

DISSERTATION INFORMATION

- Title: **Influence of intellectual capital and social capital on innovation capability and sustainable performance through knowledge management in the context of small and medium enterprises in Vietnam**
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Abstract

Although research on knowledge management in the SME context has increased in recent years. However, the relevance of knowledge management to improving innovation capacity and sustainable performance in the SME context has not been fully explored in previous studies.

In the small and medium enterprise context, internal knowledge dominates within the organization, while the most valuable sources of knowledge and resources may be outside the organization. However, the knowledge management orientation that combines both internal knowledge (internal intellectual capital) and external knowledge (external intellectual capital and social capital) of enterprises has not yet been explored in previous studies. Besides, sustainability has become one of the indispensable factors in the current business environment. Therefore, as part of corporate social responsibility, organizations need to adopt environmentally friendly approaches and advanced technology to deliver sustainable performance. This approach will positively influence social and environmental conditions while generating financial revenue. However, in the past, financial and non-financial aspects were often used to analyze performance. And the existing literature on corporate social responsibility shows that previous studies have hardly explored aspects related to the business activities of small and medium-sized enterprises. At the same time, existing studies on small and medium enterprises also do not address the influence of technological innovation on

sustainable performance, nor do they address the influence of knowledge management on sustainable performance.

In addition, research that simultaneously examines the relationships between knowledge management, innovation capabilities, and sustainable performance in the context of small and medium enterprises has also not been conducted in previous studies. From these foundations, the topic “The impact of intellectual capital and social capital on innovation capability and sustainable performance through knowledge management in the context of small and medium enterprises” was formed with the overall goal of investigating the influence of intellectual capital and social capital on innovation capability and sustainable performance through knowledge management in the context of small and medium enterprises. This goal is specifically divided into the following three goals: (1) Determine the influence of internal intellectual capital, external intellectual capital, and social capital on knowledge management in the context of small and medium enterprises; (2) Determine the relationships between knowledge management, innovation capability and sustainable performance, and determine the mediating role of innovation capability in the relationship between knowledge management and sustainable performance in small and medium enterprise context; and (3) Determine the influence of internal intellectual capital, external intellectual capital, and social capital on innovation capability and sustainable performance through knowledge management in the context of small and medium enterprises.

This is an empirical study. The deduction process is carried out based on fundamental theories along with previous studies, thereby forming a research model with 18 hypotheses. The context to test the hypotheses is small and medium enterprises. Related scales are inherited from previous studies. After the preliminary research phase, data for the final study were collected in Ho Chi Minh City using the convenience sampling method. Respondents are directors/deputy directors, or heads/deputy managers (one sample per enterprise). The official sample size of the study is 238. The data were analyzed using SPSS 22 and AMOS 22 software.

The results show that internal intellectual capital has a positive impact on innovation capability through knowledge management (specifically knowledge acquisition), thereby leading to sustainable performance; external intellectual capital has a positive impact on innovation capability through knowledge management (including knowledge acquisition and

knowledge sharing), thereby leading to sustainable performance; and social capital has a positive impact on innovation capability through knowledge management (including knowledge acquisition, knowledge sharing, and knowledge application), thereby leading to sustainable performance. In addition, the factors in the model explain 61.8% of the variation in innovation capability and 11.2% of the variation in sustainable performance. Therefore, the factors, which include internal intellectual capital, external intellectual capital, and social capital, along with intermediate elements of knowledge management (including knowledge acquisition, knowledge sharing, and knowledge application), included in the model are appropriate and meaningful. In addition, the results of this study also show that innovation capability plays a fully mediating role in the relationship between knowledge management (including knowledge acquisition, sharing, and application) and sustainable performance in the context of small and medium enterprises. From here, scientific and practical contributions are drawn.

Contribution

In terms of contributions to knowledge management theory, this is one of the first studies to show the role of open innovation in creating intellectual capital to supplement enterprise resources by considering the simultaneous impact of both internal intellectual capital, external intellectual capital, and social capital on knowledge management in the context of resource-limited small and medium enterprises. Not only that, but this is also one of the first studies to simultaneously consider the relationships between knowledge management, innovation capability, and sustainable performance, which helps clarify the mediating role of innovation capability in the relationship between knowledge management and sustainable performance in the context of small and medium enterprises. Finally, this study adds to the field of knowledge management research with an organizational-level model that simultaneously describes the relationships between intellectual capital (internal and external), social capital, knowledge management, innovation capability, and sustainable performance in the same model, helping to clarify the mediating role of knowledge management in converting intellectual capital and social capital into innovation capability and sustainable performance in the context of small and medium enterprises.

In practical terms, this research helps administrators/owners of small and medium-sized enterprises know how to create new and valuable knowledge for their organizations to fill the

knowledge gap in their enterprises through effective management of intellectual capital and social capital. Specifically, combining external knowledge and resources with internal capabilities creates a good foundation for innovation cooperation. Effective knowledge management positively affects the competitiveness of enterprises by providing the right and necessary knowledge to the right person or organization at the right time. This will ultimately improve innovation capability and maintain sustainable performance. Therefore, enterprises need to strengthen cooperation with external partners, as well as establish strong network relationships to acquire, share, and develop new knowledge, as well as more innovative products and services. Besides, as part of their social responsibility, organizations need to adopt environmentally friendly approaches and advanced technology to achieve sustainable performance. In this regard, changing product portfolios and processes, proactively participating in environmentally friendly activities, and using technological innovations for sustainable development should become top priorities for enterprises.

Besides the results achieved, this study still has some limitations in research design and implementation. Corresponding to these limitations, possible future research directions have been proposed.

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