



# WHITE BOOK

## ON SOCIAL INNOVATION PUBLIC POLICIES AND STRATEGIES

### Alpine Social Innovation Strategy project

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# 1. A new vision of innovation in Alpine Space area to answer societal challenges

## 1.1 Introduction on the approach developed by the ASIS project

### Why the ASIS project?



The ASIS project objective was to initiate, develop and promote a new vision of innovation in the Alpine Space area that is Social Innovation, in order to increase the innovation capacity of Alpine Space regions by answering to the real economic and societal challenges.

To achieve this goal, it was important to start by a research and development phase on the concept of Social Innovation, then to develop new tools, supporting materials and finally new policy proposals for all those actors in the Alpine Space that can contribute to create an adequate ecosystem that contributes to foster Social Innovation and drive a shift from project-based approaches to long-term strategies.

#### **The ASIS project is first of all a new approach:**

- To answer to societal challenges since technological innovation and economic growth cannot be the only impulse for changes and solutions. We must break barriers between all forms of innovation (technological, social, service or use, organizational, commercial...) and between actors across all fields (classic economy, social economy, public and private actors) to work together in creating answers to these challenges and imagine new ways to successfully cooperate.
- To answer to societal challenges, the concept of innovation has to change: ASIS proposes a new vision of innovation that is not limited to the originality of the new service, method or technology developed. Innovation should be a new answer to social needs or societal challenges, regardless the nature of innovation, that has a positive, sustainable, and measurable impact, through a collaborative approach that involves beneficiaries, users, and affected stakeholders.

The ASIS project is therefore seen as an opportunity and impulse to initiate changes in public policies, sectoral agencies, and business support organizations by developing new knowledge, new public policies, new ways to support innovation and tackle societal challenges at the same time.

Thanks to a collaborative approach that involves many public and private actors in the Alpine Space from 2018 to 2021, **the project achieved the following 3 Specific Objectives (SO):**

- **SO 1:** To provide public authorities, business support organisations and sectoral agencies with common criteria/concept of Social Innovation between the Alpine Space regions in order to create a common vision and to initiate first steps to develop a shared Social Innovation strategy for economic development.
- **SO 2:** Propose new tools, methodologies and guidelines in order to help business support organisations and sectoral agencies to better support sustainable and Social Innovation projects and improve cooperation between them on that topic.
- **SO 3:** Give recommendations to public authorities on how to adapt public policies to Social Innovation challenges through this « White book » and how to support funding bodies in a new approach of funding principles.

The ASIS project, as the first INTERREG cooperation project on Social Innovation submitted and financed under the priority « Innovation – Improve the framework conditions for innovation », shows the potential for real change in the way we see and understand innovation, by playing a crucial role in the answers to economic, social, and environmental challenges that already need to be faced today and also tomorrow.

But it can only represent a first step in the design of these future coping strategies: this project allowed Alpine regions to critically assess their own state of the art, research and development within this area and to propose new solutions and recommendations for the future of public policies. To ensure sustainable success of these first steps and to use previous project results meaningfully, it is equally important to consider the next steps by testing developed recommendations and experimenting with them. It is important to evaluate, adapt and further develop these recommendations in the sense of innovation to achieve more than just short-term changes.

## Why this White book?

The ASIS project developed many materials, reports, tools, and recommendations, that are all available for free on our platform [socialinnovationstrategy.eu/](http://socialinnovationstrategy.eu/), to achieve effective dissemination of said resources that benefit the largest possible audience.



**1**  
New vision of innovation



**5**  
Guidelines



**8**  
Trainings



**1**  
Evaluation software for risk assessment



**14**  
New public policies to experiment



**1**  
Whitebook

### More specifically, we developed:

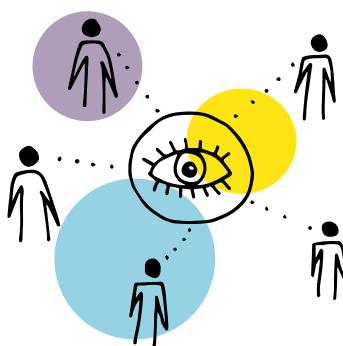
- A new and shared vision of innovation ([socialinnovationstrategy.eu/news-test-4/](http://socialinnovationstrategy.eu/news-test-4/))
- The definition of transnational challenges in the Alpine Space area and axes of cooperation that will allow common answers to these challenges ([socialinnovationstrategy.eu/facing-the-challenges-of-the-as/](http://socialinnovationstrategy.eu/facing-the-challenges-of-the-as/))
- 8 trainings ([socialinnovationstrategy.eu/category/asis-trainings/](http://socialinnovationstrategy.eu/category/asis-trainings/)) and 5 guidelines ([socialinnovationstrategy.eu/category/guidelines-social-innovation/](http://socialinnovationstrategy.eu/category/guidelines-social-innovation/)) to develop new knowledge and skills on Social Innovation
- A simulation and risk assessment model to facilitate the selection of promising projects with social impact ([socialinnovationstrategy.eu/evaluation-tool/](http://socialinnovationstrategy.eu/evaluation-tool/))
- Policy recommendations on a regional and transnational level on Social Innovation (framework conditions, methodologies, recommendations [socialinnovationstrategy.eu/category/asis-publications/](http://socialinnovationstrategy.eu/category/asis-publications/))

The main goal of this White book is to gather all these elements in one comprehensive document to create an overview of all the new strategic actions/instruments proposed by ASIS together with concrete implementation methodologies and procedures to encourage all entities to use and disseminate these recommendations.

## 1.2 Our new vision of innovation that is Social Innovation

ASIS (Alpine Social Innovation Strategy) aims to initiate, develop and promote a new vision of innovation in the Alpine Space area that is Social Innovation, in order to increase the innovation capacity of Alpine Space regions by answering to these new challenges. In other words, the main objective is to develop a new approach of innovation that really answers societal challenges met by each Alpine Space region. ASIS aims thus to improve framework conditions for innovation and deliver strategic tools and methods to encourage a new vision of innovation in the Alpine Space area, with an impact that is beyond all other past proposed ideas, with a sustainable long-term achievement focusing on Social Innovation as a crucial soft location factor for economic development and wellbeing.

### A common vision of Social Innovation



The first activity of the ASIS project dealt with designing a common vision of Social Innovation that is a rich and complex concept. There is ample literature on the subject, both by academics and by public and community stakeholders. We found several common aspects in the definitions suggested by the different regions and partners, which allowed converging to a common definition adopted by all

ASIS partners. More specifically, we decided to focus our conception of Social Innovation on several criteria:

#### Social Innovation is an innovation

**That is to say that it involves new ideas, new practices, and new products “that are socially momentous regulations of activities and procedures that deviate from the previously familiar scheme” (Gillward, 2000). Therefore, if they are of a necessarily marginal and deviant nature, these innovations should be institutionalized and diffused across society as a whole.**

Innovation changes the order of conception, production and organization of economic and social activities. It consists in something new in terms of offer (product, service), process, and value proposition. In this conception, Social Innovation and technological innovation may be associated if both are oriented to a change of conception of activities.

#### Social Innovation is focused on societal issues

**Innovation is considered social because its subject and its purpose are social.** The purpose of Social Innovation is to address social problems or societal needs that have not been solved within the commercial or public sphere, and to im-

prove existing responses. It means that its impacts are associated with social and/or societal improvement. Innovation is considered social because it generates new collaborations between actors and even participation by new actors, such as citizens.

### Through a collaborative approach that includes beneficiaries

The review we have done shows that we can find two dimensions of Social Innovation if the inclusion of stakeholders and actors is precisely considered. The ASIS partners decided to define their conception of Social Innovation excluding the isolated case of an entrepreneur that develops an innovation without any inclusion process with stakeholders, beneficiaries and territory. It means that **the inclusion of stakeholders and the collective governance of the process of Social Innovation constitute crucial criteria to define what Social Innovation is.**

### Finally, Social Innovation is a process that creates a positive impact on society and actors

If Social Innovation is a process that addresses social issues, it may also concretely create positive and sustainable impact on actors and society. The issue of social impact is crucial and implies that the activities of Social Innovation may be measured. The ability to be measured is high and may be difficult to reach for some actors and organizations.

### A new value system embodied by Social Innovation

Based on previous work and assessments made within the project, the input gained by the experts attending the transnational working groups and inspired by the work of the French Public Innovation do-tank, the 27th Region, we propose here to see Social Innovation in the public sector as a new value system. Indeed, as their publication "The Color Chart of public action transformation and training"<sup>1</sup> describes, making public innovation a lever to better and integrate support Social Innovation is a lot about changing in postures, values, habits... Here we give you a short overview about what this change of values looks like.

The complexity that our societies are facing today, due to the very nature of the economic, societal, environmental and now health issues, but also to their degree of urgency and their strong interrelationship, requires almost undeniably the coordination of all forces to find and implement adapted solutions. This systemic and complex situation, which we have never been confronted with before, calls for different responses than those we have used until now. This is indeed the meaning of Albert Einstein's quote: «*You cannot solve a problem with the same way of thinking that generated the problem*».

If public actors are historically recognized as the guarantors of the general interest, many «private» actors also participate actively and effectively in the social utility and transition of societies, whether they are organized in associations, cooperatives, companies or are mere citizens.

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<sup>1</sup>La 27ème Région, 2015

Now, the time has come to bring these two poles closer together, to establish a relationship of trust and to weave pragmatic collaborations, to serve the territories and the responses of challenges. This is a real challenge for these two worlds, which have long been distant and distrustful of each other.

If there are obstacles on all sides, public actors, who have the legal competences and means, therefore also have the power to accelerate this rapprochement. Although many have already initiated a real internal transformation of their practices (public innovation), the territorial dimension of the transformation still has a long way to go before this internal transformation of the public service brings the change at the very heart of actors' territorial ecosystems.

Not only because of this need to work differently, in a more pragmatic and collective way, but also in order to respond to a growing mistrust of citizens towards public institutions, public actors are on the way to undertake a real change of paradigm, value system and posture. The "old world" values are gradually moving on to more «CO» principles: collective, cohesion, cooperation, co-construction and co-responsibility.

The "old" values	The "new" values
<b>IN THE PUBLIC SECTOR AND SOCIAL INNOVATION ECOSYSTEM</b>	
Silo and specialization	Transversality and systemic vision
Habits and procedures	Adaptability and agility
Only start when you are sure and ready	Right to experiment
Usual policymaking and implementation of measure from the top	Service design, policymaking based on public service users' needs, uses and expectations
Top-down	Bottom-up
High posture/authority	Humility and accessibility
Power of decision from the authorities and elected representatives	Concerted and shared decisions - deliberative decisions
Responsibility from the public institutions	Empowerment of users and citizens, and co-responsibility
The public service is the only guarantor of the general interest	The response to the complexity of territorial and societal realities requires collective action and cooperation between multiple actors
Competition	Cooperation / complementarity
Funders / financers relationships	Collaboration and reciprocity

## 1.3 Societal challenges faced by the Alpine Space area and strategic elements

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The social, economic and environmental context of the Alpine Space highlights different issues. The consequences of the economic crisis have led to reduction in the capacity of the nation states to respond to global challenges (climate change, unbalanced demographic development, urban distressed areas) with adequate policies focusing on growth, sustainable development and well-being.

Social Innovation has proved to be able to enhance the potential of a single member of the community and not only to be a policy tool to solve problems of the disadvantaged part of the society. The urgency to grow resilient, aware and capable communities has emerged as a central feature.

The main challenge nowadays is to combine social policies, labor policies and economic development, looking at Social Innovation as a great opportunity of local development and reducing inequalities among citizens. This new form of coordination and collaboration has to be implemented as an integrated bottom-up and participatory (or community-led) approach rather than a more traditional top-down approach. A multi-stakeholder and a community-led governance based on co-creation processes are indeed a great opportunity for territorial development and growth, supporting the provision of high-quality and cost-effective social initiatives.

Moreover, Social Innovation becomes a local engine of development, influencing not only the economy but mainly the ability to build social and relational capitals. An ecosystem of Social Innovation can be understood as the set of all systemic resources that favor the development and the implementation of Social Innovation initiatives.

This set of relationships can be defined as a social infrastructure of the territory and its qualification is characterized as a real strategic investment, that creates the overall ecosystem of Social Innovation. For Social Innovation to be a long-lasting and sustainable process, systemic conditions or a systemic framework should be created. Economic, social, legal and administrative conditions contribute to define the ecosystem in which Social Innovation can emerge, develop and spread.

As it emerged from ASIS partners' territorial analysis, the Alpine area is a territory with very different economic, social and environmental features, in which a variety of actors develop very different Social Innovation initiatives to respond to local challenges.

Based on the information provided by partners, it has been possible to identify some "systemic conditions" that can increase the success factors of Social Innovation development, that should be considered in order to enhance the axis of work of the strategy.

## Methodology adopted



To define the main challenges, the partners of the ASIS project adopted a methodology divided into three phases:

- Data collection to analyze the context and to make a benchmark
- Collection and analysis of research and publications to identify the challenges
- Identification of priority local challenges and workshops with target groups

Through a SWOT analysis, partners have investigated the main issues in their country in order to gather internal and external factors, so that it was possible to achieve priority challenges in their country.

Despite different approaches, partners largely agreed upon three main challenges:

- 1) Tackle depopulation in rural, mountain areas and urban degradation**
- 2) Tackle unemployment**
- 3) Face the lack of health and social care services**

The axes proposed in response to the common challenges in the Alpine Space identify the development of communities' resilience as the main key to tackle the main issues and to find support and tools to achieve the changes.

The three intervention axes defined on the basis of the expected change are:

**Ax. 1: Strengthen local communities in the Alpine Space, promoting development and liability in rural and mountain areas and regeneration processes in urban areas**

**Ax. 2: Develop new employment, occupational models and professional training, fostering inclusion of vulnerable groups**

**Ax. 3: Develop collaborative communities to support the elderly and vulnerable groups**

The definition of the priority challenges has also highlighted the importance of **climate change** as a key transversal topic. The climate change effects are having a significant impact on the urban, rural and mountain environment, which varies according to climatic, geographical and socio-economic conditions. Furthermore, the COVID-19 pandemic has shown how climate change amplifies the negative effects of anthropogenic activities on ecosystems and animal species, creating the ideal conditions for the spread of pathogens, as already reported by the United Nations document "Millenium Ecosystem Assessment" (Chapter 14, p. 410).

Each axis has been combined with operational goals, providing the implementation of shared actions and tools on Social Innovation.

Thanks to their definitions, a strategy framework on Social Innovation has been identified to set up and develop the Social Innovation strategy at transnational level. To organize the coherence and governance of Social Innovation supports, some strategic areas have been suggested as application and working fields for public authorities:

- **Enabling and empowering the local community**
- **Engaging and connecting stakeholders**
- **Intentionally producing positive social impacts**
- **Simplifying funding and investing in governance**

This strategic framework aims to provide a shared reference at transnational level for the setting up and development of the strategy on Social Innovation in the Alpine Space. The path that led to the definition of the strategic framework involved the ASIS partners – and their target groups – in activities aimed at investigating in each area the socio-economic and institutional context, the problems and needs related to some topics including those of health, transport, education, the world of labor, demographic changes, quality of life in urban and mountain environments.

The enabling function of the Public Authorities also implies the integration of the community into co-design processes (from listening to co-designing) and co-planning of interventions, enhancing the active role of mutual co-responsibility. It is also enabling new tools to support the territories' initiatives of Social Innovation, as community hubs in the search and implementation of the best solutions for long-lasting financial self-sustainability.

The experience reported by the partners identifies the development of public-private partnerships, highlighting the importance of their collaboration in terms of effects on the territory and of services and assets that increase the community's value and social capital.

It emerges the need for the Public Authorities to become a support for the birth of a territorial systemic core between the world of social enterprises, public administrators, financiers, foundations and research centers capable of intentionally producing positive social impacts.

All this enhances the development and strengthening of acceleration tools for start-ups, incubators, attention to growth, capacity building of social enterprises with social impact, the intense collaboration between all the players in the research world and the technology development. In this synergic context, finding new financing instruments for companies and different forms of support in the development phases are simplified.

To achieve change, it is necessary to take decisions through a multi-stakeholder approach, to imagine new models of governance which consider relationships and the sharing of decision making between Public Administration and the other ecosystem stakeholders knowing how to manage resources and their asymmetries between individuals, organizations and between traditional and innovative operators.

(based on [ASIS Deliverable D.T2.3.1](#))

## 2. Instruments and materials to support the development of Social Innovation

### 2.1 The Social Innovation strategy platform – a reference for Social Innovation strategies in the Alpine Space and much more



The Social Innovation strategy platform – available at [www.socialinnovationstrategy.eu](http://www.socialinnovationstrategy.eu) – is one of the project's main outputs and aims to promote, encourage and support Social Innovation in the Alpine region. It provides a resource center dedicated to Social Innovation, an online tool to discuss about Social Innovation issues, to share information and ideas and to create a community. In addition to general information about the ASIS project, the platform contains three central elements:

#### Social Innovation section

This section presents the methodology of work, the reports and the final new vision of innovation developed by the project that is social innovation. Actors can also find all the support documents allowing the identification of the main societal challenges met by Alpine Space region.

#### Resources and Publications section

The project produced many key documents and reports that can help any entity interested in Social Innovation concept to learn more about the state of the art, the challenges faced, the methodologies of work used by the consortium, the main recommendations and tools developed. All these reports have been uploaded to the platform. The infographics gives the key figures of the project, the newsletters are archived and stay available, the deliverables are all downloadable on the page « ASIS publications », as all the trainings and guidelines of the project that have a dedicated page, the software can be used online or can be used on a private computer.

#### Initiatives section

Connecting stakeholders in the Social Innovation sphere from all Alpine countries, the ASIS partners have decided to collect the most interesting Social Innovation initiatives from each region to highlight them on the ASIS platform. The initiatives section thus sheds a light on best practice examples from the whole Alpine Space, inspiring cooperation and exchange between involved citizens, social entrepreneurs, public authorities and organizations active in the realm of Social Innovation.

## 2.2 Trainings and guidelines

### Why ASIS trainings and guidelines?



The project aims to launch, develop and promote Social Innovation as a new vision of innovation in the Alpine Space area, with the objective of increasing the innovation capacity of the Alpine Space regions and better answer to economic and societal challenges met by each Alpine region.

We want to make an impact in all Alpine countries by disseminating the project results to relevant stakeholders so that actors implementing Social Innovation projects can benefit from the concrete findings of the project. For this reason, the project developed online trainings and guidelines which gather and transfer new knowledge created during the different activities of the project. These materials are accessible to the public on the ASIS platform. The online trainings are designed in a way that all interested stakeholders can go through them independently and benefit from the learning experience at their own pace. They consist of a presentation, one or more videos to consolidate the training content as well as a quiz which allows trainings participants to test the knowledge they acquired through following the training.

### Who are the trainings and guidelines for?

The ASIS guidelines are mainly addressed to Public Authorities and are devised to transfer expertise about Social Innovation and enable them to better support Social Innovation projects.

The ASIS online trainings are designed to disseminate project findings to Public Authorities, sectorial agencies, business support organizations, companies as well as higher education and research institutes. Each training entails a short introduction describing the objectives and target groups of the respective training.

### How were the materials developed?

All ASIS trainings and guidelines were developed in a joint participatory approach. Based on the project's research activities, the partners defined 8 topics for online trainings as well as 5 topics for guidelines. Each partner developed a concept for their respective trainings and/or guideline topic.

In February 2020, all ASIS partners came together in Karlsruhe, Germany, to discuss the partners' concepts in an interactive workshop. Stakeholders from different regions were also invited to provide input to the proposed concepts. All partners proceeded to develop their trainings and guidelines with the support of the work package leader Steinbeis 2i and feedback from other partners.

During a 3-month testing phase in summer of 2020, the trainings and guidelines were available to a selected group of stakeholders who provided feedback to the materials. The feedback was then evaluated by the means of a grid analysis which served as a basis for a final improvement of the materials. The materials which were developed in English only were translated into the four languages spoken in the Alpine Space.

All trainings and guidelines are now available on the ASIS platform in 5 languages (English, French, Italian, German, Slovenian).

## Overview of all ASIS trainings

ASIS training title
<b>1.</b> <a href="#"><u>A common vision of Social Innovation in the Alpine Space</u></a>
<b>2.</b> <a href="#"><u>Alpine Space strategy on Social Innovation</u></a>
<b>3.</b> <a href="#"><u>How to identify promising Social Innovation projects?</u></a>
<b>4.</b> <a href="#"><u>Social Innovation and risk management</u></a>
<b>5.</b> <a href="#"><u>General methodology for the development of public policies to support Social Innovation based on the bottom-up approach</u></a>
<b>6.</b> <a href="#"><u>Best practice examples of Social Innovation in the Alpine Space</u></a>
<b>7.</b> <a href="#"><u>Innovation and societal challenges</u></a>
<b>8.</b> <a href="#"><u>Train the trainer – How can you support social entrepreneurship?</u></a>

## Overview of all ASIS guidelines

ASIS guideline title
<b>1.</b> <a href="#"><u>Social impact evaluation and indicators</u></a>
<b>2.</b> <a href="#"><u>Alpine Space strategy on Social</u></a>
<b>2.</b> <a href="#"><u>How to implement cooperation for Social Innovation?</u></a>
<b>3.</b> <a href="#"><u>How public authorities face social impact measurement?</u></a>
<b>4.</b> <a href="#"><u>Testing new Social Innovation policies on local and regional level</u></a>
<b>5.</b> <a href="#"><u>Guidelines for Social Innovation funding</u></a>

## 2.3 Social Innovation funding schemes

### State of the art of funding public policies

Funding Social Innovation is relevant for the political level not only due to normative reasons, but also justified by economic theory, as economic growth may be accelerated from money being spent in the local economy. This applies to all kind of spending, but in particular to governmental spending<sup>2</sup>. Following this theoretical approach, each unit of governmental spending increases the Gross Domestic Product (GDP) by a multiple of the original investment. Current studies provide evidence that infrastructure spending has a relatively high multiplier (many estimates show values of at least two), while the typical fiscal multiplier is between 0.5 and 1.5, with most studies arguing that the typical corridor may be between 0.8-1.2. These effects can be observed, both in the short and medium run. The short-run effect can be assumed to be consistent with the traditional Keynesian channel: output increases because of a rise in aggregate demand, combined with slow-to-adjust prices. The positive response of GDP in the medium-run or long-run is in line with a supply-side effect due to an increase in the economy's productive capacity<sup>3</sup>.

Overall, assuming that multiplier values in developed countries as the EU countries are generally in the range of 0.3 to 1.7 over a period of 1 to 5 years, it is to state that the exact size is depending on the type of revenue or expenditure mobilized to increase the fiscal deficit.

As for Social Innovation, it is plausible to assume that the multiplier effects are in place. The interesting feature at this point is the size of the multiplier: while on the basis of the literature it cannot be argued that the government-spending multiplier usually is substantially larger than one, for infrastructure it often is. Overall, the theory assumes that every economic impulse (investment) generates direct effects, indirect effects (from inputs) and induced effects (due to the outputs generated). Hence, depending on the sector (private/public/import/export...), type and kind of projects, different multipliers may exist. This is even more plausible with a view on the different countries in the Alpine Space, as evidence supports the assumption that multiplier effects are of different strength in different countries or regions. The labor market multiplier includes newly created jobs, but also the efficient use of already existing jobs.

Overall, there is debate and some concern among scholars of Social Innovation that efforts to promote it focus too heavily on social enterprises and social entrepreneurship. Indeed, many Social Innovation activities take place outside any form of enterprise (in public sector bodies, for example)<sup>4;5</sup>. Hence, it does not seem to be useful to focus on the multiplier for private investment or consumption only, but also to include the idea of a public spending multiplier.

<sup>2</sup> Alexiou 2009.

<sup>3</sup> Ganelli and Tervala 2016.

<sup>4</sup> Cajaiba-Santana 2014.

<sup>5</sup> Păunescu 2014.

**Overall, there are very diverse options to fund Social Innovation. Generally, grant funding is offered by:**

- a) A lot of non-profit organizations (charitable, philanthropic) as well as...
- b) Government or international institutions that do not expect a financial return, but are investing to reach the socially desirable outcome, Social Innovation. Nonetheless, there is...
- c) A range of investors that are looking for profit, at least in the long run, and some social enterprise models and Social Innovation projects may generate sufficient profits to make them attractive targets for traditional equity and debt investment.

