as these represent the results against which the viability of the fund will be measured (McHugh et al., 2013).

AIIMx is also linked with the Latin-American Impact Investing Forum, an event organised annually by New Ventures in Merida City in Mexico. Many of this type of SE participate in this event, along with other actors such as traditional investment funds, individual investors, social entrepreneurs, large corporations, business media, foundations, among other actors. Amongst the programmes that New Ventures is developing at the moment, and which also reflect the closeness of this type of SE with an instrumental SI, is their pilot programme “Investor Learning Journey”. Through this programme, New Ventures brings together for three days traditional investors, SE accelerators and SEs to integrate a trial of an investment committee, with the aim of raising awareness and persuading traditional investors to invest in SEs of this type.

Another characteristic that links this type of SE with an instrumental SI approach is the type of requirements that they have to fulfil in order to participate in acceleration programmes sponsored by large banks such as BBVA or Citibanamex. With regards to the BBVA program, “Momentum”, SEs aiming to participate have to 1) be scalable, 2) be able to combine a high social impact with a sustainable business model, and 3) have at least one employee and two years of operation. Their social impact is measured using the Global Impact Investing Network (Momentum, 2019).

The economic consonance of indigenous SEs is complex, as they have to design structures capable of balancing the tensions emerging from trading their commodities in the market - sometimes global markets- while operating the enterprise according to the interests, traditions and practices of the community. In this case, the economic consonance of indigenous SEs - trading in the market economy- would be with both economies: with the communitarian local economy and the global market economy.

6.5.4 Dimension 4: Knowledge construction and valorisation

This dimension aims to disclose the processes through which knowledge is constructed within the SE, who exactly constructs it, and what knowledge is regarded as the most valuable. This dimension presents two SI perspectives: one in which the knowledge within the SE

conceptualisation is mainly constructed by one or a small group of individuals that own and direct the SE, but that are not directly affected by the social problem aimed to be addressed – this is part of the instrumental SI Approach –. In the other perspective, the knowledge within the SE conceptualisation is mainly constructed by a collective or a group of individuals who are all members and owners of the SE and who are also—at least the majority of them –directly affected by the social problem that they aim to address – this is part of the radical SI Approach –.

The knowledge construction of these SEs is regarded as *propositive*, as it is generated in a top-down process. Therefore, these SEs are aligned to an instrumental SI approach. Their solutions -in the form of products, services, or business models- which aim to address a social or an environmental issue- are the product of a design process. The central figures in this process are the social entrepreneur(s) and experts on the topic. Support organisations encourage social entrepreneurs and SEs to follow and use tools and methodologies to create, test and refine their solutions before, during and after implementing them on the ground. The primacy of relying on experts and individual figures or small teams to construct knowledge and solutions to address complex social problems, inadvertently -or not- leaves out from the knowledge construction process the knowledge stored in the communities or groups affected. Although in many cases SEs are encouraged to include, as stakeholders, some members of the communities affected, these members participate just as providers of information within this type of design process, and do not really act as co-designers. These types of knowledge construction are regarded as instrumental as they leave out any possibility for political dissent which is characteristic of the more inclusive and participatory processes of knowledge construction (Montgomery, 2016). Among the methodologies used by this type of SEs are “design thinking”, “critical thinking”, “prototype thinking” and “social canvas”. These methodologies are regarded as instrumental as they were originally created to address issues of industrial design and management, and they were later adapted to address social issues, and therefore, they prioritise practicality, efficiency and rapid prototyping (Brown & Wyatt, 2010).

It is also common for accelerators and incubators supporting these SEs to collaborate with agencies, think tanks or experts from the USA such as the agency *Verynice*, or the expert *Tom Chim*, regarded as experts in prototype thinking and former collaborators of Google X division. These type of agencies and experts advocate for an instrumental SI, as their focus and knowledge relies on practicality, efficiency and impact.

Table 6. 5 Quotations from the data collected in the field showing connections to dimension 4 of the SI Framework

Participant	Radical Quotation	Dimension 4 Knowledge construction and valorisation	Instrumental Quotation	Participant
SE-Yomol	<p>“We have been moving forward in a process of professionalisation. What started as a grassroots response from the communities, today it has become a professionalised grassroots response with complementary capabilities. These last capabilities come from graduate students that do volunteering and later enrol into the organisation, university departments that conduct consultancy on specific topics, and through the community itself that contribute with a circular vision that integrates the whole entrepreneurial process, which otherwise would be absorbed by the rhythm of the market.”</p>	<p>What are the social processes through which knowledge is constructed within the SE; whom are those that construct it; and which knowledge is regarded as the most valuable?</p>	<p>"I studied a bachelors and a master's degree in the United States and lived in many countries. In all countries I did different types of social impact orjects from different points of view. I worked with multilaterals such as the International Development Bank, the World Bank, I worked with the government, I worked with private companies, I worked with foundations, and all these experiences led me to understand what are the pros and cons of different development models and from there I decided to do my master's degree in public administration and social development. It was during that master's degree that I developed the PIXSA model, and the PIXSA model is precisely, well, yes, it is a product, a result of all the experiences I had had."</p>	SE-Pixa
GOV-FCCyT	<p>"Social innovation is generated from the sum of knowledge. Before it was believed that only knowledge was in the universities and that people who did not have an academic training did not know, and the reality is that people know many things. What you have to do is incorporate their knowledge, enrich that knowledge with broader conditions for its development. You have to start from what people already do."</p>		<p>"How we change our model has always been with pilots in communities and through listening to the answers that people give us, which are the users, they are the ones who have the true answers. they are those who live the problem and those who live in that situation."</p>	SE-ProTrash

Source: created by the author

Accelerators such as the Unreasonable Institute (*Instituto Irrazonable*) have developed several specialised acceleration schemes for SEs of this type, mentors and social enterprises are hosted in the same building during one, two or three weeks. During that time, they work together to scale their SEs. The process of knowledge construction indicates that the knowledge created between the experts and the entrepreneurial individuals or small teams is regarded as the most valuable for the SE. In the SI framework, the knowledge from experts is regarded as instrumental, and the knowledge emerging from collective and participatory processes is regarded as radical; therefore, this type of SEs is considered to be aligned to an instrumental SI approach.

For emblematic indigenous SEs such as Yomol A'tel, Tosepan Titataniske or Grupo Ixtlán, the development of structures capable of reaching an equilibrium between the market and the customary social relations of the community has been the product of the combination of various knowledges. Due to the conditions of exclusion under which indigenous communities have lived for decades, their populations face pressing limitations on access to basic services such as health, clean water, electricity and education (CDI, 2015). Unsurprisingly, these conditions pose limitations on individuals and on the community as a whole regarding the acquisition of sufficient knowledge on management, agrotechnical aspects, law and regulations, international trade, among many other aspects involved in sustaining in the long run a complex organisation such as an SE. Because of these limitations, long-established indigenous SEs have found it helpful to combine the knowledge of the community with that of outside experts. These SEs frequently collaborate with universities, third sector organisations, private consultancies, and researchers. In this regard, indigenous SEs integrate bottom up and top to bottom knowledges to 1) overcome intrinsic limitations regarding technical knowledge and 2) to maintain the customary social relations of their communities, and therefore make use of both types of SI.

The integration of indigenous and non-indigenous knowledges within indigenous SEs, while at the same time maintaining the primacy of improving the living conditions for the community members indicates that indigenous SEs value both types of knowledges. Therefore, the SI of indigenous SE is mixed. It is important to highlight that regardless of the origin of the knowledge, strategic decisions are taken through participatory mechanisms. This topic will be addressed in more detail in the section below.

6.5.5 Dimension 5: Type of governance and distribution of power

This dimension aims to disclose the rationales that underpin the structures and dynamics that determine who owns, controls and directs the SE. SI is associated to the governance structures of SEs (Tortia et al., 2020) in that the former determine the power distribution within the later. This connection is made under the premise that the power structures within an organisation limit and/or enable certain actors or groups to participate in the decision-making spaces-moments of the SE, and therefore limit and/or enable their influence in the processes of transformation of their social reality through the operation of the organisation, which is, ultimately, SI.

This dimension presents two SI perspectives. One, emphasised in radical SI approaches (Gibson-Graham, 2003; Moulaert et al., 2017) that argues that horizontal structures of power distribution within organisations, such as social enterprises - i.e., democratic, participatory, and inclusive mechanisms of deliberation - empower disenfranchised subjects and groups in a collective manner which allows them to transform their social reality in their own terms. On the other hand, the instrumental SI approach emphasises, although not explicitly enunciated, governance structures and mechanisms that favour efficiency in the delivery of social value (Montgomery, 2016). In this case, the efficiency sought in the delivery of social value is translated in the formation of streamlined decision-making processes that avoid dissonances and opposition within the moments/spaces of deliberation. Because these governance arrangements resemble normative governance structures of conventional commercial enterprises, these governance structures are regarded as normal in the SE canon.

From a radical SI approach, the transformation of social reality of collective power distribution and governance mechanisms are seen from different standpoints when it comes to influence the SI capacity of SEs. From an instrumental perspective, power distribution within SEs is not contended as a determinant for SI in a SE. Legitimacy to speak, be listened to and taken into consideration within the deliberation processes to re-structure social relations. Plurality of opinions that come from different motivations, ownership of the resources of the company. The new social arrangements will then have the possibility to challenge institutional arrangements that posed a burden to the groups that were previously disenfranchised.

