Social Innovation
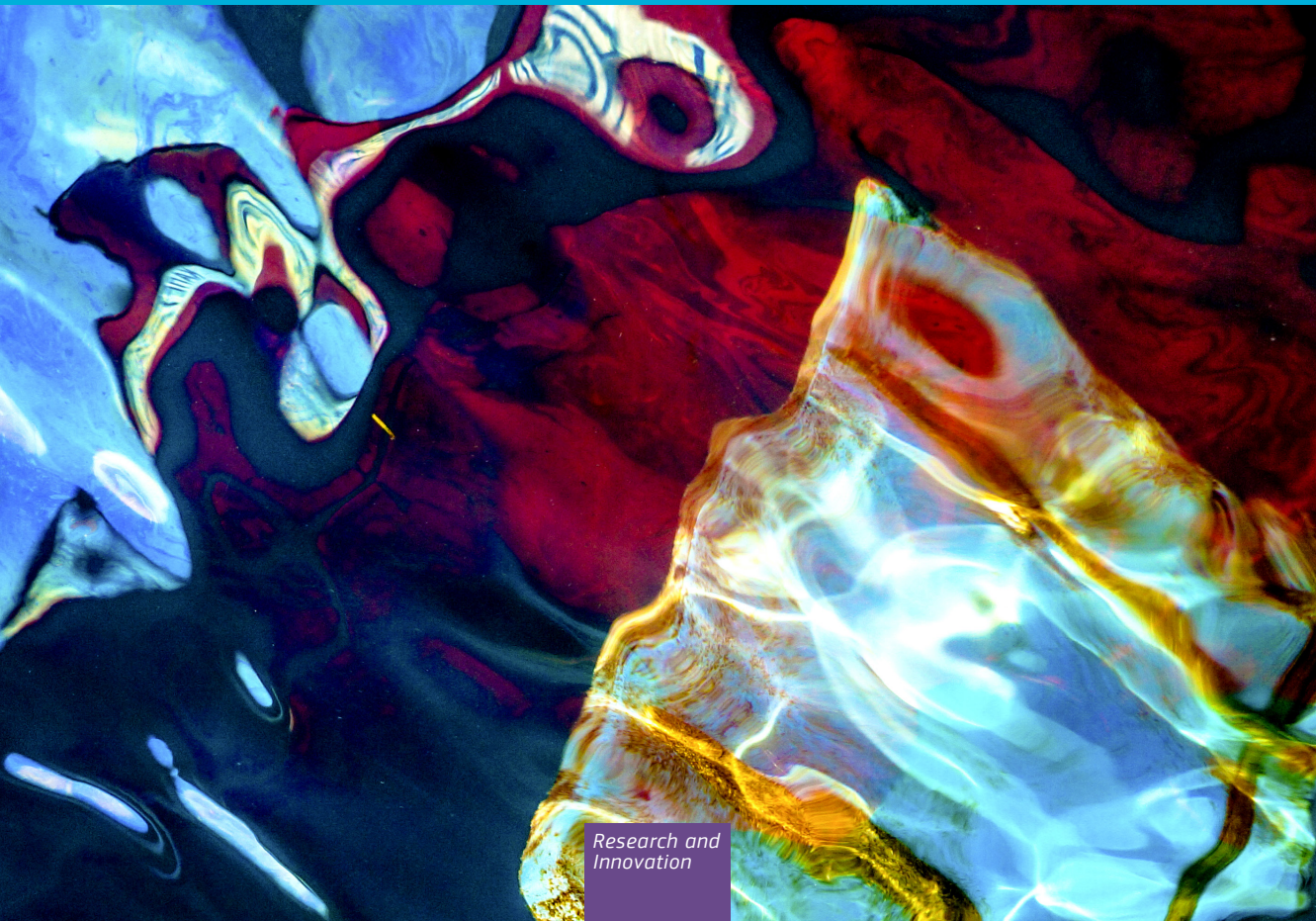## as a Trigger for Transformations

The Role of Research

Social Innovation as a Trigger for Transformations

The Role of Research

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In grateful and respectful memory of Philippe Keraudren.
His ideas and critical feedback to this Policy Paper have been very precious to us, the authors.

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Executive Summary

This Policy Paper examines the role of Social Innovation in Social Sciences and Humanities (SSH) research, especially in those research projects funded under FP6 and 7, as well as Horizon 2020.

Section 1 of the Policy Paper explains the logic of the build-up of the Policy Paper.

Section 2 gives an overview of the history of the use of the concept of social innovation in political, philosophical and scientific discourse and practice. It warns of a reduction of the meaning of social innovation to social enterprise and business and, based on its historical analysis, makes a plea to recognise a variety of forms of social innovation: social, cultural and educational emancipation, social movements, bottom-up organizations aiming at the satisfaction of human needs, new forms of bottom-linked governance, in addition to solidarity and the social economy.

Section 3 describes the variety of approaches in contemporary social innovation research. It deconstructs the duality between practical/ social business oriented social innovation and social innovation for socio-political transformation, and suggests that it makes sense to look at different approaches to social innovation research as parts of a continuum. One side of the continuum is marked by a 'practical organizational' stream, emphasizing social entrepreneurship as a driver of innovation and the question of value creation through organizational means. On the other side of the continuum are proponents of a 'territorial development' approach, fostering SI as a concept to meet human needs and aspirations, but also for political mobilization among vulnerable and marginalized communities. A shift of research funding towards the practical-organizational end of the SI continuum is observed, an evolution which is regretful in the light of the high need for research on social innovation in governance and the transformation of democratic practices.

Section 4 examines how social innovation research projects deal with collective action. It identifies a general shift 'from talking to doing', with considerably more focus on the social and economic output of SI than on the prior decision making process, an important component of democratic functioning. Yet in most of the reviewed projects, as Section 3 explains, stakeholders were actively included, e.g. in capacity building projects for the training of social entrepreneurs, active engagement in research projects, or the promotion and facilitation of networking efforts. Stakeholders included policy makers, people working in social innovation initiatives and their clients. Despite considerable differences in their points of view on the desired role of the state and the private sector, all projects stressed the important role of the state. Policies should be refined in order to benefit social innovation, having in mind a shift from 'government to governance', i.e. a more coordinating and facilitating role for the state.

Some projects engaged in 'scaling', i.e. the inter-regional and international replication of SI 'best practice' models. Given the heterogeneity of European experiences, more attention should be given to institutional context analysis, and to identifying problems that might arise from such 'scaling' of SI experiences. Research results for the 'third sector' indicate deteriorating working conditions in the sector, often due to an opportunistic use of 'social innovation' to rationalize welfare services. Future research on the role of social innovation in governance should actively maintain the engagement of stakeholders.

Section 5 valorises the lessons learned from screening the research projects. First it summarises opportunities for social innovation research to develop a more societally embedded epistemology or research approach, with more attention given to history, the unity of macro and micro theories, and the absolute need to use interdisciplinary and transdisciplinary methodologies in social innovation research. Using social innovation research as a mirror, section 5 makes suggestions for the place of SSH as a whole in the FP. These suggestions include:

- Give more prominence to epistemological and methodological research in SSH.
- Redefine terms of cooperation between social and so-called hard sciences. Social sciences have a long experience in inter- and transdisciplinary research. This experience has been insufficiently valorized in the European research programmes.
- Re-establish the links between fundamental and applied research in social science.
- Return a high level of autonomy to SSH research under FP9, to combat the observed 'underuse' of social science contributions in the analysis of societal challenges and policies to address them. Such autonomy could partly be granted by creating a special, semi-autonomous research programme on the future of democracies, societies and economies in Europe.
- Future research topics should devote more attention to the working of democracy and the pursuit of equity at different scales of society. Suggestions for such topics are:

- How to reintegrate equity and redistribution into EU policy models?
- Macro-economic and social policy assessment of austerity policies
- Institutionalism culturally and socially revisited
- Institutionalisation of SI and socio-political transformation
- Bottom-linked governance, scalar politics and socio-technical transformation
- Matching policy, SI organization and research models: towards integrated Science and Policy practices
- Tensions between direct and representative democracy under Europeanisation and globalisation
- The future of nationalisms, the building of responsive political ideologies and the construction of solidarities beyond national borders
- Democratic and society-feasible higher education

Throughout the text observations on good research practice have been formulated. These observations appear in boxes and are numbered 1 to 15.

1. INTRODUCTION

"Social innovation and collaborative networks must be fully used in order to boost participation by the public and civil society in general in designing and managing EU policies, by means of distributed collective and bottom-up projects that strengthen more direct democracy." (EESC, 2016, p. C13/104)

This Policy Review paper examines the place of Social Innovation (SI) in Research and Development projects, especially those funded by the EU. It also reflects on the relevance of SI and SI research in collective action, policy making and socio-political transformation in Europe and the world today. In particular, it makes suggestions on how SI research can contribute to strengthening the position of SSH in the contemporary and future European research and policy landscape.[1] It thus seeks to explain how SI as a concept and a practice holds a great socio-political transformative potential, and warns against reducing the meaning of SI to mere social problem mending as a response to state and market insufficiencies.

The trigger for the paper was a request for the assessment of 25 research projects funded by the European Commission under the last years of Framework Program 7 (commencing 2012-2013) and the first three years of Horizon 2020 (commencing 2014-2016). To make sure we would cover a representative part of the universe of SI research, this list was extended by adding a selection of earlier FP7 projects (commencing 2008-2012) covered in previous and parallel Policy Review papers (Kvist 2016; Jenson and Harrisson, 2013).

The final selection we covered in relative depth numbered 30 projects, the total EU contribution to these 30 projects alone being 91 million Euros[2] each of which explicitly referred to SI in their abstracts. This selection included projects either with their main focus on SI (CRESSI, SI-DRIVE, SIMRA, TRANSIT, TEPSIE, SIMPACT), capacity building (BENISI, TRANSITION) and/or networking of SI initiatives (SIC), or, alternatively, attributing a more or less important role to SI in projects with their primary focus on social policies (IMPROVE, InnoServ, WILCO, Social Polis), including youth empowerment (SocIEtY), health (EuroFIT, INNOVAGE), social entrepreneurship and the non-profit sector (ITSSOIN, Seforis, Third Sector Impact), promoting environmental sustainability (GLAMURS, IA4SI, SOCRATIC, TESS), food processing and consumption (FUSIONS, Protein2Food, S3C), ocean development and governance (SeaChange, Respon-SEA-ble), transportation (MOBILITY4EU), and nanotechnologies (NANODIODE). In a first stage, a distinction was made between projects that have SI as a main focus (marked "XXX" in the table in Annex 1), projects that make use of at least one dimension of SI, or use SI as a window to examine a particular sector, such as the social economy (XX), projects that consider SI on the sideline or refer to SI as improved communication between various actors involvement in innovative projects (X), and finally projects appealing to SI discourse, but not sufficiently engaging with SI to be assessed on an equal basis with the others (marked AUX). The full list can be found in Annex 1. The projects were then reviewed in relation to their engagement with SI, on the basis

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1   As several referees of this paper mention, the term 'Policy Review' is misleading. Policy Review papers do not review policies, but review research projects as to their relevance for furthering R&D in Europe, and as to their potential for improving EU policy and policy frameworks.
2   28 million under H2020 and 63 million under FP 7. The total contribution to SI research under FP7 and H2020 taken together exceeds 100 million euros.

of any deliverables and publications available by June 2017, using a tabulated reading summary (template attached as Annex 2).

Early on in this assessment process it became clear that to fully understand the significance of SI in research and development, collective action and public policy, other sources and perspectives had to be brought on board. Therefore, in order to respect other approaches, this paper also found inspiration from a number of prominent survey articles on the role of SI in addressing today's societal challenges. It also follows up on the Policy Review on 'Social innovation research in the European Union', coordinated by Jenson and Harrisson (2013) in the confines of the WILCO project (Brandsen et al., 2016).

The Policy Review Paper is first concerned with bringing some order to the varied uses of the term SI in the various science and practice fields. The approach is scientific, but with science being in a support position to collective action and public policy. Second, it recognises the lack of historical perspective to both the scientific build-up and the analysis of SI as a collective practice and process in the majority of research projects on SI. Third, it observes several shortcomings in the implementation of the interdisciplinary and transdisciplinary vocation of SI research. Finally, the paper seeks to give a close perspective on the potential of SI research and practice for the transformation of existent socio-political systems. This concern reflects deep worries held by European citizens about failing policy delivery systems, including market regulation mechanisms, in providing for their needs and to preserve their social and political citizenship rights. Special attention will be given to how SI research can support more inclusive economic development, the re-institutionalisation of society and its communities as well as the place that social science and humanities should occupy in supporting this transformation.

To address these concerns, the paper is built up in 4 steps. First it examines the history of thought and practice of SI, especially in the Western World, with a particular focus on its roles as an analytical concept and a collective practice (section 2). A distinction is made between a longue durée (18th till contemporary era) and a contemporary history perspective starting around the 1970s till today.

In a second step, and making use of the different historical readings of SI, a summary is provided of the different types of SI research, their use of the SI concepts and theory and the empirical research methods they employ (section 3). Their transdisciplinary and interdisciplinary features are spelled out and evaluated against the background of important developments in contemporary science practice. An intermediate conclusion here is that SSH are in strong need of attributing a central place to SI research, not the least because SI research will reinforce the action-research character of social sciences and humanities, badly required to build stronger bonds with other sciences; but also, if not more so, because SI research with its capacitation philosophy and practice can help social sciences to overcome its inferiority position vis-à-vis so-called hard sciences.

Step 3 then situates SI and SI research within the broader scientific and political debate on collective action, public policy and socio-political transformation (section 4). It does so in two ways. First it examines how collective action, politics and policy making are addressed in the reviewed projects, including the role of different types of collective actors (including public, private, civil society). Two clear trends emerge: a strong focus on networking of socially innovative agents (often narrowly defined as social entrepreneurs), and an analytical emphasis on the scaling of SI initiatives through diffusion. Second, the changing role of

SI in collective action and public policy will be analysed in relation to its socio-political embeddedness and transformative potential. Compared to the 1990s and early 2000s, there has been a shift of focus from structural to 'practical' meanings of SI: European ambitions to promote grassroots participation in local policy making have weakened in the aftermath of the financial crisis. Instead, civil-society or social-business-driven social innovations are increasingly advocated as means to counter rising unemployment, weakened social conditions and fiscal problems aggravating the abilities of states to sufficiently address these concerns.

In the final step, in section 5, the paper pulls the threads developed in the previous sections together. It identifies epistemological opportunities to make research on and through SI more effective. This effectiveness can be materialised through its contribution to 'open science', its triggering role in materialising interdisciplinarity and transdisciplinarity in science research (creation of knowledge alliances, reinvigorating action research), and returning prominence to Social Sciences and Humanities in the overall scientific forum. The latter is necessary, as the critical reading of several research projects confirms that in the analysis of systems and processes, their institutional, human and social dimensions are too often addressed in a technical and over-rationalised way thus often leading to a misunderstanding of how people and social groups perceive and interact with policy decisions.

The draft paper was shared with 30 experts from scientific, policy and collective action worlds (cf. Annex 5 for the full list of experts). We received about hundred pages of feedback, in general quite positive, asking for amendments, for improving the pedagogy of the paper and becoming more explicit on concrete proposals in section 5. Several experts asked to be more explicit about the definition of social innovation. However, as we will argue, the plurality and frequent partial overlap of definitions matches the diversity of initiatives and actions – and shows their potential to move towards a more democratic and economically redistributive Europe. Still following the recommendation of three experts we take on board a working definition of SI, a definition that will be confirmed as well as challenged 'as we go' in our reviewing endeavour. To start with, we consider SI as a combination of at least 3 dimensions: collective satisfaction of unsatisfied or insufficiently met human needs, building more cohesive social relations and, through socio-political bottom-linked empowerment, work toward more democratic societies and communities (also called the socio-political transformation dimension of SI).

The time we had available for writing this Policy Review paper was too short to deliver a detailed evaluation of the thirty projects; nor was such evaluation its purpose. Yet we were interested to find out how the projects are addressing societal challenges – those prioritised by the EU in priority, to what extent they took into account the recommendations of the Jenson and Harrisson (2013) policy paper   and how they analyse social innovation according to its different interconnected dimensions and from complementary perspectives. Throughout the text observations on good research practice have been formulated. These observations appear in boxes and are numbered 1 to 15.

2. WHAT IS SOCIAL INNOVATION? A HISTORICAL PERSPECTIVE

This section provides a brief historical analysis of the meaning of SI both in SSH thought as well as in practice domains, as identified by policy analysts, civil society organisations and leaders, socio-political activists, and many other actors in civil, political and economic society. Based on this historical overview, it connects the historical roots of the term and its different contextual uses, to its meaning for research, collective action and public policy today. It argues that an inclusive historical overview of the different roles of SI throughout the history of modernity, offers a good basis for defining its diverse roles in today's society and EC public policy in particular.

It is important to observe that from about the first third of the 20th century till 1980s innovation was mostly considered synonymous to technological innovation. Both the first pioneering works on innovation economics as of the 1930s (Schumpeter 1931), and the rediscovery of innovation as of the 1980s within a systems approach (general, national, regional; Lundvall et al. 1988) in innovation and economic development (Edquist, 1992; Moulaert and Sekia, 2003). This wave of work on economic and technological innovation overshadowed the more than two centuries-old history of SI that had started already in the early 19th century. In consequence, the socio-political and human dimensions of development and innovation were pushed to the back, and technology as well as business organisation came to the front as drivers of development. When as of the 1970s, for a variety of reasons, the academic and policy interest in SI returned, especially in the domains of urban and regional development, SI began to lead a life as an intellectual support and practice manual for grassroots organisations, social economy and emancipation movements and as an ethical principle within the corporate social responsibility ambitions of large parts of the business world. It was also connected to the rising interest in the 'third sector' and efforts of local development actors to fight unemployment (Delors, 1979).

Some 40 years later SI is enjoying increasing popularity among policy makers and academics. This can be interpreted as a necessary corrective strategy to tackle the social problems emerging due to state retrenchment and austerity policies. SI would not only promote civil society engagement against bureaucratised public sectors and thereby help to provide better services, but could also assist in drafting austerity policies softening their negative social impact. In this way, SI would enable policy makers "to do more with less and to do it better" (BEPA 2014, p. 93). This corrective view of SI has been criticised as promoting a more inclusive variant of neoliberalism , more in particular as a key instrument of caring neoliberalism (Peck 2013). Within caring neoliberalism, a correction to market liberalism, policy makers combine policy measures rationalising the welfare state with measures to activate civil society organisations. As a consequence, the latter often become chief providers of a retrenched welfare state, supplying social services at a lower cost if not a lower quality (Nicholls and Teasdale, 2017; Peck, 2013; Martinelli et al. 2017).

Box 1: From liberalism to neoliberalism

Contrary to what some observers believe the terms liberalism and neo-liberalism were coined and explained by their founding fathers – specifically by the German economists of the 'Freiburg school' (see Boas and Gans-Morse 2009). The greatest danger stemming from growing liberalism for society was identified by Karl Polanyi (Polanyi, 1944) in his book 'The great transformation. The Political and Economic Origins of our Time' as the growing disequilibrium between economy and society due to the self-regulation of markets according to the principles of free competition.

Following arguments by Dardot and Lavall (2014), neoliberalism is distinguished from liberalism by a shift in main focus. While classical liberalism based on Smith (1827) focused on the market as a means to organize exchange between individuals and their division of labour, neoliberalism focuses on the market as the organising principle of society and the entrepreneur as its proto-typical proponent. Following the German Ordo-Liberals (Böhm, 1966; Erhard, 1958; Müller-Armack, 1981; Röpke, 1979) and the Austrian School of Economics (Hayek, 1978; Mises, 1940), competition is envisioned to be the ideal norm steering society. Neoliberalism emerged as critique of interventionist policy making from the 1930s onwards. Programs such as the 'New Deal' in the US or the economic doctrines of Keynes (1964) sought to relieve liberalism from severe crises by attributing a stronger role to the state to steer economic activity and by introducing social rights and protection (Marshall, 1950). Neoliberals criticised this new interventionism as totalitarian, equating Nazism, communism, and Keynesianism (Hayek, 2014, pp. 181-209).

