



01/

THE SOCIAL INNOVATION LANDSCAPE – GLOBAL TRENDS

Social innovations have emerged in recent years as objects of both research and practice. They exert an influence on people's lives in a variety of forms. They change the way we live together, work, handle crises, and make the most of opportunities.

Social Innovation is not an isolated concept; rather, it holds strong ties to other schools of thought and research traditions. As diverse as the new practices labelled Social Innovation are, the conceptual underpinnings draw on the experience of a variety of disciplines contributing to the rich, multi-layered nature of the phenomenon.

The following chapter provides insight into current research streams focusing on Social Innovation in various ways. The articles provide an overview of different conceptualizations focusing on social practices, resilience, entrepreneurship, the capability approach, the multilevel perspective, workplace innovation, social design, and more. Furthermore, the chapter sheds light on cross-cutting themes such as gender, diversity and ICT. Before concluding with an excursus on the relationship between Social Innovation and Social Change, the chapter presents SI-DRIVE's main theoretical findings on societal needs and challenges addressed, Social Innovations' resources, the actors involved, the process dynamics at play and the emerging building blocks of a typology.

DESPERATELY SEEKING: A SHARED UNDERSTANDING OF SOCIAL INNOVATION

Why we need a shared understanding of how to unfold the potential of social innovation in order to better understand how social innovation leads to social change.

Jürgen Howaldt / Josef Hochgerner

The development of a theoretically sound concept is an important challenge to unfold the potential of social innovation. Defining social innovation as a new combination or figuration of social practices allows integrating the many different (and sometimes conflicting) meanings of social innovation and offers a new perspective on the multiplicity of the concept of social innovation. This also offers the opportunity for a better understanding of the relationship of social and technological innovation and lays the foundation for further scientific research.

A NEW PERSPECTIVE ON INNOVATION

The importance of social innovation for successfully addressing the social, economic, political and environmental challenges of the 21st century has been recognised not only within the Europe 2020 Strategy but also on a global scale. There is a growing consensus among practitioners, policy makers and the research community that technological innovations alone are not capable of overcoming the social and economic challenges modern societies are facing. The global mapping of social innovation initiatives uncovers countless approaches and successful initiatives that illustrate the strengths and potentials of social innovations in the manifold areas of social integration through education and poverty reduction, in establishing sustainable patterns of consumption, or in coping with demographic change. At the same time, social innovations are gaining in importance not only in relation to social integration and equal opportunities, but also in respect to the innovative ability and future sustainability of society as a whole (see article „Social Innovation on the Rise“)

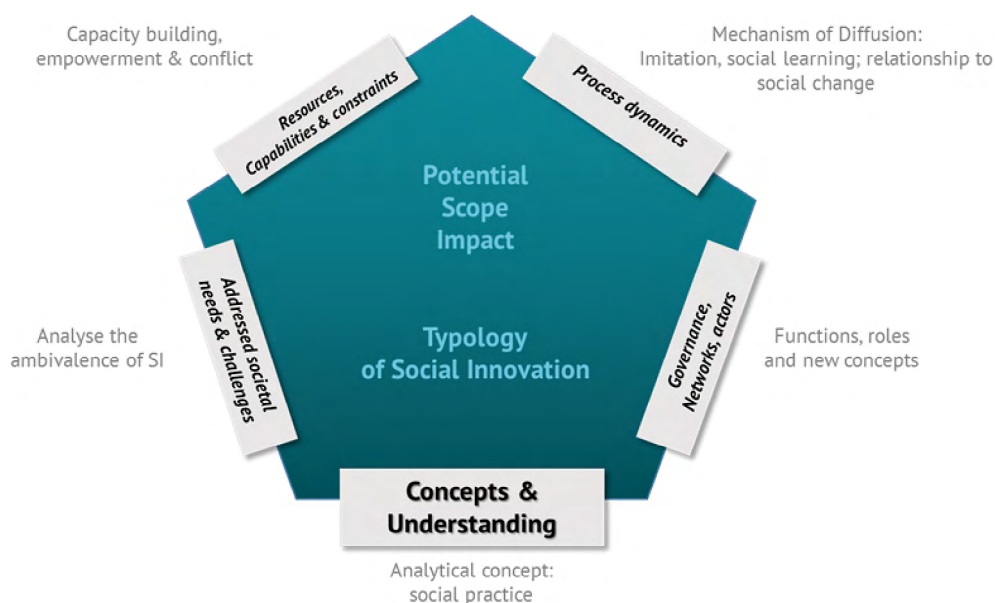
A LONG HISTORY OF DISCUSSION

The term social innovation can be traced back to the early 19th century, long before technological-economic connotations determined the common understanding of innovation. Lacking a theoretically mature definition, it was first mainly related to the socialist revolution. Later it became associated with social reforms taking place especially in the areas of education and work [1]. At the beginning of the 20th century, a new meaning of the term emerged: *Social innovation as the advent or adoption of a new behaviour or a new practice*. These practices encompass all areas of society, such as gender relations, formal and informal education, management, governance as well as everyday life, established habits and cultural customs. Recently the term served as a *universal label* for any social phenomenon and process of change.

HIGH EXPECTATIONS MEET AN UNDERDEVELOPED CONCEPT

Accordingly, it comes as no surprise that the global mapping revealed an underdeveloped status of conceptualisation and institutionalisation. There is no shared understanding of social innovation (including a clear differentiation from other concepts such as social entrepreneurship or technological innovation). A plethora of vastly diverging subject matters and problem dimensions as well as expectations for resolving them are subsumed under the heading 'social innovation' without making distinctions between different social and economic meanings, the conditions governing its inception, its genesis and diffusion, and without clearly distinguishing it from other forms of innovation.

Thus, on the one hand a *broad spectrum of social innovations* is present in different policy fields. On the other hand, all policy field reports of the SI DRIVE project notify an unclear



understanding and call for conceptual clarification of the concept. Policy field related documents of public authorities such as the European Commission, the United Nations, the OECD, the World Bank, etc. often even do not refer to social innovations (exceptions are Horizon 2020 documents as well as publications of some DGs).

A DEFINITION BASED ON SOCIAL PRACTICE THEORY

Inspired by the increasing political and public interest in the concept, the *international scientific debate has gained momentum throughout the last years* [2]. Against the background of a largely neglected theoretical conceptual discussion and the implied conceptual weakness of the notion, aspirations to stimulate an interdisciplinary discourse are on the rise. At the same time, there is an increase in attempts to systematically differentiate between research streams, to strengthen the different perspectives theoretically, and to establish social innovation as an analytical concept with a well-defined research subject.

With the aim to develop a theoretically sound concept of social innovation the SI DRIVE project focusses on *social practices* as the central object of analysis. Taking its cue from Schumpeters basic definition of innovation, *social innovation* is seen as a new *combination of social practices* in certain areas of action or social contexts. What distinguishes social innovations from other manifestations of social change is that they are driven by certain actors in an intentional targeted manner with the goal of better satisfying or answering needs and problems than is possible on the basis of established practices. An

innovation is therefore social to the extent that it is socially accepted and diffused in society or certain societal sub-areas and ultimately becomes institutionalized as new social practice. Just like any innovation social innovation does not necessarily provide impact that is 'good' for all or 'socially desirable' in an extensive and normative sense [3].

Based on this definition it was possible to develop *five key dimensions*, which fundamentally affect the potential of social innovations, their scope, and their impact. Starting from social practices as the central object of analysis the pentagram of the five key dimensions summarises the key dimensions. It helps to understand the complexity and ambivalence of innovation and to take a strict scientific approach of looking at and analysing social innovations throughout their life cycles, from ideation and intentions to actual implementation and impact. *Impact* may be discerned quite inconsistently (ranging from 'good' to 'bad') by different social groups, strata, or generations [4]. The pentagram structure was the basis to apply the social innovation concept in theoretical and empirical research to all sectors of society (public, private business, and civil society) as well as to European and other world regions.

The advantage of this kind of approach to elaborate a general theory is that it gives leeway to integrate main elements to describe social innovations: eco-system, diffusion and imitation, combining different policy fields, policy (top-down) and grassroots (bottom-up) driven initiatives, system related/integrated, system complimentary or subsidiary initiatives, taking advantage of technological developments, etc.

A SHARED UMBRELLA DEFINITION

Searching for “practices” allows to cover a broad spectrum of social innovations in different policy fields and world regions, including even including even initiatives which are not explicitly called social innovations. At the same time the concept helps to understand how social innovations procure new practices (e.g., policy instruments, new forms of cooperation and organization). Particular methods, processes and regulations are developed and/or adopted by citizens, users, beneficiaries, customers, entrepreneurs, politicians etc. in order to meet social demands and to resolve societal challenges better than by existing practices. From this perspective, the research focuses on analysing the process of invention, implementation (introduction to a context of use), diffusion and institutionalisation of new social practices in different areas of social action.

governance models, addressed societal needs and challenges, resources, capabilities and various constraints.

At large, social innovations aim at activating, fostering, and utilising the innovation potential of the whole society. Involving target groups and empowering beneficiaries, increasing their capacities to meet social needs and giving them ‘agency’ is an indispensable component of social innovation. Thereby various forms of user involvement emerge, such as the development or improvement of the

Taking its cue from Schumpeters basic definition of innovation, social innovation is seen as a new combination of social practices in certain areas of action or social contexts.

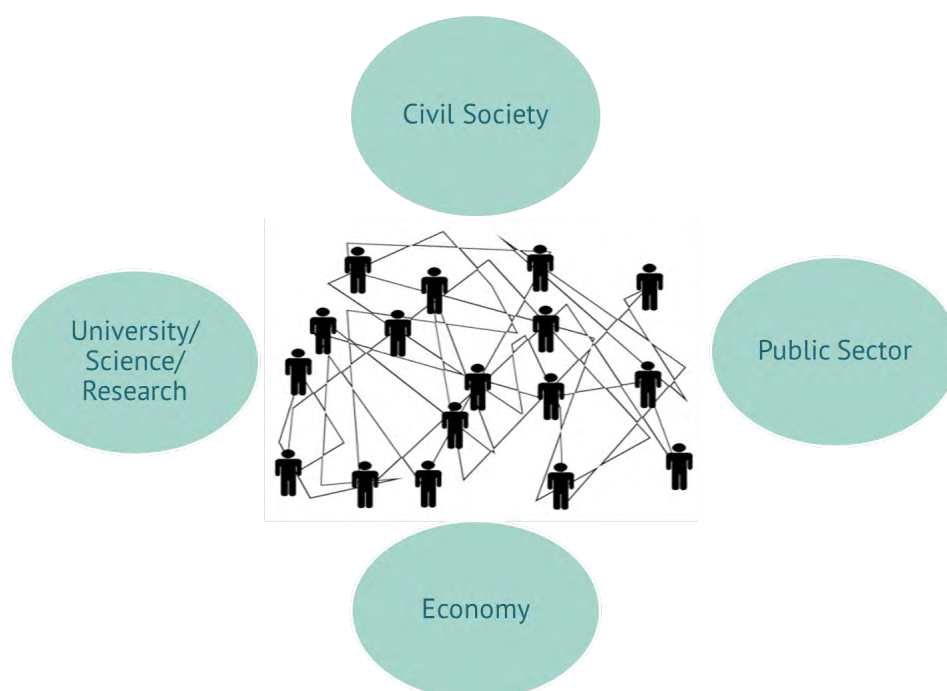
SOCIAL INNOVATION – A JOINT FORCE

Social innovations in a sense of new practices are *omnipresent* and appear in a variety of forms *changing the manner in which we live together*. Thereby, a constructive partnership between societal sectors is a very important factor in order to reap the full potential of social innovation. Social innovations are first and foremost *ensemble performances, requiring interaction between many actors*. Considering the complexity of innovation processes we need to focus on the cross-sector dynamics of social innovation and the diversity of actors and their roles and functions in the innovation process. Player often interact in networks etc.) across boundaries, yet still they are subject to limiting or conducive framework conditions such as

solution, provision of feedback, suggestions and knowledge, onto the adaptation of the social innovation idea for personalized solutions. Against this background cross-sector cooperation and empowerment appear as indispensable features of a concept of social innovation that is ready to take substantially part in a comprehensive innovation policy.

NEW TECHNOLOGIES ENABLING NEW SOCIAL PRACTICES

While in many social innovation initiatives and practice fields technologies do not play an important role (e.g. integrated care; income support, reduction of educational disadvantages) in others technology is essential (E/M



Health; Repairing, Re-using and Recycling). Even though in different practice fields and social innovation initiatives the role of technology varies greatly, the possibility to take advantage of new technologies for tackling social problems often motivates or triggers action.

Overall new – but also the re-use of old and basic – technologies may offer new opportunities for social innovation. Technology can be, an enabler, an instrument, a supporter, a form of substantiated knowledge, and a prerequisite for diffusion. Especially the potential of social

Developing a theoretically grounded concept of social innovation is key to create an integrative theory of socio-technical innovation.

media and mobile technologies happen to drive social innovations. In this regard novelties in technology can be a crucial to spark off new social practices. Yet looking at the same issue from the other side, in many cases new technologies are made viable and effective by the implementation of cooperative practices shaped by participating collectives.

This underlines the enormous relevance of social innovations concerning effective measures (including the application and utilisation of new technologies) to cope with, e.g., climate change: Policies for energy management (less energy consumption and more efficient energy supply) rely on technologies. However, their deployment will hardly be feasible and effectual if practices (behavior, norms, values) were to remain invariant. The SI-DRIVE concept of social innovation, based on social practices, helps to better comprehend the differences between social and technological innovation as well as to recognise that they are closely interlinked and support each other.

CONCLUSION

Developing a theoretically grounded concept of social innovation is key to create an *integrative theory of socio-technical innovation*. Such a new paradigm considers social innovation not only a precondition for, a concomitant phenomenon with or a mere consequence of technological innovations that should compensate for shortcomings in policy areas beyond the established RTD (Research and Technology Development) policies.

The great challenge for contemporary innovation research lies in analysing its potential in the search for new social practices enhancing a secure future evolution and allow people to live “a richer and more fulfilled human life” [5, p. 108]. SI-DRIVE made an important contribution by developing and testing a comprehensive and analytical definition which describes social innovation as a new combination or figuration of social practices.

This definition of social innovation allows integrating the many different (and sometimes conflicting) meanings of social innovation and offers a new perspective on the diversity of the concept of social innovation. Empirical research results of SI-DRIVE demonstrate that this approach integrates the manifold meanings of social innovation under a shared umbrella. Moreover, it leads to a common notion and guidance for scientific research, funding policies and practical utilisation in practice on society's micro-, meso- and macro levels.

REFERENCES

- [1] Godin, Benoit (2012): Social Innovation: Utopias of Innovation from c.1830 to the Present. Project on the Intellectual History of Innovation. Working Paper No. 11. Internet: http://www.csiic.ca/PDF/SocialInnovation_2012.pdf [Last accessed 08.07.2015].
- [2] Ayob, Noor-seha/ Teasdale, Simon/ Fagan, Kylie (2016): How Social Innovation ‘Came to Be’: Tracing the Evolution of a Contested Concept. In: *Journal of Social Policy*, 45 (4), pp. 635–653.
- [3] Howaldt, Jürgen/ Schwarz, Michael (2010): Social Innovation: Concepts, research fields and international trends. IMO international monitoring. Internet: http://www.sfs.tu-dortmund.de/cms/Medienpool/small_publications/Doc_1289_IMO_Trendstudie_Howaldt_Schwarz_englische_Version.pdf [Last accessed 05.09.2017].
- [4] Hochgerner, Josef (2013). Social innovation and the advancement of the general concept of innovation. In: Ruiz-Viñals, Carmen/ Parra-Rodríguez, Carmen (Eds.): *Social innovation*. Routledge: Oxford and New York, pp. 12–28.
- [5] Rorty, Richard (2007): *Philosophy as Cultural Politics*. Philosophical Papers. Volume 4. University of Cambridge.

SOCIAL INNOVATION AND RESILIENT SOCIETIES

Social innovation is the third leg in a stool of resilient societies. Building resilience requires reducing vulnerability of excluded and endangered populations. Social innovation draws on the diversity and richness of these, sometimes marginalized, populations to find novel solutions to intractable problems.

Frances Westley

In 1972, Bunker Roy and a small group of colleagues set up the Barefoot College in Tilonia, Rajasthan, India. Their vision was an interesting and catalytic one, joining old and new, traditional and radical. Informed by the teachings and philosophy of Mahatma Gandhi – giving the poor and the dispossessed the means to produce their own necessities – the Barefoot College trained the poor to build their own homes, to become teachers in their own schools, and to produce, install, and operate solar panels in their villages. Roy and his colleagues also emphasized empowering women in general and grandmothers in particular. As a result, “professional” expertise was placed in the hands of the poorest of the poor and the weakest of the weak: village women.

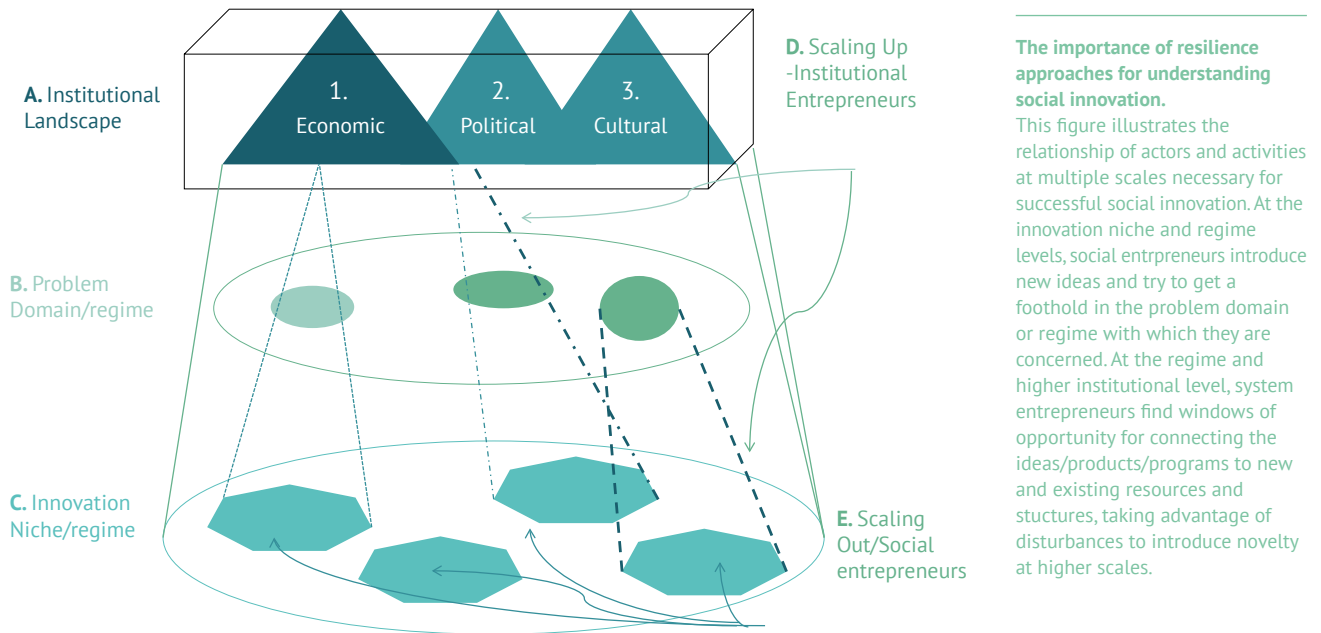
In one way, Barefoot College’s innovations were deeply radical – challenging the conventions of village life, professional associations, and traditional culture. In another way they were classic bricolage, a term drawn from the junk collectors in France and defined as “making creative and resourceful use of whatever materials are at hand (regardless of their original purpose).” In this case the juxtaposition of elements not normally combined addressed a cluster of intractable problems including the health needs, gender inequalities, energy needs, and educational needs of the developing South.

A social innovation may be defined as “any project, product, process, program, platform or policy that challenges and, over time, changes, the defining routines, resource and authority flows or beliefs of the broader social system which created the problem in the first place” [1]. By this definition, Barefoot College is clearly a social innovation, and a successful one, that has spread across the developing world: women from African villages have traveled to India to learn about its ideas and practices, and graduate students from North America are applying the concepts to aboriginal communities in the North. On the other hand, portable homes for the homeless, while an invention that gives the homeless living in urban

areas shelter from the cold and a place to sleep undoubtedly relieves suffering in the short run, but in the long run does nothing to address the root causes of homelessness. Creating support networks for those with disabilities gives their families the comfort that they will be safe and secure after their death, but does not allow those with disabilities to escape their financially dependent status.

Resilience theory is becoming more popular as a lens to focus on linked social-ecological systems at all scales, from the individual, to the organization, to the community, to the region, and to the globe. As a theory, it is deeply interdisciplinary, representing the intersection of psychology, ecology, organization theory, community studies, and economics [2; 3]. It is similar to sustainability science in that it is a whole system approach that posits inextricable links between the North and the South and between the economy and the environment. But it differs in that it focuses on the balance between continuity and change, a continuous (or infinite) cycle of release, reorganization, growth, and consolidation that characterizes all resilient living systems.

This “infinity loop” or “adaptive cycle” as it has been caused, represents the balance between continuity and change that is at the heart of resilience. In the release and reorganization phases, new elements may be combined in new ways. In the growth and consolidation phases, these new combinations attract resources and capital and deliver returns in energy, biomass, or productivity on which the system depends and thrives. To understand this concept, think about a mature forest, with energy and physical capital stored up in biomass. A forest fire triggers a release of energy and resources. New life forms spring up in the fertile ground, absorbing the nutrients quickly. Some of these forms are species that have lived in that forest before; others are new. Not all can survive, so a pattern of dominance results in some species dying out and others accumulating biomass to grow to a mature forest. Resilience theory suggests that a serious loss of



system resilience happens only when the system gets trapped at some point in the cycle: System resilience lies in the continuous movement through the cycle, causing the system to adapt or transform in the process.

Now consider this cycle applied to innovation, either technical or social. As Joseph Schumpeter outlined in *Capitalism, Socialism, and Democracy*, entrepreneurs come up with new ideas, using the resources available (release phase). Some ideas fail, but others are further elaborated onto proposals for new products, programs, processes, or designs (exploration phase). If these are strong enough to attract new resources (financial, cultural, political or intellectual), they are launched (exploitation phase). If they secure a market, they mature and become part of the established system. Here too we see a similar pattern: the association of old and new ideas in the idea generation stage; a shakeout of competing ideas and organizations in favor of those able to attract the most resources; a pattern of dominance and consolidation of successful ideas and organizations; and the institutionalization of the innovations so that they become business as usual.

The similarity between the cycle of innovation and the cycle of the release and renewal of resilient ecosystems is striking. But resilience theory suggests that for the broader system (the organization, the community, or the broader society) to be resilient, it is not enough to innovate. Inventions and innovations need to infuse societal institutions with new life and purpose. Although many innovations allow for adaptation (such as portable homes for the homeless that allow the homeless to live more successfully in extreme temperatures), other innovations, more disruptive and radical, are needed to keep the system from becoming rigid at higher scales. For example, the internet has challenged how we work, how we relate and how we distribute resources. It is not enough to create an innovation and to deepen the

niche, nor is it sufficient to replicate it in other contexts. For an innovation to truly build long term social resilience, it must “scale-up”, taking advantage of disturbances in institutional arrangements so as to create real change at the level of our economy, our political system, our culture and our legal system.

Resilience theory has many lessons to teach people involved in social innovation. The most important is the need to look at a problem systemically. Western culture has a long history of introducing solutions (particularly technical ones) designed to solve a specific problem, without considering the broader system impacts the solution might have. Consider the race to develop biofuels. The current preoccupation with finding energy sources to replace fossil fuels and petroleum-based products threatens to neglect the multiple system impacts that the production of biofuel has on the environment and society. For example, because biofuels can be grown on poor land (a plus from the point of view of producers), they are likely to absorb land currently used for subsistence agriculture in the developing world, making food security even more precarious.

Another example of negative unintended consequences on the larger system is the development of ecotourism in the Galapagos Islands. The islands offer unparalleled biodiversity. To maintain this diversity and to stimulate the local Ecuadorian economy, ecotourism companies compete to bring small groups of tourists to the islands. The government controls how many people can disembark on an island, but there is less control over the number of boats that can sail or motor close to an island. As a result, the increasing numbers of boats have caused drastic erosion of the coral reefs. What may seem like a panacea can turn out, when viewed from the point of view of the larger system, to be an illusion.

Understanding resilience can also help social innovators balance top-down and bottom-up approaches to crafting solutions. For example, relief agencies were concerned that the trauma of displacement would cause Eritrean women living in refugee camps to suffer post-traumatic stress. But it turned out that as long as the women were able to create coherent accounts or stories and share them with others, their stress was manageable. Similarly, when efforts were made to provide people with their traditional foods (such as “famine foods”), communities were much more resilient in the face of famine. Because of experiences such as these, international relief organizations are increasingly working closely with local people (by listening and learning) rather than immediately responding with top-down solutions.

WHAT SOCIAL INNOVATION BRINGS TO RESILIENCE

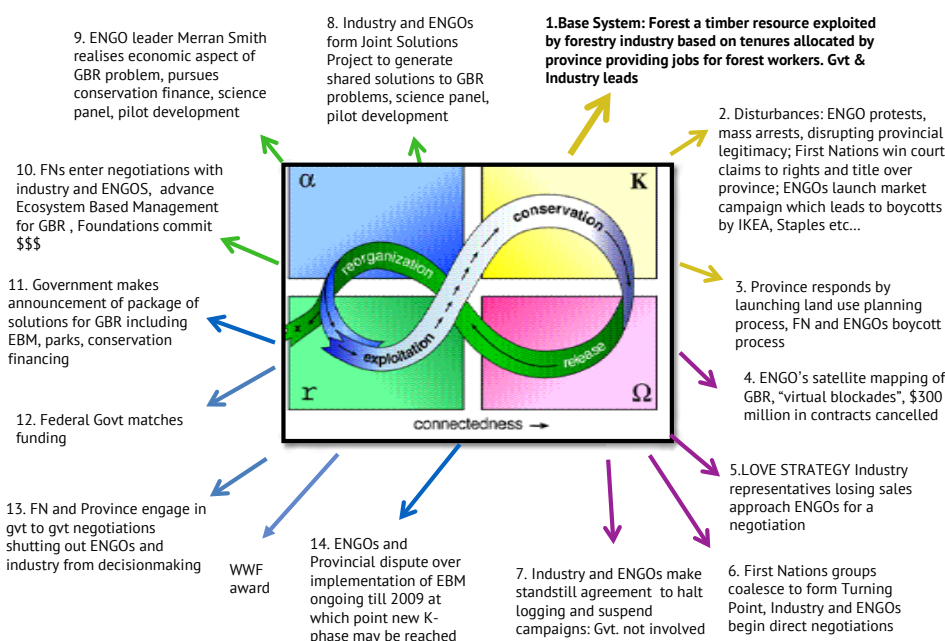
One of the most important attributes that a social innovation approach offers is that it helps people understand the process by which social systems adapt or are transformed. In particular, the approach shines a light on the various actors (such as social entrepreneurs and system entrepreneurs) who help these processes happen.

A large amount of research on social entrepreneurs has been undertaken. Less research has been done, however, on the system entrepreneurs who are responsible for finding the opportunities to leverage innovative ideas for much greater

system impact. The skills of the system entrepreneur are quite different from, but complementary to, those of the social entrepreneur.

The system entrepreneur plays different roles and uses different strategies at different points in the innovation cycle/innovation cycle, but all of these roles are geared toward finding opportunities to connect an alternative approach to the resources of the dominant system. Opportunities occur most frequently when there has been some release of resources through political turnover, economic crisis, or cultural shift. In the Great Bear Rain Forest in British Columbia (BC), Canada, a political and economic crisis was provoked by the success of aboriginal land claims in the BC courts and the success of Greenpeace International's marketing campaign. This crisis created an opportunity for system entrepreneurs (a coalition of several NGOs) to convene a series of meetings and facilitate a process that allowed stakeholders who had been vehemently opposed to one another (aboriginal groups, logging companies, logging communities, the BC government, and environmental NGOs) to put aside their differences and begin to create solutions.

As these solutions multiplied, the system entrepreneurs moved into a new role: that of broker. They created bundles of financial, social, and technical solutions that offered a real alternative to the status quo. Once workable coalitions of actors and ideas had been forged, system entrepreneurs assumed yet another role – selling these ideas to those



Great Bear Rainforest Through the Adaptive Cycle

Different strategies of system entrepreneurs at different phases of the innovation cycle are presented. Beginning with number 1 (yellow arrows) we see system entrepreneurs working to create disturbances in the rules and relationships that governed the forestry industry in British Columbia. International campaigns to stop consumers in Europe from buying old growth forest products had an impact on the economic viability of the BC logging industry. Successful land claim lawsuits launched by Canada's west coast First Nations, weakened government of the land. This opened a release phase, forcing government and logging companies to the table, where they began to explore solutions (purple arrows) and broker deals for a package of social innovations (red arrows). In the exploitation phase, critical political, cultural and financial resources were mobilized, leading to institutionalization of elements of the Great Bear Rain forest strategy (conservation phase).

able to support the alternative with resources, policies, and media support. When policies were made to formalize new protection policies, financial support packages, and cultural promotion, the system entrepreneurs changed roles yet again by going back to the beginning of the cycle and reframing and challenging the status quo. In the process, the capacity of the social system as a whole to manage such transformations and adaptations had been strengthened. The same process is being used in a modified form in current negotiations around the boreal forest [4].

In many instances, this kind of transformation takes many years. It requires a long period of preparation in which an innovative alternative is developed and then scaled up when a window of opportunity opens. In a recently completed historical study of innovations that ultimately changed the institutions that had created the problem in the first place, it became obvious that for real social transformation, we may need to think in terms of decades and even centuries. Success involves brokering partnerships with initiatives in what Stuart Kauffman has termed “the adjacent possible”, initiatives with more momentum that could carry the innovation further than it could on its own steam. So we see the early social entrepreneurs who created the National Park System in North America, at times joined forces with the conservation biologists, and at others with the railroads being built to the west who were encouraging tourism. These partnerships both strengthened the original innovation and created tensions and paradoxes that carried forward through successive stages. We were also able to see the activity through time of social entrepreneurs, system entrepreneurs and policy entrepreneurs who carried the idea forward through the years [5].

Of course, “managing for emergence” is easier in some cultures than others. Some cultures allow ideas to move freely and quickly, combining with other ideas in the kind of bricolage necessary for innovation. Studies of resilience at the community, organizational, and individual levels suggest

that these same qualities characterize organizations and communities that are resilient to crisis and collapse. The characteristics that these organizations and communities share are low hierarchy, adequate diversity, an emphasis on learning over blame, room for experimentation, and mutual respect. These are all qualities that support general resilience. If they are attended to, the capacity for social innovation will also increase, creating a virtuous cycle that in turn builds the resilience of the entire society.

CONCLUSION

People involved in social innovation and people involved in creating a resilient society adaptation and transformation are dynamic, cyclical, and infinite. Social innovation is not a fixed solution either; it is part of a process that builds social resilience and allows complex systems to change while maintaining the continuity we rely on for our personal, organizational, and community integrity and identity.

To create a resilient society, it is important not to rely solely on the social entrepreneurs who come up with innovative ideas. Neither should one rely solely on government to create innovative opportunities. Instead, we should watch for those moments when crisis, disaster, or strategic vision opens a window for securing resources for the most promising alternatives.

Last, it is important to focus on a new kind of entrepreneur who complements the social entrepreneur: the system entrepreneur. The system entrepreneur identifies the promising alternatives to the dominant approach and then works with networks of others to stimulate and take advantage of opportunities for scaling up those innovations. Working at the level of the whole system, system entrepreneurs develop the alternatives, attract the resources, and work toward the moment when the system tips [6].

REFERENCES

- [1] Westley, Frances/ Antadze, Nino (2010): Making a Difference: Strategies for Scaling Social Innovation for Greater Impact. In: *The Innovation Journal: The Public Sector Innovation Journal*, 15 (2). Internet: <http://www.innovation.cc/all-issues.htm> [Last accessed 25.09.2017].
- [2] Walker, Brian/ Holling, Crawford S./ Carpenter, Stephen R./ Kinzig, Ann (2004): Resilience, Adaptability and Transformability in Social – Ecological Systems. In: *Ecology and Society*, 9(2), p. 5. Internet: <https://www.ecologyandsociety.org/vol9/iss2/art5/> [Last accessed 25.09.2017].
- [3] Holling, Crawford S. (2001): Understanding the Complexity of Economic, Ecological, and Social Systems. In: *Ecosystems*, 4 (5), pp. 390-405. Internet: www.esf.edu/cue/documents/Holling_Complexity-EconEcol-SocialSys_2001.pdf [Last accessed 25.09.2017].
- [4] Riddell, Darcy/ Tjörnbo, Ola/ Westley, Frances (2012): Agency and Innovation in a Phase of Turbulent Change: Conservation in the Great Bear Rainforest. In: Golden-Biddle, Karen/ Dutton, Jane E. (Eds.): *Using a Positive Lens to Explore Social Change and Organizations*. Routledge: New York.
- [5] Westley, Frances/ McGowan, Katharine/ Tjörnbo, Ola (Eds.) (2017): *The Evolution of Social Innovation*. Edgar Elwin Press: London.
- [6] Westley, Frances/ Tjörnbo, Ola/ Schultz, Lisen/ Olsson, Per/ Folke, Carl/ Crona, Beatrice/ Bodin, Örjan (2013): A theory of transformative agency in linked social-ecological systems. In: *Ecology and Society*, 18 (3), p. 27. Internet: <http://dx.doi.org/10.5751/ES-05072-180327> [Last accessed 25.09.2017].

SOCIAL INNOVATION AND TERRITORIAL DEVELOPMENT

The article stages spaces and places as habitats of hope and change, resistance and social innovation, with high potential of socio-political transformation. It summarizes two long-term action research trajectories, one in Europe and one in Québec, showing the importance of socially innovative initiatives, governance and institutionalization processes.

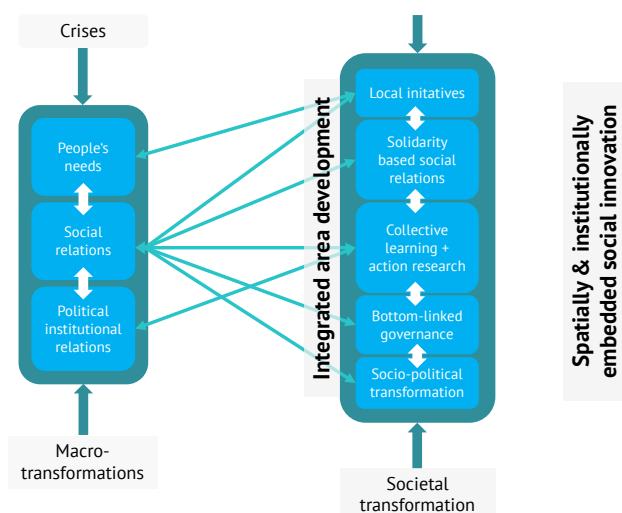
Frank Moulaert / Pieter Van den Broeck

In the 1980s, in Europe and Canada, social innovation was rediscovered as both a scientific concept and an action slogan for analysing and guiding territorial development, especially in urban areas. Mainly referring to two action research trajectories, one focused on Europe, the other on Québec in Canada, this short article addresses area-based community development from a social innovation perspective. It explains how bottom-linked governance is a *conditio sine qua non* for durable socially-innovative urban commons and why neighbourhoods, socio-spatially identifiable localities and spaces, work as breeding grounds for social innovation.