Table 6.6 Quotations from the data collected in the field showing connections to dimension 5 of the SI Framework

Participant	Radical Quotation	Dimension 5 Type of governance and distribution of power	Instrumental Quotation	Participant
AR-UdeM1	<p>"The board of directors of the cluster of social enterprises are elected democratically, but the managers in each of these social enterprises are chosen in a traditional way, by a recruitment mechanism based on criteria for the roles. So, the CEOs of each of the social enterprises, the general managers, were chosen through democratic elections. But the managers, or assistant managers, follow a process, let's say, traditional management practice. So, I classified this mechanism as a social innovation since the head is democratically elected. Those are mechanisms that I classify as social innovation because they give the company viability."</p>	<p>What rationale underpins the structures and dynamics that determine who owns, controls and directs the SE. Even or uneven power distribution between those that own, control and direct the SE and those that work in it. Regarding their actions, programmes or processes to address social problems, to what degree these place the emphasis on empowering the individual vs empowering the collective.</p>	<p>"all B cors shield their purpose to bring it to the heart of the company in the incorporation act. In the articles of the incorporation act it is stated that all decisions will always consider not only the interests of the shareholders, but also those of the the workers, the society, and the environment."</p>	NW-Bcorps
SE-Yomol	<p>"We have four different decision-making "spaces". The first one is where we define "the dream" we pursue as Yomol A'tel. This is defined in an assembly and a congress that takes place every three years in Chiapas following an indigenous Tzeltal structure. Almost everyone that collaborates in the SE participates. It is a 24-hour fasting ceremony around a Mayan shrine where a candle is lighted up every four hours while we all reflect on each of the strategic topics for the SE. That is a purely indigenous structure that lays the base to define the route of progress of Yomol A'tel. Three other "spaces" compose the rest of the strategic decision-making spaces. One is the roundtable of the cooperative [...] The other is an administrative advisory body [...] And a last one, which we are still consolidating, is a roundtable of workers."</p>		<p>"We incorporated the company first in the United States as a B-corp that is a system totally focused on a social enterprise. But here in Mexico we established ourselves as a SAPI (Investment Promotion Corporation), which was the most flexible and easy way to get investment from investors, makes these transactions much more flexible that a normal corporation legal figure in Mexico would allow you. The SAPI was an instrument that worked for us for what we planned to do, get investors and make changes in capital and so on."</p>	SE-ProTrash

Source: created by the author

The governance mechanisms of these types of SEs are very similar to traditional private start-ups, with the difference that SEs have certain mission-lock mechanisms to secure the social purpose of the organisation in the long run²². This means that the governance structures, decisions, and risks in these types of SEs are designed, taken and managed by the owners, who are usually the social entrepreneurs, or the board of directors of the organisation if the SE is partially owned by external impact-investors. Within the SI framework, this type of governance is regarded as technocratic due to the resemblance of how commercial start-ups are governed i.e. in consonance to a neoliberal rationale (Montgomery, 2016). The neoliberal rationale argues that because of the expertise coming from individuals with professional credentials and specialised knowledge on specific topics (the technocrats), these are the most suitable members for decision-making within a social structure, in this case, within a social enterprise (Montgomery, 2016).

Under a technocratic governance, the power distribution of these types of SEs is vertical and therefore in this dimension their SI is instrumental. A vertical power distribution in an SE is identifiable when those groups or populations that aim to be socially benefited by the SE are not the same as those in control of it. This statement can be better understood by identifying the two types of decision-making-power configurations within SEs. The identification of these configurations was originally a contribution made by Gui (1991) explaining the economic rationale of the third sector, which was later adapted by Defourny and Nyssens (2016) to explain SEs. Under this rationale (Defourny & Nyssens, 2016; Gui, 1991) SEs are composed of two groups of stakeholders. One group, named the dominant, is formed by those stakeholders who have the decision-making power and who decide the allocation of the social benefits generated by the organisation. The other group, named the beneficiary, is composed by those stakeholders who receive or are allocated the social benefits of the SE. Among market-oriented SEs, the dominant group is different from the beneficiary group; among social economy enterprises, the dominant group is also the beneficiary group. Therefore, among market-oriented SEs the power distribution between dominant and beneficiary groups is vertical and not horizontal.

Market-oriented SEs can break this logic through financial and governance mechanisms that allow them to shift from a vertical to a horizontal structure of power distribution. Advised by

²² The governance mechanisms of these SEs are analysed in more depth in Chapter 4.

SVX, the SE Grupo Paisano has put in place a financial mechanism which will gradually transfer, in a span of ten years, the property and control of the SE to the peasant landowners. This financial mechanism, named “structured exit” (*salida estructurada*), allows the landowners to gradually acquire -buy- stocks of the company from the investors. According to SVX, these mechanisms allow the landowners to gradually develop the skills to manage the company while the company keeps growing, and to the investors to sell their company stocks at a higher price while transferring the property of it to the owners of the land. However, it should be noted that this is the only example the researcher observed of future power transfer among this type of SEs.

The governance mechanisms of indigenous SEs are characterised by being collective and participatory. These mechanisms are unique for each SE as these are designed in agreement with the beliefs, traditions, conditions and needs of each indigenous community. These governance mechanisms are essential within the processes of knowledge construction. Participants supporting indigenous SEs argue that the combination of external and communitarian knowledge for the collective benefit of the community is only possible due to the governance mechanisms in place. Any external knowledge (technical proposal, improvement, change in strategy) has to pass and be approved through these governance mechanisms in order to be implemented. These decision-making mechanisms are composed of indigenous and non-indigenous structures. The conditions of exclusion and marginalisation discussed above also pose limitations on the governance of these SEs. These limitations are noticeable in the rationale used by SE members when taking strategic decisions through participatory processes. The conditions of poverty in these communities are in some cases so extreme that members are not used to thinking in the medium or long term because their day-to-day life focuses on solving immediate problems only. A dialogue between communitarian leaders, external advisors and the members of the SE has been chosen as the most appropriate tool to overcome these short-term thinking challenges.

Under a democratic governance, the distribution of power in indigenous SEs is horizontal. Using the decision-making-power configurations of SEs (Defourny & Nyssens, 2016; Gui, 1991), it is clear that among indigenous SEs, the dominant and the beneficiary groups are the same stakeholders, and therefore, the power distribution is horizontal. By electing the CEOs democratically, his/her decisions are legitimised by the community, and by choosing managers and assistant managers through managerial processes that prioritise suitability criteria for the

role give the company viability. Thus, the type of governance of indigenous SEs is regarded as horizontal and therefore, it is radical.

6.5.2 Dimension 6: Spatial dimension

This dimension aims to disclose the role that the different SE understandings assign to territory in the process of SI. This is the only dimension of the framework that offers one perspective instead of two, and that did not emerge directly from the five publications reviewed in Section 3.3.2. This dimension, instead, emerged purely from the intertextual analysis of the 70 results. Despite the fact that the role of territory is absent in the instrumental SI approach, it was incorporated as a dimension in the framework because it emerged as an element that played a paramount role in the processes of social innovation in the radical perspective.

Fieldwork insights indicate that market-oriented SEs can be attached to a territory through the identity and culture of their owners. Support organisations note that, although not common, some young individuals from peripheric groups -such as indigenous peoples- who have achieved higher education, are interested in developing this type of SE to address issues in their communities. Apart from these few cases, the majority of the market-oriented SEs are not modelled culturally or customarily by ties to a specific territory. To this day, the majority emerge supported by pre-defined methodologies and the coaching of umbrella organisations based in large metropolises. Therefore, for the majority of these SEs a spatial dimension is absent, which means that their SI is instrumental in this dimension.

Indigenous SEs are bounded by their territories from spiritual, social, ecological, political and economic perspectives. The territories these communities have inhabited for centuries have modelled their social relations, their culture and their identities. Naturally, their social structures and mechanisms of governance are locally designed according to their needs, resources and beliefs, and therefore, these are locally specific. The importance of the spatial dimension relies on the connections with that culture, identity, and social relations of individuals and communities maintain with defined spaces (Moulaert, 2009) i.e. with their territories in this case. These indigenous communities, their SEs and their territories, are constantly threatened by external actors. This often occurs through conflicts with mining corporations supported by the state (Mijares Gonzalez, 2018). In more recent decades the introduction of criminal groups supported by the government, employed for economic interests, have been used as threatening mechanisms in an effort to dismantle the social fabric

Table 6. 7 Quotations from the data collected in the field showing connections to dimension 6 of the SI Framework

Participant	Radical Quotation	Dimension 6 Spatial dimension	Instrumental Quotation	Participant
AR-UdeM1	<p>"The consideration of the environment is impressive in indigenous communities. It is the part of, I am myself with the environment with everything that surrounds me and it is what I am going to inherit to my children and I have to take care of. So they naturally include the environment in all their decisions."</p>	<p>The role of the territory -understood as the biophysical space of which a SE is part of- in defining the social relations, norms and values that guide the SE, their actions, processes and solutions to address a social problem.</p>		
SE-Yomol	<p>"What's more, or I think that right now it is an alternative to the civilizational crisis that we are experiencing, especially social and solidarity companies, or social companies, or solidarity companies, as you want to see them, are a relevant bet for the future that territories may have, especially those in a situation of exclusion and vulnerability, to be able to defend wealth according to their principles and values."</p>			

Source: created by the author

of indigenous communities (Mijares Gonzalez, 2018). Indigenous SEs are in many aspects blended within the social structures of the community²³. The literature points out that radical SI approaches consider that the spatial dimension of individuals and communities plays a major role in the processes of transformation of the social relations that lead to the establishment of fairer governance systems (Moulaert, 2009). The consonance of the dynamics of indigenous enterprises with the literature indicate that their SI follows a radical approach.

6.5.7 Dimension 7: Politicising vs depoliticising

This dimension aims to disclose to what degree the actions, processes and solutions to address a social problem politicise/depoliticise spaces, groups and individuals.

From an analysis of the literature on SEs, it was noted that all SE understandings “contain” a political dimension, although this is not always explicitly recognised. This political dimension has two areas of influence, an internal and an external. The political internal dimension corresponds to the governance mechanisms and structures of the SE. The external political dimension corresponds to the capacity of the SE to alter, to any degree, the social structures that sustain the SE’s members and/or beneficiaries’ current conditions of exclusion, marginalisation, or vulnerability. In some cases, these areas of influence are not separated but blended.

The right column of Table 6.8 shows quotations of influential actors supporting market-oriented SEs. From the information retrieved from the interviews, it was possible to determine that they are consonant with the premise that social problems of today have emerged due to the failure or absence of markets or state provision (Baglioni & Sinclair, 2014). Therefore, in this dimension, market-oriented SEs adopt an instrumental SI approach. These actors agree with the notion that complex social problems can be tackled through market mechanisms, innovation and orienting their business models towards addressing a social issue. The most common narrative among them is that market-oriented SEs are disrupting the way of doing business, changing the values of success, and creating a new economy. They sustain that the government is not essential to address current social issues, but they do recognise that it is an important ally which should support more actively their growth as a sector.

²³ An extended explanation of how the governance mechanisms of the SE blend with the community is explained in Chapter 5 section 5.3.