**Hence, the following sources are to be found in addition to the mentioned funds:**

- Angel investors: wealthy individuals give small to large amounts, awaiting profit in the future
- Seed funding firms: companies that invest small amounts of early-stage capital in startups
- Venture capital funds: enterprises that pool and invest large amounts of money in emerging businesses
- Crowdfunding: individual investors give small sums with or without expecting profit in the future

The funding landscape for Social Innovation in the Alpine Space is diverse and multi-leveled, comprising very diverse projects and aspects of Social Innovation. Overall, all sources of funding as deliberated above are to be found. Nonetheless, many Social Innovation projects are at least partly funded by “official” bodies – institutions of the European Union, the national, regional, or local level.

Overall, the European Union acts via specific programs, while the single member states have implemented own strategies and programs, sometimes complementing EU initiatives, sometimes with a different focus. Moreover, most regions in the single member states, as well as sometimes the communal level, have own public policies to foster Social Innovation as well as funding policies.

While overall programs and projects on innovation are well-developed, Social Innovation is a relatively new issue on the EU level, in particular in the Alpine Space. Since 2010, the EU Commission is increasingly active in the field, the Innovation Union initiative (2010) and of the Social Investment Package (2013) underpin this. Overall, the EU Commission's actions aim to facilitate the induction, uptake and scaling-up of Social Innovation solutions.

With the Europe 2020 Strategy and the Innovative Union flagship initiative under the Europe 2020 strategy the EU took stock of the idea of Social Innovation, recognizing its relevance, as well as providing specific action in that field.

The Employment and Social Innovation Program, Horizon 2020, comprises Social Innovation initiatives particularly under the SME instrument that is open to social enterprises, or the Collective Awareness Platforms. Under the umbrella

of Horizon 2020, Responsible Research and Innovation (RRI) is used as a task to involve stakeholders and the public in research and innovation processes and to align its outcomes to social values. Furthermore, the EU structural and investment funds provide (via the member states) funding for Social Innovation.

The European Commission also offers seed funding for the development of innovative ideas that address social challenges via its Social Challenges Platform. Specific initiatives, inter alia the Social Innovation portal, Social Innovation competitions (e.g. the Horizon Prize for Social Innovation), the 2011 Social Business Initiative (SBI), and the establishment of an Expert Group on Social Entrepreneurship (GECES) highlight the increasing relevance and the funding focus on Social Innovation at the EU level.

## Presentation of the risk assessment and simulation models



### Risk assessment

Social Innovation aims to improve the relationships and living conditions of people through new forms of cooperation between public, economic and civil society actors<sup>6</sup>. The particular importance of Social Innovation results from its function as a trigger and driver of social change, which is also increasingly recognized by state institutions which, in addition to civil society organizations, are showing an increasing interest in Social Innovation. The aim is to overcome societal challenges and, finally, establish a sustainable system change.

### The stages of innovation can be listed as follows:

1. Prompts
2. Proposals
3. Prototypes
4. Sustaining
5. Scaling
6. Systematic change<sup>7</sup>

In reality, these stages are influenced by many factors in each of its phases, which can be beneficial but also inhibitory. There are obstacles to the development and spread of Social Innovations at various levels, which in particular occur - as in the implementation of projects in general - at the transitions of the phases and differ significantly along the different stages.

Rameder and coauthors use the example of Social Innovation in the health sector to list some problem areas that can be seen archetypically for projects in Social Innovation<sup>8</sup>:

<sup>6</sup> Ecker et al. 2019.

<sup>7</sup> Murray et al. 2010.

<sup>8</sup> Rameder et al. 2016.

## From prompts, inspiration and diagnoses to proposals and ideas

- Insufficient incentive structures in the organization/sector
- Lack of a specific innovation culture for Social Innovations
- Missing or inadequate social exchange forums to broaden perspectives, generate ideas and build networks
- Self-censorship by potential innovators due to a hostile climate to innovation

## From proposals and ideas to prototypes and pilots

- Inadequate analyzes and misjudgments in the idea and proposal phase, e.g. regarding the specific (social) problem, the specific needs of the target group, region, etc., the effectiveness of the new solution
- Low willingness to cooperate due to a lack of acceptance of the innovation by possible cooperation partners and sponsors or the target group
- Narrow legal framework
- Inadequate access to resources, e.g. to funding opportunities

## From prototyping to sustaining

- Missing business model for sustainable anchoring and financing
- Lack of resources, such as: lack of internal human resources, lack of opportunity to involve volunteers (e.g. for ethical and legal reasons), lack of or insufficient funding (including lack of longer-term basic funding for the transfer of the prototype into regular structures)
- Necessity to have to demonstrate short-term effects (impact assessment) even with long-term and sustainable Social Innovations (evidence-based versus value-based)
- Lack of willingness and resources as well as a lack of commitment due to organizational and structural resistance to integrate Social Innovations from the project status into the organizational structure and thus to bring them into normal operation

## From sustaining to scaling

- Missing scaling perspectives
- Internal and external resistance to growth and change
- Lack of specific cooperation partners and promoters (e.g. lack of commitment from sponsors and political decision-makers)
- Lack of human and financial resources

## From scaling to a systemic change

- Lack of or unclear responsibilities
- Social Innovations remain below the perception threshold of decision-making bodies and potential promoters
- Resistance to implementing innovations that come from a particular sector of innovations with predominantly long-term effects fail due to the lack of trust of funding providers and political promoters who demand a short-term proof of effectiveness (evidence-based versus value-based)

**Table 1: Obstacles in phase transitions – exemplary**

Each phase and transition must therefore be considered. Projects of Social Innovation are intrinsically complex which is aggravated by the fact that projects do not necessarily follow a linear planning logic, but often arise from a “window of opportunity”<sup>9</sup>.

Risk management explicitly deals with uncertainties and the influences of external or internal factors and their effects on the achievement of targets. Systematic access to opportunities and risks increases the chances of success of every project considerably. Systematic means that every process step is repeatedly examined for possible deviations. Of course, this also applies to the procurement process in the area of Social Innovation.

Since the procurement process usually consists of three essential phases –

- a.) Planning
- b.) Formation and
- c.) Management

– and potential weaknesses may appear in all phases, it is necessary to choose the systematic approach in order to minimize possible negative effects. Weaknesses in the process can basically lead to the misuse of resources, goals not being achieved and opportunities not being used. It is therefore essential to recognize these weaknesses in order to carry out the process as best as possible and avoid possible disadvantage.

When investigating the question of how organizations should ideally deal with risks, the typical risk management process consisting of four main phases can be considered to gain a first overview.



**Figure 1: Risk management process – in general**

<sup>9</sup> Ecker et al. 2019, p. 47.

1. Classification: identification and description of the risks plus an initial assessment (risk identification)
2. Root cause analysis, impact analysis, evaluation of the initial assessment, aggregation to an overall risk (risk analysis)
3. Planning and implementation of reactions (risk management)
4. Evaluation of implementation quality (risk monitoring and risk reporting)

The well-established risk management process according to ISO Guide 73 is also based on these phases<sup>10</sup>.

In the case of Social Innovations, many fail due to organizational and structural resistance and that these circumstances prevent many innovations before they can even arise. It is therefore necessary to create the appropriate framework conditions at various levels to promote Social Innovations, starting with the procurement process. Structured risk management will contribute to a fair, transparent and efficient procurement process by showing system deficiencies and potential savings<sup>11</sup>.

## Risk management in the context of procurement

According to European Commission Expert Group on Risk Management in Public Technology Procurement<sup>12</sup> three main tasks for risk management can be identified related to the procurement process:

- a. Recognize both risks and opportunities for those involved in the process in all phases of the process
- b. Assess possible causes and consequences
- c. Propose reactions where necessary and possible to influence the impact or the probability of the entry, allocate responsibilities to take action to reduce the likelihood and allocate who bears the cost of mitigation and the reduced benefits

In context with risk management in procurement, it makes sense to differentiate between the following two aspects:

- a. Procurement process risk management (undertake a full procurement process risk assessment using appropriate tools)
- b. Product and/or service risk management (undertake a risk assessment of the products and/or services)

Based on the process model according to ISO Guide 73<sup>13</sup> presented above and the targets for risk management based on the ECEG<sup>14</sup>, a simplified 5-phase model seems to be appropriate for the procurement process:

1. **Risk identification** - try to identify the critical, essential points in the process in every phase of the process
2. **Risk analyzes** - try to find out what can go wrong and why for each of the identified points

<sup>10</sup> ISO 2009.

<sup>11</sup> Rameder et al. 2016.

<sup>12</sup> European Commission 2010.

<sup>13</sup> ISO 2009.

<sup>14</sup> European Commission 2010.

**3. Risk evaluation** – try to determine likelihood (measurable uncertainty) and impact and compare the level of risk with the given risk criteria – “What level of risk is acceptable?” (multiplying the consequence and likelihood will give you the “level of risk”)

**4. Risk treatment** - if the level of risk is not acceptable, put in place actions to change consequences or impact – defining responsibilities and ownership of measures is particularly important here – or determine whether the existing measures are sufficient

**5. Risk monitoring** - Monitor the RM-process, check the effectiveness of your measures on a regular basis and keep an eye on changes that could affect your risks



**Figure 2:** Risk management process – adapted

## Methods in risk management

There are several different methods in risk management that are selected depending on the context and available resources - scenario analysis, etc. As long as no comprehensive risk management system exists, checklists may be helpful.

### a) Checklists

Checklists are a quick and easy way to deal with risks. Nevertheless, it is essential to be careful when creating the lists in order to generate useful results. If no reliable data is available, it is advisable to draw on the experience of employees and other suitable persons with process experience when creating checklists. It makes sense to cluster topics and then identify the risks and possible treatments by brainstorming.

Based on a checklist developed by the New South Wales Government<sup>15</sup> the following clusters would be exemplary conceivable:

<sup>15</sup> New South Wales Government 2006.

**RISK IN:**

- Identifying the need
- Developing the specification
- Inviting, clarifying and closing offers
- Evaluating offers
- Contract management
- Evaluating the procurement process
- Documentation

First suggestions for measures can be derived and entered in a list:

Risk	Likely consequences	Action
Impractical timeframe	Inadequate responses from tenderers Reduced competition Delivery schedule not met	Improve forecasting, planning and consultation with users Improve communication with potential tenderers

**Table 2: Example of a filled checklist**

Of course, a further and more precise analysis is required for an appropriate handling of risks, but to get started a simplified catalog like this may be helpful.

### b) Awareness videos

Since attention of viewers is rapidly declining, videos for image building, awareness raising, or the like should not last longer than a few minutes (we suggest a maximum of 3-4 minutes). We therefore propose to create several short videos (based on the mentioned checklist clusters up to seven) for a reasonable overview of the risk management process in context with procurement.

In doing so, we define two main goals - **introduction to the topic and creating awareness on the one hand and imparting knowledge and know-how on the other.** In concrete terms: starting with paying attention to the problem with a striking negative example of what went wrong in a procurement process, we will briefly introduce the basics of risk management in general. Based on this, we will show the benefits of risk management in the procurement process and specifically address useful tools, which may be applied quickly and easily. Ideally, every typical process step should be shown in the video series. Whether a separate video should be produced for each process step or several steps are summarized in one video depends primarily on the available budget.

*A possible table of contents for a video of this kind is listed below:*

## **Introduction**

- a. Bad Practice
- b. Introduction to risk management
- c. Risk management as an opportunity – How useful is risk management in the procurement process?

## **Knowledge & know how**

- a. Risk management tools
- b. Specific tools
- c. Best practice

## **Simulation model**

Based on the relevant literature on innovation, Social Innovation, as well as institutional economics, it seems plausible that a specific set of drivers exists that are able to induce Social Innovation, or at least help foster the implementation of Social Innovation, and contribute to the success of single projects.

The dependent variable in this model is a measure for Social Innovation. As outlined in several ASIS documents, Social Innovation can hardly be measured by quantitative indicators. Nonetheless, these indicators are necessary to measure Social Innovation for the sake to identify success factors, as well as to develop and run a formal model on Social Innovation. Following the idea that Social Innovation leads to new, more effective or efficient social practices with social ends and social means, the ASIS project team acknowledges the complexity of quantitatively approaching the issue.

**Different indicators are suitable to serve as variables, in particular as the dependent variable, indicating social innovativeness or the “success” of Social Innovation on project level (see table 3). They can be used singularly, one by one, as well as in combination in terms of an index to be developed.**

## **Indicators for measuring Social Innovation**

- Macro-level / Country-level
- Number of Social Innovation projects
- Investment in Social Innovation projects
- Number and scope of policies to foster Social Innovation
- Meso-/micro-level / project level
- Individual satisfaction/quality of life of individuals addressed by specific Social Innovation projects or initiatives
- Innovation and societal challenges
- Train the trainer – How can you support social entrepreneurship?
- Stakeholders involved

- Diversity of stakeholders involved
- Scope/range: sub-municipal or single quarters/municipal/regional/national/transnational
- Sustainability: time period of existence of the Social Innovation project
- Sustainability: increasing range of projects (e.g. increasing number of stakeholders involved over time)
- Sustainability: further developments fostered by a specific Social Innovation project or initiatives in terms e.g. of enterprises founded out of a Social Innovation initiative, or jobs created
- Structural changes in the national/regional/local administration (e.g. new units for Social Innovation, policy programs for Social Innovation, the creation of funds for Social Innovation, the creation of study programs for Social Innovation)
- Quality change (measured as the gap/improvement in service delivery, or outcome numbers of specific services)

**Table 3: indicators for measuring Social Innovation**

To empirically investigate success factors of Social Innovation, be it the social innovativeness of a region/nation, or the success of a single project, an in-depth analysis based on large-scale data is necessary. Based on interviews of stakeholders and actors, complemented by a literature analysis, success factors were carved out, classified, and analyzed more deeply, in particular with a view on future use in quantitative research.

Based on our analysis, the following indicators could be identified to play a pivotal role in the success of Social Innovation on a project level, as well as on the emergence of Social Innovation in specific regional entities.

- Funding
- Stakeholders and networks
- Sector/topic
- Coordination
- Public policy

**Based on the different models tested, a software was developed that takes stock of these findings. The software supports decision making by comparing input data (e.g. from project proposals or planned projects) with structural data from successful projects in the Alpine Space, therewith giving hints which indicators are in “normal” range, and which indicators may be somewhat different from other projects, requiring an in-depth analysis of the single case.**

## The ASIS software/evaluation tool

The tool is based on a client-server concept whereby the server side requires a web server and the client side a PC with a common web browser. No data is saved or transmitted. The software also does not use cookies. Data protection is secured at any time, as the software does not offer any possibility to save data



to avoid problems related to both data protection and security. If the data is to be saved anyway, the option of printing in the form of a file, which all common web browsers offer, can be used. The storage and the associated data protection responsibility lies exclusively with the user.

The software is free of charge and can be requested from the ASIS project; alternatively, it can be used on the ASIS website directly. After installing the software, it can be used very easily and without additional training. Overall, there are two sides or forms that are relevant – the first site/window comprises the input form, the second site the output form/evaluation.

The first site comprises a couple of boxes where project related information – that usually comes from the application for funding or the business plan – has to be put in. There are either boxes to click (yes/no-information), qualitative information has to be chosen from a drop-down menu (e.g. on the country of the project/program), or numbers have to be entered. Information boxes beside each field explain which type of information has to be entered. Additionally, a handbook exists that explains the installing as well as the use of the software. After all boxes are filled in, the virtual form can be submitted via clicking the respective button – after this, the evaluation page opens, displaying the results in graphs and figures. This output delivers useful information for the evaluation of proposals or business plans.

The evaluation page contains the evaluation of the entered program/project data. When you click on the arrow or on the word «Program information», a summary of the input data is displayed.

This is followed by 7 diagrams, which display the evaluation results of the program to be evaluated (different diagrams related to different project dimensions, e.g. founders, financial issues, stakeholders etc.) compared to the data of existing and successful projects, gathered and analyzed by the ASIS project. Finally, a summary of the 7 indicators is displayed.

In all diagrams the green point indicates where the program evaluated is located, compared to successful Social Innovation projects in the EU. Thus, from the diagram it can be drawn if the respective program is comparable (measured with different indicators) to successful projects or not. This follows the analytical logic that whenever a proposal or business plan shows a large difference to existing and successful Social Innovation projects, further information and evaluation may be necessary, while “being in line” may give a hint for the future success of a proposal or business plan.

In order to provide an overview as well as detailed explanations to people who want to become familiar with the functionalities as well as with the interpretation of the evaluation tool, handbooks have been prepared in German, English, French, Italian and Slovene. While the handbooks focus on the technical part, which includes the installation and operation of the tool, a training video was created that focuses on the understanding of the content and the aspect of result evaluation. In addition to that, a Q&A document was created that answers frequently asked questions in a simple way and can be consulted as well.

## Outlook on Social Innovation funding and its implementation

Generally speaking, the ability of a regional entity (region, country) to develop Social Innovation may be shaped by several factors. Amongst macro-level factors, surely political institutions and the overall environment to foster Social Innovation are of relevance. For the European Union, and the Alpine Space in particular, many of these framework conditions are the same, as the regulatory framework hits all EU countries likewise. The same applies to the EU funding schemes that are applicable to all EU countries, and therewith all Social Innovation projects potentially to be implemented in the EU.

Beyond these similarities, differences on country level (or regional level) are of relevance. On the member states level, a wide range of programs to fund Social Innovation projects already exist. Most countries have at least one national ministry that is responsible for Social Innovation, even if not in all countries Social Innovation is explicitly mentioned in the name of a ministry. Moreover, national as well as regional agencies exist that cover Social Innovation exist in many countries. This diversity of actors has to be reflected not only by the respective public policies, but also the funding schemes.

Depending on the institutional characteristics of a nation or region, methods and procedures of implementation will differ. Generally speaking, as the role of public funding is pivotal, specific programs for Social Innovation and social entrepreneurship are a distinctive factor for making these initiatives successful. They should be developed jointly between the political level, the public administration that is responsible for implementation, and other stakeholders, including potential addressees of funding to include their needs.

Coordination of public policies, in particular funding policies, is another relevant issue. Overall, an improved horizontal and vertical coordination and coordination between the federal and state levels, as well as between the EU-level and the national level is of pivotal relevance to avoid the waste of resources, or the neglect of specific areas or topics. On the national level, the creation of a single entity with a sustainable resource endowment (ministry or national agency) seems to be helpful for the coordinated execution of policies; alternatively, coordination can take place in a council as a strong advisory council, or as a council engaging in policy co-ordination and forward-looking decision-making (being anchored at the highest political level) may be helpful. This also implies a governance structure of Social Innovation units/entities that includes stakeholders, via participatory approaches or a structural inclusion.

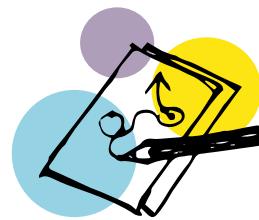
Furthermore, the use of software support to investigate about the likelihood that a proposed project succeeds is another step to support public officials by selecting suitable projects. In this context, the combination of more “quantitative” (software support, systematic risk management) and more “qualitative” (in-depth analysis of the single proposal) approaches seems to be pivotal. Training for public officials to use the different tools thus is of pivotal relevance.

### 3. Strategic policies for Social Innovation in the Alpine Space area

#### 3.1 Summary of the state of the art on Social Innovation at local and regional level

##### Introduction

In this analysis, ASIS partners try to map the Alpine Space regions policies that support Social Innovation and research what each country or region has done and how it has progressed in implementing the policies. We will see that we cannot talk about one common Social Innovation policy as an EU Social Innovation policy. Each country and possibly each region has their own way of addressing social challenges and different stakeholders are implementing Social Innovations.



In recent years, Social Innovation has become an increasingly prominent concept employed by political leaders and administrations across the world. In 2003, the Organisation for Economic Co-operation and Development (OECD) supported a range of initiatives and research to promote inclusive entrepreneurship and improve social cohesion through the identification and dissemination of local innovations. Innovation has been of enduring interest and concern for European Union (EU) policy for many years (Borzaga and Bodini, 2014), but since the late 1990s Social Innovation in particular has captured the political interest of supranational organisations and domestic actors (Pol and Ville, 2009; Grisolia and Ferragina, 2015). In the EU, Social Innovation has been positioned as a solution to both old and new social risks at a time of heightened uncertainty and pressure on public administrations and finances (Bonoli, 2005; OECD, 2011; Sinclair and Baglioni, 2014). It seems clear that this considerable interest in Social Innovation has been intimately linked to the Great Recession, structural unemployment and the social challenges arising as a result (European Commission, 2014). Indeed, a key feature of the Europe 2020 strategy was to facilitate and embed Social Innovation across Europe to “deliver the kind of inclusive and sustainable social market economy we all want to live in” (BEPA, 2010: 16).

Social Innovations are new ideas that meet social needs, create social relationships, and form new collaborations. These innovations can be products, services or models addressing unmet needs more effectively. The European Commission’s objective is to encourage market uptake of innovative solutions and stimulate employment.



The Commission's actions on Social Innovation stem from the Innovation Union initiative (2010) and of the Social Investment Package (2013). These actions facilitate the inducement, uptake and scaling-up of Social Innovation solutions.

The main objectives are:

- Promoting Social Innovation as a source of growth and jobs
- Sharing information about Social Innovation in Europe
- Supporting innovative entrepreneurs and mobilising investors and public organisations

There has been steady progress in building up institutional support for Social Innovation in the last decade at European level. The EU has been able to act as a catalyst in developing initiatives, instruments, projects and research to support new ways to address societal challenges. Initially, Social Innovations were seen as participative instruments to respond to new needs which were not addressed by the state or the market. However, it has grown into a promise to "empower people and drive change".

A brief section of this chapter is devoted to the topic of "social entrepreneurship".

We approached this topic guided by two main interrogatives:

- (1) What is the role of "social entrepreneurship" in such a debate?
- (2) Is this the only way for Social Innovation to get results?

Our main interest is to show here that social entrepreneurship should not be confused with Social Innovation, but as one of its main "tools". This point is well captured by Phills et al. (2008). Social entrepreneurs, they say, "*see new patterns and possibilities for innovation and are willing to bring these new ways of doing things to fruition even when established organizations are unwilling to try them. And enterprises are important because they deliver innovation. But ultimately, innovation is what creates social value. Innovation can emerge in places and from people outside of the scope of social entrepreneurship and social enterprise. In particular, large, established non-profits, businesses, and even governments are producing Social Innovations.*"

The European Commission appears also to be very engaged in this area, by expressing willingness to contribute to the creation of a favourable environment for the development of social business in Europe, and of the social economy at large. Social entrepreneurship seems to be one of the most considered avenues and – potentially – most effective ways for Social Innovation to offer solutions to the most pressing social challenges. But it is definitely not the only way. From the point of view of the European Commission and, therefore, EU policy, social enterprises contribute to social cohesion, employment and the reduction of inequalities, which are one of the main goals of the EU (i.e. Europe 2020 Strategy). In its view, social enterprises seek to serve the community's interest (social, societal, environmental objectives) rather than profit maximisation.

Most of the countries and regions therefore have focused on social economy and social entrepreneurship projects and policies surrounding the two when researching the State of the art of public policies for Social Innovation in each region.

## Analysis of the policies that create and support the development of Social Innovation on national, regional and local levels

Social Innovation initiatives and support ecosystems in the Alpine region are very diverse. Each country has its own good practices and different history as well as each of them their own current laws. We will try to Analyse what practices are working the best in the regions and what are some of the initiatives and good practices that could be scaled up.

### AUSTRIA

Social Innovation is apparent in the civil sector of society, in industry, and in government. There is growing interest concerning Social Innovation in academia and research as well. An answer to main societal challenges must strengthen research, technology development and innovation. This requires a broad approach to innovation, encompassing not only technological innovations, but also covering civil, social and economic innovations. The fundamental message taken on board is that Social Innovations are necessary, important and effective from a social, as well as economic perspective, and that they are required in all sectors of society.

**Austria** has a very powerful institution that is taking the field of Social Innovation forward, that is the Center for Social Innovation that provided a widely accepted definition of Social Innovation in Austria. In addition, there are at least two universities in Austria that are holding masters and doctoral studies on Social Innovation, one is Danube University and the other University of Vienna. The State issued a strategy in March 2011 that also included Social Innovation – “Strategy of the Federal Government for Research, Technology and Innovation”. Businesses are also somehow involved in providing input and creating added value to society in certain areas (Salzburg and Tyrol, also enterprises like Philips, Swarovski, Kapsch...). Still by far the biggest and most numerous initiators of Social Innovation are civil society organisations. We see a relatively high awareness of Social Innovation in Austria, but to reach systemic promotion and implementation of Social Innovations, we still have a long way to go. An explicit effort to motivate specifically Social Innovations does not yet appear to be in sight.