In section 1, it sheds light on the place of social innovation in territorial development. In the subsequent two sections, it explains two trajectories of territorially rooted socially innovative action- research. The article closes by making some more general reflections on spaces of SI.

SOCIAL INNOVATION: FROM URBAN STUDIES TO TERRITORIAL DEVELOPMENT

Urban studies and the disciplines practicing them have been among the main incubators of social innovation theory. Although the concept of social innovation goes back to the 17/18th century [1] and has been used in many different contexts since then, it only reached scientific status in the debates starting with the social movements in the 1960s, the role of social innovation in the social economy and corporate responsibility, and as a structuring principle in the analysis of local development trajectories and how they have nourished socio-economic change in neighbourhoods, cities and (semi-)rural localities [2]. The original historical meaning of social innovation refers to social change and social transformation. Today its meanings are more diverse and show affinities to different macro-ideologies, the most important being caring neoliberalism and socio-political transformative social innovation [3]. According to the *first ideology* social innovation should pursue more equity among citizens and social groups by 'socialising' market mechanisms: eliminating market failure, thus creating the necessary opportunities to make the market more inclusive, for example by integrating more fragile workers within existing firms, or by providing institutional spaces in which social economy initiatives can build up their own activities, yet in harmony with the market. The *second ideology* starts from the failure of governance and politics in different spheres of society and considers social innovation as a strategy and process not only to satisfy individual and collective needs abused by the market, but to strengthen the solidarity content of social relations between people involved in social innovation initiatives, as well as call up these relations as triggers of socio-political empowerment. Urban studies have almost naturally adopted the view of social innovation following the second ideology; naturally, because of the material, social and political conditions inherent to a territory looking for renewed human development.



Territory in this approach is defined as the localised interconnected spatial forms of the relations between actants (agents, beings, natural substances) living and acting there. These forms can be physical, natural or social. A useful way to characterise a territory is by way of a systems metaphor, as for example done in the Integrated Area Development approach [4] which divides the city in different spheres referring to social and ecological functions which, through different types of (collective) agency, seek integration or enter into greater conflict. In this metaphor *social innovation is organically present in three ways*:

- as the strategies of agents seeking satisfaction of their material, economic, ecological, political and socio-cultural needs;
- as the improvement of spatialised social relations between agents and the socio-ecological relations between actants – a tripartite sustainability perspective in relation building. Improvement here refers to pursuing values such as solidarity, reciprocity and association; respect between and rejection of exploitation of actants by actants;
- as the building, from the revived social relations up, of new territorially based political relations – new governance systems inseminated by the experiences in the socially innovative governance systems cooperatively constructed by socially innovative agents (organizations, social economy firms, associations of actors and actants, etc.).

The (re)building of territory and territorial community is based on the interaction between these spatially embedded strategies, social relations and socio-political empowerment leading to new governance dynamics. In this (re)building process, the intrinsic relationship between action and research is of high interest. By itself, this relationship is an expression of a social innovation practice: it

applies the basic principles of improved social relations and governance to the action-research process itself. When defined, produced, managed and implemented together with all actors involved, research not only is instrumental to understanding and building social innovation, it also becomes a socially innovative practice itself, renewing the theory and practice of research, questioning its hegemonic assumptions, conventions and methods, and stimulating researchers to take up cross-bred roles between research and practice.

We now present two action research trajectories focusing on social innovation in urban territories, and especially the neighbourhood or the 'quartier'. Both trajectories start in the 1980s, but in different parts of the world, with teams who only learned to know each other at the later stage of their research activities (in the 1990s) and started to work together. Both teams have also worked on 'La région sociale' or the 'Social Region' [2][5]. Both trajectories are based on

close relationships between action and research, with roles of different actors often exchanged or shared between actors. For example, consultation, participation and co-construction events are typically the concerted responsibility of researchers, local organizations, leaders of development corporations, etc.

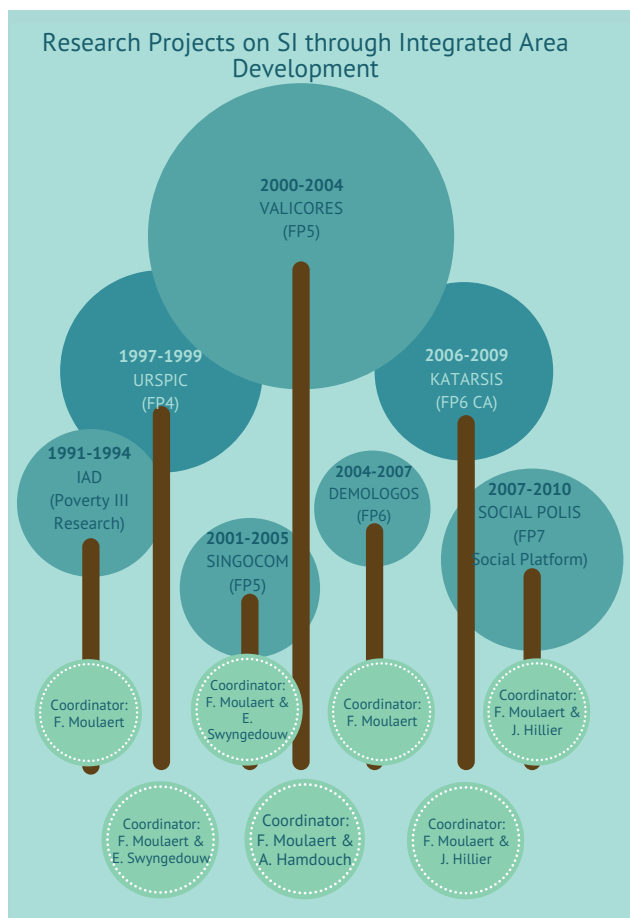
INTEGRATED AREA DEVELOPMENT IN EUROPEAN CITIES

This action- research trajectory started in the late 1980s / early 1990s as part of the research activities of the European Commission's Poverty III programme, and lasted till 2005. It covered seven research projects with specific objectives, focused on fighting social exclusion in cities and localities, and on analysing their structural and institutional features in which social innovation materialises or could so in the future. Most of these research projects were funded by the EC's Framework Programmes (see infographic on the chronology of research projects).

The base model of this trajectory was Integrated Area Development (IAD), explained above. The model was built through observing socially innovative development trajectories, especially in urban neighbourhoods in decline, e.g. in cities like Bilbao, Antwerp, Athens, Charleroi, Milano etc. Connecting (integrating) strategies, actors, assets, social

Urban studies have almost naturally adopted the view of social innovation following the second ideology; naturally, because of the material, social and political conditions inherent to a territory looking for renewed human development.

dynamics and neighbourhoods showed the promising way forward for socially inclusive local development. The implementation of the model was supported by institutional dynamics and policies of the time such as the European Commission's Urban Programme, other sections of the European structural funds, national, regional and city-wide urban development programmes in the EC Member States. Several successful cases were identified such as neighbourhood development in North East Antwerp, Quartieri Spagnoli in Naples, Olinda in Milano [4]. The IAD model kept its status as both an analytical guide and action framework in the subsequent projects. URSPIC and DEMOLOGOS focused on the structural and institutional dynamics of alternative territorial development. SINGOCOM gave a more concrete content to the opportunities for social innovation in diverse institutional contexts. VALICORES examined the relationship between social and other types of innovation in development and innovation (systems). KATARSIS and SOCIAL POLIS worked hard to operationalise



Chronology of research projects on social innovation through integrated area development

models for socially innovative action research developing new modes of (transdisciplinary) cooperation between actors, not only applicable at the local level, but also in a wider spatial network.

TERRITORIAL DEVELOPMENT AND ACTION RESEARCH IN URBAN QUÉBEC

Territorially based action research involving scientists, activists, union members, associations and politicians has played an active role in territorial development in Québec since the 1960s. As of the 1980s the role of civil society associations became more explicit. For the Québec case, where interaction between the different state levels (Federal, Provinces, Québec being the only francophone province) and civil society organizations, has been overall synergetic over the last half century, we can argue that “it is a good example of a configuration in which social cohesion relies on important social innovations that have occurred since the 1960s” [6, 7] in many fields, the most important probably being labour, living conditions and local development. Klein et al. characterise the nature of these social innovation dynamics as the interaction between collective governance, co-production of (social) services, co-construction of public

policies and the plural character of the economy. In local development, these dimensions have adopted particular territorial forms. In terms of governance, under pressure of several waves of economic crisis, a more endogenous development perspective was adopted, which went along with a decentralization in state structures (agencies) and the creation of bodies of cooperation and co-production, in which the role of civil society organizations working from specific areas became strategic. Given the economic needs, social movements increasingly took economic initiatives, yet in full respect of the principles of economic democracy. In Montreal, for example, this change in governance was materialised in the creation of Community Economic Development Corporations (CDEC) whose main objectives are to promote the collaboration among the actors at the neighbourhood level to launch ‘partnership-based development projects, support local entrepreneurship for job creation, and improve the employability of unemployed people [7]. The reliability of this approach led to the creation of Local Development Centres (CLDs) as “multiservice organizations bringing together socioeconomic, political and local community centres”. The CLD are operating across Québec, also in outlying regions, at the level of the MRC (“Municipalité régionale de comté”; freely translated as Regional County). In the neighbourhoods, these new governance dynamics created space for influential roles of social movements, especially a leadership position within the Communitarian Development Corporations in Montréal (CEDC). The latter could be considered as an institutionalization of successful bottom-up experiments at the neighbourhood level. Indeed these new state-civil society forms of cooperation created opportunities for co-production and the development of a plural economy. The plural economy model is based on consensus building between economic, social, cultural and political actors, working together to let education, cultural, social services (not the least health services), labour market training and enterprise creation in various sectors synergise with each other. Within the CEDC, soft and hard economic concerns are no longer profiled as antagonistic, but as *reinforcing each other*.

ALTER SPACES FOR SOCIAL INNOVATION ACTION AND RESEARCH

The two trajectories of territory-rooted social innovation explained in this text show the importance of the interaction between new socially innovative initiatives on the one hand (housing experiments, people-centred learning, solidarity-based work spaces, alter networks of action research, etc.), governance and institutionalization processes on the other hand.

The involvement of civil society organizations in the building of new forms of territorial cooperation fostered more democratic forms of governance (especially bottom-linked governance), opening up the range of economic activities

to social services and culture, stimulating attitudes of entrepreneurs to new corporate forms (social and solidarity enterprises), socially innovative forms of work organization and solidarity relationships between citizens and actors within and beyond the territories.

The involvement of civil society organizations in the building of new forms of territorial cooperation fostered more democratic forms of governance (especially bottom-linked governance), opening up the range of economic activities to social services and culture, stimulating attitudes of entrepreneurs to new corporate forms (social and solidarity enterprises), socially innovative forms of work organization and solidarity relationships between citizens and actors within and beyond the territories.

The strength of the Quebec model compared to that of many of the European countries, is that state and civil society symbiosis has led to shared institutionalization, while in the European context the state and private market sector have pushed civil society organizations into a subsidiary role; and this despite the innovative role many of these actors have played in setting up socially innovative initiatives and modes of governance [3][4][6]. In Western Europe neoliberalism has privileged policies which reduce social innovation initiatives to instruments for rationalising the welfare sector and accompany socially innovative enterprises onto the road to the market economy. This trend also tends to reinforce the trend to reduce social innovation to the

creation of social enterprises, thus underplaying different other dimensions of social innovation such as building solidarity relations in neighbourhoods and democratising urban governance. Fortunately, there is mushrooming of social innovation initiatives beyond the state realm that keep

experimenting new social initiatives, relationships and modes of governance. Moreover, hope has risen because of the growing disapproval of citizens with European neoliberalism, with electoral expressions more in favour of territorial development despite the global market. The political translation of the Indignados movement into Podemos and other political formations, strongly defending new housing and neighbourhood policy in local governments, is probably the most explicit expression of such transformation till now. But also the

fighting back on both the Left and the Right of rural communities regain the right to local initiatives in agriculture, food production, culture and education, social services and so forth, as expressed during the recent French (presidential) electoral campaign, is politically significant.

Spaces and places as habitats of hope and change are a very important focus in social innovation action research today. In addition to the references cited in this short article, several other cases of places of resistance and social innovation have recently been covered in the literature as triggers of socio-political transformation, judged as absolutely necessary to guarantee the future of happiness for all [8].

REFERENCES

- [1] Godin, Benoît (2012): Social Innovation: Utopias of Innovation from c.1830 to the Present. Project on the Intellectual History of Innovation Working Paper No. 11.
- [2] Van Dyck, Barbara/ Van den Broeck, Pieter (2013): Social Innovation: a territorial process. In: Moulaert, Frank/ MacCallum, Diana/ Mehmood, Abid/ Hamdouch, Abdelillah (Eds.). The International Handbook on Social Innovation. Collective Action, Social Learning and Transdisciplinary Research. Edward Elgar: Cheltenham, pp. 131-141.
- [3] Moulaert, Frank/ MacCallum, Diana/ Mehmood, Abid/ Hamdouch, Abdelillah (Eds.) (2013): The International Handbook on Social Innovation. Collective Action, Social Learning and Transdisciplinary Research. Edward Elgar: Cheltenham.
- [4] Moulaert, Frank/ Swynghedouw, Erik/ Martinelli, Flavia/ Gonzalez, Sara (Eds.) (2010): Can Neighbourhoods Save the City? Community development and social innovation. Routledge: New York and London.
- [5] Moulaert, Frank/ Nussbaumer, Jacques (2008): La logique sociale du développement territorial. Presses de l'Université du Québec: Québec.
- [6] Klein, Juan-Luis/ Fontan, Jean-Marc/ Harrisson, Denis/ Lévesque, Benoit (2013): The Québec Model: a social innovation system founded on cooperation and consensus building. In: Moulaert, Frank/ MacCallum, Diana/ Mehmood, Abid/ Hamdouch, Abdelillah (Eds.): The international handbook on social innovation: collective action, social learning and transdisciplinary research. Edward Elgar Publishing: Cheltenham.
- [7] Klein, Juan-Luis/ Morissette, Pierre (2013): Le développement économique communautaire et la cohésion sociale à Montréal: une recherche partenariale sur l'apport des CDEC. CRISES: Montreal.
- [8] Perera, Nihal (2016): People's Spaces. Coping/Familiarising/Creating. Routledge: New York and London.

THE CONCEPT OF SOCIAL ENTREPRENEURSHIP

Have you ever wondered how the world will be able to tackle the ‘wicked’ problems that beset us all such as climate change, mass migration, global poverty or the current grotesque levels of inequality? This article will explore one set of ‘clumsy’ solutions to these problems – social entrepreneurship.

Alex Nicholls / Tanja Collavo

INTRODUCTION

Social entrepreneurship represents one of the most notable innovations in global civil society in recent times. While many of the activities and approaches associated with this term are not in themselves new – for example, social enterprises’ use of business models to generate income to support social programs – the evolution of a discrete organizational field for such action does represent an important structural change in the institutions of social action [1]. Although the term “social entrepreneur” was first coined as long ago as the 1970s, it has only been in the past twenty years or so that the term has started to gain traction within a range of interrelated discourses across civil society, government, and the private sector. Such discourses have been shaped and driven forward by a range of new field-building organizations, such as foundations, fellowship programmes and networks, as well as by governments, international organizations (e.g. The European Union) and many academic institutions.

However, the institutionalization of social entrepreneurship as a new “conceptual apparatus” with which to make sense of innovation in civil society remains an ongoing, and sometimes controversial, project, not least because it is seen by some as signifying the marketization of collective action and of civil society activities previously based around participation, active citizenship, and political change. Indeed, some has conceived social entrepreneurship as simply a mechanism by which business (and the state) can co-opt and compromise the integrity and independence of civil society rather than reinvigorate and diversify its models of societal change. While such critiques represent a useful corrective to some of the hyperbole that has been associated with social entrepreneurship, they also misinterpret the particular distinctiveness of this new field of action:

namely, that it aims to generate outcomes that are superior to conventional models through innovation in, and disruption to, the status quo of public, private, and civil society approaches to the provision of social and environmental goods. In this way, social entrepreneurship is best understood in a linear – rather than disruptive – relationship with the historical norms of social and community action.

What is distinctive about social entrepreneurship are not the institutional elements it embodies, but rather the patterns in which it assembles familiar material into new, sector-blurring, organizational logics and structures. Actions of this kind are able to harness organizational hybridity to drive innovation and change that is focused on social and environmental outcomes, often by generating positive externalities and communities’ participation to their own empowerment and/or improvement. For civil society, social entrepreneurship has come to represent a new stream of activity that aligns the objectives of achieving scale in

What is distinctive about social entrepreneurship are not the institutional elements it embodies, but rather the patterns in which it assembles familiar material into new, sector-blurring, organizational logics and structures.

systemic social change with the goal of empowering individuals as “changemakers” [2][3]. For government, particularly in the United Kingdom, the for-profit social enterprise model offers an attractive approach to marketizing social welfare programs without proposing a fully-fledged

privatization of the state [4]. For the private sector, social enterprise provides a model to access otherwise inaccessible market opportunities such as the poor at the Bottom of the Pyramid movement; state welfare budgets; and a growing body of “ethical” consumers [5]. Engagement with social entrepreneurship has also provided other commercial benefits, both as a means by which flagging Corporate Social Responsibility (CSR) strategies can become a part of the core activities, and as a new arena for ‘impact’ investment that is typically uncorrelated with conventional capital markets.

DEFINING SOCIAL ENTREPRENEURSHIP

Social entrepreneurship is intrinsically a difficult phenomenon to pin down and describe. Its very nature calls for a combination of logics and activities typical for the social and public sectors with logics and activities associated with the business sector. Because of such hybridity, social entrepreneurship as a concept usually is context- related and expressed through very different forms and combinations.

Social entrepreneurs and enterprises operate in a broad range of sectors: from arts and culture to banking, from real estate development to agriculture. Furthermore, their hybrid nature can manifest itself in different ways. For example, social enterprises and entrepreneurs can solve wicked problems through innovation or create employment opportunities for marginalized people and communities. This variety makes it difficult to circumscribe the phenomenon, since this may cause the exclusion of important projects and innovative solutions.

Dacin et al. identified 37 different definitions of social enterprises and social entrepreneurs [6]. These definitions mentioned, as core characteristics of this new phenomenon, concepts as varied as innovativeness, creation of social change, embeddedness in a specific community, adoption of virtuous entrepreneurial behaviors, diffused ownership and financial sustainability. The only common trait among these 37 different views is the description of social entrepreneurs and enterprises as able to mobilize resources primarily for the creation of a positive social and/or environmental impact and the association of social entrepreneurship with optimism and social change.

Today, social entrepreneurship is a fluid and contested phenomenon. Indeed, in some senses, it is a field of action in search of an established institutional narrative and conception. Largely, the diversity of discourses and logics that characterize social entrepreneurship reflects the internal

logics and self-legitimizing discourses of a broad range of influential, resource holding actors who are actively engaged in building the field, rather than any particular “reality” [7]. Thus, government has conceptualized social entrepreneurship as the solution to state failures in welfare provision. Civil society has conceived it instead as a space for new hybrid partnerships, a model of political transformation and empowerment, or a driver of systemic social change. Finally, for business, social entrepreneurship has represented a new market opportunity or a natural development from corporate social responsibility and socially responsible investment.

Despite evidence that social entrepreneurship is growing in influence as a field of action, significant questions remain concerning the definition of its limits and boundaries, particularly in terms of how broad or narrow its scope should be. At its simplest, social entrepreneurship is private action for public good. Nonetheless, there is now some broad agreement that a number of other dominant characteristics set the boundaries of such action.

Government has conceptualized social entrepreneurship as the solution to state failures in welfare provision. Civil society has conceived it instead as a space for new hybrid partnerships, a model of political transformation and empowerment, or a driver of systemic social change. Finally, for business, social entrepreneurship has represented a new market opportunity or a natural development from corporate social responsibility and socially responsible investment.

First, all social entrepreneurship shares a primary, strategic focus on social or environmental outcomes that will always override other managerial considerations such as profit maximization. Second, there is always evidence of innovation and novelty either in challenging normative conceptions of an issue, in the organizational models and processes that are developed, or in the products and services that are delivered (and sometimes in all three of these dimensions). Third, there is always a strong emphasis on performance measurement and improved accountability, aligned with a relentless focus on improving the effectiveness of organizational impact and scale and the durability of outcomes. Finally, much of social entrepreneurship blends logics and organizational models from across the three sectors of liberal democratic society, namely, the state, private business and civil society. These blended models – such as social enterprises or businesses for a social purpose – introduce innovation to challenge the status quo. These defining factors can be further refined under four headings: sociality, innovation, market orientation, hybridity.

Beyond these four defining elements, a detailed analysis of the discourses around social entrepreneurship globally also reveals four categories of definition. The first view of social entrepreneurship is characterized by a focus on social enterprises as businesses trading for a social purpose. This perspective has been developed by funding organizations such as Social Enterprise UK in the UK and research networks such as EMES across Europe. The second discourse around social entrepreneurship focuses instead on social entrepreneurs. It depicts them as 'hero' innovators and disruptors, changing the status quo of multiple sectors to create a fairer and more equal society. The main proponents of this view are international organizations like Ashoka and the Skoll Foundation. The third view describes social entrepreneurship as the realization of initiatives – either business-like or charity-like – that benefit the community where they are implemented, increasing the participation of marginalized groups and people in the local economy or society. This type of discourse was predominantly found in the U.K. at the origins of the sector but has been gradually marginalized from public discourse. Such a conceptualization is still nonetheless endorsed in the U.K. by intermediaries such as the School for Social Entrepreneurs and, to some extent, UnLtd. Finally, especially in the U.S., social entrepreneurship is seen as the undertaking of revenue-generating activities and trade from the side of non-profits that want to enhance their financial independence and sustainability.

The four contextual views of social entrepreneurship are generally included, at least to some extent, in the three main schools of thought within the research literature. The "social entrepreneurs as innovators and disruptors view" is closely related to the school of thought referred to by Defourny and Nyssens as "The Social Innovation School of Thought" [8]. The "social enterprises as businesses" view is instead connected to the "EMES approach to social enterprise" and, to a certain extent, to the scholarship looking at social

practices of businesses. The understanding of social entrepreneurship as the undertaking of income-generating activities matches instead the „Earned income“ school of thought. Finally, the view of "social entrepreneurship as community initiatives" can be seen as implicitly encompassing the definitions of social entrepreneurship as collective activity, solving failures of either the public or private sectors.

CONCLUSION

This chapter has suggested that social entrepreneurship represents a new, important, and growing subsector of civil society. It also proposes that this new field encompasses a variety of sector-blurring discourses that are being driven by significant institutional changes in modern societies. Research suggests that social entrepreneurship is something of an umbrella term for a wide variety of organizational forms and activities, but also that boundaries can be set for the field in terms of the presence of four qualifying factors at the organizational level: sociality, innovation, market orientation, and hybridity. However, these boundary conditions are being expressed in the context of three larger sets of discourses and logics in the field globally: social entrepreneurship as business for a social purpose, social entrepreneurship as hero-lead social change, social entrepreneurship as community development and action. As a consequence, there remains some ambiguity and contestation surrounding the concept of social entrepreneurship. Yet, this very ambiguity may also be strength as it facilitates this emergent sector to be adaptable and innovative when faced with the most demanding problems of our time.

REFERENCES

- [1] Dees, J. Gregory (1994): *Social Enterprise: Private Initiatives for Common Good*. Harvard Business School Press.
- [2] Drayton, William (2002): The Citizen Sector: Becoming as Entrepreneurial and Competitive as Business. In: *California Management Review*, 44 (3), pp. 120–32.
- [3] Edwards, Michael (2010): *Small Change: Why Business Won't Save the World*. Berrett-Koehler: San Francisco.
- [4] Cabinet Office (2007): *Social Enterprise Action Plan: Scaling New Heights*. Office of The Third Sector: London.
- [5] Nicholls, Alex (2008): Capturing the Performance of the Socially Entrepreneurial Organization (SEO): An Organizational Legitimacy Approach. In: Robinson, Jeffrey/ Mair, Johanna/ Hockerts, Kai (Eds.): *International Perspectives on Social Entrepreneurship Research*. Palgrave Macmillan: London.
- [6] Dacin, Peter A./ Dacin, M. Tina/ Matear, Margaret (2010): Social Entrepreneurship: Why We Don't Need a New Theory and How We Move Forward From Here. In: *Academy of Management Perspectives*, 24 (3), pp. 37–58.
- [7] Nicholls, Alex (2010): The Legitimacy of Social Entrepreneurship: Reflexive Isomorphism in a Pre-Paradigmatic Field. In: *Entrepreneurship Theory and Practice*, 34 (4), pp. 611–634.
- [8] Defourny, Jacques/ Nyssens, Marthe (2010): Conceptions of Social Enterprise and Social Entrepreneurship in Europe and the United States: Convergences and Divergences. In: *Journal of Social Entrepreneurship*, 1 (1), pp. 32–53.

ECONOMIC UNDERPINNING OF SOCIAL INNOVATION

SOCIAL INNOVATIONS' CONTRIBUTION TO INCLUSIVE GROWTH

Social innovation will realise its potential contribution to inclusive growth only to the extent it can unfold its social and economic impact for beneficiaries as well as society at large. For social innovation to flourish an inspiring environment that provides support and enables mutual learning is essential.

Judith Terstriep / Maria Kleverbeck

INTRODUCTION

Europe is confronted with many complex and interrelated socio-economic challenges such as youth unemployment, migration, ageing population or poverty to name but a few. Individuals and groups affected by hard to solve problems resulting therefrom – also referred to as wicked problems – face significant constraints notably in their ability to fully participate in social, economic, cultural and political life. Social innovations emerging in Europe and around the world offer a promising avenue to sustainably address the problems at hand.

However, social innovation will realise its potential contribution to inclusive growth only to the extent it can unfold its social and economic impact for vulnerable and marginalised populations as well as for society at large. It is argued that empowering these groups helps to overcome the daunting problem of resource shortcomings by enhancing peoples' quality of life through empowerment of individuals to engage in society which strengthens integration, welfare, and social cohesion in the long-term. In this sense, exclusion is not viewed as individual inadequacy, but is imputable to institutional blockings and shortcomings, market failures, public sector silo thinking and growing fragmentation of the civil society. One can logically conclude that a shift from viewing vulnerable groups as burden to society to one that values their individual potential and their contribution to society constitutes a cornerstone in the social debate.

The paper is organised as follows: next the meaning of »economic underpinning« is introduced followed by a presentation of SIMPACT's model of components, objectives and principles (COP) which was used to elaborate sustainable business models (section 4). The last section discusses the role of a conducive environment for social innovation.

Social innovation refers to novel combinations of ideas and distinct forms of collaboration that transcend established institutional contexts with the effect of empowering and (re)engaging vulnerable groups either in the innovation process or as a result of it.

Terstriep (2016), p. 5

This article substantially builds on the findings of the FP7-SSH project »SIMPACT«¹, which centred on the economic dimension of social innovation in an attempt to better apprehend social innovations' impact on social and economic transformation [1].

THE MEANING OF »ECONOMIC UNDERPINNING«

By placing emphasis on the economic underpinning of social innovation, SIMPACT points to the pivotal role of social innovation as a lever for individual wellbeing, collective welfare, social justice and effectiveness, in sum sustainable social impact. Such orientation contributes to bridging the gap between large scale societal challenges and small-scale social innovation activities.

Social innovation as novel combination of ideas and distinct form of collaboration cover a broad range of practices that transcend levels of governance (micro, meso, macro), institutional boundaries and sectors (public, for-profit, not-for-profit or social enterprise). At the micro level the many small, locally embedded initiatives address a variety of distinct needs. By empowering vulnerable groups, they actively facilitate processes of inclusion. At the meso level

it is about institutional change. That is, social innovators as »rule breakers« challenge existing practices, established welfare and market institutions (e.g., rules, laws, attitudes, modes of governance). At the macro level, social innovation entails a new division of labour between the sphere of politics, i.e. welfare regimes and institutions that govern them, civil society and market-driven economy.

INTERPLAY OF COMPONENTS, OBJECTIVES & PRINCIPLES

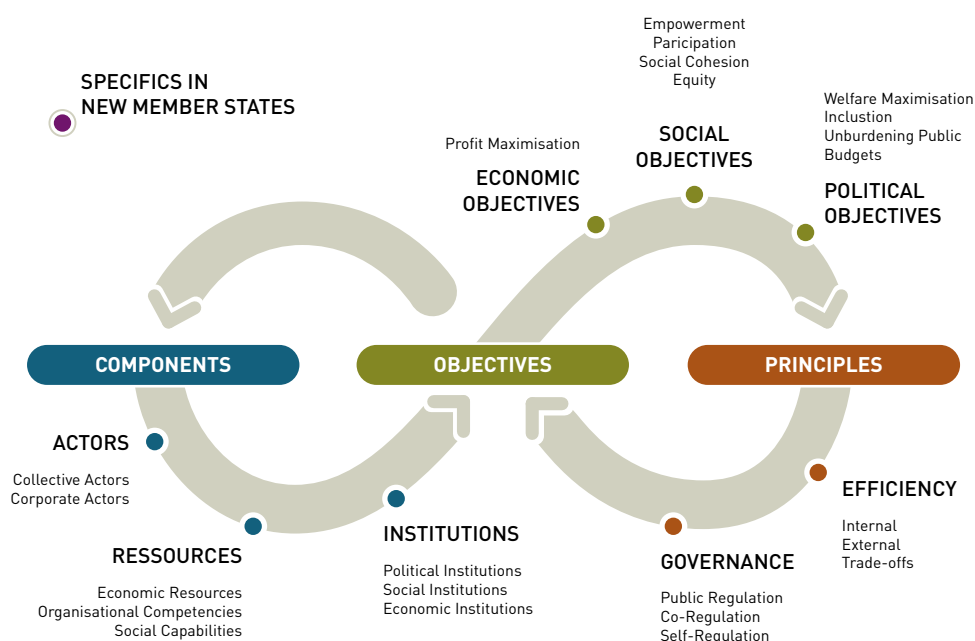
Social innovation as an evolutionary process comprises the development, implementation, practical application and consolidation of novel combinations of ideas and collaboration among a variety of actors. Hence, social innovations are characterised by an iterative process of experimentation and learning with an open end including abandonment and failure. That is why the economic foundation of social innovation hinges upon the proper identification of social innovation actors, resources and institutions (i.e. components), actors' objectives and under-lying principles (COP).

Components comprise actors and resources as production factors and institutions as given context factors. From an economic perspective, actors from civil society (formal and informal), the economic and policy field are central elements. The nature and extend of resources mobilised throughout the innovation cycle substantially affect the solution. Commonly, social innovators have to combine economic, political, social and personal resources to bring their solution into life. Knowledge is assessed as an essential economic resource for social innovators' seizing opportunities. Social resources interact with economic resources and include, for

example, relational capital. In turn, they imply investments in relational assets, knowledge sharing routines, complementary resources and capabilities. In addition, political resources such as human rights either influence or complement the use of economic resources. Finally, political, welfare, social and economic institutions can be designed to empower social and economic actors as well as to foster social innovation. Moreover, social innovators are embedded in a specific institutional context where actors' behaviour and interactions take shape.

Objectives comprise social innovators' motives and goals which are either economically or socially driven or a combination of both. Economic objectives comprise, for example, profit maximisation, cost reduction, welfare maximisation, discharge of public budgets, whereas social objectives embrace empowerment, social cohesion, solidarity or quality of life. Foremost, social innovators' motivation bases on commitment and collaboration.

Principles refer to mechanisms of decision making and interaction between actors and the context. With regard to the economic foundation of social innovation, efficiency and modes of governance are most relevant principles. Acting under conditions of resource scarcity, efficient resource allocation in accordance to actors' objectives is crucially important for social innovation actors to achieve their objectives. Modes of governance describe mechanisms of decision making, leadership and ownership and range from public regulation to co-regulation and self-regulation. Distinct modes of efficiency can best be described as dilemmas [3]. Examples are contradictions and trade-offs between economic and social goals, short-term success and long-term impact, competition and collaboration.

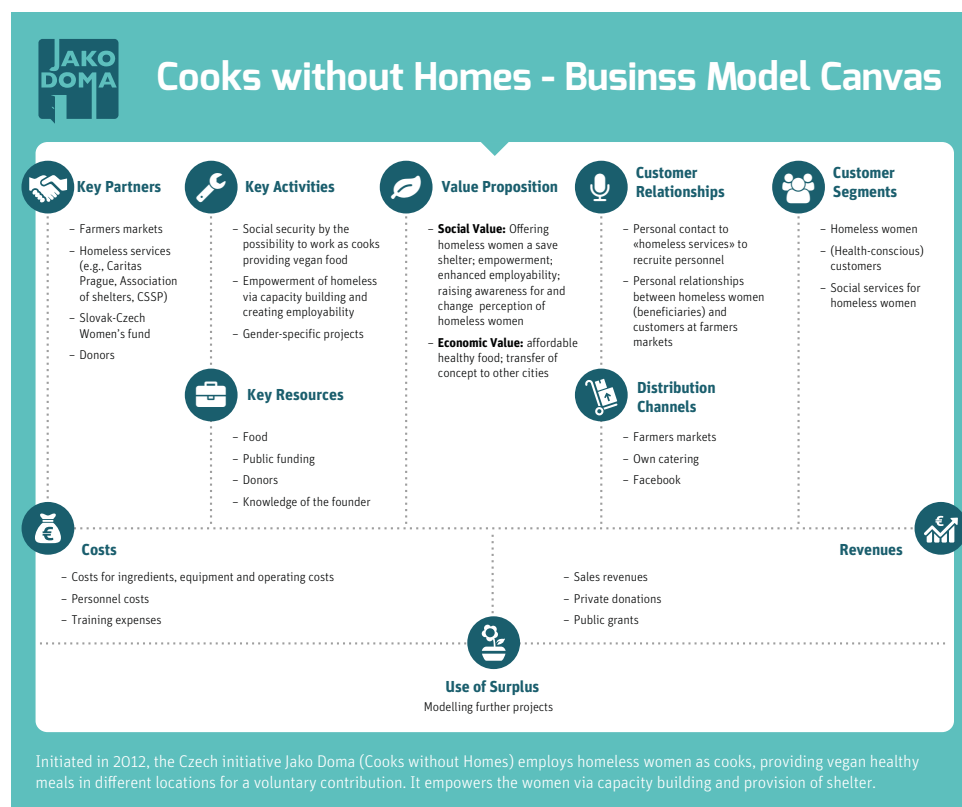


In the social innovation process, the outlined elements are mutually dependent. The model anticipates that the interplay between factors within an element and the dynamics between components, objectives and principles drive social innovations' economic and social impact. For example, subject to the actors involved in the innovation process available resources such as knowledge, human and relational capital, and finance are expected to vary, and therewith affect the scope of action. Likewise, the specific institutions actors are embedded in may fuel or hinder social innovation, while in turn – over the course of time – actors' innovations ideally result in institutional change. Moreover, social innovation actors' objectives are shaped by actor constellations and motivations on the one hand and available resources on the other hand. Changing objectives or diffusion of the solution might call for the involvement of new or distinct actors, whereas the allocation of resources to achieve defined goals is closely related to modes of efficiency and governance.

Hence gaining a detailed understanding of the components, objectives and principles as well as underlying processes and contexts of social innovations allows to explore potential levers and mechanisms that accelerate social and economic transformation, develop improved business models as exemplified in the following, and elaborate public policies that support social innovation processes.

SUSTAINABLE SOCIAL INNOVATION BUSINESS MODELS: UNITING SOCIAL AND ECONOMIC INTERESTS





Our research has revealed that social innovation business models are shaped by the vision of creating, delivering and capturing social and economic value. They are structured as multi-actor models, crafting multiple value propositions (e.g., combining economic and social objectives) for various target groups and depend considerably on broad networks of supporters [4].