Table 6. 8 Quotations from the data collected in the field showing connections to dimension 7 of the SI Framework

Participant or documentation	Radical Quotation	Dimension 7 Politicising vs depoliticising	Instrumental Quotation	Participant or documentation
NW-Ashoka1	"It [referring to SEs] must have the ability to really scale. And scaling, the term scaling is not just multiplying your project, but what you are scaling is your idea. So one way to scale your idea is through public policy, because you are already making the majority of the population go under those terms. "	To what degree the actions, processes and solutions to address a social problem politicise/depoliticise spaces, groups and individuals.	"Despite the inspirational effort of non-profit organisations, the government, and the private enterprises, no one has addressed the social problems from their roots. In the last years a new model that is changing the rules, the dynamics and the ways of approaching the most difficult challenges attaining humanity has emerged [referring to SEs] "	Document No.6
GOV-FCCyT	"The empowerment of societies basic for social innovation if there is no social innovation. always have that as a central point."			
SE-Yomol	"Almost everything enters into a process of dialogue, especially for projects that involve voting, where we all have something to say, right? And of course, not everything is utopian, not everything is romantic, and not everything always works well. In fact, one of the things that you realize is that being within such an impoverished territory, in these harsh conditions of poverty do not allow workers to have a medium-term vision, everything is short-term, and that is noticed many times in collective decisions, right? Luckily, we also work with community leadership positions that tend to have a more communal-medium-long term worldview and not so individualistic and immediate. We have had several experiences where a proposal does not come out according to what we had thought or articulated. Nevertheless, there is always space for dialogue."		"It has become increasingly difficult for the public sector to face the economic, social and environmental challenges of countries. Therefore, it is essential to have the participation of civil society in the solution of this challenges through innovative and sustainable business models , optimising the use of technological tools, to guarantee, together with the government and the rest of the social entrepreneurship ecosystem, the welfare of the citizens."	Document No.10

Source: created by the author

Some academics interviewed who sympathise with the market-oriented SE “movement” are sceptics of this narrative. They recognise that the USA and some international development agencies have strongly influenced the path that Mexico has followed to achieve a “developed” economy. They do notice a connection between the neoliberal ideology that Mexico has adopted in the last three decades and the market-oriented SE discourse.

The quotations of the left column of table 6.8 show examples of the political implications of SEs. The first quotation of NW-Ashoka I reveals that despite that the actor is associated to an instrumental SI approach in most of its dimensions, in this case it openly recognises the role of politics in the pursue of transformation. In this specific case, the actor sees the making of public policy as an alternative opportunity to escalate their impact, by the simple fact that transforming the rules of the game will automatically enable the initiative to reach more people. The third quote of SE-Yomol reflects that the indigenous enterprise openly enables the politization of the decision-making processes by allowing their members and decision makers (which are the same) to disagree and debate. The quotation shows what it could be interpreted as a downside of a politicised process of decision making where everyone can participate. In this case, the participant highlights that due to the legitimate authorisation that every member has to oppose to decisions, sometimes proposals that are regarded as strategic from a managerial point of view are disregarded if the majority of the members do not perceive that it aligns with their personal and communal interests.

6.6 Discussion and conclusion

SEs in the global South, and specifically in Mexico, have gained traction in the last decade due to their presupposed capacity to transform the social reality of people and communities. Data from the field reveals that within the same country SE understandings are embodied by different and contrasting organisations that operate under distinctive logics and principles embedded in dissimilar socio-economic and geographical contexts. In this chapter, two contrasting SE understandings identified in Mexico are examined: indigenous SEs, endemic from Latin-America and operating in rural-indigenous territories; and market-oriented SEs, conceptually rooted in the Anglo-American tradition and conceived in urban metropolises. Empirically, the capacity of SEs to transform the social reality and conditions of people and communities has been studied from the

multidisciplinary field of SI, yet the focus has been on analysing SE understandings developed in the global North, such as the market-oriented SEs, within global North contexts, mainly in the Anglo-American region (Boons & Lüdeke-Freund, 2013; Chalmers, 2013; Lettice & Parekh, 2010; Phillips et al., 2019; Seyfang & Haxeltine, 2012; Vézina et al., 2019). Also empirically, but in a more local realm, studies analysing the SI of market oriented SEs in Mexico are few, and focus mainly on the entrepreneurial ecosystems of social entrepreneurs (Ruiz & Alcaraz, 2019), and on whether Mexican social entrepreneurship aligns to the catalytic innovation principles of Christensen et al., (2006) (Auvinet & Lloret, 2011, 2015). Regarding indigenous SEs in Mexico, empirical studies analysing them from an SI perspective are also scarce and have focused on understanding how SI contributes to modify institutional factors and fill institutional voids in coffee production communities (Agostini et al., 2020), and on how SI mechanisms enable the empowerment of indigenous women in an indigenous SE in a Zapotec community (Maguirre et al., 2016). While these studies have revealed relevant SI insights of these two SE understandings in the country, they do not offer an integrated and rounded view of their SI rationales, logics, practices, and mechanisms. This chapter addresses this gap providing an in-depth analysis of seven SI dimensions of these organisations and offering a comparative analysis of their SI approaches. By doing this, this study contributes to the nascent body of work that aims to expand the comprehension of the SI of SEs in the global South and of global Southern origins (Calvo & Morales, 2021).

As was predicted in this chapter's introduction, the results clearly suggest that the SI approaches of the two SEs studied are opposing, yet not in all their SI dimensions. In the following dimensions the SI approaches of indigenous SEs are predominantly radical, while those of market-oriented SEs are predominately instrumental: 1. Focus of the social innovation, 2. Agency vs structure, 3. Economic model consonance, 6. Spatial dimensions and 7. Politicising vs depoliticising. On the other hand, and contrary to what was predicted, the results show that in dimension 4. Knowledge construction and valorisation, and 5. Type of governance and distribution of power, the SEs combine SI approaches. In dimension 4. Knowledge construction and valorisation, the study reveals that indigenous SEs valorise technical knowledge from experts as much as the knowledge deriving from the community as long as both are considered of equal importance in the communal decision-making spaces. Here, technical and managerial knowledge from external actors (such as agroforest engineers and business consultants) is regarded as complementary and

not substitutive of the community's knowledge. Indigenous SEs operate in remote locations and therefore their access to technical knowledge is very limited. They have addressed this deficiency by building networks and establishing agreements of collaboration/research with national universities, research centres and consultancies. Similarly, in dimension 5. Type of governance and distribution of power, the study reveals that an initial market-oriented SE structure can gradually transfer the total ownership and decision-making power of the enterprise to its rural workers, such as in the case of SE Grupo Paisano. Here, although the workers are not part of an indigenous community, they are "*ejidatarios*" i.e., members of a community of peasants that collectively own common land. This transferability of ownership and control of the enterprise takes place across 10 years and consists of a combination of bespoke technical, managerial and financial processes. These allow the workers to gradually gain control and ownership of the enterprise, whilst at the same time allowing the investors to gradually recover their investment plus a surplus. Here the study contributes to the nascent but necessary body of knowledge that explores the role of internal capacities, local resources, technical information and external connections for the occurrence of SI in peripheral and border regions of the global South (Makkonen et al., 2020).

Two limitations of the conceptual framework emerged through its application. First, the radical side of the third dimension of the framework (Economic model consonance) agglomerates diverse economies (such as community economy, social economy, among others) under the same umbrella, yet each of these are grounded in different economic principles. By doing this, the framework limits the comprehension of different economies because it wrongly assumes that all these are similar just because their principles differ from the neoclassical approach, which is placed on the instrumental side of the same dimension. The framework needs to be amended here to allow for a more accurate comprehension of the different economies that SEs embrace in different context and regions of the globe (south and north). Modifying its Cartesian arrangement in this dimension, or possibly across all, must be considered. The second limitation of the framework is its gender blindness. The framework is incapable of capturing the influence of the SI rationales, logics, practices, and mechanisms of SEs in the empowerment of women, in the increase of their political participation within the organisation and in public spaces, in increasing their autonomy and representativeness in global South and North contexts. The framework needs to address this shortcoming through further research in the subject i.e., feminist approaches to SI and SE.

Chapter 7. Discussion and conclusion

7.1 Introduction

In the last decade in Mexico, a country of the global South, SEs have gained traction in the public and academic discourse due to their presupposed capacity to address social problems. This thesis identifies two problems that derive from this scenario, 1. There are a variety of visions within the country of what an SE represents and of the types of economic and social activities that these organisations perform. This is due to actors, studies, reports, and books in the country, and internationally that portray a collection of heterogeneous understandings around the term and others related. 2. Although SEs are regarded as capable of addressing social issues, to this day a rounded and holistic understanding of how SEs transform the social reality of communities and individuals in their pursuit to address social problems remains largely unclear. Section 7.2 below, develops the contributions and implications to knowledge, potential implications for curriculum development and for the SE field itself that derive from addressing problem number 1; and Section 7.3 develops the contributions to knowledge, implications to SE scholarship and applications for policy, practice and teaching derived from addressing problem number 2.

7.2 Contributions and implications deriving from the identification of SE understandings in Mexico

This thesis addresses the first problem defined above by identifying three types of SEs in the field, 1. Market-oriented social business, 2. Indigenous social enterprises and 3. Non-profits with economic activities. The thesis then describes them from three angles: A. Institutional context and origins, B. Internal dimensions using the EMES framework, and C. Challenges, threats, and weaknesses. The results provided in Chapter 2 and Chapter 5 contribute in three avenues to the SE literature: 1. They reveal central and peripheral SE understandings in Mexico. 2. They reveal a pattern in the SE literature that disproportionally represents knowledge created in the global North, and 3. They reveal a parallelism between the central-peripheral pattern observed in the field and the representation of knowledge pattern observed in the literature. The following paragraphs expand on these results and discuss their contributions and implications to knowledge, academia, teaching, policy, and practice.