**There is still a long road to travel from the already relatively high awareness of Social Innovation to the systematic promotion and implementation of Social Innovations. On the side of business, enterprises mostly seem to be interested in Social Innovations as an additional means to boost competitiveness, thus considering Social Innovations secondary if it comes to the crunch. On the side of the public sector, governments' "Innovation Strategy" highlights Social Innovation, but indications of ins-**

truments and programs to be established have yet to become apparent. If the term “social” occurs in existing research and innovation programs, these nevertheless aim primarily at promoting technology and economic growth – with the side expectation of also supporting social development. An explicit effort to motivate specifically Social Innovations does not yet appear to be in sight.

## ITALY

Policies aimed at supporting Social Innovation in Italy have developed over the last decade in a framework characterized by institutional fragmentation and by marked territorial differences in two opposite directions:

- The first aimed at reducing public intervention and favouring the privatization of services
- The second, on the contrary, aimed at regenerating, reviving public action and affirming social rights by activating redevelopment processes, integration between different social actors, based on participation

**Italy** (City of Turin) started supporting Social Innovation with its agenda that was launched in March 2013 by the Ministry of Education and University and Research (MIUR), titled Social Innovation Italian Agenda. Under this umbrella, 40 projects from all over Italy have been supported. A very strong institution that needs to be mentioned has been active in Italy since 2013 – Italian Board of Social Impact Investment Taskforce (SIIT) – it has been strengthening the ecosystem of social impact investment and with it Social Innovations. Italy experienced a third sector reform in 2016 which defined new rules and regulations within the sector. The reform recognized the sector's ability to be a vehicle of participation and self-organization of citizens, and to have an important role in involving local communities, the function in building social bonds, networking resources and skills, and experimenting with innovative solutions, the reform is giving an important contribution to the development of Social Innovation processes. Italy also has a number of regional and local operational programs that support different Social Innovations – 120 projects in 107 municipalities and 13 metropolitan cities have been included in the program. The Department of Public Administration has started testing the activities related to the Fund for Social Innovation, regulated by the Prime Ministerial Decree of December 21st 2018, for the promotion of innovative models that aim to satisfy social needs. As we can see there are different levels enhancing Social Innovations in Italy, also connecting public, private and third sector. In order for this to work, dissemination of good practices and better governance among local institutions is required.

**Based on the map and trend on the development of Social Innovation policies by regions, it emerges that there are different levels enhancing Social Innovation interventions characterized by a new relationship between public, private and third sectors. This requires greater dissemination of good practice and better governance among local institutions.**



## GERMANY

In Germany, a broad innovation approach is applied, also including Social Innovation. Still, Social Innovation and social entrepreneurship are (still) rarely explicitly mentioned and supported. Nearly no publicly funded activities specifically targeting social entrepreneurship can be found in Germany. This is currently in a process of changing - slowly but certainly, as policy increasingly recognises the economic and social potential of social entrepreneurship, which could be elevated using suitable measures.

For example, after national elections in 2017, the coalition treaty signed in February 2018 between the German Christian-Democratic and Social-Democratic parties explicitly mentions Social Innovation and social entrepreneurship, both with regard to future support of research and development and with regard to economic development and industry support. In this treaty, it is stated that social entrepreneurs should be targeted directly and be more strongly supported as is presently the case. Also, Social Innovation is mentioned as one of the future challenges which need to be directly addressed developing new and tailoring existing support programs. Thus, the German High-Tech Strategy will directly target Social Innovation and social enterprises during the coming years. As a part of this approach, increased involvement of civil society, active cooperation between diverse stakeholders, and the application of non-traditional, more experimental approaches to innovation support, including new business models, and targeted transfer and start-up support have been recognised as fundamental.

In the following sections, the detailed description of the policies which create and support Social Innovation in the scope of Germany is elaborated. The analysis is focused the German federal state of Baden-Wuerttemberg, nevertheless, some parts also include the national scope due to its importance and reflections on the regional level.

**Germany** (Baden-Wuerttemberg region) explicitly mentioned Social Innovation and social entrepreneurship in its coalition treaty in 2017. Social Innovation is mentioned as one of the future challenges which needs to be directly addressed by developing new and tailoring existing programs. The German High-Tech Strategy is directly targeting Social Innovation and social enterprises, including an increased involvement of civil society and active cooperation between diverse stakeholders. In 2015 the Federal Ministry for Economic Affairs and Energy recognized the needs for special support and frameworks for Social Innovation and published a study on the challenges of founding and scaling up social enterprises. Social Innovation and social entrepreneurship are issues which are starting to receive increased attention on the regional policy level as it is increasingly acknowledged that they hold a considerable potential for both economic and societal development. The following ministries are relevant and are supporting Social Innovation with their activities: Federal Ministry of Labour and Social Affairs, Federal Ministry of Education and Research, Federal Ministry of the Environment, Nature Conservation, Building and Nuclear Safety, Federal



Ministry of Economic Affairs and Energy. The Centre for Social Investment opened in Heidelberg University in 2006, to provide research, teaching, training and advisory services, along with general support for Social Innovation sector. The Social Research Centre in Dortmund issued a study by J. Howaldt and M. Schwarz: "Social Innovation: concepts, research fields and international trends" (2010). Baden-Wuerttemberg has a strong regional operational program and in general all Social Innovation initiatives and social enterprises can be included in all activities. In the declaration for Social Innovation for Germany the demands for successful Social Innovation are formulated along the different sectors – politics, economy, science and civil society. To increase the support of Social Innovation there is a need for more committed public involvement in the innovation process, especially for the inclusion of the civil society in these processes through their better participation and engagement.

**In the declaration Social innovation for Germany<sup>16</sup> the demands for successful Social Innovation are formulated along the different sectors - politics, economy, science and civil society. These aspects are also to be considered on the regional level.**

**The success of Social Innovation is dependent on several factors. To further effective support of Social Innovation there is a need for more committed public involvement in the innovation process, especially for the inclusion of the civil society in these processes through their better participation and engagement.**

## FRANCE

In France, Social Innovation is closely linked to three other fields of intervention that can sometimes be confounded and mistaken:

- **Social and solidarity economy** (*économie sociale et solidaire* or *ESS*) is well defined by French law and seen as the overseer of all interventions.
- **Social entrepreneurship:** social enterprises are businesses set up for a social, societal or environmental purpose and not aiming at profit maximisation. They seek to involve stakeholders in their governance.
- **Social impact:** any organisation set up for a social purpose seeks to generate a positive social impact. Assessing the social impact plays a crucial role in the social and solidarity economy and social enterprises.

In France, Social Innovation currently focuses on entrepreneurial initiatives, although citizen movements have always been a fertile ground for Social Innovation.

In November 2008, the first national event, one month dedicated to the social and solidarity economy (ESS), was launched in **France**. In 2010, Vercamer Report put forward 50 proposals for "changing course", followed by the launch of the

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<sup>16</sup> [www.h-brs.de/files/erklaerung\\_soziale\\_innovationen\\_2.0\\_isi.pdf](http://www.h-brs.de/files/erklaerung_soziale_innovationen_2.0_isi.pdf), p. 5



think-tank dedicated to the ESS and the organisation of the national summit of the ESS, along with the publication of a document, listing citizen proposals for an alternative economy. In 2012 the French government set up a Ministry for Social and Solidarity Economy, initiating and drafting the framework law on ESS. Article 15 of this law (adopted in July 2014) is especially dedicated to Social Innovation. French government is supporting multiple projects dealing with current social challenges and supporting Social Innovation in areas such as: environmental transition, digital transition, sustainable energy, clean mobility, agricultural transformation, transforming health system and others. Ministry of Economy has a 5-year plan to support innovation called The Investment plan and in its 3rd stage in the period from 2016-2021 10 billion € will be dedicated to the projects connected to fostering environmental transition, building a society based on skills, competitive and technological innovation and building a digital state. There are also Regional Hubs for Associative Cooperation being implemented since 2013 (these are also included in the ESS law). Metropolises play a huge part in structure and strengthening the ESS projects, being responsible for local property coordination, local town planning, territorial coherence schemes for Social Innovation innovators. France is being active in innovation in policy making and is trying to reduce the barriers between the sectorial established public policies, encourage a co-creation approach, develop a more multidisciplinary approach and taking into account beneficiaries and users of the policies.

**The social and solidarity economy sector involves around 200.000 companies nationwide in France, represents around 2.3 billion euros and 10 % of national GDP and mobilizes 15 billion volunteers. However, there is no complete overlap between the ESS and Social Innovation, and it is hard to evaluate the weight of Social Innovation.**

## SLOVENIA

Social Innovation sector in Slovenia consists of a large number of diverse organizations, fragmented across different sectors and lacks visibility as a homogeneous group. There is also no proper statistical monitoring of the sector as a separate entity, therefore the size and structure of the sector can be given only on qualitative assessment. State has started with active involvement in the sector in 2011, when Social Entrepreneurship Act has been adopted. Municipalities are playing an important role in development of Social Innovation and can support the sector in many ways (local development programs to include Social Innovation, regional networks to support Social Innovation, financial support, activation of untapped local resources – land, buildings, equipment). There is also relatively big number of supportive non-governmental organisations, which have started to work as social innovators in spontaneous way, answering to local needs.

**Slovenia** adopted the Social Entrepreneurship Act in 2011 and in it is provided a definition of Social Innovation: “*Social Innovations are solutions to societal needs and problems for which the market and the public sector have no answer*”. Implementation of the Social Entrepreneurship Act lied with the Ministry of Labour, Family, Social Affairs and Equal Opportunities. Later the field of social entrepreneurship was shifted under the patronage of Ministry of Economic Development and Technology (it provides expert support to the Council for Social Entrepreneurship, maintains a register of social enterprises and organises events). The focus lies more on the entrepreneurship and less on Social Innovation. The following institutions play an important role for Social Innovation in Slovenia: Ministry of Public Administration, Employment Service of Slovenia, SPIRIT Slovenia, Chambers of Commerce and Craft, Ministry of Finance, Bank Assets Management Company d.d., Local governments (municipalities and cities). Civil society is very active in Social Innovation in Slovenia and most initiatives are being created with the bottom-up approach – Fund 05, Heritagelab, Feelif, SocioLab, Social Innovation Hub, Skupnost KNOF and other that are mostly being funded by European funds. The Social Entrepreneurship Center at the University of Ljubljana brings together 6 members of the University to develop, research, educate, consult and provide supporting activities for social entrepreneurs. There was also a book published by former minister of Education Prof. Slavko Gaber (PhD) titled “Thinking Social Innovations” (Misliti socialne inovacije, Ljubljana 2019). The foundation of the long-term development of Social Innovation must be to build a system of measures and policies that take into account the specific character of our society and respond to the key challenges in Slovenia.

**Social entrepreneurship and Social Innovation are the sustainable concepts of the economy, characterized by resilience to market shocks, great potential for social integration and employment, and excellent adaptation to local challenges. The foundation of the long-term development of Social Innovation must therefore be to build a system of measures and policies that take into account the specific character of our society and respond to the key issues/challenges in Slovenia. Only in this way will Social Innovation become a productive, creative and key part of the system that contributes to the well-being of citizens.**

For the complete content of the above summary of state of art please go to ASIS platform and download the [Deliverable D.T5.1 ANALYSIS OF STATE OF THE ART OF PUBLIC POLICIES IN ALPINE SPACE REGION](#).



## 3.2 Strategic regional public policies

### Introduction

While Social Innovation projects worldwide may have some joint specifics, they are nonetheless influenced by local and regional characteristics – the local political-administrative environment, societal developments, geographical and environmental framework conditions. Thus, recommendations to enhance and foster Social Innovation projects always need to include a local perspective and have to be tailor-made for the local context.

### Local recommendations

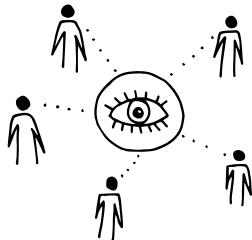
The following elaborations represent policy recommendations that were developed by the partners of all project regions in their local and regional context. The development of the recommendations was undertaken with the help of various methods in a multi-stage, iterative process including expert interviews, workshops with stakeholders and discussions within the project consortium. In the following, the derived recommendations as well as a short overview of the measure/good practice they are based on are presented. Finally, possible measures and actions are outlined and assigned to one of the three axes of cooperation that were developed in previous ASIS deliverables, and expected results are listed.

### AUSTRIA

Through numerous and intensive consultations with stakeholders, online as well as offline, conversations took place in order to identify approaches, actions, initiatives and measures concerning various areas in the realm of Social Innovation. The findings from these elaborations were compiled and discussed with both external as well as internal experts in order to examine and further develop suggestions for improvements mentioned by the stakeholders, to formulate new recommendations and use present potentials on a local and regional level.

The overall goal of this approach is to examine the actual status quo and patterns of coping regarding different kinds of issues based on good practice examples, which, especially in the Covid-19 crisis, are increasingly of a socially innovative nature, in order to create recommendations. This is even more important as against the backdrop of general trends in Austria and the Alpine Space (e.g. demographic change, but also the recent crisis) there is a genuine need for recommendations how to foster and implement the idea of Social Innovation by the public sector and the overall society.

The following recommendations thus represent a combination of actions that have taken place in practice and that are – or can be – conducive to Social Innovation, reflecting the opinion of experts on the subject.



### Recommendation 1:

**Institutionalized linking of public and private networks to improve the access to public and private services for vulnerable groups and enable inclusive Social Innovations across the region**

At the beginning of the year 2020, the public library of Spittal / Drau, which is part of the city's municipal administration, like most public institutions in Austria / Carinthia, was confronted with the question of whether and how it was possible to operate during the Covid-19 induced lockdowns, and how the provision of services could be maintained despite the existence of limiting policy measures to fight the pandemic, as e.g. contact bans and curfews. A particular focus of concern was the question of maintaining the safety of both employees and users, as the service is based on the principle of lending and sharing between customers. It was decided not to open the library to the public as before, but not to close it down either. Instead, it was decided to develop a package of measures that would allow the library to continue to provide its services without disregarding the difficulties delineated above. This is even more important against the backdrop of the importance of uninterrupted educational services for the overall population, but particularly students and pupils that may profit from the services provided by the library.

Administrative activities, such as the purchase of new media, and the recording and cataloguing of these media items, were made possible for the employees via the mode of home office by setting up a connection to the library server on private PCs. In this way, especially those employees who belonged to the risk group were able to do their work at home so as not to expose themselves to the risk of possible infection. For those employees who worked in the library building, strict hygiene measures had to be followed.

The lending of media was made possible by contacting the library through various channels. These include the telephone, e-mail, their website and their social media channels. Customers could borrow a «package» consisting of a maximum of 10 items, which the library staff put together. Together with the customers, a 15-minute slot was selected where they could enter the separate lobby of the library building. Disinfectants were provided together with the ordered package.

Especially in this period when parents were faced with multiple burdens due to childcare and the additional supervision of school activities at home, the library's "contactless media lending" was able to provide children's books and games that did not have to be purchased by each individual. Parents were thus able to provide their children, who were allowed to leave the apartments less than usual, with new games, comics and books and to offer them variety of entertainment and educational input. This service was also used by children to obtain books and other research material for school projects, as university libraries and bookstores were largely closed.



After a certain period of time, networks also developed among the users. Citizens exchanged items, formed carpools and picked up packages for several families who were having difficulty in doing so themselves. This development is a typical example for positive snowball-effects of Social Innovation. Overall, the contactless media lending was a great success, received much praise and gratitude and meant that citizens had access to the library's services and that no employees had to be laid off or put on short-time work.

Another measure that was taken, not on a local but on a regional level, was the unlocking of certain paid services for the entire population in the federal state of Carinthia, for example the online library offer, consisting of e-books that can be downloaded at home. This supported social distancing, home and created an offer for groups from different socio-economic backgrounds that were already under financial pressure during the crisis, supporting also inclusive education.

## Challenges

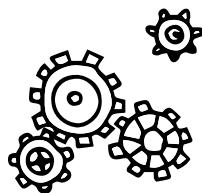
One point regarding these measures that has been critically observed, however, is that marginalized groups might have not been reached in some cases. A delivery service offered by the library was first considered in order to reach more groups, but could not be implemented. The idea would have been to make it easier to reach or people with limited mobility or the elderly, who may not know about the library's services because they are not reached through the – often virtual – channels used. The employees themselves addressed the fact that linking up different service providers would have been particularly useful in this period in order to reach these groups. As the discussion with internal and external experts showed, the linkage of public and private services through the development of networks and institutionalizing of cooperation would be beneficial not only in the area of education but also social services, to further facilitate socially innovative approaches to include and support vulnerable groups.

## Actions

- 1.** Identifying local and regional networks that have access to vulnerable or marginalized groups, to illustrate needs and potentials
- 2.** Mobilizing and engaging local political decision-makers who support the process
- 3.** Analyzing legal and administrative framework conditions and how these networks can be connected or what is missing in order for successful cooperation
- 4.** Bringing together key representatives of private and public networks, public administration, and local politics
- 5.** Engaging representatives of groups that need to be reached and allow them to participate in the policy process
- 6.** Jointly creating policies using participatory practices
- 7.** Raising awareness, communicating changes through different channels, making sure to reach marginalized groups too

## Expected results

- Faster and more efficient reactions when problems and crises occur
- Improved outreach and inclusion of vulnerable groups
- Creation of sustainable networks that connect different actors from different sectors, creating increased added value



### Recommendation 2:

**Inclusion of Social Innovation in funding strategies in combination with transparent criteria for the promotion and support of local and regional businesses by development and funding institutions**

Financial support and the creation of funding opportunities, providing information about these options as well as support in applying for funding are of great importance for the implementation of socially innovative projects and initiatives. The Carinthian Economic Development Fund (short KWF) is a regional institution for economic promotion and development that aims at strengthening the competitiveness of Carinthia as a technology and business location.

Carinthia has an R&D rate of 3.15%, which means that it is among the best 10% of regions in European comparison. However, this fact is not taken for granted, but is supported by efforts to sustainably develop the entire region. The KWF plays a supporting role, (co-)finances projects, advises companies and public institutions and proposes strategies for the overall advancement of the region. The KWF's strategic orientation and focal points are reviewed annually in the form of a systematic strategy process with regard to their relevance and validity. In a next step, demand-oriented adjustments in detailed planning and orientation are made in order to adapt to current trends and needs. In particular, relevant EU framework conditions are taken into account in order to adapt to the current EU programme period to enhance the competitiveness of the region as a whole, and regional enterprises.

## Challenges

While the focus in R&D so far has been mainly on technological innovation and progress, including the support of more technical innovation in this area, strategies for future periods will now include Social Innovation and support the principle of smart specialization. Social Innovation is not seen as an isolated point or a single goal to be aimed at, but is taken up as a cross-sectional matter in order to attract attention in all areas, which is considered to be an opportunity for economic as well as social development and growth. However, as pointed out by the experts, when implementing such measures, it is not only important to consider Social Innovation in one institution, but to do so across several in order to contribute to broader awareness. In addition to this, the connection of the implementation of Social Innovation as a focus has to be linked to clear definitions, criteria to be fulfilled as well as their transparent communication thereof.



## Actions

1. Analyse previous funding strategies and criteria that need to be met in order to be funded
2. Create awareness of a broad definition of innovation, which sees Social Innovation as a new vision of innovation to move away from a primary focus on technological aspects
3. Involve experts on Social Innovation as well as business owners
4. Revise existing criteria for business and research funding to include these new aspects, if need be, include new criteria into legal frameworks
5. Reorientate the promotion strategy of economic development institutions and appropriate communication of these measures

## Expected results

- Extended circle of beneficiaries
- Increased funding for Social Innovation projects or projects that have Social Innovation as a component
- Increased linking of local and social economy
- Increased awareness and spill-over effects into other areas, apart from business development



### Recommendation 3:

**Promoting social entrepreneurship at regional level through economic development institutions in order to create jobs that generate sustainable added value for society**

The massive change and transformation in the way we look at work and the way it can take place that have been demonstrated by the Covid-19 crisis demonstrate all the more the need for social approaches in the facilitation of training in the labor market. The crisis offers not only negative aspects, but also opportunities, as it has broadened the scope for trying out new models and approaches.

Philosophies such as social entrepreneurship are becoming increasingly popular. Social entrepreneurs aim to combine entrepreneurial thinking with the creation of social added value through their activities and do not seek to maximize profits as their sole business goal. Social enterprises can be both nonprofit and for-profit models.

Many legal foundations and temporary regulations in Austria are aimed at securing the labor market and employment of Austrian citizens during this time. Nevertheless, it is important to take a broad view and concentrate on measures that not only support citizens and employees in the current situation, but also contribute to the future of employment with a view on job security and qualification issues, adapting specifically to the needs of vulnerable groups.



## Challenges

As the exchange with experts on this subject confirms, it is essential to create training opportunities for those people affected by the crisis in order to counteract and prevent social disparities. In the regional and local context, social entrepreneurship is still a relatively underdeveloped concept in Austria and especially in Carinthia, compared to the other partner regions of the ASIS project.

## Actions

- 1.** Mobilizing and engaging local and regional political decision-makers who support the process
- 2.** Taking measures to raise awareness by communicating best practices through various channels and institutions
- 3.** Creating a platform (e.g. online) that gives social entrepreneurs the opportunity to present their work and concepts and to exchange ideas with each other
- 4.** Providing information about possibilities of financial support as well as advice on how to become active in this field
- 5.** Creating educational and training opportunities for potential entrepreneurs as well as for politics and administrations
- 6.** Providing guidance and information e.g. about labor market related issues and recruiting (legal and administrative procedures)
- 7.** Using local media, which reach a large audience especially in rural areas
- 8.** Using good practice examples, national as well as transnational, in order to benefit from common learning effects and to strengthen the Alpine Space as a whole economically

## Expected results

- Growth of the social economy sector, increased number of ventures in this area
- Improved recognition of social entrepreneurs
- Improved inclusion of vulnerable and marginalized groups in the labor market
- Mitigated negative effects of the Covid-19 crisis
- Strengthened response to youth unemployment and rural economic revitalization

## Outlook Austria

Although being still underdeveloped in some aspects, especially in rural areas, there are some starting points to support Social Innovation in Carinthia through policies and thus meet economic and social challenges. In general, an increasing political will to implement measures and policies to strengthen Social Innovation can be noted. Nonetheless, especially in the local context, increased strategic support is needed to create beneficial conditions in which further development of the concept can take place and socially innovative

projects, initiatives and business endeavors can strive. In particular smaller public bodies, e.g. in rural environments, need support as resources as well as awareness for Social Innovation is still limited. For this reason, the formulated recommendations refer in particular to the development and maintenance of networks, capacity building and the creation of awareness in order to increase acceptance in various stakeholder groups.

## FRANCE

French partners of the ASIS project, that are all part of the Auvergne-Rhône-Alpes region, have been working on those recommendations to offer public actors and especially local authorities an occasion to understand better Social Innovation on their territories and give them practical recommendations to facilitate its implementation in their strategies.

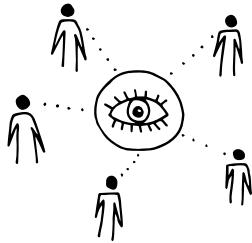
Carrying out a territorial approach to Social Innovation, whether we initiate it or we pursue it, is far from being a linear process or a universal recipe! That is why those actions suggestions are related both to internal efforts and external actors support. In other words, a local authority wishing to support Social Innovation can tackle this issue with those two complementary ways:

- Integrate Social Innovation into its own approach, projects, public policies. Then we talk about public innovation and this will involve new methods, ways of working with stakeholders, new forms of governance...
- Actively support Social Innovation on its territory and the large ecosystem of actors that carry them out through facilitating public policies.

The following recommendations have been built with the help of different stakeholders benefiting from the knowledge they hold. It has been a back and forth work, to adjust them and make them match as closely as possible to the vision and needs of field actors. They are the result of all the ideas and knowledge gathered through workshops led by ASIS partners that offered a time to exchange with local stakeholders and experts about Social Innovation, working times with the internal technical committee in the Isère Department (French local authority) and the analysis of already existing work about Social Innovation and public policies.

As the following are focusing on transversal subjects, it is to mention that all three axes of cooperation are relevant regarding the French recommendations:

- **Axis 1:** Strengthen local communities in the Alpine Space: promote development and liveability in rural and mountain areas and promote regeneration processes in urban areas
- **Axis 2:** Develop new employment, occupation models and professional training, fostering inclusion of vulnerable groups
- **Axis 3:** Develop collaborative communities to support elderly and vulnerable groups



### Recommendation 1:

Conduct a collaborative diagnosis of the territory's social and environmental needs at the local level

In order to analyse the needs on the territory they operate, public actors should carry out a shared diagnosis of the unmet social and environmental needs of the territory at the local level.