Business Model Canvas »Jako Doma«, Source: Adapted from [4]

Due to resource scarcity, most social innovations are operated under a bricolage approach often resulting in frugal solutions. Although pursuing primarily a social mission, most social innovation initiatives rely significantly on additional revenue streams to sustain their operations. Hence, hybridity, i.e. creating a commercial offer from a social mission, emerges as a common feature of social innovation business models. Social innovators may choose, for example, to work with beneficiaries whose capabilities are perceived by traditional companies as antagonistic (e.g. long-term unemployed, ex-offenders) or may lack necessary distribution channels. It follows that social innovation business models are built on the social mission and on finding complementarity between economic and social transactions [5]. In addition, social innovation business models are often structured around a divergence in the allocation of costs, use and benefits resulting in multiple value propositions and distinct customer segments.

Economic value is captured through the derivative currency of social value. Distinct from traditional business models, value is not only created by satisfying demands but also through the process of delivery (e.g. used resources, service delivery). Founded in 2012, the Czech social innovation initiative »Jako Doma«, for example, not only generates social value through the provision of healthy vegan food at farmers markets for a voluntary contribution, but also by employing homeless women as cooks. In other words, social value is what allows social innovators to create a unique offer and

SI BUSINESS MODEL	DESCRIPTION
 <p>Beneficiary as Actor</p>	Social value is generated through the active use of beneficiaries in the production of a commercial value proposition.
 <p>Beneficiary as Customer</p>	Social value is generated through goods or services that are sold to beneficiaries at below market rates subsidised by financing supporters.
 <p>Beneficiary as User</p>	Social value is generated through goods or services that are delivered to beneficiaries through the support of financing supporters.
 <p>Community Asset</p>	Social value is generated through the active use of all assets in the community to create mutual benefit supported by the actors themselves.

Social Innovation Business Models

thus, competitive advantage. Finding the appropriate business model able to generate economic value while maintaining and increasing social value is thus crucially important for social innovation organisations' long-term success. Komatsu et al. [5] identified four types of business models:

The construction of a business model is connected to the use of a set of service design tools meant to sustain the development of each of its building blocks.ⁱⁱ

A CONDUCTIVE ENVIRONMENT FOR SOCIAL INNOVATION

Next to the business model, for social innovation to flourish an inspiring environment that provides support and enables mutual learning is essential. In due consideration of social innovations' local embeddedness, the region is a promising space to design such social innovation ecosystem. To overcome the strategic and operational shortcomings outlined

in the previous section, networking and collaboration emerge as a common pattern in social innovation. Although the concrete composition of such networks varies largely, they all share trust, reciprocity and relational capital as a basis of interactions stemming from a combination of contingency and strategic planning. According to SIMPACT's empirical findings, a well-established regional social innovation ecosystem has to meet four requirements:

1. Provision of an open and enabling environment that functions as seedbed for a broad range of distinct social innovation activities and is open to change.
2. Presence of supporters and promoters facilitating social innovation activities and help ensuring a fertile balance between economic and social objectives are present.
3. Regional governance capacities that utilise social innovation in a broader frame of problem solving and future shaping of integrated project (e.g., smart or sustainable city).
4. Local/regional nodes and pipelines beyond the region that allow for an accelerated circulation and combination of knowledge.
5. Acknowledgment; the importance of applying open innovation practices to not only increase the flow of knowledge, but also to enhance social innovations' effectiveness.

CONCLUSION

To successfully shape future transition processes from micro level social innovation activities to the solution of macro level socio-economic challenges it is necessary to better harness the societal and economic potential of the many dispersed local social innovations. Also, it is to be acknowledged that social innovations' contribution to inclusive growth is essentially based on open innovation models and sustainable business models characterised by distinct forms of interactions which, in turn, require behavioural shifts at the level civil society, public and private sectors.

ⁱ SIMPACT – Boosting the Impact of Social Innovation across Europe through Economic Underpinning» has received funding from the European Union's Seventh Framework Programme for research, technological development and demonstration under Grant Agreement No. 613411.

ⁱⁱ SIMPACT's «Social Business Toolbox» is available at <http://simpact-project.eu/tools/business.htm>

REFERENCES

- [1] Terstriep, Judith (Ed.) (2016): Boosting SI's Social and Economic Impact. Institute for Work and Technology: Gelsenkirchen.
- [2] Terstriep, Judith/ Kleverbeck, Maria/ Deserti, Alessandro/ Rizzo, Francesca (2015): Comparative Report on Social Innovation across Europe. Deliverable D3.2 of the project «Boosting the Impact of Social Innovation in Europe through Economic Underpinning» (SIMPACT), European Commission – 7th Framework Programme. European Commission, DG Research and Innovation: Brussels.
- [3] Rehfeld, Dieter/ Terstriep, Judith (2016): Coping with Social Innovation Dilemmas: An Exploratory Study of Middle Range Theory. In: Alijani, Sharam/ Karyotis, Catherine (Eds.): Finance and Economy for Society: Integrating Sustainability (Critical Studies on Corporate Responsibility, Governance and Sustainability, Volume 11). Emerald Publishing: Bingley, pp. 349-360.
- [4] Rizzo, Francesca/ Komatsu, Tamami/ Deserti, Alessandro (2015): Report on Existing Forms of Social Innovation – PART I. SI Processes and Business Models. Deliverable D4.1 of the project «Boosting the Impact of SI in Europe through Economic Underpinning» (SIMPACT), European Commission – 7th Framework Programme. European Commission, DG Research and Innovation: Brussels.
- [5] Komatsu, Tamami/ Deserti, Alessandro/ Rizzo, Francesca/ Alijani, Sharam (2016): Social Innovation Business Model: Coping with Antagonistic Objectives and Assets. In: Finance and Economy for Society: Integrating Sustainability. Emerald Publishing: Bingley, pp. 315 - 347.

SOCIAL INNOVATION AND THE CAPABILITY APPROACH

The capability approach, an influential development in ethics, provides a way for the consideration of justice and democracy at the core of social innovation. It creates space for a critical reflection on and promotion of social innovation that is social both in its ends and in its means.

Rafael Ziegler

INTRODUCTION

Social innovation and the capability approach (CA) belong to the family of progressive approaches to social change. Both cousins subscribe to the view that social improvements are possible and that there is a valid place for intentional efforts and hope in such changes. Both cousins had a growth spurt in the post-Cold War era. With the fall of the Berlin Wall, the chances in favour of shared, global development suddenly seemed better. At the same time, economic globalization increased environmental unsustainability and economic inequality. Innovation as a driver of economic development thus appeared in need of qualification. Social innovation emerged and with it, a shift in focus from change in products to change in practices [1]. In parallel, economists and philosophers called for a shift away from development as merely economic growth in favour of a focus on human development based on the CA. This alternative conception of development provides a way to establish justice and democracy firmly at the core of social innovation; in turn, social innovation provides a reservoir of practical ideas to explore the CA.

THE CAPABILITY APPROACH: INTRODUCING THE COUSIN

In a series of classic contributions, economist and philosopher Amartya Sen argues that even philosophers in their discussion of justice tend towards an economic view, focused on goods and services, to the detriment of the question what people can do with these goods and services. As an alternative to such 'commodity fetishism', Sen, in co-operation with philosopher Martha Nussbaum and a growing, multi-disciplinary research community, developed an approach primarily focused on the opportunities and freedoms of people: the capability approach.

An example illustrates the shift in focus: three people receive the same amount of money. The first one is a healthy, young person, the second person has a physical impairment and the third person needs to take care of an infant. The effective opportunities associated with the same amount of money are different for each. For the person with the physical impairment, getting around is more difficult than for the other two. For the parent with the infant, there will be many additional care requirements that reduce the effective opportunity of using the money.

Shifting from money to goods, a variation of this point can be made: The same three people each receive a bicycle, the first person can use the bike, but not the person in the wheelchair; the parent can in principle use the bike, but it is not really useful – useful would be a special freight bicycle with a place for children and shopping bags etc. In short, once we pay attention to ends rather than means, the diversity of people and the diversity of their goals immediately becomes apparent. The CA tries to provide an improved space for taking this point seriously [2]:

- It posits an ethical focus on treating each person as an end. It says that we cannot calculate value or welfare in the aggregate but ultimately need to treat each person separately.
- Introduces the concept of functioning as the activities and states that make up a person's well-being or ill-being (for example, 'being healthy' or 'being sick').
- Introduces the concept of capability as the freedom of a person to enjoy various functionings that they value and have reason to value (we saw above that having a bike is not the same as having the opportunity to use it; in CA terminology, different people have different 'conversion functions', i.e. the ability of transforming a resource into a functioning).
- Puts a focus on agency: the ability of persons to pursue the goals that they value and have reason to value calls for an involvement in the process; people are not only

passive recipients of goods and welfare (in the second example, better than 'bikes for all' is a prior discussion of the appropriate means of mobility).

- Emphasizes pluralism: it is important to think about capabilities and functionings in the plural. Reductions to one single welfare measure only have intermediate, pragmatic justification (in our first example, money and income do not replace a discussion of the diverse ends of diverse people).
- Emphasizes diversity: as the bike example shows, treating people as equals and as ends does not mean treating them the same. The differences amongst people, including their personal traits and social and environmental contexts, also need to be considered.

For policy, the CA promotes an increased focus on functionings, such as years of school or life expectancy for the discussion of the development of a country, policy or project. Annual Human Development Reports give information around the Human Development Index that collects data on education, health and standard of living – and in this way, seeks to improve the informational basis of policy development and evaluation.

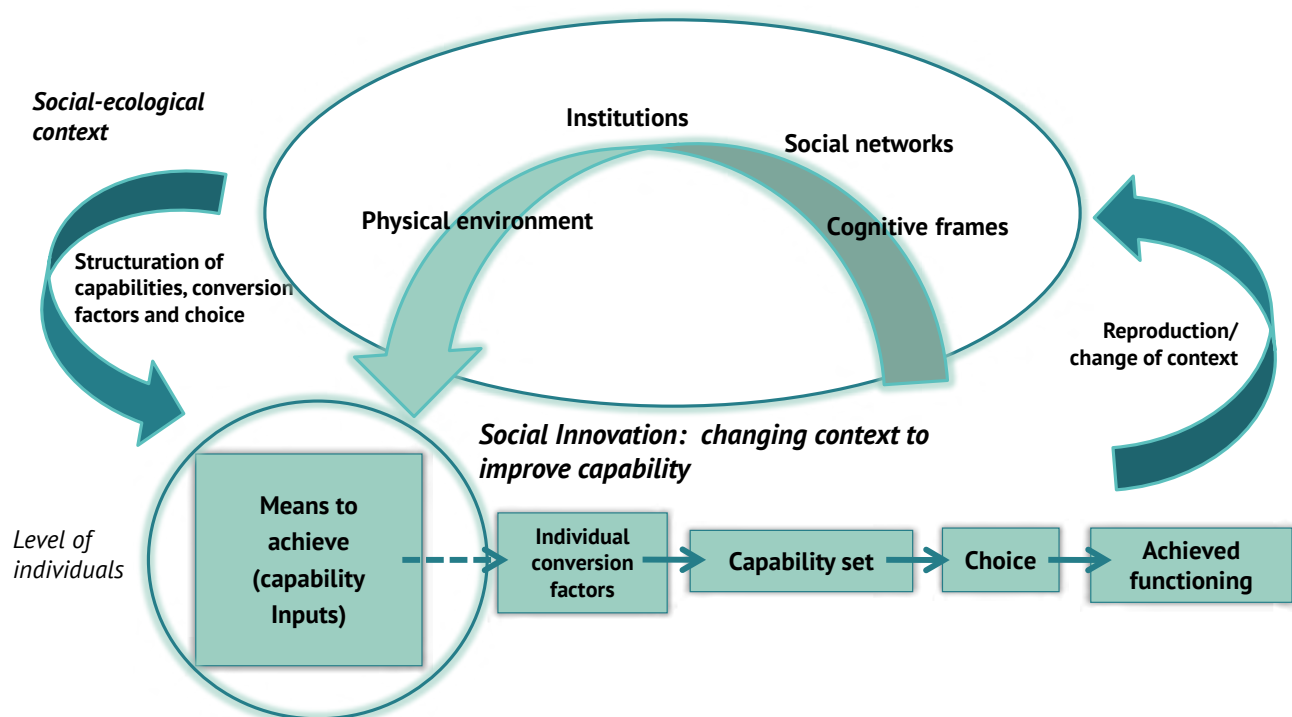
While functioning can be measured, capability freedom is much more difficult to be captured quantitatively. For this reason, the qualitative development of the CA as a multi-disciplinary approach across the social sciences and humanities is just as important.

A DEMANDING COUSIN I: ETHICS AND SOCIAL INNOVATION

The CA suggests a number of points for social innovation initiatives, policies and research. The first point is a distinct focus on the role of social innovation. In current societies, issues tend to be delegated to experts, sectors and specialized policy processes. While this dynamic is a part of modern societies, its downside is well known: silo-thinking and reductionist approaches that fail to connect the dots. The CA emphasizes both the plurality of values and goods, as well as their interlinkages. It has been used, for example, to empirically explore the causal relation between democracy and sufficient nutrition/health. In this way, it invites a distinct

While functioning can be measured, capability freedom is much more difficult to be captured quantitatively.

focus on social innovation in modern societies: capability innovations as the establishment and strengthening of capability interlinkages amongst sectors, for example between health and political participation. It highlights an integrative impulse that social innovation can contribute to highly differentiated societies. Social theory adds to this point that such impulses will only be effective if they change the social contexts, i.e. the institutions that regulate choices, the social networks that provide people with voices within



institutions (which frequently need to first be created for a social innovation) and the cognitive frames that help interpret rules, legitimate issues and so forth. The graphic on the CA illustrates this point.

Second, the CA suggests a critical focus on policy. A CA-analysis of social innovation policy finds much official endorsement of social innovation as a participatory approach that includes people not only as passive welfare/aid recipients but also as agents co-determining ends and means. However, it finds only limited evidence of practical policies to implement such rhetoric [3].

Social innovation researchers point out that social innovation is neither good nor bad. This is an important point, not least as good intentions can have bad outcomes.

Third, the least-advantaged in society frequently lack the capability to associate and to make their voices heard [4]. As a practice-oriented approach, the CA seeks to provide tools that improve the capability to associate and increase informed, collective action of the disadvantaged [5].

Fourth, with a view to specific social innovation initiatives, its focus on persons as ends puts the emphasis on value scrutiny: are the values of social innovators also those of the people they help? What about value conflicts and trade-offs in the initiative and its environment, for example if it is easier to support the least disadvantaged of the marginalized rather than supporting at higher costs and less prospect of success the most marginalized?

In the background, the pioneers of the CA suggest two broad avenues for the further exploration of these evaluative questions:

- A focus on basic justice and central capabilities: If social innovation is to address pressing social needs, a focus on entitlements and basic rights suggests itself. What are the main areas of injustice and marginalization, and how does social innovation tackle these? For this question, Nussbaum proposes a list of central capabilities as a comprehensive starting point for basic justice violations.
- A focus on discussion and social choice: If social innovation is to include people not only as recipients but as active participants, how is it linked to the public discussion of ends and means? Sen specifically underlines the importance of public discussion, and the roots of democracy, which are not only Western, in such a discussion.

Finally, a word on ethics in relation to social innovation research. Social innovation researchers point out that social

innovation is neither good nor bad. This is an important point, not least as good intentions can have bad outcomes. However, they sometimes like to add to this that their own research is value-free, not normative. Here things become trickier: social innovation discourse includes a normative element.

The European Union defines social innovation as ‘the development of new ideas (products, services and models) to meet social needs and create social relationships or collaborations. It represents new responses to pressing social demands, which affect the process of social interactions.

It is aimed at improving human well-being. Social innovations are innovations that are social in both their ends and their means’. What are pressing social demands? What is human well-being? These are normative questions about what is right and what is good. Claims about social innovations are normative claims about improvements and well-being. While social scientists can make important contributions on the distribution, mechanisms and impact of

social innovation, they must know what a social innovation is so as to undertake such positive analysis. This point is all the more important as, frequently, the initiatives studied as social innovations do not label themselves as social innovations. An implicit or explicit normative vision shapes the selection process. Moreover, social innovation research is situated in a context of calls for transformative change, sustainable development and so forth. With the CA, research and policy can make this ethical aspect explicit.

The CA is a leading approach in the discussion of justice and democracy, but intellectual honesty requires us to note that there are alternative ethical theories. The good news is that the emphasis on agency and discussion in practice promotes precisely this: consideration of a variety of views.

A DEMANDING COUSIN II: SOCIAL INNOVATION AND ETHICS

The emphasis of the CA on freedom and choice also raises further ethical questions:

- (a) What about beings deserving of moral concern, but not able to make choices, i.e. cannot act as moral agents asking and giving reasons?
- (b) What about moral agents who upon closer perspective do not act according to the reasons they say they value, i.e. who, even on their own terms as agents, make bad choices [6]?

The first question takes us to animal and environmental ethics. Some pioneering works notwithstanding, the CA-focus on choice tends towards a human-centred perspective, which treats the environment as an end only and not something that we stand in a valuable relation to, or even as including valuable ends in itself. Social innovation as a

phenomenon of practice is less limited by such a conceptual heritage. Many social innovation initiatives are actually just as much about protecting other species. For example, better living with bees in cities. Or better relating to an entire ecosystem, as in the big jump movement, which seeks to reconcile people with their rivers via joint swimming events. In this way, social innovation helps overcome narrowly human-focused research approaches in favour of a more-than-human world.

Similarly, in the absence of rational decision-making and action new ways of thinking are called for: nudges and concrete alternatives if people are not only to talk about values, but also to change their practices. Again, social innovation offers a reservoir of studying creative ways of problem reconfiguration, alternative options etc. that is relevant for human development and the all-too-human problems all of us face in dealing with change in practice.

OUTLOOK

Innovation is part of the anatomy of modern societies. Social innovation gets to a core issue, and opens it up for new actors, networks and ideas. Due to this structural link, it also faces the challenge of making a structural difference rather than being co-opted and the 'social' only playing an

Social innovation research is situated in a context of calls for transformative change, sustainable development and so forth. With the CA, research and policy can make this ethical aspect explicit.

ornamental role. Part of the challenge is to firmly link social innovation to justice and democracy. For this, the CA insists on the role of humans as agents in social processes. Its emphasis on central capabilities as requirements of justice worldwide points to the areas where social innovation is needed most. It does so with a focus on human diversity in actual contexts. Paraphrasing Ivan Illich, the way to a better world has to be taken by bike, to which the CA adds an ethical-pragmatic question: what kind of bike, for whom, with what end? It is not more products that are needed, but more space for people to effectively ride towards the doings and beings they value.

REFERENCES

This article has benefited from comments by Amelia Pope, Enrica Chiappero-Martinetti and Nadia von Jacobi.

- [1] Howaldt, Jürgen/ Schwarz, Michael (2017): Social Innovation and Human Development – How the Capabilities Approach and Social Innovation Theory Mutually Support Each Other. In: *Journal of Human Development and Capabilities*, 18 (2), pp. 163-180.
- [2] Deneulin, Séverin/ Shahani, Lisa (2009): *An Introduction to the Human Development and Capability Approach – Freedom and Agency*. Earthscan: London.
- [3] Von Jacobi, Nadia/ Edmiston, Daniel/ Ziegler, Rafael (2017): Tackling Marginalisation Through Social Innovation? Examining the EU Social Innovation Policy Agenda from a Capabilities Perspective. In: *Journal of Human Development and Capabilities*, 18 (2), pp. 148-162.
- [4] Ziegler Rafael/ Molnár, György/ Chiappero-Martinetti, Enrica/ von Jacobi, Nadia (2017): Creating (Economic) Space for Social Innovation. In: *Journal of Human Development and Capabilities*, 18 (2), pp. 293-298.
- [5] Ibrahim, Solava (2017): How to Build Collective Capabilities: The 3C-Model for Grassroots-Led Development. In: *Journal of Human Development and Capabilities*, 18 (2), pp. 197–222.
- [6] Robyens, Ingrid (2016): Capabilitarianism. In: *Journal of Human Development and Capabilities*, 17 (3), pp. 397-414.

HOW SOCIAL INNOVATION UNDERPINS SUSTAINABLE DEVELOPMENT

Social innovation has been the anonymous bedrock of global sustainable development for many years, but mainly disguised by a plethora of other labels.

Jeremy Millard

Although global sustainable development initiatives have been deploying social innovation principles and practices for many years, it is only recently that they have started to use this term and engage with SI networks and concepts. The two have much in common, and the UN' Sustainable Development Goals (SDGs) for 2030 are bringing them together for mutual benefit.

TWISTS AND TURNS IN DEVELOPMENT PRINCIPLES AND PRACTICES

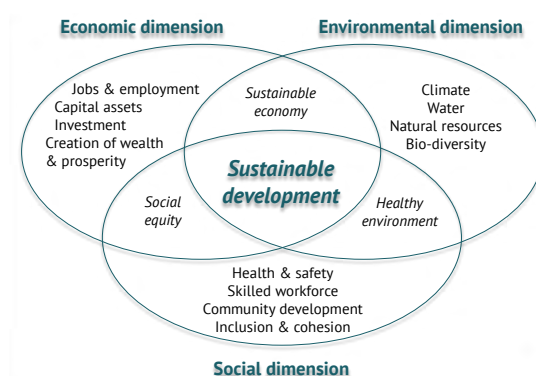
For most years since 1945 a market, technology-driven and top-down approach to development has been the norm through practices based on ideas around so-called modernisation, growth, structuralism and dependency [1]. These all accept the primacy of top-down macro-economic interventions, typically imposed by the 'Washington consensus' led by the IMF and the World Bank through their lending and funding policies. In effect, national governments have been coerced to adhere to the so-called 'global forces' that largely ignore existing social and institutional conditions and needs. A reaction came in the mid-1970s with the more bottom-up 'basic needs' approach which attempted to take account of social and economic needs as reflected in specific contexts and through a specific focus on poverty alleviation by activating people in society. However, these new ideas lacked any rigorous theory or widespread political backing, so the early 1980s saw a re-established neo-liberalist hegemony in which transformative social change was once again seen as needing a strongly market-based framework across all areas of society.

Although the more simplistic and extreme interpretations of this approach have since ebbed, a great deal of its furniture remains today and still determines much societal policy, despite the economic and financial crisis of 2008. However, over the last twenty years, and despite the continued overall

sway of neo-liberalism, promising new frameworks have started to be built in the development context, most notably the so-called post-development and human development theories, and in particular the ideas of sustainable development especially as articulated through the United Nations system.

MEETING THE NEEDS OF THE PRESENT WITHOUT COMPROMISING THE FUTURE

Much of this has been driven by the realisation of the dangers of climate change and other environmental concerns, and their growing and pernicious impacts on social and economic development generally, and on the least developed countries and the most vulnerable populations in particular. The United Nations' sees sustainable development as meeting the needs of the present without compromising the ability of future generations to meet their own needs. It has since developed frameworks for global development, most recently in 2015 through the Sustainable Development Goals (SDGs) to be achieved by 2030. As illustrated in the figure on the three dimensions of sustainable development, sustainable



The three dimensions of sustainable development

development is seen as the guiding principle for balanced long-term global development consisting of the three dimensions of economic development, social development and environmental development, so that if any one dimension is weak then the system as a whole is unsustainable.

THE 'OLDEST PROFESSION' IN HUMAN DEVELOPMENT

Unlike the UN's previous global development goals, the SDGs have been signed up to by almost all countries around the world, including the so-called developed countries in Europe and elsewhere, by the emerging economies like India and Brazil, and by the developing countries. The SDGs were also developed through intense and widespread consultation, involving a large number of organisations drawn from all sectors, including governments at all levels, civil society, businesses and academia. At the same time, the UN system and other decision and policy makers have started to recognise that historically all human development has relied on changing social practices and cultures, whether imposed top-down or developed perhaps more slowly from the bottom through ordinary people's everyday ways of living and working, adapting to their specific needs and their changing environments.

As a result, the UN now acknowledges that social innovation approaches are needed as mainstream tools for delivering sustainable development, alongside large-scale public and private funding, although until recently the term 'social innovation' has rarely been recognised or used. Today, however, the role of bottom-up social innovation in designing and delivering public services to income-poor and marginalised people in a gender sensitive manner, especially when based on local acceptance and advocacy campaigns, is seen as an important issue in achieving the SDGs by 2030.

SOCIAL INNOVATION AND SUSTAINABLE DEVELOPMENT GO HAND-IN-HAND

For example, the United Nations Social Development Network is supporting Asia-Pacific countries' use of social innovation to tackle ageing population and gender inequality [2]. In India, building a mass social movement around the lack of basic utilities and services, through the mobilisation of opinion and advocacy across as many groups and interests as possible, can help change the behaviour and attitudes of both citizens and service providers to issues like public health. The potential benefits of public-civil partnerships in northern Ghana, where the former provides the framework

and expertise and the latter provides community activism, knowledge and resources, is a core issue addressed in the high impact 'School for Life' basic education initiative in rural areas. In 2001, a bottom-up social innovation was launched in Brazil's dry north-east by a network of civil society institutions and small farmers working to promote co-existence and local empowerment. One million cisterns were built for capturing rainwater to provide rural families with healthy drinking water year round regardless of when the rains come. This was undertaken in partnership with the government and the private sector, but retained its strong focus on ensuring the democratisation of access to water in order to ease the lives of the poor and especially women whose task it normally is to obtain water for family use.

The role of bottom-up social innovation in designing and delivering public services to income-poor and marginalised people in a gender sensitive manner, especially when based on local acceptance and advocacy campaigns, is seen as an important issue in achieving the SDGs by 2030.

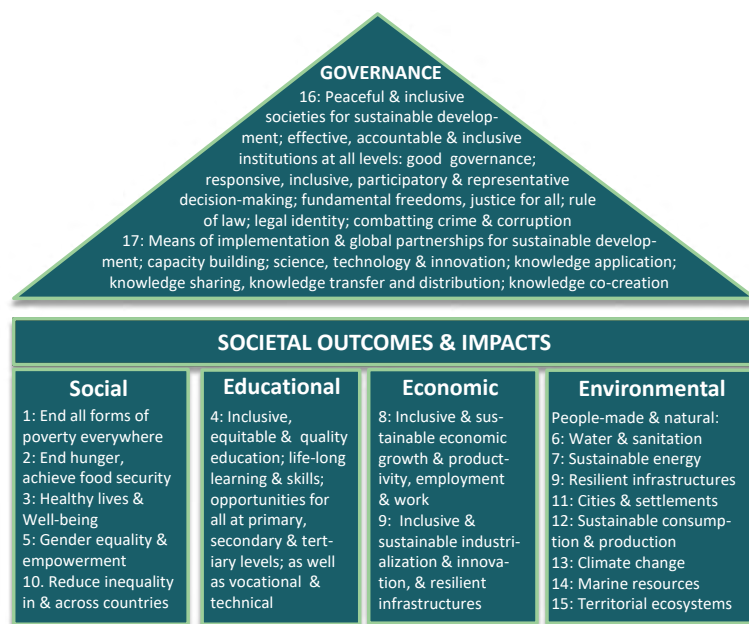
The experimental cistern was designed to capture rainwater, and is easy to build at low cost, using local knowledge and support from local authorities, universities and companies for technical assistance. The result is not only good quality drinking water but also the empowerment of family

farmers, women and local organisations, as well as their capacity to influence public policy [3].

Social innovation is thus increasingly recognised as an important component of the new innovation framework necessary for sustainable development. In addition to most developed countries, it is starting to become embedded and recognised in many developing countries and emerging economies. It helps to meet social needs (for example for an education or health service) in a new way that also involves collaboration with, and the empowerment of, the service user or beneficiary. It works with them rather than just doing something to them as passive recipients, also developing their own capabilities around and ownership of the service, and thereby transforming their social relations and improving their access to power and resources.

CHARTING THE FUTURE TOGETHER

The increasing dialogue between the social innovation and sustainable development communities is also helping to chart the future policies and principles of societal development at all levels. It has only been over the last ten years that the recognised sources of innovation in society have started to include civil society. In an analogy with how DNA produces living cells in biology, the only model of innovation up until then was the so-called 'triple helix' that purported to twist together the three intertwining and intimately interacting strands of government, the private sector and research institutions. More recently, civil society has been added as the fourth innovation source to make up the 'quadruple helix'.



The UN's 17 Sustainable Development Goals, 2016-2030

and this has happened at the same time that the concept of social innovation has come to the fore in both academic discourse and policy frameworks, especially in developed countries. Social innovation has indeed been one of the driving movements insisting on the recognition of civil society as an essential source of innovation, interacting with the others.

Today, by insisting on an important role for the environment, not only as a passive and suffering bystander but also as a source of innovation in its own right, the UN's approach to sustainable development has provoked a burgeoning movement proposing the recognition of the 'quintuple helix' model. This argues that nature, as biological and ecological systems, has been the prime source of evolutionary innovation, and that many social, economic and technological innovations have, both deliberately and subconsciously, aped and mimicked nature for hundreds of years. A useful rule of thumb might therefore be: if we have a problem, the first impulse might be, how has nature solved this or something similar? As an innovation source, unlike the components of the quadruple helix, nature does not have its own agency or conscious purpose, but if global society is to solve the massive and often existential challenges it faces (like climate change, employment, food resources and demographics) it needs both to be inspired by as well as work with natural systems. Thus, a socio-ecological transition is proposed as the framework for sustainable societies and development in the

future [4]. Environmental and ecological concerns are also a prime focus of social innovations, for example by recognising the need to much better contextualise and localise social development, the use of digital technologies like 3D printing which ape the way spiders secrete their web, the circular economy and re-cycling, self-leading teams in organisations and an ecosystems approach to successful social and business networks. Indeed, living assets in the form of people on the one hand, and nature as biological systems on the other, are the only real sources of innovation as these underpin what governments, businesses, researchers and communities do in order to innovate and develop.

The figure on the social development goals maps the 17 UN SDGs against the five elements of the quintuple helix: government and governance; social; educational; economic; and environmental.

Unlike previous development frameworks, this illustrates how the SDGs now comprehensively cover and attempt to interlink all elements necessary for sustainable development, with four direct impact pillars, plus the governance capstone to promote and enable their achievement. Social innovation works across and supports all 17 SDGs and all components of the figure. It is helping to create a new mind set and supportive framework for sustainable development as an essential part of the new innovation and knowledge paradigm [5].

REFERENCES

- [1] Millard, Jeremy (2014): Development theory. In: Howaldt, Jürgen/ Butzin, Anna/ Domanski, Dmitri/ Kaletka, Christoph (Eds.): Theoretical approaches to social innovation: A critical literature review (D1.1), chapter 3, deliverable D1.4, SI-DRIVE. Internet: https://www.si-drive.eu/wp-content/uploads/2014/11/D1_1-Critical-Literature-Review.pdf [Last accessed 09.08.2017].
- [2] United Nations (2017): United Nations Social Development Network: Asia-Pacific countries use social innovation to face ageing population and gender inequality. Internet: <http://unsdn.org/2017/03/20/asia-pacific-countries-use-social-innovation-to-face-ageing-population-and-gender-inequality/> [Last accessed 09.08.2017].
- [3] United Nations (2015): Innovative Public Service Delivery: Learning from Best Practices. Department of Economic and Social Affairs, Division for Public Administration and Development. Internet: <http://workspace.unpan.org/sites/Internet/Documents/EGM%20Report%20on%20Innovative%20Public%20Service%20Delivery%20Learning%20from%20Best%20Practices.docx.pdf> [Last accessed 09.08.2017].
- [4] Carayannis, Elias G./ Barth, Thorsten D./ Campbell, David F. (2012): The Quintuple Helix innovation model: global warming as a challenge and driver for innovation. *Journal of Innovation and Entrepreneurship*, 1 (1), p. 2. Internet: <http://www.innovation-entrepreneurship.com/content/1/1/2> [Last accessed 09.08.2017].
- [5] UNESCO (2016): Knowledge societies policy handbook. United Nations Educational, Scientific and Cultural Organization: Paris. Internet: http://www.unesco.org/fileadmin/MULTIMEDIA/HQ/CI/CI/pdf/ifap/knowledge_socities_policy_handbook.pdf [Last accessed 09.08.2017].

THE INTERPLAY BETWEEN SOCIAL INNOVATION AND SUSTAINABILITY IN THE CASI AND OTHER FP7 PROJECTS

Social innovation is a broad concept that has been deliberated from the perspective of diverse academic disciplines for quite a long time. Yet, its interplay with sustainability is a topic that has not been widely discussed but still deserves attention.

Desislava Asenova / Zoya Damianova

The global environmental and societal challenges lead to rethinking the role of innovation in the context of sustainable development [1]. Sustainable development could be defined as a new paradigm of development that introduces sustainable ways of conducting activities that respect environmental limits and at the same time result in social and economic development. It also represents a form of social innovation that could influence human existence and cut across all sectors of our economy and society [2]. Social innovation, in turn, can play a key role in enhancing sustainability by changing existing and creating new social practices for building a sustainable economy and lifestyle. The conjunction between sustainability and social innovation is subject to several projects funded under the Seventh Framework Program such as: CASI, ITSSOIN, SI-DRIVE, SPREAD, TRANSIT, WWWFOREUROPE. The projects' results are expected to bring this relationship up to a new level [3].

INNOVATION IN THE CONTEXT OF SUSTAINABLE DEVELOPMENT

Sustainability could be achieved if Europe manages to ensure greener, cleaner and more equitable economic growth, which is based on green business practices, environmentally-friendly technologies and services, education and employment opportunities for all [3]. When considering transition towards sustainable economic growth, the main challenge remains in addressing innovation not only from an economic and environmental, but also from a social perspective. Although the concept of innovation has mostly been related to economic issues, environmental and societal concerns (e.g. unequal access to scarce natural

resources, aging workforce, environmental degradation, climate change or poverty) have lately led to rethinking innovation in the context of sustainable development. European institutions have realized the need to go beyond a traditional understanding of innovation, focusing mainly on technological solutions and market-oriented innovation [1]. In

this regard, Annika Surmeier who is a research assistant at Philipps University Marburg, shares that *"From an innovation perspective, new forms of innovations – including social innovation, inclusive innovation, base-of-the pyramid innovation, and eco-innovation – are gaining stature in the scientific community and among policy makers as technological or science-based innovations alone are insufficient to address these challenges"* [4].

"[...] social innovation - innovation without which sustainable development will simply be a grand illusion rather than a paradigm in practice."

Nigel John Roome [1]

According to a report of the European Sustainable Development Network [2], strong linkages between sustainable development and social innovation exist but research still does not address them in depth. However, there are some projects that have already paved the way towards studying the interplay between social innovation and sustainable development.

SUSTAINABILITY AND SOCIAL INNOVATION IN THE CASI PROJECT

CASI ("Public Participation in Developing a Common Framework for Assessment and Management of Sustainable Innovation") is an EU project funded by the Seventh Framework Program (FP7) for Research and Technological Development. The project was implemented in response to

one of the Societal Challenges in the focus of Horizon 2020 program, namely “Climate action, environment, resource efficiency and raw materials”. It considers innovation as a key driver of societal progress and encourages debate on conceptual dimensions, policy boundaries, and good practices linking innovative pursuits with sustainability objectives.

Within the CASI project the interplay between social innovation and sustainability has been examined through activities such as an online survey, desk research, and the development of a data base with relevant practices of social innovation across Europe and beyond.