Despite the differences between the Ordoliberal conceptions of an institutionally secured 'social market economy' (Müller-Armack, 1981) and the market radicalism of the Austrian School (Hayek, 2014), important similarities are the belief in entrepreneurial activity as guiding principle of society and the limitation of state intervention to safeguard the rule of law (Rechtsstaat). Ordoliberals also advocated the necessity to introduce 'policies of society' (Gesellschaftspolitik) to educate workers in entrepreneurial behavior (Röpke, 1979), e.g. through possibilities to acquire private property such as houses and gardens. Austrian neoliberals (Hayek, 1978) radicalised Schumpeter's (1931) ideas on the innovative and dynamic role of entrepreneurs for economic and societal development – a stream of thought which has later been taken up by the Neo-Schumpeterian Peter Drucker (1987). Until the late 1970s, neoliberalism remained a rather marginalised ideology. But with the governments of Pinochet (beginning in 1973), Thatcher (1979) and Reagan (1981), neoliberalism began to be implemented (Steger and Roy, 2010).

The question of the implications of the ideological shift from Keynesianism to neoliberalism (cf. Blyth, 2002) has generated much academic debate. Analysts of comparative institutionalism, e.g. of the 'Varieties of Capitalism' approach (Hall and Soskice, 2001) or the political economy of welfare states (Esping-Andersen, 1990), have always stressed how they observe institutional continuity. Both the (Anglo-American) liberal economies and welfare states, the (Central European) coordinated market economies, the corporatist welfare state regimes as well as the (Scandinavian) Social-Democrat welfare state regimes tend to keep their essential

peculiarities. Nevertheless, transformations towards a more neoliberal institutional architecture have been observed for all European regimes, including the Southern European familial regimes and the Central and Eastern European transition countries (Esping-Andersen, 1999; Kazepov, 2010) as well as the European Union (Gill, 1998). This process of 'neoliberalisation' has been described by Peck and Tickell (2002) as a subsequence of 'roll back' and 'roll out' neoliberalism. In the first phase of 'roll back neoliberalism', the institutions of the Keynesian welfare state are discredited and/or destroyed, while economic activities are de or re-regulated, privatized and/or liberalized. Social rights are limited and social spending reduced (Castles, 2007). The second phase of 'roll out neoliberalism' is characterized by the construction and consolidation of neoliberal state forms with new governance arrangements beyond the state and new privileges to private enterprises. The entrepreneurial spirit is further strengthened by social policies focusing on activation of unemployed and welfare beneficiaries, with a more entrepreneurial role for civil society actors (Moulaert, 2000; Swyngedouw, 2005). Peck and Theodore (2015) diagnosed the emergence of a new form of neoliberalism: 'caring neoliberalism' seeks to strengthen social policies while also fortifying the entrepreneurial spirit.

Source: own elaboration, based on cited authors

There are at least two approaches to understanding the 'pre-academic' history of SI: to examine, as Godin (2012, 2015) does, the historiography of the term; or to reconstruct the dynamics of historical cases that we can retrospectively understand as historically significant SI 'events' or processes which were trend setting. These were usually connected to the historical debates on the term (social) innovation and its roots. Examples here are the rise and consolidation of the social economy (end 19th century), the welfare state (especially as of the 1930s), emancipation and democratisation movements (as of 1960s in Europe and North America). This second approach places the institutionalisation and reproduction of ideas and organisational forms at the forefront of the historical analysis of SI (Besançon et al., 2013; Moulaert and Nussbaumer, 2008).

2.1   The early period (18th-19th century)

Learning from history, we become aware of the importance of the history of the SI term and its content, how its meaning and content have changed, and how these cannot be understood without situating them in their historical and geographical context. The latter refer to both intellectual debates and emblematic experiences at particular (spatial, institutional) scales and epochs. Especially scrutinising the various uses in different spheres of society (religion, political life, crafts, philosophy, …) is important. The use of the term 'Innovation' preceded that of Social Innovation. Godin (2012) writes that is was used first in religious texts in the 15th century Western world. Contrary to its dominant meaning in contemporary times, Innovation had a highly socio-political and ideological connotation, which explains why it was a passionately contested term till the end of the 19th century. Until then it was at the heart of socio-political debates, more a slogan or an ethical ambition of 'change' and 'revolution', in conflict with the conservative ambition of maintaining societal relations as they were.

Till the end of the 19th century innovation, more or less a synonym of social innovation in those days, was predominantly connoted with radical change (revolution) or renewing the old (returning to what existed before or updating the old). The term *social* innovation was coined first in the early 18th century. Its diverse use witnessed of diverse ideological, religious and socio-political debates and struggles. Also the meaning of the term polarised in two directions: political (revolutionary or republican) and social (the introduction of the term 'social innovator' by William L. Sargant in 1858, in the sense of social change; cf. Sargant, 2010). Throughout the 19th century duality in the interpretation of SI persisted: pejorative for conservative forces, because connected to social reform and socialism, yet increasingly appraised as possible solutions as social problems became increasingly societally appreciated and social reform considered necessary. Clearly the different positions vis-à-vis SI parallel the ideological and socio-political struggles between religious and non-religious, revolutionary or gradual change oriented social and political movements (Jessop et al., 2013).

Several societal changes were labelled as SI such as education by Auguste Comte (1841) and legislation on labour, work conditions and unions (Godin, 2012, p. 19). Towards the end of the century – and quite in tune with the evolution of the meaning of 'innovation' in general, SI, in addition to societal revolution and social change, received a third meaning, namely new social practice or behaviour (Godin, 2012, p. 21; Howaldt et al. 2015). Manners, habits, fashion, changes in micro-social relations (e.g. men and women) could resort under this meaning. But social practice and behaviour fit a diversity of approaches in social science that rose in that period (institutionalism, sociology, …). Even if there was far reaching agreement about the term social relations in social science, its dynamics are interpreted according to the often strongly ontologically opposing theories in which they have been conceptualised and the connection with innovation and social innovation is only occasionally made.

The most remarkable trajectory of SI practice supported by scientifically based thought in the 19th and early 20th centuries was the rise and institutionalisation of the 'Economie sociale'. Workers movement leaders, unionists, cooperative and enlightened entrepreneurs, social economists, sociologists, political activists and leaders, found each other in the construction of a long-lasting trajectory combining new cooperative enterprise models, new legislation and institutional structures, education and research, … all facilitating the gradual build-up of a social economy as an alternative for the wild-cat capitalism of industrialisation at the time (Defourny and Nyssens, 2013).

> *Observation 1: The meaning of concepts changes through history and is institutionally determined. The connection with philosophies and development movements of each epoch should be recognised to decide on their significance for contemporary thought and collective practice.*

2.2   SI thought and practice from the early 20th century till the 1970s

By the end of the 19th century 'social innovation', like 'innovation' had not really been theorised. But Weber, Durkheim, Schumpeter, Tarde, and others (Howaldt et al., 2015; Jessop et al., 2013) developed theories of societal change and development in which social invention, social transformation and change, reproduction of social practices, … had a prominent role (see figure 1). Yet because of the growing autonomy of disciplines – from proto-disciplinarity to mono-disciplinarity; Jessop and Sum, 2001) with often each discipline developing its own paradigms, the dialogue between development theories, theories of social change and various theories of individual agency only took place at the margins of the scientific debates. This does not mean that there was no communication or exchange between scientists from different disciplines. But the late interest in the analysis of agency in change and development theories, as well as the gradual abandoning of structural analysis in mainstream economics led to many missed opportunities. Thus, different types of socially innovative agency emerged and were analysed; but reflections on their meaning for social change and development had to wait till later in the 20th century with research on services as social innovation (Gershuny, 1983) and various contributions on territorial development, social innovation and institutional change (Klein et al. 2016; Moulaert et al. 2010; Besançon et al. 2013), social innovation and its potential for societal change (Avelino and Wittmayer 2015; Howaldt et al. 2015; Howaldt and Schwarz 2011, 2016; Pel et al. 2017).

Table 1 gives an overview of what we believe to be the most important meanings of SI in thought and practice in the Western world from the late Middle Ages till the recent history. These meanings are important to keep in mind when discussing contemporary reflections on SI. The table is reluctant on spawning precise dates, as many of these SI movements have fuzzy time boundaries which moreover vary from country to country, and place to place.

Table 1: Longue durée uses and interpretation of the term (Social) Innovation

Period/time Stress on nature of SI	Social transformation	Social reform	Micro-social innovation
Antecedents 15th-16th-17th-18th century	… revolutionary innovator	Innovation as Heresy …?	Guilds – Cooperations
19th century	Socialist revolutions targeting capitalism – Rather pejorative meaning but evolving towards taking care of the social	Especially in the French tradition: more positive … Socialism is only one of the meanings of SI Religious innovation and ethical renewal	Cooperatives Socio-political organisations Social Innovator William Sargant in 1858
End 19th-20th century: two stages in modernity			
1. Consolidation of social economy	Workers and intellectual struggle culminating in rise of mixed economy	Legal and administrative system for social + cooperative economy	Organisation and governance of social and cooperative enterprises
2. Building of the welfare state	From capitalism to welfare capitalism	Labour and social laws	
2.1. Social and cultural emancipation (as of 1960s)	Anti-patriarchial and authoritarian movements	Cultural rights; Changes in educational system; Economic democracy	New models of participation and self-governance
2.2. The new urban question (as of 1970)	"Les régions et villes qui perdent" – Protest movements-Neighbourhood committees and urban movements	Increasing importance of urban policy instruments (Poverty Programme, Urban, other sections of	Neighbourhood planning by civil society actors, neighbourhood committees, new urban initiatives, IAD
2.3. Social and solidarity economy (SSE)	Two new waves of economic precarisation leading to union protests and new social economic movements	New laws and regulations establishing the SSE – Neoliberalism versus new grassroots economies – strong ideological conflicts	New governance models for SSE, networking and association building

| 2.3. Socio-ecological movements | Identity seeking and community building beyond the (market) economic Rediscovery of the political (equity for all) Bottom-linked governance (Spanish big cities) | New urban and rural commons, LEDs, reinventing public space, generalising social protection | New urban commons, small scale agriculture and local development experiments, 'new' villages, post-foundational initiatives |

Sources: Godin, 2012; Moulaert and Nussbaumer, 2008; Moulaert and Mehmood, 2017a

The loss of interest in SI was to a large extent due to the rise of the belief in technological innovation, as ideologically and analytically applied by innovation economics. Although early contributions in innovation economics were affiliated with the rise of neo-classical economics (e.g. endogenous growth theory; Romer, 1994; Arrow 1962), innovation economics was not neo-classical per se and can certainly not be identified with neoliberal economics. Nelson and Rosenberg (1993), Nelson (1993), Freeman (2008), Freeman and Soete (1997), Lundvall (2002), Edquist (1992), Cooke and Morgan (1998) and many others in fact situated the role of technological innovation in an open systems approach, placing the use of technological and organisational innovation within larger sectoral, national and regional innovation systems. Their concepts came from evolution theory and evolutionary economics, thus voluntering a more institutionally embedded image of the innovative entrepreneur. This view of (technological) innovation, a term coined in the 1940s, has significantly influenced national and international innovation policies till today. But it restricted itself to economically innovative agents. Moreover, the evolutionary theory of the firm has often been narrowed to the short-run productivity and profit seeking firm, neglecting longer run sustainability, or the organic community or city which played a significant role in the institutionalist scientific debate among spatial development scholars of the late 19th, early 20th century (Moulaert and Nussbaumer 2008). But an exaggerated focus on technological innovation and concern about the social character of organisational innovation have reinvigorated the discussion on the role of social innovation in economic innovation and development. It has also given a new role to Social Innovation as an antidote to idiosyncratic views of technological and managerial innovation. Recent literature on innovation systems has (re)discovered the importance of SI and the relevance of the social impact of technological innovation (Doloreux 2002, Moulaert and Sekia 2003; Isaksen and Trippl 2017; Marques et al. 2017). Rural development studies, for example those evaluating the LEADER programme, have made remarkable contributions in this respect (see e.g. Dargan and Shucksmith 2008).

Observation 2 When reflecting on possible 'new' agendas for collective action and public policy, lessons from the far away and nearby past help to understand which ingredients are necessary and how a balance between these ingredients can be pursued. This certainly holds for collectively deciding on the role of SI in research, collective action and public policy today.

2.3   From 1970s till early 2000s: revival of SI as a socially innovative strategy

In the first half of 20th century SI was only sporadically analysed in its own right. But especially as of the 1960s, the radical emancipation movements and social struggles against capitalism and the patriarchal state, the search for new economic democracy, the collective strategies against the returning 'question urbaine' (Castells 1983, Touraine 1978, Moulaert and Scott 1997), despite some profound differences in aims and practices, all contributed to making SI more tangible from the bottom-up. Chambon et al. (1982), intellectuals of the 'Temps des Cérises', reflecting on or active in the social and economic emancipation movements of the 1960s and 70s, participated in a debate of wide social and political significance on the transformation of society and, in particular, on the role of the revolts by students, intellectuals and workers. At the same time, they were interested in the socio-political meaning of particular SIs. This debate was echoed in large part in the journal Autrement, with contributions from the likes of Pierre Rosanvallon, Jacques Fournier and Jacques Attali. Subsequently, Chambon, David and Devevey (1982) built on most of the issues highlighted in this debate. Despite the passage of almost four decades, this 128-page book remains an impressive 'open' synthesis on the subject of SI. The authors explain how SI signifies satisfaction of specific needs thanks to collective initiative, which is not synonymous with state intervention. In effect, these authors argue, the state can act, at one and the same time, as a barrier to SI and as an arena of social interaction that can stimulate SI originating in the spheres of the state or the market. They stress that SI can occur in different types of communities and at various spatial scales, but is conditional on processes of consciousness raising, mobilisation and learning. They mainly reproduce the highlights of the French debate and initiatives on SI, but also refer to experiences in the UK.

The approaches falling under the Chambon et al. summary refer to several fields of action and study: social and solidarity economy, anthropology, arts and culture, urban and regional development, community development, transition studies and movements, … The analytical work is ideologically open-minded but strongly attached to ethics pursuing equity, often rooted in social theories and spurred by movements with a long history of resistance or emancipation. Its focus is similar to some of the recent EC-funded projects (FUSIONS, GLAMURS, IA4SI, IMPROVE, INNOSERV, INNOVAGE. TESS, TRANSIT).

For the second half of the 20th century a distinction must be made between at least three subsequent waves of social mobilisation: the 'radical emancipation wave' of the 1960-70s, the neighbourhood and community (re)development period (1980s-2000) and the 'social and solidarity economy', with received a new impetus with the financial crisis of 2008. Their periodisations overlap and their agendas are different yet complementary: The emancipation movements were about fighting the hierarchy of corporate capital, dismantling the authoritarian state and challenging patriarchy in most top-down institutions in the social welfare, education, health and penitentiary system. The neighbourhood and community (re)development movement targeted urban neighbourhoods in decline due to industrial restructuring and threats by large development projects and worsening ecological conditions. This movement quite soon also adopted sustainability and food security strategies, thereby providing the basis for current social and ecological movements. The new social and solidarity economy movement targeted relief for the economic victims of the post-Fordist restructuring and the 2008 financial crisis. It is in this last period that the emancipatory element was weakened in some SI research and the social economy became instrumentalised in the process of rationalising the welfare state, including privatising

parts of the welfare state services, as we will explain in the next subsection. At the same time innovation systems literature opened up to social innovation as a complementary type of innovation, stressed the importance of synergies between technological, social and organisational innovation as well as the social impact of innovation strategies and policies (Fagerberg 2004).

2.4   From the first BEPA report to Innovation Union: SI as an instrument of 'caring liberalism' or a trigger of new governance?

Since the early 2000s, the term SI has been adopted in both national and international policy documents and policies (Jenson and Harrisson, 2013; Sabato et al., 2015). It figures prominently around the world in diverse policy programmes to fight poverty, overcome social exclusion, empower minorities, etc. It had a key role in the Millennium Agenda, in Barack Obama's Office of SI and Civic Participation; it inspired the EC's Innovation Union Programme (BEPA, 2010) as well as OECD policy advice on the role of social entrepreneurship in combating social exclusion and socioeconomic restructuring (Noya, 2009; OECD, 2010) as well as the strategies of organisations and foundations such as Ashoka Innovators for the Public, the Skoll Foundation, and the Schwab Foundation for Social Entrepreneurship with a global outreach promoting market driven SI (Elkington and Hartigan, 2008; Reich, 2011).

The significance that various contemporary strategy and policy documents accord to SI varies greatly. Nonetheless, as far as European policies are concerned, one commonality stands out: SI is interpreted in mainly economic, often market-economic, terms (Sabato et al., 2015, pp. 33-35; Fougère et al., p. 21; Cools 2017). This perspective is strongly influenced by management science, innovation economics and a micro-economic interpretation of SI as strategies to optimise public expenditures (see for example Murray et al., 2010). While SI certainly has economic aspects, focussing on them too strongly can, however, easily lead to a reductive interpretation of SI and its potential – especially where a market-economic approach prescribes how economic practices and relations should be analysed.

Yet there has been an evolution in the way SI as has been adopted by EU policy revealing ambivalence in the potential of SI for the future of Social Europe.

Before the BEPA report (2010), and the official launching of Innovation Union with a prominent role for Social Innovation, social innovation had been a core concept in innovation systems, community development and social economy research, often funded under the various Framework Programmes (Jessop et al. 2013; Hamdouch and Moulaert 2006; Jenson and Harrisson 2013; Doloreux 2002). These studies, despite their wide international recognition, have had only a marginal role in the making of EU Social Innovation policy as of 2010. Before, SI was prominently present – mainly under different names – in the Poverty III programme, Urban I, Leader. The 'new wave' SI policy (cf. e.g. EC 2013b, c, d) initiated by the BEPA report (2010) was significantly inspired by SIX and the Young Foundation, which also entered in cooperation with the DG Enterprise to launch the "Social Innovation Europe Initiative" (2011). The presentation in these documents (e.g. EC 2012a, b) of how SI can address social problems portrays a rationalised operational view of the role of innovation in social relations, and a privileging of firms as the (key) carriers of SI. The last feature prioritises the social business over the social movement as a vehicle for SI, thereby unfortunately neglecting the great transformative potential of the latter. It tends to overlook

the importance of grassroots initiatives movements and other players in the solidarity economy, the transition movement, the cooperative movements, post-foundationalism, the agro-ecological movement, neighbourhood and community organisations, seeking to team up their initiatives and scale out their democratic governance systems.

These initiatives find it very hard to situate themselves in a majority of current SI policies of the EC that are preoccupied with efficiency and effectiveness through social investment and social budgeting (EC 2013a), promoting the successful examples of tangible outcomes from enterprises and industry (EC 2010), and increasingly relying on metrics, measurements and indicators as is evident from the review of a number of FP funded projects below. These discourses appear estranged from the much-needed welfare and social policies and reforms – particularly at the local levels. Several studies have cautioned against market economy based narrow technological and economic views of replicating the success as opposed to contextualising the socio-political needs in each specific situation (Ilie and During 2012; Moulaert et al. 2013; Meichenitsch et al. 2016). Based on their analysis of three SI documents (i.e. EC 2010, BEPA 2010 and BEPA 2014) Fougère et al. (2017: 21) term the European Social Innovation Policy as "(1) further disrupting continental social democracies by affirming the inevitability of budgetary restraint (roll-back neoliberalization), and (2) pre-empting the contestation against roll-back neo-liberalisation through a 'social' wrapping that implies roll-out neoliberalization". Cools (2017) similarly expresses concern about the normative view on welfare reforms when looking at the role of local SI for social inclusion.

This said, even within the academic and practice community there are a number of definitions and discourses trying to influence different European agencies in different manners (Ilie and During 2012). As a result of these concerns a cross-project report of the EC funded SI projects has suggested, besides other recommendations, the need for cross-sectoral collaborations and novel governance approaches for citizens empowerment as part of the co-created agenda for SI research in Europe (Brandsen et al. 2016). Whereas many observers' and SI activists' hope that EC social innovation policies would create openings for and foster more democratic public governance, there is a tendency to view SI mainly as an instrument that can be activated in support of providing welfare. However, when looking at the different policy fields and the diversity in political priorities through which SI should contribute to Europe 2020 (and beyond) there seems to be leeway to also support initiatives working toward democratic governance and inclusion-without-marginalisation.