A Social Innovation develops new responses to a need that is poorly or inadequately met. To qualify and specify these needs, the Social Innovations actors (social entrepreneurs particularly) use not only national data or societal trends but also feedback and enquiries from beneficiaries, at the heart of the Social Innovation construction process. In both cases, these data provide an imperfect picture of needs at the scale of the territory concerned.

These data are still little cross-referenced with available public data: territorial diagnostics (demographic and socio-economic data), data produced by thematic observatories carried by the various public actors (housing, air quality, agriculture, employment, etc.). Also, these public data are sometimes not widely shared with stakeholders and are difficult for entrepreneurs or citizens' groups to understand.

### Challenges

Collaborative diagnosis can allow stakeholders from different backgrounds on a specific territory (inhabitants, public and private actors) to build shared knowledge and identify relevant issues and local specificities. By organising a dialogue between stakeholders around needs that are currently little or poorly met by existing public and private solutions, public stakeholders can contribute to the emergence of solutions adapted to the specific social and environmental needs of the territory.

Before being able to act in any way through Social Innovation, it seems crucial for any actor, public or not, to be aware of the specific needs that its territory is facing to focus on those challenges. Then, a collaborative diagnosis is a way to involve relevant actors in the public data collecting while allowing a spreading of this data. At the scale of its territory, it is important to mention that a public actor can truly play a role in the sharing and dissemination of these data as well as in the regular updating of them with the actors, in relation to the challenges of the territory, concerning social or environmental needs.

### Actions

1. Carrying out a diagnosis of the territory's needs, which requires specific expertise
2. Working in cooperation with all the actors, especially the inhabitants, on the needs of the territory in order to collectively propose adapted, coherent and

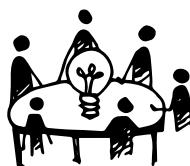


feasible responses, within the framework of cooperation between the actors<sup>17</sup>

**3.** Widely sharing the results (several local authorities have initiated «open data» initiatives to open and make available data concerning their territory)

## Expected results

- A shared knowledge is built thanks to the diversity of actors on a territory
- A diagnosis of the territory is gathering all types of data in one place by cross-referencing
- Unmet social and environmental needs of the territory are clearly established and known by local players
- The data collected is open and easily accessible to anyone interested in
- Project leaders of Social Innovation projects are helped, especially in the starting phase, to build their project in coherence with better qualified needs, thanks to localized data



### Recommendation 2:

**Build a network of Social Innovation ambassadors within public institutions**

The lack of cooperation between private actors, leaders of Social Innovations, and public actors is partly due to the lack of communication and the frequent difficulty of private actors to get in touch with the public sector. Facing the complexity of the organisation of the fields of competence and the lack of clear entry points or identified personal contacts, leaders of ideas or projects, entrepreneurs or committed associations encounter difficulties in accessing the public actor other than through the traditional call for proposals or grant application.

The need of Social Innovation actors can be simply about need of information, understanding the public policies and local master plans, having feedback on their project to improve it... The requests of social entrepreneurs in the construction phase of a project can sometimes be incompatible with the organization and decision-making circuits of the public administrations. Therefore, identifying “referents”, aware of the economic constraints and short deadlines of those acteurs, could facilitate the encounter with the public system and avoid them getting discouraged too quickly!

The functioning of public organisations, often compartmentalised into silos that communicate little with each other, also represents a barrier to Social Innovation and cooperation between actors. Indeed, once communication is established with the public actor, the Social Innovation actor comes up against a culture and an organisation that struggles to deal with their eminently cross-cutting requests. Territorial organisation and the distribution of competences between local authorities are often unclear or incomprehensible to most citizens and project leaders.

<sup>17</sup> To go further on the methodology, public actors can use existing tools, such as : [diagnostic-territoire.org](http://diagnostic-territoire.org) (in French)



## Challenges

Public actors should establish a network of ambassadors, within their institution, with civil servants from different services, to facilitate the link between the administration and the actors. Their mission as «referent» would be to welcome the requests of social innovators (questions, need of data, presentation of their project...) and accompany Social Innovation projects in the complexity of the administration, in order to facilitate exchanges and cooperation. This network within each local authority could become an inter-institution network at the territorial level.

- Allowing direct interaction and guaranteeing exchange, giving answers as far as possible, is already a way of supporting these actors and the future Social Innovations they bring, at the service of the territory.
- Appointing people responsible for supporting and promoting the cross-cutting nature of projects within the public administration would allow them to better respond to the specific nature of these projects and to ensure a real follow-up.
- Extending this network to other local authorities would be a means to orientate requests to the proper public authority while ensuring its follow-up.

This recommendation must be completed by working on the position and state of mind of the structure (public innovation) in order to make cooperation and transversality collectively shared and intrinsic values of the structure.

## Actions

1. Identify in the institution the departments most likely to be concerned by Social Innovation: employment, housing, autonomy, education, youth and family, culture, agriculture and food, mobility, energy, environment...
2. Acculturate to the topic, to the importance of Social Innovation projects as answers to the needs of the territory as well as to the importance of transversality between services and cooperation between actors
3. Identify the allies in each department concerned in order to set up a network of ambassadors
4. Define their missions: they should be simple and not time-consuming. They can also be quantified: 1 hour/week, 1 day/month...
5. Formalize the network as well as the mission of each person in his or her job description
6. Communicate on this network and the main contact person. Make visible and accessible (on the website for instance) the contact details of a physical person (and not with something impersonal as a contact form) and the existence of this network of ambassadors

## Expected results

- The communication between public and private actors is made easier through a better identification of key actors and contact persons
- The access for social entrepreneurs to information about Social Innovation and policies conducted about it is fostered



- Direct interaction is allowed and exchange is guaranteed and answers are given to who is looking for them
- People responsible for supporting and promoting the cross-cutting nature of projects within the public administration are appointed
- In the middle term, the network is extended to other local authorities
- A better response to the specific nature of these projects and a real follow-up are noticed

### Social Innovation actors know:

- How to exchange with a local public actor to better understand the territory
- Which actor to contact in case of a request
- They can have feedback on their project, initiative, approach, etc.
- They have the opportunity to cooperate and work with local public actors
- Having a cross-cutting project that does not fit into the «classic» scheme of public organisation and implies several services or several public authorities is not a problem anymore



#### Recommendation 3:

Launch cooperative, participative and cross-disciplinary calls for proposals

The answer to complex problems requires the sustainable cooperation between actors at local level. The establishment of territorial cooperation dynamics contributes to respond collectively to complex problems and to create a culture of cooperation that favours the emergence of Social Innovations.

The main obstacles to cooperation between actors are often a lack of inter-knowledge and the logic of sectorisation. A cooperative call for proposals favours the cooperation of actors at the service of a response to answer the needs of a territory, rather than competition between actors to obtain public fundings.

This could allow and stimulate a better knowledge and understanding of the logics and needs of the actors, in a “supervised” framework. Also, in the construction of the response, a new form of cooperation and response (Social Innovation) can emerge. These specific forms of cooperation can prefigure the emergence of collective territorial dynamics and eminently socially innovative projects.

Finally, crossing several topics and several competences stimulates the inter-knowledge, allows to break down the barriers between internal services of public authorities or between different public authorities that do not have the same competences, and can incite actors to build innovative partnerships.



## Challenges

Favouring cooperative (build collectively), participative (open to people's vote) and cross-disciplinary (housing and food / mobility and short circuits...) calls for proposals is a way to encourage Social Innovations projects on a specific territory.

Before launching an open and participative call for proposals, public actors should first pay attention to the collective building process of those. The idea is to ensure that the proposition made in the first place is coherent with the reality (crossing points of view on the identified needs), it is well understood (to avoid incoherent applications and loss of time), that social innovators can respond to it and access the fundings (criteria).

## Actions

### **Build collectively the calls for proposals:**

- 1.** Launch a call for expression of interest, with the outlines of the ideas and the broad objectives defined (why launch a cooperative call for proposal, how does it work, which kind of actors are looking for... ?). Many examples exist online, take a look at them!
- 2.** Build these cooperative calls for interest and the future calls for proposals with other funders actors: other public actors, or with private actors (company foundations for example) in order to encourage upstream cooperation in the identification of the territory's needs and build a multi-fundings call for proposals.
- 3.** Get together with the actors who showed their interest in the call for expression of interest, in order to work with them on the identified needs, the purpose of the call, the criteria...
- 4.** Encourage the actors to work together to answer the call for proposal with collaborative and cross-disciplinary projects (that can also become a criteria to select projects).

### **Launch open and participative calls for proposal:**

- 1.** Launch an open call for proposals on a territory, with broad criteria: so many ideas and innovative projects can emerge!
- 2.** Organise an open public presentation of the projects so the project leaders can present them publicly, discuss and debate with the audience (inhabitants, association, public or private actors...) to enrich and improve the projects or to merge similar ideas or initiatives
- 3.** Examine the projects with a cross-disciplinary team (financial feasibility, technical proposition, juridical status...) and select some of them
- 4.** Put the selected projects to the vote of the inhabitants (physical or online)
- 5.** Officialize the final selection of the projects and... let the projects get started!

### **When the call is launched:**

- 1.** Financially support the design and project development phases (incubator, agency development, dedicated organizations...)
- 2.** Value the time spent in responding to the call by supporting some of the



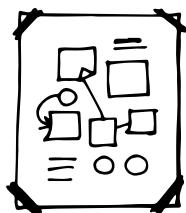
shortlisted candidates to give them the means to progress in the design and/or implementation of their projects up to the selection phase

**3.** Support not only the winners but also several candidates / projects by financing the design and project development phases of the non-selected projects

**4.** Include in the project analysis grid the consideration of multi-partner governance coordination

### Expected results

- Public, private and associative actors join forces with each other to create innovative projects.
- Criteria are adapted for Social Innovation projects so that project leaders do not struggle anymore to answer to "classical" calls for proposals
- The social innovative projects that emerge are more accurate and coherent with the needs of the territory and then directly benefit its inhabitants and the whole territory



### Recommendation 4:

**Systematize the criteria of societal impact and governance in classical innovation financing tools**

When it comes to mobilise fundings, the societal impact and governance criteria should be systematic for public actors to rely on, especially with classical innovation financing tools which so far are not taking those social criteria into account.

In France, numerous actors and mechanisms coexist, whose intervention logics are not always clear and coherent. Innovation support policies for enterprises are based on three types of mechanisms:

- Direct support schemes: grants, loans and equity participation
- Human capital development (ie: CIFRE system) and cooperation between actors (competitiveness clusters)
- Indirect tax incentives and reductions in social benefit charges: mainly through the Research Tax Credit (CIR in French, which alone accounts for 60% of the amounts), the Innovation Tax Credit (targeting SMEs) and the Young Innovative Company scheme.

Public intervention through policies supporting classical innovation has traditionally not been linked to the Sustainable Development Goals (SDGs).

The Regions (as is the State) are key actors in this intervention through the implementation of regional innovation strategies and regional economic development, innovation and internationalisation schemes (SRDEII in French) in consultation with the municipalities. The SRDEII integrates the priorities for social and solidarity economy.



Public intervention usually aims at encouraging private investment in R&D (in order to reach optimal levels), at developing cooperation between actors (by reducing barriers to technology transfer, for example), at increasing the economic spin-offs of public research (higher education establishments and research organisations), at promoting innovative entrepreneurship and to support the development of innovative companies.

The expected repercussions (measured in the evaluations of the various schemes) are mainly the development of competitiveness of French companies in the domestic or international market, the number of patents filed, and possibly job creation, but aim more rarely at improving the environmental or social impact.

## Challenges

Facing the importance and urgency of environmental and societal challenges, all economic and research actors should be encouraged to integrate these issues at the heart of their development strategy and their innovation and R&D projects.

As well as the movements of impact finance and socially responsible investment are shaking up the analytical grids of private funders, the public policies supporting classical innovation could get inspired by the existing Social Innovation analysis grids to question all the R&D and innovation projects they support.

## Actions

1. Integrate societal and environmental issues, both general and specific to the territory, into the development strategy
2. Integrate sectors that address those issues, into the innovation strategy, with sustainable objectives (renewable energies, circular economy, sustainable food, responsible consumption...)
3. Encourage economic actors in the territories to develop innovations that respond to targeted challenges and to social and environmental needs not covered
4. Encourage economic actors to develop innovations involving beneficiaries, users and other stakeholders
5. Include criteria/objectives of shared governance, co-responsibility in the application files

## Expected results

- Economic and research actors, including those that are not used to tackle social and environmental issues, integrate these issues at the heart of their strategy, innovation and R&D projects.
- Public policies are supporting classical innovation by getting inspired from Social Innovation criteria to evaluate innovative projects
- Sustainable Development Goals are taken into account when it comes to support or not a classical innovation project

## **Outlook France**

Nowadays in France, innovation is mainly considered as classical (in the technical way) and so are the fundings selection criteria regarding innovative projects. However, a lot of initiatives focused on Social Innovation are already emerging even if financial amounts involved are not comparable yet.

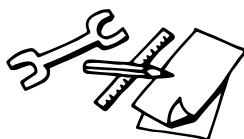
The following step for French public policies now is to know, understand and support those new models of innovation, whether it is supporting Social Innovation projects or including societal criteria in the selection of classical innovation projects when it comes to fundings.

Social innovators fundamentally need help from public policies to be able to disseminate their good practices to a large scale and tackle societal and environmental issues the world is facing today. The challenge is also to widen the ecosystem of Social Innovation and to take on board the traditional technological innovation players.

## **ITALY**

The following 4 recommendations have been identified after meeting (online and offline) internal and external experts with local stakeholders and partners already involved in Torino Social Impact, the local ecosystem for Social Innovation in Turin.

A focus on existing programmes, projects and activities already entirely, or at least partially developed, has been the starting point to come to these general recommendations that need real cooperation between private, public and third sector bodies. The recommendations start from good practice examples and local propositions that local experts and stakeholders that foster and implement the ideas and the actions based on Social Innovation could at the same time meet social needs already existing and increasing during this period of Covid-19 crisis. The pandemic impacted on economic, human and social capital with a rarefaction of relationships and a decrease of internal trust in the communities, with the further marginalization of the weaker categories. Social Innovation will be only one of the key factors for dealing with this situation, but surely this pandemic has highlighted some elements that are salient in order to be able to mitigate, counter and prevent similar situations.



### **Recommendation 1:**

**Develop new economic and labour policies and programmes based on social impact**

Monitoring, evaluation and impact measurement are the tools needed to demonstrate the concrete progress that can be achieved through Social Innovation projects, to promote a better understanding of what has been done and to improve governance models. Measuring social impact is a complex issue that



has shown limitations and critical areas for lack of alignment of approaches and methodologies, lack of specific skills and professionalism to ensure neutrality in the assessment process, for the unavailability of suitable measurement data.

Public policies have the task of filling this gap by stimulating the growth of the ecosystem through actions that:

- Promote the creation or development of entities with independent third party characteristics that act as an intermediary for measurement
- Provide tools for directing the participatory process of defining measurement standards and promote their dissemination, for example through the renewal of their procurement systems that include criteria for measuring social impact
- Promote the construction of databases adapted to the needs of impact measurement and invest in the open release of public data (with features of homogeneity, interoperability, standardisation)
- Promote public intervention on the theme of social inclusion, poverty and marginality - living emergency through Social Innovation actions

In Italy some experiences are now at work, and the City of Turin, following a call from the Social Innovation Fund promoted by the Presidency of the Council of Ministers, has decided to deal with housing emergencies using new policy tools. The national call was addressed to municipalities and metropolitan cities, for the selection of experimental projects of Social Innovation within a three-year programme, aimed at strengthening the capacity of public administrations to promote new models and approaches for the satisfaction of social needs, also with the involvement of private sector actors. Torino won the first selection phase, thus developing a project in partnership with local stakeholders, including the Chamber of Commerce, banks, private individuals and social enterprises. The funded project has been divided into three distinct phases and interventions lasting one year each, which included a feasibility study, experimentation and systematization, and replicability of the project.

**Homes4All** project was born from a simple observation: the paths of poverty very often begin with the loss of one's own home. In fact, with the loss of one's home begins a progressive worsening of the economic, social and psychological conditions of those affected, with very high costs for people, families and the whole community.

The project thus wanted to promote a new social housing service strategy through the identification of all properties, free or occupied, from both judicial procedures and other sources - unused apartments or ad hoc donations. In addition to this, the project provided for the intervention on the housing dynamics of tenants in order to promote the creation of participatory, collaborative and inclusive housing mechanisms.

The overall management of the properties - both those coming from private individuals and those purchased on the real estate market or from judicial auctions - was entrusted to a special purpose vehicle company, capable of providing services oriented in two directions: in the case of vacant property, it provided for



the renovation for resale or inclusion in the social rental channels; in the case of an occupied house, it was responsible for removing the debt situation of the occupant who would resume to pay a calm rent.

This model could guarantee the satisfaction of emerging social needs, according to the impact finance scheme. Through this project partnership, the PBR (paying by results) scheme and the impact finance instruments are followed. In fact, the architecture of the intervention envisaged a complex partnership structure with different roles and tasks:

- The Municipality: the beneficiary and facilitator of the project
- The service provider: the entity that implemented the solution identified with the feasibility study on an experimental basis
- The investor or private financer: the entity that acted as advisor to acquire the information necessary to finance the scalability of the experimentation
- The evaluator: the entity that supervised the system of measurement and evaluation of impacts
- Other partners: entities that entered into different phases of the project

## Challenges

- Intentionally producing positive social impacts
- Simplifying funding and investing in governance
- Develop new economic and labour policies based on social impact
- Develop a new model of entrepreneurship where social impact is the foundation of the enterprise strategy

## Actions

1. Stimulate local authorities to plan, innovate and use new tools
2. Experiment with innovative models for the public actor and capacity building of public administration personnel
3. Adopt the principle of circular subsidiarity to commit all actors in the territory (public administration, private economic and civil society actors) to take responsibility for contributing to the common good
4. Involve private capital to meet social needs

## Expected results

- Faster and more efficient reply to social needs
- Improved outreach and inclusion of vulnerable groups
- Create sustainable work
- Use public resources in an adequate way



## Recommendation 2:

### Build and sustain a supporting environment for Social Innovation

An ecosystem for Social Innovation is composed by all of the actors and factors that allow the development of Social Innovation within communities and that is realized and strengthened through the adoption of integrated and multidisciplinary approaches and careful policies of public and private entities. It must be able to provide the means and opportunities to the local community to bring out the most appropriate solutions to meet its needs. Public authorities must invest in the promotion of the Social Innovation ecosystem and to do this, the tools to support policy makers are:

- Resources: financial capital, human capital, infrastructure and networks to structure processes
- Services: understood as the set of solutions to address the social needs of territories
- Processes: set of activities necessary to build and define the solutions and modes of intervention

Through this combined use of elements, it is possible to support an ecosystem favourable to the development of Social Innovation policies and able to facilitate the emergence of innovative markets, to support and develop community participation networks in Social Innovation policy-making, to strengthen study and research activities for Social Innovation and impact measurement, to help strengthen legislation on these issues that is more flexible and appropriate.

Torino Social Impact (TSI) is the local transversal alliance of 100 subjects of the territory united now after Covid-19 crisis for a new model of inclusive development for the city, in the framework of the European debate for recovery, in which the social economy will play a key role on a par with more traditional industrial and economic ecosystems.

There are already some private and public interventions, also physical, with the objective of re-functionalization of dismissed buildings site in a peripheral urban areas creating places for innovation, transforming abandoned industrial buildings in a pole of innovation, capable of creating a critical mass that could increase the capacity of the local system to generate new entrepreneurship and attract investments in the territory. In Turin, the first experience where the property is public and the management mixed is [Open Incet](#), from the 2017. It is both a physical and a virtual space to foster the connection between ecosystems for innovation at local and international levels, aiming to become an intersection point between different realities, in which to develop a common language between public and private, between innovators and consolidated companies and increasing the potential of social and technological innovation of the territory.

In order to pursue these goals, public-private partnerships are needed and ne-



cessary with the objective to generate innovative ideas and solutions, applying multidisciplinary approaches, exchanging and contaminating social, economic and technological knowledge. A territory that builds and sustains communities for innovation (physical and not) raising the awareness on frontier issues related to the digital and technological world and Social Innovation.

## Challenges

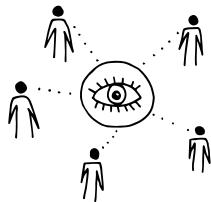
- Engaging and connecting stakeholders
- Simplifying funding and investing in governance
- Developing innovation centers rooted in the territory strengthening the community through ideas, skills and practices on the theme of work (co-working spaces, incubator, accelerators, open lab, training and research)

## Actions

1. Create places of innovation or collaborative spaces (physical and not) dedicated to new models of encounter, contamination, and co-design between the different actors of an innovation ecosystem (companies, non-profit organizations, public bodies, private citizens, etc).
2. Propose an innovative model through broad governance of those who know the dynamics and the local issues, of entities who carry an external vision, encourage contamination between different realities; ensure a wide range of skills and the provision of long networks, encouraging and implementing new forms of local development.
3. Build physical spaces in peripheral areas to experiment and develop technologies, services, and business models which at the same time benefit from the direct participation of citizens within a collaborative framework generating new solutions to community problems.
4. Identify and connect Social Innovation actors in sustaining the environment and focus on one or more supporting facilities to be engaged into the creation and functioning of the ecosystem (networks, desk sharing, incubators, accelerators).
5. Strengthening empowerment and internal capacities for the development and implementation of Social Innovation, mostly through knowledge sharing and capacity building, through training and education programmes.
6. Engage «secondary partners» of specific supporting environments, such as government representatives, institutional and business investors, mentors from different business and social fields.
7. Increase the collective value, using the same resources.

## Expected results

- New physical spaces created in building dismissed in peripheral areas
- Raise awareness of the territory on frontier issues related to the digital world and Social Innovation
- New innovative ideas and projects generated
- Knowledge and training skills increased



### Recommendation 3:

#### Support social entrepreneurship for increasing social inclusion

In the last EU funding programme period 2014-2020, some interventions on the City of Turin referring to the PON METRO intend to identify new areas of action and innovative projects relating to existing services to combat social exclusion and the progressive increase of hardship and poverty. Through this plan and ERDF, Torino intends to rethink and rationalize the methods of designing and providing services aimed at the most fragile sections of the population by building new methods of systematic interaction between public and private social actors, as well as the local community both during planning and management of interventions, promoting multidimensional and integrated interventions of active inclusion and experiences of community welfare and Social Innovation.

The persistence of the situation of economic and employment crisis in this period has been compounded by Covid-19 crisis with a progressive extension to previously not involved sections of the population, of the condition of precariousness, vulnerability, and real poverty. The simultaneous rooting of conditions marked by severe deprivation and social marginality, associated with demographic changes (aging, loneliness, immigration) are factors that have heavily affected the service system, highlighting the difficulties of sustainability but above all the inadequacy concerning the new needs of citizens. The complexity and heterogeneity of needs imply multidimensional and flexible response systems, characterized by extreme accessibility (physical and cultural), specific and new professional skills and competences able to approach in an integrated way the problems related to the processes of impoverishment, set of tools dedicated for the assessment of needs and the subsequent process of specialist accompanying and support, active participation of the beneficiaries of the interventions and local communities, development of new innovative and sustainable welfare models.

**Torino Social Factory** (TSF) project constitutes the most recent measure of the Innovation Department of the City of Turin to support Social Innovation projects promoted by the third sector, capable of including society and triggering urban regeneration processes in peripheral areas with high socio-economic criticality.

TSF launched to support the development of ideas of social entrepreneurship through an accompanying process and financial support to transform ideas into services, products, and solutions capable of creating economic and social value for the territory and the community. The Municipality, through this call, mainly promoted actions to generate positive impacts in terms of combating new poverty, social vulnerability, unemployment and promoting cultural integration and social cohesion. The project supports social enterprises in the acceleration phase, in change efforts, accompanying them along a path of capacity building in experimenting with new products and new business models, promoting innovation, both on the product side (new services, old services provided with



new methods), and on the side of processes (redefinition of the way of conceptualizing and dealing with the problems of the peripheries).

The shaping process towards the European Action Plan for the Social Economy that will be approved in the second half of 2021 will be crucial. It is a key document of a new vision of the economic system, a key tool to systematically integrate the social economy in the different socio-economic policies of the European Union, as well as in its actions to achieve the Sustainable Development Goals (SDGs). A plan in which third sector and social impact can play a transformative role and strengthen the capacity to react to crises. The Covid-19 crisis has highlighted the strong contribution of the social economy to the well-being of the population, proving to be a fundamental part of the European Protection Network and therefore a pillar of the socio-economic landscape of Europe. At the same time, however, the negative economic impact on businesses and social organizations has been strong and concrete actions are therefore necessary to safeguard this crucial part of the European entrepreneurial fabric, which must be considered a pillar of a new economy that brings social and environmental value.