The online survey was spread among sustainability and innovation experts across the entire EU. Its major aim was to collect experts’ opinion on different issues related to the concepts of sustainable innovation and sustainable development. The analysis of survey results showed that respondents found social aspects of sustainability as highly relevant to sustainable innovation and thus were considered necessary to be taken into account in the design and development stages of the innovation process. However, social innovation was regarded as less relevant to sustainable innovation in contrast to other types of innovation such as product and system innovation. In other words, the majority of respondents claimed that it was more likely for a product or system innovation to develop as sustainable innovation and contribute to achieving sustainable development rather than for social innovation.

The interplay between sustainability and social innovation has also been discussed in two chapters of the first annual report developed as part of the CASI project. The authors of the report argue that social innovations play important role in the transition to a more sustainable society. They claimed that societal challenges, such as climate change, demand a paradigm shift which integrates social innovation in the innovation system. They also discussed the Seventh Environment Action Program running until 2020 (EAP), the key EU program for sustainability, stating that although the EAP does not refer to the concept of social innovation, this type of innovation could contribute to achieving the objectives of the program. Promoting technological developments only would not be enough. According to the authors, social innovations hold the potential to better address societal issues and satisfy societal needs. Unlike the EAP, the EU Framework Program for Research and Innovation, Horizon2020, gives prominence to the importance of social innovation and its role for achieving sustainability. It is believed that the introduction of social innovation in the policy field of sustainability could be facilitated by the further development of the scientific base of social innovation, the

integration of the new innovation paradigm within the innovation programs combining technological and social innovations, and the validation of social innovation in different fields.

Within the CASI project, a number of sustainable innovation cases have been mapped as well. Those cases represent practices of social and technological innovations that inquire into the distinct factors of sustainability. The cases show that sustainable innovation could also be social and that social innovation could lead to sustainability. A variety of collaborative consumption practices (e.g. car-pooling and co-housing projects) have been analyzed and have proven

that concerns related to resource efficiency could inspire social innovation and result in sustainable solutions. One example is the UbiGo Mobility service in Sweden that encourages citizens to turn to a more sustainable lifestyle by giving them the opportunity to test more efficient modes of travelling. Environmental concerns and social issues, such as poverty and limited access to good education, are also areas in which social innovations emerge. The 3D Ecobus mobile education center in

Bulgaria is an example of how an innovative training tool can result in building sustainable habits related to protecting the environment. Social innovators, in turn, have admitted the benefits that new practices can bring in fields such as environmental protection, poverty reduction, and education.

A stronger focus on social innovation in future policies, addressing the transition to a sustainable society, is recommended by the CASI project so as to supplement the previous focus on technological innovations. Social innovations are considered to play a crucial role in sustainability by introducing new societal practices that contribute to building sustainable economies and lifestyles [3].

OTHER PROJECTS THAT ADDRESS THE CONJUNCTION BETWEEN SUSTAINABILITY AND SOCIAL INNOVATION

There are many projects funded under the FP7 that do research on different aspects of social innovation. Some of them address the interplay between social innovation and sustainability. Besides CASI, examples of such projects are SI-DRIVE, ITSSOIN, SPREAD, TRANSIT, WWWFOREUROPE. Among other things, these projects explore concepts such as a new transformative social innovation theory, a new analytical basis for a socioecological transition, environmental sustainability and consumer protection in finance, a multi-stakeholder dialogue towards a sustainable lifestyle, several mapping processes of existing social innovation cases for

“Social innovation will play a key role in sustainability by changing existing and creating new societal practices in order to build a sustainable economy and lifestyle.”

CASI [3]

sustainability, a management framework and a pluralism of policy recommendations.

The projects listed above highlighted the interplay between social innovation and sustainability in various ways. CASI created a database of more than 200 practices of sustainable innovations of which almost a quarter is by origin a social innovation. ITSSOIN studied the impact of social innovation activities on the organization's transformational performance. SI-DRIVE compiled seven analytical policy reports in the field of education and lifelong learning, employment, environment and climate change, energy, mobility and transport, health and social care, and poverty reduction and sustainable development. SPREAD created a sustainable baseline report while TRANSIR developed a theoretical approach and WWWFOREUROPE compiled a compendium of case studies on socio-ecological transitions. Many of the projects' activities comprise a mapping of social innovation initiatives which contributes to disseminating good practices across Europe.

However, enhancing the role of social innovation for sustainability rests upon the following:

- EU policies to ensure a better visibility and labeling of the role and concept of social innovation.
- To outline the sustainable aspect in the FP7 results together with the conjunction of social innovation and sustainability, and spread the core results [3].
- To create adequate framework and support structures for social innovations.
- To establish policy institutions that would be directly responsible for social innovations.
- To ensure a shared understanding of social innovation that distinguishes it from other concepts and types of innovation.
- To find new ways of developing and spreading social innovation practices that consider participation of relevant actors, civil society and even users [5].

To sum up, social innovation holds the potential to contribute to a better understanding of innovation processes and moving the central focus of policy towards a new paradigm of sustainability in which social innovation plays an important role [3]. Lately, an increased awareness and promotion of social innovation is observed in many countries. However, further efforts are still necessary in order to place social innovation high on the political agenda [5].

PROJECTS THAT ADDRESS THE CONJUNCTION OF SOCIAL INNOVATION AND SUSTAINABILITY

CASI

(www.casi2020.eu)

The CASI project investigates the scope of sustainable innovation as a societal phenomenon. It contributes to increasing understanding of sustainable innovation and explores the impacts of practices representing social and technological innovations. Thus the project helps determine the scope and priorities for national and EU policy making.

TRANSIT

(www.transitsocialinnovation.eu)

The nexus of social innovation and societal transformation, conceptualised in terms of sustainability transformations is explored as part of the project. The project introduces the concept of transformative social innovation as a way to analyse the interaction between social innovation initiatives and the dynamics of sustainability transformations.

ITSSOIN

(www.itssoin.eu)

The project investigates the impact of the Third Sector and of civic engagement on society. It aims to prove that the Third Sector is best placed to produce social innovation, especially through stimulating civic involvement and participation.

SI-DRIVE

(www.si-drive.eu)

SI-DRIVE aims to extend knowledge on social innovation by integrating diverse theories and research methodologies, mapping SI practices on European and global level, and conducting in-depth analyses and case studies in order to ensure relevance to policy makers and practitioners.

SPREAD

(www.sustainable-lifestyles.eu)

SPREAD Sustainable Lifestyle 2050 is a European social platform project that gives opportunity to different societal stakeholders to contribute to creating a vision for sustainable lifestyles in 2050. The project results in developing a roadmap for strategic action for policy makers and provides innovative ideas related to achieving sustainable lifestyles in European societies.

WWWFOREUROPE

(www.foreurope.eu)

WWWFOREUROPE is a research project which aim is to change the course of economic policy in the direction of a socio-ecological transition. One of the questions that the project addresses is related to the way social and technological innovations could be supported in order to contribute to social and ecological sustainability.

All these projects address to a certain extent the interplay of social innovation and sustainability and lay the foundation of studying the topic. The projects' outcomes are expected to bring the relationship between the two concepts up to a new level.

Projects addressing SI and Sustainability

REFERENCES

- [1] Osburg, Thomas/ Schmidpeter, René (2013): Social Innovation: Solutions for a Sustainable Future. Springer: Heidelberg.
- [2] Gjoksi, Nisida (2011): Innovation and sustainable development: Linkages and perspectives for policies in Europe. ESDN Quarterly Report June 2011.
- [3] Damianova, Zoya/ Kozarev, Ventseslav/ Chonkova, Blagoves/ Dimova, Adriana (2015): CASI in the wider policy context. Internet: <http://www.casi2020.eu/library/deliverables/> [Last accessed 11.09.2017].
- [4] Ecker, Berenike (2016): Monthly Spotlight: Interview with Annika Surmeier, Philipps University Marburg, Research Group: Knowledge Dynamics, Sustainability Innovation, Global Change; Founder: The Editing Enterprise. Internet: <https://www.si-drive.eu/?p=2488> [Last accessed 11.09.2017].
- [5] Howaldt, Jürgen/ Kaletka, Christoph/ Schröder, Antonius/ Rehfeld, Dieter/ Terstriep, Judith (2016): Mapping the World of Social Innovation. Key results of a Comparative Analysis of 1.005 Social Innovation Initiatives at a Glance.


TRANSFORMATIVE SOCIAL INNOVATION AND ITS MULTI-ACTOR NATURE

Transformative social innovation is a multi-actor phenomenon where we can see the emergence of a hybrid sector that blurs and challenges the boundaries between the traditional sector logics, including new elements, roles and challenges from all of them.

Flor Avelino / Julia Wittmayer

Discourses on social innovation – both academic and public – display a strong tendency to associate social innovation with civil society. Mulgan et al., for instance, define social innovation in terms of “innovative activities and services that are motivated by the goal of meeting a social need and that are predominantly developed and diffused through organisations whose primary purpose is social” [1]. Considering social innovation as changes in social relations, involving

new ways of doing, knowing, organising and framing, we decouple it from its origin, motive, intention or type of actor [2]. This allows us to consider a diversity of empirical phenomena as social innovation, including for instance the global Ecovillage Movement (community-oriented), the Social Entrepreneur Network Impact Hub (market-oriented) as well as the international phenomena of Participatory Budgeting (government-oriented) [3].



- 12 Research institutes in Europe and Latin-America
- 4 years 2014-2017
- 20 Transnational networks under study
- 100+ Local manifestations investigated in 25 countries (EU, Latin-America & other)

20 Transnational Networks under Study in TRANSIT

- **Ashoka:** Network for financial support to social entrepreneurs
- **Basic Income Earth Network:** Discuss & promote basic income
- **Credit Unions:** Network of different types of credit cooperatives
- **DESIS-network:** Design of social innovation and sustainability
- **European Network of Living Labs:** Research, development & innovation
- **FABLABS:** Digital fabrication workshops open to local communities
- **Global Ecovillage Network:** Network of eco-villages and other intentional communities
- **Hackerspace:** User driven digital fabrication workshops
- **INFORSE:** International network of sustainable energy NGOs
- **International Co-operative Association:** Cooperatives for sustainable inclusive housing
- **Participatory Budgeting:** Network of communities & municipalities reinventing how public money is spent and prioritized
- **Living Knowledge Network:** Network of science shops
- **RIPESS:** Network for the promotion of social solidarity economy
- **Seed Freedom Movement:** Defending seed freedom & biodiversity
- **Shareable – Sharing Cities:** Connecting urban sharing initiatives
- **Slow Food:** Linking food to sustainable development
- **Impact Hub:** Global network of local hubs for social entrepreneurs
- **Time Banks:** Networks facilitating reciprocal service exchange
- **Transition Towns:** Grassroot communities working on “local resilience”
- **Via Campesina:** Aiming for family farming to promote social justice

1

transformative
social innovation
theory

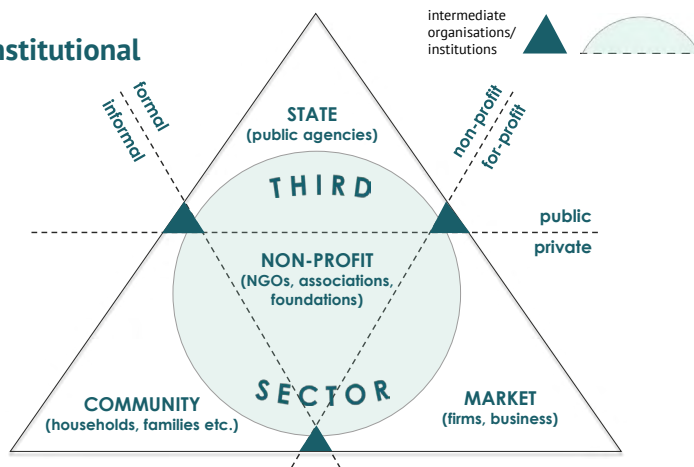
TRANSFORMATIVE SOCIAL INNOVATION

In the project TRANSIT “Transformative Social Innovation Theory”, we are interested in transformative social innovations (TSI). TSI refers to the process by which social innovation contributes to transformative social change. As part of TRANSIT, we completed in-depth studies of 20 transnational networks (see infographic on the TRANSIT project), including over 100 local initiatives spread across 25 countries, primarily in Europe and Latin America. One of the observations in the comparative analysis across cases [4] is that all cases include a myriad of different types of sectors and actors in different roles. In the following, we outline the Multi-actor Perspective, a heuristic framework to disentangle actors, their roles and their (shifting) relations in social innovation.

The MaP also distinguishes between the levels of sectors, individual actors (e.g. entrepreneur, consumer, policy maker) and collectives (e.g. organizations, groups). At the level of sectors, the distinction is based on general characteristics and ‘logic’ (i.e. formal vs. informal, for-profit vs. non-profit, public vs. private). Sectors and other collectives are often referred to as ‘actors’, in the sense of being viewed as entities that hold agency (e.g. “the government is responsible”). While sectors in themselves can be considered ‘actors’, they can also be seen as specific ‘institutional logics’ in which more specific collective or individual actors operate and interact. From this perspective, sectors are sites of struggle and/or cooperation between different individual actors (e.g. the state as interaction between voters and policy makers, the market as interaction between consumers and producers). Individual actors often play multiple roles in different sector

logics; e.g. a policy-maker is also a neighbour, consumer and possibly a volunteer in his free time (see figure on the level of individual actors).

Multiple institutional logics



Multi-actor Perspective: level of sectors (Adapted from Evers & Laville [6])

A MULTI-ACTOR PERSPECTIVE ON TRANSFORMATIVE SOCIAL INNOVATION

We argue that social innovation can be initiated by any kind of actor, at any level of aggregation, with any kind of motive or intention. At each level, actors may be involved in initiatives (projects, programmes, partnerships) and networks, which – intentionally or unintentionally – contribute to

social innovation. Moreover, the shifting relations between actors, and the shifting boundaries between different institutional logics, are a manifestation of transformative social innovation in themselves.

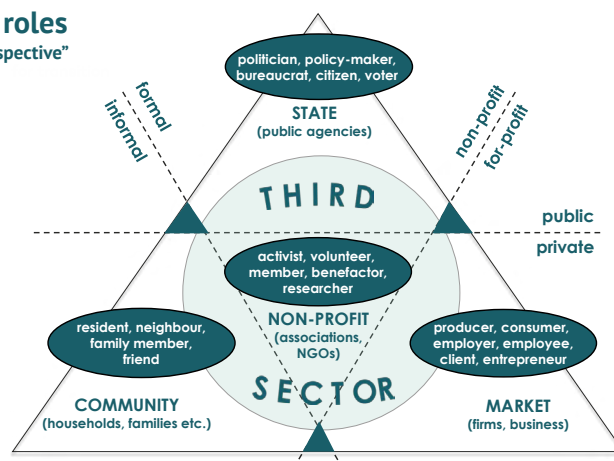
A MULTI-ACTOR PERSPECTIVE

The Multi-actor Perspective (MaP) [5] distinguishes between four actor categories along three axes: 1) informal – formal, 2) for profit – non-profit, and 3) public – private (see figure on level of sectors):

- The **state**: non-profit, formal, public
- The **market**: formal, private, for-profit
- The **community**: private, informal, non-profit
- The **Third Sector**: an intermediary sector in between the others

The Third Sector includes the non-profit sector, but also many intermediary organisations that cross the boundaries between profit and non-profit, private and public, formal and informal. It includes phenomena such as social entrepreneurship, ‘not-for-profit’ social enterprises, and cooperative organisations.

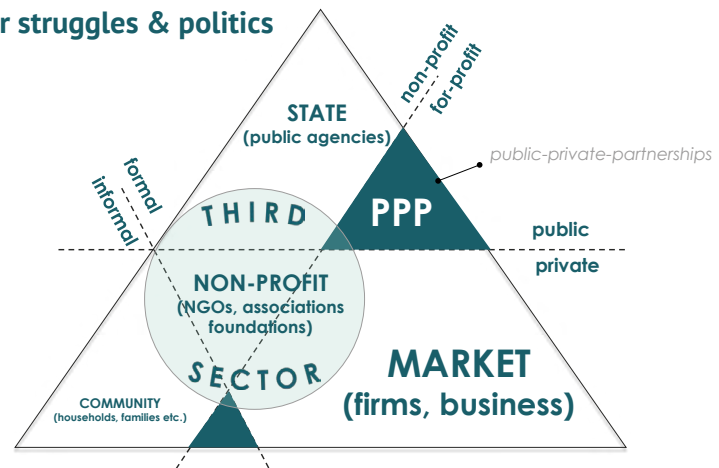
Individual roles “Multi-actor Perspective”



Multi-actor Perspective: level of individual actors

Many social systems (e.g. in energy, housing, education, health, food, transport) in Western societies have been dominated by a two-sector state-market logic during the last decades, while the influence of the community and the Third Sector have been underestimated (see figure on dominance of state-market actors and PPPs). Increasingly, welfare states have out-sourced services to the market, resulting in a wide variety of 'public private partnerships' (PPP) and wide-spread neo-liberal discourses in which state-driven bureaucratic logic, combined with an economic market logic, has been increasingly applied to all dimensions of life and society.

Power struggles & politics



Dominance of state-market actors and public-private partnerships (PPP)

However, along with the interest in social innovation, there is a renewed interest in the Third Sector as "a way out of the stalemate that has resulted from a decade and more of management-driven public sector 'reforms'" [7]. It is expected to combine the efficiency of private firms with the social commitment of public services, and to democratize the relationship between owners, consumers and workers. We also observe a new surge of 'community-based' initiatives, and a state that is increasingly calling upon 'the community' to take over public services. This is especially apparent in discussions on welfare state reform such as the 'Big Society', as part of which governments are re-organizing their responsibilities and tasks vis-à-vis their citizens. This raises a bewildering amount of challenges and questions on how and why 'the community' is supposed to take over in a world where state- and market-logics have prevailed for decades. If we reflect on the power relations, as illustrated in the figure on power struggles and politics, a 'retreat' by the (welfare) state in order to make space for the community could also lead to the market (rather than community) logic taking over.

With transformative social innovation, we refer to the process by which social innovation challenges, alters and/or replaces dominant institutions [8]. From a Multi-actor Perspective, this raises the question how and to what extent social innovation challenges, alters and/or replaces the dominant institutional logics of, within and across the state, market, community and the Third Sector.

With societal challenges and trends such as the economic crisis and changing welfare states, it seems that a 'hybrid sector' is emerging, challenging existing institutional boundaries.

COMPARING AND DISCUSSING THREE SOCIAL INNOVATION CASES FROM A MULTI-ACTOR PERSPECTIVE

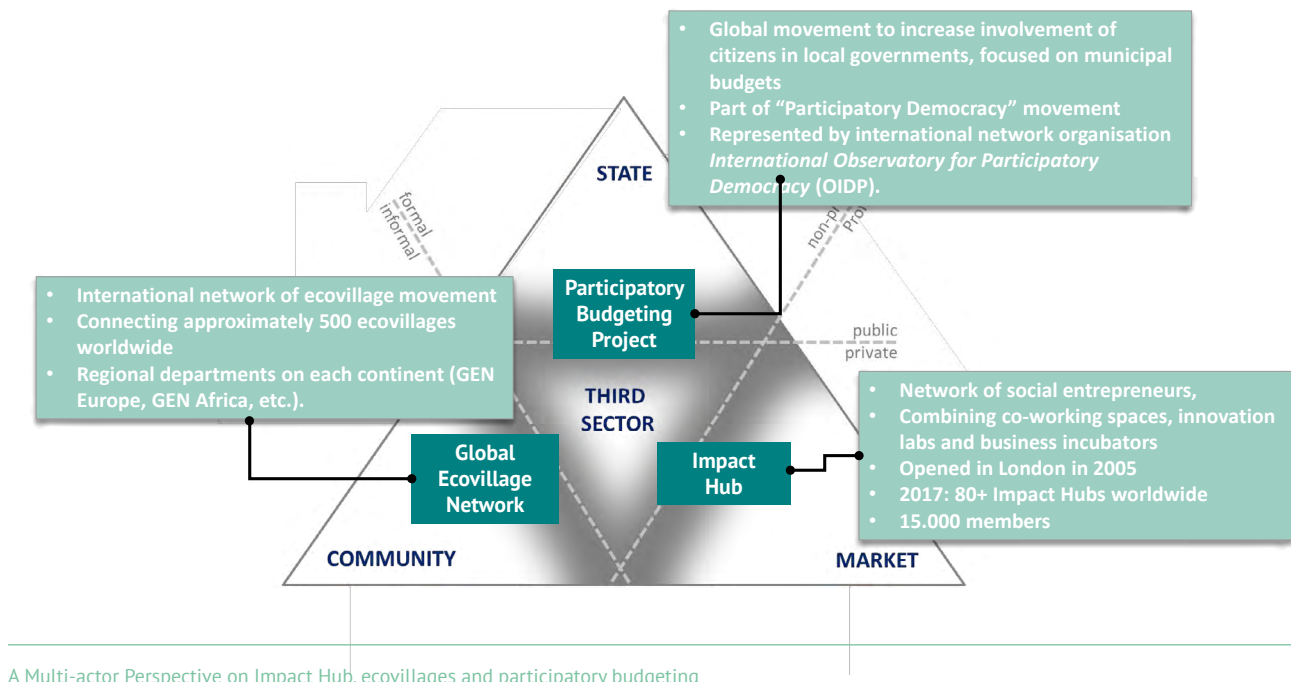
We explore three distinct cases: networks that work with social innovation and have transformative ambitions, which represent different orientations in terms of the main institutional logic in which they operate:

- **Impact Hub** network of social entrepreneurs (mostly market-oriented) [3]
- **Global Ecovillage Network** (mostly community-oriented) [3]
- **Participatory Budgeting** (mostly state-oriented) [3]

The graphic of the MaP on Impact Hub, Ecovillages and Participatory Budgeting provides a short summary introducing each of the three networks.

Comparing the three networks under study using the MaP, we observe the following. First, all display a remarkable multi-actor and institutional diversity. Often, they are formalised as non-profit associations or foundations, and as such are part of the non-profit sector. However, they also operate at the intersection of different sectors and institutional logics to redefine and renegotiate sector boundaries. As such, sector boundaries are not a static given – they are very much blurring, shifting, contested and continuously negotiated by these networks.

Second, these networks **challenge existing social relations and reshape the roles of individual actors**. For instance, participatory budgeting challenges the relation between citizens and local governments, the Impact Hub strengthens the role of social entrepreneurs, and ecovillage reconfigures the relation between the individual and the community. In assuming different roles across sectors, individuals act as crucial nodes that translate, spread and connect social innovations across different sectors and localities.



A Multi-actor Perspective on Impact Hub, ecovillages and participatory budgeting

Third, the networks have **transformative potential by challenging, altering and replacing institutional boundaries**. In the case of the Impact Hub, the boundaries between for-profit and non-profit logics are challenged, in ecovillages between formal housing regulations and informal community-led settlements, and in participatory budgeting, between local governments and citizens. This manifests in confrontations between initiatives and authorities, and often leads to legal or political discussions on adapting regulations. As such, the networks play an important role in (re)negotiating institutional logics. In doing so, however, there is also a risk that network ideas are (ab)used to legitimise the dismantlement of the welfare state and subsequent budget cuts. One could argue that such unintended effects weaken their transformative potential, as these effects contribute to actually reproducing a dominant, institutionalised trend of neo-liberalisation.

Many critical debates and concerns about social innovation relate to the unequal power relations between different sectors and institutional logics. The state logic and in particular the market logic have become very dominant in the past decades. With societal challenges and trends such as the economic crisis and changing welfare states, it seems that a 'hybrid sector' is emerging, challenging existing institutional boundaries. This could be seen in terms of an integrating, hybrid domain, which is transcending the traditional separations by blurring and mediating the boundaries between the traditional sector logics, as well as including new elements, roles and challenges from all of them.

REFERENCES

- [1] Mulgan, Geoff/ Tucker, Simon/ Rushanara, Ali/ Sanders, Ben (2007): Social Innovation: What it is, why it matters and how it can be accelerated. Skoll Centre for Social Entrepreneurship: Oxford.
- [2] Avelino, Flor/ Wittmayer, Julia M./ Pel, Bonno/ Weaver, Paul/ Dumitru, Adina/ Haxeltine, Alex/ Kemp, René/ Jørgensen, Michael S./ Bauler, Tom/ Ruijsink, Saskia/ O'Riordan, Tim (2017): Transformative Social Innovation and (Dis)Empowerment. Technological Forecasting and Social Change. Internet: <https://doi.org/10.1016/j.techfore.2017.05.002> [Last accessed 02.11.2017].
- [3] TRANSIT (2017): Overview of case-studies and database. Internet: <http://www.transitsocialinnovation.eu/discover-our-cases-2> [Last accessed: 02.11.2017].
- [4] Pel, Bonno/ Bauler, Tom/ Avelino, Flor/ Backhaus, Juila/ Ruijsink, Saskia/ Rach, Sarah/ Jørgensen, Michael S./ Kunze, Iris/ Voss, G./ Dumitru, Adina/ Lema Blanco, Isabel/ Afonso, Rita/ Cipolla, Carla/ Longhurst, Noel/ Dorland, Jens/ Elle, Morten/ Balázs, Bálint/ Horváth, J./ Matolay, Réka/ Wittmayer, Julia M./ Valderrama Pineda, A./ Serpa, B./ Rösing Agostini, Manuela/ Lajarthe, F./ Garrido, Santiago/, Picabea, Facundo/ Moreira, J./ Trentini, Florencia/ Bidinost, A./ Weaver, Paul/ Heimann, Ruth/ Skropke, Carina/ Hoffmeister, Kay-Lennart/ Tawakol, Donia/ Olivotto, Veronica/ Tsatsou, Alexandra/ Zahed, Y./ Moet, R./ Zuijderwijk, Linda/ Renema, Jesse/ Kemp, René (2017): The Critical Turning Points Database. Concept, methodology and dataset of an international Transformative Social Innovation comparison. TRANSIT Working Paper #10. TRANSIT: EU SSH.2013.3.2-1 Grant agreement no 613169. Internet: http://www.transitsocialinnovation.eu/content/original/Book covers/Local PDFs/263 CTPdatabase_TRANSIT_WorkingPaper10_FINAL_BP120717.pdf [Last accessed: 02.11.2017].
- [5] Avelino, Flor/ Wittmayer, Julia M. (2016): Shifting Power Relations in Sustainability Transitions: A Multi-actor Perspective. In: Journal of Environmental Policy and Planning, 18(5), pp. 628-649.
- [6] Evers, Adalbert/ Laville, Jean-Louis (Eds.) (2004): The Third Sector in Europe. Edward Elgar Publishing: Cheltenham.
- [7] Scott-Cato, Molly (2010): Did the Earth Move? Social and co-operative models of economic activity. In: Development, 53(3), pp. 333-337.
- [8] Haxeltine, Alex/ Pel, Bonno/ Dumitru, Adina/ Kemp, René/ Avelino, Flor/ Søgaard Jørgensen, Michael/ Wittmayer, Julia M./ Kunze, Iris/ Dorland, Jens/ Bauler, Tom (2017): Consolidated version of Transformative Social Innovation Theory, Deliverable no. D3.4. TRANSIT: EU. Internet: <http://www.transitsocialinnovation.eu/content/original/Book covers/Local PDFs/272 TRANSIT D3.4 Consolidated version of TSI theory.pdf> [Last accessed: 02.11.2017].

SOCIAL INNOVATION AS A CHANCE AND A CHALLENGE FOR HIGHER EDUCATION INSTITUTIONS

Why Higher Education Institutions are important for social innovation and how they can promote social innovation initiatives and projects.

Mark Majewski Anderson / Dmitri Domanski / Jürgen Howaldt

ON THE UNTAPPED POTENTIAL OF ACADEMIA IN THE FIELD OF SOCIAL INNOVATION

Social innovations are often developed at the interfaces between different societal sectors. The links between them are mainly created by single organizations and initiatives. Many of these institutions consider themselves as a coupler between different parts of the society. They develop new, joint methods of research, guidance, consultancy, promotion and financing. Nevertheless, in a knowledge society academia may have the most important role in developing, testing and

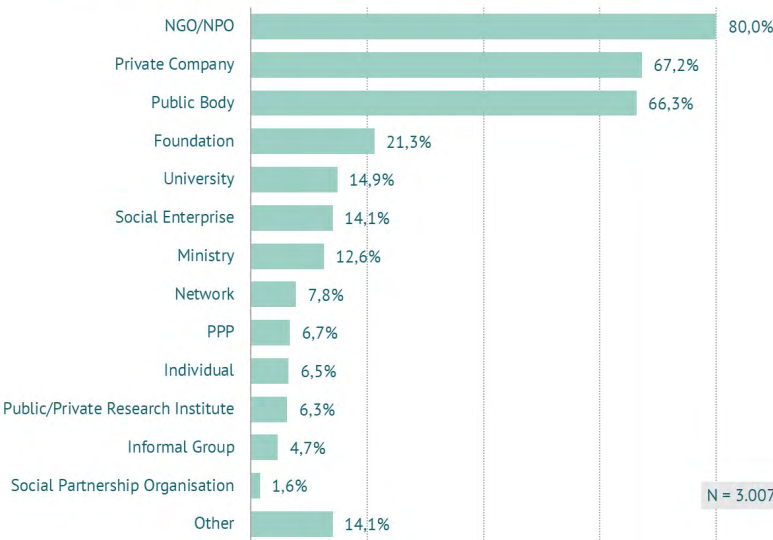
diffusing social innovations. Higher Education Institutions (HEIs) and research institutes represent important platforms to promote intensive exchange between different disciplines, business sectors and cultures.

However, the results of the global mapping of the research project SI-DRIVE (with about 1000 cases) show that HEIs do not engage systematically in the field of social innovation so far. Universities participated in only 14.9 percent of the reviewed initiatives and in total organizations from the field of research and education were involved in slightly more

than 21 percent of social innovations (see graph). Hence, this sector plays a relatively small role compared to other societal sectors when it comes to developing and diffusing social innovations [1].

This raises the question of the role of universities in social innovation processes. The marginal engagement of research and education institutions is in strong contrast to their essential role as knowledge providers in classical innovation processes as well as one of the pillars of the triple helix model and an indispensable part of the concept of innovation systems. Furthermore, while in natural and technical sciences there is a long tradition of innovation support accompanied by formation of qualified human resources, in social sciences there is still a lot of unexploited potential in this regard.

**Partners involved in the Initiative by Type
(multiple responses, % of all engaged partners)**



The results of SI-DRIVE's global mapping show a low participation rate of academia in social innovation initiatives.

In Germany, this issue was explicitly addressed through the declaration Social Innovations for Germany, elaborated by actors from all societal sectors and presented to the Federal Government in 2014.

While their potential remains largely untapped, HEIs represent ideal partners to help break down or at least mitigate against multiple barriers to social innovation. They can serve as intermediaries between the subversive nature of social innovation and its need for institutional and political recognition. They can provide appropriate R&D for robust, empirical evaluations of the effectiveness of social innovation, offering an understanding of what can accelerate and scale-up social innovation. Just as technical expertise in specialized areas can support commercial businesses and give them the means to help grow and expand; the same technical expertise can be offered to social innovators. But in addition to this, HEIs are providers of a range of logistical support to their community that can provide real added value to social innovation: through the exploitation of their tacit and codified knowledge; through capacity building, mentoring and training; through the use of specialized equipment; through the provision of real and virtual spaces for networking, hot-desking or more formal incubation facilities; through selection and evaluation expertise; through lobbying.

IMPLEMENTING SOCIAL INNOVATION AT HEIs: THE EXAMPLE OF LASIN'S SOCIAL INNOVATION SUPPORT UNITS

The LASIN Project (Latin American Social Innovation Network) [2] is an initiative funded under the European Commission's Erasmus+ Capacity Building Programme. It specifically seeks to address the issues raised above by establishing units specialized in social innovation support in eight HEIs in Latin America (Chile, Colombia, Brazil and Panama) and also to widen the Network into other countries and institutions throughout the region. Each of these Social

resources at their disposal to serve their communities in an innovative, effective and sustainable way.

An essential characteristic of the SISU is that it is a physical space, as much as possible exclusively dedicated to social innovation. It should be a space for dialogue, where different societal stakeholders (e.g. policy makers, academics and experts, representatives of a local organization or

HEIs represent ideal partners to help break down or at least mitigate against multiple barriers to social innovation.

community, and the private sector) are invited to engage with each other, to discuss their ideas and create innovative solutions in order to tackle commonly recognized problems or discuss issues where there may be conflicting perspectives. This means that a SISU does not act only when ideas are already developed, but it actively works to foster new ideas, by encouraging new collaborations and relationships; and making connections between the different stakeholders in society. It should also be a space for innovation and co-design, where new ideas can be developed with a participatory and co-design approach between universities and society. By being based in a HEI, the SISU participates in this process by providing its own internal resources (staff) and allowing society to access resources available within the university (academics, students, tacit and codified knowledge, infrastructure, space, networks etc.), and bringing together different stakeholders in society to one place (citizens and communities; public and private sector etc.).

In order to help guide the partners to establish their SISU but also as a way of benchmarking their progress, a number of evaluation criteria were defined: strategic position within the university (in particular the degree of institutional commitment), stakeholders and users (both external and internal), physical space (including size and signage), equipment (including an inventory of specialized equipment), communication and promotion, process for delivering support, users (internal and external).

An essential characteristic of the SISU is that it is a physical space, as much as possible exclusively dedicated to social innovation.

Innovation Support Units (SISUs) have developed a model for driving social change within their local communities through research, training and knowledge exchange, tailor made to the needs of their communities but also playing to the strengths of their University. What they share is a common purpose: to harness the facilities, knowledge and

A generic blueprint for the SISU was developed jointly by the Universidad de Desarrollo in Santiago de Chile and Universidad de Brazil. As part of this blueprint, a set of clear objectives were defined: to increase social innovations, social enterprises and new projects; to identify new funding opportunities, including microcredit resources; develop new collaborations between university academics, students, communities and social programmes in order to lend academic credibility; create new innovation models (foundations, cooperatives, not-for-profit companies). In particular, the SISU blueprint underlined the importance of the SISU for the communities with which they worked,

contributing a hands-on experience to the learning process, connecting learning experiences to the social context, boosting innovative ideas and maximising context, and providing students and academics with the capacity, motivation and experience to engage with the community and drive social change.

The Blueprint also recommended a number of characteristics that the SISU should adhere to:

- **Creativity:** the SISU is a creative environment, which is not only generated by the physical spaces it offers but also through people who work within them. The SISU encourages the presence of people in their facilities. A SISU encourages people to use spaces and resources available to develop ideas, projects and also enhance and generate knowledge.
- **Collaboration with society:** a SISU will not deliver or provide a top-down solution to a society, as experts from university providing knowledge to passive citizens but will recognize the diffused creativity available in society and that social innovations often emerge from bottom-up initiatives such as citizens' activism, emerging spontaneously from a specific group of people. A SISU recognizes and relies on existing capabilities and resources in people and institutions.
- **Open-door policy:** a key policy of a SISU should be to have an open-door policy in order to attract social innovators but also any kind of stakeholder. This is a key factor for supporting projects but also to raise awareness inside and outside LASIN's institutions. In this way, a SISU is a hub that connects multiple stakeholders around societal problems.
- **Mutual-learning process:** a SISU will foster knowledge exchange between universities and society in a mutual learning process. Universities recognize the knowledge embedded in society (e.g. traditional knowledge) and, at the same time, they make scientific and technological knowledge available to society. This defines the innovative status of a SISU using new and resourceful strategies to tackle societal demands.
- **Innovative copyright policy:** social innovations are the result of collaborations between different stakeholders in society to face commonly recognized challenges. Traditional copyright policies may not be appropriate in a SISU if it is to foster the right environment for the development of social innovation, it might hinder the process.
- **Academic credibility:** an active SISU contributes to academic credibility in the realm of social innovation (as universities have done in scientific and technological innovation through institutes and dedicated centres).