7.2.1. On central and peripheric SE understandings in Mexico and their implications for national SE scholarship

Empirical data from the field reveals that central understandings, which correspond to market-oriented social businesses, embody imported categories and organisational models from the Anglo-American global North regions. In Mexico, these understandings depoliticise the social struggles of individuals and communities and instead advocate for the reconciliation of capitalism and society. Here, SEs embody the “new phase” of capitalism, one which combines a humanist discourse with renewed competitiveness and is also capable of self-correction and self-regulation itself (Laville et al., 2019). Peripheric understandings, which correspond to indigenous social enterprises, embody endemic categories and models from Mexico in combination -at different degrees - with social and solidarity principles. These understandings re-embed the economy into the community and politicise the social struggles of people, expanding the actions of the SE to a local or regional political sphere. Here, SEs are linked -at different degrees- to the hegemonic economic neoliberal capitalist system through their processes of commercialisation of their products/services, despite this, their constitutive logics are clearly separated and do not interpenetrate each other.

The thesis contributes to the national and international SE scholarship by recognising, conceptually explaining, and incorporating Mexico’s peripheric SE understandings of indigenous origins into the SE literature. Although indigenous social enterprises in Mexico have been analysed before by several authors (Antinori & Bray, 2005; Bray et al., 2006; García-López & Antinori, 2018; Klooster & Masera, 2000), only Conde (2015) had approached them from an EMES perspective. This thesis coincides with Conde’s observations and offers a deeper explanation of the institutional factors that gave them origin and which maintain them in their current peripheric position within the country, alongside a more detailed account of their internal dynamics through the three dimensions of the EMES framework. One of the limitations of this contribution is that the EMES framework could not incorporate conceptually some key elements of these organisations, such as the fundamental role of the territory in their decision-making spaces and processes, and their political dimensions that help peripheric communities to use the SE as a vehicle to influence the local politics of their region. This awareness of the limitations of the EMES framework to account for two key dimensions of indigenous social enterprises coincides with scholars that have analysed other indigenous SEs from Latin-America, such as the case of Bolivia (Hillenkamp & Wanderley, 2015) and Ecuador

(Rivera & Lemaître, 2016). Future research is needed to better adapt the EMES framework to global South contexts, in this case from the Latin American region, or alternatively, to develop a conceptual SE framework rooted in an indigenous epistemological paradigm capable of incorporating key dimensions of SEs from indigenous peoples of Latin-America (Walsh, 2012).

7.2.2. On the disproportional representation of Anglo-American SE understandings in the literature and its potential implication for the decolonisation of the SE field.

A systematic literature review (Ch2) reveals a pattern in the SE literature that shows that the top 50 most cited articles in the field, according to the Scopus database, are produced almost exclusively in the global North. The thesis uses the geography of knowledge production lens to reveal a very stratified structure where almost three quarters of these articles are produced in the Anglo-American region (almost all in the UK and the USA), and more than half focus their analysis exclusively on UK and USA contexts. The chapter also reveals the absence of SE understandings produced in and for the global South. The chapter explains the underlying structures and mechanisms that create a disproportionate representation of knowledge produced in the global North among the most cited SE journal articles. Because this stratified structure of the SE literature is produced in the global North with a focus on the global North but with a global influence (Murphy & Zhu, 2012), the thesis interprets that Anglo-American SE understandings are the canon of the SE literature. By its absence of representation in the canon, the SE understandings developed by and for the global South are considered peripheral.

The relevance for the SE field of revealing the structures that favour the representation of knowledge (in the form of peer-reviewed academic publications) created in the global North, specifically by Anglo-American countries, is that it has influence (Alatas, 2003; Murphy & Zhu, 2012) across the North *and* South. The results revealed in this thesis could serve as a departing point for the development of a wider systematic analysis of the geopolitical and epistemological origins of the knowledge produced in the SE field, which could have implications in the decolonisation of the field itself. A future far-reaching study could assist the SE field in recognising that the reasons for the overrepresentation of authors from the global North in world leading SE scholarship is mainly the result of doing research on the shoulders of modern/colonial world structures. This study could be a first step to building a more egalitarian field, with a more balanced participation of scholars from the global South. The reconfiguration of the SE field should go beyond the

analysis of academic work and must enter the institutional realm. A set of recommendations to build a more egalitarian field could be to study the gender, ethnic and geographical composition of the members of editorial boards of journals on SE. Research on the structures of management studies show that the predominance of Anglo-American members of editorial boards in “world-leading” journals self-perpetuate a cycle that favours Anglo-American authorship and Anglo-American research focus (Murphy & Zhu, 2012). A second complementary action could be to request that SE journals provide public and transparent records of accepted and rejected submissions with information on the geographical origin and mother tongue of submitting authors (Murphy & Zhu, 2012).

7.2.3. On the parallelism of central-peripheral patterns observed in the field and in the literature, and the potential implications for the decolonisation of the curriculum in higher education in countries in the global North and South

In the literature and in the field, Anglo-American SE understandings occupy central positions. Contrariwise, SE understandings developed in the global South are peripheral in the field and non-existent in the literature. Decolonising academia and universities is pedagogically necessary to strengthen rigorous research and teaching (Liyanage, 2020). In the last decade, movements within universities in the global North, such as the Rhodes Must Fall In Oxford (RMFO campaign in Oxford), inspired by the South African Rhodes Must Fall movement, have revealed the colonial heritage of their curricula and in turn advocated for its decolonisation (Bhambra et al., 2018). Colonised curricula are not exclusive to the global North, this phenomenon is also tangible in the global South, examples of this are the University of Cape Town in South Africa and in the Jawaharlal Nehru University in India where students campaigned to decolonise their Universities, or in Ecuador, where the Pluriversity Amawtay Wasi was created in an effort to build academic knowledge away from the Eurocentric canon and closer to an Ecuadorian indigenous epistemology (de Sousa Santos, 2021). The implications of colonial curricula in the reinforcement of the economic, cultural and political hegemony of the West has been strongly emphasised by philosophers from the global South for decades (Castro-Gómez, 2007; Lander, 2000). From an empirical realm, data collected in the field shows that the top universities in Mexico, with few exceptions such as the School of Social Entrepreneurs of the National Autonomous University of Mexico, develop their SE curriculum using as a canon the SE understandings of Anglo-American origin. Therefore, the revelation in this thesis of a very stratified structure in the top-most cited SE literature

has potential implications for the decolonisation of the SE field and how SE is taught in universities. The results showed in the literature review chapter (Ch2) are limited in the extent that they only examine the top 50 most cited SE articles in Scopus, which does not statistically represent the entire structure of the SE field. Yet, it provides a very accurate picture of the composition of the most influential academic works. A wider systematic analysis of the geopolitical and epistemological origins of the knowledge produced in the SE field could strengthen the thesis results and doing this could serve as a departure point to decolonise the SE curriculum in SE courses at a higher education level. In current curriculum structures the canon -sometimes- is problematised introducing peripheral perspectives and thinkers, yet the course still maintains a hierarchy of what is central – what is the disciplinary norm- and what is peripheral i.e., the canon is kept as the frame of reference against which peripheral perspectives are compared to. A wider systemic analysis of the SE field could favour the design of SE courses not organised around a hierarchical order of SE understandings, but rather around how different SE understandings create concepts and address questions within their contexts. In this scenario, the canon would be removed from the centre allowing the students to critically analyse different SE understandings from different epistemological angles.

7.3 Contributions and implications deriving from the development of the SI conceptual framework

Although SEs are regarded as capable of addressing social issues, to this day a rounded and holistic understanding of how they engage in SI to transform the social reality of communities and individuals in their pursuit to address social problems remains largely unclear (Goldstein et al., 2010; Phillips et al., 2019; Phillips et al., 2015). In the backdrop of this question is the fact that in the last decade, academic literature on SE (Defourny & Nyssens, 2016; Maclean et al., 2013; Moulaert et al., 2013; Nicholls, Simon, et al., 2015a) and SI (Haugh, 2005; Mulgan, 2006; Murray et al., 2010; Nicholls, Simon, et al., 2015b) has shown multiple, but heterogeneous links between both concepts. This situation depicts a fragmented and disassociated connection between SEs and SI, which limits a rounded and structured comprehension of how SEs engage in SI. The thesis addresses this second problem by delving into the SE and SI literature and developing a conceptual framework capable of identifying the SI dimensions of SEs as a means to determine their SI approach. This conceptual framework distinguishes seven SI dimensions of SEs: 1. Focus of the SI, 2. Agency vs structure, 3. Economic model consonance, 4. Knowledge

construction and valorisation, 5. Type of governance and distribution of power, 6. Spatial dimension, and 7. Politicising vs depoliticising. These seven SI dimensions are drawn under the understanding that they exist interrelated and superposed in any given SE operating in the field, and therefore any attempt to empirically separate them would be impossible, yet, their conceptual depiction in dimensions serves as an analytical tool to explain, in a structured and meaningful form, the degree and capacity of SEs to transform social reality. Therefore, this framework contributes to academic knowledge by offering a comprehensive conceptual avenue to understand the transformative capacity of SEs, and by doing so, it also contributes to the clarification of the heterogeneous SI-SE connection. The relevance of this framework lies in its capacity to explain the SI processes, logics, principles and rationales across a broad range of SEs, irrespective of their school of thought, geopolitical and/or disciplinary origin.

7.3.1 Implications for SE scholarship

The implications of the framework for SE scholarship derive from its capacity to go beyond definitions and typologies to offer a holistic understanding of the transformation capacity of SEs, regardless of their type. As it was shown in the literature review chapter (Ch2), for decades, SE scholarship has developed numerous SE typologies and categories in the pursuit of arriving at an ideal (Defourny & Nyssens, 2012) and universally accepted definition, arguing that such is needed for future research, policy and practice (Young & Lecy, 2014). From the most cited (Battilana & Lee, 2014; Dart, 2004b; Defourny & Nyssens, 2010; Doherty et al., 2014; Teasdale, 2011) to the less popular typologies and conceptual definitions, all SE classifications aim to answer the question “what is an SE?” The framework in this thesis pushes the SE field beyond this question by aiming to answer instead, *‘how do SEs bring about social change?’* and *‘how deep is this change?’* As it was highlighted in Chapter 3, the framework recognises that irrespective of the typology, the core element of any SE is its degree and capacity to transform social reality, therefore this framework offers scholars the possibility to study the SI innovation capacity of SEs, a key aspect in the SE field that remains largely unexplored (Phillips et al., 2019).

7.3.2 Application to policy

To this day governments continue to struggle to define the size and impact of the SE sectors in their countries (DRCD, 2019, p. 9). This framework could open to policy makers the possibility of enhancing the significance of their SE mapping efforts. Integrating this framework into their data collection mechanisms, or a simplified version

of it, could help governments to understand the degree and capacity of transformation of SEs in their countries, in parallel to identifying their type and quantity in different regions.