Observation 3 Historical awareness could be a trigger to re-open the debate on Social Europe. In this debate pre 2010 SI practices in different policy domains and as covered in EU funded research could play a role. But especially grassroots movements active in diverse spheres of society should participate in a public debate on how SI can contribute to build a Social and Democratic Europe for this century.

2.5   Different meanings of SI in the contemporary socio-political and socio-economic landscape

This brief historical overview of SI thought, practice and policy has highlighted the emergence of a range of meanings, orientations and uses of SI in scholarly, political and professional discourses and practices. The resulting 'SI landscape' is complex, as different aspects of this

heritage are taken up by individual authors and practitioners in response to the practical pressures of post-crisis politics and economics. As the next section will outline, different scientific approaches compete with each other – especially in relation to their connection with or resistance to the broader (caring) neoliberal agenda – but are often complementary, offering interpretations of socio-political and socio-economic change at different space/time scales and with attention for different kinds of agency. Table 2 provides an overview of some of the most influential meanings in current circulation.

Table 2: Modern and contemporary meanings of Social Innovation

Concepts of SI	Time period / Discipline/Field	Societal context	Particular 'messages' – Definitions
Weber M (1920) [Social invention]	High days of liberalism, yet search for strong state	Relationship between social order and innovation	Role of individuals with behavioural variants
Schumpeter (1932) [innovation and development]	Rise of Keynesianism – Rupture with extreme market freedom	Relationship between innovation and development	Search for a comprehensive social theory (Sociology of Knowledge)
Tarde	Practice Theory, as critical response to Durkheim's structuralism	Relationship between imitation and innovation	Innovation based on psychological interactions among individuals
James Taylor (1970)	1970s Community Development		
Chambon, David, Devevey (1982)	Student revolts/ emancipation movements 1970s	Crisis of Fordism, still strong belief in making Welfare State more inclusive	"Les innovations sociales"
Peter Drucker (1987)	Rise and high days of Corporate Strategic Management	"Open management science" SI in business and public life, mass movements, …	'Social innovation' as a hinge term to refer to the need for organisational slimness"
Moulaert et al. (1995; 2000) Klein et al.	Urban and regional development (1990s); neighbourhood	Rise of local development 'movement' – Territorial dynamics	Innovation in social relations to satisfy (collective) needs – Role of Empowerment and Socio-Political transformation

Laville, Nyssen, EMES	Rediscovery of Economie Sociale and Solidaire (1990s on)	Succession of economic crises ousting people from jobs	Revival of social economy in interaction with market logic but also pursuing autonomous development
Mulgan et al.	Responding to market and state failure in providing jobs + wellbeing	Transition from disciplining to caring liberalism – Civil society as welfarist	"Innovations that are social in both their ends and their means" (Mulgan 2012, p. 22)
IMPROVE	2000ies – Continuing discrepancies between welfare needs and state service provision	Continuing rationalisations in welfare states	SIs are actions aimed at the - satisfaction of social needs that are not adequately met by market and macro-level welfare policies (content dimension) - through the transformation of social relations (process dimension) which involves empowerment and socio-political mobilisation (political dimension linking the process and content dimension

TRANSIT	Early 2000s on Linking social and ecological problematics	TRANSIT will explore constituent links in the causal chain between SI and systemic change.	"A change in social relations, involving new ways of doing, organising, framing and/or knowing. We approach SI as a process and as a qualitative property of ideas, objects, activities and/or (groups of) people. All of these can be (or become) socially innovative to the extent that they engage in/contribute to a change in social relations, involving new ways of doing, organising, framing and/or knowing. Combinations of ideas, objects and activities that are considered to be socially innovative, can be referred to as 'social innovations'."
SI-DRIVE	SI-DRIVE is aware of the complexity of the governance of the diverse SI initiatives. It distinguishes between four governance frames social movements, policy programmes, umbrella organisations and networks have been analysed. The socio-political dynamics are approached in a systemic way, conflictual dynamics are not theorised.	Scalar perspectives to the diverse world of SI in all its aspects?	SI-DRIVE is aiming at a theoretical framework and typology defining and characterising the world of SI, delivering a sound ground for further research and practices. It looks at a diversity of innovative social practices

3. WHAT IS SOCIAL INNOVATION RESEARCH TODAY?

In a review of the *International Handbook on Social Innovation*, Gordon Shockley begins with the bold claim that "Two literatures on social innovation have developed" (2015, p. 152): one grounded in "Anglo-American entrepreneurship studies" and the other in "Euro-Canadian social economies". We can understand this claim in the light of the historical narrative in section 2: the "Anglo-American" category essentially refers to Anglophone SI literature based in the business innovation and organisational management sciences, developing since the 1980s (Drucker 1987) but achieving special prominence in the last decade as a preferred response to the accelerated retreat of the welfare state following the global financial crisis, while the "Euro-Canadian" literature is more diverse (both linguistically and theoretically), rooted in the emancipatory ideals of Continental social and solidarity movements, and strongly developed through the new approaches to community and neighbourhood development that emerged in the late 1970s – early 1980s.

While this twofold distinction is (as Shockley acknowledges) a gross simplification of a complex, multidisciplinary field, it is nonetheless useful as it reflects a widely recognised tension in SI scholarship, one that is highly significant to the policy debate. As such, very similar dualisms in the SI research landscape have been characterised by others including Unger (2015 – 'weak' vs 'strong' SI); Montgomery (2016 – 'technocratic' vs 'democratic' SI); and Ayob et al (2016 – 'instrumental' vs 'radical' conception of social change in SI analysis). This section, Section 3, examines how SI research is practised today. Section 3.1 moves beyond the dualism noted above and draws upon a number of other recent literature surveys, including among others some conducted for SI projects funded under the Framework Programs, to give a brief overview of the broader landscape of SI research before narrowing in on the research funded by the EC in the last decade (3.2).[3] A separate sub-section 3.3 discusses the question of methodology, and the section concludes by identifying a few gaps and opportunities for strengthening European SI research and its contribution to policy, issues which are taken up in more detail in Sections 4 and 5.

3.1   A variety of approaches

There are many possible ways of classifying SI research, as the recent proliferation of attempts to do so might suggest (e.g. Ayob et al., 2016; Brandsen et al., 2016; Choi and Majumdar, 2015; Howaldt and Kopp, 2012; Marques et al. 2017; Montgomery, 2016; Moulaert, 2010; Moulaert et al., 2013a; Moulaert and Mehmood 2017b; Nicholls et al., 2015; Oosterlynck et al., 2013a, 2013b; Parés et al., 2017; Rüede and Lurtz, 2012; Young Foundation, 2012). Many of these reviews, as well as others (e.g. Phills et al. 2008, Pol and Ville 2009) attempt to settle on a single, comprehensive definition of the term, an ambition we regard as somewhat dubious; as Section 2 has outlined, we see SI as highly contingent on the historical and societal conditions in which it emerges – not to mention the different domains and fields of action to which SI initiatives and discourses are addressed. Rather, we identify two three core principles which characterise SI across a diverse literature. These

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3   In this section, we are concerned primarily with research that treats SI as a type of response to human needs and/or social problems through changes in, or the creation of new, social relations. We acknowledge the existence of other discipline-specific uses of the term, for example in human resources management, internet studies, psychology and social work (cf. Rüede and Lurtz, 2012; van der Have and Rubalcaba 2017), but see these as somewhat peripheral to the body of work most clearly addressed to EU policy.

are:

- SI is not reducible to a field of endeavour, nor to a particular sector of the economy. It is a way of understanding a wide range of activities and practices oriented to addressing social problems or meeting human needs.
- SI does not separate means from ends, but treats needs and problems as inherent in social relations. It therefore involves changing relations through the adoption of new social practices, institutional arrangements and/or forms of participation.
- As a consequence, the effects of SI extend beyond the immediate meeting of needs. For most authors, there is a normative aspect to the definition of SI, in that it has effects that – in a range of different ways – improve society. At the least, social innovations improve long term opportunities for individuals and/or communities, or produce more efficient, effective and/or sustainable means for society to deal with its challenges. Some authors, however, consider that SI should have deeper transformative impact – these different perspectives are described further below.

Within this very broad characterisation, we can identify a number of different approaches within contemporary SI research, which reflect not only disciplinary, conceptual and ideological differences, but also different priorities in terms of their empirical focus. We begin with the dual distinction noted above, identifying two normative '*streams*' of SI scholarship, checking also on how they relate to the dimensions of SI we recognised in our working definition of SI in the Introduction.

The "Anglo-American" literature has gained particular international prominence in the last decade, as it tends to support the instrumental, 'social entrepreneurial', micro-economistic approach that characterises post-Crisis policy discourse (Sabato et al., 2015). This literature focusses strongly on the design, implementation and diffusion of "new ideas that work in meeting social goals" (Mulgan, 2007, p. 8). Its way of looking at SI mainly corresponds to the first and to less extent the second dimension of SI in our working definition. That is, there is a focus on identifying and promoting solutions that are practical within the framework of the existing economic order, rather than on understanding the structural causes and conflicts underlying the problems in need of solving (Fougère et al. 2017), or on the social/discursive processes through which both problems and solutions are constructed (Lawrence et al 2014). As a result, the objective of social innovation, particularly in the area of welfare, tends to be the activation of economically and, consequently, socially marginalised and vulnerable people as productive economic subjects (Oosterlynck et al. 2013) – that is, there is an emphasis on individual (rather than collective) empowerment. As such, it can be seen as a discourse of 'caring neoliberalism' (Montgomery, 2016; Moulaert et al., 2013a; Peck, 2013), with a strong focus on how to facilitate, enable and spread the 'right' kinds of SI, i.e. those making social welfare cheaper and more activating.[4] It is notable that several important policy reports at the EU level (including BEPA, 2010, 2014; EC, 2013) were (co) authored by and/or cite as sources only UK-based proponents of this approach, in particular the Young Foundation and SIX (see also Fougère et al. 2017).

Pares et al (2017) distinguish at a finer grain between an economics-based approach, emphasising entrepreneurship as a driver of innovation according to a Schumpeterian framework, and a management-based approach, which rather focusses on how to create social value through organisational means. This distinction is of significance, more as a matter of practical focus than of normative orientation. Thus, in Table 3, we refer to a single

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4   In some cases– especially in the 'sharing' and/or 'gig economy' (e.g. Uber, Airbnb) – observers have even noted the emergence of SIs representing 'neoliberalism on steroids' (Morozov, 2013; Murillo et al., 2017).

"practical-organisational" stream, within which there are distinct foci.

The "Euro-Canadian" literature is interdisciplinary and theoretically diverse (see Haxeltine et al., 2016; Klein and Roy 2013; Moulaert et al., 2013b; Oosterlynck et al., 2013a), but is set within the broader tradition of critical studies and, compared with the practical-organisational literature, tends to carry a more explicitly political message that foregrounds empowerment, solidarity and the generation of critical alternatives to neoliberalism. A core promise of this approach to SI is that it offers the means not only for meeting needs, but also for political mobilisation among vulnerable and marginalised communities. Its focus lies more with the second and third dimension of the working definition of SI, and with an explicit analytical focus on multi-level governance and institutional dynamics, as well as on the strategies and knowledges mobilised by SI actors in particular contexts. Although this stream of thinking has strong historical links with social (and, recently, socio-ecological) movements, it is frequently identified with a *territorial* or *urban development* approach (Klein et al. 2014; MacCallum et al. 2009; Moulaert and Nussbaumer 2005, Moulaert et al. 2010; van der Have and Rubalcaba 2016; Pares et al 2017), primarily because it is the basis of a trajectory of European projects since the 1980s focussed on the emerging neighbourhood development movement, in which the authors of this policy paper have all been closely involved (Moulaert 2000; Moulaert et al., 2005; Moulaert et al 2013a; Moulaert and Mehmood 2017)[5]. Both MacCallum et al (2009) and Pares et al (2017) differentiate, within this 'democratic' stream, between a geographical approach and a political science approach focussed more on governance relations, in the sense of the links between SI and the state (Leubolt and Weinzierl, 2017; Martinelli, 2013; Miquel et al., 2013; Novy and Leubolt, 2005). Yet these approaches are closely connected; the territorial development approach displays a strong concern with governance as an integral aspect of territory, and has made significant contributions in this regard, for instance in the concept of 'bottom-linked' governance (Miquel et al. 2013). For this reason, we do not distinguish the two streams in Table 3, referring to both as the 'territorial development' stream.

This Policy Paper, although conscious of the role of ideology in defining and practicing SI, also acknowledges, firstly, that not all SI research can be straightforwardly identified with either of the approaches described and, secondly, that even within these broad approaches more nuanced distinctions can be important, particularly as they relate to policy fields and research priorities. We now therefore shift attention from this ideological dualism – more properly understood as a spectrum – to cross-cutting concerns which can be found across the spectrum, identifying these as qualifying foci within Table 3.

A significant and increasingly prevalent concern, for example, is with understanding SI as a driver of macro-level social change, identified by Pares et al (2017) as a 'systems' approach, but which we refer to in more general terms as a 'social change' focus – cf. the third dimension of our working definition. The emergence of this stream reflects a growing recognition that band-aid solutions to 'social problems' are unlikely to be effective in meeting current social, economic, technological and environmental challenges. Profound transformations such as climate change and symptoms of political and economic crises demand innovative responses. Some of the answers to the new challenges can be found in SI initiatives. SI research can provide a point of entry for holistic understanding and, perhaps, for orienting our responses to the new challenges. This context, of course, frames the purpose of this paper.

The social change – term with diverse historical roots, we saw - scholarship is internally

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5   These projects include: SINGOCOM (FP5); DEMOLOGOS (FP6); KATARSIS (FP6); Social Polis (FP7).

diverse, as different authors draw on different sets of social theories, with different empirical emphases, and from different normative perspectives. Prominent within this stream are the ecosystem resilience approach of the Waterloo Institute for SI and Resilience (Antadze and Westley, 2013; Westley and Antadze, 2010; Westley et al., 2013) and the social practices approach of the project SI-DRIVE (Howaldt et al. 2015; Howaldt and Schwarz, 2016). The social practices approach has some important connections with the 'social innovation ecosystems' approach. Based on innovation management ideologies (BEPA 2014), they attempt to offer a heuristic device, building links between the role of fundamental research, collaborative actions and governance structures in an enabling environment (Howaldt et al. 2016). Framework conditions, supply- and demand-side measures and the role of intermediaries remain key components in shaping such an environment (TEPSIE 2014). The approach is still in infancy and needs to consider dynamic implications of the changing conditions for local and regional development but also other aspects such as value creations, collaboration, and capacity building for community empowerment.

Other approaches on social change include the critical-institutionalist approach of the project TRANSIT (Avelino and Wittmayer 2016; Pel et al. 2016), the translating needs into rights approach of the ImPRovE project (Cools et al. 2017) and work on institutionalisation being undertaken at the *Centre de recherche sur les innovations sociales* (Klein and Roy 2013; Klein et al. 2016). These approaches are also distinct from each other in finding evidence of transformative potential in different aspects of SI, and thus focussing on different types of case studies: historical examples for WISIR; institutionalised initiatives at the national scale for SI-DRIVE; globally networked initiatives and movements for TRANSIT. In spite of these differences, we consider them to be linked by their central driving concern – one which (as noted above) we consider of great importance, and which we expect to grow further in both prominence and theoretical diversity variety in the immediate future.

A second cross-cutting concern is with the role of the third sector and – recently – social enterprise as sites of, or generators of SI. There is, indeed, a tendency in some policy environments to *equate* SI with third sector and/or social enterprise initiatives (e.g. BEPA 2010, 2014), partly as a result of the influence of proponents of the entrepreneurial approach of the practical-organisational stream (Fougère and Harding 2012, Jessop et al. 2013). However the focus of this scholarship cannot be reduced to such an equation. Equally, it builds upon the radical critique of state bureaucracy (and in some cases its underlying relations with capital) to imagine alternative means of meeting the needs of citizens, at the same time fostering lasting social change (Chambon et al. 1982). While not all third sector/social entrepreneurship studies are framed in terms of SI, there is a continuing dialogue between them and SI, which has great traction in policy and which has helped to shape cooperative relations between the state and the social economy in a range of contexts (Klein et al 2016; Fraisse 2013; Martinelli 2017, Defourny and Nyssens 2013; Avelino and Wittmayer 2016).

Another focus linking a range of SI literature, identified by André et al. (2013), Moulaert et al (2013b, 2010), van der Have and Rubalcaba (2017) and Pares et al (2017), is creativity. As for the social change stream, this focus is represented in quite a varied set of approaches which may broadly align with one or the other – or neither – of the practical-organisational or territorial development streams. A seminal contribution along these lines, from the field of leadership studies and most closely aligned with the organisational management approach, is that of Mumford (2002), who examines how new ideas about the organisation of social relations are developed and implemented by creative individuals to produce social change.

A quite different perspective on creativity underwrites a significant body of work associated with the territorial development stream, which connects SI to artistic endeavour, and the building of creative milieus in which creative energies and diverse forms of expression are released to generate collective political action (André et al. 2013; André et al. 2009; Tremblay and Pilati 2013; Vitale 2010; Membretti 2005; Donaldson and Court 2010).

An important and significant line of research, also identified by Rüede and Lurtz, links SI with technology – both the social processes underlying technological invention (Zapf 1989; Howaldt and Jacobsen 2010), an issue with obvious policy implications, and the social effects of technological change (e.g. represented in the project NANODIODE, but also in the many FP projects on innovation systems and regional development). The relationship between technological (and business) innovation and social relations is a long-standing concern of sociology (Weber 1980; Durkheim 2014; Schumpeter 1931), for the good reason that all technological innovation is social in its underlying processes, its diffusion, and its broader impacts. Research that ignores this insight, or that reduces the relationship to one of economic exchange, risks also ignoring the role that technological development can play in furthering social inequality and environmental degradation.

Finally, we wish to recognise a growing body of literature focussing on SI as a concept, rather than as practice. This includes the many review papers we have used to inform this section (and others), but also a number of more narrowly focussed contributions presenting meta-theoretical, historical and critical perspectives on SI discourse and its influence on contemporary policy and practice (e.g. Godin, 2012; Jessop et al., 2013; Marques et al., 2017, Fougere et al., 2017; Grisolia and Farragina 2015; Peck 2013). We see this literature as having an important role in orienting the direction of policy-relevant SI research.

Table 3 summarises this sub-section. The normative spectrum from the practical-organisational to the territorial development reflects, in particular, the authors' perspectives on empowerment (to simplify, individual or collective), democratic participation (organisational or political) and scalar dynamics (for example, scaling as a matter of diffusion or of institutional change; the macro as context for particular needs and responses, or as intrinsic to exclusionary and counter-hegemonic dynamics).

Table 3: Contemporary SI research perspectives (authors' elaboration)

Foci \ Normative spectrum	Practical-organisational .... Territorial Development
Entrepreneurship	Social innovator as agent of SI where states/markets fail
Organisational management	Organisational slimness/ efficiency Participatory decision making
Neighbourhood and urban development	Tactical urbanism IAD Commons movements
Governance / State relations	Cross-sector collaborative arrangements Bottom-linked development Counter-hegemonic movements Welfare systems
Eco-social relations	
Macro social change	Ecosystem resilience (WISIR) Critical-institutional approach Social practices CRISES
Third sector and social enterprise	
Creativity	Cultural development Arts as space of collective action Creative leadership shaping institutional change/progress
Technology	Social processes underlying techno innovation Social impacts of technological change
Conceptual work	General literature reviews Practical/universal definitions Critique of SI relations with neoliberalism

3.2   EC funded SI research in this landscape

As indicated in the introduction, we have reviewed 30 recent EU-funded research and development projects on SI, with attention to the analytical approaches taken and the projects' implications for policy and research, rather than simply their objectives and findings. The main outcomes of the review are condensed in tabulated form as Annex 3.