OUTLOOK: SOCIAL INNOVATION AS A CHANCE AND A CHALLENGE FOR HEIs

The role that HEIs are playing in social innovation has evolved in recent years. Besides researching transformation processes, more approaches in which science itself is

considered an active participant in processes of social innovation are increasingly coming to the fore. Concepts such as Design Thinking or Transformative Research with focus on active participation of stakeholders are becoming more important for the work of HEIs with their environments [3]. Through transformative research, science seeks to solve societal problems by activating processes of societal change. Against this background, creation of appropriate structures (Living Labs and other spaces for exploration and learning) that help to develop knowledge based on experience in order to establish new social practices has received growing attention and needs to be further promoted. Only by sensitizing people about societal problems and possible solutions, HEIs can advance the development of social innovation with community members. Through concepts, such as Service Learning or Explorative Learning, knowledge and experience of students are taken on and links between academia and society are developed, with the latter becoming an important partner in addition to economy. This also includes the question of new modes of knowledge production and scientific co-creation of knowledge aiming at an integration of practitioners and social innovators in the innovation processes.

Nevertheless, there are several challenges that HEIs need to meet in order to advance in the area of social innovation. First, they need to better understand what is social innovation: while more and more HEIs recognize the importance of social innovation for societal development and the need to engage in this area, they do not necessarily understand what social innovation is exactly about (e.g., it is often confused with the area of University Social Responsibility, which does not necessarily refer to (social) innovations). On the one hand this is not surprising considering the lack of conceptual clarity in this area. But on the other hand, while solid academic knowledge on social innovation remains scarce, many universities still rarely – if at all – participate in social innovation research. Hence, as

Social innovation should
be integrated along the
three missions.

long as those who work in this area and aim at introducing change have no clear concept and understanding of social innovation, it will be difficult to succeed. While in the EU social innovation has become an increasingly important research topic in recent years, in many parts of the world it is still quite seldom. This leads us to the next challenge.

Thus, second, social innovation should be integrated along the three missions. As described above, social innovation is appearing on a growing number of universities' agendas, sometimes even becoming an important part of their development strategies. Some universities offer classes and degrees, such as Master or Bachelor. Others focus on

research in social innovation. Probably the most common way for universities to engage in this topic that we can observe is related to manifold activities within what is usually referred to as the third mission (here mainly understood as social responsibility, outreach and engagement). Nevertheless, we can rarely see a university where social innovation is integrated in all three missions. Moreover, the challenge is not only to develop activities in teaching, research and the third mission. It is the issue of integrating social innovation along the three missions in a comprehensive way: the work in every 'mission' needs to be connected to the work in other missions, so that it can benefit from the others.

Third, there are two interrelated, fundamental characteristics of university support for social innovation that need to change:

- i) social innovation support activities tend to be ad hoc and largely altruistic, universities have not recognized or systemized a process to measure the social return on investment;
- ii) as a result, while commercial innovation is recognized and institutionally supported by well-established knowledge transfer offices, there is no professional support function within universities for supporting social innovation. Until now, neither the infrastructure nor the funding has existed to make this possible, largely because governments and even university executives have been resistant to the notion of social innovation as an effective socioeconomic instrument. The adoption of social innovation at a policy level by governments throughout the world is creating an environment in which institutional support for this area is becoming increasingly prevalent with funders willing to invest in projects.

Fourth, there is a challenge of integrating both the top-down and the bottom-up perspective. Usually, when universities assume their role as socially responsible institutions regarding their environment they start developing initiatives, which are supposed to favour different target groups (e.g. communities). However, such initiatives tend to be designed and implemented from the university's perspective, missing to involve the target group

HEIs have to learn how to work with target groups on equal footing and how to integrate their own perspective with the latter's perspective.

right from the start. It is not surprising then that projects developed by HEIs do not necessarily respond to the needs, the ideas and the visions of communities and other target groups. HEIs have to learn how to work with target groups on equal footing and how to integrate their own perspective with the latter's perspective. As shown above, projects such as LASIN have already started to address this issue.

REFERENCES

[1] Howaldt, Jürgen/ Schröder, Antonius/ Kaletka, Christoph/ Rehfeld, Dieter/ Terstriep, Judith (2016): Mapping the world of social innovation. A global comparative analysis across sectors and world regions. Internet: <https://www.si-drive.eu/wp-content/uploads/2016/07/SI-DRIVE-D1-4-Comparative-Analysis-2016-08-15-final.pdf> [Last accessed 18.11.2016].

[2] Latin American Social Innovation Network (2017). Official website. Internet: <http://www.lasin-eu.org/> [Last accessed 19.09.2017].

[3] Schneidewind, Uwe/ Singer-Brodowski, Mandy (2013): Transformative Wissenschaft. Klimawandel im deutschen Wissenschafts- und Hochschulsystem. Metropolis: Marburg.

WORKPLACE INNOVATION AS AN IMPORTANT DRIVER OF SOCIAL INNOVATION

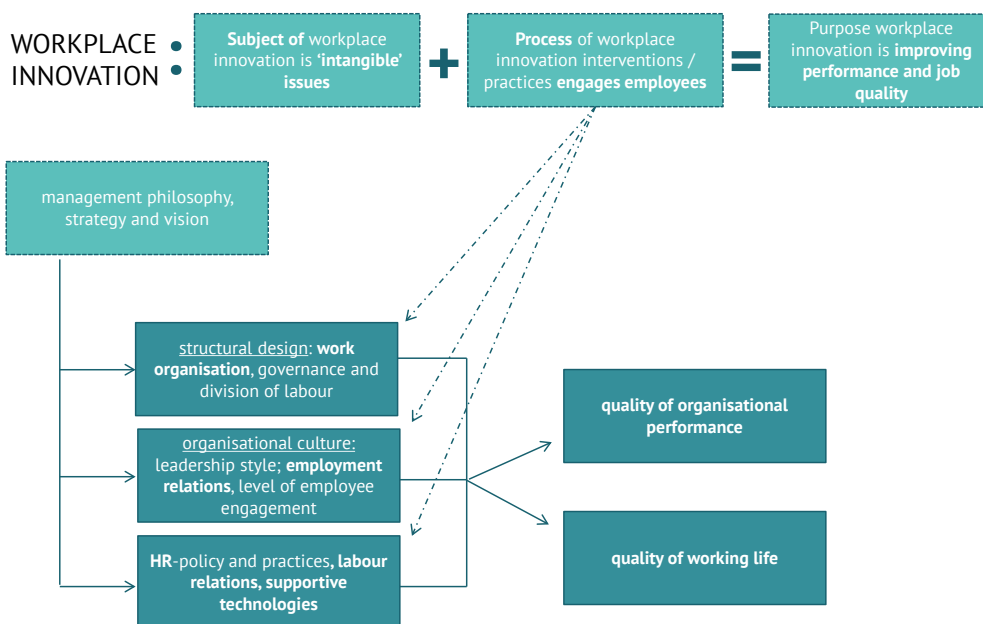
The project SI-DRIVE “Social Innovation: Driving Force of Social Change” includes a specific practice field within the policy domain of Employment, namely Workplace Innovation. Workplace Innovation can be positioned at the level of organisations and companies, where it has a significant effect on the participation of employees, the quality of their jobs, and the sustainable employability of the labour force.

Peter Oeij / Steven Dhondt / Frank Pot / Peter Totterdill

WORKPLACE INNOVATION

Workplace Innovation (in short WPI) is about two things: the process of innovation and the subject of innovation. The process of WPI is to engage and involve employees when the organisation develops or implements renewal and change. This ‘bottom up’ approach means that employees have a say in the process. The subject of innovation is not so much the new product, service, business model or technology, but the renewal and improvement of ‘soft’ and ‘intangible’ issues. For example work organisation (good job design, self-managing team work), human resource management (measures that engage employees), labour and employment relations (that enhance employee

commitment) and supportive technologies (not ‘steering and controlling’ technologies). The purpose of WPI is to contribute to organisational performance (efficiency, competitiveness and innovative capability) and quality of work (productive, healthy and meaningful jobs) simultaneously. WPI thus enables an organisation to adapt to new circumstances and to adopt new technologies, by making better use of human talents and capabilities. The figure on workplace innovation combines the subject and process of workplace innovation. Often management starts to initiate renewal. Modern managers engage employees in the process of developing and implementing interventions and practices. Such cooperation ensures to strive for gains for both the organisation and its employees [1].



Workplace innovation:
subject and process

LINK WITH SOCIAL INNOVATION

Social Innovation addresses social needs by social means. ‘Social’ in the context of WPI refers to non-technical innovations and emphasizes good quality jobs and employee participation [2]. Social Innovation assumes that people in need take the initiative to address social problems. But people only start doing this when they are empowered, and one condition that ensures such initiatives is when people have meaningful work. Participation through work enables participation in society. Such participation is designed via WPI – as employee engagement and involvement – through the process of bottom up innovation.

WORKPLACE INNOVATION IN PRACTICE

Although WPI can take many forms, its hallmark is employee engagement – a supportive organisational culture – and employee involvement – decision latitude for employees. Two examples of the 2015 Eurofound report on Workplace innovation in European companies [1] will make this clear.

Leadership as a basis for WPI

“We want this to be a business where views are listened to and where communications are open and honest. We also want this to be a workplace where positive ideas are encouraged and where achievements are celebrated” says the Head of HR of an Energy producing company in the UK. The introduction of Open Forums replaced the previous company-wide meetings and suggestion schemes which had struggled to stimulate open and constructive dialogue and feedback. The CEO’s open leadership creates trust and employees feel confident about the future. According to one employee: “It is interesting isn’t it, you go to the Open Forums and people will say what they think and absolutely nobody will turn round and go, I can’t believe he said that. (...). That’s really empowering I think.”

Partnership with unions as a firm ground for WPI

In a Danish Service organisation organisational changes are discussed by the manager and the union representatives. They have a partnership and value each other’s opinions. The implementation approach consisted of a number of steps: 1) management took initiative, 2) external consultants supported the process, 3) experiments were conducted (e.g., a work team tested new meeting practices), 4) ‘invitation’ to share the same knowledge for all by training, and 5) implementation of the practices. No rigorous evaluation was done but adjustments were made along the way. Both management and employees

believe that it is important to design the process in a manner that creates ‘enthusiasts’ amongst the employees. The union representative explains: “It gives a huge boost to the company that we work together to create a great workplace”. The employees believe that, even though management determines the direction, they have to have the trust to be able to discuss it: “It should be perfectly legal to say our outspoken opinion to our manager – and it is. There may well be disagreement, but you have to be able to discuss things” (employee).

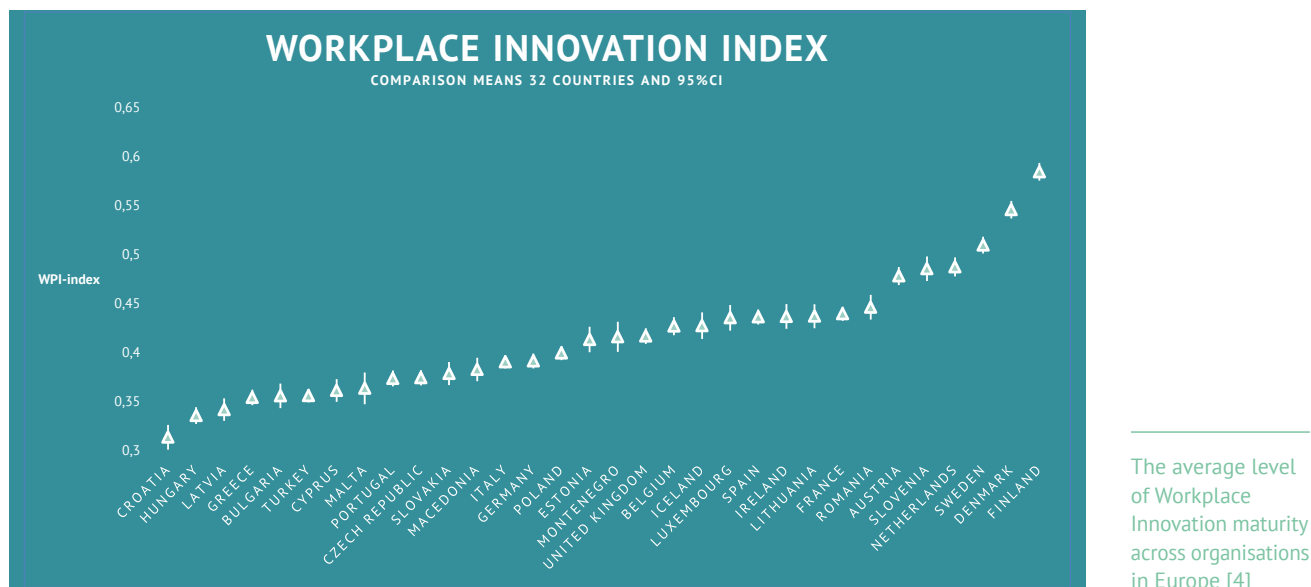
The Eurofound report presents cases of implemented WPI-interventions that range from organisational structure changes to modifications of culture through behavioural changes. Most examples are driven by the desire to improve the quality of work and performance simultaneously. And most have chosen a bottom up approach to implement those changes.

This report examines the motives behind the adoption of WPI and describes its implementation across companies in Europe. It analyses the impacts of WPI from the perspective of the different players – organisation, management, employees and employee representatives – in 51 companies across 10 EU Member States. The analysis reveals that while there is significant variation in the types of WPI practices in companies, the process of why and how these practices are implemented shows considerable similarity. While the reasons for introducing WPI are mainly related to enhancing efficiency, competitiveness and innovation, one positive result seems to be to strengthen the position of employees and employee representatives. As a result, WPI outcomes often lead to both enhanced economic performance and a better quality of working life for all concerned [1].

WORKPLACE INNOVATION ACROSS EUROPE

What constitutes an organisation as one with a ‘workplace innovation quality mark’? According to most WPI definitions [3] such an organisation has a ‘work organisation’ where job autonomy and self-management flourish. They have an ‘organisational culture’ where learning, trust and involvement are made effective. Their ‘structure and systems’ support equality, reduce organisational walls and ceilings and foster integration of activities and goals. And, finally, the ‘relational coordination’ mirrors dialogue, honest communication and involvement in change.

The European Company Survey of Eurofound measures several characteristics of these elements and this enables the construction on a ‘workplace innovation index’: a measure that informs about the level of WPI-maturity of



companies. For this purpose several variables were selected from the Survey that, e.g., measure the engagement and involvement of employees and the presence of job autonomy [4]. Using the WPI index, EU countries (including Montenegro, Macedonia and Turkey) can be ranked (see graphic on the average WPI maturity across organisations in Europe).

A high potential to both making organisations more innovative and productive, and at the same time crafting jobs where people can become participative in Social Innovation at the organisational level.

With the average score between United Kingdom and Belgium, one can, roughly speaking, observe that Scandinavian countries and many parts of Western-Europe accommodate most WPI-mature companies. These countries have the longest traditions of social dialogue and worker-management-cooperation.

CONCLUSION: MAKE MORE USE OF WPI

The empirical facts to date about Workplace Innovation reveal a high potential to both making organisations more innovative and productive, and at the same time crafting jobs where people can become participative in Social Innovation at the organisational level. Yet, there is a world to win if one considers that the Eurofound study's background indicates that only 5 to 10 % of European companies have reached a high WPI-maturity level. In recent years the EU has opened up pathways to WPI by integrating it into their programmes on research, innovation and social improvement, and also as part of their innovation policies, namely complementing technological innovation with WPI [3][5]. In alignment with the underuse of WPI, the EU innovation policies are regrettably dominated by technological and business model innovation. The potential of WPI is not limited to the level of organisations, but WPI can also contribute in alleviating societal issues of unemployment, employee representation and social dialogue, and social cohesion. One major initiative to pave the path has been EUWIN (European Workplace Innovation Network), which disseminates state of the art knowledge about WPI. A next step is for practice to learn from the many examples in their ever-growing knowledge bank [6].

REFERENCES

- [1] Eurofound (2017): Workplace innovation in European companies. Internet: <https://www.eurofound.europa.eu/publications/report/2015/working-conditions/third-european-company-survey-workplace-innovation-in-european-companies> [Last accessed 14.09.2017].
- [2] Pot, Frank/ Dhondt, Steven/ Oeij, Peter (2012): Social innovation of work and employment. In: Franz, Hans-Werner/ Hochgerner, Josef/ Howaldt, Jürgen (Eds.), Challenge Social Innovation. Potential for business, social entrepreneurship, welfare and civil society. Springer: Berlin, pp. 261 – 274.
- [3] Oeij, Peter/ Rus, Diana/ Pot, Frank (2017): Workplace Innovation: Theory, Research and Practice. Springer: Cham.
- [4] Dhondt, Steven/ Preenen, Paul/ Oeij, Peter/ Corral, Antonio/ Isusi, Iñigo/ Totterdill, Peter/ Karanika-Murray, Maria (2014): European Company Survey: construction of the workplace innovation index and selection of companies. TNO: Hoofddorp.
- [5] Pot, Frank/ Totterdill, Peter/ Dhondt, Steven (2016): Workplace innovation: European policy and theoretical foundation. In: World Review of Entrepreneurship, Management and Sustainable Development, 12 (1), pp. 13-32. (In: Special Issue 'Workplace Innovation – Social Innovation: Shaping work organization and working life', Howaldt/ Jürgen Oeij, Peter, guest editors).
- [6] EUWIN (2017): Share your knowledge and learn from others. Internet: <http://portal.ukwon.eu/euwin-knowledge-bank-menu-new> [Last accessed 14.09.2017].

GENDER AND DIVERSITY AS CROSS CUTTING THEMES

An analysis of approaches to diversity across in-depth case studies of social innovation. Diversity and inclusion are critical to achieving many of the UN millenium goals – including poverty alleviation, education and employment – and so it is not surprising that they appear as cross cutting themes in SI-DRIVE social innovation cases. Our analysis suggests, however, that they seldom address the systemic roots of exclusion, and are thus unlikely to result in systemic change.

Wendy Cukier

INTRODUCTION

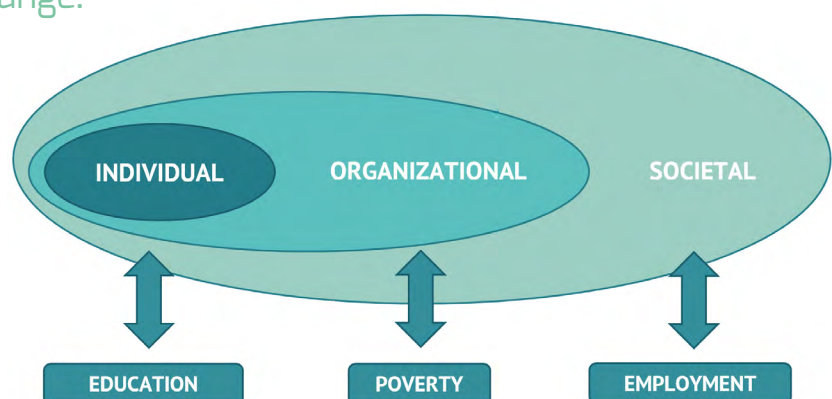
Key to the UN sustainable development goals is a commitment to human rights and equity. While definitions of diversity are often context specific and multidimensional, we understand dimensions to include gender, race/migrant status, disability, indigentity, as well as sexual orientation and gender identity and age. There is growing evidence that diversity and inclusion are linked to positive outcomes not just at the individual level, but also, for organizations and societies [1][2]. There is also evidence that the economic, social and political exclusion of groups defined by demographic characteristics underpin many pressing global issues, including poverty, health, and violence. This snapshot reviewed 82 in-depth case studies of social innovation

Marginalized social groups are typically framed as target populations for social innovation initiatives, rather than as potential agents of change.

initiatives, and finds that gender, migrant status and disability serve as prominent cross-cutting themes, while race, ethnicity and aboriginal status are less frequently noted. We find that marginalized social groups are typically framed as target populations for social innovation initiatives, rather than as potential agents of change. Nor do there tend to be discussions of the systemic barriers which prompt their marginalization (sexism, racism, etc.), and consequently they have limited potential to generate systemic change.

DIVERSITY ACROSS CONTEXTS

Definitions of diversity terms are fluid, varying across time and regions. Gender has traditionally been based on the male/female dichotomy, but there has been an acceptance that the concept, along with sexual orientation, is more complex and multi-dimensional. Understandings of race, ethnicity, and migrants also vary considerably. In Europe, for example, there is resistance to discussions of race, rooted in part on the legacy of WWII. In other countries, “migrants” constitute a designated group, and are a racialized “other.” Official and popular understandings of disability also vary greatly, with some nations deeming it a narrow range of physical/intellectual impairments, while others conceive it as encompassing mental health and addictions. Indigenous people also garner more attention in some countries than others. Though commonly used, there is growing recognition that categorizations of individuals according to demographic markers are problematic, and that



Ecological Model – Social Inclusion and Change

intersectional effects (e.g. race, class, gender) produce consequential variations in the lived experiences of what are often erroneously perceived as “homogenous” groups (e.g. Indigenous Peoples, African Americans).

WHY DIVERSITY MATTERS?

Women are essential for local, national and global development. Across developing countries, studies show that investing in women’s education produces socio-economic benefits [3]. In industrialized economies, studies have linked women’s leadership to corporate performance [4]. Research also finds that immigration and cultural diversity more broadly are positively correlated with regional development and economic prosperity [5].

Despite these documented benefits of diversity, complex social structures perpetuate inequality and exclusion. Such structures are constituted by barriers at the societal (e.g. legislation, norms and stereotypes, structure of women’s work); organizational (e.g. policies and practices and informal networks, overt discrimination and unconscious bias) and individual level (e.g. attitudes, skills, behaviors). Significant variation across nations and organizations are instructive in highlighting the sort of barriers marginalized groups faced. Moreover, a review of existing indices used to benchmark diversity and inclusivity can help to inform impact assessments of social innovation initiatives.

Increasingly, we see empirical efforts have been made to study and benchmark social inclusion at the macro level. For example, the Gender Inequality Index produced by the United Nations incorporates measures of women’s reproductive health, government representation (via parliamentary seats), educational attainment and labor market participation. The Social Institutions and Gender Index (OECD) considers discriminatory family codes, laws which limit women’s control over their bodies, civil liberties and ownership rights. The Gender Equality Index (European Union) accounts for income, health, and violence against women. The Gender Empowerment Index (UN) includes factors like participation in high-paying positions with economic power and female share of income.

The Migrant Integration Policy Index measures access to institutions like education, health, and the labor market, along with family reunion policies, and pathways to nationality and permanent residence. The Migrant Integration Statistic by Eurostat is similar and The European Civic Citizenship and Inclusion Index produced by the British Council also considers anti-discrimination, family reunion and naturalization policies. Broader indices of inclusion, such as the Global Inclusiveness Index (Hass Institute, UC Berkeley) focus on the occurrence of group-specific violence (e.g. ethnic, race, religion, sexual orientation), political representation of marginalized groups, income inequality, and anti-discrimination laws.

Despite these documented benefits of diversity, complex social structures perpetuate inequality and exclusion.

In high-income countries, businesses and non-profits have begun to benchmark diversity and inclusion at the organizational level. Forbes Magazine, for example, publishes a ranking of corporations based on measures of age, country of birth, disability, and ethnicity. The Lucerne School of Business publishes another holistic diversity index for major Swiss organizations with at least 250 people, taking into account age, gender, nationality, religion and health. The Disability Equality Index, produced by the American Association of People with Disabilities and the U.S. Business and Leadership Network, uses survey data on organizational culture, employment practices and support services to rank companies with respect to their treatment of disabled employees. And there are many other variations. At the individual level, Project Implicit (Harvard University) has created a widely used test, with multiple variants, which assesses attitudes and unconscious bias. These indices can inform evaluations of the impact of social innovation initiatives and the logic models to drive systems change.

DIVERSITY & SI DRIVE INITIATIVES

The 1005 initiatives documented by SI-DRIVE creatively address a plethora of social problems across several domains (see article “Social Innovation on the Rise - Results of the first Global Mapping). In-depth case studies of 82 of these conducted by SI-DRIVE were examined, revealing that roughly a third (31.7%) explicitly referenced gender (including a variety of derivatives, e.g. “girls”, “woman”, “female”), and smaller groups referenced “migrant status” (18.3%), disability (14.6%), aboriginal status (4.9%) or race/ethnicity (3.7%).

GENDER

Across case studies, it was recognized that gender shaped the experiences of individuals with poverty, or with institutions such as schools or the labor market. Several initiatives sought to help women overcome specific barriers. The Istanbul Metropolitan Municipality Lifelong Learning Centre (Turkey) and Servicios Sociales Integrados cooperative (Spain), provided women with skills training to facilitate workplace participation. Mama Works in Russia also helped women by providing flexible work arrangements and financing young mothers’ business projects. The Dignity and Design initiative in India similarly provided sewing machines and small scale garment production equipment for 21,225 marginalized people (of which more than 90 %

	Gender	Migrant	Disability	Race/ Ethnicity	Aboriginal People
Total Mentions	350	95	47	4	4
Unique Case Studies	26 (31.7 %)	15 (18.3 %)	12 (14.6 %)	3 (3.7 %)	4 (4.9 %)

Note: “Total” mentions refers to the raw number of times words associated with theme appeared across all case studies.

Themes across SI-DRIVE Case Studies (82 Total)

are women), who previously survived by scavenging. The Iss mich (Eat me!) project, offered flexible employment to young mothers lacking education and skills in catering and delivery services in Germany. Meanwhile, Strengthening Popular Finances (Ecuador) facilitated access to commercial bank credit for rural women, empowering them to potentially start their own business or make other meaningful purchases.

Each of the abovementioned initiatives sought to facilitate labor market entry, through education, equipment or capital, while leaving the underlying social structures prompting the absence of such resources unaddressed. Seldom were women depicted as agents of change. For example, Sweden’s Qvinnovindar, a women’s only wind energy cooperative, strove for sustainability through alternative energy. The She Taxi initiative in Kerala, India, employed female drivers to provide safe travel for women at high risk of sexual violence, thereby also enhancing their workforce participation, but also, their daily life.

MIGRANTS

Immigrants and refugees were mentioned across nearly a fifth (18.3 %) of case studies, especially in relation to poverty reduction (38.5 %) and education (38.9 %). Several programs addressed the needs of migrants in traditional ways, such as through meeting their unfulfilled educational needs. PROSA (Austria), for example, aims to provide access to education for asylum seekers who are not yet eligible for public education. The Talent Scout program (Germany) similarly aims to provide flexible and accessible education, including basic language classes, technical and skills-based education, to marginalized groups, including refugees. Lernhaus (Austria), an institution providing free tutoring, though not specifically targeting migrants, also services a significant share of children from this community. The Learning Circles (Colombia) program also emerged to promote the educational attainment among children from vulnerable groups, including those from displaced communities. A UNESCO evaluation found that Learning Circle students scored higher in math and language tests than their conventional school counterparts. However, no comparably rigorous efforts to evaluate the impact of like initiatives were reported.

Other initiatives sought to provide support for the lesser recognized needs of migrant communities. For instance, the Luggage Hands-Free program in France provides storage lockers for homeless people, and particularly migrants, who face stigmatization as they cart their belongings with them throughout the day.

A few also recognized the agency and assets of immigrants and opportunities for mutual benefit. The Taste of Home (Croatia) initiative, for example, provides migrants with the opportunity to introduce their hosts (via cuisine) to the culture and customs of their countries of origins, building mutual understanding. The Scattered Hospitality (Italy) also advanced integration of refugees by matching them with a host family with whom they stayed with from six months to a year, building social networks, knowledge of their new communities, and enhancing mutual understanding of difference. This asset-based approach, however, was far from the norm.

DISABILITY

Roughly one in seven (14.6 %) in-depth case studies cited individuals with disabilities. Their referencing was most common in case studies associated with mobility (33.3 %) and education (22.2 %). Again, social innovation initiatives typically aimed to ameliorate the problems this group faced, rather than to empower them. The Whizz-Kidz, a charity in the UK, coordinates with multiple actors, providing pro-bono support across the different stages of the wheel chair acquisition process. Similarly, LIFEtool GmbH (Austria) is dedicated to supporting people with physical handicaps, learning disabilities or other impairments through computer technology that scans and translates eye movements into icon-based, spoken or written forms of communication. Similarly, JAKOM is an assistive technology developed in Croatia, which aims to improve the communication abilities of autistic persons with communicational impairments. In certain cases, serving people with disabilities was merely an aspect of the practice field recognized by initiatives. The SEKEM foundation, for instance, was said to operate, among other programs, a school that catered specifically to disadvantaged social groups, including individuals with disabilities. We found no examples which explored mutual benefit or an asset based approach.

DISCUSSION

Many of the examined cases offered useful strategies for ameliorating social problems which have been left unresolved by governments and conventional economic markets. While there was some evidence that initiatives were successful on a small scale, there was only limited evidence of scalability. There was also little evidence of initiatives tackling structural and systemic barriers to inclusion. Most of the discussions on women, migrants and persons with disabilities, with few noted exceptions,

revolve around their marginalization and exclusion, with very little focus on how these groups can serve as assets for their communities. We posit that existing indices of diversity and inclusivity could inform future efforts to systematically evaluate the impact of social innovation initiatives. In addition, we believe there is room to critically assess the potential shape of initiatives that target broader systemic barriers currently hampering social inclusion, rather than addressing their manifestations in a piecemeal fashion.

REFERENCES

- [1] Lee, Neil (2015): Migrant and ethnic diversity, cities and innovation: Firm effects or city effects? In: *Journal of Economic Geography*, 15 (4), pp. 769-796.
- [2] Stahl, Günter/ Maznevski, Martha/ Voigt, Andreas/ Jonsen, Karsten (2010): Unraveling the effects of cultural diversity in teams: A meta-analysis of research on multicultural work groups. In: *Journal of International Business Studies*, 41 (4), pp. 690-709.
- [3] Balamounie – Lutz, Mina/ McGillivray, Mark (2015): The impact of gender inequality in education on income in Africa and the Middle East. In: *Economic Modelling*, 47, pp. 1-11.
- [4] Post, Corinne/ Byron, Kris (2015): Women on boards and firm financial performance: A meta-analysis. In: *Academy of Management Journal*, 58 (5), pp. 1546-1571.
- [5] Alesina, Alberto/ Harnoss, Johann/ Rapoport, Hillel (2016): Birthplace diversity and economic prosperity. In: *Journal of Economic Growth*, 21 (2), pp. 101-138.

ICT-ENABLED SOCIAL INNOVATION (IESI): A CONCEPTUAL AND ANALYTICAL FRAMEWORK

Information and Communication Technologies (ICTs) are permeating any single aspect of human life. Employing these technologies is vital for the modernisation of social services in terms of service design and delivery in areas such as childcare, education and training, employment services or social care. This "social investment perspective" shows that social policy is not just a cost, but rather an investment for the future.

Gianluca Misuraca / Dimitri Gagliardi

ICT-ENABLED SOCIAL INNOVATION (IESI)

"A new configuration or combination of social practices providing new or better answers to social protection system challenges and needs of individuals throughout their lives, which emerges from the innovative use of Information and Communication Technologies (ICTs) to establish new relationships or strengthen collaborations among stakeholders and foster open processes of co-creation and/or re-allocation of public value" [1].

The definition originates from the work of the European Commission's Joint Research Centre – Seville, in partnership

with the Directorate General for Employment, Social Affairs and Inclusion. The research focuses on assessing the impact of ICT-enabled social innovation and providing evidence-based support to the EU Social Investment Package for Growth and Social Cohesion (SIP) [2], which urges European Union Member States to prioritise social investment and the modernisation of their welfare systems [2].

The IESI research developed a knowledge base with evidence on the impact of ICT-enabled social innovation across the EU. It collects and analyses over 600 initiatives across the EU, exploring the emergence of ICT-enabled social innovation in different areas [3].

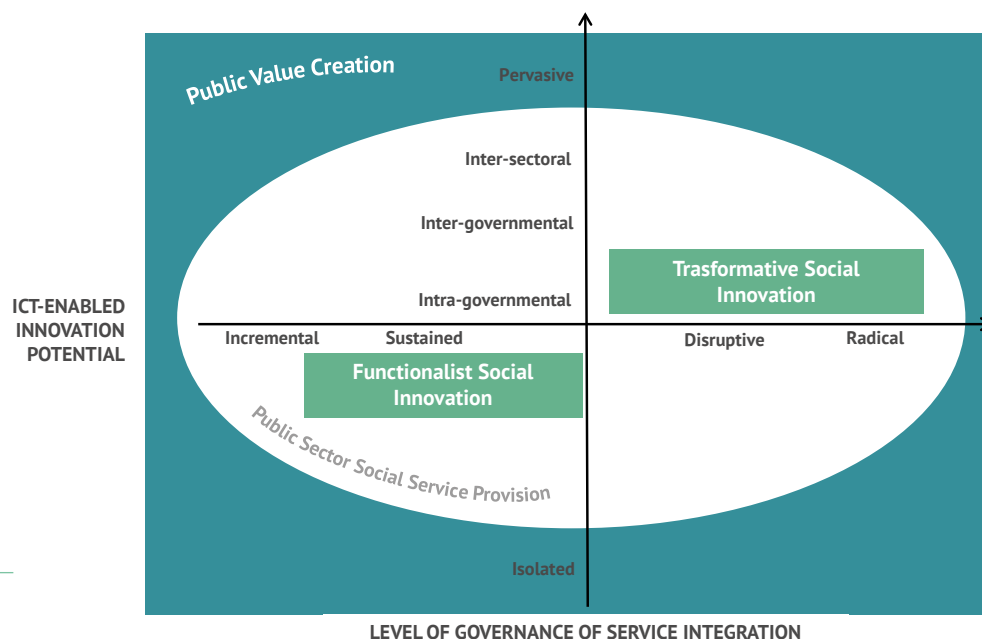
ICT-Enabled Social innovation creates positive societal impact and systemic change through developing new products, such as assistive technologies for people with disabilities; new services, such as knowledge sharing portals; and new processes, such as peer-to-peer collaborations and crowdsourcing. It often results in new organisational forms, shaped on the basis of public-private partnerships, and are acting as intermediary between social needs and social service providers.

Examples of initiatives include:

Shadow World, Finland is an initiative of the Ministry of Health and Social Affairs targeting children growing up in households where parents suffer from substance misuse. It provides information, support and means to deal with such difficult life situations.

It includes an online portal that contains a blog, a directory of addresses where children can find help, a checklist, an anonymous free online consultation service and a message board. This, in combination with face to face interaction, helps providing counselling and mentoring services.

FreqOUT!, UK addresses the problem of disengagement of the disadvantaged youth in UK – often from ethnic minority groups-. It offers new forms of education and training for those hard to reach. It targets young people (14-25) through the use of advanced digital media tools and connects them to creative professionals and industry in new and exciting ways. This initiative is leading to improvements in ICT skills; soft-skills and hard-skills bridging to formal learning participation.



IESI Analytical framework
(Source: own elaboration)

THE CONCEPTUAL FRAMEWORK

The IESI conceptual and analytical framework was developed through an extensive review of the state of the art, and further validated through the study of a number of initiatives operating in Europe and beyond. The research looks at initiatives bridging the gap between social innovation and service innovation, building on a multi-agent framework. In other words, the research focuses specifically on innovative social services conceived and deployed in a context of co-creation where citizens, service providers, social entrepreneurs and third sector organisations play a prominent role in the innovation process and where the actions are sustained by public stakeholder agencies in a rapidly evolving context.