7.3.3 Application to SE practitioners and their ecosystems

Some SEs, social entrepreneurs, scholars, and supportive organisations across the globe use enhancing nomenclature to portray themselves or their projects in the public sphere as “gamechangers” (Avelino et al., 2017), “changemakers” (Drayton, 2005), “change agents” (Dees, 1998), “transformative forces people” (Bornstein, 2004), “societies’ change agents” (Skoll Foundation (2004), “social sector leaders” (Kramer, 2005) or “highly innovative social activists” (Kerlin, 2010). Although their terminology signals a disruptive mandate to transform society, the result is that it is in fact difficult for scholars, other practitioners, and policy makers to assess, conceptually or empirically, the real transformative capacity of these initiatives. The framework has potential practical implications in this realm, or a simplified version of it, in the form of a questionnaire, which for example could be used as an assessment tool to dissect and reveal through its dimensions the depth of change that these initiatives are capable of creating. In other words, this framework could reveal to what degree the organisations that portray themselves as pursuing a disruptive mandate maintain or challenge the status quo, why (or why not) and how they do it.

7.3.4 Applications in teaching SE

In the last decade universities have incorporated into their teaching programmes degrees and modules in social innovation (Cambridge, 2021), social innovation and entrepreneurship (LSE, 2021b), social business (LSE, 2021a), and sustainability business (York, 2021). Many of these courses are delivered by business schools but also by departments of sustainability and environment and schools of public administration. Although there are degrees that incorporate into their teaching critical approaches that question “disruptive” practices for the transformation of people’s living conditions through organisational means, such as social impact bonds or impact investment (McHugh et al., 2013), much of the content taught in business schools draws from business tools and approaches to address social issues. The framework could contribute to SE and SI teaching as it could help students to better understand the relationship of SI and SEs.

Appendices

Chapter 2

Appendix 2.A Compilation of the SE understandings showcased in the 16 most cited publications produced in the Anglo-American region.

Table 2.A Compilation of the SE understandings showcased in the 16 most cited publications produced in the Anglo-American region

Position within the top 50 most cited publications	Publication	SE understanding(s) showcased in the publication	University and/or school or department	Region and country(ies) the study is developed
1° / 565 citations	Battilana and Lee, 2014	The ideal type of a hybrid organisation are social enterprise <u>that combine the organisational forms of both business and charity</u> at their cores.	Harvard Business School	Anglo-American / USA
2° / 496 citations	Dart, 2004	The emergence of the nonprofit social enterprise is connected to wider societal, ideological and political dynamics. These organisations will evolve away from broad-frame breaking forms to forms that focus on businesslike models that offer market-based solutions because of the broader validity of promarket ideological notions in the wider social environment.	Trent University, School of Business	Anglo-American / Canada
3° / 488 citations	Doherty B., Haugh H., Lyon F., 2014	The defining characteristic of SEs is its hybrid organisational form. They are envisioned as organisations that span the boundaries of the private, public and non-profit sectors. The hybridity occurs by these organisations pursuing a dual mission of financial sustainability and a social purpose. SE are regarded as organisations that do not feat neatly into the conventional categories of private, public or non-profit organisations.	University of York, Management School; University of Cambridge, Judge Business School; Middlesex University.	Anglo-American / UK
5° / 419 citations	Di Domenico M., Haugh H., Tracey P., 2010	SEs are portrayed as <u>organisations that are more market driven than traditional non-profit ventures and with the capacity to be financially self-sustaining</u> . SEs are regarded as a socially driven business that have emerged as significant organisational players in market economies.	The Open University; Cambridge Judge Business School	Anglo-American / UK

6° / 344 citations	Chell E., 2007	The SE model has the following characteristics: <u>not-for-personal-profit enterprises comprise business activity that generates value for social ends and wealth to enable reinvestment and sustainability of the business</u> . To achieve this, the enterprise team needs to be entrepreneurially led in the specific sense that it is able to recognize and pursue opportunities; draw upon whatever social, financial and other resources are at its disposal; and translate these elements into realized opportunities, in other words practical and actual valued social and economic outcomes – the latter for reinvestment and sustainability of the enterprise.	University of Southampton	Anglo-American / UK
7° / 312 citations	Kerlin J.A., 2006	In the USA and within academia, SE is understood as those <u>organizations that fall along a continuum from profit-oriented businesses engaged in socially beneficial activities</u> (corporate philanthropies or corporate social responsibility) to <u>dual-purpose businesses that mediate profit goals with social objectives</u> (hybrids) to <u>nonprofit organizations engaged in mission-supporting commercial activity</u> (social purpose organizations). In Europe, with the exception of the United Kingdom, SE has generally come to mean a <u>social cooperative or association formed to provide employment or specific care services in a participatory framework</u> . In the United States, it generally means any type of nonprofit involved in earned income generation activities.	Georgia State University. Department of Public Administration and Urban Studies.	Anglo-American / USA
10° / 248 citations	Battilana J., Sengul M., Pache A.-C., Model J., 2015	<u>SEs are hybrid organisations that pursue a social mission and sustain their operations through commercial activities</u> . In this case the study focuses on Work Integration Social Enterprises (WISEs)	Harvard Business School; Boston College; ESSEC Business School; Sandford University	Anglo-American / USA; Europe-mainland / France
11° / 190 citations	Teasdale S., 2012	The label SE has been used to refer to <u>earned income strategies by nonprofits</u> (Dees, 1998); <u>voluntary organisations delivering public services</u> (Di Domenico et al., 2009); <u>democratically controlled organisations blending social and economic goals</u> (Defourny and Nyssens, 2006); <u>profit-orientated businesses operating in public welfare fields</u> (Kanter and Purrington, 1998), or having a social conscience (Harding, 2010); and <u>community enterprises addressing social problems</u> (Williams, 2007). The only defining characteristics central to each of these definitions are the primacy of social aims and the centrality of trading (Peattie and Morley, 2008).	University of Birmingham	Anglo-American / UK
12° / 183 citations	Thompson J., Doherty B., 2006	Determining characteristics for a social enterprise: <u>A. They have a social purpose. B. Assets and wealth are used to create community benefit. C. They pursue this with (at least in part) trade in a market place. D. Profits and surpluses are not distributed to shareholders, as is the case with a profit-seeking business. E. "Members" or employees have some role in decision making and/or governance. F. The enterprise is seen as accountable to both its members and a wider community. G. There is either a double- or triple-bottom line paradigm</u> . The assumption is that the most effective social enterprises demonstrate healthy financial and social returns – rather than high returns in one and lower returns in the other.	Huddersfield University Business School, University of Huddersfield; School of Management, Liverpool John Moores University	Anglo-American / UK

14 ^o / 160 citations	Kerlin J.A., 2010	Broadly defined as <u>the use of market-based approaches to address social issues, social enterprise provides a “business” source of revenue for civil society organizations.</u>	Georgia State University, Department of Public Management and Policy	Anglo-American / USA
16 ^o / 138 citations	Cornelius N, Todres M, Janjuha-Jivarj S, Woods A, Wallace J, 2008	A social enterprise is <u>“a business with primarily social objectives whose surpluses are principally reinvested for that purpose in the business or in the community, rather than being driven by the need to maximise profit for shareholder and owners”</u> . Therefore, social ends and profit motives do not contradict each other, but rather have complementary outcomes, and constitute a ‘double bottom line’.	Brunel University, Brunel Business School; University of London, King’s College London School of Medicine; University of Reading, Business School; University of Bradford, School of Management.	Anglo-American / UK
17 ^o / 135 citations	Wry T., York J.G., 2017	While a single definition has yet to emerge, most agree that <u>social enterprise entails the integration of social welfare and commercial aims in an organization’s core</u>	University of Pennsylvania; University of Colorado Boulder	Anglo-American / USA
18 ^o / 135 citations	Santos F., Pache A.-C., Birkholz C., 2015	<u>Hybrid organizations pursuing a social mission while relying on a commercial business model have paved the way for a new approach to achieving societal impact.</u>	University of California, Berkeley	Anglo-American / USA
19 ^o / 123 citations	Millar R., Hall K., 2013	The rise of social enterprise is based on their apparent achievement of <u>a double or even triple ‘bottom line’ in combining environmental and social aims with trading viability through innovative approaches to service delivery</u> (Dart, 2004; Fazzi, 2012; Harding, 2004; Teasdale, 2012).	University of Birmingham, Health Services Management Centre; University of Northampton, School of Social Sciences	Anglo-American / UK
20 ^o / 122 citations	Harding R., 2004	The <u>meaning of “social enterprise” potentially covers everything from not-for-profit organisations, through charities and foundations to cooperative and mutual societies.</u>	London Business School, Foundation for Entrepreneurial Management	Anglo-American / UK

21° / 117
citations

Di
Domenico
M.L., Tracey
P., Haugh
H., 2009

More market driven than traditional nonprofit ventures, and with the capacity to be financially self-sustaining, the term “social enterprise” has been coined by government and other stakeholders to denote socially driven businesses. Social enterprises seek to attain a particular social objective or set of objectives through the sale of products and/or services, and in doing so aim to achieve financial sustainability independent of government and other donors. Social enterprises thus share the pursuit of revenue generation with organizations in the private sector as well as the achievement of social (and environmental) goals of nonprofit organizations. In doing so, they blur the boundaries between the private and nonprofit sectors (Dees, 1998).