## Challenges

- Simplifying funding and investing in governance
- Enabling and empowering
- Developing a new model of entrepreneurship where social impact is the foundation of the enterprise strategy
- Developing collaborative infrastructures that are widespread throughout the territory that promote participation in the search for solutions for the community's well-being

## Actions

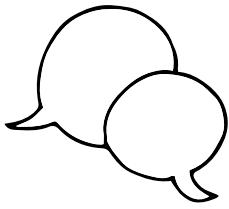
1. Use new EU Funds (ReactEurope and Next Generation EU) to launch an open call, the administration allows the construction of open paths that introduce a new concept of services in favour of the population (immigrants, women, self-employed workers), tailored to the real needs of the community
2. Use new EU Funds (ReactEurope and Next Generation EU) to sustain concretely social economy and social entrepreneurship
3. Transform interventions of inclusion, as generators of opportunities for participation and development of relational capital for a significant plurality of subjects
4. Sustain and support public / private partnerships for sharing responsibilities to achieve shared and innovative results
5. Redefine the role of the service offers in local network space, restoring value to a wider audience of economic and social actors

## Expected results

- Growth of the social economy sector
- Improvement of skills of social entrepreneurs



- Enhancement of the inclusion of vulnerable and marginalized groups in the labor market
- Mitigation of the negative effects of the Covid-19 crisis
- Strengthening of the response to unemployment (youth and not)



#### Recommendation 4:

##### Social cohesion as a driver of territorial development

Locally also Piedmont Region has recently promoted "[WE CARE - WEffare CAntiere REgionale](#)", a unitary strategy, co-financed by the European Social Fund and the European Regional Development Fund, for Social Innovation in Piedmont.

"We Care" operates on a regional level of integrated policies and involving all public and private actors, was to combine social policies, labour policies and economic development, thinking of social cohesion as a great opportunity for territorial development and growth as a challenge to be achieved through the reduction of social inequalities.

Operationally, the strategy had provided a set of different measures to support Social Innovation, which would be activated with special calls for proposals. The strategy was an expression of the work of an inter-departmental table that had involved the Department of Social, Family and Housing Policies, the Department of Education and Labour, the Department of Productive Activities, Innovation and Research and the Department of Youth Policies, Equal Opportunities, Civil Rights and Immigration. The preliminary study of the strategy was previously entrusted to a working group of about thirty experts on social policy, innovation and development. The group, based on the basis an analysis of national and regional socio-economic conditions and through the deepening of models and good practices in the field of Social Innovation and welfare, had proposed some themes of reflection around which to build the regional strategy: role of governance of the public subject and promotion of subsidiarity; experimentation of new possible ways of empowerment of the person through processes of Social Innovation; sustainability, innovative finance and good practices in the relationship between profit and non-profit; monitoring and measurement of the social impact of services in order to identify effective lines of evaluation; professional updating and training for operators and managers of services.

### Challenges

- Intentionally producing positive social impacts
- Simplifying funding and investing in governance
- Develop new economic and labour policies based on social impact
- Develop a new model of entrepreneurship where social impact is the foundation of the enterprise strategy
- Promote interventions in which the centrality is placed on the person and his/her network of relationships rather than the types of services he/she needs



- Realize a generative vision, where those who benefit from services must be placed in a position to establish relationships of reciprocity and co-responsibility with the services themselves and with other citizens
- Adopt the principle of circular subsidiarity in order to commit all the subjects of the territory (public administration, subjects of the economy and civil society) to assume the responsibility of contributing to the common good
- Favour proximity and domiciliary, i.e. the choice to recognize as a unifying focus the person as a whole to promote the emergence, development and enhancement of the potential of each person

## Actions

1. Create collaborative processes on the territories (districts of social cohesion)
2. Experiment of innovative services - corporate welfare, entrepreneurial initiatives with social impact
3. Experiment initiatives on the territories, understood as systemic actions
4. Activate similar new actions with special calls demonstrating the sustainability of pilot projects modelled in terms of replicability

## Expected results

- Improved inclusion of vulnerable and marginalized groups
- Mitigating negative effects of the Covid-19 crisis
- Strengthened response to unemployment (youth and not)

## Outlook Italy

The 4 recommendations are general and partially already followed in Italy with obviously local differences. Certain policy instruments will have greater impact on Social Innovation at specific points in the process. Recognition of the distinct phases of Social Innovation is central to understand which policy will be most suitable; that is, different policies are appropriate for the generation, selection, adoption, and institutionalization processes that any Social Innovation will need to undergo.

In our local context the actions proposed have been addressed for answering challenges with Social Innovation projects, and with important attention paid to their replicability and scalability. This is an essential condition to ensure that Social Innovation achieves the goal of a radical change of the system in a new relationship between public policies, private initiatives, and communities. Scalability, then transferred to the wider scale of the initiative and its achieved results is a decisive step towards increasing new resources, skills, and relationships to ensure that the successes achieved can be extended to new communities.

In the whole context the Covid-19 pandemic has radically changed the reference socio-economic context highlighting the importance of supporting resilient communities, the acceleration of the digital transition

(and therefore the need to increase skills in this sector) as drivers of sustainable development and the urgency of rethinking the distribution chain of goods and the importance of social and cultural infrastructure and public spaces as a place where the functions of community proximity and exchange of relations can be carried out.

## GERMANY

The land of Baden-Württemberg is amongst Germany's most innovative regions, with a diverse ecosystem of technology hubs, strong SMEs and start-ups. Also, with 12,3% of social enterprises located in this region, Baden-Württemberg comes in third on a national level.<sup>18</sup> However, despite a strength in the technological field and some best practice examples, Social Innovation is still in many cases a product of chance or particular involvement of certain actors.

A study on Social Innovation in Baden-Württemberg carried out by the Steinbeis-Europa-Zentrum, the Centre for Social Investment (CSI) of the University of Heidelberg and the Ministry for Labour, Economics and Housing Baden-Württemberg in 2018 examined the economic and technological relevance of Social Innovations in the region of Baden-Württemberg. The analysed Social Innovations in Baden-Württemberg mainly responded to societal challenges in six different fields of action: health (including ambient assisted living), sharing economy and makers community, consumer awareness, work integration and inclusion, competence sharing and cooperation of the private and public sector as well as improving living conditions in rural areas.

The study found that despite a multitude of initiatives that can be classified as Social Innovations, many societal challenges remain without satisfactory solutions. Whilst many initiatives are promising starting points to solving a social issue, most societal challenges have not been solved in its entirety. Thus, there is still a lot of potential for new solutions as well as for the further development of existing solutions. A second finding of the study was that suggestions for such Social Innovations are mostly made by civil society organisations, but ideas are often not further developed and therefore rarely reach commercialization. Only few economic actors are involved in Social Innovations, while most social initiatives by economic actors take place in the realm of corporate social responsibility strategies (CSR). Moreover, the market potential of Social Innovations is not well known as social acceptance still seems to be low. Synergies between actors from civil society and the business community remain mostly unexploited. Social innovators and companies remain isolated from each other and often cannot find suitable support, partners or investors.

However, the study also identified factors that were crucial for the success of Social Innovations in Baden-Württemberg, e.g. the cooperation of actors from different sectors who had not been cooperating before and a secure financial

<sup>18</sup> Social Entrepreneurship Netzwerk Deutschland e.V. (SEND), Deutscher Social Entrepreneurship Monitor 2019 (2019), <https://www.send-ev.de/uploads/DSEM2019.pdf>.

basis in the development and growth phases of the product or service. Effective cooperation of economic and social institutions, public awareness for certain social issues and customer acquisition when the Social Innovation has entered the market are also named as essential for the success of a Social Innovation.<sup>19</sup>

The following recommendations to support the identified success factors of Social Innovation in Baden-Württemberg have been developed in a multi-step approach involving stakeholders from different fields. A particular focus was put on the potential transferability of best practice examples from one level to another as well as from a Covid-19 to a post-pandemic context.



### Recommendation 1:

#### Strengthening social entrepreneurship from the ground up

The land of Baden-Württemberg as a highly innovative region has a variety of funding opportunities for innovative companies, especially targeted at start-ups. Different funding programmes are available to start-ups on a federal, regional and local level. Higher education institutions also offer a variety of support programmes, reaching from funding to consultation for potential founders.

With several support programmes for social start-ups and social enterprises in general – ranging from coworking spaces to consultancy and accelerator programmes – parts of Baden-Württemberg have a more developed social economy ecosystem than others. Major contact points for social entrepreneurship in Baden-Württemberg are located in Stuttgart and Freiburg. In Freiburg the “Grünhof” has to be mentioned as an important incubator for social entrepreneurship. Social Entrepreneurship BW – located in Stuttgart – is an important network and competence center for social entrepreneurship which aims to connect members, support with its expertise and raise awareness for social entrepreneurship and its issues in Baden-Württemberg. Social Impact Lab – also located in Stuttgart - develops products and services that secure the future viability and social equity in the region. The NGO provides expert start-up consultancy as well as a scope for co-working, networking and events and has won several awards (e.g. from the EU, the OECD and Federal Ministry of Economics and Energy). Despite pioneer activities in regions like Mannheim, Stuttgart or Freiburg, the land still faces the same basic challenges as the rest of Germany.

### Challenges

Social entrepreneurs still face very basic challenges, one being the relatively low awareness of social entrepreneurship as a concept in the general public and in politics which results in high administrative hurdles and low accessibility of funding programmes.

<sup>19</sup> Victoria Blessing, Sarah Mortimer, Ute Bongertz, Georg Mildenberger, Jonathan Loeffler, Neue Technologien und soziale Innovationen. Europäische Forschungsstudie über private und öffentliche Initiativen (Stuttgart: Steinbeis-Edition, 2018).

Social entrepreneurs have specific characteristics and therefore specific needs when it comes to consultancy, particularly start-ups consultancy. Impact and business models of social enterprises have to be interlinked, and societal impact being their key selling point has a great influence on marketing and communication strategies. For many social entrepreneurs, the complexity of the interlocking of business and impact model continues in other areas as well. In the German Social Entrepreneurship Monitor 2019, 16% of participants stated that they use two legal forms. This hybrid structure results from the interface between business and non-profit status, at which many social entrepreneurs operate. The non-existence of one distinct legal form for social enterprises in Germany and the above-mentioned mixture of commercial and non-profit status not only increases the internal administrative burden for social entrepreneurs, but also makes them less likely to access general funding programmes. 43% of social entrepreneurs stated that they didn't access any funding program, while more than 50% benefitted from funding programmes specifically designed for them. Only 5% benefitted from general funding programmes which underlines the difficulty social enterprises have to access those funds.<sup>20</sup> Many financing instruments focus on only one of the two legal forms and make fundraising within a hybrid structure more difficult. The often comparatively lower profit margins and slower growth curves (or the conscious intention to refrain from further growth beyond a certain point) not only prolong the time until the company can finance itself completely from its own resources, but may also make it more difficult to find seed capital. Some banks are still hesitant about the innovative approach of a foundation as well as the orientation towards the common good.<sup>21</sup>

## **Actions**

In order to improve the support for social enterprises in Baden-Württemberg, actions in three realms are proposed: on a political level, the framework conditions for social enterprises need to be enhanced, the funding programmes themselves should be tackled and the support services for social entrepreneurs have to be expanded.

### **a) Political framework conditions:**

- 1.** Elaboration of a regional strategy to support social enterprises, based on a regional analysis
- 2.** Creation of a "Social enterprise" category in the enterprise register or databank of the Baden-Württemberg Chamber of Commerce and Industry

### **b) Funding programmes:**

- 3.** Revision of existing funding programmes for start-ups and SMEs with regards to the openness to social enterprises: increase flexibility of conditions for beneficiaries, accepted legal forms, business models and performance indicators

<sup>20</sup> Social Entrepreneurship Netzwerk Deutschland e.V. (SEND), *Deutscher Social Entrepreneurship Monitor 2019* (2019), <https://www.send-ev.de/uploads/DSEM2019.pdf>.

<sup>21</sup> Social Entrepreneurship Netzwerk Deutschland e.V., Social Entrepreneurs effektiv fördern und unterstützen (August 2020), [https://www.send-ev.de/uploads/social\\_entrepreneurs\\_effektiv\\_unterstuetzen.pdf](https://www.send-ev.de/uploads/social_entrepreneurs_effektiv_unterstuetzen.pdf).



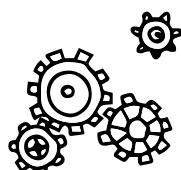
**4.** Expansion of existing and creation of new funding programmes targeted specifically at social enterprises and social start-ups, funded by regional or local authorities as well as by Higher Education Institutions

**c) Support services for social entrepreneurs:**

- 5.** Support of existing contact and information points for social entrepreneurs which offer consultancy and training for them
- 6.** Creation of specific contact points for social entrepreneurs at Higher Education Institutions
- 7.** Training of start-up coaches and funding consultants on the specific needs of social entrepreneurs and funding opportunities

### **Expected results**

- Improvement of framework conditions and regional political strategy for support of social enterprises
- Increased flexibility of general and start-up funding programmes by expanding the programme to social enterprises and thus better access to those programmes for social entrepreneurs
- Wider support for and broader offer of specific social entrepreneurship support programmes
- More information points for social entrepreneurs with targeted support and consultancy services, particularly for social entrepreneurs in a Higher Education context
- Increased awareness of social entrepreneurship, their specific characteristics, needs and funding opportunities amongst start-up coaches and funding consultants



### **Recommendation 2:**

#### **Local crowdfunding as alternative financing instruments for Social Innovation projects**

Crowdfunding is a relatively new concept that has become increasingly popular, in particular to support new companies or individuals to launch new products and help artists to implement projects in different artistic fields. For social enterprises, crowdfunding as fundraising is more common than for other companies, not only for financial reasons, but also to raise awareness of the organization and build a community of supporters. This model is increasingly promoted by local cooperative banks.<sup>22</sup>

However, it is also possible to fund other initiatives or social projects through crowdfunding that do not originate in (social) enterprises and therefore lack the organisational structure and means. Research indicates that a secure fi-

<sup>22</sup> Social Entrepreneurship Netzwerk Deutschland e.V., Social Entrepreneurs effektiv fördern und unterstützen (August 2020), [https://www.send-ev.de/uploads/social\\_entrepreneurs\\_effektiv\\_unterstuetzen.pdf](https://www.send-ev.de/uploads/social_entrepreneurs_effektiv_unterstuetzen.pdf)

nancial basis is particularly crucial to Social Innovation initiatives, from the start of the project throughout development and growth phases. Public-private partnerships to guarantee funding are regarded as a beneficial means. In crowdfunding, public authorities or private companies can also get involved and add additional support to successfully financed projects.

Besides internationally well-known crowdfunding platforms like kickstarter.com, there are a multitude of national and regional as well as topic-specific crowdfunding platforms in Germany, some of which have a focus on Social Innovation initiatives or social enterprises. [Startnext](#) is the biggest German crowdfunding platform which offers artists, creators, inventors or social entrepreneurs the opportunity to present their projects and set up a campaign. Certified with the B Corporation Certification<sup>23</sup>, Startnext focuses on sustainability and societal impact.

On a regional level, the platform [bw crowd](#) offers crowdfunding for social projects from Baden-Württemberg. For all projects reaching their support threshold on bw crowd, Baden-Württembergische Bank provides additional financing from a funding pot. [place2help Rhein-Main](#) offers an online platform which bundles crowdfunding projects from various platforms and makes them visible in the Rhein-Main region. Those projects meeting the criteria receive additional funding from a regional fund. Similar concepts have been carried out on a local level, often with additional funding provided by municipal utilities companies or private companies.

## Challenges

Ensuring funding of Social Innovation initiatives remains an issue, particularly in rural areas where the variety of actors potentially involved in financing is smaller than in urban areas. However, the need for innovative solutions for societal challenges is equally existent if not bigger in rural areas when all factors like rural depopulation and aging societies are taken into account. Particularly Social Innovation initiatives that do not originate from (social) enterprises have a financing disadvantage since they often don't qualify for traditional funding instruments due to alternative organisational forms, non-profit orientation or other reasons.

Crowdfunding seems to be well-established in the creative industry and in the start-up ecosystem, and is even on the rise amongst social enterprises. As a financing instrument, it is underdeveloped or less well-known for other kinds of initiatives as well as in a local context despite its innovativeness with regards to its participatory aspects and potential for public-private partnerships. Also, projects need a good social media marketing strategy in order to get the support they need which favours projects by established companies with existing marketing structures and means. For this reason, initiatives with a high potential for societal impact often receive lower interest.

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<sup>23</sup> <https://bcorporation.net/>



## Actions

1. Establish and/or extend crowdfunding for Social Innovations on a local level. This can be done by creating a new platform / initiative on a municipal / local level or by utilizing existing platforms.
2. Involve private companies / public authorities / associations to offer additional support to successful projects (additional funds, support in marketing etc.).
3. Engage citizens in the support and selection process, particularly by promoting the platform and local crowdfunding as an instrument in general. The Covid-19 crisis can serve as a starting point since it has raised the public's awareness of the need for innovative solutions to societal challenges and the willingness to support initiatives on a local level.
4. Train potential beneficiaries in navigating the crowdfunding instrument: how to effectively promote the project / initiative on the platform and market it on social media.

## Expected results

- Awareness for crowdfunding as a financing instrument for Social Innovation initiatives, particularly on a local level
- More crowdfunding opportunities on a regional and local level, particularly for Social Innovation projects outside the corporate world
- Involvement of different actors on a local level to support Social Innovation projects, establishing public-private partnerships for the financial support of crowdfunding
- Extended use of crowdfunding to finance Social Innovation project ideas
- Training opportunities for potential beneficiaries on marketing of Social Innovation project ideas



### Recommendation 3:

**Public procurement regulations to enable procurement of innovative solutions**

For Social Innovations to be sustainable and profitable, customer acquisition is crucial when the Social Innovation has entered the market. As in the EU, 14% of GDP is spent on the public procurement of goods and services, public bodies represent a significant group of potential customers that could at the same time foster Social Innovations addressing social issues. However, currently social enterprises in Germany make the most profit from selling their products and services to private individuals or other (for-profit) companies, while only about 40% of them sell to public authorities on a regional or local level.<sup>24</sup> Therefore, in public bodies purchasing products and services from social enterprises and thus supporting Social Innovations still lies great unexploited potential.

<sup>24</sup> Social Entrepreneurship Netzwerk Deutschland e.V. (SEND), Deutscher Social Entrepreneurship Monitor 2019 (2019), <https://www.send-ev.de/uploads/DSEM2019.pdf>.



Due to German federalism, public procurement is highly decentralised and not regulated by one specific legislation, public authorities and private tenderers rather have to observe a multitude of national, regional and European regulations. Public procurement law enables public procurement agencies since mid-2016 to include sustainability and other criteria in public procurement activities. For tenders above EU threshold values, the National German law on public procurement generally stipulates that besides price or costs, qualitative, environmental and social criteria can also be considered.<sup>25</sup> In several areas there are additional regulations under regional law which must be observed when awarding public contracts. Below the EU threshold values, the regional regulation on public procurement of the land Baden-Württemberg specifies that sustainable aspects shall be taken into account insofar as it is possible and appropriate at reasonable expense and insofar as there is a factual connection with the subject of the contract.<sup>26</sup> This includes the possibility of defining selection criteria with regards to social aspects (support of social integration and equality and consideration of the core labor standards) and environmental aspects (energy efficiency and climate protection, noise protection and air pollution control, special regulations for food and paper products).

When it comes to public procurement in practice however, public bodies have to navigate between a limited budget, sustainable and social criteria and a certain hesitance towards restricting the competition, which results in a discrepancy between legal possibilities and common practice in public procurement. Also, no statistical data is available yet on the sustainable criteria used in public procurement and exchange of experience between different public bodies is still based on personal contacts and good will. There have been information campaigns on sustainable procurement on a national level in the past and sustainable procurement is mentioned as one minor point in the sustainability strategy of the land Baden-Württemberg. However, being a transversal topic often overlooked, there still seems to be a low awareness of the potential impact that public procurement could have in supporting Social Innovation. Public procurement agencies should be encouraged to increase innovative and sustainable procurement for the benefit of social enterprises as well as the stimulation of innovative technologies, products and services in general.

## Actions

- 1.** Analyse social and sustainable criteria used in public procurement on a regional level
- 2.** Develop municipal or local sustainability strategies that include guidelines for sustainable procurement in order to raise awareness for the opportunities of public procurement and to shape common practice in public bodies
- 3.** Include the topic of sustainable procurement in the interministerial working group on public procurement and other interagency working groups on a regional level

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<sup>25</sup> § 58 VgV (Verordnung über die Vergabe öffentlicher Aufträge).

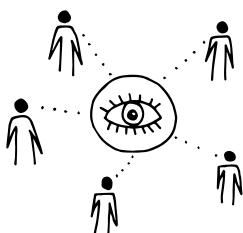
<sup>26</sup> § 10 Abs. 3 VwV Beschaffung (Verwaltungsvorschrift der Landesregierung über die Vergabe öffentlicher Aufträge).



4. Establish exchange of good practices between different authorities and agencies by creating interagency working groups on public procurement and the joint creation of guidelines
5. Train procurement managers / responsible staff within public authorities and sensitize them for the topic of fostering Social Innovation through procurement. They should raise awareness of the possibilities of public procurement and what public institutions can do to take their share.
6. Public authorities should also be encouraged to cooperate with external actors in order to make their services more innovative and potentially create new Social Innovations (an example could be a delivery service for certain documents by bike messengers which reduces the waiting time at public institutions for citizens, creates new staff capacities and contributes to a more sustainable infrastructure).

### Expected results

- Statistical data on sustainable and social procurement and best practice examples in order to analyse the state-of-the-art
- Rethinking of the procurement practice within public institutions through guidelines on local level, institutionalized exchange of good practices and raising of awareness about Social Innovation
- Higher awareness of the role public procurement can play in fostering Social Innovation and supporting social enterprises amongst procurement managers
- Enabling innovative and sustainable procurement from social enterprises and other sources, foster Social Innovations through public procurement



#### Recommendation 4:

**Combining competitions for Social Innovations on regional or local level with a participatory approach**

Social Innovations highly benefit from a close cooperation of factors from different fields in order to address the most pressing societal needs. However, research has shown that necessary networks and collaborations are often a product of chance more than controlled processes. Moreover, innovation support is mostly available through funding programmes for start-ups which are tied to certain business models and organisational forms, which in consequence excludes social initiatives by alternative organisational forms.

In the light of the Covid-19 crisis, the German Federal Government launched two initiatives supporting Social Innovation which could be transferred accordingly to a regional or municipal level addressing the respective societal challenges. In March 2020, the Federal Government organized a digital hackathon under the hashtag **#WIRVSVIRUS** (we vs virus) to develop solutions for the most pressing



issues of the pandemic situation. With over 28,000 participants proposing 1,500 ideas on how to combat the pandemic, the event was a big success and directly responded to a societal demand of finding solutions in a participatory way. Leading up to the event, the public could vote on the most pressing challenges and collect which societal problems the participants should focus on. An implementation programme in the wake of the hackathon supports the fast implementation and development of the ideas and is characterized by a close cooperation between public administration, civil society and economic actors.

A similar concept was organized on a regional level by the PARITÄTische Wohlfahrtsverband Landesverband Baden-Württemberg e.V., the regional branch of the Association of Voluntary Welfare Organizations, under the title "[CARE-hackCORONA](#)" (care hacks Corona). This digital hackathon for the social economy brought 300 experts together who worked on over 50 problems and developed 21 solutions.

In May 2020, the Federal Ministry for Education and Research launched the competition "[Gesellschaft der Ideen](#)" (society of ideas), a competition for Social Innovation ideas. Applicants could propose concepts for addressing societal challenges of which the best ideas are selected to be further developed in a 3-step programme. The competition was not limited to any organisational form or any specific topic, the general public was also involved in the selection of the best proposed ideas by the means of a public consultation. 30 projects were selected in a first step to further conceptualize their ideas within a period of 6 months. 10 projects will be chosen for a 2-years testing phase during which the ideas can be further developed and scientifically backed. In the last step, five project teams will get the opportunity to fully implement their projects, supported by scientific, technical and financial means.

## **Actions**

According to the best practice examples on the federal (and regional) level, Social Innovation competitions or challenge events could be initiated on a regional or local level. The local level is particularly suitable for a Social Innovation competition event since societal challenges are well-known to the inhabitants which increases the involvement of the public in the definition of the challenge, the participation in the competition itself as well as the selection of suitable solutions.