The framework is designed in a Cartesian coordinates system and by studying where initiatives sit along each dimension, one can assess the extent to which they are able to respond to complex social issues and challenges. Initiatives can fall into two main areas in which they can have impact [1][3]:

- **Public sector social service provision:** organisations are involved at different levels as main service providers through traditional public service delivery mechanisms. Services in this sphere can also be contracted out through concessions, outsourcing, or other public-private partnerships systems. Organisations from the private or third sector and citizens are involved; though they normally play a subsidiary role. In some cases, however, the design and provision of innovative social services may be initiated by private or third sector organisations and may be embedded in the public service delivery system.
- **Public value creation** broadly refers to the 'value created by government through services, law regulations and other actions'. Public value provides a broad measure of outcomes,

the means used to deliver them, trust and legitimacy.

It addresses issues such as equity, ethos and accountability, which may generate value for the stakeholders involved in the innovation processes. Generating public value for citizens depends on the quality of service delivery which is measured in terms of service availability; satisfaction levels; importance; fairness of provision; and cost.

Social innovations enabled by ICTs may increase the value of public service delivery compared to traditional service delivery mechanisms. Each initiative can be interpreted through the lens of different approaches. In the functionalist tradition, social innovation is the answer to a social problem. It concerns with the creation of social services to meet a demand which neither the state nor the market is responding to. The transformative approach sees social innovation as the driver of institutional change. Thus, the resolution of social problems is part of a broader perspective involving change in institutions and society.

The IESI framework extends along four main dimensions:

- 1) typologies of ICT-enabled innovation potential;
- 2) elements of social innovation;
- 3) levels of governance of service integration; and
- 4) types of service integration.

TYPOLOGIES OF ICT-ENABLED INNOVATION POTENTIAL

Information and Communication Technologies support socio-economic inclusion of actors in many contexts and enable social innovation processes through many channels. Indeed, ICTs per se are not a policy instrument at the same level of direct public services, regulation, taxation or grant

giving. They provide channels and tools to improve efficiency and effectiveness of the social service systems. The opportunity for ICT-enabled social innovation lies in the design of innovative social policies and service delivery mechanisms for their effective implementation.

To operationalise the framework, a systematic classification of the different impacts of ICT-enabled innovation was applied. The framework was developed by Misuraca (2012) and further elaborated in Misuraca and Viscusi [4]. It consists of:

a. Technical/incremental innovation: use of ICTs to facilitate automation of repetitive tasks and thereby improve efficiency thus improving quality and efficiency of the internal and external business processes.

b. Sustained/organisational innovation: use of ICTs to support, facilitate or complement existing efforts and processes to improve organisational mechanisms of service provision. This implies change at organisational, managerial, or governance/institutional level, such as the creation of new organizational forms, the introduction of new management methods and techniques, and new working methods, as well as new partnerships or business/financial models.

c. Disruptive/transformational innovation: use of ICTs to initiate or improve new services or to create new mechanisms for service delivery which would be impossible otherwise (e.g. use of ICTs for learning purposes beyond office/school hours).

d. Radical/transformational innovation: substantial use of ICTs that takes place outside recognised institutional settings and aims to radically modify the existing mechanisms of service provision. This may lead to conceptual innovation, reframing the nature of specific problems and their solutions.

ELEMENTS OF SOCIAL INNOVATION

The second dimension of the IESI conceptual framework – elements of social innovation – builds upon and extends on previous literature, and focuses on the relationships between stakeholders by dividing social innovation into the following four categories:

a. Need-driven/outcome-oriented production: outcomes are intended to meet the needs of society or specific groups in society in a long lasting way.

b. Open process of co-creation/collaborative innovation networks: end-users and other relevant stakeholders participate in the development, implementation and adoption of these innovations.

c. Fundamental change in the relationships between stakeholders: the ways in which stakeholders relate, interact and collaborate with each other are radically

changed. Social innovation may be seen as a 'game changer', breaking through 'path dependencies'.

d. Public value allocation and/or re-allocation: in achieving these values it is important to look beyond the presumed or achieved consequences of the innovation in terms of effectiveness or efficiency. The public values pursued by social innovation also try to ensure that the innovation is appropriate, for instance, as it adds to the value of democratic citizenship, or really addresses – in terms of responsiveness – the needs of citizens.

LEVELS OF GOVERNANCE OF SERVICE INTEGRATION

The third dimension of the framework of analysis concerns the need to address integration of social service provision to increase the coordination of operations within the social service system, to improve efficiency and to produce better outcomes for the beneficiaries. Integration has evolved significantly over the last decade as governments search for ways to address beneficiaries' needs and manage increased caseloads with reduced resources. In this period, integration progressed through the implementation of schemes based on traditional and emerging ICTs, new funding models, and a more dynamic relationship between governments, citizens, and service providers from the private and not-for-profit sectors.

However, where several different classifications of integration can be found, no clear and precise definition of the concept of 'service integration' emerged. The definition of service integration, adopted for the purpose of the IESI research, thus refers to the ways different ICT-enabled social innovations contribute to enhancing social service delivery through integrated approaches and coordination at governance or functional level.

Therefore, the following levels of governance of service integration were considered:

- **Isolated.** No integration of services at administrative or strategic level with government operations.
- **Intra-governmental integration.** Single level of government. Includes integrated case management, designing service delivery according to the needs of individuals rather than service providers; frontline integration to offer clients a 'single window'; back-office integration to provide the necessary support structures; and co-location of practitioners, services and back-office functions.
- **Inter-governmental integration.** Collaboration across multiple levels of government. Includes database integration, coordinated case management, and joint procurement.
- **Inter-sectoral integration.** Collaboration between government and service delivery providers in private or non-for-profit sectors. Includes joint investment strategies, co-location of staff and formal networks of service delivery organisations.

- **Pervasive.** Service integration beyond the traditional boundaries of administrative/operational integration, embedded in a new *modus-operandi* where service providers and beneficiaries co-produce service innovating delivery mechanisms and reallocating resources/roles to maximise public value creation.

TYPES OF SERVICES INTEGRATION

From an operational/organisational perspective, the integration of services enhances effectiveness in terms of improved outcomes, efficiency and reduced costs. It increases capacity and value for money, improves strategic planning and system integrity, and reduces demand for crisis services. Moreover, from the beneficiary's perspective, it provides simplified access, holistic and customised support, faster response times, improved outcomes and user experience. Therefore, as part of the IESI analytical framework, the initiatives are analysed according to their type of service integration:

- **Funding:** pooling of funds or pre-paid capitation at various levels.
- **Administrative:** consolidation/decentralisation of responsibilities/functions; inter-sectoral planning; needs assessment/allocation chain; joint purchasing or commissioning.
- **Organisational:** co-location of services; discharge and transfer agreements; inter-agency planning and/or budgeting; service affiliation or contracting; jointly managed programmes or services; strategic alliances or care networks; common ownership or mergers.
- **Service delivery:** centralised information, referral and intake; case/care management; multidisciplinary/interdisciplinary teamwork; joint training; around-the-clock coverage.

DISCLAIMER

The views expressed in this chapter are purely those of the authors and may not in any circumstances be regarded as stating an official position of the European Commission.

REFERENCES

- [1] Misuraca, Gianluca/ Colombo, Clelia/ Kucsera, Csaba/ Carretero, Stephanie/ Bacigalupo, Margherita/ Radescu, Raluca (2015): Mapping and analysis of ICT-enabled Social Innovation initiatives promoting social investment through integrated approaches to the provision of social services. European Commission's Joint Research Centre, Institute for Prospective Technological Studies, EUR 2745 EN, JRC Science and Policy Report Series.
- [2] European Commission's Joint Research Centre (2017): ICT-Enabled Social Innovation research project webpage. Seville. Internet: <https://ec.europa.eu/jrc/en/iesi> [Last accessed 01.09.2017].
- [3] Misuraca, Gianluca/ Kucsera, Csaba/ Pasi, Giulio/ Gagliardi, Dimitri/ Abadie, Fabienne (2016): ICT-Enabled Social Innovation to support the Implementation of the Social Investment Package: Mapping and Analysis of ICT-enabled Social Innovation initiatives promoting social investment across the EU: IESI Knowledge Map 2016, EUR 28444 EN, doi:10.2760/107465.

To understand the role of ICT-enabled social innovation in support of the modernisation of social protection systems, the relationship between different welfare systems and social service provision models was studied [5]. Relevant examples are the following:

LITTLE Bird, Germany, is an online portal employed to facilitate access to childcare. This is an example of collaboration/co-creation where ICTs are used to improve allocation/matching the supply and demand of childcare; it delivers increased benefits to society as more parents may be in work and children are cared for, also it delivers savings for the state.

Digitalisation of Social Security Services, Italy.

The scope of the initiative was that of simplifying administrative procedures, improving control of information by citizens, and producing savings in the management for the administration of the public sector as a whole. ICTs helped fostering the collaboration between government and service delivery providers in the private and non-for-profit sectors. New investments in ICTs provided the instruments to improve accessibility, traceability, accountability, monitoring and controlling, with a subsequent increase in the level of quality of services delivered and a reduction in undue benefits and frauds. The digitalisation resulted in a reduction in management costs, registering savings of 7 % per year, contributed to the efficiency of the organisational system through a more efficient allocation of the internal staff and a decrease in workload, resulting in savings of around 1,000 full-time equivalents.

ACKNOWLEDGMENTS

This article is based on research conducted by the European Commission's Joint Research Centre (JRC) as part of the project 'ICT-Enabled Social Innovation in support to the Implementation of the Social Investment Package' (IESI).

- [4] Misuraca, Gianluca/ Viscusi, Gianluigi (2015): Shaping public sector innovation theory: An interpretative framework for assessing ICT-enabled innovation for governance and policy-making. In: *Electronic Commerce Research*, 15 (3), pp. 303-322.
- [5] Misuraca, Gianluca/ Pasi, Giulio/ Abadie, Fabienne/ Kucsera, Csaba/ Virginillo, Marco (2017): Exploring the role of ICT-Enabled Social Innovation to support the modernisation of EU Social Protection Systems: findings and insights from analysis of case studies in fourteen Member States. EUR 28570 EN; doi: 10.2760/256658

FROM SOCIAL DESIGN TO DESIGN FOR SOCIAL INNOVATION

Social innovation has many challenges in practice due to the complexity of stakeholders and ecological systems involved in the framework of value co-creation. Service design is emerging as a more effective approach in order to enhance SI co-design and long-term stakeholder involvement for achieving the purpose of adoption and diffusion.

Alessandro Deserti / Francesca Rizzo / Onur Cobanli

THE EVOLUTION OF SOCIAL DESIGN

Design has a long tradition of relation with the social. A recent British report classified social design into social entrepreneurship, socially responsible design, and design activism [1]. Social design has gained momentum in design research during the last ten years, a development which can be seen as having several roots. Some of these roots go back a few decades, to the writings of Papanek [2] in 1984, while others are of newer origin, as for instance in the area of service design that intersects with public sector innovation and the emergence of new societal challenges.

Even though it is impossible to state all of the reasons behind this phenomenon, some of them can be clearly identified as being external to the discipline's development and being much more reliant on complex socio-economic trends.

Many countries still do not show clear and strong signs of recovery from the global economic downturn that has started in 2008 and caused a structural lack of resources, particularly affecting the public sector. The economic, demographic, social and environmental long-term challenges call for deep changes, questioning many of the assumptions that have underpinned public services, posing new challenges for institutions, policy makers, civil servants and communities. While austerity measures were adopted all over the world, societal challenges are intensifying: youth unemployment, elderly healthcare, immigration, social inclusion and other wicked problems press public institutions with the contradictory request of delivering new services or restructuring the existing ones, achieving a higher effectiveness with less resources. Contemporarily, we are also observing the rise of a "social design" movement that is characterized by a socially-oriented objective instead of predominantly commercial or consumer-oriented ends. In

fact, there is already a widespread acknowledgement of the role of design and its potential in facing societal challenges and helping social innovations (SI) to flourish.

In particular, there is an increasing awareness of the impact design has on understanding and framing problems and finding solutions in collaboration with communities, influencing societies and the wider environment. According to a recent report from the Arts and Humanities Research Council [1], we can also consider social design as a design-based practice aimed at collective and social ends, rather than predominantly commercial or consumer-oriented

There is an increasing awareness of the impact design has on understanding and framing problems and finding solutions in collaboration with communities, influencing societies and the wider environment.

objectives, which operates across many fields of application, including the local and central government, as well as policy areas such as healthcare and international development.

Despite the wide acknowledgement of design as a strategic tool for developing SI initiatives, especially Design Thinking, and the urgency in which social issues are rising, the 26 business case studies of the SIMPACT project revealed that design is still underestimated or not considered as a resource in SI praxis. We introduce here the notion "of design culture as a specific system of knowledge, competences and skills that operates within a specific context to develop new products, that mediates between the world of production and consumption and that coordinates multiple factors related to technology, market and society" [3].

Against this background, the introduction of a design culture and practices within the context of social innovation does not solely rely on the collaborative dimension between end users or the beneficiaries and the initiator of a SI. Design Culture brings with it both the design capability to strategically meet the needs of the users and the design competences to deal with constraints related to all of the factors that affect the process of innovation development (technological, organisational, infrastructural, commercial, etc.).

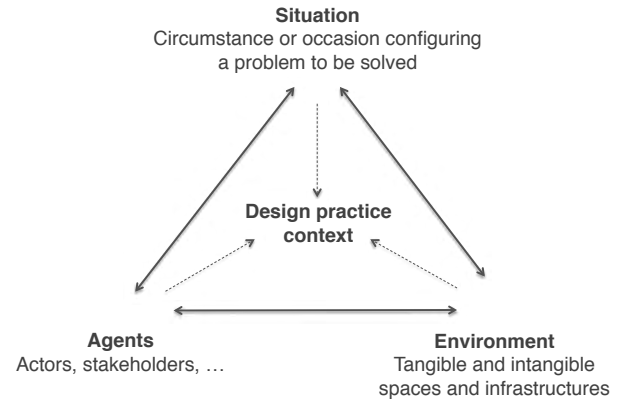
COMPLEX PARTICIPATORY DESIGN PROCESSES

In the tradition of co-design many researchers [4] have focused on the potentiality of end-users' collaborations and prototyping to engage stakeholders in the exploration of innovation. In this tradition it is possible to consider two basic modes. The first one is the dialogue mode, which deals with the processes of collaborative design and tools for engaging users and other stakeholders in collective creative envisioning together and eventually in rethinking the current state. This mode grows from practices that have their roots in close connection with participatory design tradition, but also 'beyond usability' research, dealing with experience design and empathy. The second one is the prototyping mode that addresses in particular the ways in which designers tend to reflect and make sense of complicated and often yet non-existing things by giving shape, sketching, visualizing and prototyping in various ways. These two conceptual modes are most of the time overlapping in practice and they are today converging to the foundations of those design labs (living labs, urban living labs, ecosystem of innovations) that are blooming in a variety of initiatives. These labs are similar to new R&D contexts in cities, in scientific parks, in territories, and in private companies. They are shaped by envisioning innovation through the establishment of strong connections

Design Culture brings with it both the design capability to strategically meet the needs of the users and the design competences to deal with constraints.

with the network of stakeholders that belongs to a place; through fostering long-term engagement with local communities which leads to the emergence of new everyday practices that point to new opportunities for design.

Contrary to those living labs that emphasize technology evaluation or adaptation, these co-creation spaces make use of a situated and human-centred approach for local communities to develop innovation. Design, in these contexts, works directly from the particular conditions and resources of the local communities engaged in each of the project pilots in order to employ relevant service systems



The situatedness of design culture

that may facilitate social innovation. Scalability in this approach comes about not through the similarity between communities but through the robustness and generic qualities of the service design concepts.

HOW SOCIAL DESIGN OPERATES TODAY: AN EXAMPLE OF A DESIGN DRIVEN SOCIAL INNOVATION PROJECT

Within the context of the European project "My Neighbourhood", a long-term experiment of SI design has been conducted by a team of design researchers. The Milano pilot experiment has taken place in the Quarto Oggiaro neighbourhood, located in the northwest area of Milano, not far from where the 2015 Expo took place. Here, the entire SI design process was conducted thanks to a strong collaboration between the Politecnico di Milano (holding a long tradition in design and in urban planning research), the Municipality of Milano, the associations and volunteers that operate in this area, and the people who live there. This mixed design team performed all the activities and

managed the interactions with the local communities and stakeholders in order to engage them in the co-design process and in the SI experimentation. The pilot run over a course of one year and a half, with the first months being dedicated to exploring and approaching the neighbourhood.

The design team started understanding physical aspects of the neighbourhood, the characteristics of its population, its socio-economic dimensions, the main actors operating in the context, the relation between the neighbourhood and the rest of the city and the characteristics of the urban services already offered in the neighbourhood.

Following this, a period of intensive co-design meetings started. In this phase, the design team established four different design tables, involving designers, urban planners, people from the Municipality of Milano, representatives of



Interviews with Quarto Oggiaro Neighbours
(photo: Francesca Rizzo)

the local associations, and people from the neighbourhood. Each table started from a complex discussion on the relevant neighbourhood issues, ending with a list of main challenges:

- regenerating disused and derelict public areas;
- improving social life and inclusion of elderly people;
- preventing school drop-outs and creating job opportunities for young people;
- exploring and testing new potential entrepreneurial opportunities and businessmodels for start-up companies.

Starting from these challenges, the design tables then worked to elaborate four possible service ideas as smart solutions for the framed problems. Out of four, two ideas were selected for the whole development and testing process. In the following we will shortly introduce one of them.

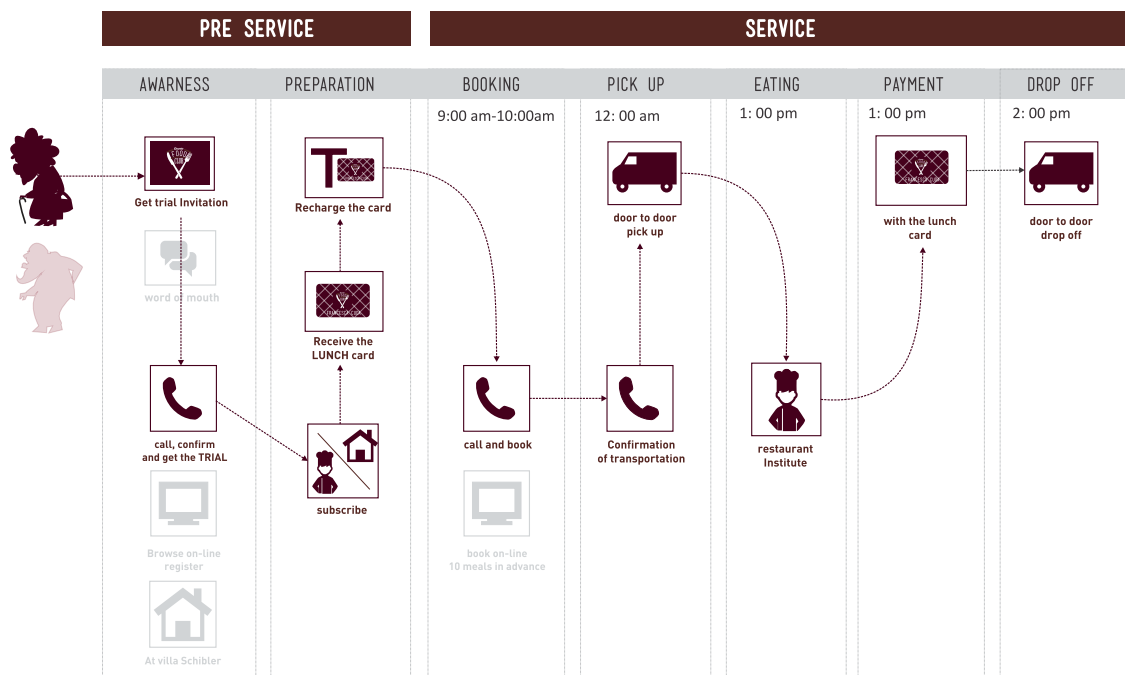
The Quarto Food service

Quarto Food Club addresses the relevant needs of the quite large community of elderly people living in Quarto Oggiaro.

It is a service that combines the need to deliver food to vulnerable single elderly citizens with that of improving their social life, enjoying a meal prepared with special care and dining in a sociable environment to relieve their sense of loneliness. At the same time, the service aims at responding to another issue in the neighbourhood, namely unemployment rates among young people, by involving students from local hoteling schools, who can receive credits for the practical training, and who are given the opportunity to enter in a real food preparation and catering experience. Specifically, the service involves two high schools in Quarto Oggiaro where students prepare every week some meals as part of their training for catering and food preparation. Starting from this resource, the service idea is to deliver these meals to a group of elders living in the neighbourhood,



CUSTOMER JOURNEY



preparing for the occasion a kind of social space in the schools, where elderly can enjoy the meal together, getting in touch with each other and with the students. The students will also have benefits from this interaction, as they will receive academic credits while their work will be recognised by real end-users.

The implementation of the service required the development of a formal partnership: it will be realised thanks to the agreement between the professional hoteling schools (providing the food preparation and the venue) and some local associations (providing the contact with elderly people and a van for the transportation from the private places to the school and vice versa).

Through ordinary activities of food processing, students will prepare – one to three days per week – meals for the target group. An IT platform will support the process of the meal and trip booking, and a personal rechargeable lunch card will be provided to the users to partially cover the costs of the meal and the service.

CONCLUSIONS

Regarding the diffusion of design and especially of Design Thinking as the most suitable methodological approach to develop successful Social Innovation (SI), the debate here is still superficial and lacks a serious elaboration in the field of design practices and how they can be applied to SI processes. In particular, Design Thinking is advocated, today, as the most suitable method for designing SI solutions without, however, distinguishing the strategic level of policy from the operative level of the solutions.

If, at the general level, we observe a contradiction between the idea of SI as a kind of bottom-up process and that of design as a process of innovation led through the application of specific design competences (design-driven innovation),

we also want to underline one bias that is occurring in the field of SI: Design Thinking has been applied until now to analyse ex-post processes of SI. In this regard, we have seen a proliferation of studies that has tried to demonstrate how SI development can be described with user-centred design principles, which call for the involvement of end-users and beneficiaries in the development process of the solutions.

While there is much buzz surrounding design for SI, real practices seem to be quite distant from the application of basic principles of design. Moreover, it is also true that design shows a high potential for SI mainly for two fundamental reasons: i) SIs address problems that present high levels of complexity due to their intrinsic correlation with societal challenges; ii) SIs require the involvement of different actors in order to solve these challenges.

Regarding the first dimension, these kinds of problems are often chronic and unmet, even if the forms in which they appear are completely new. For instance, advanced countries in different historical periods have faced migration, yet if we think of it as it is emerging in Europe these days; we can perceive, for example, the new difficulty that arises from the impossibility to control the flows. As a result, we need the collaboration of new and old expertise to face them.

Regarding the second dimension, the needs SIs address show a high degree of complexity due to the high number of actors involved in their solutions. This factor imposes a process of mediation capable of aligning and forming agreements between the involved stakeholders.

This complexity, however, has been largely misunderstood, with the idea that the mere involvement of users in setting ideas and understanding their needs would correspond to the introduction of design and its practices in SI development.

REFERENCES

- [1] Armstrong, Leah/ Bailey, Jocelyn/ Julier, Guy/ Kimbell, Lucy (2014): Social design futures. Internet: <http://mappingsocialdesign.org/2014/10/09/social-design-futures-report> [Last accessed 07.08.2015].
- [2] Papanek, Victor (1984): Design for the real world. Van Nostrand Reinhold: New York.
- [3] Deserti, Alessandro/ Rizzo, Francesca (2014): Design and the cultures of enterprises. In: Design Issues, 30 (1), pp. 36-56.
- [4] Rizzo, Francesca (2010): Co-design versus User Centred Design: Framing the differences. In: Guerrini, Luca (Ed.): Notes on Design Doctoral Research. Franco Angeli: Milano.

SOCIAL INNOVATION ADDRESSING SOCIETAL NEEDS AND CHALLENGES

Social innovation tackles social needs as they arise;
should it also aim to change the system?

Ursula Holtgrewe / Jeremy Millard

Social innovations address social needs and tackle societal challenges. However many if not all social needs can be traced back to the social, cultural and institutional contexts and systems within which they arise. This leads to debate on treating symptoms versus addressing root causes, compensating for adverse societal developments versus contributing to social progress. Considering the complexity and ‘wickedness’ of social problems and societal challenges, on the one hand, social innovators might also address these larger scale structural issues. On the other hand, this requires considerable effort and could result in complex and unforeseeable consequences. SI-DRIVE estimates only a third of social innovations aim to address systemic change. How can social innovations change the system, and how does ‘the system’ change them in the process?

To provide answers from SI-DRIVE’s evidence, there are at least two narratives about social innovation and its relation to the social system: one based on levels of intervention and one based on loops between structure and agency. In this contribution, we outline each perspective and finally integrate them in a model (see the Agency-Outcome-Structure model) that integrates agency, outcomes and structure and sketches the affinities between the elements. This model suggests a double-pronged strategy in which bottom-up approaches simultaneously solve problems and develop the agency of social innovators and beneficiaries, whilst top-down approaches create supportive political and regulatory frameworks and also mindsets and ways of living and working.

SCALING THROUGH THREE SOCIETAL LEVELS

Social innovation seeks to deliver beneficial outcomes that directly address societal challenges like climate change, inequalities and poverty, labour market and employment issues, gaps in healthcare and education systems, and demographic issues like ageing and migration. According to

BEPA [1], there are three societal levels at which social innovation may deliver such outcomes:

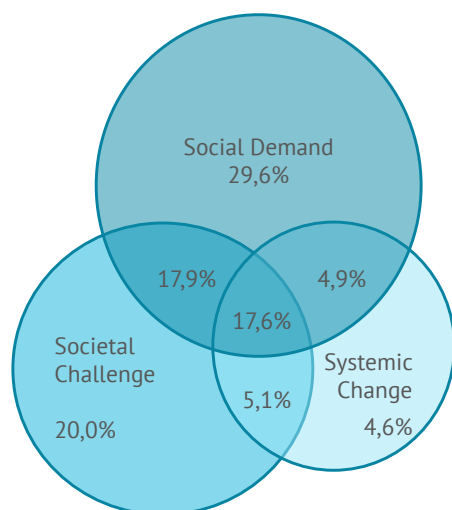
1. The social demands level, tackling specific problems faced by specific groups on the ground that are traditionally not addressed by the market or existing institutions and often impact vulnerable people much more than others. These are typically seen at the micro level.
2. The societal challenges level, tackling challenges that affect people at a larger social scale or across whole sectors, often manifest through complex mixes of social, economic, environmental and cultural factors and that require new forms of relations between social actors. These are typically seen at the meso level.
3. The systemic change level requiring some fundamental transformation of the way society, its institutions and actors operate, for example by changing governance structures, and creating more participative arenas where empowerment and learning are both the sources and outcomes of well-being. This is typically seen at the macro level.

This hierarchical notion of levels represents a useful taxonomy of the possible results and aims of social innovation, and provides a simple model of the relationship between social innovation and social change. However, it implies a somewhat linear, functionalist and perhaps overly simplistic view of society. It tends to focus on changes that are intentional and immediately valuable to the participants and beneficiaries, as well as ultimately for society at large, whilst ignoring complex and unintended consequences.

SI-DRIVE AND THE THREE LEVELS

An analysis of the stated objectives of SI-DRIVE’s social innovation cases, when mapped on the three BEPA levels, results in the following patterns (see figure on BEPA levels addressed by SI-DRIVE):

- Social demand is addressed by 70 % of cases; health and social care, as well as poverty reduction and sustainable development, are strongest at this level.
- Societal challenges are addressed by 61 % of cases; environment and energy supply are strongest here.
- Systemic change is addressed by 32 % of cases; education and environment are strongest.



BEPA levels addressed by SI-DRIVE case objectives (N=953)

Although all three levels are well represented, it is clear that most social innovations focus on the two lower levels. Almost half of all cases (45.5 %) address more than one level, and 17.6 % address all three. However, these results refer to the stated objectives of social innovations rather than their actual outcomes, as the data do not provide evidence on outcomes or how they might have been achieved.

Although systemic change overall plays a smaller role than the lower levels, there are differences in the importance of all three levels across the seven policy fields of SI-DRIVE. For example, in healthcare (83 %) and poverty reduction and sustainable development (78 %), most social innovations aim to satisfy a social need. In both policy fields, social innovations clearly deal with the real, concrete needs and demands of individuals and small groups at local level. In contrast, environment (72 %) and energy supply (87 %) are more focused on tackling a societal challenge, which mirrors the recognition of climate and environmental issues in the UN's and EU's priorities at the meso level. Cases in education (48 %) and environment (46 %) strongly address systemic change at the macro level. This is noteworthy and may, again, reflect political programmes and stated priorities, but may also hint at current institutional and systemic failures to deliver solutions in these fields, thereby opening up space for social innovation aiming at the top level. The level of systemic change is less important for employment (19 %), transport and mobility (20 %) and energy supply

(25 %). Thus, different policy fields are more or less focused on the more systemic aims of social innovations, but this approach still does not reveal the actual relationships, if any, between the levels.

FROM SOCIETAL LEVELS TO LOOPS

Social scientists and historians argue that social and systemic change in most cases is not simply about meeting a set of social challenges. Social change is multi-dimensional, complex and results from multiple interrelated actions, modes of learning, conflicts, tensions and diverse forms of cooperation and compromise, each of which can give rise to both intended and unintended consequences [2]. Social innovations interact with their societal contexts in numerous ways. Put succinctly, elements of 'society' such as social practices, individual and collective actors, cognitive frames, and value judgments feed **into** social innovations as well as derive from them. Thus in turn, these changed or changing social practices, actors, cognitive frames, and value judgments form the **outcomes** of social innovations.

To explore the relationships and dynamics between social innovations and their societal context and between the analytical levels, social theory provides the useful distinction of agency and structure:

- Structure: the recurrent patterned arrangements of rules and resources, habits, conventions, institutions and cognitive frameworks that influence or limit the choices and opportunities available to societal actors.
- Agency: the capacity of individuals and groups to make sense of structures, to act upon them, to reason and make choices.

Structure and agency in this view are complementary forces. Structure both constrains and enables human behaviour, and humans are capable of reiterating or changing the social structures they inhabit, although this typically requires collective action on a relatively large scale and timeframe.

Social change is multi-dimensional, complex and results from multiple interrelated actions, modes of learning, conflicts, tensions and diverse forms of cooperation and compromise, each of which can give rise to both intended and unintended consequences

Social change is therefore two-sided and multi-leveled with constant iterations and loops between the two sides. Social innovations change their institutional, social and cognitive environment, through the agency of all involved, whilst their respective environment – through its structures and institutions – changes the social innovation. This two-sidedness is an area of tension. For example, public policy

“can be understood as a product of the interrelations between institutions, social networks and cognitive frames, whilst [social innovation] seeks to change field dynamics” as the dynamics of their respective field or context [3]. This provides one possible explanation for the limited aspirations of SI-DRIVE’s cases to address systemic change: current policies are likely to select and favour social innovations that do not significantly challenge the field in which they operate, often at the cost of limiting the aspirations and potential positive impacts of social innovation.

MECHANISMS OF SOCIAL CHANGE: LINKING LEVELS AND LOOPS THROUGH STRUCTURE AND AGENCY

The SI-DRIVE project has investigated nine specific mechanisms by which social change occurs [4]. These mechanisms have varied roots in structural-functionalist, evolutionary and conflict-based social theory, but provide useful sensitising concepts for case analysis and comparison. They can also be mapped on the three analytical levels:

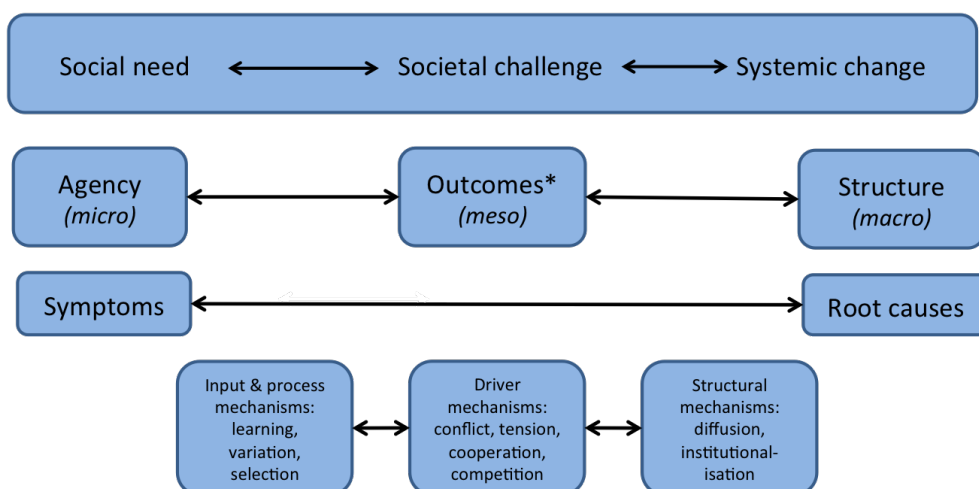
1. Input and process mechanisms: learning, variation and selection are considered input and process mechanisms and tend to focus mainly on innovators and beneficiaries, and on addressing social needs at the micro level. They contribute to the development of agency and of capable actors.
2. Driver mechanisms: conflict, tension/adaption, competition and cooperation are mechanisms that drive social innovation. They tend to address the meso level of organisations, networks and embedded practices, and the interrelations and interactions between actors.

3. Structural mechanisms consist of how innovations (including technological) diffuse, the role of other innovations complementary to social innovation, as well as planning and institutional change. They tend to focus largely on underlying structures and root causes, and are thus at the macro level of systemic change.

Successful, scaling social innovations are characterised by their compability and connectivity with their institutional and also cultural and normative environments.

INTEGRATING LEVELS AND LOOPS

Analysing the more detailed SI-DRIVE cases of social innovations, there is “a pattern that can be generalised: successful, scaling social innovations are characterised by their compatibility and connectivity (in a non-technical sense) with their institutional and also cultural and normative environments. This implies a certain incrementalism. As social innovators ensure support, engage stakeholders and create networks, they may shed the more disruptive or transformative aspects of their social innovation. (...) There appears to be a trade-off between the possibilities of local, specific and targeted social innovations and institutional compatibility, unless top-down policies deliberately open and support spaces for creating and sustaining variety” [5].



* Outcomes, for example, as expressed in the SDGs and in EU policies

Agency-outcomes-structure model and possible alignments: the model integrates agency, out-comes and structure and sketches the affinities between the elements.

Drawing on these insights, the BEPA micro, meso and macro level model might be integrated with the social theory of structure and agency, and with the mechanisms of social change through SI-DRIVE's empirical evidence.

The graphic on Agency-Outcomes-Structure shows a model that integrates agency, outcomes and structure, and sketches the affinities between the elements.

BEPA's trilogy of social demand, societal challenges, and systemic change corresponds with the micro, meso, and macro level of social analysis that address individuals and social groups, organisations and institutions, and societies, or societal systems at large. On each level and between levels, social structure and agency interact – and indeed, this is the way in which social demands, societal challenges and systemic change come about. Nevertheless, agency appears more prominent on the micro and meso levels, whereas the level of systemic change appears to be shaped by more inert, or at least more durable, social structures. An interpretation with more focus on agency is that incumbent and self-interested institutional or policy actors lock social innovations in on the levels of meeting needs and addressing challenges but avoid addressing the systemic root causes of needs and challenges [3].

A MODEL OF AGENCY-OUTCOMES-STRUCTURE

Whether these effects are system- or power-related, exploring relationships between levels and mechanisms of social change yields a set of possible strategies for social innovation:

1. A micro-level strategy to build agency, which tackles the on-the-ground symptoms of societal needs and challenges largely from a bottom-up perspective, and directly engages the beneficiaries in meeting their own needs.