We then examined the outcomes of this exercise through three analytical lenses: (1) the recommendations of the EC's previous review (Jenson and Harrisson 2013); (2) the place of SI in SSH and the broader research agenda of the EU: is SSH taken seriously in analysing the role of SI in innovation, development and policy making? and (3) the typology developed in subsection 3.1.

Jensen's and Harrisson's (2013) Policy Review paper identified five policy areas and eight recommendations for future research. The five policy areas were identified as somewhat under-researched relative to others (such as labour market activation, education and welfare. These included: (a) health, (b) rural area development, (c) the financial sector, (d) the private sector, and (e) SI for managing diversity. The policy recommendations derived from the prior report were:

1.   concentrate research on institutional (meso) and individual (micro) levels and not the societal level
2.   encourage cross-level discussion among projects
3.   establish a forum to discuss the conditions for treating Social Innovation (SI) as an input or as a result
4.   encourage researchers to actively include the stakeholders as co-producers of knowledge
5.   focus on historical precedents
6.   establish a forum for cross-project assessment of commonalities in the conceptualisation of SI
7.   establish a mechanism for cross-project work on a consensual definition of SI
8.   critically assess the normative content of concepts such as 'good' and 'new'.

In relation to the policy areas, the issue of health has been most prominently taken up, as the explicit focus of the projects EuroFIT and INNOVAGE, as an important policy field in InnoServ and as an implicated issue in projects on food processing and consumption (FUSIONS, Protein2Food, S3C). The financial sector is not the explicit focus of any project, but has been coincidentally included by TRANSIT in the form of a case study about credit unions (Dumitru et al. 2015). Similarly, the private sector is barely considered except in the specific manifestation of 'social entrepreneurship' in BENISI, SEFORIS and TRANSITION. SI in the rural areas is the explicit focus of SIMRA, which unfortunately had reached only 1 year of project running time at the time of assessment. The issue of managing diversity has been taken up in the projects ImPRovE (conceptually and through its focus on Roma; cf. e.g. Vercseg and Bernát 2015), InnoServ, and other projects dealing with social inclusion (e.g. SOCIETY). Gender, an important issue concerning managing diversity was not an explicit issue in the reviewed projects; nor is there much evidence in the broader literature of focussed gender analysis (but see André 2013). This is somewhat puzzling, because many examples of SI involve a transformation of gender patterns, e.g. through assisting women in small scale enterprises (Yunus 2007), the substitution of paid care work by unpaid labour or the substitution of domestic labour by voluntary community-based work (cf. e.g. André

2013). This seems to be a significant gap, a 'strategic silence' (Bakker 1994); it would be advisable to include gender more explicitly in future research and coordination efforts.

Turning to Jensen's and Harrisson's eight recommendations, our analysis shows how the projects – although given their timing some would not have been in a position to take them into account – attest to a good degree of alignment with most recommendations. The projects continue to focus on meso- and micro-levels (R1), mostly treating the macro- (societal) level as a context variable. However, there is also the (in our opinion) welcome addition of some large-scale integration projects looking at interscalar dynamics between SI initiatives and systemic change (SI-DRIVE, TRANSIT). Most projects include stakeholders in their research and/or publication strategies, as will be further highlighted in section 3.3. (R4) The cross-level comparison of projects, the interchange of information on the conceptual and empirical basis of SI (R2, R3, and R6) has been facilitated by a number of coordination actions establishing researcher-practitioner networks (most notably SIC). While these efforts have proven to be successful in gathering research and information on SI, the efforts towards cross-project work on defining and theorising SI (R7) remain scarce. Thus, differences in the conceptualisation of SI remain, and there are generally few cross-references between the 'practical-organisational' and the 'territorial development' streams. In some of the projects not centrally focused on SI (e.g. GLAMURS, SEFORIS, and most of the projects assessed as AUX – X for this paper) there is no explicit conceptual discussion, while others (e.g. SIC) adopt the definition of the project TEPSIE (Young Foundation 2012). Therefore, SI remains a 'quasi concept' (Jenson and Harrisson 2013, p. 10) with common ground but without a common definition throughout the projects. Contrary to the earlier review, we see this not as a weakness but as a strength: the conceptual and practical ambiguity of SI research reflects the openness and diversity of SI in practice. Equally importantly, it creates in itself a space for social innovation, where novel interdisciplinary and transdisciplinary modes of research (see 3.3. below), as well as novel institutional forms and collaborations are nurtured, any of which may hold progressive, even transformative potential. The two mostly neglected recommendations were the role of history (R5) and attention to the normative and empirical grounding of concepts such as 'good' and 'new' (R8). While the latter concern has been included with the help of notions such as 'empowerment' (ImPRovE) or 'transformation' (TRANSIT), the former concern has been a feature of many of the case study analyses (e.g. in Innoserve, TSI, SI-DRIVE, CRESSI, TEPSIE, WILCO, ImPRovE, TRANSIT), but in general did not extend to SI as an idea with conceptual and historical precedent. This remains a future challenge.

> Observation 4: While the reviewed projects largely align with the recommendations of the previous review,[9] there remain gaps that should be strengthened in the future. These include foci on rural development and ecology, more attention to social innovation in the private sector, and stronger analysis of the role of gender and other axes of social inequality in shaping SI.

> Observation 5: A diversity of theoretical approaches and definitions of SI should be considered desirable – a reflection of the field's strong interdisciplinarity, its openness to experimentation, and its place in healthy political debate about Social Europe. Attention to the historical and sociological heritage of SI and comparison of theories should be an intrinsic part of this debate.

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6   Noting that some of them had already commenced when that review was written.

A second, and related, key finding from this review is that where SI is not the primary object of the research – that is, other than the XXX projects and in some specific parts of XX projects (especially ImPRovE, Social Polis, Innoserv, TSI, SocIEtY) – it is often reduced to establishment of communication between scientists and stakeholders (e.g. SeaChange, EuroFIT, FUSIONS, IA4SI, S3C), and equally often – especially in many of the non-SSH projects - being presented as merely a buzzword. This should be of great concern to the Commission: the need for a strong social science perspective on pressing problems that have historically been conceived in technological and natural scientific terms has been recognised in the move to interdisciplinarity. Moreover, as we have already argued, it is impossible to understand – much less to steer – the dynamics of technological development, business innovation or governance without attention to social relations, practices and processes. This means that the social needs to be an intrinsic object of analysis, in interdisciplinary projects, rather than an add-on; however, this seems not to be fully appreciated in these projects, and this is likely to weaken their potential impact. It will lead to one of our main recommendations for interdisciplinary research under FP9 (see section 5).

> *Observation 6: The inclusion of social innovation in non-SSH projects is an invitation to take the social environment of innovation seriously to develop a deeper understanding of the dynamics of change in a range of scientific and technical fields. This has not been taken up in a coherent way under the H2020 program.*

The third step in our analysis is summarised in Table 4, which broadly positions the reviewed projects according to the typology described in section 3.1. Some projects are not included in this table because their treatment of social innovation was too cursory for us to make an assessment (SeaChange; Respon-SEA-ble; MOBILITY4EU, GLAMURS, EuroFIT, FUSIONS, S3C, NANODIODE). As noted above, this raises the concern that the use of SI in these recent projects is somewhat loose and instrumental, and could potentially defeat the purpose of innovation research.

Table 4: Approaches of Social Innovation in EU-funded R&D, FP7-H2020

Normative spectrum / Foci	Practical-organisational	Territorial Development
Entrepreneurship	CRESSI TEPSIE[2] BENISI SIC TRANSITION SocIEtY[2] SIMPACT INNOVAGE[2]	
Organisational management	SIMPACT SOCRATIC[2]	InnoServ
Neighbourhood and urban development		Social Polis ImPRovE[2]
Governance / State relations	WILCO ITSSOIN[2]	ImPRovE TRANSIT[2]
Eco-social relations	TESS SIMRA[2]	
Macro social change	SI-DRIVE	TRANSIT
Third sector and social enterprise	SEFORIS ITSSOIN TESS[2]	TSI
Creativity	ITSSOIN[2]	Social Polis[2]
Technology	IA4SI SOCRATIC[2]	
Conceptual work	TEPSIE	

Source: elaboration by the authors[7]

This analysis shows that the EU has funded a diverse range of SI research. Since the last policy review report (Jensen and Harrisson 2013), the balance seems to have shifted markedly towards the practical-organisational end of the spectrum. This is particularly notable in the most recent coordination and support actions, which have become heavily oriented to supporting entrepreneurial activity, networking and scaling through diffusion (SIC, BENISI, TRANSITION), with a lesser emphasis on organisational arrangements for social service delivery (InnoServ) rather than (as in the earlier CSA Social Polis) creating broad-based platforms to facilitate practitioner and community input to policy. There is a possible link here to the fact that the entrepreneurial discourse appears to dominate relevant EC

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7   2 = secondary approach or approach taken in some aspects; projects highlighted in purple are H2020, the others FP7

policy documents and programmes (e.g. BEPA 2010, 2014; EC 2013b, c, d) – some projects explicitly draw on these documents (particularly BEPA 2010) for their definition of SI (and see section 2 for an explanation of this bias).

Secondly, most of the literature's key foci have been addressed under FP7, the main exceptions being the creativity focus and, within the conceptual work, critical perspectives. In particular, FP7 placed a strong emphasis on social change, with two large-scale integration projects (out of the three reviewed) focusing on this point. This range seems to have been markedly reduced in the projects that include SI funded under H2020 so far, with only two projects addressing SI in enough depth to be included in the table. We feel confident in linking this phenomenon to the tendency, noted above, for non-SSH projects to pay rather minimal analytical attention to the social.

> *Observation 7: There has been a marked shift to the practical-organisational end of the SI spectrum in the later rounds of FP7, and an even stronger trend in H2020 for SI to be treated as an add-on, rather than an integral part of the analytical framework.*

3.3   Research methodologies in SI research

Given the highly multidisciplinary and, in many projects, interdisciplinary nature of SI research, as well as its close connection with practice and policy, it is important to look at variation in methods used, and to establish some principles for evaluating methodological approaches. We have previously argued (Moulaert et al., 2010, 2013a; Moulaert, 2016) that an ethical approach to SI research should be attentive to its own potential to shape social relations, to meet human needs and to empower those normally marginalised in socio-political life – including, crucially, altering power relations within the methodological norms of traditional scholarship. In sum, we believe that SI research should strive to be socially innovative.

This implies that SI research should have three key characteristics:

1)   It should be interdisciplinary, in the strong sense of enabling the critical logic(s) of social science disciplines to interact with others – such as those in humanities, business, health, natural and physical sciences. This means not simply that different forms of expertise contribute discretely to understanding or solving a problem, but that communication between disciplines reconfigures new forms of empirical investigation, analysis and meta-theoretical development (Klein 1996; Moran 2010).

2)   It should be transdisciplinary, meaning that interested participants from outside of academia are closely involved in the research, not simply as informants and/or 'users' of the research, but as co-producers and partners who help define the research questions, methods, analysis and dissemination formats in a continuing reflexive process – what we have called transdisciplinary problematisation (Novy and Beinstein 2009; Miciukiewicz et al. 2012). Transdisciplinarity in SI thus needs to go beyond conventional models of practice-led research, by engaging people in need (as well as other SI 'practitioners') in deep, critically informed, analytical dialogue.

3)   It should establish platforms to enable this exchange, allowing people some choice of languages, expressive formats (including non-linguistic forms such as artistic expression, etc.) and modes of communication (including face to face as well as virtual). Such platforms may cater for both closed and open networking.

The table in Annex 3 summarises the most relevant H2020 and FP7 projects' methodologies. Particular attention is given to an important aspect of transdisciplinarity, i.e. the involvement of practitioners and the creation of opportunities for the research to interact with policy/ governance processes. Also highlighted is the development or use of a common analytical framework, a shared language for producing and exchanging knowledge within the projects. This is important because it reflects a (shared) problematisation of SI practice, and shapes the critical orientation of the analytical dialogue.

Despite the difficulties in comparing coordination and support actions with research and innovation projects, which have rather different aims and practices, some overall trends can be observed across the tables in Annexes 3 and 4. There is, as might be expected, a strong tendency for large scale research projects to be multi- or inter-disciplinary, but often in the 'weak' sense of including partners from social sciences and humanities to deal with specific considerations – largely associated with communicating the 'hard' science. In particular, most of the projects thematically linked to specific policy fields (SOCRATIC, PROTEIN2FOOD, SEACHANGE, RESPONSEABLE, MOBILITY4EU, EUROFIT, FUSIONS,IA4SI, S3C, NANODIODE) draw on theoretical and analytical frameworks in which the crucial roles of social relations and governance institutions in enacting change are rather poorly represented.

Importantly, the active inclusion of stakeholders is becoming a common approach, with non-academic partners participating in the research and various opportunities for input built into the WPs. At the very least, this means that practitioners and policy makers are involved in the research as sources of information (for example through interviews, surveys and observation), and also as the intended audience for some of the deliverables, especially policy briefs (e.g. ITSSOIN, SEFORIS, TSI). However, many projects go well beyond this minimal level of participation. All of the coordination actions explicitly target practitioners, as clients (BENISI, TRANSITION) and/or as active partners in knowledge exchange (SIC, InnoServ, TESS). Some go still further, providing concrete means for practitioner organisations to direct the research and take a leading role in its conduct and dissemination (FUSIONS, Social Polis); these appear to be aiming for true transdisiplinarity. These coordination actions also provide for open platforms, beyond the projects' formal partnerships, enabling much broader participation to snowball. Some of the research and integration projects also give stakeholders an active role in direction setting, for example through membership of an advisory board (SI-DRIVE, WILCO, TRANSIT, InnoServ), participation in strategic workshops (CRESSI, TEPSIE, GIAMURS, SocIEtY, ImPRovE) or via an Internet platform (INNOVAGE, InnoSErv); as a rule, however, the role of non-academic participants is weaker in these projects.

We see the above trends as positive. However, there is still plenty of room for improvement. Transdisciplinary research, as we describe it, requires more than providing opportunities for communication with non-academic experts and for their involvement in steering projects, particularly if it is to contribute to social inclusion. While some of the coordination actions (notably Social Polis) have facilitated highly inclusive knowledge partnerships (Novy et al. 2012), this practice has not extended in a major way to the research and integration projects. Crucially, the majority of non-academic participants are in general rather 'high-

level' stakeholders (i.e. network coordinators, consultancies, policy-makers and analysts), rather than grassroots actors. But when projects are focussed on social inclusion (e.g. ImPRovE, InnoServ, SocIEtY, TSI) there is a tendency to include service providers rather than the involved populations or target social groups themselves. We see this as a significant gap. While we recognise the value of advocacy, particularly for certain groups of people that may lack the desire or ability to represent themselves (e.g. very young people, people with mental disabilities, some elderly people), it is still important, both to the realisation of social rights and to the rigour of related research, that more effort be made to involve people directly affected by social exclusion (cf. e.g. Leubolt and Romão, 2017) – and to find appropriate means to do so.

Creative forms of disseminating results for stakeholders outside the academic community include 'Practice Briefs' (TRANSIT), video presentations (GLAMURS, InnoServ), and posters (GLAMURS, ITSSOIN). Given the international character of the projects, it is rather surprising, that many projects publish their results only in English. Notable exceptions were TRANSIT, GLAMURS and Innoserv, producing some of the 'Briefs' also in regional languages of the involved project partners. Given the importance of active stakeholder involvement within the reviewed projects, in future research programmes the role of language diversification for dissemination efforts should be considered.

An additional methodological observation relates to SI as a trigger for social transformations, a critical concern of this paper and of the agenda for Social Europe. This is the need for longitudinal research – not only through historical investigation, but also especially into contemporary innovations and initiatives whose potential impact cannot be captured within the limited timeframe of a three year research project. We will return to this point in Section 5 of the paper.

> *Observation 8: While English has been established as lingua franca for international exchange, many local actors would benefit from customised publications and dissemination outputs in their local languages. Future SI research should consider additional funding for such dissemination outputs.*

4. COLLECTIVE ACTION, PUBLIC and SOCIAL INNOVATION

Given the importance of collective action in the early SI approaches of the 19th and 20th centuries, it is rather a surprise that many contemporary 21st century conceptualisations do not give more attention to the role of politics and collective action. Especially the practical-organisational literature, with the focus on "new ideas that work" (Mulgan, 2007, p. 9), does not give importance to the political dimension, despite the alleged focus on "new ideas (products, services and models) that simultaneously meet social needs and create new social relationships or collaborations" (Murray et al., 2010, p. 3). In contrast, the territorial development literature attributes a central place to governance and power relation, as "SI is about social inclusion and about countering or overcoming conservative forces that are eager to strengthen or preserve social exclusion situations" (Moulaert et al., 2013a, p. 17). Therefore, both literatures address "social relationships or collaborations", but with important differences concerning the notions of societal conflict and the prerequisites of empowerment or the meeting of peoples' needs and aspirations. As pointed out in the previous section, the dual reading of SI does not capture the range of different approaches, but serves as a point of departure, marking a continuum of approaches.

The following section deals with the question of collective action in recent SI research. It is structured in four subsections. First, the different definitions and understandings of the political, politics and policy are examined. The most important characteristics of the reviewed SI research projects are the strong focus on networking and a tendency towards the scaling of SI initiatives. Second, the role of different societal sectors and types of collective actors are analysed. Third, the socio-political embeddedness of SI initiatives is questioned against its transformative potential. The fourth subsection observes the changing role of SI in collective action and public policy. Compared to the 1990s and early 2000s, a tendency from 'talking' to 'doing' is observable.[8]

4.1   Different definitions/understandings of the political, politics and policy: networking and the move from mainstreaming to scaling

The projects reviewed in this report respond to different sources of general reappraisal of actually existing politics and policy making. While managerial projects explicitly (e.g. CRESSI, SEFORIS) or implicitly (e.g. TRANSITION) treat state and/or policy failures as major obstacles to be overcome, many other projects have a more balanced view, and also deal with potential market failures (e.g. GLAMURS, TRANSIT, TSI). This differentiated focus has further consequences for the privileged sectors and types of collective actors (cf. 4.2) and the perceived role of SI in policy making (cf. 4.3 and 4.4).

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8   There is no space for a more elaborate discussion of 'talking' and 'doing', including epistemological and ontological issues such as the intertwining of discourse and action, as advocated by some adherents of critical policy analysis (cf. e.g. Hodgson and Irving 2007). For the sake of this paper, we use the notions of 'talking' and 'doing' to point at a shift from promoting local forms of participation during the 1990s and early 2000s towards activating policy interventions in the course of the 2000s. The reviewed projects confirm this shift, especially due to the emphasis to engage in practical work with social entrepreneurs (e.g. BENISI, TRANSITION, SEFORIS) and other SI actors (e.g. SIC).

The historical heritage of SI as societal collective self-organisation (Martinelli 2010b) is reflected in a limited number of research projects, despite of a widespread focus on networks and networking. Most projects stress the importance of networking for efficiency, with different implications. Some projects (e.g. TRANSIT, GLAMURS) investigate the role of networks in SI agency and processes in their case study research, while others yet directly engage in networking. The 'TRANSITION' project presents the foundation of the European SI Incubation Network (ESIIN) as a major outcome of the project (TRANSITION 2016, p. 36). The 'Social Innovation Community' (SIC) project can even be seen as a structured effort to assist networking of European SI practitioners through its project website (https://www.siceurope.eu/). But while the target group of the ESIIN appears to be rather narrowly defined in terms of social entrepreneurs, SIC's target group is more widely defined and includes researchers, policy makers, social movements and other civil society actors.

Another important effort towards enabling and/or facilitating networking has been taken up in the project SI-DRIVE. Similar to efforts in the sector of the Social and Solidarity Economy (SSE), a mapping of SI-initiatives was set up. Inspired by efforts of the Brazilian government to provide public assistance for a largely self-regulated and -regulating SSE sector (Gaiger et al. 2014), mapping in connection with an openly accessible online-database can crucially facilitate networking efforts of locally organised SI initiatives. While the database is still under construction, the mapping efforts are promising for further advancements of networking among SI practitioners and other stakeholders.