The concept of the competition should include a participatory approach, appropriate methods as well as a certain flexibility in order to support project ideas that are not eligible for "classical" innovation funding. Prior to the competition, the public should be able to propose and vote on the most pressing societal issues to be addressed by the competition in the respective area. Hackathon-style events or events using agile methods allow the cooperation of different actors and the development of new, innovative concepts and ideas. The best ideas should also be selected in a participatory approach and support should be made available to the winning solutions, through funding, mentoring programmes or alternative measures. Public-private partnerships, e.g. of public

authorities, associations, companies and civil society actors are also beneficial to this kind of initiative.



## Expected results

- Involvement of the public in the identification of social issues to be addressed by Social Innovation in a regional / local context
- Organisation and establishment of local or regional Social Innovation competitions, further support for winning ideas and initiatives through an implementation programme
- Better cooperation between different actors, especially between economic and social actors
- Funding and support of Social Innovation initiatives not depending on the organisational form of the initiative, also including projects that are not initiated by a company, that specifically answer societal challenges in a local context.

## Outlook Germany

Baden-Württemberg as one of Germany's most innovative regions should also take a pioneering role when it comes to supporting Social Innovation. Despite an already quite open understanding of what innovation can mean and promising individual best practice examples in the realm of Social Innovation, the region still has much unexploited potential with regards to finding solutions to societal challenges and supporting these initiatives.

The recommendations given above shall contribute to expanding the awareness about Social Innovation within the region, in particular in public authorities, and potentially foster new forms of cooperation to support Social Innovation initiatives. They were developed in a Covid-19 context in close cooperation with stakeholders from different areas and are thus in part inspired by some impressive and creative new approaches from public institutions as well as from normal citizens in the light of the Covid-19 pandemic.

It is important to stress that while strengthening the social entrepreneurship ecosystem is crucial for several reasons, it is not only through social enterprises that Social Innovation is promoted. Other forms of initiatives and projects can also produce significant social impact, which is why support for Social Innovation initiatives should entail a higher flexibility with regards to characteristics of potential beneficiaries. Like Social Innovation itself, support for Social Innovation initiatives should be of an innovative nature with the main goal of solving societal challenges.

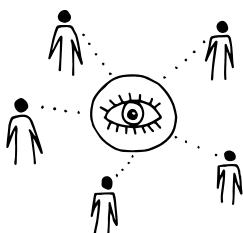


## SLOVENIA

We used a bottom-up approach and a democratic cooperation process to co-create and formulate new recommendations of public policies on a local and regional level to better support Social Innovation. We organized several workshops and consultations with local stakeholders, online as well as office (while it was still possible). During these workshops and discussions, we identified fields of interest that we wanted to explore and elaborate on further. That is when we also included external experts to the process, who helped us develop policy suggestions further.

The aim was to map and identify already working policies, as well as to find new solutions to our specific needs. On top of specific Slovene circumstances, there arose new challenges with Covid-19 situation (SME related challenges, schools and children, the elderly, healthcare system and the like). A genuine need for recommendations on how to faster and better implement ideas of Social Innovation by the public sector and society at large is very present.

We hope and wish innovation practices we describe below become a norm and Social Innovation will be the answer to global challenges. To make a clearer case, we list actions and expected results with each recommendation as best as we can. We link the recommendations to one of the three axes of cooperation that were developed in previous ASIS deliverables to connect the challenges to the Alpine Region.



### Recommendation 1:

**Social Innovation ecosystem mapping and monitoring - Statistical and analytical data collection of Social Innovation sector**

In Slovenia there is a lack of mapping and monitoring of actors in the Social Innovation sector on multiple levels – not only their existence, but also their activities, value creation, social impact achieved, as well as their economic stability and performance. Therefore, we believe this is a key measure for the development of the Social Innovation sector in Slovenia, as there is currently no possibility of determining baseline values, monitoring criteria, performance criteria, etc. for the Social Innovation sector, so that strategies, measures and evaluations can be designed appropriately. Once companies create value, this value needs to be measured, the same applies to the social impact they achieve – it needs to be measured. Key measure for the development of Social Innovation should be to identify potential areas / domains relevant for Social Innovation.

## Challenges

It is perceived that the concept of Social Innovation is not sufficiently recognizable in the public sector. Consequently, the importance of Social Innovation is not recognized in the general public as well, and at the same time not enough individual pre-existing Social Innovations are identified. It is widely accepted

that Social Innovation should be more promoted and interconnected with other sectors. To address these challenges, a set of indicators from existing bases shall be defined as relevant. It would contribute to higher quality of statistics and measurements.

## Actions

1. Coordinated monitoring of statistics for all groups of Social Innovation actors and the social economy sector
2. Prepared annual reports for all groups of subjects of Social Innovation and social economy
3. New records of social economy entities at the ministry level
4. Provision of staff with contractors (SURS – national statistical office and AJPES - Agency of the Republic of Slovenia for Public Legal Records and Related Services)
5. Designing the parameters of statistical and analytical monitoring of the sector
6. Carrying out pilot monitoring and analysis
7. Should be funded by the Ministry of Economy

## Expected results

- Comprehensive Social Innovation sector monitoring and measurement system
- New record system at the ministry level
- Defining appropriate indicators, relevant for measurement of Social Innovation



### Recommendation 2:

Create and implement a methodology to measure social impact

There is no methodology to measure social impact on national level. The preparation of the methodology is demanding, so it would be good to give priority to the consortium over the independent contractor, to require excellent references of the consortium, and to carry out the public procurement. This process needs sufficient time to be implemented.

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## Challenges

There have been attempts from certain local institutions and actors to bring to light a certain social impact measuring tool, e.g.:



- 1.** IRDO Institute in Maribor
- 2.** SocioLab in Ptuj
- 3.** Fund 05 in Kranj
- 4.** ETRI skupnost in Ljubljana

But there has been no national guideline or specific instruction or instrument in place to tackle this issue on national and cross sectoral level. The challenge is certainly funding and lack of political will to put in place such a tool, since the follow up would have to be an institutional change and support of the Social Innovation ecosystem on all levels. We have information from our experts that existing regulation on methodology framework shall be upgraded with concrete elements from this framework, but we have seen no movement on ministry level. Even more, there has been a more than two year gap in the formation of a special council for social economy in the Ministry of Economy.

## **Actions**

- 1.** Develop a methodology for measuring social impact
- 2.** Develop a system for training Social Innovation stakeholders and public administration officials on measuring social impact.
- 3.** Implement public procurement for the preparation of methodology for measuring social impact and the implementation of training workshops for Social Innovation stakeholders on measuring social impact
- 4.** Should be funded by the Ministry of Economy (min. 50.000 €)

## **Expected results**

- Methodology in place for measuring social impact
- Trained individuals (Social Innovation actors and public administration) for conducting Social Innovation measurements
- Yearly increase of the companies measuring social impact within their organizations by 5%



### **Recommendation 3:**

**Social Innovation academy for public actors – creating Social Innovation ambassadors in public administration and creation of competence centres for Social Innovation**

Due to the lack of trust in and respect for Social Innovation, it happens that the social environment in Slovenia in many cases does not accept but rather rejects social entrepreneurs as «strange», which is reflected not only on an informal level, but also e.g. in the case of smaller opportunities for obtaining funds from

banks (lending and other financial mechanisms), the unequal position of social enterprises in comparison to different organizational forms, etc.

It is crucial to be aware that with small procedural improvements with a minimal financial investment, we can make a significant contribution to better conditions for the development of social entrepreneurship and Social Innovation sectors. For example, the problem of the impossibility of entering cooperatives in the register of voluntary organizations, which could be eliminated by procedural improvement or minimal changes in the rules at the internal levels of ministry bodies.

One of the objectives of this measure is to improve and harmonize professional standards in the field of social entrepreneurship & Social Innovation. Development centres must prepare professional standards for their social entrepreneurship areas and submit them to the ministry as one of the project results.

Currently, the terms “social” and “societal innovation” are used as synonyms, which introduces confusion into the field, as the term “societal” traditionally has a different meaning and connotation than “social”. The need for harmonization is reflected in all areas and levels that come into contact with social / societal innovations, starting with the state level, legal regulations, etc.

There is a need to unify the definition of the concept of Social Innovation, because on the one hand it is “all Social Innovation” or wants to classify as Social Innovation also innovations that are not, and at the same time innovators who could perceive themselves as social innovators, do not perceive this, as the concept of Social Innovation is insufficiently recognizable. We believe involved institutions should be: all ministries, SURS (Statistical Office of the Republic of Slovenia), AJPES (Agency of the Republic of Slovenia for Public Legal Records and Related Services), UMAR (Institute for macroeconomic Analysis and Development), administrative units (associations for registration of associations and others), SPIRIT Slovenia (Public Agency for Entrepreneurship, Internationalization, Foreign Investments and Technology), SPS (Slovene Enterprise Fund), SRRS (Slovenian Regional Development Fund), associations of municipalities and urban municipalities, ESS (Employment Service of Slovenia), Centers for Social Work, Regional development agencies and other social entrepreneurship stakeholders in the public sector.

## Challenges

The most pressing current challenges, arising directly from the problems and addressing directly the needs described above, have been summarized in two sets:

- 1. How to increase the visibility of Social Innovation?**
- 2. How to combine knowledge to achieve critical mass for the implementation and breakthrough of Social Innovation?**

The first part covers the issues of recognizing that we create Social Innovations, through harmonization of terminology, unification of concepts, increasing the visibility of concepts and existing good practices, as well as establishing dividing



lines between social and other innovations, which should be subject to subsequent systematic and meaningful consideration.

To answer the second question, we believe there is a need to connect different actors, to create a cross-border network and to systematically connect knowledge and experience to make it available to everyone, without every innovator or the actor himself exploring available resources. We can do that by ensuring harmonization of terminology, establishing mechanisms for Social Innovation visibility and developing a strategy for connecting Social Innovation, knowledge and competencies.

## Actions

- 1.** Informing stakeholders in the public sector about Social Innovation
- 2.** Motivating public sector stakeholders to contribute to improving the conditions for Social Innovation development
- 3.** Procedural improvements for social entrepreneurship entities working on Social Innovation projects and initiatives
- 4.** Preparation of information materials
- 5.** Implementation of information visits, meetings, trainings
- 6.** Collecting identified possible processes and procedural improvements for Social Innovation stakeholders
- 7.** Should be funded by ERDF or Government funded

## Expected results

- Establish a competence center for Social Innovation on national level.
- 10 training sessions conducted (Social Innovation academy for public actors)
- 200 informed individuals in the public sector – so called Social Innovation ambassadors
- Additional informed individuals in the financial and economy sector, research and education institutions, business support institutions
- Digital inclusion, digital competences, digital literacy, decentralized digital network platform



### Recommendation 4:

**Building and development of supporting environment for social entrepreneurship start-ups**

There is a lack of support organizations that deal with social entrepreneurship initiatives and start-ups in Slovenia. Very few supporting institutions and incubators are focused on this sector. No national consortium to guide and strategize the ecosystem or to support social entrepreneurship with technical support and other competences. There is a lack of funding options for social entrepreneurship initiatives and start-ups on local, regional, and national levels.



There is currently no social entrepreneurship system support. Representatives of the support environment are unconnected to each other and cannot provide comprehensive support. It would be necessary to identify existing holders of knowledge and skills (individuals, NGOs, social enterprises, creatives, craftsmen...), which would be included in the support environment and especially in the knowledge spaces. «Spaces» of knowledge should be built from the bottom up - not physical spaces, especially communities. Communities must not remain closed, but there is a need to connect them across their own borders and to change them into movements and initiatives.

## Challenges

- Lack of supportive environment for social enterprises
- Limited access to resources (one-off calls)
- When there are tenders, it is difficult to compete or apply for the tender and be successful
- The conditions of the tenders are not in favor of smaller companies, there are no appropriate tenders to support social enterprises, start-up entrepreneurs
- In the first phase of a company's development, repayment is not an appropriate mechanism
- Some municipalities offer their premises with a rental subsidy
- The challenge: to offer an appropriate supportive environment and financial support for social enterprises and to support the development of Social Innovation

## Actions

1. Networking and cooperation of individuals and organizations with the aim of developing Social Innovations and creating social entrepreneurial ideas and solutions through workshops, events, discussions aimed at creating new solutions and responses to the challenges we face in local environments
  2. Building and strengthening competencies for starting start-ups of social entrepreneurial enterprises and their employees - development and organization of appropriate education and training for social entrepreneurship, professional counseling, coaching, and mentoring for the start-up, operation, and growth of social enterprises
  3. Development of financial schemes and assistance in accessing financial resources
  4. Administrative-technical and marketing support and other services
  5. Development of competencies of support organizations
  6. Meetings and networking
  7. Transfer of good practices and sharing of common issues
  8. Provide technical support to start-ups and incorporation of Social Innovation initiatives; strengthen professional standards in the Social Innovation sector (training of experts)
- Should be funded by ERDF or Government funded



## Expected results

- Support social entrepreneurship entities and Social Innovation initiatives  
Active professional support programs
- An operating national network in the social entrepreneurship sector
- Involvement in international networks
- Qualified social entrepreneurship and Social Innovation experts

### Outlook Slovenia

There is a long way to go, but we have great neighbours and are aware of good practice examples from abroad that we can implement ourselves. In general, weak political will to implement measures and policies to strengthen Social Innovation can be noted. On the other hand, we do have a very strong ICT and technology ecosystems as well as business incubators and technology park network that we can use as resources or support in building up the Social Innovation support ecosystem. Regional development agencies are local administration support organizations that will need to be involved in the process of building up a Social Innovation ecosystem. For this reason, the formulated recommendations you read about above refer to the development and maintenance of networks, capacity building and the creation of awareness to increase acceptance in various stakeholder groups.

## Conclusion

This chapter presents conclusions from workshops and discussions that each consortium partner conducted in its respective territory. We attempt to suggest public policies, instruments and tools that lead to the expected results as described and therefore have a positive impact on the social and economic challenges we identified in each specific region (country). For each of the identified challenges we believe the main and common issue that needs to be tackled first is a better developed Social Innovation ecosystem that uses a new vision of innovation (Social Innovation).

We can observe different circumstances in each project partner's respective Alpine Region, which results in recommendations that are quite specific for each of them. Certain policy instruments will have greater impact on Social Innovation at specific points in the process. Recognition of the distinct phases of Social Innovation is central to understanding which policy will be most suitable; that is, different policies are appropriate for the generation, selection, adoption, and institutionalization processes that any Social Innovation will need to undergo.



Scalability and transferability are the processes we would stress to any reader of this document. Find motivation or inspiration from this document to implement a similar policy in your area of work. Social innovators are in need for supporting public policies to be able to disseminate their good practices to a large scale and tackle societal and environmental issues the world is facing today. Another challenge is to also widen the ecosystem of Social Innovation and to engage traditional technological innovation players.

The Covid-19 pandemic has radically changed the reference socio-economic context, highlighting the importance of supporting resilient communities and the acceleration of digital transition (and therefore the need to increase skills in this sector) as drivers of sustainable development. It also emphasizes the urgency of rethinking the distribution chain of goods and the importance of social and cultural infrastructures and public spaces as places where the functions of community proximity and exchange of relations can be carried out.

In general, an increased political will to implement measures and policies to strengthen Social Innovation can be noted. Nonetheless, especially in the local context, increased strategic support is needed to create beneficial conditions in which a further development of the concept can take place and socially innovative projects, initiatives and business endeavors can strive.



### 3.3 A shared and transnational Social Innovation strategy for Alpine Space regions

#### Three transnational public policies

##### Introduction

Global challenges identified for the alpine space region stress the need of adequate policies focusing on growth, sustainable development, and well-being.

Social Innovation, in the last years, has provided solutions and tools to facilitate the relationship among different stakeholders on shared goals, trying to improve living conditions in different local contexts. The creation of hybrid networks composed of different stakeholders (citizens, NGOs, informal organizations, academics, business sector, public administration) is a means to define new and common solutions to respond to social and environmental issues.

New forms of coordination and collaboration have been implemented: integrated bottom-up and participatory (or community-led) approach rather than a more traditional top-down approach.

**Based on the analysis of information provided by ASIS partners, the “systemic conditions” that can increase the success factors of Social Innovation development are:**

- Develop strong governance, multi-stakeholder and participative activities based on co-design
- Involve a variety and diversity of stakeholders
- Strengthen will, consensus, political support to design and carry out Social Innovation programs
- Encourage highly skilled staff, with motivation and passion
- Build partnership based on the culture of dialogue
- Increase training of the staff to Social Innovation
- Develop Social Innovation process as multi-staged process (the 6 phases model<sup>27</sup>)
- Promote the empowerment of local communities and key actors of the process
- Integrate Social Innovation into traditional businesses
- Introduction of advanced technologies to strengthen Social Innovation
- Create tools for monitoring and evaluating social impact

The availability of internal government funding for public sectoral innovation differs in the Alpine Space due, in part, to different financial and budgetary

<sup>27</sup> Mulgan 2010, The Open Book of Social Innovation



situations but also considering some attitude towards funding innovation and organizational barriers within national administrations that make it difficult to allocate adequate resources for innovation projects.

On 10th of November 2020, an agreement was reached between the European Parliament and EU countries in the Council on the next long-term EU budget and NextGenerationEU. This agreement will reinforce specific programs under the long-term budget for 2021-2027 by a total of € 15 billion. More than 50 % of the amount will support modernization through: research and innovation (Horizon Europe); fair climate and digital transitions (Just Transition Fund and the Digital Europe Program); preparedness, recovery and resilience (Recovery and Resilience Facility, rescEU and a new health program, EU4 Health)<sup>28</sup>.

## Process

In the process of developing the 3 global recommendations, consortium partners held numerous online meetings and email exchanges. On top of this, each partner has had intensive cooperation with local Social Innovation stakeholders to better understand their needs and gather their suggestions to better support Social Innovation through public action.

As the first step in the process each partner developed local policy recommendations. Second step was for the consortium to meet and analyze the similarities as well as to prioritize the needs of the Alpine Space. We created a list of recommendations and actions and came up with 7 common policy recommendations:

Common Recommendations	Short Synthesis
<b>1.</b> Promote innovative grants and funding opportunities for Social Innovation	Develop collaborative infrastructures to increase innovative funding schemes. Launch cooperative, participatory and cross-disciplinary calls for proposals. Adapt regional and economic promotion and development.
<b>2.</b> Develop social impact measurements	Create social impact measurement methodology. Implement these measurements in funded projects and in public policies in general. (Systemize the criteria for social impact and classical innovation financing tools.)
<b>3.</b> Support social entrepreneurship ecosystem	Having specific actions toward social entrepreneurs to support them in the emergence and development of their project.

<sup>28</sup> [https://www.alpine-space.eu/projects/asis/deliverables/wp4/d.t4.1.1\\_report-on-social-innovation-fundings](https://www.alpine-space.eu/projects/asis/deliverables/wp4/d.t4.1.1_report-on-social-innovation-fundings)

<b>4.</b> Use public procurement as a leverage for Social Innovation	Enable innovative and sustainable procurement and foster Social Innovation through public procurement. Establish criteria for public procurement that includes a focus on Social Innovation.
<b>5.</b> Build a shared knowledge space and gather common data on Social Innovation	Conduct statistical and analytical data collection. Carry out a shared diagnosis of the unmet social and environmental needs. Share this information with the private and public sector.
<b>6.</b> Build a supporting environment for Social Innovation and raise awareness on Social Innovation	Develop and establish innovation centers (Social Innovation competence / development centers) to strengthen the Social Innovation community through coworking spaces, incubators, open labs, accelerators (training programmes)... Places to facilitate cooperation on innovation projects. Support Social Innovation projects in vulnerable areas. Connect the social entrepreneurship ecosystem with other actors.
<b>7.</b> Integrate Social Innovation approach on public action and innovate within public institutions	Institutionalized linking of public and private networks. Facilitate socially innovative cooperation models between public and private actors. A network of Social Innovation ambassadors within public institutions. Integrate Social Innovation approach in public action. (Social Innovation competitions). Strengthening cooperation between public and private actors to create networks and new ways of collaboration.

In a wish to be as specific as possible and to include the recommendations that would fit the transnational level, we selected 3 that most fit this description. We elaborate on them in the below pages.



## Global recommendations

The three chosen recommendations and their short synthesis as described below is the basis for our ongoing process of creating the logical framework for implementation of ASIS policies and instruments to support Social Innovation.

Recommendations	Short Synthesis
<b>Promote innovative grants and funding opportunities for Social Innovation</b>	Develop collaborative infrastructures to increase innovative funding schemes. Launch cooperative, participatory and cross-disciplinary calls for proposals. Adapt regional and economic promotion and development.
<b>Support the social entrepreneurship ecosystem</b>	Having specific actions toward social entrepreneurs to support them in the emergence and development of their project.
<b>Integrate Social Innovation approach in public action</b>	Institutionalized linking of public and private networks. A network of Social Innovation ambassadors within public institutions. Integrate Social Innovation approach in public action. (Social Innovation competitions). Strengthening cooperation between public and private actors to create networks and new ways of collaboration.

Consortium partners have created groups of individuals from partner organizations and have created a draft logical framework for each of the policy recommendations.

We then organized transnational workshops with international experts to make each logical framework more relevant. At this point we would like to thank all the external experts that have been willing to assist us in creating the below logical frameworks (in alphabetical order):

*Philipp Aigner-Evangelisti, Austria; Fabrizio Barbiero, Italy; Alexander Bernhard, Germany; Dr. Victoria Blessing, Germany; Cyril Kretzschmar, France; Michael Kriegel, Germany; Tadej Slapnik, Slovenia; Primož Šporar, Slovenija; Stéphane Vincent, France.*



## Global Recommendation 1:

Promote innovative grants and funding opportunities for Social Innovation

### 1) Current situation / Challenges

In the course of the project a thorough review of challenges the Alpine Space is confronted with has been carried out based on a comprehensive process that includes literature research as well as interviews and surveys of the views of stakeholders and experts (for more information see results of ASIS WPT2). Based on these results, strength-weakness analyzes were prepared both for the individual partner regions as well as for the project area as a whole, in order to gain an informed overview of potentials such as opportunities and threats. The outcome of this process with regard to the topic «grants and funding», shows the following current challenges:

- Lack of financing/funding possibilities for Social Innovation projects/initiatives
- Lack of transparency and usability of available financing/funding possibilities
- Lack of flexibility of available funding programs, which contradicts the fundamental characteristic of change that underlies the concept of innovation.
- Lack of awareness of the benefits and potentials of socially innovative projects/initiatives.
- Need for tools and instruments to make sensible and transparent decisions regarding financing/funding.
- Rigid funding frameworks that are based on national borders and do not consider actual realities such as the need for cross-regional and cross-national Social Innovation efforts and interlinking of such

In summary, there is a need for strengthened cooperation both within countries and transnationally in the Alpine Space to create more flexible and transparent funding possibilities, which will further promote Social Innovation. However, this requires the development of indicators as a basis for tools and instruments for the identification and evaluation of Social Innovation, as well as the networking of funding institutions and programs, and finally a revision of existing programs to make them more user-friendly and accessible to a larger population. Lastly, it is important to take measures to increase awareness of Social Innovation and its potential, both among the general public and, especially, among funding agencies.