Open University, OU
Business School;
University of
Cambridge, Judge
Business School

Anglo-American /
UK

Source: developed by the author

Appendix 2.B Compilation of the SE understandings showcased in the 16 most cited publications produced in the European-mainland region

Table 2.B Compilation of the SE understandings showcased in the 11 most cited publications developed in the European-mainland region

Position within the top 50 most cited in Scopus	Publication	SE understanding(s) showcased in the publication	University and/or school or department	Region and country(ies) the study is developed
4° / 438 citations	Defourny J., Nyssens M., 2010	The ' <u>Earned Income</u> ' <u>School of Thought</u> conceptions of social enterprise mainly defined by earned-income strategies, refers to the use commercial activities by non-profit organizations in support of their mission. The ' <u>Social Innovation</u> ' <u>School of Thought</u> emphasises the social entrepreneurs in the Schumpeterian meaning of the term. <u>The EMES Approach of Social Enterprise</u> define SEs as not-for-profit private organizations providing goods or services directly related to their explicit aim to benefit the community. They generally rely on a collective dynamics involving various types of stakeholders in their governing bodies, they place a high value on their autonomy and they bear economic risks related to their activity' (Defourny and Nyssens 2008, p. 204).	University of Liege, HEC Management School, Centre for Social Economy; Catholic University of Louvain, CIRTES and Department of Economics	Europe-mainland / Belgium
8° / 309 citations	Ebrahim A., Battilana J., Mair J., 2014	<u>Organizations that pursue a social mission through the use of market mechanisms</u> . These hybrid organizations, often referred to as social enterprises, combine aspects of both charity and business at their core.	Harvard Business School; Hertie School of Governance, Friedrichstraße	Anglo-American / USA; Europe-mainland / Germany
9° / 276 citations	Smith W.K., Gonin M., Besharov M.L., 2013	Social Enterprises, <u>these organizations seek to achieve social missions through business ventures</u> . Yet social missions and business ventures are associated with divergent goals, values, norms, and identities. Attending to them simultaneously creates tensions, competing demands, and ethical dilemmas.	University of Delaware; University of Zurich and University of Lausanne; Cornell University	Anglo-American / USA; Europe-mainland / Switzerland
15° / 151 citations	Bagnoli L., Megali C., 2011	A social enterprise (SE)—that is, <u>a social mission-driven organization that trades in goods or services for a social purpose. An SE should be multistakeholder, sustained mostly on earned income and run business that itself accomplishes the social aim through its operation</u> (e.g., integration of disadvantaged people through work; provision of social, community, and environmental services; ethical trading).	University of Florence, Department of Business Administration	Europe-mainland / Italy

26° / 95 citations	Defourny J., Nyssens M., 2006	Social Enterprises have been defined by the EMES network as <u>organisations with an explicit aim to benefit the community, initiated by a group of citizens and in which the material interest of capital investors is subject to limits</u> . Social Enterprises also place a high value on their autonomy and on economic risk-taking related to ongoing socio-economic activity.	University of Liege, HEC Management School, Centre for Social Economy; Catholic University of Louvain, CIRTES and Department of Economics	Europe-mainland / Belgium
28° / 93 citations	Stevens R., Moray N., Bruneel J., 2015	Essentially, social enterprises—irrespective of terminology, and organizational or legal form—have in common that they <u>explicitly focus on creating social value</u> (Austin, Stevenson, & Wei-Skillern, 2006; Dorado, 2006; Nyssens, 2006; Peredo & McLean, 2006), <u>and that they are sustainable through trading</u> (Birch & Whittam, 2008; Chell, 2007; Di Domenico, Haugh, & Tracey, 2010; Department of Trade and Industry [DTI], 2007; Haugh, 2007; Peredo & Chrisman, 2006; Tracey & Jarvis, 2007) <u>referring to a continuous activity, producing and selling goods and/or services</u> (Nyssens).	Ghent University, Faculty of Economics and Business Administration; University College Ghent, Faculty of Economics and Business Administration.	Europe-mainland / Belgium
34° / 73 citations	Arena M., Azzone G., Bengo I., 2015	Using a market-based approach, <u>SEs incorporate commercial forms of revenue generation (creating economic value) as a mean to accomplish their social mission (creating social value)</u> . Profits and wealth creation play a role in the model, but they are the means used by SEs to achieve a social end, not the end in itself (Thompson et al. 2000).	Politecnico di Milano, Dipartimento di Ingegneria Gestionale	Europe-mainland / Italy
36° / 71 citations	Defourny J., Nyssens M., 2010	<u>Work integration social enterprises</u> is to help low-qualified unemployed people, who are at risk of permanent exclusion from the labour market. WISEs integrate these people into work and society through a productive activity. " <u>Earned income</u> " <u>school social enterprise</u> can be defined as an organisation that trades for a social purpose, a view which is mainly rooted in the context of the American non-profit sector. " <u>social innovation</u> " <u>school of thought</u> mainly stresses innovative initiatives launched by social entrepreneurs to address social or societal challenges. <u>The EMES conception of social enterprise</u> A. A continuous activity producing goods and/or selling services, B. A high degree of autonomy, C. A significant level of economic risk D. A minimum amount of paid work . Criteria for the social dimension 1 An explicit aim to benefit the community 2. An initiative launched by a group of citizens 3. A decision-making power not based on capital ownership 4. A participatory nature, which involves various parties affected by the activity 5. A limited profit distribution	University of Liege, HEC Management School, Centre for Social Economy; Catholic University of Louvain, CIRTES and Department of Economics	Europe-mainland / Belgium
37° / 68 citations	Ramus T., Vaccaro A., 2017	<u>social enterprises can be extremely successful in addressing complex social issues because they combine the efficiency and resources of the traditional business model with the sense of mission of the charity one</u> (Austin et al. 2006; Smith et al. 2013).	Cátolica Lisbon, School of Business and Economics; IESE Business School	Europe-Mainland / Portugal, Spain

42° / 62 citations	Johanisova N., Crabtree T., Fraňková E., 2013	The term “social enterprise” in this understanding is narrower and is defined (Borzaga et al., 2008:31e32) as <u>participating to some extent in the market, having a degree of autonomy from public authorities, with a commitment toward job creation, an explicit aim to benefit the community or a specific group of people in its founding documents, decision-making power not based on capital ownership (democratic ownership structure), and exclusion of the profit-maximising principle</u> (e.g. recycling part or all of the surplus/profits back into the organisation rather than paying dividends to members/shareholders).	Masaryk University, Faculty of Social Studies; Wessex Community Assets	Europe-Mainland / Czech Republic; Anglo-American / UK
48° / 58 citations	Defourny J., Nyssens M., 2017	The <u>entrepreneurial non-profit (ENP) model</u> i.e. “earned-income” or “commercial nonprofit” model. The <u>social cooperative model</u> usually results from a move of mutual interest organizations (Coops or MI-Associations) towards a behaviour giving more importance to the general interest. The <u>social business (SB) model</u> - social enterprise as a mission-driven business. The <u>public-sector social enterprise (PSE)</u> model where public policies through which increased responsibilities are being transferred to private entities—among which social enterprises—although keeping these entities under public control or at least regulation.	University of Liege, HEC Management School, Centre for Social Economy; Catholic University of Louvain, CIRTES and Department of Economics	Europe-mainland / Belgium

Source: developed by the author

Chapter 4

Appendix 4.A Information sheet (in Spanish)

Information sheet interview and focus group

UNIVERSITY of York

Hoja de información

Explorando la naturaleza de las innovaciones sociales generadas por empresas sociales en México

Gracias por tomarse el tiempo para leer esta hoja de información antes de su entrevista.

Nombre del Investigador: Sergio Páramo Ortiz

Quien soy: Soy un estudiante de doctorado de la Universidad de York investigando las empresas sociales y sus procesos de innovación social en México.

Que implica este proyecto: Estoy llevando a cabo esta investigación para entender la naturaleza de las innovaciones sociales generadas por las empresas sociales en México. Esto implica recopilar información y perspectivas de fundadores, dueños, directivos y colaboradores de empresas sociales y otros *stakeholders* acerca de las innovaciones sociales llevadas a cabo por las organizaciones para las cuales trabajan o a las cuales apoyan o conocen.

Por qué estoy haciendo estas entrevistas: A través de estas entrevistas espero recopilar la visión y perspectivas de diversos actores que forman parte del sector de las empresas sociales en México. Estas constituyen una parte vital de la investigación pues considero que los puntos de vista de las empresas sociales y sus *stakeholders* son de suma importancia para avanzar en la comprensión de las innovaciones sociales generadas por las empresas sociales en México. Las entrevistas tendrán una duración máxima de 60 minutos.

Confidencialidad: Toda la información recopilada será almacenada en una computadora personal con contraseña. La información sólo se utilizará con fines académicos y sólo para esta investigación, es decir, la información que usted provea no será compartida con terceras partes en ninguna etapa de este estudio.

Anonimidad: Los nombres personales de los participantes y los nombres de sus organizaciones permanecerán anónimos en los resultados que deriven de este estudio. Sólo con el explícito consentimiento del participante, el nombre de la organización a la cual el/ella pertenece aparecerá en los resultados de este estudio. Cabe aclarar que bajo ninguna circunstancia se revelarán los nombres personales de los participantes entrevistados en los resultados de este estudio. Los documentos compartidos con el investigador serán almacenados usando un sistema numérico para asegurar anonimidad.

La información solo será usada cuando se tenga el consentimiento de todas las partes involucradas. Previo a la publicación de este estudio, los entrevistados tienen el derecho de retirarse del mismo en cualquier momento y sin necesidad de explicar razones. En ese caso, toda la información obtenida en esta entrevista será descartada.

Al finalizar este estudio toda la información será destruida por el investigador y solo una copia digital será archivada de manera segura por la Universidad por un periodo de diez años; esto con el fin de sustentar cualquier publicación derivada de los resultados de esta investigación.

¿A quien contactar en caso de requerir más información de este estudio? Si desea saber más sobre este estudio, por favor contácteme al correo:

- spo504@york.ac.uk

En caso de tener alguna queja no dude en ponerse en contacto con mi supervisora Samarthia Thankappan: samarthia.thankappan@york.ac.uk

Appendix 4.B Consent form (in Spanish)

Consent form - Interview and focus group

UNIVERSITY of York

Formato de consentimiento

Explorando la naturaleza de las innovaciones sociales generadas por empresas sociales en México

Soy un estudiante de doctorado en la Universidad de York en el Reino Unido. Estoy llevando a cabo una investigación para entender la naturaleza de las innovaciones sociales generadas por las empresas sociales en México. Su perspectiva y opinión son muy importantes para mi investigación. **Los resultados de esta entrevista sólo serán usados para este trabajo de investigación.** Usted puede detener la entrevista en cualquier momento en caso de que así lo desee. En caso de que tenga alguna duda, por favor pregúnteme.

Yo confirmo que (por favor marque la casilla correspondiente):

1. He leído y entendido la hoja de información proporcionada con este formato de consentimiento. Los puntos que no habían quedado claros en un principio se me han explicado.