Networking is presented as a vital process for the engaged agents to exchange information about their experiences. The underlying rationale – similar to the 'open coordination method' of the EU social policy approach – is that 'good' or 'best practice' experiences should serve as examples for others to follow. This process has also been described as 'mainstreaming', i.e. providing the basis to replicate similar experiences. In the TRANSIT project, 'mainstreaming' has been problematised and the danger of "capture dynamics" has been alerted (Bauler et al. 2017), leading to the adoption of dominant 'mainstream values' by SI initiatives at the price of losing emancipatory potential. SI can therefore transform and reproduce dominant values and institutions. Recently, the notion of mainstreaming has been replaced by the notion of 'scaling' or 'replicating' (TRANSITION 2016, p.35). Differing from the conception of 'mainstreaming', 'scaling' is less concerned with policy making and the public promotion of 'best practice models', but rather interested in network exchange between practitioners to multiply solutions that work. A good example is the TRANSITION project, focusing on 'scaling' of social businesses, defined as "the process through which an example of SI moves from one country to another one, thereby increasing its impact to better match the magnitude of the social need or problem it seeks to address" (NESTA et al., 2015, p. 10). Interestingly, the proponents of scaling did not engage with the academic debate on scale (cf. Brenner 2001; Keil/Mahon 2009; Swyngedouw 1992), prominently featured in the works of the territorial development perspective on SI (e.g. Moulaert et al. 2002; Moulaert et al. 2010). This literature volunteers great examples of strategic approaches in scalar politics and socio-political mobilisation across scales.[9]

Proponents of the territorial development and governance perspectives (e.g. Moulaert et al. 2013b; Oosterlynck et al. 2013b; Haxeltine et al. 2016) tend to be less enthusiastic

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9   Scaling in geographical terms has to be further qualified: Up-scaling means the involvement of 'higher' policy levels, such as the influences of national and/or European policies on local or regional policies. Down-scaling involves the devolution to 'lower' policy levels (e.g. from national to local policies). Out scaling involves the inclusion or connection between communities, for example.

concerning the possibilities of 'fast' mainstreaming of best practices or scaling solutions that work. As development is defined as historically specific and context-dependent, local SI practices have to be understood in a historically contextualised multi-level governance system and institutional framework which cannot easily be 'scaled' into different social, cultural, and economic contexts. A good example for the different perspective on SI policy making has been developed in the project TRANSIT, focusing on 'critical turning points' (Pel et al. 2017) fostering or endangering transformative SI. Thereby, the concrete impacts of the historical and political trajectory of collective SI practitioners are analysed in regard of a scenario of social transformation.

4.2   Role of sectors and types of collective actors (State, Third Sector, Business, …)

According to the different conceptualisations of SI, each project prioritises different societal sectors and types of collective actors. Some (e.g. CRESSI, SEFORIS, TRANSITION, TSI) emphasise the role of the third and/or private sector. Despite the similar focus (often summarised under the heading of 'managerial'), however, the differing degrees of problematising state and/or policy failures lead to different conceptualisations. The social business focus in projects such as CRESSI or TRANSITION is most strongly connected with solutions remedying state failure by social entrepreneurs. It does not emphasise the important differences existing between third sector and for-profit organisations. This is a major contrast to the approach taken in the TSI project, where researchers emphasise this difference and point out major problems of third sector organisations under stress due to austerity and neoliberal reforms, promoting the for-profit sector at the expense of the third sector (Zimmer and Pahl, 2016).

With its focus on employment conditions in third sector organisations (ibid.), the TSI project also sheds light on an aspect which has been neglected in many other research projects on SI. Taking into account the problems with top-down provision of social services, SI is presented as an alternative to service provision by bureaucratic welfare states (BEPA 2014). Problems such as unequal access to social services and the transformation of social rights have recently gained more attention (Oosterlynck et al. 2016). In contrast, the precarisation of employment conditions (involving more unpaid or ill-paid work), has not sufficiently been addressed in research on SI. This issue also concerns the question of sustainability of SI organisations, as there are negative impacts on the motivations and professional qualifications (especially due to the higher turnover of employees) of people working in the third sector as a result of the deteriorating working conditions (Zimmer and Pahl, 2016).

The latter issue also concerns the state as a central actor in SI processes. Before 2008, some adherents of SI (e.g. Mulgan, 2007) praised it as a 'bottom-up' solution, a necessarily better alternative to 'top-down' state action. While the more ideologically driven dichotomy between negative 'top-down' state practices and positive 'bottom up' SI has lost ground, austerity politics are fostering a more pragmatic approach on the matter. The 'SocIEtY' project is a good example, highlighting this slightly changed role of SI explicitly in its final conceptual report: "At the macro and meso level it is obvious that social innovations besides the social element are closely linked to the economic aspects of welfare solutions: How is it possible within the public sector to offer welfare to more people for less money? In the matter of the micro level we see how social innovation is clearly linked to a non-profit and a predominant social and individual purpose. At the same time it is also linked to the quality

of public services" (Brahe, 2013, pp. 128-129). Thereby, SI is conceptualised as a 'fill in' for 'loopholes' in the welfare state as a result of the rising fiscal constraints. The dangers of 'governance beyond the state' in relation to SI have already been alerted by Swyngedouw (2005) and re-affirmed by various authors (e.g. Martinelli et al. 2010; Martinelli 2012; Martinelli 2017; Peck 2013; Meichenitsch et al. 2016). Nevertheless, the warnings of the 'Janus face' (Swyngedouw 2005) of SI and governance-beyond-the-state continue to be neglected.

On the other hand, in a number of research projects favouring the actions of the private sector in reaction to state failure (e.g. SEFORIS), the state is still treated as a vital actor, capable of promoting and supporting social enterprises and to set regulations for fair competition between the different enterprises (cf. SEFORIS 2016, p. 34). Other projects go further, advocating for a more active role of the state. The project 'ImPRovE' proposes 'bottom-linked' governance, "which recognises the centrality of initiatives taken by those immediately concerned, but stresses the necessity of institutions that would enable, gear or sustain such initiatives through sound, regulated and lasting practices and clearer citizen rights guaranteed by a democratic state-functioning" (Oosterlynck et al., 2013a , citing Moulaert, 2010). In other projects, such as SI-DRIVE or GLAMURS (Fischer 2016), the state is recognised as a key actor, since the majority of SI initiatives is based on a public entity as organisational background.

> *Observation 9: Most research tends to focus on users of social innovations rather than on the service providers working in SI initiatives. Research results suggest a potential deterioration of working conditions due to replacement of public services by SI. Further research on the matter would be beneficial and should include more longitudinal analysis.*

4.3   SI: socio-politically embedded or socio-political transformer

Many projects (e.g. SocIEtY) depart from the logic proposed by the Bureau of European Policy Advisors, that "[i]n the current economic climate, it is essential to do more with less and to do it better" (BEPA, 2014, p. 93). The historical roots of SI promoting radical change and renewing the old (cf. chapter 2) seem to be rather weak in such accounts. Renewal is rather presented as better service provision or other specific improvements. Nevertheless, social transformation is still envisioned; e.g. the project GLAMURS focuses on the ecological transformation towards more sustainable lifestyles. While grounded on individualistic assumptions, most policy recommendations clearly go beyond individualistic solutions, but rather aim at government promotion of socio-ecological grass root initiatives (Dumitru and Carrus, 2016; Fischer, 2016; Polhill, 2016). The most pronounced transformative approach was presented by the project TRANSIT, which is focused on socio-economic, socio-political, and socio-ecological transformations, promoting a more socially inclusive society (Avelino and Wittmayer, 2016). SI-DRIVE also explicitly focuses on the questions of societal change and transformation (Howaldt et al., 2015).

SI in its concern to 'improve social relations' highlights the need to go beyond the rather mechanistic top-down perspective characteristic of a large number of policies in Keynesian inspired welfare states (Jessop 2002). The project SocIEtY is a very good example, promoting the active participation of vulnerable and/or disadvantaged young people in policy making (Brahe 2013). This perspective differs from approaches with more directive and top-down

perspectives, as presented in a policy review paper on youth policies (Ule et al. 2014). Another example with a focus on empowerment and the active involvement of practitioners can be seen in the project GLAMURS. Despite its neglect in reflecting on the concept of SI, its implications for the active involvement of practitioners go way beyond traditional approaches in economics and psychology; in its policy briefs it calls for the breakdown of barriers between scientists and practitioners (Polhill 2016) as an essential step to support transitions towards more sustainable lifestyles (Dumitru/Carrus 2016).

4.4   New views on the role of SI in collective action and public policy

The empowerment dimension of SI appears to be highly compatible with the transformation of European welfare states towards more activating social policy regimes (Oosterlynck et al. 2013a, 2013b; Sabato et al. 2015). The active involvement of citizens[10] is a major feature of SI initiatives and therefore combines well with the policy shift from bureaucratically managed rather paternalistic welfare states to activating social policies. The reviewed projects reflect this tendency well, with their focus on third sector organisations (ITSSOIN, TSI), social business (BENISI, IA4SI, SEFORIS, TEPSIE, TRANSITION), civil society and stakeholder networks (SIC, SI-DRIVE, Social Polis, TRANSIT), the focus on 'governance beyond the state' (Swyngedouw 2005) is clearly set. The projects on the inclusion of vulnerable people and improvement of social policies (CRESSI, IMPROVE, InnoServ, SOCIETY, WILCO), the promotion of ecological lifestyles and health (EuroFIT, GLAMURS, INNOVAGE, TESS), food security and sustainable agriculture (FUSIONS, Protein2Food, SIMRA), and technology (NANODIODE, SOCRATIC, S3C) centrally feature this aspect of the active involvement of civil society in policy making.

Beyond this central commonality, however, there are important differences. Some of the projects tend towards the inclusion of practitioners as clients (e.g. BENISI, TRANSITION) or diagnose a tendency of the staff of SI initiatives to refer to their constituencies as 'clients' (e.g. IMPROVE). This managerial approach to the relationship between economy and society tends to consider the social economy as an aggregation of individual social enterprises. This conception of the social economy – and therefore also the socially embedded economy as a whole – does not adequately reflect its advanced degree of institutionalisation, its market dynamics, its typical relations of production and cooperation, etc. (Hamdouch et al., 2009), or its articulation with the wider social world. This economistic and reductive account of the social economy has three mutually reinforcing weaknesses. In the first place, it tends to ignore the distinctive macro-economic aspects of SI as an interactive ensemble of practices; secondly, it neglects the aspects of SIs that are not immediately economic in their objectives – such as the democratisation of the educational system, the pursuit of gender equality, or the psychiatric liberation movement (Chambon et al., 1982); and, finally, it puts so much emphasis on *economic* agency that it pushes *other types of socially innovative agency*, including those in the social economy, to the background.

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10   In the analysed projects, the active involvement of citizens can be seen as a common denominator for empowerment, which by itself has been described as a highly contested concept (cf. Cornwall and Brock 2005; Eyben and Napier-Moore 2009). The conceptual differences concerning empowerment also apply to the analysed projects. While some projects (e.g. SEFORIS, TRANSITION, TSI) from the practical/organisational spectrum rather use empowerment implicitly, as an impact of the actions of the third sector or social entrepreneurs, others focus on empowerment (e.g. CRESSI, ITSSOIN, SocIEtY, TRANSITION). While all projects implicitly or explicitly refer to processes to enable people to better satisfy their needs, there are also arguments to include positive aspirations, to grasp 'the ideals and values which are a prominent feature of SI' (Haxeltine et al. 2016, p. 14).

The managerial view of SI appears to be more concerned with the impacts and best ways to execute decisions than with the decision making process itself. The potential of participation and empowerment has especially been prominent in Latin American examples of SI, such as participatory budgeting (Novy and Leubolt 2005; Cipolla et al. 2016), the Social and Solidarity Economy (Leubolt and Romão 2017), or the Via Campesina movement (Juarez et al. 2015). On the European scene, some of the Latin American the cases have already been adopted to European realities, e.g. participatory budgeting (Cipolla et al. 2016), or the Social and Solidarity Economy (Pel and Dumitru 2015). Other European examples include socially innovative community governance initiatives (Gibson-Graham and Roelvink 2009), empowered participation in neighbourhood revitalisation projects (Rodriguez 2009), or the flexibly organised civil society centre 'Leoncavallo' in Milan (Membretti 2010). These examples centrally feature the active participation of social movements in the policy making and public administration process. Of the analysed projects, only TRANSIT, SI-DRIVE and IMPROVE dealt with such Latin American case studies as possible inspirations[11]. Further research could benefit from the inclusion of empirical studies and research teams in non-EU-membership countries as possible inspirations (see Cipolla et al. 2016).

Furthermore, the role of civil society as active clients of SI services also gives a hint to another transformation in the dealing with SI. During the 1990s and early 2000s, efforts to promote democracy on the local scale were more pronounced (Moulaert 2000; Cooke and Kothari 2001; Swyngedouw 2005). As mentioned earlier, current projects tend to be more concerned with 'solutions that work' in welfare states under fiscal pressure. This move 'from talking to doing' overcomes the previous dilemmas of participation without clear results (which led to frustration of the participants and the hollowing out of participatory settings; cf. Cooke and Kothari 2001), but does so at the cost of potentially excluding people from decision making. Thereby, the 'Janus face of Governance-beyond-the-state' (Swyngedouw 2005) has been altered, but not substantially changed. Emancipatory transformative SI will have to tackle the challenge of accompanying the move towards 'doing' with more 'talking' in a sense of participation in decision making processes. The notion of bottom-linked governance (Moulaert et al. 2013a) is an attempt to unify 'talking' and 'doing'.

> *Observation 10: Both academia and policy makers tend to focus increasingly on the outputs of SI. This tendency has been accompanied by a decline in interest for the decision-making and governance processes in which the decisions are made – or not made. More emphasis on participation processes and questions of political representation would benefit future SI research.*

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11   Other important venues for the discussion of SI are China, India, and Canada (Majumdar et al. 2015). While SEFORS dealt with China as one of the case studies, India and Canada have not been used explicitly for case studies.

5. THE ROLE OF SOCIAL SCIENCE IN POLICY DESIGN AND RESEARCH

These are critical times for policy and governance in the European Union. The movements in geopolitical tectonic plates around the world and evolutions in Europe (such as migration, extremisms, threats to democracy in Member States and neighbouring countries, UK's exit, etc.) demand a renewed focus on social cohesion, socio-political inclusion and empowerment through policy design and implementation. This will necessarily require socio-political transformations, allowing to (re)consolidate the policy stance at different spatial scales, particularly in the diverse neighbourhoods and communities. It is worth noting that much of the social policy discourse has exploited the potential and strengths of local communities through top-less-bottom-up actions. Discourses of 'decentralising penury' throughout Europe (Sabatinelli and Semprebon 2017; Martinelli 2017) have justified the devolution of responsibilities (and blames) to local authorities and communities without providing them with sufficient resources or capacity building to assume these responsibilities. In this respect, it is important to look back at the Integrated Area Development in the EU's URBAN and LEADER programmes and examine if the contemporary Community Led Local Development policy respects or has improved the application of SI principles – roughly summarised as collective satisfaction of needs, building of new social and institutional relations, empowerment towards socio-political transformation and institutional change. A number of European research projects reviewed above confirm that various socially innovative actions, successfully initiated and carried out by individuals and communities, failed to sustain themselves in the absence of clear strategic policy or political backing by national authorities or the EC. On many occasions, a lack of policy and practice support and encouragement beyond vague promises and short-term, over bureaucratised funding schemes tend to create an atmosphere of uncertainty and distrust. When this happens, vulnerable individuals and groups (workers in declining industrial areas, middle class groups in evolving socio-economic conditions, people with special needs and vulnerable groups such as youth, older people, migrants, refugees, single mothers, etc.) are likely to be exploited economically and weakened socially, leading to further growing socio-political friction and tensions within and among communities.

> *Observation 11*
> *This threat of social exclusion and violence calls for a stronger role of analysis and research, in particular of Social Sciences and Humanities (SSH), in reviving scientific and political debates on social change, equality/inequalities, practices of democracy and socio-political transformation, particularly in terms of gender, cultural, ethnic, religious, and other structural exclusions. This implies that in these debates more attention be given to micro-initiatives and their transformative potential in different sectors of society.*

The evaluation of various FP funded projects (which addressed SI-related dimensions, whether directly or indirectly) reveal that the intellectual capital constructed through the concepts, approaches, policies and practices of SI has matured to an extent whereby we can no longer demote SI to a vague, confusing, half-baked or conflictual concept without theoretical or practice grounds. The historical research, empirical work, observations and evidence-base in SI policy, practice and activism have moved beyond simplistic notions,

narrow arguments and unrestrained definitions: SI should not be seen as an excuse for the decreasing role of the state, or as an instrument for public saving due to the failure of public service delivery, but as an arena of opportunities for bottom-linked governance reconnecting local communities to Europe and for setting up customised delivery systems for social services . This growing-up of SI concepts and practices, however, coincides with the explosive growth of the gig economy, zero-hour contracts, internet-based revival of the sharing economy, and the promotion of start-ups culture without sound institutional back-up.

> *Observation 12*
> *The grown-up version of SI has become a recognised scientific anchor supported by a fast growing research and action community with an increasingly coherent ontological and epistemological stance with great respect for diversity and communication. This version of SI deserves attention, understanding and respect. It offers opportunities to reinvigorate the role of science and in particular SSH in (European) Research and Development approaches, policies and practices.*

Reading through the SI literature covered in this Policy Review, a number of critical issues – positive and negative – concerning the future of SSH in Research and Development become manifest. Guidelines for this cross-reading are the dimensions of SI in the working definition, as well as SI features identified in previous sections.

First, even the most technologically and market-oriented projects emphasise the role of communication, cooperation and mutuality in information exchange, knowledge creation and value co-production. This is the most explicit link to the second dimension in the working definition, i.e. (re)building social relations. However, these projects remain vague on the nature of social dynamics, and how social relations are built and governed. Cooperation with diverse social sciences such as sociology, anthropology, psychology, urban and regional development, to name just a few, could have brought significant added value to these projects' analysis of social change. Unfortunately, the absence of interdisciplinary cooperation between so-called hard science and SSH limits considerably the potential of these projects, and therefore their technological, economic and social relevance.

This leads us to the *second* critical, and somewhat paradoxical, observation. Horizon2020 emphasises the benefits of interdisciplinary endeavours. However, the selected projects often show little actual interdisciplinarity and are coordinated by teams with thematic expertise but insufficient interdisciplinary affinity.[12] Few hard science coordinators really understand how to valorise SSH knowledge to the benefit of their projects, but tend to deal with it as a salute to ethics, an add-on to the otherwise technological efforts, or a way to further the social acceptance of tools or technology. Alternatively, they privilege technological tools to social communication, thus downplaying the role of psychological and sociological insights or the instruments of participatory processes in dealing with the complexity of social relation building, trust, solidarity, communicative rationality, a.s.o.

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12   A recent EU Monitoring report on SSH integration in Horizon 2020 shows that in 2015, only 39% of the projects funded under topics especially designed for interdisciplinary research with SSH, showed a good integration of SSH. See https://publications.europa.eu/fr/publication-detail/-/publication/acac40f5-e84b-11e6-ad7c-01aa75ed71a1

Third, and partly deconstructing this paradox, there still is a long way to go in building true interdisciplinary and transdisciplinary research practices to address societal challenges. We will come back to this. But important steps forward could be: shared education in philosophy of science and epistemology across different sciences, better integration of interdisciplinarity in defining topics, revision of evaluation procedures in Framework Programmes (e.g. the evaluation panels should be capable of assessing inter and transdisciplinary skills of the research consortiums), better monitoring of the actual interdisciplinarity practices, selective support to collaborative interdisciplinary efforts in key areas of socio-technological development, improve methods of communication and cooperation with practitioners and policy-makers. All these fit the ambitions or could improve the impact of the Open Science policy pursued by the European Commission.[13]

Fourth, the split between fundamental research – In Europe especially funded by the ERC – and so-called Research and Development funded mainly within Horizon 2020 and national research programmes needs particular attention. Our reviewing exercise has revealed that some of the projects would have benefited significantly from closer connections with fundamental research on e.g. socio-ecological systems, socio-political transformation, social practice, evolutionary theory (which by itself has become quite multi- and even interdisciplinary), sociology, political science and geography theories and empirical research on governance, to take but a few examples.