### 2. Objectives

As a result, the following objectives were formulated, which would be aimed at by implementing the recommendations:

- Support Social Innovation through dedicated funding programs
- Include Social Innovation as topic into funding programs



- Develop and support alternative, innovative and cooperative funding schemes targeting Social Innovation initiatives (cooperative, participatory and cross-disciplinary calls)
- Allow funding of alternative Social Innovation initiatives
- Restructure funding landscape towards a more inclusive and sustainable Social Innovation support
- Increase transparency of funding opportunities, therefore improving access to funding and removing hurdles
- Raise awareness for Social Innovation within funding entities/program creating bodies

### **3. Measures and actions**

#### **Increasing applicability of Social Innovation through basis of common understanding**

- Define Social Innovation and indicators for Social Innovation on a transnational level (possibility of using ASIS outputs such as the ASIS software), involve all stakeholders from different sectors in all processes
- Define key societal challenges on a regional and transnational level in order to discover potential for synergies
- Create incentives for public and private bodies to support Social Innovation
- Development and use of decision-making tools for funding bodies on transnational level
- Communicate Social Innovation as a cross-cutting topic that does not have to be viewed separately from other areas, but can complement them in a beneficial way, socially as well as economically

#### **Fostering exchange and collaboration**

- Creation and use of platform for the exchange between funding bodies (e.g. transnational working groups, online exchange platform, transnational trainings etc.)
- Creation and use of platform for the exchange between potential beneficiaries, facilitating communication and networking to foster future collaborations
- Creating mentoring partnerships between emerging socially innovative initiatives and those that are already successfully operating
- Create synergies between venture world and Social Innovation ecosystem by emulating risk investment structures, establishing new partnerships and utilizing them as experiments to uncover potential, formulate future strategies, and inspire unconventional ideas

#### **Improve and extend funding landscape for Social Innovation**

- Analyze and map funding landscape on transnational level to uncover potential for synergies and alternative cooperation opportunities
- Create legal and administrative framework to facilitate cross-border funding



## schemes and initiatives for Social Innovation

- Create, improve and combine funding programs for Social Innovation (access to a wider range of beneficiaries, broader topics, less bureaucracy...)
- Explore and launch alternative funding for Social Innovation (e.g. competitions for Social Innovation, crowdfunding, social impact bonds...)
- Utilizing good practice examples from other contexts to provide more visibility to ideas with concrete actions
- Create corporate-friendly funding conditions, inclusive of private investors, to encourage partnerships

## Trainings and information about funding opportunities for different target groups

- Train the trainer: offer and organize trainings about Social Innovation funding opportunities for consultants/public bodies, also on a transnational level
- Develop training programs for social innovators (on funding opportunities and how to successfully make use of them)
- Launch low-threshold information campaign about Social Innovation and Social Innovation funding opportunities for potential beneficiaries or future applicants, combine regional campaigns

## 4. Expected results

- Inclusion of Social Innovation in calls and tenders: specific call for Social Innovation, Social Innovation as a transversal topic
- More projects/initiatives funded in the realm of Social Innovation, funding and support for a wider range of topics and beneficiaries
- Better understanding of Social Innovation, its benefits and potential assessment tools in public authorities/funding bodies
- Wider awareness of Social Innovation, its potential and support opportunities in the civil society (potential social innovators)
- More knowledge about Social Innovation and funding opportunities for Social Innovation initiatives in agencies or institutions offering funding consultancy
- More guidance for social innovators and potential funding beneficiaries with regards to funding opportunities and navigating funding application processes
- Synergies between different funding bodies or regions (exchange of best practices, establishment of joint funding programs, creation of alternative financing models)

## 5. Possible indicators

### • Quantitative:

- Number of Social Innovation projects funded
- Number of programs or tenders with a specific focus on Social Innovation
- Number of programs including Social Innovation as transversal topic



- Number of project proposals applying for funding in the realm of Social Innovation
- Number of information and communication services about funding opportunities for Social Innovation (institutions, channels)
- Number of funding consultancy offers
- Number of trainings for consultants
- Number of cooperation between funding bodies for programs
- Alternative funding mechanisms launched and used to support Social Innovation initiatives (e.g. crowdfunding, Social Innovation challenges, social impact bonds....)
- Number of Social Innovation projects and initiatives that are marketed/actively promoted

- **Qualitative:**

- Satisfaction of funding applicants (transparency of opportunities, easy access to and simplicity of navigating the funding system, quality of consultancy)
- Satisfaction of funding bodies (simplicity of navigating and evaluation of proposals)
- Development and definition of Social Innovation indicators for funding programs
- Increased innovation potential



#### **“Global Recommendation 2”:**

**Support social entrepreneurship ecosystem**

### **1) Current situation / Challenges**

Social entrepreneurs aim at combining entrepreneurial thinking with the creation of social added value through their activities and do not seek to maximize profits as their sole business goal.

ASIS selected the following definition for a **social enterprise** “an operator in the social economy whose main objective is to have a social impact rather than make a profit for their owners or shareholders. It operates by providing goods and services for the market in an entrepreneurial and innovative fashion and uses its profits primarily to achieve social objectives. It is managed in an open and responsible manner and, in particular, involves employees, consumers and stakeholders affected by its commercial activities.” (European Commission, 2011). There is a multiplicity of legal forms and statuses in the alpine space region; social enterprises can be both non-profit and for-profit models.

**As seen in the previous ASIS work packages, social entrepreneurs can be a real source of Social Innovation. Therefore, this second recommendation focuses on how to foster the social entrepreneurship ecosystem.**

Social entrepreneurs, “see new patterns and possibilities for innovation and are willing to bring these new ways of doing things to fruition even when established organizations are unwilling to try them. And enterprises are important because they deliver innovation. But ultimately, innovation is what creates social value. Innovation can emerge in places and from people outside of the scope of social entrepreneurship and social enterprise. In particular, large, established non-profits, businesses, and even governments are producing Social Innovations.”<sup>29</sup>

The European Commission appears also to be very engaged in this area, by expressing willingness to contribute to the creation of a favorable environment for the development of social business in Europe, and of the social economy at large. Social entrepreneurship seems to be one of the most considered avenues and – potentially – most effective ways for Social Innovation to offer solutions to the most pressing social challenges. But it is definitely not the only way. From the point of view of the European Commission and, therefore, EU policy, social enterprises contribute to social cohesion, employment and the reduction of inequalities, which are one of the main goals of the EU (i.e. Europe 2020 Strategy). In its view, social enterprises seek to serve the community’s interest (social, societal, environmental objectives) rather than profit maximization.

The European Commission has announced a European Action Plan for the Social Economy which will be launched in autumn 2021. In this document we hope to find some answers to the **challenges** we found in Alpine region in SE ecosystem (considering some countries in the Alpine region might have a better evolved ecosystem than others - France, Italy, Austria, Germany, Slovenia):

- Insufficient skills, knowledge, awareness of social entrepreneurship actors. Community organizations typically have low financial and management expertise and submit incomplete business plans.
- Lack of culture. Insufficient specific policies to foster social entrepreneurship.
- Insufficient funding (public and private). SE start-ups face major obstacles in accessing capital.
- Lack of discussion, recognition, cooperation between civil society and public institutions – conflict of interest.
- Insufficient indicators, models of how to measure social impact.
- Low awareness of SE issues, new concepts of public policies to face new societal challenges.
- Fragmentation of public administration, complexification, bureaucratization.

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<sup>29</sup> [https://ssir.org/articles/entry/rediscovering\\_social\\_innovation](https://ssir.org/articles/entry/rediscovering_social_innovation)



## 2) Objectives

Following local and transnational discussions with stakeholders and experts, the following objectives were formulated, which would be aimed at by implementing the recommendations:

- Encourage the launch of new social businesses and more specifically to face the challenges identified in the alpine space region: local community development in rural and mountain areas, regeneration process in urban areas, employment and inclusion of vulnerable groups, support elderly, climate change ...
- Empower citizens and communities to develop initiatives with the potential to develop social enterprises
- Increase the links between the traditional business ecosystem and the Social Innovation ecosystems (social and solidarity economy or social business networks for example)
- Facilitate the upscaling of social businesses created and their development on a transnational scale (number of territories and beneficiaries concerned)
- Strengthen existing social enterprises by encouraging the development of new products and additional employment, by promoting the democratic organization of social enterprises
- Develop financial schemes and assistance in accessing financial resources for social enterprises
- Simplify administrative support for social enterprises
- Develop tools for social entrepreneurs to increase beneficiaries' involvement and collective governance skills (individual initiative vs social collaborative solutions)

## 3) Measures and actions

**Give opportunity to citizens to collectively experiment and transform ideas into projects:**

- Establish creative (temporary or permanent) spaces rooted in the territory for citizens, enabling them to develop their innovative ideas and potentially create a social enterprise or participate in a social enterprise.
- Develop the citizens' capacity to build innovation solutions to community problems
- Provide a participatory maker space in a community in which people can come together to work on projects they would normally not have the tools/ space/ network for. Fab Labs (fabrication laboratories) are a concept of open workshops which make modern and digital production methods like 3D printing, laser cutting or milling machines accessible to the public.
- Strengthen the community through ideas, skills and practices dedicated to new models of networking, spreading awareness, and co-design between the different actors of an innovation ecosystem (companies, non-profit organizations, public bodies, private citizens, etc.)



**Support - social hubs or social incubators** to support social entrepreneurs from the idea to the business development with:

- Knowledge and tools to help improve the technical and economic-financial feasibility of the project: training on social added value, business models and business plan ...
- Individual advice and follow-up (experts, coaches, mentors)
- Network access: partners, inspiring entrepreneurs, investors
- Make sure each step is covered by a structure to help social entrepreneurs along the way: from the idea to the launch - but also for development and consolidation - and scaling-up phase

**How:**

- a. finance existing hubs on the long term in coordination with public and private actors,
- b. measure impact of intermediaries' action (integrate specific quantitative and qualitative indicators)

**Encourage networks and knowledge sharing among social enterprises hubs at national and international level:**

- Support establishing connections among national and international networks and encourage social enterprises – particularly those interested in pursuing transnational operations – to participate in these networks.
- Allow long-term and sustainable network facilitation online and offline networking and peer to peer best practice sharing

**Develop communication actions toward the traditional entrepreneurship ecosystem** (accelerators, incubators, chamber of commerce, development agencies...):

- **Ambitious training programs targeting the:**
  - a. Sectoral social and environmental challenges at local and global scale
  - b. Social Innovation specificities (governance, impact measurement, hybrid business models...)
  - c. Detection of Social Innovation potential
- **Develop a network of Social Innovation ambassadors:** Within each sectoral agency or business support organization, identify and train personnel to social entrepreneurship and Social Innovation. Transformation of existing business models and more human centered work processes. This can be achieved with the support of digitalization and advanced technologies.

**Play an active role in social entrepreneurship projects as a public actor:**

- Share data and knowledge (**diagnosis on the societal needs**)
- Identify target areas to launch the products or services
- Facilitate access to the administration
- Give qualitative feedback on the projects at every step, promote the solutions
- Become an investor/shareholder when relevant
- Support whenever it's possible rather than discourage Social Innovations



that are by nature “out of the box”.

(For more information see Global recommendation n°3 on page 83 of this document.)

## 4) Expected results

**Give opportunity to citizens to collectively experiment and transform ideas into projects:**

- Healthier and more successful social enterprises that create positive results (social impact) for society.
- Increase in citizen involvement in SE initiatives.
- More cooperation between ‘regular’ and social enterprises.
- Social businesses with longer life span and stable growth.
- Increase in employment in social enterprises.
- Increase funding of social enterprises (plus, new/innovative funding mechanisms).
- Better visibility of social entrepreneurship.
- Better systemic support for social economy actors (easier administration processes).

## 5) Possible indicators

**Quantitative:**

- Number of ideas submitted, or new projects presented submitted by citizen groups
- Number of different actors' part of projects submitted
- Number of social incubators part of an international network
- Number of social business created
- Rate of social enterprises existing after 3 years - 5 years - 8 years
- Number of people directly employed by the social enterprises helped
- Number of specific programs created to support social entrepreneurs
- Number of professionals trained to Social Innovation in traditional entrepreneurship ecosystem
- Social impact created (measurable output)

**Qualitative:**

- Satisfaction of the different stakeholders joining the center for Social Innovation
- Satisfaction of social entrepreneurs accompanied
- Contribution of the social entrepreneurship sector to global economic growth and employment



## 6) Indication of possible sources of financing

A mix of different sources of financing need to be imagined fostering the development of the SE ecosystem, probably enhancing crowdfunding, and also inventing new forms of partnerships and tools between private and public actors. (For more information see Global recommendation n°1 on page 75 of this document.)

## 7) Target population

Social business, Social start-ups

Incubators, Accelerators, Development agencies, NGOs, Competence centers, Intergenerational centers, Youth centers, Coworking spaces, Open labs, Civil initiatives, Active individuals, Government, Public administration, Education and academic sector, Economy sector, Support networks, Citizens aiming to become social entrepreneurs.



### “Global Recommendation 3”:

Innovate in public administrations to support Social Innovation (SI)

## 1) Current situation / Challenges

The Sustainable Development Goals are the blueprint to achieve a better and more sustainable future and address today's global challenges. So, it is the aim of Social Innovations! While some of them are thematic, some others rather target the way those challenges should be addressed.

SDG n.17 talks about “**partnership for goals**”, raising the idea that today's social, economic, and environmental issues can only be addressed with a strong cooperation among countries but also sectors, partners, stakeholders, and topics: “*A successful development agenda requires inclusive partnerships — at the global, regional, national and local levels — built upon principles and values, and upon a shared vision and shared goals placing people and the planet at the center.*” This is particularly what public institutions can endeavor to do: reconsidering cooperation as a wider concept, including private actors and citizens to address social challenges.

This recommendation is also coherent with SDG N. 11 “**Sustainable cities and communities**” and with the Urban Agenda for the UE. The Urban Agenda for UE is a new multi-level working method **promoting cooperation between Member States, cities, the European Commission, and other stakeholders** in order to stimulate growth, livability and innovation in the cities of Europe and to identify and successfully tackle social challenges. In other words, it seeks, through dedicated partnerships, to **improve the quality of life in urban areas**, including therefore urban cities in the alpine space area.<sup>30</sup>

<sup>30</sup> <https://ec.europa.eu/futurium/en/node/1829>



Another component of the Urban Agenda for the EU linked with this recommendation is that it integrates the Digital Transition policy, whose objective is to provide improved public services to citizens and to support European cities in exploiting the possibilities of digitalization. Digital technologies, in fact, can help cities to become more efficient, engaging and transparent, and the project supports public employees proposing innovations that adopt digital technologies to improve the administration's performance and efficiency.<sup>31</sup>

Finally, the Lisbon Social Innovation Declaration "Social Innovation as path to sustainable, resilient and inclusive Europe" of September 2018<sup>32</sup> recommends "Fostering Social Innovation in the public sector" identifying two specific policies proposals:

- 1) **"Embed Social Innovation actors in governments"** helping governments tackle one of a range of identified current challenges for Social Innovation actors, such as improving community engagement and co-design with citizens; setting up partnerships with social innovators; encouraging and supporting public officials to apply Social Innovation principles to their work; or working on improving identified barriers to effective public-social partnerships, such as opening public procurement up to Social Innovation actors.
- 2) Establish '**Public Procurement Pathfinders'** (PPP) to connect government agencies with Social Innovation actors (including civic start-ups, Social Innovation-focused SMEs or social economy players)

## 2) Objectives

### General objective: Integrate Social Innovation approach in public action

- Modernize public administrations to adapt and strengthen public action to the increasing social, environmental and economic challenges.
- Consider citizens, society and other actors' expectations regarding political and public action to modernize the administrations and better guarantee the quality of public action despite the various crises.
- Change the relationship with stakeholders and citizens toward a more cooperative one, to serve the territory and answer collectively to complex and increasing local and global challenges.

### Specific objectives:

- Simplify the access processes to facilitate the cooperation between public actors and social entrepreneurs or social innovators
- Strengthen cooperation between public and private actors to create new ways of collaboration to answer local challenges
- Integrate innovative and participatory methods in the design and implementation of projects and public policies

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<sup>31</sup> <https://ec.europa.eu/futurium/en/node/1829>

<sup>32</sup> [https://www.siceurope.eu/sites/default/files/field/attachment/the\\_lisbon\\_social\\_innovation\\_declaration15.10\\_0.pdf](https://www.siceurope.eu/sites/default/files/field/attachment/the_lisbon_social_innovation_declaration15.10_0.pdf)



- Promote entrepreneurial spirit (intrapreneurship) and innovation engineering in public administrations
- Use the leverage of public procurement to support Social Innovation actors
- Consider and measure the impact of public policies and projects on the territory and how they answer local needs

### 3) Measures and actions

#### **Acculturate, train and structure Social Innovation in public administrations**

- Enhance public administration modernization - Get accompanied/rely on the expertise of dedicated professionals/actors on this topic
- Create a network of Social Innovation ambassadors/referents within public institutions, to better orientate the Social Innovation actors' needs and requests within the administration and to ensure the transversality and monitoring of the requests
- Train civil servants, directors, elected representatives to new ways of working, creative methods, Social Innovation engineering
- Promote entrepreneurial spirit (entrepreneurship) and innovation engineering in public administrations
- Create an internal platform or “suggestion box” where civil servants can share their ideas for the modernization of the administration or suggest projects on which they can receive a specific help to implement the project in the institution = like a internal incubator that legitimize and support the development of projects internally

#### **Create the conditions for more cooperation between public and private actors to create new ways of collaboration to answer local challenges:**

- Communicate towards this profile of actors about the proper competences, programs, measures that can be useful for them; clearly explain what they can contact the public administration for
- Organize encounters with entrepreneurs to allow them to present their idea/project, to join a constructive discussion, give them an opinion on the coherence of their project with local needs and detect promising projects
- As a public administration, take part in existing territorial dynamics, networks, not only as a financial actor but as a partner and stakeholder
- Enhance collaborative relationship, instead of “funding/funded” or “pilot/beneficiary” relationship: consider new forms of contracts between public and private actors to encourage multi-actor cooperation and establish partnership instead of mere “financing relationships”
- Invent peer to peer relationship between public and private actors, break down the barriers; organize civil servants volunteering in associations, competence sharing...



## **Integrate innovative and participatory methods in the design and implementation of projects and public policies:**

- Develop participatory practices to enhance citizen participation and integration of stakeholders
- Promote a bottom-up approach of the needs / work collectively on the detection of local needs
- Get accompanied/rely on the expertise of dedicated professionals/actors

## **Use public procurement as a leverage to support Social Innovation**

- Integrate criteria for more sustainable public procurement: social clauses, environmental clauses, innovation criteria, highlight of participatory approaches...
- Consider alternative forms of congratulation with service providers or actors to enhance more horizontal collaborations, allow "out of the box" projects, give more freedom to the actors and enhance mutual confidence
- Train juridical professionals in public administrations to new ways of public procurement and congratulation to raise awareness on the opportunities public procurement regulation offer to support Social Innovation and involved actors or local community
- Strengthen the use of innovative procurement (possible in new procurement directive)

## **Consider and measure the impact of public policies and projects on the territory**

- Measure to which extent they answer local needs and global challenges
- Integrate systematic criteria for impact measurement in the evaluation of public policies and actions

## **4) Expected results**

- Implementation of actions that seek modernization of Public Administration and integration of Social Innovation principles - will be specific to each public institution, depending on competences, legal framework and available leverages
- Development and improvement of collaboration approach between public administrations and other stakeholders
- Structural changes in the national/regional/local administrations
- Transnational actions and measures to foster cooperation and transfer of experiences between public administrations through the Alpine Space
- Improvement of the quality of work of public officers
- Encouragement and equipment for everyone within these organizations to optimize his or her contribution to achieving their objectives and aspirations.



## 5) Possible indicators

### Quantitative:

- number of actions on Social Innovation started/implemented in Public Administration
- number of Directions/Services of PA involved in Social Innovation project/plan
- number of external stakeholders involved
- number of categories of external stakeholders involved
- number of new policy programs for Social Innovation
- quantity of funds for Social Innovation
- number of study and training programs for Social Innovation
- number of new collaborative consortium created among Se and PA

### Qualitative:

- interviews, questionnaires, follow up

## 6) Indication of possible sources of financing

The adequacy of funding for public sector innovation involves different levels. Internal innovation mostly funded from governmental budgets, while external innovation, which involves private-sector participants, civil society, or academic institutions – often are also supported by financial intervention of the EU.

## 7) Target population

**Public sector:** civil servant/public officers, directors/managers, elected representatives

**Private sector/ Social Innovation actors:** association, entrepreneurs, SMEs, citizens

## Conclusion

Social Innovation, like any other type of innovation, is subject to a variety of factors and actors, which can have diverse impacts on its realization as well as on its sustainable continuation. In order to represent these influences in an organized form, to better understand them and to investigate them further, helix models are commonly used. Different versions of these Helix Innovation models exist, but they are all based on the idea that through an interactive and iterative process, involving different spheres of actors, innovation as an output can be generated (Cavallini et al., 2016).

# Quadruple Helix Model



**Figure 1:** Visualization of the Quadruple Helix model based on Carayannis & Campbell (2009)

This puts further emphasis on the work previously conducted as well as on the approach intended for future tasks, which focuses on involving representatives of the different spheres both in the process of elaboration and further processing of these recommendations and in the proposed actions itself.

The elaborated logical frameworks, developed per global recommendation, form the basis for transnational working groups, in which discussions with industry insiders and experts from the field of policy creation are held. Therefore, they fundamentally contribute to the formulation of a common strategy, which presents Social Innovation in the Alpine Space not as an isolated concern of an interested party but provides recommendations with practical implications within a cross-sectoral and cross-actor context.

## How to test/experiment new public policies that support Social Innovation



### Introduction

In the EU, Social Innovation (SI) has been posited as a solution to both old and new social risks at a time of heightened uncertainty and pressure on public administrations and finances.<sup>33</sup> Across Europe there are many initiatives operating nationally and transnationally that have been designed to support Social Innovation, but we're still some way away from a well-developed field of 'Social Innovation policy'.<sup>34</sup>

Social Innovation public policies mean developing new ideas, services and models to help address the current societal challenges for delivering better social outcomes. It can help nurture the current fragile economic recovery with improved social and economic outcomes in the medium and long term. It involves new ways of organising systems and therefore invites input from public and private actors, including civil society.

It also stresses the need for modernisation of welfare states given the implications of the demographic change and of the financial and economic crisis. Modernisation of Social Innovation public policies requires systematic introduction of ex-ante result orientation in financing decisions and a systematic approach of the role public policies on Social Innovation play in the different stages in life.

The role of policy makers is crucial in guiding the reform process, selecting the appropriate policy priorities and for an effective follow-up and increased sustainability of the results. In order to play this function, policy makers need tools that allow them to assess the investment returns of the chosen policies in terms of social outcomes (increase in inclusion and employment, reduction in cost of service at same quality level, contribution to the economy...).

This chapter is intended to support Policymakers at national, regional and local level, i.e. those formulating policies, be it through programs, legislation or social dialogue. Among them, this chapter aims to support those seeking to build evidence and/or use evidence about 'what works' for Social Innovation public policy creations.

### Step 1: Defining policies and interventions

#### Policy as Social Innovation

Policymaking can be socially innovative in process when it adopts the principles and tools of Social Innovation. We call this 'policy as Social Innovation'.

#### Policy for Social Innovation

Public policy can enhance supply of and demand for Social Innovation, as well as creating a wider environment in which Social Innovations can thrive. We call this 'policy for Social Innovation'

<sup>33</sup> Bonoli 2005; OECD 2011; Sinclair and Baglioni 2014

<sup>34</sup> [www.siceurope.eu/policy-portal/policy-social-innovation-five-ways-policy-can-support-social-innovation](http://www.siceurope.eu/policy-portal/policy-social-innovation-five-ways-policy-can-support-social-innovation)



## Social Innovation policy as intervention

An intervention is an action taken to solve a problem. In the area of medical research an intervention is a treatment administered with the aim of improving a health disorder. Social Innovation policy interventions have different more far-fetched aims. To assess Social Innovation policy interventions, we might need to combine several methods.

On one hand, governments explore ways in which policy can stimulate and support Social Innovation. Largely, these efforts have been concerned with putting in place the supports and conditions needed for a thriving social market economy. There are also examples of public officials engaging directly with social innovators to meet citizens' needs in new ways, for example by commissioning, funding or partnering with social enterprises to deliver public services.

The use of Social Innovation tools in policymaking falls mainly into the realm of 'public sector innovation'. This involves 'creating, developing and implementing practical ideas that achieve a public benefit.'

From a policy perspective, Social Innovation is more of a normative concept. Policymakers are interested in Social Innovation for its potential to make a positive difference to people's lives.<sup>35</sup>

## Selecting a relevant intervention, program or policy

It is very important to carefully identify only the few most relevant policy interventions to be evaluated. For instance, there is limited added value in evaluating the impact of interventions on a very limited number of people, or in testing a policy question that is already supported by an extensive solid evidence-base.

While assessing the potential impact, it is important to keep in mind which features of the interventions can be reliably tested; this guide is meant to help with this. Ultimately, the decision to test a program will rest on two legs: policy relevance and feasibility.

## Evaluating entire programs and policies

A policy can be evaluated at different levels, from the 'macro' to the 'micro' level. The appropriate level depends on the policymaker's needs. There is a practical trade-off between obtaining robust evidence on the impact of a single intervention and the concrete policy relevance that a less strict and therefore less robust methodology might provide for a broader reform. One could first evaluate the impact of a program as a whole. The aim of the evaluation is then to find out whether the program, including all its components, made a global difference for its beneficiaries.

## Evaluating interventions

At a lower level, it can be interesting to test each intervention separately. By comparing the impact of each intervention, policymakers can identify the most effective alternative to address a given policy goal. However, an evaluation testing different hypothesis may yield more comprehensive results.

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<sup>35</sup>p.7, 8; Social Innovation policy in Europe: Where next?, Social Innovation Community, 2017, Sophie Reynolds (Nesta), Madeleine Gabriel (Nesta), Charlotte Heales (The Young Foundation)

## Step 2: Specifying a ‘theory of change’



A ‘theory of change’ (ToC) is to Social Innovation policy formation what plans and foundations are to a building structure. The section below provides a fairly succinct description of this approach. Further information on the most important steps in a ToC is given in subsequent sections.