2. Entiendo que mi participación es voluntaria y que soy libre de retirarme de la entrevista en cualquier momento sin necesidad de explicar el motivo.

3. Entiendo que mi nombre personal no será revelado en los resultados de este estudio.

4.a. **Participación anónima** de mi organización.

Se me han explicado claramente los procedimientos sobre confidencialidad y entiendo que el nombre de mi organización NO aparecerá en el reporte que derive de esta información.

4.b. **Participación no-anónima** de mi organización.

Se me han explicado claramente los procedimientos sobre confidencialidad y entiendo que el nombre de mi organización podría aparecer en el reporte que derive de esta información.

5. Doy mi consentimiento para que el investigador cite cualquier información que yo proporcione durante esta entrevista.

6. Estoy de acuerdo en participar en este estudio.

7. Estoy de acuerdo en que esta entrevista sea audiograbada.

8. Estoy de acuerdo en firmar y fechar este formato de consentimiento junto con el investigador.

Participante

.....
Nombre completo

.....
Firma

.....
Fecha

Investigador

.....
Nombre completo

.....
Firma

.....
Fecha

Appendix 4.C Protocol of interviews - only to be read by the researcher (in English)

Interview protocol

(To be read in Spanish)

Exploring the nature of social innovations generated by social enterprises in Mexico

The following questions serve as a guide to drive the interview through the specific objectives of the research. Not all the questions will be asked. All the questions are subject to whether the interviewee's organisation or representative knows, does or has done in regard to the enquiry of study. The following questions are flexible and will be adapted to each interviewee. This protocol is only to be read by the researcher.

Section 1 - Social enterprise

- What are the core characteristics of a social enterprise?
- From an organisational perspective, how these organisations operate in order to achieve their social mission in Mexico?
- What determines these organisations to choose this organisational structure?
- Which other models (in terms of organisational structure) of social enterprises could you identify in Mexico?
- Could you please elaborate on the main distinctions of the mentioned models?

Section 2 – Social Innovation

- Why is social innovation important for social enterprises in Mexico?
- How is social innovation generated by social enterprises in Mexico?
- What types of social innovations are generated by social enterprises in Mexico?
- How the context is connected with the social innovation processes of social enterprises?
- Is social innovation generated by an individual, the entire organisation, or a group of people within it?

Section 3 - Social enterprise context

Identification of actors and factors

- From your perspective, which are the most important actors (i.e. persons or organisations) that constitute the social enterprise ecosystem in Mexico?
- From your perspective, which are the most important factors (e.g. culture, demographics, social norms, etc.) that constitute the social enterprise ecosystem in Mexico?

Types of support

- What are the types of support that social enterprises receive in Mexico?
- What kind of gaps in the support to social enterprises?
- What kind of barriers social enterprises face to access the mentioned support?

Law and public policies

- From your perspective, how well suited is the current law (Ley de Economía Social y Solidaria) to support social enterprises in Mexico?
- What is your perception of the policies in place to support social enterprises in Mexico?

Appendix 4.D Succinct version of the protocol of interviews for the participants (in Spanish)

Protocols of interviews and observations

UNIVERSITY of York

Protocolo de entrevista a empresas sociales
Explorando la naturaleza de las innovaciones sociales generadas por empresas sociales en México

Soy un estudiante de doctorado de la Universidad de York en el Reino Unido. Estoy llevando a cabo una investigación para entender la naturaleza de las innovaciones sociales generadas por las empresas sociales en México. Su opinión es muy importante para mi investigación. Me gustaría mucho conocer su perspectiva sobre los siguientes temas:

Tema	Objetivo	Preguntas
Empresa social	Conocer que se entiende por empresa social en México	<ul style="list-style-type: none"> • ¿Considera que su organización es una empresa social? • ¿Por qué si / no?
Innovación Social	Conocer cómo las empresas sociales en México generan innovación social	<ul style="list-style-type: none"> • ¿Cómo desarrolla su organización los productos/servicios/procesos destinados a atender las problemáticas sociales/ambientales en México? • Cómo resultado de su labor ¿Existe algún cambio en las dinámicas sociales de los grupos sociales que atienden?
Contexto	Conocer cuales son los actores y factores de mayor influencia sobre las empresas sociales en México	<ul style="list-style-type: none"> • ¿Qué factores y/o actores son claves para la sobrevivencia y desarrollo de su organización? • ¿Que factores o actores representan alguna barrera para la sobrevivencia y desarrollo de su organización? • ¿Que factores o actores están ausentes en México y son necesarios para el desarrollo de su organización?

Appendix 4.E Documentation and its content

Table 4.E Documentation used classified according to the type of document and the category of stakeholder it belongs to

No.	Type of document	Category of Stakeholder	Title and date of the document in English and Spanish	Content
1	Law	Government	Catalogue of Organisms of the Social Sector of the Economy (2019) (<i>Catálogo de Organismos del Sector Social de la Economía - COSSE (2019)</i>)	This catalogue presents the organisational forms that can be considered as part of the social sector of the economy by the National Institute of the Social Economy (Instituto Nacional de la Economía Social - INAES). This catalogue includes organisational forms that are not included in the LESS
2	Law	Government	Law of the Social and Solidarity Economy (2012) (<i>Ley de la Economía Social y Solidaria - LESS (2012)</i>)	This law is the national legal framework that regulates the social and solidarity economy since 2012. It lists the organisational forms that compose the social sector of the economy (<i>sector social de la economía</i>)
3	Law	Government	Federal Civil Code DOF 09-04-2012 (<i>Código Civil Federal DOF 09-04-2012</i>)	This code is a set of legal norms on Private Law. It regulates civil relations between people, both physical and moral at a national level. It regulates the legal forms of the Civil Society Organisations of Mexico.
4	Law	Government	Law of the Private Assistance Institutions for the Federal District (2014) (<i>Ley de Instituciones de Asistencia Privada para el Distrito Federal. Última reforma 28 Noviembre 2014</i>)	This law regulates Private Assistance institutions that are entities with legal personality and their own assets, non-profit purposes that, with private property, carry out social assistance acts without individually designating the beneficiaries. Private assistance institutions will be foundations or associations.
5	Book	Academic researcher	Conway Dato-on, M.; Dávila-Castilla, J.A. (2018). Modelling the social entrepreneurship in Mexico. Mexico: LID Editorial (<i>Conway Dato-on, M.; Dávila-Castilla, J.A. (2018). Modelando el emprendimiento social en México. México: LID Editorial</i>)	Academic book written by 17 academics from Mexico and the USA that intends to present the state of the art of the social entrepreneurship in Mexico primarily from a managerial and public policy perspective. It puts emphasis on the individual and the process.
6	Book	Accelerator	Del Cerro, J. (2016). What is social entrepreneurship? Businesses that change the world. Mexico City: Nueva Editorial Iztaccihuatl (<i>Del Cerro, J. (2016). ¿Qué es el emprendimiento social? Negocios que cambian al mundo. Mexico City: Nueva Editorial Iztaccihuatl</i>)	Non-academic book that describes from an Anglo-American perspective the social entrepreneurship phenomenon, provides definitions, key terms and types of impact businesses. It was written by an influential social entrepreneur practitioner in Mexico.

7	Book	Consultancy	Santana-Medina, G. H. (2017). Social Entrepreneurship - Business for Peace. Mexico City: Limusa (<i>Santana-Medina, G. H. (2017). Emprendimiento Social - Negocios Para la Paz. Mexico City: Limusa</i>)	Non-academic book that presents the social entrepreneurship and social businesses that derive from it as an alternative to create social solutions through the market. It places a strong emphasis on the individual as social entrepreneur.
8	Book	Academic researcher	Natal A., Muñoz-Grandé H. (2013) The Economic Environment of the Civil Society Organisations in Mexico, Mexico DF: CECAPISS (<i>El Entorno Económico de las Organizaciones de la Sociedad Civil en México, Mexico DF: CECAPISS (Natal A., Muñoz-Grandé H. (2013) El Entorno Económico de las Organizaciones de la Sociedad Civil en México, Mexico DF: CECAPISS</i>)	Academic book that investigates the social and political-economic contexts of Civil Society Organisations in Mexico during the 72 years of PRI regime in Mexico and its current situation (2011)
9	Report	Accelerator	New Ventures (2015). 10 Years catalysing social and environmental companies	The report showcases the impact investment movement in Mexico as a solution to global challenges. It portrays it as a tool that can be integrated into traditional capital markets. It builds its argument under the analogy of the heart that guides the invisible hand of the market.
10	Report	Government	Social Entrepreneurship: Proposal of guidelines to formulate public policies and private sector initiatives. A focus on the growth of social businesses. Report produced by Green Street and Ernest and Young Mexico for the Federal Government of Mexico (2014) (<i>Emprendimiento social: Propuesta de lineamientos para formular políticas públicas e iniciativas del sector privado. Un enfoque en el crecimiento de negocios sociales. Reporte producido por Green Street y Ernest and Young México para el Gobierno Federal de México (2014)</i>)	Report made by EY consultancy that proposes a set of public policy recommendations on social entrepreneurship to the federal government of Mexico. The report builds its proposal over the premise of the State Failure. It argues that social entrepreneurship can complement the limitations of the state in granting welfare to its citizens. It emphasizes the role of the individual as the centre of the social entrepreneurship.
11	Report	Government	Global Social Business Summit. Shaping global business to shape the world. Findings and conclusions of the event. Mexico, 27 and 28 of November of 2014. Report produced by Green Street and Ernest and Young Mexico for the Federal Government of Mexico. <i>Hallazgos y Conclusiones del evento. México, 27 y 28 de noviembre de 2014. Reporte producido por Green Street y Ernest and Young México para el Gobierno Federal de México.</i>	Report of the Global Social Business Summit organised in Mexico, event led by Prof. Yunus. It presents what are the social businesses, the importance of social entrepreneurs as individuals, the need of public policy and of being supported by the private sector.
12	Report	Umbrella organisation	Acceleration in Mexico: early impacts on Mexican ventures. May 2017	Report that presents data of Mexican social ventures that applied to acceleration programmes. It analyses the data from various perspectives: sector, gender, financial performance, founder background, motivation, intellectual property. Ventures are formed by individuals or small team of social entrepreneurs.