Fifth, the lack of historical perspective remains prominently symptomatic in several projects. The norms of the high-speed, managerially disciplined society have also affected the world of science which, with the exception of history and some other humanities disciplines, no longer devotes time to the history of theory and practice in its various fields. The thus caused amnesia has a high price in loss of research quality because it too often means reinventing the wheel or altogether forgetting to take into account what has already been going on for centuries. It is a serious concern that contemporary research often relaunches established concepts, situating them outside their own life-trajectory, and almost completely overlooking how they were founded and treated in the history of thought and practices (Moulaert et al. 2012). Within the scope of SSH research, the lack of historical depth can be attributed to the overall funding logic that appears to encourage short termism, quick results, tangible outputs, fast impacts and lack of interest in failing policies or actions, which are often highly relevant learning experiences (Godin and Vinck 2017).

Observation 13
There is long way to go for inter- and transdisciplinary, history respectful research within the scientific world. The role of SSH should be taken more seriously, methodologically and theoretically. The need to develop shared epistemologies across different scientific fields is high and SI can be helpful to achieve this ambition, as it can be quite instrumental in furthering Open Science within Europe and the World. Contemporary epistemologies indeed stress transdisciplinarity and different modes of cooperation with practitioners and policy makers.

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13   See https://ec.europa.eu/research/openscience/index.cfm

5.1   Towards a coherent epistemology in SI research

With these critical recommendations in mind, we now return to what we learned from the cross reading of SI research under various Framework Programmes, also taking into account critical reflections on the scientific and policy status of SI research. These reflections refer to the 'What' and 'How' of SI research, hence on how to build a coherent epistemology for SI research. We have structured these 'lessons learned' in a diagram with key concepts. The diagram evokes in its lower part the history of thought and practice of SI from the 18th century and, in its higher part, weaves the messages from history into an integrated approach to SI research. The focus in the diagram is on how to connect different dimensions of SI in SI research. We use these lessons to reflect on the desired future for SSH research within an interdisciplinary world (section 5.2) and even make some concrete suggestions for SSH under FP9 (sections 5.3).

Figure 1: Key Concepts of Social Innovation: from historical lessons to a contemporary synthesis
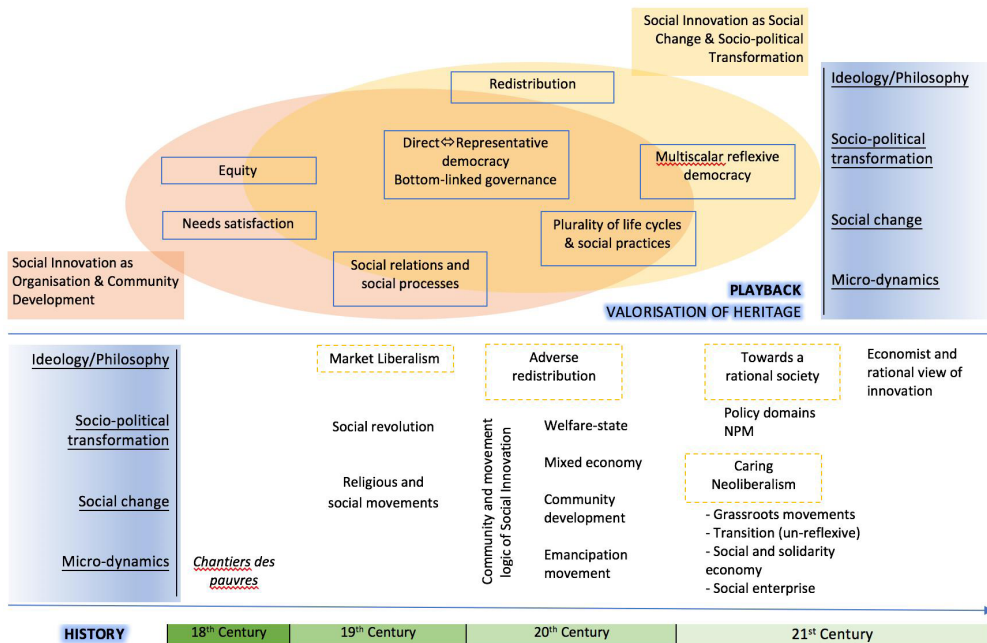
Source: authors

To fully grasp the meaning of the diagram it is important to keep the analysis made in the previous sections in mind. The *lower part of the diagram* – HISTORY – below the central blue line – displays SI as history-and-context bound. It should be 'read' as a summary of the philosophical and socio-political debates, the collective actions of their times and, for the more recent period, the theoretical exchanges concerning SI and its peer term or collective actions (social economy, community development, emancipation and social movements, bottom-up initiatives and organisations, governance, a.so.). The flows and cycles of history

from one period, concept and practice to another also need to be considered. For example, the change in the understanding and practice of SI from more revolutionary (e.g. the struggle for the individual right to vote) to collective action for social change (e.g. building the social economy, the welfare state, the celebration of diverse emancipation, …) needs to be kept in focus when looking at contemporary SI research, social practice and collective action. The upper part of the diagram refers to contemporarily relevant research themes and practice and how they can valorise the history of thought and practice of SI: the historical trajectory of the concepts and practices of SI is highly relevant for identifying and deepening the different dimensions of and perspectives to SI today. E.g., the complexity of "Direct" vs "Representative democracy" as a contemporary issue, in which SI and governance have an important part, is better understood when using the historical trajectory of socio-political regime building between revolution and change, collective action and private enterprise, social economy and polity building as a mirror. Doing so, analysts and policy makers will certainly understand that e.g. public choice theory can only be one of the perspectives to work toward the transformation of democracy, and that theories of social change and transformation, institutionalisation, regime theory, … with a much deeper understanding of 'human and social forces' than many of the more ahistorical theories, need to be taken into account when reflecting on and mobilising for the future of democracy. Another example concerns SI as micro-initiatives. If we analyse and design today's social and solidarity enterprises in terms of the contemporary analysis and mainstream economics only, we could easily overlook how social economy, as it materialised at the turn of the previous century, was a multi-scalar process involving the organisation of cooperative enterprises, the building of social and solidarity movements, and political mobilisation which significantly influenced both Christian democratic and Social democratic parties, among others. The social economy was institutionalised through law making and public administrative practice; but also through the establishment of social economy, welfare economics, social policy, etc. as scientific and educational disciplines. These historical reflections are essential to understand why today social and solidarity economy and an emancipatory welfare system can only be established as a nexus between science, bottom-up practice, socio-political transformation and institution building at different scales of society.

Of course, the historical 'playback exercise' which we suggest in the figure does not mean that all these dimensions should be taken into account in every research project on SI. The figure is meant as a beacon for keeping attention to what important dimensions of SI exist today, at the light of what we learned – or are willing to learn – from the past. Depending on the topics examined, the dimensional foci may vary, as suggested by the two ellipses in the figure. The upper right ellipse suggests research on SI that focuses more on social change and socio-political transformation whereas the lower left ellipse focuses on SI as organisational change and community development. This, however, does not mean that in a more micro-reading of SI, direct and representative democracy would be less important, but that it should be primarily conceived, theorised and implemented at the level of the enterprise, the social organisation, the cultural association, the local political party, communities, … with multi-scalar reflexive democracy and bottom-linked governance as the custodians of these 'micro' entities' place and role in the rebuilding of a democratic society. In a way, the elliptical representation overrules the twofold between practical/managerial and socio-political transformative SI which we deconstructed in section 3.

The visuals in figure 1 are more than elliptic. The titles of the boxes in both ellipses not only correspond to the historical stages mentioned in the lower part of the figure, they are also remixing various features of SI – many of which historically grounded – within the visual tension between both ellipses. Also line-wise reading of the figure is important: micro-dynamics, social change and political transformation are considered in interaction with a role for ideology and philosophy as sources of practice, but also guides for reflexive practices in democracy, collective action and micro-initiatives.

> *Observation 14*
> *Figure 1 "Key Concepts of Social Innovation: from historical lessons to a contemporary synthesis" can be used as a frame of reference of organising the debate on the role of SI in research, collective action and public policy. By confronting historical trajectories with contemporary dimensions of SI, a more societally relevant research and policy dialogue on the potential of SI becomes possible.*

5.2 Recommendations for R&D policy in SSH and SI

Results from EU SI research as documented above show the importance of SSH, and the lacunae for SSH and interdisciplinary research to be filled. Social Sciences and Humanities are not auxiliary sciences occupying a support function to the 'hard' sciences or serving as the social manual to facilitate the cooperation between actors involved in transdisciplinary research coordinated by hard scientists or economists working from a purely rationalist perspective. Using lessons drawn from SI research under the various Framework Programmes (including Horizon 2020) as a mirror to assess the dynamics of SSH in European research, several recommendations can be made on how to better profile and organise SI and SSH research under FP9. We have grouped these recommendations under the following headings: fundamental versus applied research; thematic versus discipline-based research; SSH and SI research; and epistemological progress.

Discipline-based versus Problem-oriented SSH research

Projects supported by ERC are in majority discipline-oriented, with some ouverture toward interdisciplinarity, selected from thematically bottom-up calls. They are undertaken either by early-career researchers (Starting Grants), or emerging research leaders (Consolidated Grants) or finally by advanced-career researchers (Advanced Grants). Collaborative research under Societal Challenges is a problem-oriented approach (top-down calls) applied to selected topics of societal importance. Collaborative research projects are therefore undertaken by research teams from various scientific disciplines, involve several research teams from many countries, adopt holistic research methodologies and produce policy scenarios, methodologies and global responses. Theoretically, these two approaches are complementary as scientific research needs 'root' theories, access to the state-of-the-art and epistemological or methodological support. These needs can often be met by (results from) discipline-based/fundamental research. Thus ERC research can certainly contribute to building interdisciplinary research methodology badly needed in Problem-oriented SSH research.

Thematic versus Problem-oriented SSH research under FP9

We have flagged up some of the problems stemming from thematically organised research. Prominent were the lack of cross-disciplinary understanding and the tendency of 'hard' scientists to take over the lead and enclose social dimensions into 'scientific' models and assessment methods or separate "add-on" exercises. However, this observation should not justify a return to just disciplinary and occasionally interdisciplinary research under FP9. There are other ways to address these problems.

First, thematic research should be coordinated by a multi-disciplinary team that has proved its competence in interdisciplinary research. This team should thus have knowledge of all relevant disciplines and their relevant approaches; skills to bring the logics of different disciplines together; knowledge of existent interdisciplinary research on the theme; experience or can show a learning trajectory in interdisciplinary research and how in can contribute to the progressive development of the European Research Area.

Second, the EC should organise platforms or networks where researchers from various scientific disciplines develop holistically their abilities around interdisciplinary research and explore scenarios for developing skills and competences to this purpose. Such platforms/networks can become breeding grounds for interdisciplinary thematic research proposals and projects. They can become a major pillar of an Open Science universe.

Third, there should also remain room for discipline-based research on a particular theme (e.g. local governance of lifestyle changes to counter unsustainable consumption practices). Such research should include a 'dialogue' component, exploring the ways in which other disciplines relevant to the theme have studied and addressed it.

Fourth, although transdisciplinarity – collaboration between different types of actors relevant to a theme's agency – remains the main-and a valuable option for realising interdisciplinary research, scientists belonging to different disciplines should keep their prominent role in the selection of research topics and approach. Yet other actors may have an important role in determining the modes of cooperation between different actors within the research trajectory. Recent work on transdisciplinary problematisation and knowledge alliances, involving different groups of actors – also citizens in fragilised socio-economic and socio-political positions – can serve as a starting point here and can give an additional impetus to the Open Science Universe.

SSH and SI 'own' research

The end of a dedicated research programme on the biggest socio-economic and political issues of Europe under Horizon 2020 has probably been one of the greatest concerns among social scientists in Europe. Societal Challenge 6 of Horizon 2020 is a merging of programmes from FP7, which has weakened the internal coherence as shown by its work programmes 2014-15 and 2016-17. According to estimates based on Commission reports[14], only about 40-50% of SC6 budget is attributed to SSH research, which marks a considerable decrease of funds compared to Theme 8 (Socio-Economic research and the

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14   Monitoring reports on SSH integration and Interim Evaluation Report of H2020

Humanities) of FP7, although Theme 8 represented only 1.2% of the overall FP7 budget. The European Commission has often insisted on no longer having an 'SSH programme' but rather to have SSH 'embedded' as a cross-cutting issue across H2020. Should this in the end be realised, several important aspects of the Juncker agenda regarding fairness and democratic change in particular cannot be addressed and research in this field from FP6 and FP7 would be discontinued.[15] It is important to question and analyse the reasons behind this important policy change at EU level. It is our view that given the deep worries of EU citizens on their present and future societies, a fully developed and distinct set of 'Societal Challenges' on the future of democracies, societies and economies in Europe should be re-established under FP9; its budget should be sufficient – at the level of the EU's ambition to tackle proactively concerns of major societal importance –, its ways of selecting topics and analysing outcomes and impacts revised. This is all the more important as the first concerns of European citizens are not technologically related. According to the EUROBAROMETER survey of December 2016, the European citizens' main concerns were socially related, in order of priority: 1) unemployment, 2) social inequalities, 3) migration, 4) terrorism and security, 5) the public debt of EU member States[16]. This specificity of socially and politically related concerns has been recognised by the interim evaluation of H2020 report of May 2017 which quotes the 'issues Europeans are more concerned about' as, in order of priority: 1) immigration, 2) terrorism, 3) economic situation, 4) the state of Member States public finances, 5) unemployment, far before climate change of the environment, let alone technological progress.[17] Alarmingly, none of these top concerns is translated into research priorities of Horizon 2020; only a small part of the least funded Societal Challenge, Societal Challenge 6, addresses these concerns.[18]

Calling for a special research programme on the future of democracies, societies and economies in Europe may sound contradictory to the appeal for reinforcing interdisciplinary research. Yet it is not, for several reasons:

– Because of their sheer number, SSH scientists, unless they receive funding from political, economic or financial interests, have much more limited access to research funding than scientists from other disciplines (as shown already by the fact that the, highest competition and lowest success rates have been found in Theme 8 of FP7 and SC6 of H2020). To guarantee the quality of SSH research, more budget for SSH research is necessary.

– As the SI mirroring exercise of SSH has shown, SSH is increasingly put under pressure to adopt the high-speed rationalist modes of work and modes of visioning complex reality. To remove this pressure, and to create new opportunities for valorising social science trajectories – many of which are mentioned in this policy paper – increased research budgets should be guaranteed.

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15   See relevant figures and analyses are found in the EC paper "Issues paper for the High Level Group on maximising the impact of EU research and innovation programmes" (pp. 103-108) at https://ec.europa.eu/research/evaluations/pdf/hlg_issue_papers.pdf#view=fit&pagemode=none .

16   See the EUROBAROMETER Survey at : http://ec.europa.eu/COMMFrontOffice/publicopinion/index.cfm/Survey/getSurveyDetail/instruments/SPECIAL/surveyKy/2131

17   See the Commission staff working document for the "Interim Evaluation of Horizon 2020" page 54 at: http://ec.europa.eu/COMMFrontOffice/publicopinion/index.cfm/Survey/getSurveyDetail/instruments/SPECIAL/surveyKy/2131

18   Not even by the ERC since, as the same Staff Working Document of the Commission regarding the interim Evaluation of Horizon 2020 makes it clear, none of the 25 'key hot and emerging research fronts in which ERC grantees are working' is directly socially related (see above, page 57, figure 19).

- SSH have been precursors of interdisciplinary and transdisciplinary research for decades and should be encouraged to pursue their efforts. They have created interdisciplinary fields (urban and regional studies, human ecology and geography, governance studies, policy studies, …) in which interdisciplinary and transdisciplinary cooperation has been conceived and implemented. Significant parts of this research could not be valorised properly, because of budget constraints and undue scientific competition, etc. Valorisation of SSH research of all previous FPs could be an important priority for FP9.

- Many theoretical bodies, historical trajectories of science practices need 'actualisation' – cf. the playback metaphor we used in Figure 1. The question of how contemporary allegedly 'holistic' theories (such as complexity theory, co-evolution theory, socio-technical systems, human ecological systems theory, etc.) relate to and communicate with typically SSH development, change and agency theories certainly needs to reappear on the agenda. If not, the long and precious history of social science – a significant part of European identity – risks becoming lost to new wave theories based on rationalisation and compression of the rich and diverse critical intellectual history of Europe.

- From the critical survey we carried out, new topics emerged that deserve examination, not least from a SSH perspective. Certainly:

- How to reintegrate equity and redistribution into EU policy models?
- Macro-economic and social policy assessment of austerity policies
- Institutionalism culturally and socially revisited
- Institutionalisation of SI and socio-political transformation
- Bottom-linked governance, scalar politics and socio-technical transformation
- Matching policy, SI organisation and research models: towards integrated Science and Policy practices[19]
- Tensions between direct and representative democracies under Europeanisation and globalisation
- The future of nationalisms, the building of responsive political ideologies and the construction of solidarities beyond national borders
- Democratic and society-feasible higher education

Observation 15
Given the deep worries of EU citizens on their present and future, the fact that several societal challenges to the future of Europe and the world are underestimated and that the rich tradition of SSH gets lost, a fully developed and separate set of 'Societal Challenges' on the future of democracies, societies and economies in Europe should be re-established under FP9, its budget should be sufficient, its ways of selecting topics and analysing outcomes and impacts revised.

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19   The latter expresses a concern of one practice expert arguing that many practitioners are hesitant to work public authorities because their approach is too compartmentalised, too 'silo' practiced. Research on how to surmount this compartmentalisation is needed.

Epistemological progress. Longevity and slow science

An undercurrent to this evaluation exercise was the authors' frustration about high-speed science. This frustration was confirmed by many of the experts in their feedback to the draft paper. Publish or perish, tumbling from one project into the other, revising methodologies on the basis of hasty comments from peers and competitors, etc. and also a general lack of follow-up support to implement policy- and practice-relevant outputs. In terms of scientific progress to be made under FP9 the message here is to allocate research money in a more flexible way, also to high risk projects in the epistemological sphere. The questions 'What, how, (and with whom) to research, and how to valorise' research, deserve attention by themselves. There is also a need for more support to longitudinal research, studies and analyses. Only such research can provide reliable long-term data on social practices, life styles, modes of consumption and production of different types of agents in society and communities.

Some foundational survey projects on inter- and transdisciplinary research should be commissioned. The last few decades have witnessed several projects addressing these issues, also in the FP. But a state of the art has never been published. Yet it is this type of project that considers the relationships between the scientific and other communities in Europe.

This issue also relates to the ontology of higher education and research in general. There is an absolute necessity to slow down the pace of competition, and to devote quality time to compare approaches, theories, relevance of science for improving the quality of life, the sustainability of society and the socio-political systems existent at different scales in Europe.

More specific topics concerning epistemology and modes of doing science include: syntheses of different approaches to Sociology of Knowledge and Knowledge Production; operationalisation of Sociology of Knowledge in Action and SI research; evaluation of Living Laboratory Methodologies from a SSH point of view.

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APPENDICES

Annex 1: Reading Template SI Research Projects

For any of the items to be completed needing more than say 5-10 lines please refer to the Report, WP report, article, preferably by providing a URL, a document name and page numbers. Alternatively, larger sections of relevant text can be added at the end of the template (but please provide complete reference).

When citations are used, please also make sure to provide complete reference and page number(s).