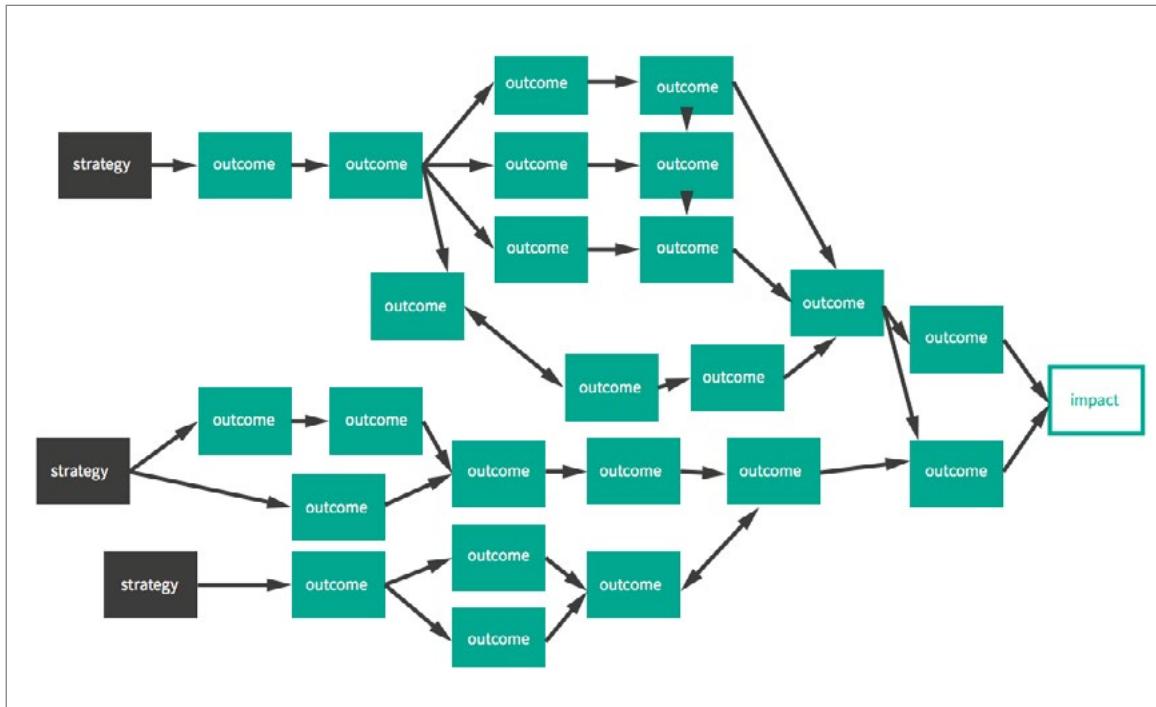
### A map to the desired outcome

The emphasis on design comes from an observation that has been made countless times by researchers, trainers and advisers: a lot of important questions in an evaluation remain unanswered or poorly answered due to superficial design. Whilst there is no such thing as a perfect design, some steps can be taken so that the energy used in the development and conduct of an impact evaluation gets rewarded as it should. These steps have been integrated into a single framework known as a ‘theory of change’.

A ToC has been defined as “the description of a sequence of events that is expected to lead to a particular desired outcome”. It is the causal chain that connects resources to activities, activities to outputs, outputs to outcomes and outcomes to impacts.

### A good ToC uses six different building blocks:

- 1. Needs:** is the assessment of the problems faced by the target population.
- 2. Inputs:** are the resources that will be consumed in the implementation of the intervention. Those include the time spent by the agents implementing and evaluating the project and the costs involved (i.e. the services and goods service providers will need to purchase). The critical question is: to what extent will these resources enable the delivery of the intervention?
- 3. Outputs:** is what will be delivered. It can be information, a subsidy or a service. The key question here is: how likely is the intervention to produce the intended short-term outcome?
- 4. Outcomes:** are the results of interest likely to be achieved once the service has been delivered. Outcomes in the social policy area usually appear in the medium-term.
- 5. Impact:** is the change in outcomes that is caused by the intervention being tested.
- 6.** Finally, a ToC should document the **assumptions** used to justify the causal chain. These assumptions need to be supported by research and stakeholder consultations. This will strengthen the case to be made about the plausibility of the theory and the likelihood that stated outcomes will be accomplished.



**Figure 2:** theory of Change diagram<sup>36</sup>

- **An essential tool in social innovation public policy creation**

There are several advantages in using a ToC. Firstly, a ToC will help policy makers make better decisions throughout the entire lifecycle of the policy. At an early stage, it will support the formulation of a clear and testable hypothesis about how change will occur. This will not only improve accountability, but also make results more credible because they were predicted to occur in a certain way. During the implementation, it can be used as a framework to check milestones and stay on course, as well as a blueprint for evaluation with measurable indicators of success. Once the policy is terminated, it can be updated and used to document lessons learned about what really happened.

Secondly, a ToC is a powerful communication tool to capture the complexity of an initiative and defend a case to funders, policymakers and boards. The tough economic context, as well as the intense pressure on governments and organisations to demonstrate effectiveness, means that leaders are increasingly selective when it comes to supporting research projects. A visual representation of the change expected in the system and how it can come about ought to reassure them as to the credibility of the initiative. It can also keep the process of implementation and evaluation transparent, so everyone knows what is happening and why.

### Why use ToC?

To help policy makers make better decisions.  
It is a powerful communication tool.

Reassures credibility of the initiative.

Keeps the process of implementation transparent.

<sup>36</sup> <https://bit.ly/3uKLmzr>



## • Doing it right

A ToC is the outcome of two parallel and simultaneous processes involving research and participation. The research process aims to generate the evidence

**The participatory process** - insights from economics, sociology, psychology, political science, etc.

base underpinning the programme and to inform its assumptions. Expectations that a new intervention will lead to the desired outcome are often justified by your 'experience' or 'common sense'. Inasmuch as possible, impact evaluations should refrain from relying on such subjective measures in that

they are highly debatable and do not offer any warranty that the intervention will succeed. To be truly 'evidence based', the causal link between the intervention and the outcome should rely on social science research. An effective intervention will require insights from economics, sociology, psychology, political science, etc. Thus, it is crucial to involve experts very early on in the project.

**The participatory process** usually includes a series of stakeholder workshops.

The objective is

- a. to get feedback on the conclusions and implications of the preliminary research;
- b. to secure stakeholder buy-in, which is an essential success factor.

## Step 3: Defining outcomes, outcome indicators and data collection plans

Impact evaluations test hypotheses regarding the expected outcome of an intervention. But what are well-defined outcomes? What type of metric should be used? And when should the outcome be measured? The following section gives some guidance to make the best decisions.

Inasmuch as possible, one should try and use the same outcome indicators as in previous evaluations of similar interventions. This includes evaluations conducted domestically and abroad. Using the same indicator will not only make systematic reviews and meta-evaluations easier.

We have two other guideline documents that talk about the impact measurements, so we are kindly inviting you to refer to those two documents.

### GUIDELINE #1

Social impact evaluation and indicators

### GUIDELINE #3

How public authorities face social impact measurement?



## Step 4: Estimating the counterfactual

Impact evaluations seek to estimate the intrinsic value of public policies. There are many reasons why a program might be perceived as a success even though it had no actual impact or vice-versa. For example, it could be that the implementation of the program coincided with favourable economic conditions, in which case the situation would have improved even without the new program. Or, in two-group comparison, it could be that those who benefited from the new intervention were somewhat different from those in the control group, artificially boosting or impeding the intervention.

To take into account effects that have nothing to do with the intervention, impact evaluations measure its observed outcome against an estimate of what would have happened in its absence. This estimate is known as the counterfactual.

## Step 5: Analysing and interpreting the effect of the intervention

Impact evaluation methods estimate the impact of an (Social Innovation) intervention by comparing the results of the intervention and of the control group. The net effect of an intervention generally amounts to the difference in outcomes in the intervention and in the control group. This presents a general overview of some important aspects to consider when interpreting results, relevant for all of the different evaluation methods.

## Step 6: Disseminating findings

When the evaluation results have important policy implications, research needs to be translated into policy. In addition, giving other policymakers the opportunity to build on results, be they negative or positive, can further enhance their impact.

### Understanding the policy relevance of an evaluation

Policy relevance is very much time-dependent: a topic might be ‘hot’ one day and ‘ice-cold’ the following week. Thus, it is important to keep an eye on the policy agenda. A ‘window of opportunity’ may arise, for example, in the course of budget discussions, when policymakers set up their priorities and allocate resources.

### Disseminating results in an accessible format

Beyond the research findings, it is also important to communicate the policy implications of the policy evaluation/testing. A key responsibility is to make research more accessible by extracting the most compelling results from longer papers and reports and presenting them in non-technical language.

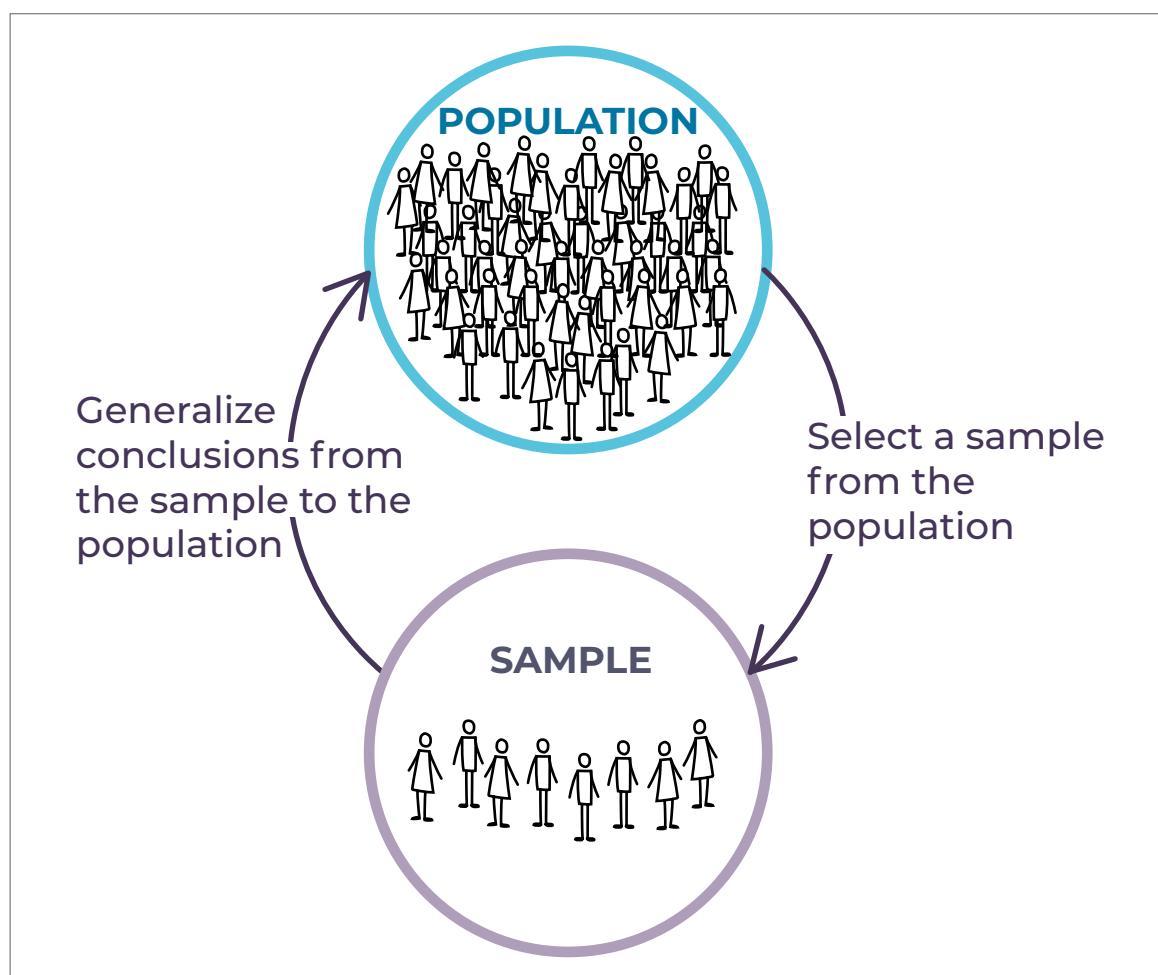
## Step 7: From local to global

How does one know whether a program that is effective on a pilot scale has the same impact when scaled up, extended or replicated in a different location? This is a very important question, and it relates to the external validity of an

evaluation. External validity, also known as '**generalizability**', is the degree to which one can be confident that the results found in a specific context will apply to other contexts.

There are four major factors that affect the generalizability of an evaluation, including the quality of implementation, the **scale** of implementation, the **context**, and the **content** of the program:

- 1. The quality of implementation:** Pilot programs are often implemented with great care, and with well-trained staff. It may be difficult to keep the same standards at a wider scale. Researchers should implement interventions in representative locations with representative partners, and representative samples.
- 2. The scale of implementation:** a program that is implemented on a small scale may have different effects when scaled up (general equilibrium effects). Researchers can adapt the design of the evaluation to capture these effects by using a wide enough unit of observation.
- 3. The context of implementation:** An intervention that proves to be effective in one context may have a different impact in another institutional and cultural context. Behavioural theory can help us define which aspects of the context are likely to be relevant to a particular program.



**Figure 3:** Generalizability



## Conclusion

Testing new policies is a time and money consuming process, but nevertheless a much need one. Way in which it is done vary from sector to sector and territory to territory. We aim to show the way that is most suitable for creating new Social Innovation policies and that means we also view it as **a process that needs to be as inclusive and transformative as possible on multiple levels.**

Some parts of the Social Innovation community have engaged a lot with policymakers and have a good idea about how public policy could support them better. In other areas - for instance, where Social Innovation networks are less developed or formalised - there has been less work done to date.<sup>37</sup>

Emancipatory transformative Social Innovation will have to tackle the challenge of accompanying the move towards ‘doing’ with more ‘talking’ in a sense of participation in decision making process. **The notion of bottom-linked governance is an attempt to unify ‘talking’ and ‘doing’.** Both academia and policy makers tend to focus increasingly on the outputs of Social Innovation. This tendency has been accompanied by a decline in interest for the decision-making and government processes in which the decisions are made – or not made. More emphasis on participation processes and questions of political representation would benefit the future of Social Innovation related policies.<sup>38</sup>

Social Innovation promotes the competitiveness of the EU and its regions which are well placed to play a leading role in this process. Regional authorities can orchestrate the process. They can take a lead in promoting and supporting Social Innovation, provide funds, bring various stakeholders together, put forward strategic thinking and support the generation of fresh ideas to overcome societal and socio-economic challenges.

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<sup>37</sup><https://www.siceurope.eu/policy-portal/policy-social-innovation-five-ways-policy-can-support-social-innovation>

<sup>38</sup>p.42, Social Innovation as a Trigger for Transformation, sept. 2017



### Introduction

The **Department of Isère** is a **French departmental public institution** (infra-regional level). In the administrative divisions of France, the department is one of the three levels of government under the national level, between the administrative regions and the municipalities. Departmental policies aim to guarantee territorial coherence and solidarity. **Its main areas of competences include:** the management of social and welfare allowances of junior high school ("collège") buildings and technical staff, and local roads, as well as public policies in favor of the elderly, disabled people, childhood and family care, housing, insertion and employment, education, environment, agriculture, culture. The Department of Isère, being the main public authority in charge of social issues, has already initiated a **reflection on changes in practices to better include beneficiaries and respond to their needs, and various innovative projects have been implemented** in the last few years in the field of social affairs, insertion, digital inclusion, environment and sustainable development, technology, culture, maximization of the use of premises and other. Since 2016, a specific service has been created, specifically dedicated to public innovation, with the core mission to change the working habits of the way we work internally and with other public partners and the way we build public policies, to finally provide a better and more adapted public service.

The Department of Isère is **partner of the ASIS project since May 2019**. For our institution, this project was an opportunity to deepen the reflection on **its role within the local Social Innovation ecosystem**, and how it could better support and make durable local social initiatives with dedicated specific public policies. On another hand, the ASIS project has been an opportunity to widen the scope of public innovation as we were considering it, and work on a more open and territorial public innovation, and renew our vision and practices on local cooperation to a more multi-stakeholder and cross-disciplinary cooperation. Those two elements, that open public innovation to Social Innovation, were something rather new to the Department of Isere and needed additional consideration and structure.

### Implementation of local and internal Social Innovation strategy

The methodology has been to gather local stakeholders involved in Social Innovation in 5 different regions of the project. Those workshops allowed each regional partner to formulate local recommendations on how public actors could better support and enhance Social Innovation actors and initiatives. Locally in France, this "focus group" was made up of local actors in Social Innovation (incubators, associations, project leaders, citizens, local authorities, etc.), who met several times between January and November 2020. Those workshops allowed the Department of Isère to better know the existing ecosystem and hear from them what they were expecting from public actors, and harvest from this content the recommendations that could concern the



Department. Simultaneously, we created an internal technical committee that gathered internal civil servants from the Department of Isère from different services and positions to create a multi-skills and cross-disciplinary group able to seize the work in progress in the framework of ASIS and create links with the institution to go further. In September 2020 we started writing the internal White book that aimed at gathering and spotting the various orientations and actions that the Department could take to better support Social Innovation, internally and externally. This internal report is called "**Social Innovation to modernize public action**". The co-construction of this document has been a tool itself to develop and disseminate a global and shared approach to Social Innovation within the Department of Isère.

Furthermore, it is important to point out that this report alone cannot constitute a societal innovation policy. Indeed, societal innovation is not an object disconnected from other public policies but rather a mean to deploy them. Above all, it is a question of being open to new postures and new practices and to experiment with them in a concrete way. This report does not only propose new orientations, but also gathers issues and topic already in reflection or in progress within the services. This is why it aims to provide concrete orientations and actions, to lay the **foundations that will be implemented and worked on at all levels of the institution in the future**, and make the Isère Department an actor committed to innovation, internally, territorially and socially.

This report is divided in 2 challenges, that are closely linked:

- **Challenge 1: Innovate to adapt our practices to societal challenges**
- **Challenge 2: Develop new cooperation with societal innovation actors**

The first challenge is more about changing and innovating in **internal practices**, which means **disseminating new values and implementing alternative ways of conducting our mission and providing public service**. This new vision of public service is oriented towards more transversality, cooperation, beneficiary-centered approach, multi-stakeholder inclusion, sustainable practices, and to directly impact the posture of the institution itself: the one of **humility, constant reassessment, agility and with the right to experiment**.

In this challenge, the orientations and actions proposed have to do with:

- **Fostering a more territorial and open public innovation culture**
- **Evolving our funding schemes**
- **Developing alternative ways to measure the impact of public policies**
- **Work on a more innovative, efficient and responsible public procurement**
- **Imagining new ways of developing our public policies**

The second challenge is more about how we can better directly support the Social Innovation ecosystem and create new ways of collaboration that are not just financial but have more to do with partnership, collective intelligence, complementarity, common actions, and the like. This challenge encompasses 7 orientations:

- **Opening ourselves to support and contributions to local dynamics of societal innovation**



- **Facilitating the understanding of departmental competences and access to the institution's services for stakeholders and entrepreneurs**
- **Developing voluntary work of civil servants in charities of Social Innovation structures**
- **Contributing to improving knowledge of the territories to encourage the emergence of projects**
- **Supporting the development of third places**
- **Facilitating the access to departmental buildings and premises**
- **Promoting and making visible local Social Innovation initiatives**

## Conclusion

After various internal decisions during the first months of 2021, the report was finally presented on 1st of April 2021 to the “*Departmental Assembly*”, a political body that gathers elected representatives from the majority and the opposition, which voted for the report and the positioning it suggests.

Finally, even if the Department of Isère was already involved in public innovation and implementing Social Innovations without mentioning it, the ASIS project has been a real trigger and accelerator to bring Social Innovation within the institution, and make it not only an issue in social affairs, but a collective and trans-disciplinary issue. Indeed, the recruitment of a dedicated project manager, the work done with all the partners and the experience-sharing among countries have clearly contributed to structure and position the Department of Isère as Social Innovation actor.

# 4. Final Conclusion

Public authorities are not all at the same stage of progress in taking Social Innovation into account in their public policies. This White book is a first step to inspire you, support you to test and implement these changes. As national, regional, or local authority, you play a crucial role in the development and implementation of this new vision of innovation and value system.

Social Innovation is a tool to create positive change but like any tool, it will produce all its effects thanks to engaged actors and supporters!

This project allowed the Isère Department, a regional authority in Rhône-Alpes region, to impulse a big shift in the way to design public policies. In April 2021, they will debate and vote on a new report «Societal innovation in the service of modernization of public action».

Our ambition is to impulse durable changes in public policies, at the level of public authorities, business support organizations and sectoral agencies, who are in direct contact with promising projects and initiatives that answer societal challenges we all meet.

The Alpine region is constantly confronted with new challenges that have to be managed effectively, which, as current global developments show, are not limited to those already known, such as demographic change, migration and the like. The COVID-19 pandemic shows how different actors have to cope with challenges in all areas of daily life. Public administration, as the executive organ of political will, often holds a key position in this regard.

However, this is not the first crisis that has been overcome in the near past, but one of many that, according to the literature, are expected to occur in the future as well.

It is therefore worth taking a look at how public administrations have dealt with situations of this kind in the past, as these not only represent difficulties but also naturally give rise to innovations in many areas<sup>39</sup>. In this context, innovations represent a replacement of structural and procedural organization, which have proven to be insufficient or inappropriate to cope with the crisis and the associated circumstances and tasks<sup>40</sup>. The conclusion that can be drawn from this is that administrations have to evolve and innovate in order to successfully cope with crises<sup>41</sup>.

In the case of administrative behavior in crises, the concept of innovation encompasses a wide range of fields, such as the formation of networks, changes in organization and processes, as well as participation and cooperation, which have proven to be important and successful in crises<sup>42</sup>. In the event of a crisis, responsible actors must not only consider limiting social and economic

<sup>39</sup> Punz 2020.

<sup>40</sup> Sack 2016.

<sup>41</sup> Hartley et al. 2013.

<sup>42</sup> Torfing 2016.



damage in the short term, but also take measures that support the sustainable development of the area affected by the crisis and thus contribute to securing a competitive business location in the future, as this represents a significant contribution to employment security and quality of life.

*The new way to see innovation for tomorrow is to include criteria of Social Innovation in all forms of innovation. The new vision of innovation for Alpine Space is Social Innovation = innovations that answers societal and environmental challenges, through a collaborative approach and with a positive, sustainable and measurable impact. Social innovation can answer to the main question = how innovation in the future has to address societal challenges in Alpine Space? Public policies and intermediary organizations should break down the barriers between the different forms of innovation and economic sectors and link innovation to societal challenges.*

*(Christine A. Oxalis)*

As we were trying to show through the work on ASIS project and in this White book, committed stakeholders are needed to achieve the goal and a cross-sectoral perspective is needed to cover the broadest possible spectrum of needs and fields that are to be improved and changed to fit the **new values system**. Only through new, innovative partnerships (*i.e. citizens + cities and/or private + public + citizens partnerships*) can we build sustainable bridges.

The **3 recommendations** we have put forward in this White book:

1. Promote innovative grants and funding opportunities,
2. Support the social entrepreneurship ecosystem,
3. And integrate Social Innovation approach in public action...

...may seem basic or simple, but Social Innovation is ultimately a change in power relations since the problems we are aiming at overcoming are anchored in existing institutional practices.<sup>43</sup> And so, the actions we take while aiming to implement these recommendations should change the fundamental practices in the current system and start building an improved one that is more fit to current societal challenges and looks to the future without fear.

As we experienced in 2020 with the COVID-19 crisis at the center of all our lives, much can be changed very fast - policies can be adapted swiftly, the living environment and habits can be changed overnight. Similarly, the climate crisis should be addressed; similarly, government systems should be adapted; similarly, medical systems should be improved. We can safely say that only with brave and bold policies and politicians, that are both innovators and visionaries we can hope to achieve this new vision. Just as the Apollo missions once were nothing more than a myth, a new vision of Social Innovation now exists in the imagination, as a signpost for the future we aspire to. The more it is shared, the more likely it is to happen. It could come to be a turning point – an acupuncture point: “*We’re not going to change humanity by saying, ‘Everything has to be less,’*” says Van der Hoeven. “*No, we have to do more of the good things. Why don’t we come together and do something in a positive way?*”<sup>44</sup>

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<sup>43</sup> Fereira and Hulgard 2010.

<sup>44</sup> Steve Rose 2021.

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