2. A meso level strategy between agency (micro level) and institutional structure (macro level) through the building of adequate organisations, networks or modes of collaboration, that consciously connect agency and structure, through a focus on pursuing the objectives of the social innovation to produce real, desirable outcomes.
3. A macro level strategy to change institutional or systemic structures by tackling the (root) causes of societal needs and challenges largely from a top-down perspective, and changing the underlying framework structures which often cause the need in the first place.

Social innovations are primarily devised and implemented to meet social needs, solve problems and address societal challenges. To foster and utilise the full innovation potential of and for the whole of society, these strategies can complement one another. A two-pronged strategy develops firstly, largely from the top, conducive or supportive societal structures that range from more formal policy and regulatory frameworks and appropriate funding to softer governance issues and systems of thinking, belief and ways of living/working. Secondly, largely from the bottom, new forms of participation and collaboration, co-creation and user involvement, empowerment and human resources are developed. This reflexive complementarity picks up on the distinction of agency and structure, albeit in a more processual way: social innovations need to develop both agency and structures conducive to their development, which in the process may reproduce or change the social innovations themselves. While currently social innovations mostly focus on the micro level of meeting social demands and solving local problems and complementary multi-level strategies may in the long run circumvent institutional blockades and bring about systemic changes indirectly [6].

REFERENCES

- [1] BEPA (Bureau of European Policy Advisers) (2010): Empowering people, driving change. Social innovation in the European Union. Publications Office of the European Union: Luxembourg.
- [2] Howaldt, Jürgen/ Schwarz, Michael (2016): Social innovation and its relationship to social change. Verifying existing social theories in reference to social innovation and its relationship to social change. Internet: <http://www.si-drive.eu/wp-content/uploads/2016/07/SI-DRIVE-D1-3-Social-Change-final-260416-2.pdf> [Last accessed 06.11.2017].
- [3] Nicholls, Alex/ Edmiston, Daniel (2017): How To Facilitate The Growth Of Different Kinds Of Social Innovation: The Politics of Social Innovation. CRESSI Working Papers no. 37/2017. Internet: https://www.sbs.ox.ac.uk/sites/default/files/research-projects/CRESSI/docs/CrESSI_WorkingPaper_37_2017_D5.4_1.pdf [Last accessed 06.11.2017].
- [4] Wilterdink, Nico/ Form, William (2014): Social change. Encyclopedia Britannica Online. Internet: <http://www.britannica.com/topic/social-change> [Last accessed 06.11.2017].
- [5] Ecker, Berenike/ Gruber, Nicol/ Haider, Wolfgang/ Holtgrewe, Ursula (2017): Compilation of in-depth case study reports. SI-DRIVE Deliverable D3.5.
- [6] Millard, Jeremy/ Holtgrewe, Ursula/ Hochgerner, Josef (2017): Addressing objectives, social demands, societal challenges and systemic change. In: Howaldt, Jürgen/ Schröder, Antonius/ Butzin, Anna/ Rehfeld, Dieter (Eds.): Towards a General Theory and Typology of Social Innovation. SI-DRIVE Deliverable D1.6.

RESOURCES, CONSTRAINTS AND CAPABILITIES

Human and financial resources as well as organisational capabilities are needed to overcome the manifold constraints social innovators are facing. To unlock the potential of social innovation for the whole society new (social) innovation friendly environments and new governance structures (ecosystems) have to be set-up to foster social innovations in their different stages of development.

Steven Dhondt / Peter Oeij / Antonius Schröder

INTRODUCTION

If social innovations want to become successful, they need sufficient resources, they need to deal with a whole set of constraints and they need to have capabilities to manage these resources and constraints. For social innovators, the use and access to these resources is somewhat different than for technological and business innovators. A clear understanding of these differences can guide social innovators in developing strategies to better deal with resources and developing capabilities that eventually result in social change.

Successful social innovations represent actions by intrinsically motivated people, peers or networks of people, who succeed in gaining the support of significant others, such as civil society, volunteers, professionals, and people concerned from different sectors, including policy agents.

Resources and *constraints* can best be handled as interconnected topics. Having too little resources is clearly an important constraint for a social innovation. Many social innovators are personally driven and motivated by societal challenges or local or individual demands. Therefore, the first and most important resource is clearly *human resources*, i.e., the collaboration and cooperation between people. Successful social innovations represent actions by intrinsically motivated people, peers or networks of people, who succeed in gaining the support of significant others, such as civil society, volunteers, professionals, and people concerned from different sectors, including policy agents. *Financial funds* are another interconnected crucial resource largely determining the survival and scaling-up of a social innovation initiative. Social innovations lack own, public

and market funding. The difference with technological and business innovations is that social innovations are often focusing on social value creation and rarely have sound economic business cases which could make them sustainable. And clearly, without sufficient financial back-up they often disappear after a while. *Rules and regulations* (regional, cultural and governmental frameworks) can initiate and support social innovation, but often they can be considered a constraint. They vary between the different policy fields and world regions. Social innovators need to overcome these barriers, and they are not always very well equipped

to do that. There are no national or international agencies overseeing unfair competition in the social innovation field.

This brings us to our third term. *Capability* can be defined at the individual but also at the organisational level. Individuals may have capacities

to achieve new goals. When talking about capabilities for social innovations, we mainly focus on the organisational level, a business' ability to organise processes and relevant resources and to realise desired innovation objectives [1]. According to Hadjimanolis [2], some key capabilities of innovation are technical ones, such as the capability to produce ideas, to develop them into products. Other skills are marketing and service skills, legal skills to protect intellectual property, the ability to network, to form alliances and to span inter-firm boundaries. According to Lawson and Samson [3] – beside the fundamental vision and strategy of an innovation – competences, culture and new technologies are sources for innovation capabilities that are closely related to the SI-DRIVE philosophy.

WHAT DOES SOCIAL INNOVATION PRACTICE TELL US?

Based on the empirical results of SI-DRIVE [4], specific human and financial resources as well as organisational capabilities are needed to overcome a huge list of different constraints.

Human resources: intrinsically motivated people, leadership style and mutual learning

Social innovations need motivated and active persons. Such individuals are not only needed to invent but also to drive the innovation. They do not have to be as knowledgeable as scientific experts for technological innovations. These 'human resources' can come from everywhere and can have any kind of competence related to the problem solution. However, scaling of social innovations requires specific and diverse (managerial) competences from social innovators. Most failed social innovations look back at lacking competences of their initial promoters and actors.

The **leadership style** of social innovators needs to be suitable. Start-ups and smaller social innovations rely greatly on charismatic leadership and on such initiators which are sufficiently concerned by the challenge lying ahead and probably have a sufficient connection to the concerned milieu. Larger social innovations rely more on "collective leadership" where the management structure is not so much depending on single persons.

Mutual learning, absorptive capacity building and empowerment are highly relevant to further develop the initiatives and to reach sustainability. Mutual learning takes mostly place at the individual level of the people involved and can also refer to the people targeted by a solution. Social learning of society actors and system players takes place through recognition, assimilation and implementation of new information and knowledge. However, capacity building is often linked to the initiative itself and interrelated to "path

Universities could and should engage much more in supporting social innovations by knowledge provision and exchange, evaluation, new ideas, process moderation, advocacy for social innovation, technological solutions, and others.

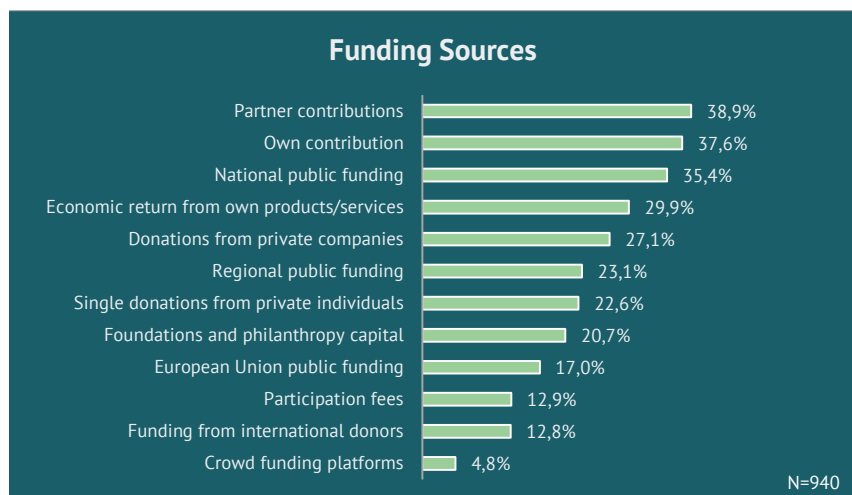
dependencies of development" – as experiences from the past will inform actions in the future. Capacity building (also for public institutions, system representatives) and empowerment create win-win situations for producers and users alike. Intermediary organisations and institutions for capacity building are evolving, with the goal to cooperatively equip initiatives with the right skills, competencies and even resources to be successful.

Compared to the high engagement of science in technological innovations, the underdeveloped role of universities within social innovations has to be stressed. Universities could and should engage much more in supporting social innovations by **knowledge provision and exchange**, evaluation, new ideas, process moderation, advocacy for social innovation, technological solutions, and others.

Financial resources: Social innovations depend on diverse funding sources

Social innovators clearly face a complicated funding situation. Often, we are talking here of private citizens or individual representatives of organisations that are starting a local, possibly limited initiative. This always means that they mainly rely on **own funding**. But more sources are necessary and available to social innovators. The global mapping reveals a wide range of different financial sources which serve as backup for social innovation initiatives. The main funding sources are internal contributions of the initiatives

(own and partner contributions), supplemented by (European, national, regional) public funding. Civil society (foundations, philanthropy capital, international and individual donors) is a highly relevant funding source as well. Social innovators sometimes rely on profits made by sales from own products or services, participant fees, and crowd funding. Social innovators thus depend on a broad range and highly diverse combination of funding sources. They don't do this just for the fun of it or as a strategic risk diversion, rather they have no choice and need to combine sources to help their initiative survive.



This diverse funding situation also leads to the use of diverse and **specific business models**. As commercial competition with other social innovations is not in the mind-set of most of the initiatives, there are different and obvious attempts to survive, e.g. with the help of concepts such as social enterprise, corporate social responsibility programmes or measures, hybrid revenue models (sponsored by sales, fees, etc.), licensing models, associations funded by fees, small business (market competition).

Organisational capabilities

Social innovators are mainly driven by societal challenges and local social demands. This is clear when thinking about general societal challenges like climate and demographic change, society's frustration with ineffective systems, measures and regulations, system and policy gaps and failures. Social innovations want to solve these challenges. Local demands on, for instance, social inclusion, labour and education needs, reducing mismatches, and demanding new and innovative social solutions are leading to new social practices. All demands push intrinsic motivated people from different sectors to take up their (personal and/or civil) responsibility. Social innovations are driven by a sense of urgency and are pushing up the public and political agenda with social needs and demands that are not yet covered by the formal system. To deal with these drivers, the following organisational capabilities for social innovators need to be in place:

- Social innovations need to be embedded in environments in which they can connect to important stakeholders. **New governance systems** or innovation friendly environments are needed, supported by an open government giving leeway for and fostering experimentation.
- Social innovators need to be able to use and take-up **new technological possibilities**.
- Social innovators need to understand the role of complementary innovation. Whereas **complementary innovation** in some policy and practice fields is more of technological nature, others are related to new business models making social innovations more sustainable.
- **Dealing with compatibility to the dominant institutional setting** is a capability easily overlooked. Selection, adoption, diffusion and imitation, and social change are mainly depending on the connectedness with the (formal) system the initiatives are embedded in.

Dealing with constraints

The global mapping demonstrates that a variety of constraints for the upscaling of social innovation exists, mainly focusing on the initiative itself: lack of funding, lack of personnel, knowledge gaps. Although there is a mix of funding sources and funding is not the main driver, it is by far the main challenge for social innovations. Against the background that empowerment, human resources, and knowledge are the main cross-cutting themes for social innovation initiatives, the appointed lack of personnel and knowledge

Social innovators will need to develop a broad spectrum of strategies to get required resources and develop relevant capabilities.

gaps are relevant barriers as well. Although legal restrictions and lack of policy support are not in focus generally, the in-depth case studies divulged that they are very relevant for development and institutionalisation.

THE WAY FORWARD

Our analysis shows that social innovations have, in comparison to technological and economic innovations, similar but different and more challenging properties. Social innovations require substantial human resources, unlocking the potential of society as a whole for specific solutions. They are reliant on different funding sources and face drivers and barriers often related to each other. Driven by societal challenges and local demands, they often are depending on individual persons, lacking personnel and managerial skills, appropriate funding and political / policy support.

What does this mean for upscaling and institutionalising social innovations?

Social innovators will need to develop a broad spectrum of strategies to get required resources and develop relevant capabilities. Our results show a high innovation capacity and a high level of society's empowerment by broad and diverse financial and personnel resources of social innovation initiatives that are mainly situated in the implementation and impact phase stage. The integration of partners from all societal sectors building an innovation related ecosystem, diverse funding sources, the diverse know-how of partners, a broad user and beneficiary involvement and a high number of volunteers could be seen as an already existing excellent basis for further development towards an ongoing institutionalisation of the initiatives, their diffusion and adoption. As well, existing initiatives of such kind can become an inspiring movement, successful practices can be adopted, and solutions can be modified and developed for other societal challenges and social demands. The needed resources and capabilities as well as the appearing constraints vary in the different process stages of social innovations (such as idea, invention, implementation, institutionalisation and diffusion). They change over time and are allocated differently to the specific development phases of social innovations.

What does it mean for the support of social innovators?

There is a need for a **social innovation friendly environment** and new **governance structures** supportive to the innovators. Especially if compared to technological development infrastructures and support structures (like National Innovation Systems) it becomes evident that the instruments for social innovations have to be improved. If it, for instance, comes to funding it is important to take advantage of new technologies and to set-up sustainable business plans. Social innovators ideally would require some kind of basic funding in the start-up phase. Local innovation laboratories for social innovation are helpful to get start-ups launched. In the upscaling and institutionalisation phase, social innovations require extra co-funding sources next to existing participant fees and own contributions. Of course, social innovations could benefit from possessing a stronger “business” orientation and more managerial capabilities.

A specific social innovation friendly environment is demanded (fostering **social innovation ecosystems** with partners concerned from civil society, economy, policy and science). It, however, needs to be different from other (technological or economic) innovations because of the need to unlock and use the *potential of the whole society*.

Universities and research centres should become more relevant drivers for social innovation. Only about half of the social innovations are supported by **external experts**. Science and research – and this is different from technological innovation – are not having a relevant role as a trigger or driver (this is underlined by the low number of involved universities and research institutions as partners of initiatives).

An innovative environment – established and supported by (new) governance structures and politics – needs a **supportive legislative environment** (giving ‘space’ for experimental innovations), specifically concerning political support on the local level. Especially in policy fields with a high level of regulation by formal systems (like education, employment, health) **new governmental structures** are needed, providing

An innovative environment – established and supported by (new) governance structures and politics – needs a supportive legislative environment (giving ‘space’ for experimental innovations), specifically concerning political support on the local level.

new leeway for experimentation. This could be done by an ‘open government’ which itself is embedded in broader open governance systems encompassing all of society’s actors. In this context, the public sector needs to adapt its roles and relationships with these others actors” [5, p. 3].

CONCLUSION

Resources, constraints and capabilities are as manifold as social innovations. They differ within the innovation development stages. Human resources, knowledge and empowerment are continuously developed by mutual learning of all actors involved within social innovation processes, leading to capacity building and new capabilities. Empowerment is an important result and a driver, concerning not only beneficiaries and innovators but also societal actors including (parts of local) communities. Lack of personnel is one of the main barriers for upscaling and all social innovators experience funding constraints, different sources have to be harnessed. Main drivers are (local) social demands and societal challenges as well as individuals/groups/networks; main barriers are the search for funding, missing (policy) support mechanisms, lack of personnel and (managerial) skills.

However, to *unlock the potential of social innovations for the whole society* it is necessary to set-up a social innovation friendly environment with new governance structures: supporting relevant and appropriate resources fitting to different stages of the innovation process, fostering new (organisational) capabilities and overcoming process and system related constraints.

REFERENCES

- [1] Ottaviano, Michael Edward (2004): Assessing and improving the enablers of innovation: the development of an Innovation Capability Assessment instrument. PhD Thesis. Swinburne University of Technology: Melbourne.
- [2] Hadjimanolis, Athanasios (2003): The barriers approach to innovation. In: Shavinina, Larisa V. (Ed.): The International Handbook on Innovation. Oxford: Elsevier Science, pp. 559-573.
- [3] Lawson, Benn/ Samson, Danny (2001): Developing innovation capability in organisations: a dynamic capabilities approach. In: International journal of innovation management, 5 (3), pp. 377-400.
- [4] Howaldt, Jürgen/ Schröder, Antonius/ Kaletka, Christoph/ Rehfeld, Dieter/ Terstriep, Judith (2016): Comparative Analysis (Mapping 1). Mapping the world of social innovation: a global comparative analysis across sectors and world regions. Dortmund: TU Dortmund. Internet: <https://www.si-drive.eu/wp-content/uploads/2016/07/SI-DRIVE-D1-4-Comparative-Analysis-2016-08-15-final.pdf> [Last accessed: 09.11.2017].
- [5] Millard, Jeremy (2015): Open governance systems: doing more with more. In: Government Information Quarterly (2015). Internet: <https://doi.org/10.1016/j.giq.2015.08.003> [Last accessed: 09.11.2017].

ACTORS AND ROLES IN SOCIAL INNOVATION

The article explores different actor types and roles in social innovation processes. It discovers which actors take over the role of developers, promoters, supporters and knowledge providers. A second focus is on users and the question how they are involved in the development of social innovations.

Anna Butzin / Judith Terstriepe

INTRODUCTION

Actors and the social networks in which they are involved are governed by modes of interaction, dynamics of power and the social, cultural, and institutional frame they are embedded in. Modes of interaction describe how decision-making and leadership are managed in social innovations and how this relates to self-regulation, co-creation and policy-making.

Transformations in governance are an influential context factor for social innovations that are developed by different actors. The opening of political processes and participatory approaches give market and civil society actors leeway for developing their ideas for social initiatives. It is evident that social innovation initiatives engage a wide variety of actors and networks in a diversity of roles and functions, which is part of what allows the initiatives to respond to social problems. Based on SI-DRIVE's empirical findings, this article highlights actors and roles in social innovation processes.

A VARIETY OF ACTORS AND ROLES

Social innovations are initiated in and provided by all parts of society, including public sector bodies and companies, NGOs and other actors of civil society [1]. Public sector actors can act as promoters of social innovations, providing resources such as funding, increased support for networking, capacity building and digital technology, or through new legal frameworks, commissioning as well as by applying research and working alongside social innovation. Companies engage in social innovation initiatives by developing new business models, providing specialised competences, and resources such as hard infrastructure. Civil society is a source of social innovation. It includes networks of political activists who are engaged in a wide range of issues, such as human rights,

marginalized groups, sustainability, gender equality etc. Despite local roots, strength of civil society lies in cellular organisation not centrally governed or coordinated. Civil society stands for key actors and promoters of social innovation, and their mode of organisation can be considered a social innovation itself as it allows the formation of social movements and other innovative social engagements.

Actors may have more than one role in an initiative which is subject to change over time.

Terstriepe et al. conceptualise different roles for actors within social innovations [2]. They offer a typology that has also been applied in the quantitative analysis of this article. It is distinguished between four major categories of actors, namely developer, promoter, supporter and knowledge provider which come from the public and private sector as well as civil society, including NGOs and NPOs. It is important to acknowledge that no clear demarcation between the categories exists, they are rather characterised by blurred boundaries. Moreover, actors may have more than one role in an initiative which is subject to change over time.

Developers are the inner core of social innovation initiatives, initiating and operating the solution. These actors are seen as being able to translate knowledge about unsatisfactory circumstances into an innovative idea in order to improve the situation. Furthermore, these actors have the ability to not only invent but also to develop and implement the idea in order to make it a social innovation. **Promoters** of social innovations are involved in social innovation processes as partners that provide infrastructural equipment, funding, and connect initiatives to superior policy programs. In addition, **supporters** refer to actors facilitating the spread and diffusion of social innovations through, for example, dissemination or lobbying activities. Accounting for the

importance of knowledge as key resource in social innovation processes, a further category is devoted to actors that provide special knowledge relevant to spur and enrich the development process (*knowledge providers*).

social innovations. Distinct from technological innovation, social innovations often originate from grass roots of civil society, and users respectively beneficiaries might replace research institutes as knowledge providers.



Actors engaged in Social Innovation Initiatives (multiple responses; % of cases)

TYPES OF ACTORS

Empirical evidence underpins the variety of actors involved in social innovation, as the analysis of the EU-funded SI-DRIVE project illustrates. A central task of SI-DRIVE was to map and analyse more than 1000 social innovation initiatives [3]. With a share of 46 % and 45 % of the mapped initiatives, NPOs/NGOs and public bodies respectively are core actors involved, followed by private companies (37%). Being involved in only about 15 % of the mapped social innovation initiatives, research institutes tend to play a subordinated role (see figure on actors engaged in social innovation initiatives). Partly, the lack of involvement by research organisations can be explained by specifics of

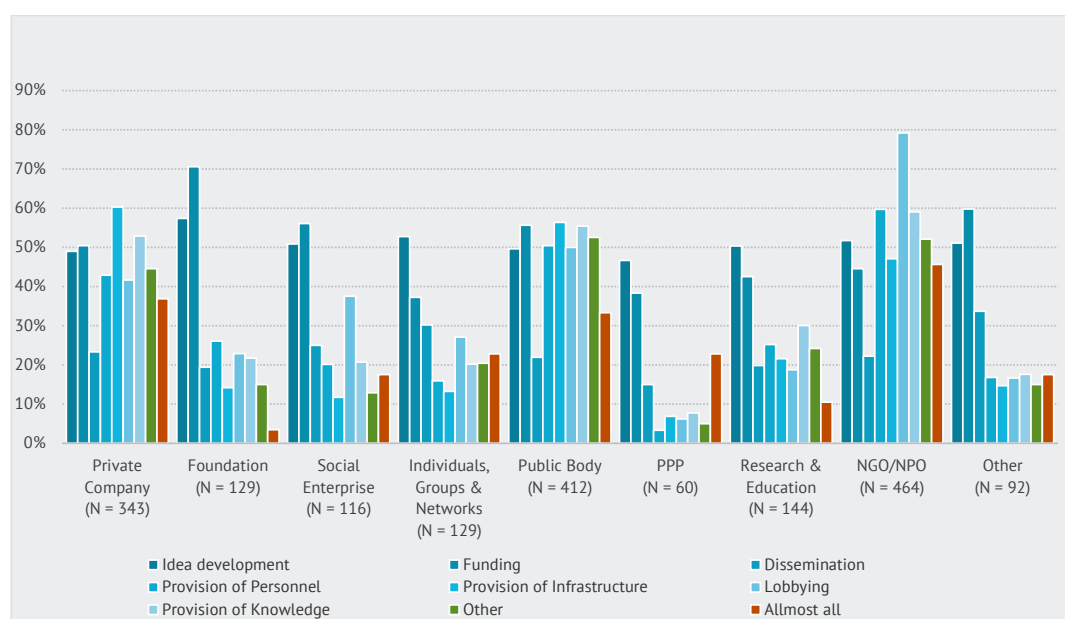
FUNCTIONS OF ACTORS

Detailing the different functions according to the actors allows for the identification of specialisation patterns (see figure on Actors' functions by type of actor). Results indicate that private companies' function as provider of infrastructures (60 %) clearly exceeds their other support activities. Although on a slightly lower level, likewise, this applies to public bodies (56 %), whose function as funder (56 %) and knowledge provider (55 %) is equally marked. Foundations' primary function is associated to funding social innovation

initiatives (71 %) and to idea development (57%). Individuals, groups and networks' support is on idea development (53 %), as is the case for research organisations (50 %). NGOs/NPOs have taken up the function of lobbying, which exceeds their other activities with a share of 80 %. Social enterprises' focus is on idea development (56 %) and funding (51 %).

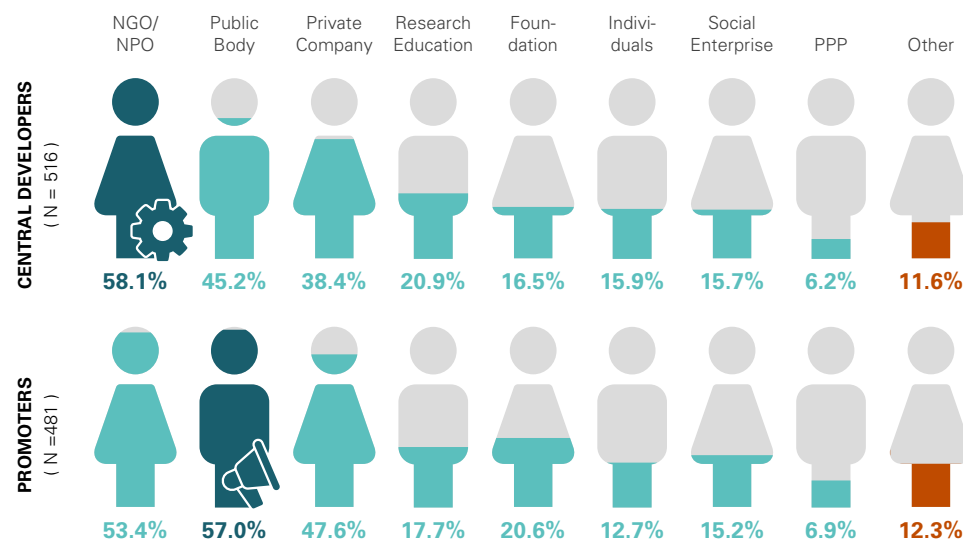
ROLES OF ACTORS

The role as a central developer is foremost assigned to NGOs/NPOs (60%). Public bodies (45%) and private companies (38 %) rank second and third as central developers. All other actors can be ascribed a less central role as initiators and operators of social innovation initiatives. Public bodies take



Actors' functions by type of actor

the lead as promoter of social innovations (57%), followed by NGOs/NPOs (53%), and private companies (47%). Research organisations, foundations, individuals, groups and networks as well as social enterprises and public-private-partnerships are less influential (see figure on central developers and promoters).



Central developers and promoters by type of actor (% of cases)

success of the solution strongly depends on users' acceptance and active participation. On the contrary, the category "users as co-creators" refers to users' direct involvement in the development and/or improvement of the social innovation as one partner of many stakeholders. This category is clearly to differentiate from *users as innovators*, where the users

are the initiators and core developers of the solution, while in later phases of the innovation process the social innovation may have been adopted by other organisations to advance its implementation. The share of users as innovators (13%) supports the insight that individuals are involved in initiating social innovations. Users as adapters, i.e. personalisation of readily available solutions, have been identified in 10% of the cases. Users as funders are only of minor relevance.

USER INVOLVEMENT

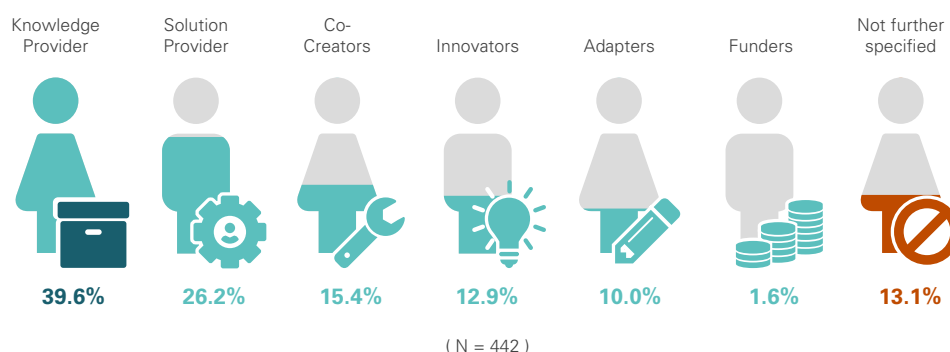
Users are involved in the development or improvement of the solution in about half of the mapped cases (N=442). *Users as knowledge providers* is the most common form of user involvement (40% of the cases involving users). More precisely, users provide knowledge throughout the social innovation process in form of dialogues, feedback, testing and experimentation, suggestions for further improvement as well as tutoring. These findings correspond with the observation that users have a substantial role in social innovation processes that goes beyond the mere utilisation of the solution provided by others. Moreover, it suggests that social innovation initiatives rely on users' specific knowledge and feedback to meet their needs properly.

This is further substantiated by the involvement of *users as solution providers*, which ranks second (26%), and *users as co-creators* which, at some distance, ranks third (15%). Concerning the former, users are not part of the solution's development process, but provide the readily available solution to other users. Forasmuch, it can be assumed that the

CONCLUSION

Social innovations are characterised by a wide range of actors involved, who may have various roles which fluctuate across different innovations and the development process of a single innovation. In fact, as social innovation research has progressed, we have seen the identification of an increasing number of actors, suggesting that social innovation emerges and develops within a complex and dynamic ecosystem. This ecosystem is comprised of both supporting and constraining factors and social innovation actors both enact existing practices and attempt to enact any new or modified ones.

Spurred by individuals, the driving force or inner core of social innovation initiatives can be labelled as a "trio" of



Form of user involvement in Social Innovation (multiple responses, % of cases)

NGOs/NPOs, public bodies and private companies. Schematised specialisations are problem identification based on socially relevant knowledge (individuals, NPO/NGO), the set-up of pilots and projects as well as the provision of resources to coordinate the social innovation processes (public body), as well as infrastructure provision (private companies). The inner core takes over tasks related to the crucial development of a social innovation initiative. A wide spectrum of actors can take over the role of promoters. Being temporarily involved, they provide specialised competences and resources to address challenges and/or problems arising in due course of the innovation process.

Cross-sector collaborations emerge as a common pattern in initiatives that are developed in alliances, while actors fulfil specialised functions that allow for taking advantage of complementarities and synergies. In this respect, it is important to note that boundaries between the functions

With a share of 46 % and 45 % of the mapped initiatives, NPOs/NGOs and public bodies respectively are core actors involved, followed by private companies (37 %).

can be blurred: NPOs/NGOs represent the civil society and provide problem identification and solutions based on societally relevant knowledge; public bodies are able to set up programmes and projects and have the resources to coordinate social innovation processes; private companies provide infrastructures. All of these specialisations are equally relevant for a successful social innovation initiative. Besides their primary function, NGOs/NPOs, for example, engage in lobbying and funding etc., whereas private companies also contribute to idea development and funding. In particular, the strong involvement of private companies illustrates that the progress of social innovation is not restricted solely to social enterprises, but also is relevant for the mainstream business community.

REFERENCES

- [1] Pradel Miquel, Marc/ García Cabeza, Marisol/ Eizaguirre Anglade, Santiago (2014): Theorizing multi-level governance in social innovation dynamics. In: Moulaert, Frank/ MacCallum, Diana/ Mehmodd, Abid/ Hamdouch, Abdelillah (Eds.): The International Handbook on Social Innovation. Edward Elgar: Cheltenham, pp. 155-168.
- [2] Terstriep, Judith/ Kleverbeck, Maria/ Deserti, Alessandro/ Rizzo, Francesca (2015): Comparative Report on Social Innovation across Europe. Deliverable D3.2 of the project "Boosting the Impact of Social Innovation in Europe through Economic Underpinnings" (SIMPACT). European Commission – 7th Framework Programme. European Commission, DG Research and Innovation: Brussels.
- [3] Howaldt, Jürgen/ Schröder, Antonius/ Kaletka, Christoph/ Rehfeld, Dieter/ Terstriep, Judith (2016): Mapping the World of Social Innovation: A Global Comparative Analysis across Sectors and World Regions. Deliverable D1.4 of the project "Social Innovation: Driving Force of Social Change" (SI Drive).

READY FOR TAKE-OFF? PROCESSES OF SOCIAL INNOVATION

This chapter argues that the process dynamic of social innovation depends on the societal domain where the social innovation is anchored and on the mode and intensity of interaction. Nine types of social innovation, derived from the process dynamics point of view, are presented and discussed.

Dieter Rehfeld / Doris Schartinger / Matthias Weber / Wolfram Rhomberg

SI-DRIVE is about the relationship between social innovation and social change. The process dimension of social innovations is one of the five key dimensions of SI-DRIVE and concerns the creation and structuring of institutions as well as behavioral change. In theoretical terms, the process dimension asks for the mechanisms that bridge between individual social innovation initiatives (micro level) and social change (macro level).

The range of social innovations that have been studied in SI-DRIVE's global mapping and case studies seem to be very heterogeneous and experimental. Flourishing, stagnating and withering activities can be found in all policy and practice fields. This broad range of social innovation activities corresponds to different ways of diffusion or dissemination of social innovation. Contributing to an increased understanding of the processes of social innovation, we have to transcend the limits of the single social innovation activity and study

the interplay between different social innovation projects and actors from different social fields, supporters as well as opponents. Further on, we have to avoid overly simplification in reducing the process dynamics to scaling or imitation.

In this chapter we present a more differentiated view on the process dynamics of social innovation. Based on the results of the global mapping and the SI-DRIVE case studies, we start with two basic assumptions.

First, **process dynamics depend on the societal domain** where the social innovation is anchored. We concentrate on three dominating societal domains: the civil society, the economy as well as politics. When we talk about societal domains we see that each societal domain is driven by a specific logic, however, aspects of the other societal domains can be found as well.

Societal field Interaction	Economy/Market	Civil Society	Politics
Fragmented/Niche	I Company based	IV Temporary Niche	VII Experimental
Fragmented but partially framed	II Entrepreneurial	V Community based	VIII Embedded
Societal/Global	III Disruptive	VI Global movement based	IX Top Down

Types of social innovations from a process dynamics perspective

Second, **process dynamics are often grounded on the mode and the intensity of interaction.** The modes of interaction are the classical ones: competition, cooperation and hierarchy. The intensity of interaction depends on the degree of exchange between the social innovation activity and on the strength of the general idea that is behind those activities.

In addition, we include further aspects like the amount of professionalization of social innovation activities, the societal dynamic behind those activities (digitalization, migration, demographic change, environmental and energy issues), and the role of politics.

The table presents the nine types of social innovations derived from a process dynamics view. The nine boxes within this table stand for the process dynamic that results from the interplay between the two dimensions. It is important to keep in mind that these are ideal types and in reality there are many examples that stand in between these types and in the course of development, social innovation activities can move from one box to another.

Referring to the different societal domains, we observe three types that are anchored in the **economic domain**.

I Company based social innovations are driven by companies and focus on the internal structure of the company. Patterns of implementation are fragmented, meaning that companies normally implement isolated solutions. Exchange or common platforms are marginal, political support can be found only in very few cases. The driving forces behind such activities are demographic change, shortage of qualified labour and economic pressure. The process dynamic is low, maybe slowly rising, because of ongoing pressure. This type is best documented in the practice field of workplace innovation (see article on Workplace Innovation as an important driver of Social Innovation).

II Entrepreneurial driven social innovations are based on a new balance between economic and social goals. They follow professional business models and aim at least at limited scaling. The interaction is competitive and market driven, however, does not only take place via prices, but also via reputation. In spite of competition, entrepreneurial social innovations are framed by several platforms, associations or networks across geographic boundaries. The dynamic is different from country to country and depends on factors like the welfare system and the traditional division of labour between state, market and civil society, the specific legal frame for social led enterprises, the social innovation ecosystem as well as funding opportunities.

III Disruptive social innovations are based on digital business models and are often financed by venture capital. They are typically associated with the mode of the shared economy that is based on sharing and marketing individually owned goods. They are disruptive as they act against given political

standards or regulations that are seen as a hindering factor. Interaction is market driven and competitiveness is based on a large community, that renders scaling essential. Because of strong competition the organization of common platforms and exchange between the social innovators is very limited. Competition, partially on a global scale, and digitalization are the driving forces behind a high dynamic, at least at the beginning of the business' activities. In the long run, the dynamic depends on further (de)regulation and the power of established actors. This type is typical for social innovation activities in the practice field of car sharing.