1. Project outline

Name of project			
URL (project)			
URL (CORDIS)			
Type of action / instrument			
Main researchers			
Budget			
Start date		End date	
Date of summary			
Objectives – key words			
Abstract			
Key publications / outputs of the project (add full refs to bibliography)			

2. Role of SI in the project

2.1	Is SI the main object of the research?	
2.2	How is it used? (buzzword / realm of practice / analytical concept / etc)	
2.3	Definition given of SI	
2.4	Key references/influences (SI) (add full refs to bibliography)	
2.5	Other privileged concepts/fields (note how connected to SI if relevant)	
2.6	Attention to history of SI thought and practice? Over what period? What tradition? (include refs if relevant)	
2.7	Useful quotes/illustrations? (give full ref/page no)	

3. Application of SI

3.1	What purpose does SI play in the project and why? (e.g. imposed by EU, artificial link, tradition in field or discipline, link research to policy, analytical key,)	
3.2	Particular domain(s) of application? (nb relevance to practice/policy as well as science)	
3.3	Is there a tradition of SI related research in this domain? (give references if relevant)	
3.4	Is there a tradition of SI related research in this domain? (give references if relevant)	
3.5	Analysis of barriers and opportunities? Of what kind?	
	Develop briefly on following aspects of SI approach in the project	
3.6	SI as micro-initiatives, micro-organisation, … market-based? Civil society?	
3.7	SI as networking among initiatives, organisations?	
3.8	Scalar /spatial dynamics: local? Urban, rural, rurban? Inter-local? Out-scaling? Local up? National/regional down? International relevance?	
3.9	SI as a leverage for empowerment of citizens, workers, migrants, deprived or service lacking human beings and groups	
3.10	SI as a socio-politically, institutionally embedded process?	
3.11	SI in this project: does it have a socio-political transformative role? A socio-ecological transformative role? A socio-economic transformative role? Is it a 'learning process' of bottom-linked governance?	

4. Methodology

4.1	Keywords used	
4.2	Short description of method	
4.3	Analytical framework developed?	
4.4	Involvement of practitioners – in what way(s)?	
4.5	Interaction with governance processes and policy chains?	
4.6	Comment: is method socially innovative in itself? (e.g. co-production/co-creation; challenging academic/practice boundaries; creation of new types of relations; …)	
4.7	Dissemination forms (nb for different audiences?)	

5. Policy and politics – definition and development of the project

5.1	What policy domain(s) is it concerned with?	
5.2	Within a conventional policy context? Or aiming to create something new?	
5.3	In reaction to policy and/or market failure? How?	
5.4	Policy aims – may be many (e.g. civic/actor participation; improved governance; improved service delivery; simplified/ efficient bureaucracy; citizen education …)	
5.5	Policy aims – from whose point of view? (e.g. EC, state, SI actors, scientists, vulnerable people …)	
5.6	Who are the intended beneficiaries of the policy outcomes?	
5.7	Is there an agenda to create/shape new political arenas? To what end? (include citations/page)	
5.8	Is the project part of a broader political movement? Radical or otherwise? Explain. (include citations/page)	

6. Policy outcomes and link to SI

6.1	Are there policy recommendations as part of this project? Explicit/implicit?	
6.2	Is the intent to create a new policy domain; substitute 'new' for 'old' policies; tweak existing policies …?	
6.3	What are the goals/consequences of the policy recommendations, and defined by who? (addressing societal challenges identified by EC, greater economic efficiency, coordination, new roles for actors, subsidiarity, …) (Give references if relevant)	
6.4	Policy goals/consequences linked to SI? How? (e.g. social outcomes, changed relations, empowerment, addressing unmet needs, political renewal …)	
6.5	Relationship with other policy fields/specific policies – as reported by project	
6.6	Conflicts/correspondence between policy levels and between political environments identified? What?	
6.7	COMMENT – project's (potential) contribution to SI policy trajectory (including the role of research in policy advice)	
6.8	COMMENT – implications for SI R&D policy	

7. Lessons from beyond Europe

7.1	Collaborations and roles (include researcher and stakeholder engagement)	
7.2	Interesting cases	
7.3	Any visible evidence of impact (on analysis, on policy findings, etc)	

Annex 2: List of EU projects reviewed

EU program	Acronym and type of project	Full title	Lead institution	Participating countries	Dates	Assessed as
H2020 5.i ICT	SOCRATIC (688228) RIA	SOcial CReATive IntelligenCe Platform for achieving Global Sustainability Goals	Fundacion Cibervoluntarios, ESP	Spain; Norway; Germany	Jan 16 – Dec 17	X
H2020 SC2 Food security, sustainable agriculture and forestry, marine/ water research, bio-economy.	Protein2Food 635727 RIA	Development of high quality food protein through sustainable production and processing	Kobenhavns Universitet, DEN	Denmark; Italy; Germany; Ireland; Spain; Sweden; Poland; Belgium; France; ; Romania; Netherlands; Uganda; Peru	Mar 15 – Feb 20	X
	SIMRA (677622) RIA	Social Innovation in Marginalised Rural Areas	The James Hutton Institute, UK	UK; Italy; Austria; Netherlands; Slovakia; Finland; Spain; Greece; Norway; France; Czech Republic; Switzerland; Egypt; Lebanon	Apr 16 – Mar 20	XX
	SeaChange (652644) CSA	Sea level change due to climate change	The University of Reading, UK	UK	Mar 15 – Feb 18	AUX

EU program	Acronym and type of project	Full title	Lead institution	Participating countries	Dates	Assessed as
H2020 SC2 Food security, sustainable agriculture and forestry, marine/ water research, bio-economy.	Respon-SEA-ble (652643) CSA	Sustainable oceans: our collective responsibility, our common interest. Building on real-life knowledge knowledge systems for developing interactive and mutual learning media	Acteon Sarl, FR	France; Netherlands; Ireland; Norway; Portugal; Romania; Italy; Germany; Spain; UK; Greece: France	Apr 15 – Mar 19	AUX
H2020 SC4 Transport	MOBILITY4EU (690732) CSA	Action Plan for the future of Mobility in Europe	Vdi/Vde Innovation + Technik GmbH, GER	Germany; Belgium; France; Greece; Italy; Spain; Sweden; Netherlands; UK; Hungary; Finland	Jan 16 – Dec 18	AUX
H2020 SC6: Europe in a changing world – inclusive, innovative and reflective societies	SIC (693883) CSA	Social Innovation Community	Association Europeenne pour l'information sur le Developpement Local, BEL	Belgium; Germany: Italy; UK; Croatia; Netherlands; Spain; Austria; Denmark	Jan 16 – Dec 18	XX

EU program	Acronym and type of project	Full title	Lead institution	Participating countries	Dates	Assessed as
FP7 Socio-economic sciences and humanities	InnoServ (290542) CSA	Innovating for Social Services Research	Heidelberg University, GER	Germany; Denmark; Norway; Hungary; Italy; UK; France; Belgium; Ireland	Feb 12 – Jan 14	X
	BENISI (604868) CSA	Building a European Network of Incubators for Social innovation	Propeller NV, BEL	Belgium; Austria; UK; Sweden; Romania; Netherlands; Italy	May 13 – Apr 16	XX
	TRANSITION (604849) CSA	Transnational Network for Social Innovation Incubation	European Business And Innovation Centre Network AISBL, BEL	Belgium; France; UK; Ireland; Spain; Italy; Portugal; Finland	Sep 13 – Feb 16	XX
	GLAMURS (613420) CP-IP	Green Lifestyles, Alternative Models and Upscaling Regional Sustainability	People-Environment Research Group, University of A Coruna, ESP	Spain; UK; Norway; Germany; Netherlands; Italy; Romania; Austria	Jan 14 – Dec 16	X(X)

EU program	Acronym and type of project	Full title	Lead institution	Participating countries	Dates	Assessed as
FP7 Socio-economic sciences and humanities	SEFORIS (613500) CP-FP	Social Enterprise as Force for more Inclusive and Innovative Societies	KU Leuven, BEL	Belgium; Germany; UK; Sweden; Spain; Russia, Hungary; Portugal; Italy; China	Jan 14 – Apri 17	X(X)
	TSI (613034) CP-FP	Third Sector Impact	Institute for Social Research, NOR	Norway; Italy; Austria; UK; Germany; Netherlands; Italy; Belgium; France; Spain; Croatia; Poland	Jan 14 – Jan 17	XX
	SocIEtY (320136) CP-FP	Social Innovation - Empowering the Young for the Common Good	Bielefeld Center for Education and Capability Research, Bielefeld University, GER	Germany; UK; France; Denmark; Italy; Netherlands; Belgium; Spain; Romania; Austria; Switzerland	Jan 13 – Dec 15	XX

EU program	Acronym and type of project	Full title	Lead institution	Participating countries	Dates	Assessed as
FP7 Socio-economic sciences and humanities	SI-DRIVE (612870) CP-IP	Social Innovation: Driving Force of Social Change	Technische Universität Dortmund, GER	Germany; Netherlands; UK; Austria; Spain; Croatia; Bulgaria; Sweden; Lithuania; Italy; Romania; Austria; Russia; Turkey; Egypt; South Africa; Canada; Colombia; Chile; Australia; India; China	Jan 14 – Dec 17	XX
	TRANSIT (613169) CP-IP	Transformative Social Innovation Theory	Dutch Research Institute For Transitions (DRIFT), NL	Netherlands; UK; Belgium; Denmark; Austria; Spain; Hungary; Argentina; Brazil	Jan 14 – Dec 17	xxx

EU program	Acronym and type of project	Full title	Lead institution	Participating countries	Dates	Assessed as
FP7 Socio-economic sciences and humanities	CRESSI (613261) CP-FP	Creating Economic Space for Social Innovation	Saïd Business School, Oxford University, UK	UK; Germany; Netherlands; Italy; Austria; Finland; Hungary	Feb 14 – Jan 18	XXX
	ITSSOIN (613177) CP-FP	Social Innovation and Civic Engagement	Centre for Social Investment (CSI), University of Heidelberg, GER	Germany; Netherlands; UK; Italy; Denmark; France; Czech Republic; Spain; Sweden	Jan 14 – Feb 17	XXX
	TEPSIE (290771) CP-FP	Theoretical, Empirical and Policy Foundations for Social Innovation in Europe	Danish Technological Institute, DEN The Young Foundation, UK	Denmark; UK; Germany; Greece; Portugal; Poland	Jan 12 – Dec 14	XXX
	Social Polis (217157) CSA	Social Platform on Cities and Social Cohesion	University of Newcastle upon Tyne, UK	UK; Belgium; Netherlands; Italy; Austria; Portugal; France; Spain; Canada	Dec 07 – Nov 10	XX

EU program	Acronym and type of project	Full title	Lead institution	Participating countries	Dates	Assessed as
FP7 Socio-economic sciences and humanities	WILCO (266929) CP-FP	Welfare innovations at the local level in favour of cohesion	Radboud University Nijmegen, NL	Netherlands; Germany; Italy; Switzerland; Spain; Croatia; UK; France; Poland; Sweden; Belgium; Slovakia	Dec 10 – Jan 14	XXX
	ImPRoveE (290613) CP-FP	Poverty Reduction in Europe: Social Policy and Innovation	Herman Deleeck Centre for Social Policy, University of Antwerp, BEL	Belgium; Greece; Hungary; UK; Austria; Italy; Finland	Mar 12 – Feb 16	XXX
	SIMPACT (613411) CP-FP	Boosting the Impact of Social Innovation in Europe through Economic Underpinnings	Westfälische Hochschule Gelsenkirchen, GER	Germany; Spain; Czech Republic; Netherlands; Italy; France; UK; Belgium; Finland; Sweden	Jan 14 – Dec 16	XXX
FP7 Health	INNOVAGE (306058 CP-FP	Innovative social innovations to enhance active and healthy ageing	The University of Sheffield, UK	UK; Sweden; Germany; Italy; Belgium; Luxembourg; Latvia	Dec 12 – Nov 15	X

EU program	Acronym and type of project	Full title	Lead institution	Participating countries	Dates	Assessed as
FP7 Health	EuroFIT (602170) CP-FP	Social innovation to improve physical activity and sedentary behaviour through elite European football clubs: European Fans in Training	University of Glasgow, UK	UK; Netherlands; Norway; Portugal; Ireland; Belgium	Nov 13 – Oct 18	X
FP7 Food, Agriculture and Fisheries, and Biotechnology	FUSIONS (311972) CSA	Food Use for Social Innovation by Optimising waste prevention Strategies	Stichting Wageningen Research, NL	Netherlands; Finland; UK; Italy; Sweden; France; Denmark; Austria; Italy; Hungary; Greece; Germany; Turkey	Aug 12 – Jul 16	AUX
FP7 Environment	TESS (603705) CP-FP	Towards European Societal Sustainability	Potsdam Institut für Klimafolgenforschung, GER	Germany; UK; Spain; Italy; Finland; Romania	Dec 13 – Nov 16	X
FP7 ICT	IA4SI (611253) CSA	Impact Assessment For Social Innovation	iMinds, BEL	Belgium; Greece; Italy	Oct 13 – May 16	AUX

EU program	Acronym and type of project	Full title	Lead institution	Participating countries	Dates	Assessed as
FP& Energy	S3C (308765) CP	Empowering smart customers to participate in active demand and energy system efficiency	Vlaamse Instelling voor Technologisch Onderzoek N.V., BEL	Belgium; Germany; Netherlands; Italy; Slovenia; Sweden; Portugal	Nov 12 – Oct 15	X
FP7 Nanosciences, Nanotechnologies, Materials and New Production Technologies	NANODIODE (608891) CSA	Developing innovative outreach and dialogue on responsible nanotechnologies in EU civil society	IVAM UVA, NL	Netherlands; Norway; Germany; France; Italy; UK; Belgium; Austria; France; Poland	Jul 13 – Jun 16	AUX

Annex 3: Application of the Social Innovation concept in the reviewed projects (authors' elaboration)

Project	Role and application of SI in the project	Indicative definition of SI	Theoretical and ontological	Attention to history of thought and/or practice	SI aspects foregrounded
H2020					
5.i ICT					
SOCRATIC (688228) X	SI as a secondary goal of the development of a technological platform for knowledge sharing	Different users and stakeholders co-creating knowledge*	Open innovation theory in a business sense, with commitment to social construction of knowledge. Economic liberals. SI not clearly implied in the template.	Highly specific in regard to relationship between IT and innovation	Networking between different types of people and institutions; democratisation and co-production of knowledge; scalar dynamics – local-global interactions enabled by ICT.
SC2 Food security, sustainable agriculture and forestry, marine/water research, bio-economy					
Protein2Food 635727 X	SI as a way of describing an intention to benefit vulnerable groups within the food economy, mainly by including training as part of the dissemination program.	New ideas (products, services and models) that simultaneously meet social needs – more effectively than alternatives – and create new social relationships or collaborations (BEPA 2010).	Food security and sustainability, but this is basically an agri-science project SI not evident in the template.	Not in relation to SI.	Networking; Focus on vulnerable groups – empowerment through enabling participation in the economy.

Project	Role and application of SI in the project	Indicative definition of SI	Theoretical and ontological	Attention to history of thought and/or practice	SI aspects foregrounded
SIMRA (677622) XX	Primary focus – develop theory and methods in the context of marginalised rural areas. Too early to assess application.	None given, but connected to innovative governance (possibly in deference to the call).	Theoretical framework to be developed. Appears to be starting from institutional analysis of social-ecological systems (McGinnis and Stirling).	Not evident in relation to SI at this stage, but highly likely given project aims.	Refers social-ecological systems; institutional dynamics; spatial and temporal dynamics; multi-level governance.
SeaChange (652644) AUX	Not the focus – appears to be used as a synonym for stakeholder participation.	None given	Ocean literacy	Not evident in relation to SI	Consultation.
Respon-SEA-ble (652643) AUX	Not the focus, doesn't appear in project description	None	Communications, governance of oceans	Not evident in relation to SI	None

Project	Role and application of SI in the project	Indicative definition of SI	Theoretical and ontological	Attention to history of thought and/or practice	SI aspects foregrounded
SC4 Transport					
MOBILITY4EU (690732) AUX	Not the focus and not mentioned in project description. The project aims to be a 'human-centred' approach to mobility	None	Mobility	Not evident in relation to SI	Consultation and collaboration, encouragement and promotion of new ideas to meet mobility challenges.
SC6: Europe in a changing world – inclusive, innovative and reflective societies					
SIC (693883) XX	Primary focus – coordination action to network social innovators in order to promote/facilitate SI engagement, activity and upscaling. Inform public education about SI.	'SIs are new solutions (products, services, models, markets, processes etc.) that simultaneously meet a social need (more effectively than existing solutions) and lead to new or improved capabilities and relationships and better use of assets and resources. In other words, SIs are both good for society and enhance society's capacity to act. (BEPA 2010, via TEPSIE).	Pragmatic. Active and experiential learning – innovation ecosystems and organisational learning.	Only recent growth in attention to SI.	Social entrepreneurship; networking; empowerment as enabling economic participation.

Project	Role and application of SI in the project	Indicative definition of SI	Theoretical and ontological	Attention to history of thought and/or practice	SI aspects foregrounded
FP7					
FP7–Socio-economic sciences and humanities					
InnoServ (290542) X (Social Platform)	Primary focus is innovation in social services delivery. SI – in the sense of institutional and organisational change – one aspect of this.	None given, but innovation in social services: innovations are those social services that meet individuals' needs in the areas of health, education and care in living in wider society through: a) the promotion of social interaction for mutual support; b) the delivery of organisational arrangements for the provision of directed support to individuals or groups	Visual sociology. Range of different types of innovation theory including wide-ranging SI. General orientation to social protection, maybe. Need for innovation, tensions between socialisation and new discourse treating services as economic goods.	Need for innovation placed in historical context of economic, demographic, cultural etc. changes and decline of welfare state.	New institutional relations; micro-initiatives; multi-level governance; meeting human needs.

Project	Role and application of SI in the project	Indicative definition of SI	Theoretical and ontological	Attention to history of thought and/or practice	SI aspects foregrounded
BENISI (604868) X	Primary focus – support successful SI to upscale across Europe, through establishment of a network and development of incubation and support programs.	None given, but seems to be largely equated with social enterprise	Business management; market orientation. SI as an outcome of the initiatives of social entrepreneurs. Also strong focus on learning.	None evident	Social entrepreneurship; upscaling. SI as market based. Networking and partnerships important to scalability.
TRANSITION (604849) XX	Primary focus – supporting development and upscaling of selected SI initiatives, broadly conceived, through business incubator model.	"SIs are new solutions (ideas, products, services, models, markets, processes etc.) that simultaneously meet a social need (more effectively than existing solutions) and lead to new or improved capabilities and relationships and better use of assets and resources." (BEPA via TEPSIE)	Business management; market orientation. SI as an outcome of the initiatives of social entrepreneurs and other actors. Underlying premises include understanding that SI is best nurtured in hybrid spaces (where the public sector, the private sector and communities overlap and intersect).	None evident.	Social entrepreneurship; upscaling. SI as market based. Networking and partnerships important to scalability.

Project	Role and application of SI in the project	Indicative definition of SI	Theoretical and ontological	Attention to history of thought and/or practice	SI aspects foregrounded
Glamurs 613420 X(X)	Not the focus. Possibly an add-on.	None given	Social-ecological systems, but not connected to SI. Sustainability; environmental economics; psychology. Individual agency highlighted as driver of social transformation.	Not evident for SI.	Interaction between individual behaviour, local initiatives and local/regional state.
Seforis 613500 X(X)	Not the focus. Links social enterprise to priorities of the EU.	None given	Business management approach using systems theory. Innovation as a function of markets, individual entrepreneurial initiative.	Not for SI. Presumably yes for SE, but difficult to find on website.	Social enterprise, social entrepreneurship (implicitly as an aspect of roll-out neoliberalism). Market-based innovation. Institutional and governance barriers to entrepreneurship.

Project	Role and application of SI in the project	Indicative definition of SI	Theoretical and ontological	Attention to history of thought and/or practice	SI aspects foregrounded
Third Sector Impact (TSI) 613034 XX	Not the focus. SI as a driver of third sector impact and an opportunity for supporting policy at EU level.	Various given, citing BEPA, OECD.	Social economy and social entrepreneurship; transformative potential of social action; critique of marketisation of third sector.	Brief acknowledgement that concept is not new, citing Durkheim, Weber, Schumpeter (via Mehmood and Baker). TS placed in historical context.	Third sector; challenge to marketisation; institutional dynamics and policy regimes.
SocIEtY 320136 XX	Secondary focus – goal of project to understand and foster SI for and by young people, with overall aim of empowering them in society. Analytically links youth participation with EU policy.	None given. SI linked to meeting social needs; participation.	Capability approach linked to SI through idea of social value.	No. SI presented as recent policy discourse. Placed in context of marketisation of services.	Top-down vs bottom up initiatives; multi-level governance; empowerment as economic participation; Overall, SI as market-based and driven by individuals;

Project	Role and application of SI in the project	Indicative definition of SI	Theoretical and ontological	Attention to history of thought and/or practice	SI aspects foregrounded
SI-DRIVE 612870 XXX	Primary focus of analysis – understanding success factors of SI as an element of social change.	*as a new combination or figuration of practices in areas of social action, prompted by certain actors or constellations of actors with the goal of better coping with needs and problems than is possible by use of existing practices. An innovation is therefore social to the extent that it varies social action, and is socially accepted and diffused in society (be it throughout society, larger parts, or only in certain societal sub-areas affected.*	Project aims to develop coherent theoretical framework. Key starting points = Tarde on invention/ imitation; social practices theory.	Not evident for SI, but various other sociological concepts contextualised.	Variegated across sectors and scales; networking; scalar dynamics.