13	Report	Umbrella organisation	Acceleration in Mexico: early impacts on Mexican ventures. May 2018	Report that presents data of Mexican social ventures that applied to acceleration programmes. It analyses the data from various perspectives: sector, gender, financial performance, founder background, motivation, intellectual property. Ventures are formed by individuals or small team of social entrepreneurs.
14	Report	Umbrella organisation	Ashoka. Emprendimiento social en México y Centro América. Tendencias y recomendaciones. 2015	Report that presents the current situation (2015) of social entrepreneurship and its "ecosystem" in Mexico and Central America. It considers social entrepreneurship under the Ashoka perspective. Delineate policy and general recommendations.
15	Report	Consultancy	Redefining Success in a changing world. New views on social entrepreneurship. A summary of new survey data and opinion-leader interviews. 2015	Report that recapitulates on opinions of leaders regarding social entrepreneurs at a global level. Emphasises the role of the individual as the innovators, thinkers and doers that can interconnect the social need and the business opportunity to solve social and environmental challenges.
16	Report	Government	Diagnosis of the Programme for the Promotion to the Social Economy. December 2013. (<i>Diagnóstico del Programa de Fomento a la Economía Social. December 2013</i>)	Report that gives an account of the main results of the Diagnosis of the Social Economy Promotion Program by the National Institute of Social Economy. It argues that the problem of the social economy sector in Mexico is that it has not been consolidated as a real option for productive, working and financial inclusion for people.
17	Report	Network	B Corps Biannual Memory 2016-2017 (<i>Sistema B. Memoria Bianual 2016-2017</i>)	Report that presents the B Corps movement in Latin America, its mission, values, the B Corps in Latin American countries and the ongoing legal projects or proposals to create a B Corp legal figure.
18	Report	Network	Causes of failure in Mexican social enterprises (<i>Causas de fracaso de empresas sociales mexicanas</i>)	The report presents the causes of failure in social enterprises in the sectors of health, education, housing, financial inclusion and services for the base of the pyramid. A sample of 115 Mexican social entrepreneurs that experienced a form of failure. The report uses the social entrepreneur definition of The Canadian Social Entrepreneurship Foundation.
19	Report	Umbrella organisation	The social impact of Momentum Project (<i>El Impacto Social de Momentum Project</i>)	Report that presents the social impact of 56 social entrepreneurs that were supported by Momentum Project. This project was run by the BBVA Bank. It uses the indicators proposed by the Impact Reporting and Investment Standards (IRIS) promoted by the association of social investors of the Global Impact Investing Network (GIIN).
20	Report	Umbrella organisation	Emprendecalogo, 10 proposals for an innovative nation (<i>Emprendecalogo, 10 propuestas para una nación innovadora</i>)	Report of The Association of Mexican Entrepreneurs that presents 10 public policy proposals to boost the entrepreneurial movement in Mexico. It explicitly includes social entrepreneurs among these.

21	Report	Umbrella organisation	Study of Social Entrepreneurship and Innovation Ecosystems in the Latin American Pacific Alliance Countries. Country of Analysis: Mexico. July 2016	Report of the Inter-American Development Bank that presents the state of the art of social entrepreneurship and social innovation in Mexico. It presents the public policies in place, key players, and examples of social enterprises. The report departs from an Anglo-American viewpoint of social entrepreneurship to map actors in the country.
22	Report	Network	Impact Investment in Mexico, a growing market agenda. October 2018 (<i>Inversión de Impacto en México, agenda de un mercado en crecimiento. Octubre 2018</i>)	This report presents a diagnose of the state of impact investing in Mexico, and further proposes eight recommendations to strengthen this in the country. It is made by the Alliance for Impact Investing in Mexico (AIIMx). The AIIMx forms part of the Social Impact Investment Taskforce (SIIT), an international collaboration group created in 2013 under the UK chairmanship of the G8.
23	Report	Network	Taking the Pulse of the Social Enterprise Landscape in Developing and Emerging Economies. Insights from Colombia, Mexico, Kenya and South Africa. International Research Network on Social Economic Empowerment (IRENE-SEE) April 2015	The report presents the opportunities and limits of social enterprises and their ecosystem in four specific countries – Colombia, Mexico, Kenya and South Africa. The report adopts an Anglo-American approach to define social enterprise.
24	Report	Umbrella organisation	Institutional Challenges of the Legal Framework and Financing of the Civil Society Organisations. Alternativas y Capacidades 2006. (<i>Retos Institucionales del Marco Legal y Financiamiento a las Organizaciones de la Sociedad Civil. Alternativas y Capacidades 2006</i>)	This report presents a diagnose of the institutional challenges that Civil Societies Organisations (CSOs) face in Mexico. These include a criticism to the law that regulates the activities of CSOs in Mexico, and the federal and state level policies.
25	Data base	Government	Register of beneficiaries. Program: S020 National Entrepreneur Fund Fourth Quarter 2013 (<i>Padrón de beneficiarios. Programa: S020 Fondo Nacional Emprendedor Cuarto Trimestre 2013</i>)	Detailed list of beneficiaries from the INAES Entrepreneur fund during 2013.
26	Press report	Academic division	Agreement for the creation of the Yunus Centre for social business and welfare of the Autonomous University of Baja California (<i>Acuerdo de creación del Centro Yunus para negocios sociales y bienestar de la Universidad Autónoma de Baja California</i>)	Report that presents the creation, objectives and structure of the Yunus Centre for Social Business at the Autonomous University of Baja California.
27	Press report	Government	INADEM and Ashoka sign an agreement to promote high-impact entrepreneurship with social value (<i>Firman INADEM y Ashoka convenio para impulsar el emprendimiento de alto impacto con valor social</i>)	Press release from the Government of Mexico that states the formal partnership between INADEM and Ashoka in Mexico. It delineates intention of the partnership.
28	Public call	Government	Public call to access the support of the National Entrepreneur Fund 2014 (<i>Convocatoria pública para acceder a los apoyos del fondo nacional emprendedor 2014</i>)	Federal public call to participate in the INAES Entrepreneur fund.
29	Public call	Academic division	Call for the Course on creation, development and management of social enterprises. (<i>Convocatoria al Diplomado en creación, desarrollo y dirección de empresas sociales</i>)	Public academic call to enrol in the course on Creation, development and management of social enterprises. It offers a detailed account of its objectives, structure, and subjects. It adopts both SE perspectives, Anglo-American and European-Mainland.

30	Recorded presentation	Government	Conference: Productive Projects in the New Social and Solidarity Economy (<i>Conferencia: Proyectos Productivos en la Nueva Economía Social y Solidaria</i>)	Conference where the director of INAES (2019 onward) presents the productive projects that INAES is supporting.
31	Recorded presentation	Government	Rules of operation 2019, INAES. General issues. (<i>Reglas de operación 2019, INAES. Aspectos generales</i>)	Presentation that explains in broad terms the operative structure of the INAES.
32	Recorded presentation	Government	Rules of operation 2019, INAES. Procedures to request and obtain support. (<i>Reglas de Operación 2019, INAES. Procedimiento de solicitud y obtención de apoyos</i>)	Presentation that explains in detail the process to follow to obtain financial and operative support from the INAES.
33	Recorded presentation	Government	Social economy and the people by Juan Manuel Martínez Louvier at TEDxIberoPuebla (<i>Economía social y persona por Juan Manuel Martínez Louvier en TEDxIberoPuebla</i>)	Presentation delivered by the director of INAES (2019 onward) that explains his point of view about the social economy.
34	Online Interview	Government	The new challenges of the INAES, interview with Juan Manuel Martínez Louvier. (<i>Entrevista con Juan Manuel Martínez Louvier, los nuevos retos del INAES</i>)	Recorded interview in which the director of the INAES (2019 onward) explains the challenges that the social economy face in Mexico today.
35	Podcast	Social Enterprise	Disruptivo No. 60 - Grupo Paisano / The E-Show Magazine	Recorded interview where Grupo Paisano, a participant interviewed for this thesis, presents its business model.
36	Website	Network	Get to know the B corps of Mexico (<i>Conoce las empresas B de México</i>)	Website that presents the certified B corps in Mexico.

Source: created by the author with information of the documentation collected in fieldwork

Glossary

ANDE	Aspen Network for Development Entrepreneurs
CLARES	Latin-American Centre of Social Responsibility of the Anahuac University (<i>Centro Latinoamericano de Responsabilidad Social de la Universidad Anáhuac</i>)
EGADE	Graduate School of Business Administration and Leadership (<i>Escuela de Graduados en Administración y Dirección de Empresas</i>)
EMES	European Social Enterprise Research Network
FCCyT	Scientific and Technological Advisory Forum (<i>Foro Consultivo Científico y Tecnológico</i>)
FUNDEMEX	Foundation of Businessmen in Mexico (<i>Fundación del empresariado en México</i>)
ICEM	International Comparative Social Enterprise Models
INADEM	National Institute of Entrepreneurship (<i>Instituto Nacional del Emprendedor</i>)
INAES	National Institute of the Social Economy (Instituto Nacional de Economía Social)
ITAM	Mexico Autonomous Institute of Technology (<i>Instituto Tecnológico Autónomo de México</i>)
ITESM	Monterrey Institute of Technology and Higher Education (<i>Instituto Tecnológico y de Estudios Superiores de Monterrey</i>)
LESS	Law of the social and solidarity economy (<i>Ley de la Economía Social y Solidaria</i>)
NAFTA	North American Free Trade Agreement
OECD	Organisation for Economic Co-operation and Development

OSSE	Organisms of the social and solidarity economy (<i>Organismos de la Economía Social y Solidaria</i>)
Redcoop	Researchers and Educators on Cooperativism and Solidarity Economy (<i>Red Nacional de Investigadores y Educadores en Cooperativismo y Economía Solidaria</i>)
RedISMX	Network of Social Innovation in Mexico (<i>Red de Innovación Social en México</i>)
SE	Social Enterprise
SEKN	Social Enterprise Knowledge Network
SI	Social Innovation
UAM	Metropolitan Autonomous University (<i>Universidad Autónoma Metropolitana</i>)
UDEM	University of Monterrey (<i>Universidad de Monterrey</i>)
UK	United Kingdom
UNAM	National Autonomous University of Mexico (<i>Universidad Nacional Autónoma de México</i>)
USA	United States of America

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