Three types of social innovation are anchored in the **domain of civil society**:

IV Temporary niche stands for a type of social innovation that is limited in time and space. It is driven by often highly engaged actors who aim at solving a specific local problem. Individual engagement is dominating, personal social networks are used. Pragmatism or muddling through goes hand in hand with a low degree of professionalization and with high support from volunteers. Political support is limited and often remains informal. Interaction with other social innovation initiatives is limited and there is no reference to a global societal trend. In consequence the dynamic is often limited. As far as scaling or upgrading takes place, this type shifts to type two when it becomes marketed or to type seven when it achieves reliable political support. Examples for this type can be found in many practice fields, e.g. in displacement and refugees or new models of care.

V Community based social innovations have a strong focus on self-organization, in some cases they aim at strengthening local communities. They are based on a broader local community and the organization of the network is in need for a certain degree of professionalization. Local politicians are often involved, financial support by government funding is used as far as possible. Action is taking place at local level, however, communication strategies are launched from time to time. Often they are backed by a global societal trend (e.g. environment, renewable energy, local food) and to some extent; by formal or informal, national or global networks that provide orientation. The local dynamic is high and stable in the long run; spill-over for instance from autonomous energy supply to local food is possible. An overall self-enforcing dynamic is an untapped potential so far and depends on political factors (decentralization or regionalization, funding, regulation, and so on). This type of social innovation is characteristic for practice fields in the area of environment and energy (local production of energy, energy services, repair, re-use, and recycling, sustainable primary production of food).

VI Global movement based social innovation is anchored in civil society and is not directly a result of SI-DRIVE's global mapping or case study activity. Civil societies differ across countries and the notion of "multiple modernity" takes into

account that there is no common global way to modernity. Nevertheless, there are some social innovations that become adapted all around the world. Cooperative modes of car sharing, activities to protect and empower women, local food and local energy supply are just a few examples. Depending on the state of a civil society as well as on regional or national cultures, these activities are implemented in very different ways; however, there is always a common idea behind such activities. Imitation, learning, and adaption are the key modes of interaction. This type of process dynamic differs from previously discussed types as it does not stand for a single project, but for a group of projects that are receiving increasing attention. So far, the dynamic is growing but still limited in scope. Maybe the future dynamic of those social innovations depends on further modes of informal and flexible interaction in the way Appadurai [1] calls it “cellular”. Some impression of the potential of this type can be found in the practice fields of community capacity building and integrated care.

Three further types are anchored in the **political domain**.

VII Experimental social innovations are based on funding programs, are organized as projects, and are limited in time and scope. Those funding programs cover a broad range of activities and a certain degree of professionalization is essential for the initiatives due to formal conditions and terms of the calls. The projects stand for themselves and are fragmented; interaction is very weak as an organized exchange between the different social innovation projects does not occur in most instances. Therefore, we cannot expect widespread dynamics from this type of social innovation. Nevertheless, there are some projects that provide strategies and the instruments for that are embedded in a practice field, implying that this activity shifts to type eight.

VIII Embedded social innovation stands for a type of social innovation that is more or less an integrated part of a specific practice field. This type of social innovation is based on financial resources from government. This could relate to specific calls to provide new solutions in a certain practice field, or resources are provided in the context of implementation. In the first step, social innovation activities of this type are fragmented, as in type seven, however, if successful they give impulse to strengthen the welfare system in compensating for its weaknesses. There is a certain dynamic as these social innovation activities have

There are general trends in social innovation but the dynamic take-off would require that the potential of social innovation is exploited systematically in the context of the related practice and policy fields.

the potential to become an established part of the welfare system. In this context, professionalization and the development of a business model are crucial and we can expect that there often is a shift to type two (entrepreneurial social innovation). Typical examples can be found in the practice fields of youth unemployment, mobility of vulnerable groups, reduction of educational disadvantages, providing examples and inspiration, and last, integrated care.

IX Top-down social innovations are based on central political programs that combine incentives, support, nudging, regulation and prohibitions. The mode of interaction is hierarchical, but the dynamic depends on the acceptance and the active involvement of the people addressed. In some cases policy provides the impulses, a frame for the practice field, and enables the rise of activities from civil society and/or economy. The best known example for a failed top down social innovation is the prohibition of alcoholic drinks in the USA in the 1930s, and more recent examples are non-smoking incentives and regulations. In our case studies we find examples in the practice fields of income support as well as in centralized countries like China or Russia.

Summing up, we have to be aware that these types are ideal types and the matrix is static in nature. The examples studied have shown that social innovation activities can move from one type to another in the course of their life-cycle, and in particular between the different columns. For instance, car sharing is rooted in small-scale, local projects of self-organization and nowadays can be considered an entrepreneurial if not disruptive business. This includes the change from civil society or policy embeddedness towards market driven activities. Further on, there is a potential to shift from a fragmented niche – via more interactive or framed social innovations – to a global dynamic. Most of our case studies are in the two upper rows, most likely as the majority still is of a rather young age. There are general trends in social innovation but the dynamic take-off would require that the potential of social innovation is exploited systematically in the context of the related practice and policy fields. The challenge thus is to move into the boxes of the third row in order to unfold the potential of social innovations. This move can take place in civil society; it can be market driven, or part of policy strategies.

REFERENCES

[1] Appadurai, Arjun (2006): An Essay on the Geography of Anger. Duke University Press: Durham.

[2] Rehfeld, Dieter/ Terstriep, Judith (2015): Middle-Range Theorising: Bridging micro- and meso-level. SIMPACT working paper. Institute for Work and Technology: Gelsenkirchen.

[3] Pennink, Carley/ Zuijderwijk, Linda (2015): Governance Tools for Transformative Social Innovation: 2nd Training tool. TRANSIT Deliverable 6.4.

BUILDING BLOCKS OF A TYPOLOGY OF SOCIAL INNOVATION

INVESTIGATING THE RELATIONSHIP BETWEEN SOCIAL INNOVATION AND SOCIAL CHANGE

Up to now, endeavours to distinguish between different types of Social Innovation have remained sporadic efforts by single European initiatives. Building upon the empirical results of the SI-DRIVE project, this article sketches the first characteristics of a typology distinguishing between different types of Social Innovation along their relation to the formal system or the social-cultural environment they are operating in.

Maria Rabadijeva / Antonius Schröder / Marthe Zirngiebl

MAKING A CASE FOR A TYPOLOGY OF SOCIAL INNOVATION

Innovation has many faces: It can be technological, it can concern the organisational level or the workplace, or its main characteristic may be that it is disruptive or incremental (to name but a few of the most common types of innovation studied in innovation literature). Social Innovation can be placed among those main archetypes of innovation. In addition, the field of Social Innovation itself can distinguish several types based on the theoretical and empirical analysis of SI-DRIVE.

Despite the growing public and academic interest in Social Innovation throughout the last decade, attempts to classify different social innovation initiatives have remained sporadic efforts by single European research projects. The most popular example is BEPA's distinction of three levels addressed by social innovations namely that of social needs, societal challenges, and systemic change (scrutinized in the article Social Innovation Addressing Social Needs and Societal Challenges). This is partly due to the fragmented landscape of Social Innovation concepts (see article Desperately Seeking a Shared Understanding of Social Innovation). A well-defined concept of Social Innovation, which can clearly be distinguished from other forms of innovation, is the pre-requisite for differentiating types of Social Innovation within these conceptual boundaries.

The project SI-DRIVE set out to develop building blocks of a social innovation typology. On the one hand, this typology builds upon SI-DRIVE's definition of Social Innovation as a new figuration of social practices and, on the other hand, it distinguishes different types of Social Innovation by their relationship to social change. Hence, these first considerations

Despite the growing public and academic interest in Social Innovation throughout the last decade, attempts to classify different social innovation initiatives have remained sporadic efforts by single European research projects.

can be regarded as the first steps towards a complexity reducing typology to understand which social innovations are more fruitful for social change and which are not. Given the diversity of social innovation initiatives all over the world, the aim is not to develop one central all-encompassing typology but to lay the ground for one that is able to answer this specific question.

In addition to using SI-DRIVE's definition of Social Innovation as a frame of reference, the typology approach presented here builds on SI-DRIVE's empirical results of the global mapping (see article Social Innovation on the Rise) and the in-depth case studies.

TYPOLOGY, TYPES, AND CLASSIFICATION – CHOOSING A METHODOLOGICAL FOCUS

The starting point of this article is the assumption that the world of Social Innovation is full of different types. Yet, the very concept of the *type* is far from being clear-cut. Common

notions are e.g. ideal types, empirical types, structure types, or prototypes [1]. The multiple applications of the term *type* show that it is not reserved only for “grouping” as typology, but is also used interchangeably with the term class or category. Most confusion surrounding the concept of typology stems from it being used interchangeably with the term classification. A typology can be seen as a specific type of classification being mainly distinct in the method used to build them. In that sense, typology refers to a multidimensional conceptual classification used mainly in social sciences. It stands in contrast to other forms of classification such as taxonomy, which is a classification based on empirical data and used mainly in natural sciences such as biology [2]. Moreover, while classifications focus on grouping items in homogenous sets, typologies are based on the concept of the ideal type – types developed with respect to a certain predefined outcome [3]. The purpose of typologies lies in measuring the fit or deviance of variables of real entities to those of the ideal types. Accordingly, the typology may contain ideal types which are not observed in reality, but still represent a possible path for achieving an outcome. Therefore typologies allow specification of non-linear relationships between constructs and explanation of complex phenomena [3].

From this background, the typological approach is a useful tool and a enriching contribution to the development of a comprehensive theory of Social Innovation. SI-DRIVE's theoretical underpinnings (in specific the key dimensions and mechanisms of social change) and the data collected during the two empirical phases (mapping 1 with 1005 cases and mapping 2 with 82 in-depth case studies) provide an opportunity to analyse and group social innovations in many different ways. In the following, a typological approach of SI-DRIVE, working with ideal types, is presented to distinguish between social innovations' multiple ways to interact with the formal system (or social-cultural environment) they are related to.

SOCIAL CHANGE THROUGH SYSTEM INNOVATION

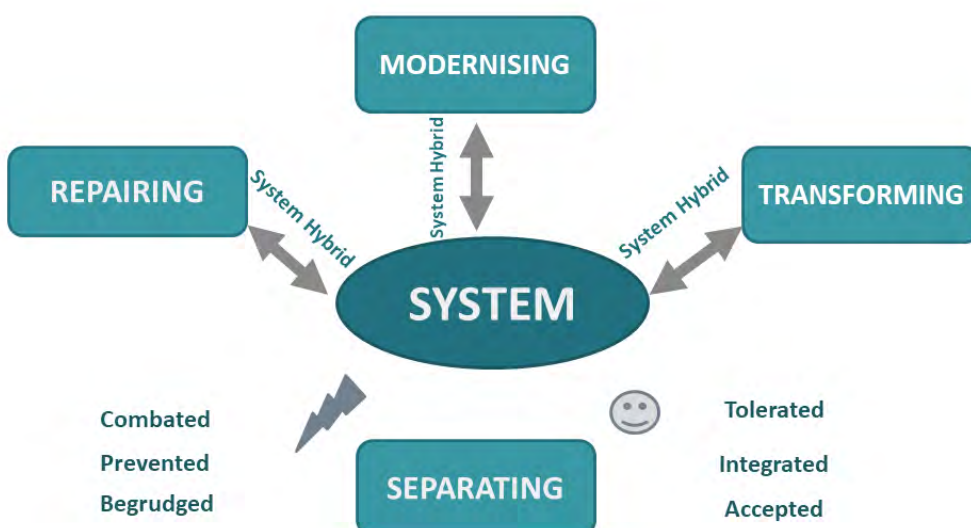
The SI-DRIVE results reveal that the initiatives' overarching (world) regional, national, political and cultural context has to be taken into consideration. This background finds its replication in condensed formal systems (education, health, transport, energy, employment, environment systems), characterising the range and possibilities of social innovations to develop, scale, diffuse and institutionalise, and in the end foster processes of social change. Looking at the empirical results (especially of the in-depth case studies [4]) it becomes apparent that there are four different ways in which social innovations interact with the system it is operating in and using it as a lever for social change.

Social Innovation and its Interaction with the Formal System:

Four different types of social innovation emerge out of their interaction with the formal system. Three of the types engage with the system. Here, social innovations might emerge within or outside the system or form a hybrid. One type acts completely separated from the system as either a potential friend or foe.

The proposed typology [5] comprises the four ideal types **repairing**, **modernising**, **transforming** and **separating** which can take different forms of interaction with or distancing itself from the system. This typology sees social change as interplay between the social innovation at hand and the formal condensed system with its institutions, formal actors and routinized practices at hand. Thus, to grasp social change it is important to look at the system's reaction when dealing with a social innovation aka a new social practice.

In the first type “**transforming**”, social innovations change the system radically. **Transforming** the system through social innovation is often a kind of hidden agenda in the initiatives but not seen as realistic or actively done.



Social Innovation and its Interaction with the Formal System: Four different types of social innovation emerge out of their interaction with the formal system. Three of the types engage with the system. Here, social innovations might emerge within or outside the system or form a hybrid. One type acts completely separated from the system as either a potential friend or foe.

However, there are some examples like Uber or Airbnb but also micro-financing and car sharing which affect the existing system with significant market impact. To transform a system a certain critical mass has to be reached, the practice field should have led to a lot of imitation, and imitation streams led to new social practices on a macro level, leading to social change.

Example: Transforming Social Innovation

Agrosolidarity has innovated in community capacity building strategies, with direct participation from rural agriculture families. The organisational structure is built on concentric circles formed by families, associative groups organised by product, process or services, mutualist associative figures, sectionals organised by micro-regions, regional Federations, and finally the Agrosolidarity National Confederation.

In the second type “**modernising**”, social innovations are leaving the system’s core identity untouched. **Modernising** the system is looking at the existing structures and is intending to improve the system. This type includes the improvement and supplement, for instance, of the health, education and employment system by digital solutions. For example, distant telemedicine like *Smart Elderly Care* (China) or *Care* (Russia) allow for the efficient and effective provision of home care for the elderly, providing a digital service which older people can use to contact medical professionals in the event of emergency or when they need medical information. Another

Example: Modernising Social Innovations

Especially, in the field of environment and energy there are a lot of cases that modernise the existing system with cross-sectoral and -responsibility solutions. The project **dynaklim** set up a regional network spanning across several administrative institutions, civil society organisations and local businesses to design a roadmap empowering the Ruhr region (Germany) and its actors to improve climate change adaptation.

good example for modernising an existing system (i.e. education) across separated responsibilities is setting up new overarching structures for lifelong learning (*HESSENCAMPUS*, Germany) across adult and vocational schools, training institutions and different public responsibilities to manage existing institutions from a learner’s perspective.

The third type of social innovations called “**repairing**” does not question the system as such but repairs single subunits. **Repairing** the system is the mainly represented type in the

SI-DRIVE mapping, often done by grassroots initiatives and focusing on specific system gaps or failures and vulnerable groups. For instance in the education sector there are several groups which are falling out of the system and where civil actors take care about: *Lernhaus* (Austria) is offering education measures for adult migrants because compulsory schooling is not formally responsible. Other activities are focused on measures for structurally disadvantaged children (with a migrant background) like *Tausche Bildung für Wohnen* (Exchange Education for Habitation) in Germany. *Abuelas Cuentacuentos* (Storytelling Grandmothers) is an example from Argentina tackling insufficient reading abilities of boys and girls with the help of senior citizen volunteers (grandmothers), in a programme that has expanded inter-generational dialogue and gives a leading role to elder people.

Example: Repairing Social Innovations

Integrated Social Services (Servicios Sociales Integrados) is an initiative founded by about 300 women, working irregularly (without a labour contract or social security). The cooperative creates self-employment opportunities to provide social services to elderly people at their homes: a high quality service for elderly people that rather continue living at their homes and at the same time a stable and prestigious job for the women. The initiative helped the women to get out of the informal economy into a more formal and legal part of the labour market.

In the policy field of Employment, *Mama Works* (Russia) is supporting young mothers in improving their labour market competencies through training, job search and even creating their own work. *LIFETool* (Austria) demonstrates the use of computer based technology to support people with physical or mental disabilities, particularly such which make speech difficult.

These first three types of social innovations act within or outside the system and either are transforming, modernising, or repairing it internally or externally. Another approach these types of Social Innovation take is to form a system hybrid. Either the social innovation is initiated outside of the system and merges into it or it can be initiated by the system itself with institutionalisation taking place outside of it.

The fourth type of Social Innovation, “**separating**”, acts completely separate from the system. On the one hand, this can take the form of peaceful co-existence, i.e. the social innovation is tolerated or even accepted or (partly) integrated (becoming – mainly in a later stage – part of the system and forming a system hybrid). On the other hand, a social innovation can antagonise the system at hand, in result being combatted by it, prevented from the beginning or begrudged. However, the potential shift from formerly separated social

innovations to system hybrids shows that social innovations are by no means stable, but dynamic, in principle changing their character and type during the innovation process, based on the acceptance, activities and attitude of the relevant system players. In that sense, different actors of the system, or in general actors taking part in the social innovation at hand, might influence the relationship between a social innovation and the system. This can lead to path dependencies. For example, in a system that is coined by strict regulations which do not allow any other practices to enter, a social innovation will remain separated from it. System **separating** initiatives are e.g. Repair Cafes like the *Repair and Service Centre (RUSZ)* in Austria that are setting up an own separate service and a market element (in peaceful co-existence to the big electronic trade companies). *She Taxi* (India) is offering safe travel options for women because of apparent attacks on women in public and other means of transportation. Antagonistic examples could be found in political movements like *Anonymous* and the *Arab Spring*, but also in extreme types of self-supplies in energy und nutrition (dropout cooperatives like rural communes) based on antagonistic lifestyles to the mainstream. The shared economy might also be seen as an example, setting up an antagonistic model of consuming.

Example: Separating Social Innovations – Tolerated

Friluftsrämjandet (Outdoor Association, Sweden) is an alternative education draft operating outside of formal education. It organises a wide array of outdoor activities based on local clubs for local communities with the purpose to learn about nature and team building by doing things together across age, religion, political opinion, etc.

CONCLUSION

Because of the high process dynamics and the different development stages it is evident that the same social innovation initiative might be related to different types in the course of its development. The typology described is one example that will help to define the relation of social innovations to the existing system and their strategies based on the chosen clarification. System (in)compatibility and relation is one of the main success or failure factors for the development, diffusion and institutionalisation of social innovation initiatives. Therefore it is relevant to have a clear position and relation to the existing system structures. To unfold the potential of Social Innovation it is of high importance to define and require leeway to act in or outside the formal system and its institutions, taking up social demands not covered by the system actors. However, the typology described here only presents one of many possible typologies. Social innovations are diverse in terms of the actors involved, their level of maturity, their intended outcomes, and their sectoral alliances. All these aspects provide possible entry points for other typologies aiming to answer different research questions as the one of social change posed here. Ideal types, thus, might not only be constructed in relation to their interaction with the formal system, but can also describe the process dynamics (see article Ready for Take-off? Processes of social innovation) or describe their role in the social innovation ecosystem (see the six models described in Empowerment, co-creation and social innovation eco-systems).

REFERENCES

- [1] Kluge, Susann (2000): Empirically Grounded Construction of Types and Typologies. In *Qualitative Social Research. Forum Qualitative Social Research*, 1 (1). Internet: <http://dx.doi.org/10.17169/fqs-1.1.1124> [Last accessed: 11.09.2017].
- [2] Bailey, Kenneth D. (1994): *Typologies and taxonomies. An introduction to classification techniques*. Thousand Oaks, Calif.: Sage Publ. Sage university papers Quantitative applications in the social sciences, 102.
- [3] Doty, Harold/ Glick, William (1994): Typologies as a Unique Form of Theory Building: Toward Improved Understanding and Modelling. In: *The Academy of Management Review*, 19 (2), pp. 230-251.
- [4] Ecker, Berenike/ Gruber, Nicol/ Haider, Wolfgang/ Holtgrewe, Ursula (2017): *Compilation of in-depth case study reports*. SI-DRIVE Deliverable D3.5
- [5] Rabadjieva, Maria/ Schröder, Antonius/ Zirngiebl, Marthe (2017): *Towards a Typology of Social Innovation*. In: Jürgen Howaldt, Antonius Schröder, Anna Butzin, Dieter Rehfeld (Eds.): *Towards a General Theory and Typology of Social Innovation*, SI-DRIVE Deliverable D1.6.

THE UNANSWERED QUESTION: SOCIAL INNOVATION AND SOCIAL CHANGE

HOW SOCIAL PRACTICE THEORIES CONTRIBUTE TO A BETTER UNDERSTANDING OF PROCESSES OF SOCIAL CHANGE AND WHY WE HAVE TO FOCUS ON THE EMBEDDEDNESS OF ANY INNOVATION IN A DENSE NETWORK OF INNOVATION STREAMS.

To understand the relationship between social innovation and social change is highly important in order to unfold the potential of social innovation. A recourse to social practice theory and the theory of Gabriel Tarde help us to understand the complexity of innovation processes. It opens up a new perspective on the embeddedness of social innovation and the governance of social change processes.

Jürgen Howaldt

INTRODUCTION

Though there is widespread recognition of the need for social innovation and a long history of academic debate, there is no clear understanding of how social innovation leads to social change. Thus, in their analysis of European projects of recent years, Jane Jenson and Denis Harrison reach the following conclusion: "Although social innovations pop up in many areas and policies and in many disguises, and social innovation is researched from a number of theoretical and methodological angles, the conditions under which social innovations develop, flourish and sustain and finally lead to societal change are not yet fully understood both in political and academic circles" [1, p. 7].

SOCIAL INNOVATION AND THEORIES OF SOCIAL CHANGE

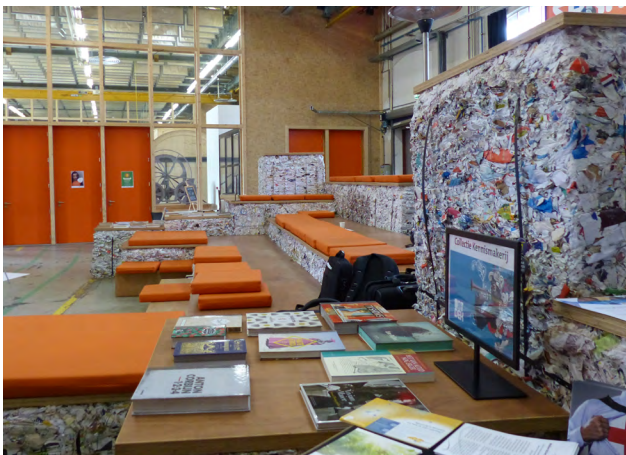
The terms "social innovation" and "social innovator" first appeared more frequently at the beginning of the 19th century – and hence long before the technological and economic appropriation of the term "innovation" [2]. Semantically, from the outset, they were closely linked to processes of social change and societal transformation as specific forms of social change. Without their content being precisely defined, they were widely used, primarily in Britain and France, with both a positive but also a negative connotation in discourses about a socialist transformation. The main focus was the fundamental transformation of the social system and the structures that support it: in other words, the transformation of the order and institutional structure of society as a whole. With the rise of the concept

of social reform in the mid-19th century, social innovation acquired a connotation associating it more closely with intended transition or transformation processes that affect part of society, with an intention orientated towards problem-solving, such as in the fields of education, working conditions, and equal opportunities.

In the 20th century, William F. Ogburn is often cited as the first sociologist who explicitly addresses the importance of social innovations, as part of his theory of social change. He sees inventions and innovations – understood as "a combination of existing and known elements of culture, material and/or non-material, or a modification of one to form a new one" [3, p. 56] – as being the most important cause of change. Social change is understood as an emergent innovation process, in which new innovations – being it technological or social ones – can be the trigger.

Even more important for a better understanding of the relationship of social innovation and social change is a recourse to Gabriel Tarde, the long-forgotten classic exponent of a sociology of innovation. Tarde's approach allows us to widen a perspective, which was narrowed to economic and technological innovations by Schumpeter, and after him by the sociology of technology, to include the wide variety of social innovations. In the social theory of Gabriel Tarde, development and change stem from inventions and initiatives, which are imitated and thus become social innovations [4]. Social imitation is therefore kept in motion by innovation, and social change is explained via initiatives and inventions that are imitated.

The strength of such a concept of social innovation that is grounded in social theory is, that it enables us to discover how social phenomena, conditions and constructs come into being and transform. The countless and nameless inventions and discoveries change society and its practices through equally countless acts of imitation, and only as a result do they become a true social phenomenon. “In the realm of the social, everything takes place as invention and imitation, with imitation forming the rivers and inventions the mountains” [4, p. 27]. For Tarde, imitation is the central mechanism of social reproduction and of social change. “All similarities of social origin that belong to the social world are the fruits of some kind of imitation, be it the imitation of customs or fashions through sympathy or obedience, instruction or education, naïve or carefully considered imitation” [4, p.38]. Since imitation always involves variation as well, imitations simultaneously transform innovations into social structures and practices. Added to this are individual initiatives and rebellions against prevailing morals, customs, rules – interruptions or crossings of imitation streams – which are transferred and imitated from person to person, leading to social innovations [5].



Social innovations open up opportunities for the development of new social practices. For example, the “Kennismakerij” a centre for knowledge creation in Tilburg (Netherlands), where potential social entrepreneurs can meet and exchange ideas (photo: Eva Wascher)

SOCIAL INNOVATION AND THE DYNAMICS OF SOCIAL PRACTICES

Combined with the practice-theory perspective on the dynamics of social practices and social change, this approach opens a new perspective on the role of social innovation in processes of social change. Defining social innovation as a new combination or figuration of social practices allows integrating the many different meanings of social innovation and offers a new perspective on the relationship of social innovation and social change. This understanding of social innovation as a new combination or figuration of practices in areas of social action, prompted

by certain actors with the goal of better coping with needs and problems than is possible by use of existing practices also implies a specific understanding how social innovation leads to social change. An innovation is therefore *social* to the extent that it *varies social action, and is socially accepted and diffused in society* (be it throughout society, larger parts, or only in certain societal sub-areas affected).

The societal and governance systems, in which the social innovations are embedded, are complex and the problems addressed are *deeply rooted in established practices and institutions*. Against this background, SI-DRIVE developed the concept of the *practice field* defined as a general type of different initiatives within one thematic area at meso level for analysing the complex interactions of different innovation activities. While an initiative is a single and concrete implementation of a solution to respond to social demands, societal challenges or systemic change (e.g. Muhammed Yunus’s Grameen Bank which lends micro-credits to poor farmers for improving their economic condition), a practice field describes general characteristics common to different projects (e.g. micro-credit systems). The practice field approach allows analysing the processes of diffusion beyond the micro-level of single small scale social innovation initiatives and a data collection at a more societal level, where wider user groups and a certain societal impact has been reached and where moments of societal change are observable. At the same time, the approach allows us to study the interplay between micro or small scale developments and their merger at the macro-level.

SOCIAL INNOVATION AND SOCIAL CHANGE – A COMPLEX RELATIONSHIP

Against this background, the global mapping of the SI-DRIVE project revealed the capacities of social innovations to modify or even re-direct social change and to empower people – i.e. to address a wide variety of stakeholder groups, as well as the broader public, in order to improve social cohesion and to allow for smart, sustainable and inclusive growth. The mapping shed light on the great many, often nameless but still important, social innovations responding to specific and every-day social demands or incremental innovations.

However, these initiatives and projects are diverse and complex in their aims and effects. Like any innovation, social innovations too, regardless of their protagonists’ intentions, are in principle ambivalent in their effects, and new social practices are not per se automatically the “right” response to the major social challenges and the normative points of reference and goals associated with social transformation processes. With their orientation to the solution of social and ecological problems that cannot be sufficiently dealt with via traditional forms of economic and government activity, many social innovations to a certain extent carry out repair

1005 Cases of Social Innovations

Policy Fields with corresponding Practice Fields

EDUCATION & LIFELONG LEARNING (178 CASES)

Reduction of educational disadvantages - 44 Cases
 New learning arrangements, interactive education - 41 Cases
 Entrepreneurship education and promotion - 18 Cases
 Alternative forms of educational activities and training - 17 Cases
 New strategies and structures for lifelong learning - 17 Cases
 Occupational orientation, early pupils career planning - 15 Cases
 New digital and virtual learning environments - 13 Cases
 Quality improvements, setting of new educational standards - 13 Cases

ENVIRONMENT & CLIMATE CHANGE (72 CASES)

Alternative sustainable food production and distribution - 24 Cases
 Protection and restoring of ecosystems & biodiversity - 19 Cases
 Re-use and recycling - 17 Cases
 Sustainable (strategic) consuming, sharing economy - 12 Cases

EMPLOYMENT (136 CASES)

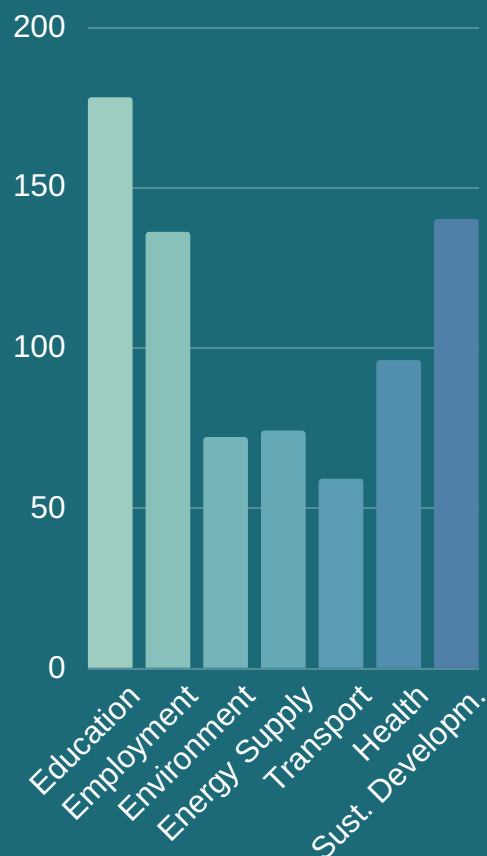
Job search support & matching - 43 Cases
 Training & education - 31 Cases
 Social entrepreneurship - 26 Cases
 Workplace innovation & organisational innovation - 20 Cases
 Working conditions and working environment - 16 Cases

TRANSPORT & MOBILITY (59 CASES)

Managing multimodality - 16 Cases
 Transportation for people with reduced mobility - 13 Cases
 Smart Working, Smart Commuting - 11 Cases
 Fostering alternative transport modes - 10 Cases
 Citizen initiated public transport - 9 Cases

POVERTY & SUSTAINABLE DEVELOPMENT (140 CASES)

Disadvantage, vulnerability, discrimination - 44 Cases
 Lack of integrated support to the poor or excluded - 20 Cases
 Sub-standard or dangerous accommodation - 15
 Inadequate financial resources - 14 Cases
 Un-nutritious or unhealthy food - 14 Cases
 Unemployment or under-employment - 12 Cases
 Inadequate good quality work - 11 Cases
 Place-specific poverty or exclusion - 10 Cases



ENERGY SUPPLY (74 CASES)

Energy collectives - 34 Cases
 Providing examples and inspiration - 16 Cases
 Energy services - 12 Cases
 Local (domestic) production of energy - 12 Cases

HEALTH & SOCIAL CARE (96 CASES)

New models of care - 44 Cases
 E-health, m-health - 21 Cases
 Shift in care location - 16 Cases
 Integrated care delivery - 15 Cases

functions without fundamentally changing the prevailing practices and associated institutional structure. Moreover, many projects and initiatives do not develop the hoped-for impact on society and instead often remain limited to the local, experimental level (see article on social innovation on the rise). Other initiatives adopt a wider perspective, and orientate their actions towards the major social challenges and the establishment of related new forms of cooperation between different actors and across sectors, combined with a redefinition of the relationship between social and economic value. They generally aim to modernise existing structures. Only a few initiatives have an explicitly transformative aim in the sense that they want to contribute to a fundamental change in practice formations and the institutional structure of society. Given this, and the fact that the long-term impacts on existing practices and institutions have hardly been examined, so far, the question of the relationship between social innovations and transformative change has now also become a key question for social innovation research [6].

GOVERNANCE OF SOCIAL CHANGE PROCESSES

Such an understanding of the role of social innovation in processes of social change has implications for the governance of social change processes. A policy informed by practice theory therefore focuses on social practices and social innovations instead of on technologies and the external influencing of attitudes, behaviours and decisions. It starts with the disruptive contradictions between

established ways of life and forms of practice, and between social problems and existing problem-solving deficiencies and relies on enhancing society's ability to reflect in observing and actively shaping transformation processes. Social practices – and hence social innovations too – are always the result of complex emergent processes, over which no single actor has control. Politics does not intervene in this process from outside, but is instead part of the social arrangements which configure the social practices. It focuses on empowering actors to suspend established routines and patterns and appropriate learning governance formats. Instead of a linear, sequential view of the relationship between invention, innovation and diffusion, transformative change is seen as the social, collaborative reconfiguration of social practices, which is fed from the interplay between multiple invention and imitation [5].

The shift in perspective on social innovation directs the focus towards the experimental shaping of social learning processes, onto mechanisms of imitation and hence onto non-linear, non-sequential forms of spreading, institutionalisation and routinisation. The question of how social transformation processes can be set in motion steers attention towards “real utopias”, understood as “institutions, relationships and practices which can be developed in the world as it currently is, but which anticipate the world as it could be and help move us in this direction” [7, p. 11].

REFERENCES

- [1] Jenson, Jane/ Harrison, Denis (2013): Social innovation research in the European Union: Approaches, findings and future directions. Policy Review. Internet: https://ec.europa.eu/research/social-sciences/pdf/policy_reviews/social_innovation.pdf [Last accessed 09.07.2015].
- [2] Godin, Benoit (2012): Social Innovation: Utopias of Innovation from c.1830 to the Present. Project on the Intellectual History of Innovation. Working Paper No. 11. Internet: http://www.csiic.ca/PDF/SocialInnovation_2012.pdf [Last accessed 08.07.2015].
- [3] Ogburn, William F. (1969): Erneute Betrachtung des Problems der sozialen Evolution. In: Kultur und Sozialer Wandel. Ausgewählte Schriften. Herausgegeben und eingeleitet von Otis Dudley Duncan. Luchterhand: Neuwied, Berlin, pp. 50-67.
- [4] Tarde, Gabriel (2009): Die Gesetze der Nachahmung. Suhrkamp: Frankfurt a. M.
- [5] Howaldt, Jürgen/ Schwarz, Michael/ Kopp, Ralf (2015): On the theory of social innovations: Tarde's neglected contribution to the development of a sociological innovation theory. Beltz Juventa: Weinheim und Basel. Internet: http://www.ssoar.info/ssoar/bitstream/handle/document/41963/ssoar-2015-howaldt_et_al-On_the_theory_of_social.pdf?sequence=1 [Last accessed 25.09.2017].
- [6] Howaldt, Jürgen/ Schwarz, Michael (2016): Social Innovation and its Relationship to Social Change. Verifying existing Social Theories in reference to Social Innovation and its Relationship to Social Change (D1.3), Dortmund. Internet: http://www.sfs.tu-dortmund.de/cms/Medienpool/small_publications/SI-DRIVE_D1-3-Social-Change_final-260416.pdf [Last accessed 07.05.2017].
- [7] Wright, Erik O. (2017): Reale Utopien. Wege aus dem Kapitalismus. Suhrkamp: Berlin.