Project	Role and application of SI in the project	Indicative definition of SI	Theoretical and ontological	Attention to history of thought and/or practice	SI aspects foregrounded
TRANSIT 613169 XXX	Primary object of research – SI as driver of systemic social change (analytical concept)	"A change in social relations, involving new ways of doing, organising, framing and/or knowing. … Combinations of ideas, objects and activities that are considered to be socially innovative, can be referred to as 'social innovations'."	Theory development a key aim of the project. Draws on a range of social-constructivist theories, highlighting the roles of institutions, practices, discourses, micro-politics. Also systems/complexity.	Historically contextualises case studies, but little attention to history of SI thought	Central concept is SI in its socio-politically transformative aspect. Strong focus on networking practices, mainly with global scope; institutional change; (dis) empowerment as an aspect of systemic social change.
CRESSI 613261 XXX	Primary focus – policy as an enabler for SI to meet human needs. SI another type of innovation alongside business and tech. Largely a top-down approach.	*The development and delivery of new ideas and solutions (products, services, models, markets, processes) at different socio-structural levels that intentionally seek to change power relations and improve human capabilities, as well as the processes via which these solutions are carried out.*	Explicitly, Institutionalism and Sen's capabilities approach, Beckert's social grid model. Strongly market oriented – aims to establish "an economic theory and context for social innovation across the EU" They report explicitly on how their approach differs from Neoclassical economics.	Not evident for SI thought, but history of practice part of 'comprehensive' case study analysis – social housing, financing of education, fresh water supply.	Core is the place of poor and vulnerable people within markets. Institutional power structures; policy as enabling/ constraining; empowermentof inviduals.

Project	Role and application of SI in the project	Indicative definition of SI	Theoretical and ontological	Attention to history of thought and/or practice	SI aspects foregrounded
ITSSOIN 613177 XXX	SI as an outcome of third sector actions – a way to understand 'impact'. General aim to understand and promote 'social innovativeness'.	Social innovations are characterised by: first, their motivational character consists in meeting neglected social needs; second, their underlying image of innovation combines functionalist and transformationalist aspects; third, their primary impact is on the well-being of the beneficiaries as well as the actors involved, the borders between them being reshuffled and blurred by the underlying mechanisms of social innovation.	Focus on structural and institutional conditions: Welfare capitalism; political economies; policy analysis; public discourse	Brief acknowledgement that SI goes back to Weber, not developed.	Non-profit sector as drivers; networking; institutional/ territorial embedding; institutionalisation/ scaling; social inclusion.

Project	Role and application of SI in the project	Indicative definition of SI	Theoretical and ontological	Attention to history of thought and/or practice	SI aspects foregrounded
TEPSIE 290771 XXX	Follows the Innovation Union strategy objectives, especially in terms of social enterprise and social entrepreneurship	"new approaches to addressing social needs. They are social in their means and in their ends. They engage and mobilise the beneficiaries and help to transform social relations by improving beneficiaries' access to power and resources."	Focus on building tools, methods and policies for a Europe wide SI strategy	SI systems in different fields and national contexts	Theoretical, empirical and policy foundations for building, advancing and operationalising the effectiveness of SI in Europe
SOCIAL POLIS 217157 XX	New ways for researchers and stakeholders to develop a holistic and integrated comprehension of social cohesion in cities.	Building of a social platform considered as a SI (stimulated by SSH) in urban research, policy and practice collectively building a research agenda.	Draw upon the combined experience, knowledge and views of practitioners and researchers who work on strengthening cohesion, integration, and inclusion in European cities as well as cities in other continents.	With main focus on social cohesion in contemporary city, there was little effort to use SI in a historical context	Create sustainable and reliable ties between communities of theory and practice to prioritise urban social cohesion, implement knowledge and foster stakeholders' involvement in research

Project	Role and application of SI in the project	Indicative definition of SI	Theoretical and ontological	Attention to history of thought and/or practice	SI aspects foregrounded
IMPROVE 290613 XX	Evidence based approach to poverty, social policy and SI in Europe; Research on the potential of SI to foster social inclusion	"actions and initiatives aimed at the satisfaction of social needs that are not adequately met by market and macro-level welfare policies (content dimension) through the transformation of social relations (process dimension), which involves empowerment and socio-political mobilisation (political dimension linking the process and content dimension)"	Bottom-linked character of local SI, especially in labour market, ethnic minority education, housing and homelessness	Post-war welfare-state poverty-reduction politics, economics and policies. Case studies mostly recent and contemporary.	Multi-scalar SI system. Local SI as an impetus for macro-level and EU-wide policies for poverty reduction; identify obstacles to the consolidation and diffusion of SI.
WILCO 266929 XXX	Identify innovative and emerging practices to counter social exclusion. Make recommendations for encouraging local SIs	SIs represent a combination of new "products" and new "processes" (including the internal organisation of decision-making and ways of interacting with the environment)	SI for social cohesions, with particular focus on service and governance innovation	Historical-institutional view on local governance under a welfare regime	Open governance styles by local authorities and broad support coalitions for bottom-up initiatives, as SI to improve livelihoods of EU citizens

Project	Role and application of SI in the project	Indicative definition of SI	Theoretical and ontological	Attention to history of thought and/or practice	SI aspects foregrounded
FP7-Health					
INNOVAGE (306058) X	Secondary focus. Used to describe a type of action to promote active and healthy aging – the point of this project is to catalogue and promote such actions.	SIs encourage activity, have a focus on equity, are likely to need a gender perspective and are part of a wider policy context that should involve health in all policies. They should be participative and empowering while respecting national and cultural diversity across and within nation states around Europe and the world while offering sustainability and value for money. SIs had to embrace several of these principles in order to be included in the survey.	Draws on the model of SI process.	Not really, but reviews international best practice in the field of active/ healthy aging.	Agency of social innovators. Need for SI to overcome barriers to extending healthy life expectancy.
EuroFIT (602170) X	Not the focus. Seems to be an add-on (legitimising buzzword) – claims to be an SI in itself.	None given	Sport and public health	Not for SI	Engaging vulnerable people in healthier lifestyles.

Project	Role and application of SI in the project	Indicative definition of SI	Theoretical and ontological	Attention to history of thought and/or practice	SI aspects foregrounded
FP7-Food, Agriculture and Fisheries, and Biotechnology					
FUSIONS (311972) AUX	Secondary focus. Used to describe a type of action to prevent food wastage – the point of this project is to catalogue and promote such actions.	new ideas (products, services and models) that simultaneously meet social needs (more effectively than alternatives) and create new social relationships or collaborations.	Theoretical framing relates to food waste – no theorising evident on SI.	Not for SI	Networking and information exchange. Attention to institutional dynamics, but in relation to food rather than SI
FP7-Environment					
TESS (603705) X	Focus is on grassroots/ community-based sustainability initiatives – SI not used in project description but working paper refers to 'socio-technical innovations' and 'grassroots innovations'.	Not defined	Co-evolutionary theory in relation to diffusion of innovations. Community development theory. Focus on integrating natural and social scientific frames.	Not evident for SI	Community based initiatives for achieving goals, outside governmental processes

Project	Role and application of SI in the project	Indicative definition of SI	Theoretical and ontological	Attention to history of thought and/or practice	SI aspects foregrounded
FP7-ICT					
IA4SI (611253) X(X)	Develop methodology and tools for impact self-assessment of SI initiatives	Not defined; referring to diverse SI definitions.	Digital SI as new ICT based services	Contemporary	Digital SI and Collective Awareness Platforms
FP7-Energy					
S3C (308765) X	Smart grid and smart energy technologies using innovative products and services to provide added value to end users	Not mentioned	None	None	End-user engagement through Smart Customer, Consumer and Citizen view
FP7 – Nanosciences, Nanotechnologies, Materials and New Production Technologies – Nmp					
NANODIODE 608891 AUX	Developing Innovative Outreach and Dialogue on responsible nanotechnologies in EU civil society	None	None	None	Innovation governance; responsiveness of nanotech research and innovation to societal needs and values

Annex 4: Methodologies in EC-funded SI research
(Source: elaboration by the authors)

Project	Main methods used	Analytical framework	Involvement of practitioners	Place in governance process?
SOCRATIC (688228) (RIA) X	Agile Innovation Methodology; ExtremeFactories Methodology	Agile Innovation Life-Cycle, providing guidelines about how to perform each stage from Ideation to Implementation, Exploitation and Follow-Up		
SIMRA (677622) (RIA) XX	To be developed – comparative mixed methods case studies Following case study analysis, implementation of 'innovation actions' (living labs) – a transdisciplinary approach	Evaluation framework to be developed – aim for adaptable consistency across case studies. Intent is for co-construction of analytical tools with "people involved in rural development practice"	Intent is for co-construction of analytical framework. Mechanisms for this a bit unclear at this stage. Emphasis on use of social media and networking events in dissemination WP. 'innovation actions' connected to specific rural SIs, especially in development of networking opportunities and markets.	Policy makers included in transdisciplinary aspect WP devoted to policy analysis and developing recommendations from case study + innovation action findings.

Project	Main methods used	Analytical framework	Involvement of practitioners	Place in governance process?
SIC (693883) (CSA) XX	Networking – invitations through known networks. Establishment and maintenance of interactive website. Organisation of supplementary off-line activities Experimentation – local challenges identified an addressed through incubation method.	No. Analysis not part of the method.	Practitioner involvement is the only point of the project. Stakeholder types: - academic - cities/regional development - climate - sharing economy - community-led innovation - corporate SI - public sector - digital SI - intermediaries - social economy actors	Public sector innovators directly involved. Special "Policy Portal" on website. Part of aim is to support stronger links between public sector and social innovators.
InnoServ (290542) (CSA) X	Lit Review/analytical framework 20 case studies – presentation and analysis of practice, documentation in video and written formats Online discussions and workshops based on case studies	Developed from literature on innovation, looks at: - Drivers (change and challenges) - Response - Novelty - Hallmarks of Innovation	3 practitioner networks are full partners in the project and there is also an advisory board of public and community sector stakeholders. Online discussions and workshops – broader participation. Workshops contributed to project evaluation.	Public sector actors form advisory board, and ongoing broader involvement through virtual platform and workshops

Project	Main methods used	Analytical framework	Involvement of practitioners	Place in governance process?
BENISI (604868) (CSA) X	Networking, business incubation: Selection of 300 SIs with scaling potential, through interview process. Establishment of open, web-based network for information sharing. Development of various models for upscaling – not clear how. Establishment of an award. Monitoring and recording lessons	Analytical framework for understanding what enables upscaling – developed from the findings but not part of methodology.	Practitioners are effectively clients of this project.	Scaling models for general use, potentially can help policy makers creating enabling environments for SEs.
TRANSITION (604849) (CSA) XX	Networking; business incubation Selection of 300 SIs with scaling potential, from existing networks. Business incubation in "scaling centre" – networking, planning, training, feasibility etc. "Transnational start-up lab" – support to extend SI initiative into other places.	No. Analysis not part of the method. However, process based on established business principles. Also consideration of 'social impact' kept at the centre of the incubation process. Evaluation process may have been based on a framework.	Practitioners are essentially clients of this project. They were asked to evaluate the service.	Unclear, but intent seems to be to trial the model. Governance arrangements are a crucial part of what the labs consider in the scaling process.

Project	Main methods used	Analytical framework	Involvement of practitioners	Place in governance process?
Glamurs 613420 (CP-IP) X(X)	Cross-disciplinary Qualitative approaches to advance causal connections between patterns of time-use and engagement in sustainable initiatives. Quantitative approaches to quantify theoretical relationships into formalised models of lifestyle change, economic system change towards sustainable systems of consumption-production through an Agent-Based Model.	Cross-disciplinary integration of economics and psychology & a workable combination of qualitative and quantitative methodologies.	Participation in workshops, respondents of surveys (e.g. time-use), briefing sheets and videos as part of dissemination efforts.	There is an agenda to lobby for better integration of alternative organisations promoting environmental sustainability into governance settings
Seforis 613500 (CP-FP) X(X)	Survey; literature review; database 'Massive Open Online Course' (MOOC) on the insights into challenges and strategies to grow social impact by social enterprises	Organisation of social enterprises in market and society, institutional context of social entrepreneurship informed quantitative research	Respondents to surveys.	Improved governance; service delivery; simplified/ efficient bureaucracy; education for social entrepreneurs

Project	Main methods used	Analytical framework	Involvement of practitioners	Place in governance process?
Third Sector Impact (TSI) 613034 (CP-FP) XX	Literature review on civil society issues & surveys assessing situation of Third Sector Org. Online stakeholder survey, supplemented by semi-structured interviews quantitative empirical research; case studies	Analytical framework in scientific procedures; inputs of stakeholder workshops	Online surveys and semi-structured interviews	Improved governance, improved service delivery, less bureaucracy
SocIEtY 320136 (CP-FP) XX	mixed-method: participatory research combined with quantitative research.	Focus on understanding the aspirations and perceptions of young people and to inform the quantitative analysis.	Young people as experts of their own lives. Some work carried out with the help of social workers.	Young peoples' participation; improved governance, service delivery; efficient bureaucracy; citizen education.

Project	Main methods used	Analytical framework	Involvement of practitioners	Place in governance process?
SI-DRIVE 612870 (CP-IP) XXX	Global mapping exercise; >1000 SIs mapped. 82 in-depth qualitative case studies across 7 policy fields – main methods seems to be interviews. Iterative theory building	Yes. Iterative process aims to develop a typology of SIs. Dimensions: - Concepts and understandings - Addressed societal needs and challenges - Resources, capabilities and constraints - Governance, networks, actors - Process dynamics (NB this project contains the only meaningful reference to gender that I've found among them).	Establishment of "Policy Field Platforms", but not clear how these work. 7 of the partners are non-university think tanks, consultancies, businesses or non-profits. Advisory Board of researchers from both uni and independent sectors. some involvement in the conferences. All fairly 'high-level'. There is an open call for information for mapping SI initiatives on the website.	Policy advice a key aim of the project. Reference to structured discussions between social innovators and policy makers, but not clear how. Followed by "multilevel foresight and governance discussion" roundtable. Idea that SI and policy support each other – Project to inform on required competencies and collaborations.

Project	Main methods used	Analytical framework	Involvement of practitioners	Place in governance process?
TRANSIT 613169 (CP-IP) XXX	Literature review In-depth case studies of 20 transnational SI netowrks and their local manifestations in 2 places. Meta-analysis of the critical turning points of 80+ local manifestations in 16+ countries.	Yes, dimensions: - agents - co-evolution and socio-material context - agency and (dis) empowerment Key focus of synthesis is Critical Turning Points.	Knowledge group involved in governance of project Some feedback on synthesis report. Publication of Practices Briefs and training tools. Final conference programmed by practitioners through open call for sessions. In general practitioner views given weight in dissemination.	No clear evidence, other than as a consideration for analysis.

Project	Main methods used	Analytical framework	Involvement of practitioners	Place in governance process?
CRESSI 613261 (CF–FP) XXX	3 comprehensive case studies based on secondary historical data. 4 individual case studies (particular initiatives) – secondary sources, questionnaires, interviews. Review and cross comparison of evaluation tools and measures, development of integrated evaluation framework Application of above to 'integrated' case studies – secondary data, questionnaires and statistical analysis to analyse SI impact in framework of human capabilities approach	Based on Beckert, Sen and Mann, but positioned within economics. Dimensions: - Institutions, networks and norms – multi level perspective - Human capabilities approach - Power sources and system dynamics - Incentive structures - resilience	Discussion groups input into integration exercise. Otherwise unclear.	Workpackage 6 devoted to policy implications, included a number of roundtables and seminars.

Project	Main methods used	Analytical framework	Involvement of practitioners	Place in governance process?
ITSSOIN 613177 (CF-FP) XXX	Comparative case studies, process tracing Hypotheses developed based on lit review Context analysis Detailed lit review, desktop research and interviews on 4. Case studies of 'innovation streams' across 4 cities in each field – interviews with experts; semi-structured questionnaires with participants in relevant organisations; desktop; intra and cross-national comparative qualitative analysis.	Context analysis dimensions: national political-economic; policy review; media review; published surveys on citizen perception Case study analysis based on hypotheses - too many to list	As informants – mostly providers rather than clients. Stakeholder workshops to validate analyses	Unclear.

Project	Main methods used	Analytical framework	Involvement of practitioners	Place in governance process?
TEPSIE (290771) (CP–FP)	Case studies: organisations and enterprises that use SI to meet social needs Practice scans; theoretical models of behaviour and causation; idea sessions;development of indicators for SI	Measuring SI; barriers to SI; capital flows for SI; Engaging public	As informants (interview partners) As users	Service delivery. Social enterprise and social entrepreneurship.
IMPROVE 290613 (CF–FP)	interdisciplinary, mixed and comparative method: quantitative social policy research, qualitative SI research; poverty trends and indicators	Social policy improvement; alternative policy scenarios; local SI governance	Respondents to surveys, semi-structured interviews; interaction through focus groups of different stakeholders	Service delivery; social exclusion and inclusion
SOCIAL POLIS 217157 (CSA–SA)	Transdisciplinary communities of knowledge/practice Science communication between experts & activists; snowballing to unroll stakeholders networks	Plural economy; social cohesion; co-production of collective action	Interaction with researchers in urban context; exchange with policy makers and SI practitioners	Local welfare systems; diversity; multilevel & multi-scalar modes of governance

Project	Main methods used	Analytical framework	Involvement of practitioners	Place in governance process?
WILCO 266929 (CF-FP)	Case studies, historical-institutional Largely qualitative	Innovations in local welfare; social vulnerability & exclusion	Through EMES	Public sector funding cutbacks
INNOVAGE (306058) (CF-FP) X	Mixed methods InformCare web platform Person-environment fit	User priorities for housing provision through an App	Strong involvement through the portals and the pilot initiatives	
FUSIONS (311972) (CSA) AUX	Food waste management Life Cycle Assessment (LCA). Global Warming Potential (GWP) was calculated for a set of indicator products		European Multi-stakeholder Platform	Little focus, except for Environmental governance
TESS (603705) (CP) X	CBI, Assessment Toolkit, MRV (Measuring, Reporting, verification) Fertile soil metaphor to study success and constraints of community-based initiatives, perceiving them as living organisms with a diversity of rationalities and multiple tensions	Analytical framework for studying community-based initiatives	Practitioner-researcher networks (Sustainable Transitions Research Network)	Local democratic governance

This review of research on Social Innovation (SI) examines
its place in Research and Innovation projects, especially
those funded by the EU. It also reflects on the relevance
of SI and SI research in collective action, policy making
and socio-political transformation in Europe and the world
today. In particular, it makes suggestions on how SI research
can contribute to strengthening the position of the Social
Sciences and Humanities in the contemporary and future
European research and policy landscape. It thus seeks to
explain how SI as a concept and a practice holds a great
socio-political transformative potential, and warns against
reducing the meaning of SI to mere social problem mending
as a response to state and market insufficiencies.
The included projects either have their main focus on SI,
capacity building and/or networking of SI initiatives, or, al-
ternatively, attributing a more or less important role to SI in
projects with their primary focus on social policies, including
youth empowerment, health, social entrepreneurship and
the non-profit sector, promoting environmental sustainabi-
lity, food processing and consumption, ocean development
and governance, transportation, and nanotechnologies.

Studies and reports

Publications Office